

WORCESTER STATE UNIVERSITY

BOARD OF TRUSTEES MEETING

Thursday, October 21 , 2021

5:30 PM

REMOTE PARTICIPATION

Join Zoom Meeting

<https://worcester.zoom.us/j/7540181608>

Meeting ID: 754 018 1608

Meeting Called By: Stephen Madaus (Chair)

Minutes: Nikki Kapurch

Board Members: Lisa Colombo; Aleta Fazzone; Maryanne Hammond (Vice-Chair); Anna Johnson; Karen Lafond; Stephen Madaus (Chair); William Mosley; Dina Nichols; Marina Taylor (Vice-Chair); David Tuttle; Lawrence Sasso

WSU Staff: Barry Maloney; Carl Herrin; Kathy Eichelroth; Stacey Luster; Mike McKenna

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. Approval of the Minutes: 1. Full Board - September 14, 2021*	Stephen Madaus	1. vote required
2. <i>Other Business - 5 minutes</i> A. Update on the current state of DGCE Bargaining from Sam O'Connell, President, Worcester Chapter Massachusetts State College Association	Sam O'Connell, Ph.D	A. Informational
3. <i>Presentation - 15 minutes w/ Q&A</i> A. Elaine Vescio, Director of Entrepreneurship, WSU i. Developing Our Entrepreneurial Mindset powerpoint* ii. Copy of Food Entrepreneurship flyer* iii. Center for Entrepreneurship Update*	Barry Maloney Elaine Vescio	A. Informational
4. <i>Equity, Diversity and Inclusion Presentation - 15 minutes w/ Q&A</i> A. Military Affairs/Veteran Services presentation* B. Mental Health Counseling presentation*	Maria Gariepy Jacquelyn Wolf Laura Murphy	A. Informational B. Informational
5. <i>Finance & Facilities Committee Report</i> A. Finance & Facilities Committee Packet*	Marina Taylor	5. Informational and vote required
6. <i>Human Resources Committee Report</i> A. October 19 Human Resources Committing Meeting Packet*	Maryanne Hammond	6. Informational and vote required
7. <i>Administrative Updates</i> A. Report of the Chairman I. Next meeting: November 16, 2021 (remotely) B. Report of the Student Trustee C. Report of the President I. President's Update* II. 2021 Jeanne Clery Report*	Stephen Madaus Anna Johnson Barry Maloney	 I. Informational II. Informational
8. <i>Adjournment</i>	Stephen Madaus	8. vote required

*Attachments

WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES MEETING
Meeting Minutes

CHAIR:	Mr. Stephen Madaus (Chair)	DATE: September 14, 2021
LOCATION:	Remote Participation	MINUTES BY: Nikki Kapurch
TIME:	5:03 PM	
MEMBERS PRESENT:	Lisa Colombo; Aleta Fazzone; Maryanne Hammond (Vice-Chair); Anna Johnson; Karen Lafond; Stephen Madaus (Chair); William Mosley Dina Nichols; Marina Taylor (Vice-Chair); David Tuttle; Lawrence Sasso.	
WSU STAFF:	Barry Maloney; Nikki Kapurch; Kathy Eichelroth; Carl Herrin; Stacey Luster; Catherine Sweeney; Ryan Forsythe; Julie Kazarian; 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, September 14, 2021, through a Zoom remote call. Chair Madaus called the meeting to order at 5:01 p.m. Trustee Madaus reported that all Trustees will participate by remote access and announced that all votes will be by recorded roll call.

Administrative Business:

APPROVAL OF THE MINUTES - Special Meeting - August 3, 2021

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

VOTED: to approve the minutes of August 3, 2021, Special Meeting of the full Board as presented.

ROLL CALL VOTE: 11 approved. Lisa Colombo; Aleta Fazzone; Maryanne Hammond; Anna Johnson; Karen LaFond; Stephen Madaus; William Mosley; Dina Nichols; Marina Taylor; David Tuttle; Lawrence Sasso.

APPROVAL OF THE MINUTES - Human Resources Committee Meeting - August 31, 2021

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

VOTED: to approve the minutes of the August 31, 2021, Human Resources Committee meeting as presented.

ROLL CALL VOTE: 4 approved. Maryanne Hammond; Karen LaFond; Dina Nichols; Marina Taylor

EQUITY, DIVERSITY, AND INCLUSION PRESENTATION

LGBTQ+ Advisory Group presentation

- President Maloney introduced Sarah Strout, Assistant Vice President for Assessment and Planning, who co-chairs the group along with co-chair Elizabeth Siler, Professor of Business Administration.
- AVP Strout presented the Powerpoint that was included in the packet.
- Maria Gariepy, Director, Diversity, Inclusion. & Equal Opportunity discussed the LGBTQ+ Advisory Group's charge and committee membership as of spring 2021 and went through the group's accomplishments.

Finance & Facilities Committee Report

- Trustee Taylor provided a brief overview of the FY 2022 Budget Amendment #4 memo. This FY 2022 budget amendment will address two separate items that were not previously addressed for this budget:
 1. Drawdown in funds in the Strategic Plan Trust Fund. This amendment allocates up to \$203,500 from the Strategic Plan Trust Fund for spending this fiscal year on targeted activities that are identified priorities in the University's 2021-2025 Strategic Plan. As outlined in the attached budget document, these funds are a one-year allocation. Assuming the entire allocation is expended this year, the balance in the Trust Fund for future year spending will total \$321,331.
 2. The State Universities were provided additional funding in the form of a \$75,000 earmark to the annual state operating appropriation. The earmark was the result of an effort to secure funds for the Latino Education Institute at WSU (LEI) specifically associated with Pursuit of Equity, Accountability, and Success (PEAS), a statewide collaborative project intended to address improved student success for Latinx students impacted by the pandemic.

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

VOTED: **to accept the recommendation of the Finance and Facilities Committee and approve amendment #4 to the FY 2022 WSU Operating budget, as presented.**

ROLL CALL VOTE: **11 approved. Lisa Colombo; Aleta Fazzone; Maryanne Hammond; Anna Johnson; Karen LaFond; Stephen Madaus; William Mosley; Dina Nichols; Marina Taylor; David Tuttle; Lawrence Sasso.**

Human Resources Committee Report

- Trustee Hammond reported that the committee met on August 31, 2021, to discuss the two proposals that were submitted to perform a 360 Comprehensive Evaluation of President Maloney.
 - Breakthrough Collaboration proposal
 - Association of Governing Boards of Universities and Colleges (AGB) proposal
- Agreed that Breakthrough Collaboration has had prior engagements with the WSU community, and the price is within budget.
- The plan is to complete the project by the January Board of Trustees meeting.

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

VOTED: **to accept the recommendation of the Human Resources Committee and approve the proposal of Breakthrough Collaboration as our assessment service to conduct the 360 Comprehensive Evaluation of President Maloney that will take place during the 2021-2022 academic year on the proposed price of \$18,000, subject to additional services and fees as the administration determines necessary.**

ROLL CALL VOTE: **11 approved. Lisa Colombo; Aleta Fazzone; Maryanne Hammond; Anna Johnson; Karen LaFond; Stephen Madaus; William Mosley; Dina Nichols; Marina Taylor; David Tuttle; Lawrence Sasso.**

REPORT OF THE CHAIRMAN

- Next meeting: Thursday, October 21, 2021 (via Zoom)
- Complimented the Administration on their hard work helping the Becker College students who were in need of a place to go when Becker College closed.

REPORT OF THE STUDENT TRUSTEE

- Trustee Johnson thanked the Board members for attending the Unity Walk.
- Trustee Johnson reported that the start of the semester is going well and seeing positive attitudes from the students with being back on campus in person.
- She is concerned about remote meetings. Discussed WSU vaccine protocols on campus.
- Board members discussed their remote meeting plan and will reassess the situation at the end of the academic year.

PRESIDENT'S REPORT

- In place of the usual President's Update, we provided in the packet a pdf of the academic year resource guide instead.
- Have reached contract agreements with three of the unions (APA, ASFCME, and MSCA - Day)
- There has been a statewide effort to continue to advocate for more resources from the state.
- Vice President Ryan Forsythe gave an update on enrollment for new Worcester State University students and retention of current students, as well as our incoming nursing cohort.
- Tara Hancock, Executive Director, University Advancement, provided the WSU Foundation's financial snapshot as of June 30, 2021.
- Vice President Julie Kazarian reported out on weekly testing protocols and mentioned that the testing dashboard has been updated. Overall we are at an 88% student vaccination rate and residential halls are at 81% occupancy.
- Our NECHE accreditation is still underway and ongoing.

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

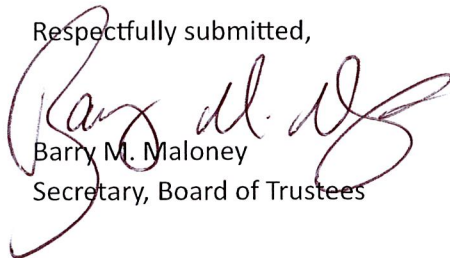
WSU Board of Trustees
September 14, 2021

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

VOTED: to adjourn the meeting at 6:36 p.m.

ROLL CALL VOTE: 11 approved. Lisa Colombo; Aleta Fazzone; Maryanne Hammond; Anna Johnson; Karen LaFond; Stephen Madaus; William Mosley; Dina Nichols; Marina Taylor; David Tuttle; Lawrence Sasso.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Barry M. Maloney", is written over the typed name and title.

Barry M. Maloney
Secretary, Board of Trustees



WORCESTER
STATE
UNIVERSITY

Developing Our Entrepreneurial Mindset

Professor Elaine Vescio, Director of the
Center for Entrepreneurship

Developing Our Entrepreneurial Mindset

- How entrepreneurship began at Worcester State University
- Where we are now
- Where we are heading

How Entrepreneurship Began at Worcester State University

"I believe Worcester State students have the creative innovation to launch the next big idea". --Alumnus Robert K. O'Brien



Derek Canton, 1st place in May 2013

- Establishment of the Center for Entrepreneurship
- Creation of several entrepreneurship courses
- Introduction of the concentration in entrepreneurship for business majors

Broader Definition of Entrepreneurship

“Entrepreneurial” is a way of thinking, acting, and being that combines the ability to find or create new opportunities with the courage to act on them.

Neck, Neck, Murray (2020) *Entrepreneurship: The Practice & Mindset* (2nd ed). Sage.



Where We Are Now

- Established an advisory board with significant industry experience.
- Set our mission: To promote an innovative spirit and entrepreneurial mindset throughout Worcester State University, and into the greater community.
- Developed program on three pillars: academic, co-curricular, and community engagement.

It's Been an Exciting Two Years

Academics

- 3 courses/semester
- Interdisciplinary minor

Co-Curricular



Unexpected Speakers



Community Engagement



Generous Support



Entrepreneurship Ambassadors



Where We Are Going

Vision: Be the premier university for entrepreneurship in Massachusetts

- Strengthen our three pillars of entrepreneurship: academic, co-curricular, community engagement.
- Fundraise to build a sustainable Center for Entrepreneurship at Worcester State University.
- Differentiate Center with specific areas of focus

Food Systems Entrepreneurship

- Partnering with Worcester Regional Food Hub and Chartwells
- Strengthening the connections and access to resources for diverse entrepreneurs to start and build financially viable food businesses.
- Stackable micro-credentials specific to the business of food.
 - Piloting two upskilling programs this fall: “Preparing for Your Wholesale Permit”, and “Leveraging Social Media to Build Your Food Business”.
- Exploring a regional food economy track for the IDEA Maker Program, and programming for region’s high school and community college students with emphasis on culinary students.

How You Can Get Involved

- Volunteer as a mentor or subject matter expert
- Connect us with your network in the business community
- Connect us with potential donors

Thank you!

BUILD YOUR FOOD BUSINESS

Six week intensive programs



Leveraging Digital Media

Experiment with practical approaches to using digital media to create a brand that resonates with customers and drives sales.

Tuesdays 6 PM to 8 PM
Starting October 19, 2021



Preparing for Wholesale Permit

Get ready for the regulatory requirements and initial inspection needed to obtain a wholesale license in Massachusetts.

Thursdays 6 PM to 8 PM
Starting October 21, 2021

ABOUT THE PROGRAMS

Building a resilient food business requires very specific skill sets.

Develop those abilities faster and with the support of experts in this new food business program.

Participants meet once a week in an instructor-led class at Worcester State University. The program fee is waived for the 15 participants selected for each program for the fall session.

Apply today!



SCAN ME



info@worcesterfoodhub.org

Center for Entrepreneurship Topic for Board of Trustees Meeting on October 21

Topic: Developing Our Entrepreneurial Mindset at Worcester State University

- The entrepreneurship program began nine years ago with a donation from Alumnus Robert K. O'Brien to fund a student entrepreneurship contest, Robert K. O'Brien '58 Next Big Idea Contest. Led to the establishment of the Center for Entrepreneurship in the Department of Business & Economics, and the creation of several entrepreneurship courses and the concentration in entrepreneurship for Business majors.
- In the past two years, we have established an advisory board with significant industry experience, broadened our definition of entrepreneurship beyond the traditional venture creation focus, set our mission "to promote an innovative spirit and entrepreneurial mindset throughout Worcester State University, and into the greater community" and built three pillars to our entrepreneurship program: academic, co-curricular, and community engagement.
- Academics has expanded to offering three courses/semester, with plans to introduce an Interdisciplinary Minor in 2022. Co-curricular offerings have consisted of the Next Big Idea Contest, IDEA Accelerator Program, WooMagine ideathon, Entrepreneurs in Residence, co-working, Student Entrepreneurship Ambassador Program, and speaker events such as the Chairman of Bose Corporation, CEO of John Hancock, and founder of Design Museum Everywhere.
- Community engagement has involved leading the initiative to bring EforAll to greater Worcester, collaborating with Worcester Regional Food Hub for food entrepreneurship, collaborations with WPI, advising Benjamin Franklin Institute of Technology on starting an entrepreneurship program, and engaging with Worcester Business Resource Alliance, Massachusetts Technology Collaborative, and The Venture Forum.
- Generous support has come from the Esler Family Foundation (\$125K), and Santander (\$25K).
- Our vision is to become the premier university for entrepreneurship in Massachusetts. This requires strengthening each pillar--academic, co-curricular, and community engagement; fundraising to build a sustainable Center for Entrepreneurship; and differentiating the Center for Entrepreneurship with specific areas of focus.
- Initial area of focus is food systems entrepreneurship. Partnering with Worcester Regional Food Hub and Chartwells to strengthen the connections and access to resources for diverse entrepreneurs to start and build financially viable food businesses. Plan to offer stackable micro-credentials specific to the business of food. Piloting six week upskilling programs this fall: "Preparing for Your Wholesale Permit" and "Leveraging Social Media to Build Your Food Business". Exploring offering a regional food economy track for the IDEA Maker Program, and developing programming for the region's high school and community college students with an emphasis on their culinary students.
- Ways for the Board of Trustees to get involved: volunteer as a mentor or subject matter expert; connect us with your network in the business community; connect us with potential donors.

Jacquelyn Wolf

Director of Military Affairs/Veteran Services



- Air Force Reserves, 1985-1995
- Army AD, 1995-2002
- AA Liberal Studies, 2008
- BA Anthropology, 2011
- M.Prof Studies HEA, 2018
- Hawaii Pacific University, Veteran Transition Coordinator, 2010-2014
- Martin Methodist College, Director of Veteran Services, 2014-2016
- Framingham State University, Coordinator of Veteran Services, 2016-2019

Focus of Military Affairs/Veteran Services

- Recruiting
 - Attend Military/Veteran events
 - Coordinate with Admissions to attend Open Houses and outreach to military affiliated students
- Retention
 - Address student challenges both as a population and on an individual basis
- Communication
 - University events, policies, or concerns to the student veteran(s)
 - Student veteran concerns to the appropriate university department or contact person
 - Outreach to bring awareness to the student veterans of resources available to them from community military/veteran community in Central Mass.

Current WSU Collaborations

- Admissions
 - Recruiting and transition
- Enrollment Management
 - Retention and identifying veterans
- Office of Diversity, Inclusion, AA & EO
 - REJI (Racial Equity and Justice Institute) Racially Equitable Action Plan/
Goals specific to Veterans
- Residence Life
 - ROTC and Veterans in transition
- Information Technology
 - Looking at how/when we identify veterans, improvements
- Career Services
 - Career Chats
- Counseling Center
 - Fresh Check Day, SAVE
- Alumni
 - Working on creating Veteran/Alum panel

Other Engagements and Collaborations

- SIT - Student Intervention Team
- JED - Student Mental Health
- SAVE – Sexual Assault Violence Education
- Directors Meeting
- Career Chats for Veterans
- Outside university: Women Veterans Network Steering Committee

Community Partners and Resources

Central Massachusetts Veteran Consortium:

Easterseals/Veterans Count

Project New Hope

Clear Path for Veterans

Mass Hire

Vet Centers

Veterans Inc

- Massachusetts National Guard
- Army ROTC at WPI
- Air Force ROTC at WPI
- Navy/USMC ROTC at Holy Cross
- Veterans Upward Bound at Suffolk University
- Military recruiters
- Various contacts at other universities, Veteran Administration, etc

My Vision for the Future of MA/VS

- Military/Veteran Task Force at WSU
 - This would include contacts from various different departments on campus to address military affiliated challenges and needs at Worcester State
- Green Zone Training
 - This would provide training to faculty and staff on campus on challenges veterans face and best practices to address these issues.
 - Award a Green Zone Safe Space designation to those that complete the training
- Veterans Resource Center
 - A quiet place on campus where veterans can unwind, study, and get connected with resources that address challenges

QUESTIONS?



WORCESTER
STATE
UNIVERSITY

JED Foundation's Chief Medical Officer and NYU's Clinical Associate Professor of Psychiatry, Victor Schwartz wrote:

“Counseling centers, are often effectively serving as walk-in clinics, crisis centers, social-service agencies, and emergency rooms in addition to the standard therapy and care provided.”

– Chronicle of Higher Education, September 18, 2019



WORCESTER
STATE
UNIVERSITY



JED Campus

Empowering schools to
enhance student mental
health, substance abuse
and suicide prevention
efforts

Our Assessment Framework

Through their work with JED Campus, schools are actively working on strategic plans aimed at implementing appropriate policies and programs to best support their students' emotional well-being and help to prevent suicide and serious substance abuse.

JED Campus promotes a comprehensive public health approach to emotional well-being.



JED In Action

JED Strategic Plan Implementation = University Wide Systemic Support

- Incorporate mental health/wellness in to University Strategic plan
- On-going assessment of staffing needs
 - Current (Multi-Cultural Outreach & MHE)
 - Two additional positions
- Expand/increase attendance at Student leader/Peer Trainings - SSN (88)
 - Addition of targeted audiences

JED In Action

JED Strategic Plan Implementation = Systemic support - University wide

- Work with faculty to increase attendance at Faculty/Gatekeeper Student Mental Health trainings
 - Recognize, Respond, & Refer to Students in Distress
 - Trauma Informed Pedagogy-CTL collaboration
 - Support for Graduate Faculty Programs
- Counseling Center Syllabus statement inclusion
- Faculty/Staff referral email template
- Increase marketing strategies to include prospective parents and families
 - Continued inclusion in Parent Orientation
 - Letter directly to parents/caregivers in Admissions packets

Mental Health Campus Outreach Efforts

- Everfi
 - Addition of Mental Health and Diversity, Equity and Inclusion modules
- Student Outreach:
 - Trainings:
 - Resiliency for FYS and Transfer Students (56)
 - Life Skills for Athletics
 - Resident Assistants (August & January)
 - Student Leadership
 - 5th Annual Fresh Check Day (10/27/21)
 - Active Minds
 - Direct emails to student listserv
 - Multiple social media platforms and campaigns
- **Sexual Assault Violence Education**

Safe Campus - Fall 2021

- Full In - Person Model w/COVID- 19 Safety Precautions
- Walk-in Triage- Same day Crisis sessions
- Telehealth as needed

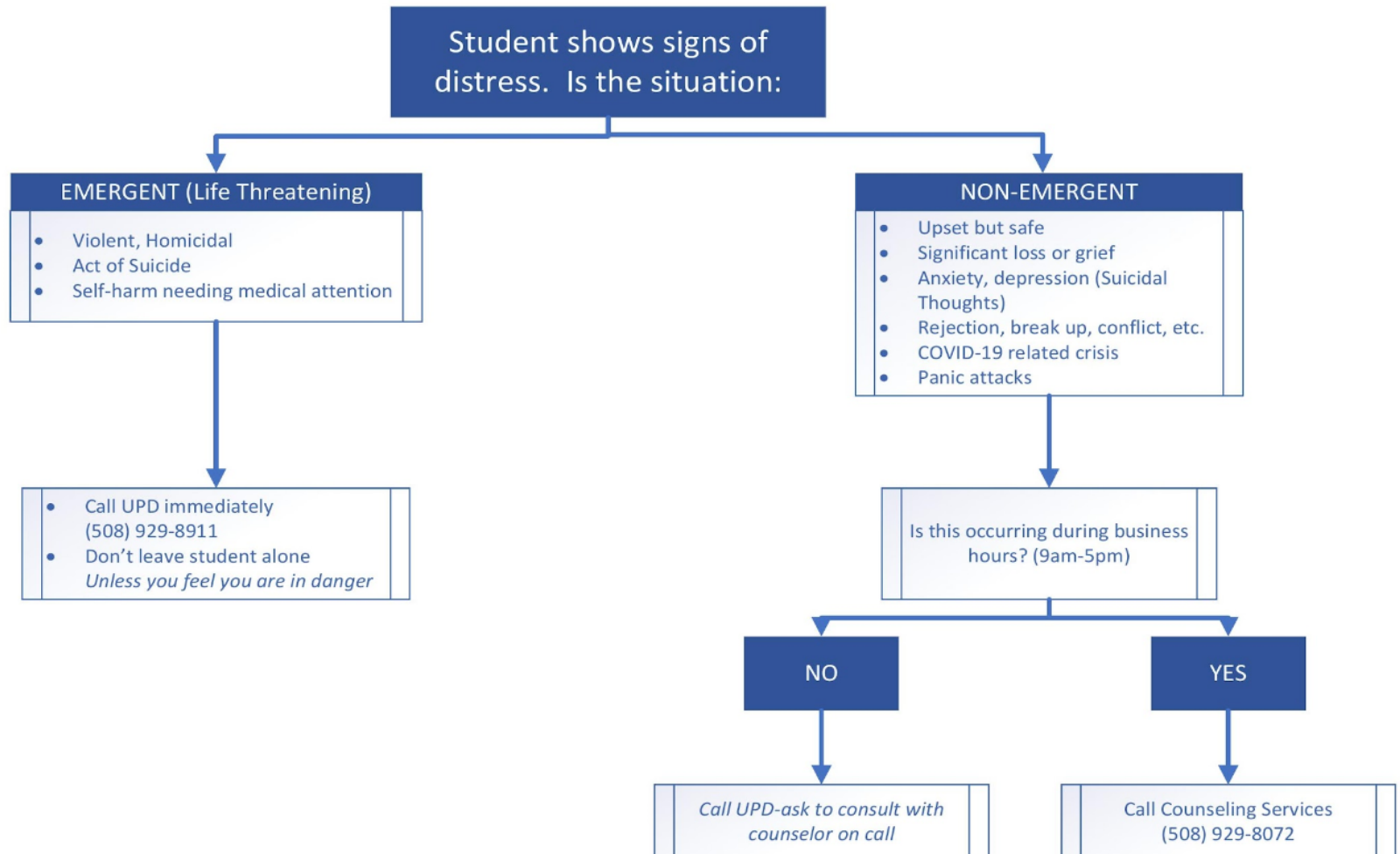
30% increase in students seen FA'20-FA-21(Sept-present)

Increase in ALANA students utilization rates
(+14% ~ 36% > 32%)

Current Trends

- Caseload increases
- Symptom Intensity
- First year/"Second" year
- Social Anxiety
- Eating Disorders

Student Mental Health Response Faculty & Staff Decision Tree





WORCESTER STATE UNIVERSITY

BOARD OF TRUSTEES

FINANCE & FACILITIES MEETING

Thursday, October 21, 2021

4:00 PM

REMOTE PARTICIPATION

Join Zoom Meeting

[https://worcester.zoom.us/j/75](https://worcester.zoom.us/j/7540181608)

[40181608](https://worcester.zoom.us/j/7540181608)

Meeting ID: 754 018 1608

Meeting Called By: Marina Taylor (Chair)

Minutes: Nikki Kapurch

Board Members: Lisa Colombo; Aleta Fazzone; Dina Nichols; Marina Taylor; Lawrence Sasso

WSU Staff: Barry Maloney; Carl Herrin; Kathy Eichelroth; Catherine Sweeney

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. Approval of Minutes: September 14, 2021*	Marina Taylor	B. vote required
2. <i>Finance & Facilities Committee Report</i> A. FY2021 Draft Financial Statement Audit*	Marina Taylor Kathy Eichelroth	A. Informational and vote required
3. <i>Administrative Updates</i> A. Other Business	Marina Taylor	
4. <i>Adjournment</i>	Marina Taylor	4. vote required

*Attachments

WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES
Finance & Facilities Committee Meeting
MINUTES -September 14, 2021

CHAIR: Marina Taylor (Chair) DATE: September 14, 2021

LOCATION: Remote Participation MINUTES BY: Nikki Kapurch

TIME: 4:30 PM

COMMITTEE MEMBERS PRESENT: Lisa Colombo; Aleta Fazzone; Dina Nichols; Marina Taylor; Lawrence Sasso

NON COMMITTEE MEMBERS PRESENT: Maryanne Hammond

WSU STAFF: Barry Maloney; Nikki Kapurch; Carl Herrin; Kathy Eichelroth; Catherine Sweeney

The provision of General Laws, Chapter 30A having been complied with and a quorum present, a meeting of the Finance and Facilities Committee was held on Tuesday, September 14, 2021, through a Zoom remote call. Chair Taylor called the meeting to order at 4:31 pm. Trustee Taylor reported that all Trustees will participate by remote access and announced that all votes will be by recorded roll call.

FINANCE & FACILITIES COMMITTEE REPORT

Trustee Taylor introduced Kathleen Eichelroth, Vice President for Administration and Finance, who provided a brief overview of the FY 2022 Budget Amendment #4 memo. This FY 2022 budget amendment will address two separate items that were not previously addressed for this budget:

1. Drawdown in funds in the Strategic Plan Trust Fund. This amendment allocates up to \$203,500 from the Strategic Plan Trust Fund for spending this fiscal year on targeted activities that are identified priorities in the University's 2020-2025 Strategic Plan. As outlined in the attached budget document, these funds are a one-year allocation. Assuming the entire allocation is expended this year, the balance in the Trust Fund for future year spending will total \$321,331.
2. Worcester State was provided additional funding in the form of a \$75,000 earmark to the annual state operating appropriation. The earmark was the result of an effort to secure funds for the Latino Education Institute at WSU (LEI) specifically associated with Pursuit of Equity, Accountability, and Success (PEAS), statewide collaborative project intended to address improved student success for Latinx students impacted by the pandemic.

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

VOTED: To recommend to the full Board the approval of amendment #4 to the FY 2022 WSU Operating budget, as presented

ROLL CALL VOTE: 5 approved. Lisa Colombo; Aleta Fazzone; Dina Nichols; Marina Taylor; Lawrence Sasso

WSU Board of Trustees
September 14, 2021

Other Business:

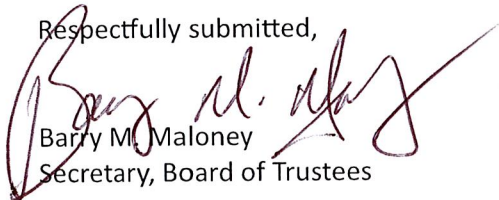
With there being no further business, the WSU Board of Trustees Committee meeting was adjourned.

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

VOTED: **To adjourn the meeting at 4:40 PM**

ROLL CALL VOTE: **5 approved. Lisa Colombo; Aleta Fazzone; Dina Nichols; Marina Taylor; Lawrence Sasso**

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Barry M. Maloney", is written over the typed name and title.

Barry M. Maloney
Secretary, Board of Trustees

WORCESTER STATE UNIVERSITY
(AN AGENCY OF THE COMMONWEALTH OF
MASSACHUSETTS)

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

YEARS ENDED JUNE 30, 2021 AND 2020

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, STATISTICAL INFORMATION AND OTHER REPORTS

YEARS ENDED JUNE 30, 2021 AND 2020

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INDEPENDENT AUDITOR'S REPORT

To the Board of Trustees
Worcester State University

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, 2021 and 2020 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 opinion.

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, 2021 and 2020, and the changes in its net position, and its cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

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 13 and certain information pertaining to liabilities recorded in accordance with Government Accounting Standards Board Statement Number 68, *Accounting and Financial Reporting for Pensions* and GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other than Pensions* on pages 46 through 51 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 opinions on the financial statements that collectively comprise Worcester State University's basic financial statements. The supplemental schedules and statistical information are presented for purposes of additional analysis and are not a required part of the basic financial statements.

The supplemental schedules on pages 45 through 56 are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplemental schedules are fairly stated, in all material respects, in relation to the basic financial statements as a whole.

The statistical information on pages 57 through 62 has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated _____, 2021, 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.

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, 2021. 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 4,958 full and part-time undergraduate students and 766 full and part-time graduate and professional students.

Financial Highlights

- The assets and deferred outflows of resources of Worcester State University exceeded its liabilities and deferred inflows of resources at the close of the most recent fiscal year by \$62,171,098 inclusive of year end accruals related to the Commonwealth of Massachusetts Pension and Other Postemployment Benefits (OPEB) (net position) of \$58,672,987.
- The University's total net position increased by \$3,330,690. Pension and insurance expense increased by \$1,259,106, 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 University's Net Position as June 30 2021 was \$62,171,098. Unrestricted Net Position from Operations as of June 30, 2021 was \$47,866,408. The healthy operational reserves is offset by the University's allocation of the Commonwealth's accumulated Net Retirement Obligations of \$19,435,051 related to Pensions and \$38,809,888 related to OPEB, resulting in Net Unrestricted Reserves of (\$10,378,538).
- Auxiliary Services, specifically Residence Life and Housing, closed the year with an operating deficit of \$627,127 for the year ended June 30, 2021. This is the second consecutive year that this trust fund has closed with an operating deficit due to COVID-19 effects on operations. The FY 2021 budget had been significantly reduced in scope in response to the anticipated decline in occupancy. The scaled back budget and debt restructuring implemented by the Massachusetts State College Building Authority help to mitigate operating losses.

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
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MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

The Statement of Net Position presents information on all of the University's assets and deferred outflows of resources, as well as liabilities and deferred inflows of resources, with the difference between these 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 presents 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 and deferred outflows of resources exceeded liabilities and deferred inflows of resources by \$62,171,098 at the close of Fiscal Year 2021.

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 used to acquire those assets that are still outstanding, including capital leases. 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
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MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

**Worcester State University's Net Position as of
June 30, 2021, with comparative data as of June 30, 2020**

	2021	2020
Current and other assets	\$ 71,611,180	\$ 62,237,656
Capital assets	93,130,666	97,697,525
Total assets	164,741,846	159,935,181
Deferred outflows of resources	15,587,867	15,128,539
Non-current outstanding liabilities	78,439,471	80,901,382
Other liabilities	149,269,511	14,603,707
Total liabilities	93,366,422	95,505,089
Deferred inflows of resources	24,792,193	20,718,223
Net position		
Invested in capital assets, net of related debt	71,503,288	75,835,001
Restricted	1,046,341	793,392
Unrestricted	(10,378,531)	(17,787,985)
Total net position	\$ 62,171,098	\$ 58,840,408

The following schedule presents an analysis of Worcester State University's net position as of June 30, 2021 and 2020, respectively:

	2021	2020
Invested in capital assets, net	\$ 71,503,288	\$ 75,835,001
Restricted reserves, expendable for:		
Other	902,011	653,958
Capital projects	144,330	139,434
Total restricted reserves, expendable	1,046,341	793,392
Unrestricted net position		
Unrestricted reserves from operations	47,866,408	39,197,848
Accumulated Commonwealth of Massachusetts retirement obligations - Pension	(19,435,051)	(17,767,478)
Accumulated Commonwealth of Massachusetts retirement obligations - OPEB	(38,809,888)	(39,218,355)
Total net unrestricted reserves	(10,378,531)	(17,787,985)
Total net position	\$ 62,171,098	\$ 58,840,408

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

A portion of the Worcester State University's net position (1.7 %) as of June 30, 2021, represent funds that are subject to external restrictions on how they must be used. Unrestricted net reserves from operations of \$47,866,408 at June 30, 2021 may be used to meet the University's ongoing obligations to its stakeholders. The University's net position increased by \$3,330,690 during the year ended June 30, 2021. 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 Massachusetts pension and OPEB plans.

The University's primary reserve ratio, calculated as expendable net position divided by total expenses, is 45.22% and 35.21%, respectively, for the years ended June 30, 2021 and June 30, 2020. 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 GASB 68 and GASB 75 requires 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 \$1,259,106 in FY 2021 and \$3,090,904 in FY 2020 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) and the Commonwealth of Massachusetts Other Post-Employment Benefit (OPEB) Plan. 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 and OPEB liability related to its participation in MSERS and OPEB. The University's participation in MSERS and OPEB is directly related to the share of annual payroll subject to retirement assessment that is funded from campus-based resources in contrast to payroll expended from annual operating appropriations allocated to the University from Commonwealth resources. In FY 2021 annual payroll subject to retirement assessment that was funded from campus-based resources was \$10,458,847; total payroll costs subject to retirement assessment for FY 2021 was \$38,664,740.

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 5.66% and (3.80)%, respectively, for the years ended June 30, 2021 and June 30, 2020. 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.

The ratios in FY 2021 and FY 2020 are impacted by the GASB required postretirement benefit accruals necessary to reflect the campus share of the Commonwealth's liability related to the third party management of the retirement assets. When the postretirement benefit accruals are removed the return on net position ratios improve respectively, at 7.80% and 1.25%, for the years ended June 30, 2021 and June 30, 2020.

The net operating revenue ratio is 2.99% and (2.09)%, respectively, for the years ended June 30, 2021, and June 30, 2020. 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. These ratios are also deflated as a result of the postretirement benefit accruals at year end. When removed, the ratios improve to 4.12% and .69%, respectively, as of June 30, 2021 and June 30, 2020.

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

In FY 2021 the University experienced a net operating surplus of \$3,330,690, inclusive of the net posting of year end accruals related to the Commonwealth of Massachusetts Pension and Other Postemployment Benefits (OPEB) (net position) of \$1,259,106.

The net operating surplus is partly the results of capital appropriations received from the Commonwealth of Massachusetts as part of a five-year spending plan benefitting public higher education institutions. Despite the ongoing demands of the pandemic the University continued to provide matching funds to the program in order that grants funds provided by the program would remain available to address critical infrastructure repairs. Critical repair projects completed during the year included the Student Center elevator replacement, Ghosh Science Center fume hood refurbishment, Ghosh Science Center roof replacement and electrical system and ceiling replacement on the first floor of the Learning Resource Center with a cumulative cost of \$2,150,714. In addition, WSU received \$1,087,918 in small repair funds from the Commonwealth. The majority of these projects provided for upgrades and repairs to buildings so they can continue to be occupied. Most projects did not extend the useful lives of buildings noting several were constructed over 50 years ago.

The FY 2021 budget was subjected to many adjustments while the pandemic continued to impact operations. There was significant contraction in spending as students and employees continued to operate in a remote environment. Savings were achieved throughout the budget as an emergency operating model was deployed that suspended and/or deferred the majority of on campus expenditures.

In addition, COVID institutional relief grants provided the funds necessary to offset the cost associated with the University's COVID response plan while the University experienced a significant revenue decline due to the virus's impact. The net result of these factors also contributed to closing the year with a net operating surplus.

Net capital assets decreased by \$4,566,859 in FY 2021, while depreciation expense on capital assets was \$5,600,362. Land improvements of \$554,620 were capitalized, and leases of \$508,383 were capitalized.

The University's viability ratio, calculated as expendable net position divided by long term debt, is 1 : 2.23 and 1 : 1.73 respectively, as of June 30, 2021 and June 30, 2020. 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.

WORCESTER STATE UNIVERSITY
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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, 2021 with comparative data for the year ended June 30, 2021.

	<u>2021</u>	<u>2020</u>
Operating Revenues		
Tuition and fees, net of scholarships discounts and allowances	\$ 45,695,427	\$ 49,988,138
Operating grants and contributions	12,477,068	14,286,525
Sales and services of auxiliary enterprises and other sources	<u>68,139</u>	<u>629,708</u>
Total operating revenues	58,240,634	64,904,371
Operating Expenses		
Instruction	43,283,761	45,100,954
Public support	350,653	-
Academic support	5,821,750	6,152,467
Student service	11,208,328	11,188,502
Institutional support	12,990,731	12,592,784
Operations and maintenance of plant	15,570,731	15,220,970
Scholarships	4,801,269	4,429,390
Depreciation	5,600,362	5,472,690
Debt service	602,865	645,168
Auxiliary enterprises	<u>7,939,352</u>	<u>12,773,826</u>
Total operating expense	<u>108,169,802</u>	<u>113,576,751</u>
Net operating loss	<u>(49,929,168)</u>	<u>(48,672,380)</u>
Non-operating revenues		
State appropriation, including fringe benefits provided to employees by the Commonwealth, net of tuition remitted to the Commonwealth	42,192,196	41,086,913
Federal Assistance	7,525,638	1,934,404
Investment income	(217,423)	1,519,274
Other and transfers	<u>(33,387)</u>	<u>-</u>
Total non-operating revenues	<u>49,467,024</u>	<u>44,540,591</u>
Loss before other revenues, expenses, gains or losses	(462,144)	(4,131,789)
Capital appropriations	<u>3,792,834</u>	<u>1,807,178</u>
Change in net position	3,330,690	(2,324,611)
Net position - July 1	<u>58,840,408</u>	<u>61,165,019</u>
Net position - June 30	<u><u>\$ 62,171,098</u></u>	<u><u>\$ 58,840,408</u></u>

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

During FY 2021 the University continued to be eligible to drawdown Federal COVID relief funds. Funding during the year was provided by the following institutional awards:

- Cares Higher Education Emergency Relief Fund (HEERF)I in the amount of \$2,111,416
- Cares Higher Education Emergency Relief Fund (HEERF)II in the amount of \$5,283,382

The Federal relief grants provided enough resources to fund the FY 2021 Safe Return to Campus Budget in the amount of \$5,655,358 which was created to implement the WSU Safe Return plan. During FY 2021 the University expended \$4,171,395 of Institutional CARES Higher Education Emergency Relief Funds on its pandemic response. Emergency relief in the form of a FEMA reimbursement is in process for \$638,200 for costs associated with the University's on campus COVID testing protocol. An additional FEMA reimbursement of \$349,645 is in process to recover costs associated with hosting a community vaccination clinic in collaboration with St. Vincent's Hospital.

Direct grants to students of \$2,366,398 were made during FY 2021 as provided for in the CARES Higher Education Emergency Relief Funds to Students.

In FY 2021 the University received its third 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 2021 over \$3,792,834 of critical repair, small repairs and deferred maintenance projects were accomplished of which approximately \$554,620 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, 2021 and June 30, 2020, respectively.

	2021	2020
State Appropriations	\$ 31,123,377	\$ 30,320,953
Appropriations to cover fringe benefits provided to employees of the Commonwealth	11,571,048	11,070,784
Tuition remitted back to the State	(502,229)	(304,826)
Net appropriations	42,192,196	41,086,911
Additional State capital appropriations	3,792,834	1,807,178
Total Appropriations	<u>\$ 45,985,030</u>	<u>\$ 42,894,089</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, 2021 and 2020, respectively.

	2021	2020	Change
Net Tuition and Fee Revenue	\$ 45,695,427	\$ 49,988,138	\$ (4,292,711)
Other Revenue, net of Student Financial Aid	12,545,207	14,916,233	(2,371,026)
Operational Expenses	<u>(108,169,802)</u>	<u>(113,576,751)</u>	<u>5,406,949</u>
Operating loss	(49,929,168)	(48,672,380)	(1,256,788)
Direct State appropriations, fringe benefits for employees on the Commonwealth's payroll, net of remitted tuition to the Commonwealth	42,192,196	41,086,913	1,105,283
Federal assistance	7,525,638	1,934,404	5,591,234
Investment and non-operating income	(250,810)	1,519,274	(1,770,084)
Capital appropriations	<u>3,792,834</u>	<u>1,807,178</u>	<u>1,985,656</u>
Change in net position	<u>\$ 3,330,690</u>	<u>\$ (2,324,611)</u>	<u>\$ 5,655,301</u>

Capital Assets and Debts of the University

Capital Assets: Worcester State University's investment in capital assets as of June 30, 2021 amounts to \$93,130,666 net of accumulated depreciation, compared to \$97,697,525 net of accumulated depreciation as of June 30, 2020. The University's investment in capital assets includes, land (including improvements), building (including improvements,) furnishings and equipment, and books. In FY 2021 gross capital assets increased by \$1,063,003. The increase was related to land improvements 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.

MHEFA Financing

On December 4, 2002, the College entered into 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 \$665,000 to \$875,000 through November of 2032.

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

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, provided the resources for construction of a new Wellness Center at WSU. The Wellness Center will be an asset of the Commonwealth and 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. On July 1, 2020, MSCBA closed on a restructuring of outstanding debt from a multiple series of bonds including those issued to finance the Wellness Center. The restructuring provided for debt service relief in FY 2021 with interest only payments during the year and a 50% reduction in principal payment in FY 2022. The project debt remains on schedule to be extinguished in May 2042 with annual principal payments ranging from \$212,316 in FY 2022 with the largest annual payment of \$777,000 in 2037. Campus trust funds provide the revenue source for the annual debt service.

Economic Factors that will affect the Future

The University continues to respond to the ever changing circumstances brought on by the pandemic and its effect on enrollment and operations. In response to the uncertainty surrounding the path forward during the pandemic a provisional budget was approved for FY 2022. This budget provides the framework for University operations for the fiscal year beginning July 1, 2021. As with the FY 2021 operating budget, the FY 2022 provisional budget reflects anticipated declines in enrollment across all course offerings as a result of the pandemic. In addition, ancillary revenue streams historically relied upon to support operations have been detrimentally impacted by the pandemic and there is significant uncertainty with regard to the ability to recover these revenue streams, or the period over which such recovery could be predicted. Operating revenue budgeted in FY 2022 is approximately \$6M lower than FY 2021 original budget.

The final FY 2021 budget reflected significant reductions in areas of discretionary spending related to in person events such as food, speakers and consultants. In addition travel, conferencing and professional development were budgeted close to zero. All part-time employment lines were significantly scaled back due to most campus functions being remote and a desire to deploy faculty in the classroom to the fullest extent possible. As we reconciled actual spending in FY 2021 and planned for FY 2022 we identified activities that would be funded closer to pre-pandemic levels. Budgeted expenditures increased by approximately \$5M in FY2022 across various spending categories as it was deemed necessary to continue a requisite level of funding across various expenditure categories including Facility Operating Expenses, Professional Services, Operational Services, Equipment Lease/Rent, and Technology Expenses. Special Employees experienced the most significant restoration of funding at \$2.7M as many part-time positions are necessary to support university operations. A \$2 million reduction in Capital Adaptation and Renewal funds has been sustained in FY 2022 while still providing the requisite campus based funds to provide a match towards the critical repair grants provided by the Commonwealth.

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MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

The FY 2022 budget reflects a sustained decline in revenue, in addition to the need to restore various spending categories which results in a projected budget deficit of \$4,677,152. The projected budget deficit is directly attributable to the projected decline in revenue in response to changes in student attitudes and preferences and suspended activities in response to the worldwide pandemic. The FY 2022 budget is offset with funds from the American Rescue Plan Higher Education Emergency Relief Fund (HEERF) III enacted on March 11, 2021. The university is identified to receive \$13,270,582 of COVID relief funds through this bill, of which \$6,660,064 must be processed as direct payments to students and the remaining \$6,610,518 available to the institution in accordance with federal guidelines. The Department of Education provided additional guidance on use of funds that includes recovery of revenue losses as a result of the pandemic. The guidance directly correlates to our FY 2022 projected budget shortfall which we will continue to monitor in real time. Our intent is to monitor year over year revenue losses at the close of each semester and prepare federal drawdowns based on actual revenue reporting.

The University continues to be eligible to drawdown Federal COVID relief funds. To date we have had access to \$14,309,116 to offset institutional cost and revenue loss incurred in response to the pandemic. The breakdown of institutional awards is as follows:

- COVID-19 Response Grant in the amount of \$303,800
- Cares Higher Education Emergency Relief Fund (HEERF)I in the amount of \$2,111,416
- Cares Higher Education Emergency Relief Fund (HEERF)II in the amount of \$5,283,382
- Cares Higher Education Emergency Relief Fund (HEERF) III (ARP) in the amount of \$6,610,518

The funds available to the University provided enough resources to fund the FY 2021 Safe Return to Campus Budget in the amount of \$5,655,358 which was created to implement the WSU Safe Return plan. The budget addressed the needs identified by various committees that contributed to the plan. The committee continued their work weekly throughout the year to provide division updates and planning for the upcoming year. The entire amount is funded by COVID-19 response grant, HEERF I and \$3,240,142 from HEERF II. FY 2021 closed with approximately 10% of the budget unexpended. The remaining balance of \$544,035 is being carried over to the Safe Return II budget.

The FY 2022 Safe Return II budget was prepared after the state of emergency was lifted by Governor Baker. The budget as presented reflects the University's collective planning for the current academic year which eliminates all social distancing restrictions as permitted in Massachusetts. Enhancements put in place in FY 2021 related to software and subscription services will continue to be funded by the Safe Return II budget. Resources are being provided to supplement classroom materials and supplies and plans to supplement classroom furnishings have been executed. Building standards published by the Center for Disease Control have been further reviewed and the campus Covid response plan, with regard to cleaning, sanitizing and air quality, is being refined to incorporate the University's plans for the fall semester. The budget for the COVID test center, laboratory services and the health screening app continue to be funded at levels similar to spring 2020. The Student Health Services Office will continue to receive additional support through its staffing arrangement with UMass Memorial and additional clinicians have been hired in the Counseling Center to enhance our support services for students this upcoming year.

The remaining trust fund budgets have been updated to reflect the projected decline in revenue with appropriate reductions in spending as necessary. The Residence Hall Trust Fund FY 2022 budget has been prepared with an assumption of 60% occupancy for the year and appropriate reductions in spending including the deferral of maintenance costs to FY 2023 when we anticipate occupancy will be more in line with pre-pandemic levels. The Capital Improvement Trust Fund budget for FY 2022 reflects a plan to assist Worcester State Foundation (WSF) in recovering occupancy costs for past use of the May Street building.

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MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

The FY 2022 budget was approved by the Board of Trustees in March, 2021. Tuition and fees were not increased from FY 2021 levels with the published cost for an instate student to attend full time and live in the residence halls coming in below \$23,000 a year.

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 \$250 million over a five year period (FY19-23) to address Critical Repairs. Critical Repairs projects are smaller scale, building-specific, and involve renewal, repair and replacement of equipment and systems. Critical Repairs 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 assessment. Worcester State University will be receiving \$12.4 million of critical repairs funds through 2023. When combined with projected local funding of 5% capital adaptation and renewal funds, the University is on track to invest \$32.4M in campus infrastructure repairs and improvements through 2023.

During FY 2021 Worcester State University expended approximately \$2.2 million on critical repair projects. There is approximately \$5.5M of grants funds available for projects scheduled through FY 2023.

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 10/14/21

FINANCIAL STATEMENTS

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

STATEMENTS OF NET POSITION

JUNE 30, 2021 AND 2020

	Worcester State University		Component Unit Worcester State Foundation	
	2021	2020	2021	2020
ASSETS				
Current assets:				
Cash and cash equivalents	\$ 32,092,870	\$ 23,877,110	\$ 2,002,315	\$ 1,910,469
Cash held by State Treasurer	6,493,862	6,625,482	-	-
Cash held by Foundation	82,004	82,004	-	-
Accounts receivable, net	3,123,416	1,397,295	18,279	19,713
Current portion of loans receivable	109,011	132,137	-	-
Current portion of contributions receivable	-	-	453,587	388,206
Inventories	67,798	314,116	77,425	91,801
Prepaid expenses and other current assets	204,420	413,821	18,939	20,646
Total current assets	<u>42,173,381</u>	<u>32,841,965</u>	<u>2,570,545</u>	<u>2,430,835</u>
Non-current assets:				
Investments	22,043,626	21,744,152	41,638,113	30,550,109
Deposits held with trustee	249,214	249,214	-	-
Loans receivable, less current portion	232,930	274,486	-	-
Contributions receivable, less current portion	-	-	640,862	875,994
Other non-current assets	6,912,029	7,127,839	95,320	153,323
Capital assets, net of accumulated depreciation	93,130,666	97,697,525	3,917,575	4,073,567
Total non-current assets	<u>122,568,465</u>	<u>127,093,216</u>	<u>46,291,870</u>	<u>35,652,993</u>
Total assets	<u>164,741,846</u>	<u>159,935,181</u>	<u>48,862,415</u>	<u>38,083,828</u>
DEFERRED OUTFLOWS OF RESOURCES				
Resources related to pension and OPEB obligations	15,185,860	15,052,524	-	-
Loss on refunding of long-term debt	402,007	76,015	-	-
Total deferred outflows of resources	<u>15,587,867</u>	<u>15,128,539</u>	<u>-</u>	<u>-</u>
LIABILITIES				
Current liabilities:				
Current portion of bonds payable	547,983	730,667	2,219,922	19,102
Current portion of capital lease obligation	389,944	412,712	-	-
Accounts payable	3,493,810	2,815,935	103,621	66,346
Accrued payroll and fringe benefits	4,679,624	5,290,247	-	-
Accrued interest and other liabilities	104,884	109,780	35,364	44,373
Funds held for others	-	-	97,446	98,946
Student deposits and unearned revenue	2,062,704	1,682,940	74,736	42,748
Current portion of split-interest agreements	-	-	16,253	25,304
Current portion of accrued workers' compensation	153,665	216,588	-	-
Current portion of accrued compensated absences	3,494,337	3,344,838	-	-
Total current liabilities	<u>14,926,951</u>	<u>14,603,707</u>	<u>2,547,342</u>	<u>296,819</u>
Non-current liabilities:				
Bonds payable, less current portion	21,376,518	21,225,413	450,744	2,670,736
Capital lease obligation, less current portion	258,604	321,693	-	-
Accrued workers' compensation, less current portion	1,368,789	761,882	-	-
Accrued compensated absences, less current portion	2,339,126	2,275,497	-	-
Accrued pension and OPEB obligations	52,672,987	55,778,445	-	-
Refundable grant - federal financial assistance program	423,447	538,452	-	-
Total liabilities	<u>93,366,422</u>	<u>95,505,089</u>	<u>2,998,086</u>	<u>2,967,555</u>
DEFERRED INFLOWS OF RESOURCES				
Resources related to pension and OPEB obligations	20,757,812	16,259,912	-	-
Deferred service concession arrangements	4,034,381	4,458,311	-	-
Total deferred inflows of resources	<u>24,792,193</u>	<u>20,718,223</u>	<u>-</u>	<u>-</u>
NET POSITION				
Invested in capital assets, net	71,503,288	75,835,001	-	-
Restricted - Non-expendable	-	-	20,177,209	19,080,476
Restricted - Expendable	1,046,341	793,392	19,438,746	10,779,163
Unrestricted	(10,378,531)	(17,787,985)	6,248,374	5,256,634
Total net position	<u>\$ 62,171,098</u>	<u>\$ 58,840,408</u>	<u>\$ 45,864,329</u>	<u>\$ 35,116,273</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, 2021 AND 2020

	Worcester State University		Component Unit Worcester State Foundation	
	2021	2020	2021	2020
REVENUES				
Operating revenues:				
Student tuition and fees	\$ 46,997,815	\$ 48,742,481	\$ 275,945	\$ 308,697
Auxiliary enterprises, student housing	7,155,836	10,336,443	-	-
Less: Scholarship discounts and allowance	8,458,224	9,090,786	-	-
Net student tuition and fees	45,695,427	49,988,138	275,945	308,697
Contributions	-	-	2,035,684	3,043,584
Federal grants and contracts	7,502,779	8,295,669	-	-
State and local grants and contracts	1,520,493	1,695,926	-	-
Nongovernmental grants and contracts	2,543,206	3,165,387	-	-
Auxiliary enterprises, other	68,139	629,708	115,388	177,811
Other operating revenues	910,590	1,129,543	350,070	287,044
Total operating revenues	58,240,634	64,904,371	2,777,087	3,817,136
EXPENSES				
Operating expenses:				
Instruction	43,283,761	45,100,954	-	-
Public support	350,653	-	-	-
Academic support	5,821,750	6,152,467	-	-
Student services	11,208,328	11,188,502	-	-
Institutional support	12,990,731	12,592,784	1,135,153	1,291,396
Operation and maintenance of plant	15,570,731	15,220,970	94,453	104,337
Scholarship	4,801,269	4,429,390	625,826	606,382
Depreciation	5,600,362	5,472,690	163,049	167,570
Debt service	602,865	645,168	102,504	103,058
Auxiliary enterprises	7,939,352	12,773,826	-	-
Total operating expenses	108,169,802	113,576,751	2,120,985	2,272,743
Operating loss	(49,929,168)	(48,672,380)	656,102	1,544,393
NON-OPERATING REVENUES (EXPENSES)				
State appropriations	42,192,196	41,086,913	-	-
Federal assistance	7,525,638	1,934,404	-	-
Interest and investment income (loss)	(217,423)	1,519,274	10,259,781	649,834
Other payments to Worcester State University	-	-	(1,222,720)	(1,319,700)
Other non-operating losses	(33,387)	-	-	(103,702)
Net non-operating revenues	49,467,024	44,540,591	9,037,061	(773,568)
Income (loss) before other revenues, expenses, gains, or losses	(462,144)	(4,131,789)	9,693,163	770,825
Capital appropriations	3,792,834	1,807,178	-	-
Additions to permanent endowments	-	-	1,054,893	874,573
Change in net position	3,330,690	(2,324,611)	10,748,056	1,645,398
NET POSITION				
Beginning of year	58,840,408	61,165,019	35,116,273	33,470,875
End of year	\$ 62,171,098	\$ 58,840,408	\$ 45,864,329	\$ 35,116,273

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, 2021 AND 2020

	Primary Government	
	2021	2020
Cash flows from operating activities:		
Student tuition, fees and charges	\$ 41,279,761	\$ 46,073,110
Federal grants and contracts	7,502,779	8,295,669
State and local grants and contracts	1,520,493	1,695,926
Nongovernmental grants and contracts	2,543,206	3,165,387
Auxiliary enterprise charges	68,139	629,708
Employee compensation and fringe benefit payments	(65,919,937)	(68,034,934)
Payments to suppliers	(28,496,393)	(36,182,300)
Interest paid	(582,394)	(981,250)
Loans repaid by students	64,682	119,068
Other receipts (payments)	(1,272,389)	1,104,945
Net cash used in operating activities	(43,292,053)	(44,114,671)
Cash flows from noncapital financing activities:		
State appropriations	42,192,196	41,086,913
Federal assistance	7,525,638	1,934,404
Net deposits	27,089	32,490
Net cash provided by noncapital financing activities	49,744,923	43,053,807
Cash flows from capital and related financing activities:		
Capital appropriations	3,792,834	1,807,178
Purchases of capital assets	(525,120)	(1,861,940)
Proceeds from bonds payable	12,926,359	-
Principal payments of bonds payable	(12,957,938)	(741,361)
Deferred loss on refunding of bonds payable	(351,359)	-
Principal payments of capital lease obligation	(594,240)	(449,857)
Perkins loan program, net funds paid	(115,005)	(242,158)
Other activities	(33,387)	-
Net cash provided by (used in) capital and related financing activities	2,142,144	(1,488,138)
Cash flows from investing activities:		
Proceeds from sales and maturities of investments	4,427,558	9,206,376
Purchases of investments	(5,315,243)	(9,015,051)
Interest and investment income	376,811	449,832
Net cash provided by investing activities	(510,874)	641,157
Net change in cash and cash equivalents	8,084,140	(1,907,845)
Cash and cash equivalents, beginning of year	30,584,596	32,492,441
Cash and cash equivalents, end of year	\$ 38,668,736	\$ 30,584,596

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, 2021 AND 2020

(Continued)

	Primary Government	
	2021	2020
Reconciliation of operating loss to net cash used in operating activities:		
Operating loss	\$ (49,929,168)	\$ (48,672,380)
Adjustments to reconcile operating loss to net cash used in operating activities:		
Depreciation expense	5,600,362	5,472,690
Amortization of other assets	215,810	215,810
Accretion of deferred service concession arrangements	(423,930)	(420,812)
Decrease in deferred loss on refunding of bonds payable	25,367	5,847
(Increase) decrease in operating assets and deferred outflows:		
Accounts receivable, net	(1,726,121)	493,824
Loans receivable	64,682	119,068
Inventories	246,318	(263,231)
Prepaid expenses and other assets	203,378	(213,332)
Resources related to pension and OPEB obligations	(133,336)	3,043,561
Increase (decrease) in operating liabilities and deferred inflows:		
Accounts payable	677,875	(3,495,475)
Accrued payroll and fringe benefits	(610,623)	(455,363)
Accrued interest and other liabilities	(4,896)	(341,929)
Accrued workers' compensation	543,984	33,541
Student deposits and unearned revenue	352,675	416,752
Accrued compensated absences	213,128	(100,585)
Accrued pension and OPEB obligations	(3,105,458)	(9,784,998)
Resources related to pension and OPEB obligations	4,497,900	9,832,341
Net cash used in operating activities	<u>\$ (43,292,053)</u>	<u>\$ (44,114,671)</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, 2021 and 2020, the Foundation distributed \$1,848,546 and \$1,926,081, 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 unit, 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 _____, 2021, 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
(An Agency of the Commonwealth of Massachusetts)

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.

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

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 \$42,694,425 and \$41,391,739 for the years ended June 30, 2021 and 2020, respectively. State supported tuition, in the amounts of \$502,229 and \$304,826 for the years ended June 30, 2021 and 2020, 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 (to) from the Commonwealth of \$(3,661) and \$78,070 as of June 30, 2021 and 2020, 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, 2021. 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 June 15, 2021. 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.

GASB Statement No. 93, *Replacement of Interbank Offered Rates* is required for periods beginning after June 15, 2020. The objective of this Statement is to address the accounting and financial reporting implications that result from the replacement of an Interbank Offering Rate (IBOR). This Statement achieves that objective by (1) providing exceptions to the hedge accounting termination provisions when an IBOR is replaced as the reference rate of the hedging derivative instrument's variable payment; (2) clarifying the hedge accounting termination provisions when a hedged item is amended to replace the reference rate; (3) clarifying that the uncertainty related to the continued availability of IBORs does not, by itself, affect the assessment of whether the occurrence of a hedged expected transaction is probable; (4) removing LIBOR as an appropriate benchmark interest rate for the qualitative evaluation of the effectiveness of an interest rate swap; (5) identifying a Secured Overnight Financing Rate and the Effective Federal Funds Rate as appropriate benchmarks for the qualitative evaluation of the effectiveness of an interest rate swap; and (6) clarifying the definition of reference rate, as it is used in Statement 53, as amended.

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NOTES TO FINANCIAL STATEMENTS
(Continued)

2 - RISKS AND UNCERTAINTIES

On January 30, 2020, the World Health Organization declared the coronavirus outbreak a “Public Health Emergency of International Concern” and on March 10, 2020, declared it to be a pandemic. Actions taken around the world to help mitigate the spread of the coronavirus include restrictions on travel, and quarantines in certain areas, and forced closures for certain types of public places and businesses, including the University. The coronavirus and actions taken to mitigate it have had and are expected to continue to have an adverse impact on the economies and financial markets of many countries, including the geographical area in which the University operates. While it is unknown how long these conditions will last and what the complete financial effect will be to the University, the University expects significant impacts to its business operations from government restrictions and mandated operating protocols surrounding re-opening from prior quarantine and isolation orders.

Additionally, it is possible that estimates made in the financial statements may be materially and adversely impacted in the near term as a result of these conditions, including the allowances for uncollectible accounts and contributions receivable.

3 - CASH AND CASH EQUIVALENTS

The University’s cash and temporary investments are as follows as of June 30, 2021 and 2020:

	2021	2020
Carrying amount	\$ 32,092,870	\$ 23,877,110
Bank balance	\$ 35,517,057	\$ 26,480,424
Less amounts		
Covered by depository insurance	1,528,074	1,528,304
Collateralized repurchase agreements	27,011,785	16,412,435
Remaining bank balance	\$ 6,977,198	\$ 8,539,685

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, 2021 and 2020, the University held \$301,651 and \$893,045 respectively, in money market funds maintained by its investment custodian.

As of June 30, 2021 and 2020, the University was party to a repurchase agreement with a bank. The value of this agreement was \$27,011,785 and \$16,412,435 as of June 30, 2021 and 2020, 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 \$1,595,294 and \$254,552 as of June 30, 2021 and 2020, respectively. In addition, the State Treasurer held cash for certain University trust funds in the amounts of \$4,898,568 and \$6,370,930 as of June 30, 2021 and 2020, 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, 2021 and 2020 are as follows:

	Investment Maturities (in years)			
	Fair Value	Less Than 1	1 to 5	Greater than 5
<u>June 30, 2021</u>				
Investment type				
U.S. Treasuries	\$ 19,498,689	\$ -	\$ 12,948,488	\$ 6,550,201
U.S. Agencies	2,544,937	1,088,158	1,456,779	-
Total	<u>\$ 22,043,626</u>	<u>\$ 1,088,158</u>	<u>\$ 14,405,267</u>	<u>\$ 6,550,201</u>
	Investment Maturities (in years)			
	Fair Value	Less Than 1	1 to 5	Greater than 5
<u>June 30, 2020</u>				
Investment type				
U.S. Treasuries	\$ 19,298,200	\$ -	\$ 12,666,268	\$ 6,631,932
U.S. Agencies	2,445,952	-	2,445,952	-
Total	<u>\$ 21,744,152</u>	<u>\$ -</u>	<u>\$ 15,112,220</u>	<u>\$ 6,631,932</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, 2021 was 3.8 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)

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

	2021	2020
Interest	\$ 370,788	\$ 430,419
Realized gain on investments	43,867	15,653
Unrealized gain (loss) on investments	(632,078)	1,073,202
	<u>\$ (217,423)</u>	<u>\$ 1,519,274</u>

Component Unit

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

	2021		2020	
	Carrying Value	Fair Value	Carrying Value	Fair Value
Money market funds	\$ 991,114	\$ 991,114	\$ 1,509,027	\$ 1,509,027
Mutual funds - equity based	23,112,674	31,504,184	17,406,505	20,383,522
Mutual funds - bonds based	8,368,712	8,650,882	7,937,246	8,300,120
Limited partnership interest	250,000	491,933	250,000	357,440
	<u>\$ 32,722,500</u>	<u>\$ 41,638,113</u>	<u>\$ 27,102,778</u>	<u>\$ 30,550,109</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, 2021 and 2020.

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, 2021 as follows:

	Level 1	Level 2	Level 3	Total
Investments				
U.S. Treasuries	\$ 19,498,689	\$ -	\$ -	\$ 19,498,689
U.S. Agencies	2,544,937	-	-	2,544,937
Total investments, at fair value	<u>\$ 22,043,626</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 22,043,626</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, 2020 as follows:

	Level 1	Level 2	Level 3	Total
Investments				
U.S. Treasuries	\$ 19,298,200	\$ -	\$ -	\$ 19,298,200
U.S. Agencies	2,445,952	-	-	2,445,952
Total investments, at fair value	<u>\$ 21,744,152</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 21,744,152</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, 2021 and 2020:

	2021	2020
Students	\$ 764,715	\$ 803,147
Other	2,644,493	893,776
	3,409,208	1,696,923
Less: Allowance for uncollectible accounts	285,792	299,628
	<u>\$ 3,123,416</u>	<u>\$ 1,397,295</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, 2021 are expected to be received as follows:

2022	\$ 461,587
2023	203,053
2024	145,212
2025	122,144
2026	110,392
Thereafter	71,947
	1,114,335
Less: Discount on contributions receivable	11,886
Less: Allowance for uncollectible contributions receivable	8,000
	<u>\$ 1,094,449</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, 2021 and 2020.

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 \$341,941 and \$406,623 as of June 30, 2021 and 2020, respectively, represents student loans issued through the Perkins Loans program and consists of the following as of June 30, 2021 and 2020:

	2021	2020
Enrolled students	\$ 24,924	\$ 41,941
Repayment on schedule	29,332	67,982
In default	287,685	296,700
	<u>\$ 341,941</u>	<u>\$ 406,623</u>

11 - CAPITAL ASSETS

Capital assets activity for the year ended June 30, 2021 was as follows:

	Beginning Balance	Increases	Decreases	Ending Balance
Capital assets, not being depreciated				
Land	\$ 188,650	\$ -	\$ -	\$ 188,650
Construction in process	29,500	554,620	29,500	554,620
Capital assets, being depreciated				
Land improvements	9,965,277	-	-	9,965,277
Buildings, including improvements	155,173,706	-	-	155,173,706
Furnishings and equipment	15,217,461	508,383	-	15,725,844
Total capital assets	<u>180,574,594</u>	<u>1,063,003</u>	<u>29,500</u>	<u>181,608,097</u>
Less accumulated depreciation for				
Land improvements	4,756,857	591,912	-	5,348,769
Buildings, including improvements	65,324,757	4,225,203	-	69,549,960
Furnishings and equipment	12,795,455	783,247	-	13,578,702
Total accumulated depreciation	<u>82,877,069</u>	<u>5,600,362</u>	<u>-</u>	<u>88,477,431</u>
Capital assets, net	<u>\$ 97,697,525</u>	<u>\$ (4,537,359)</u>	<u>\$ 29,500</u>	<u>\$ 93,130,666</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

11 - CAPITAL ASSETS (Continued)

Capital assets activity for the year ended June 30, 2020 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	29,500	2,940,085	29,500
Capital assets, being depreciated				
Land improvements	5,273,909	4,691,368	-	9,965,277
Buildings, including improvements	155,173,706	-	-	155,173,706
Furnishings and equipment	14,524,250	693,211	-	15,217,461
Total capital assets	178,100,600	5,414,079	2,940,085	180,574,594
Less accumulated depreciation for				
Land improvements	4,319,689	437,168	-	4,756,857
Buildings, including improvements	61,023,843	4,300,914	-	65,324,757
Furnishings and equipment	12,060,847	734,608	-	12,795,455
Total accumulated depreciation	77,404,379	5,472,690	-	82,877,069
Capital assets, net	<u>\$100,696,221</u>	<u>\$ (58,611)</u>	<u>\$ 2,940,085</u>	<u>\$ 97,697,525</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, 2021 and 2020, in the amounts of \$3,827,499 and \$9,051,234, 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, 2021 and 2020 in the amounts of \$4,034,381 and \$4,458,311, 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 \$423,930 and \$420,812 for the years ended June 2021 and 2020, respectively.

14 - LONG-TERM LIABILITIES

Long-term liabilities of the university as of June 30, 2021 were as follows:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Bonds payable	\$ 21,956,080	\$ 12,926,359	\$ 12,957,938	\$ 21,924,501	\$ 547,983
Capital lease obligations	734,405	508,383	594,240	648,548	389,944
Accrued workers' compensation	978,470	543,984	-	1,522,454	153,665
Accrued compensated absences	5,620,335	213,128	-	5,833,463	3,494,337
Accrued pension and OPEB obligations	55,778,445	-	3,105,458	52,672,987	-
Refundable grant	538,452	-	115,005	423,447	-
	<u>\$ 85,606,187</u>	<u>\$ 14,191,854</u>	<u>\$ 16,772,641</u>	<u>\$ 83,025,400</u>	<u>\$ 4,585,929</u>

Long-term liabilities of the university as of June 30, 2020 were as follows:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Bonds payable	\$ 22,697,441	\$ -	\$ 741,361	\$ 21,956,080	\$ 730,667
Capital lease obligations	572,209	612,053	449,857	734,405	412,712
Accrued workers' compensation	944,929	33,541	-	978,470	216,588
Accrued compensated absences	5,720,920	-	100,585	5,620,335	3,344,838
Accrued pension and OPEB obligations	65,563,443	-	9,784,998	55,778,445	-
Refundable grant	780,610	-	242,158	538,452	-
	<u>\$ 96,279,552</u>	<u>\$ 645,594</u>	<u>\$ 11,318,959</u>	<u>\$ 85,606,187</u>	<u>\$ 4,704,805</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, 2021, was \$5,847. The remaining loss to be amortized as June 30, 2021 is \$70,168.
- (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 were used for the construction of a new Wellness Center. A call provision became available on this bond issue and the issue was refunded on July 1, 2020 with the MSCBA 2020 Series revenue bond.
- (D) On July 1, 2020, the University signed a financing agreement to receive \$12,638,368 from the MSCBA 2020 Series revenue bond in a refunding of the 2012 Series revenue bond. Interest on the bonds is due in semi-annual installments at varying rates ranging from 1.044% to 3.072%. Annual principal installments of \$212,316 to \$777,000 are due through May 2042. The refunding of the MSCBA 2012 Series 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, 2021, was \$19,520. The remaining loss to be amortized as June 30, 2021 is \$331,839.

The composition of the University's Bonds payable for the year ended June 30, 2021 is as follows:

	2021	2020
(A) Bond payable, MDFA 2007 Series	\$ 20,667	\$ 41,334
(B) Bond payable, MDFA 2012 Series	8,557,474	8,878,097
(C) Bond payable, MSCBA 2012 Series	-	13,036,649
(D) Bond payable, MSCBA 2020 Series	13,346,360	-
	21,924,501	21,956,080
Less: Current maturities	547,983	730,667
	<u>\$ 21,376,518</u>	<u>\$ 21,225,413</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

15 - BONDS PAYABLE (Continued)

Debt service requirements as of June 30, 2021 are as follows:

Year Ended June 30	Principal	Interest
2022	\$ 547,983	\$ 631,793
2023	770,000	610,500
2024	1,120,000	577,350
2025	1,165,000	536,500
2026	1,200,000	501,762
2027 - 2031	6,525,000	1,973,742
2032 - 2036	5,150,000	1,033,355
2037 - 2041	3,786,052	451,793
2042 - 2046	765,000	22,950
	<u>21,029,035</u>	<u>6,339,745</u>
Unamortized premium	895,467	-
	<u>\$ 21,924,502</u>	<u>\$ 6,339,745</u>

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 \$3,210 and \$6,904 for 2021 and 2020, respectively.

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

	2021	2020
Furnishings and equipment	\$ 1,636,111	\$ 1,464,836
Less: Accumulated depreciation	<u>538,431</u>	<u>359,061</u>
	<u>\$ 1,097,680</u>	<u>\$ 1,105,775</u>

Future minimum lease payments under leases, together with the present value of future minimum lease payments as of June 30, 2021 are as follows:

Year Ending	Capital Lease	Operating Lease
2022	\$ 439,772	\$ 15,386
2023	168,625	-
2024	27,051	-
2025	22,515	-
2026	9,061	-
	<u>667,024</u>	<u>\$ 15,386</u>
Total minimum lease payments	667,024	
Less: Amount representing interest	<u>18,476</u>	
Present value of minimum lease payments	<u>\$ 648,548</u>	

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NOTES TO FINANCIAL STATEMENTS
(Continued)

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, 2021 and 2020, unrestricted net position from operations of \$28,070,033 and \$25,628,678, respectively, has been internally designated by the University for future capital investments. The remaining undesignated unrestricted net position from operations was \$19,796,375 and \$13,569,170 as of June 30, 2021 and 2020, 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:

	<u>2021</u>	<u>2020</u>
Restricted - expendable		
Capital projects	\$ 144,330	\$ 139,434
Scholarships and other grants	<u>902,011</u>	<u>653,958</u>
	<u>\$ 1,046,341</u>	<u>\$ 793,392</u>

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, 2021 and 2020 of \$2,296,128 and \$2,574,373 respectively, has been included in accrued payroll and fringe benefits in the statement of net position.

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, 2021 and 2020. Based upon the Commonwealth's analyses, accrued workers' compensation in the amount of \$1,522,454 and \$978,470 as of June 30, 2021 and 2020, respectively have been recorded in the unrestricted current fund. Workers' compensation expense charged to operations was \$1,121,301 and \$386,920 in 2021 and 2020, respectively. The actual workers' compensation paid by the University was \$577,317 and \$353,379 in 2021 and 2020, respectively.

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NOTES TO FINANCIAL STATEMENTS
(Continued)

20 - ACCRUED COMPENSATED ABSENCES

Included in accrued compensated absences are \$3,163,110 for accrued vacation time and \$2,670,353 for accrued sick time as of June 30, 2021 and \$2,795,616 for accrued vacation time and \$2,824,719 for accrued sick time as of June 30, 2020. Of these balances, \$560,452 and \$454,949 for June 30, 2021 and 2020, respectively, represent obligations due to employees funded through sources other than State appropriations, and \$5,273,011 and \$5,165,386 as of June 30, 2021 and 2020, 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 2021, the University reimbursed the State a total of \$4,694,473 (\$2,029,890 for pensions and \$2,664,583 for health care premiums). For 2020, the University reimbursed the State a total of \$5,050,500 (\$2,179,291 for pensions and \$2,871,209 for health care premiums).

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 is 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.

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.

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

NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN (Continued)

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

In addition, members of Group 1 who join the system after April 2, 2021 will have their withholding rate reduced to 6% after achieving 30 years of creditable service.

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 14.66% and 14.08% of annual covered payroll for the fiscal years ended June 30, 2021 and June 30, 2020, respectively. The University contributed \$1,290,288 and \$1,450,748 for the fiscal years ended June 30, 2021 and June 30, 2020, 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, 2021 and 2020, the University reported a net pension liability of \$23,033,837 and \$19,332,813, 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, 2020, 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 2020 and 2019. The Commonwealth's proportionate share was based on actual employer contributions to the MSERS for fiscal years 2020 and 2019 relative to total contributions of all participating employers for each respective fiscal year. As of June 30, 2020 and 2019, the University's proportion was 0.15% and 0.14% respectively. For the years end June 30, 2021 and 2020, the University recognized pension expense of \$2,975,864 and \$2,972,160, respectively.

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)

As of June 30, 2021 and 2020, the University reported in the statement of net position deferred outflows and deferred inflows of resources related to pensions from the following sources:

	2021	2020
Deferred outflows of resources:		
Change in plan actuarial assumptions	\$ 1,305,985	\$ 1,433,032
Differences between expected and actual experience	732,903	642,047
Differences between projected and actual earnings on plan investments	1,266,180	-
Changes in proportion from Commonwealth due to internal allocation	1,177,694	1,645,536
Contributions subsequent to the measurement date	1,290,289	1,450,748
	<u>\$ 5,773,051</u>	<u>\$ 5,171,363</u>
Deferred inflows of resources:		
Differences between expected and actual experience	\$ 149,046	\$ 251,433
Differences between projected and actual earnings on plan investments	-	288,375
Changes in proportion from Commonwealth due to internal allocation	2,025,219	3,066,220
	<u>\$ 2,174,265</u>	<u>\$ 3,606,028</u>

Contributions of \$1,290,289 and \$1,450,748, respectively, are reported as deferred outflows of resources related to pensions resulting from the University contributions in fiscal years 2021 and 2020 subsequent to the measurement date, which will be recognized as a reduction of the net pension liability for the years ended June 30, 2022 and 2021. 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:

2022	\$ 528,168
2023	744,484
2024	392,816
2025	608,037
2026	34,992
	<u>\$ 2,308,497</u>

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:

	2020	2019
Cost of living increases (on the first \$13,000 per year for 2020 and 2019)	3.00%	3.00%
Salary increases	4.00 to 9.00%	4.00 to 9.00%
Investment rate of return	7.15%	7.25%
Interest rate credit to the annuity savings fund	3.50%	3.50%

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN (Continued)

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, updated to reflect actual experience from 2012 through 2016 for post-retirement mortality.

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, 2020 and 2019 are summarized in the following table:

Asset Class	Target allocation	Long-term expected real Rate of return	
		2020	2019
Global equity	39%	4.80%	4.90%
Core fixed income	15%	0.70%	1.30%
Private equity	13%	8.20%	8.20%
Real estate	10%	3.50%	3.60%
Value added fixed income	8%	4.20%	4.70%
Portfolio completion strategies	11%	3.20%	3.90%
Timber/natural resources	4%	4.10%	4.10%
Total	100%		

Discount Rate

The discount rate used to measure the total pension liability was 7.15% and 7.25% for 2020 and 2019, 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.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN (Continued)

Sensitivity Analysis

The following illustrates the sensitivity of the net pension liability to changes in the discount rate as of June 30, 2020 and 2019. 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:

	2020	2019
1% decrease to 6.15% for 2020 and 6.25% for 2019	\$ 30,348,505	\$ 25,732,601
Current discount rate 7.15% for 2020 and 7.25% for 2019	23,033,837	19,332,813
1% increase to 8.15% for 2020 and 8.25% for 2019	17,021,751	13,864,501

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 single-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, 2020 and 2019 and as of the valuation date (January 1, 2020), Commonwealth participants contributed 10% to 20% of premium costs, depending on the date of hire and whether the participant is active, retiree, or survivor status.

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

As of June 30, 2021 and 2020, the University reported a net OPEB liability of \$29,639,150 and \$36,445,632, 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, 2020, 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 2020 and 2019. The Commonwealth's proportionate share was based on actual employer contributions to the OPEB Plan for fiscal year 2020 relative to total contributions of all participating employers for each respective fiscal year. As of June 30, 2020 and 2019, the University's proportion was 0.15% and 0.21% respectively. For the years end June 30, 2020 and 2019, the University recognized OPEB expense of \$303,690 and \$2,577,708, respectively.

As of June 30, 2021 and 2020, 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:

	2021	2020
Deferred outflows of resources:		
Changes in proportion from Commonwealth due to internal allocation	\$ 5,390,748	\$ 7,639,954
Changes in plan actuarial assumption	2,440,834	28,043
Differences between expected and actual experience	817,983	1,461,640
Differences between projected and actual earnings on plan investments	85,698	-
Contributions subsequent to the measurement date	677,546	751,524
	<u>\$ 9,412,809</u>	<u>\$ 9,881,161</u>
Deferred inflows of resources:		
Changes in proportion from Commonwealth due to internal allocation	\$ 14,987,430	\$ 7,109,964
Change in plan actuarial assumptions	2,864,522	5,480,487
Differences between expected and actual experience	731,595	16,762
Differences between projected and actual earnings on plan investments	-	46,671
	<u>\$ 18,583,547</u>	<u>\$ 12,653,884</u>

Contributions of \$677,546 and \$751,524, respectively are reported as deferred outflows of resources related to OPEB resulting from the University contributions in fiscal years 2021 and 2020 subsequent to the measurement date, which will be recognized as a reduction of the net OPEB liability for the years ended June 30, 2022 and 2021. 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:

2022	\$ (1,927,459)
2023	(1,903,401)
2024	(2,152,986)
2025	(2,799,411)
2026	(1,065,027)
	<u>\$ (9,848,284)</u>

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

23 - POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS (Continued)

Actuarial Assumptions

The total OPEB liability for the June 30, 2020 measurement date was determined by an actuarial valuation as of January 1, 2020 rolled forward to June 30, 2020. The total OPEB liability for the June 30, 2019 measurement date was determined by an actuarial valuation as of January 1, 2019 rolled forward to June 30, 2019. This valuation used the following assumptions:

1. For 2020, the annual healthcare cost trend rates were developed based on the Getzen trend rate model, version202_b. The healthcare cost trend rate changed from 7.5% in 2019 to 4.9% for Medicare benefits and 6.7% for non-Medicare benefits, then decreasing 0.1% each year to a blended rate of 5.18% in 2030 and additional decrease in 2060, 2070, and 2075. The Getzen trend rate model also assumes inflation of 2.5%, real GDP growth of 1.5% and excess medical growth of 1.1%.
2. For 2019, the following annual healthcare cost trend rates: (1) 7.5%, decreasing by 0.5% each year to 5.5% in 2023 and 2024 and then decreasing 0.5% each year to an ultimate rate of 4.5% in 2026 for medical and (2) 4.5% for administration costs. Healthcare costs are offset by reimbursements for Employer Group Waiver Plans (EGWP), which are assumed to increase 5.0% per year until 2025, then decrease to 4.5% in 2026.
3. For 2020 and 2019, 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.
4. Participation rates, for 2020:
 - a. 100% of employees currently electing health care coverage are assumed to elect coverage at retirement.
 - b. 35% of employees currently opting out of active employee health coverage are assumed to elect to enroll in retiree coverage.
 - c. 85% of current and future vested terminated participants will elect health care benefits at age 55, or if later, the participant's current age.
 - d. Retirees who currently elect to waive their coverage are assumed to remain uncovered in the future.
 - e. 100% of spouses are assumed to elect to continue coverage after the retiree's death.
 - f. Current non-Medicare eligible retirees and spouses (if covered) under age 65 who are in a POS/PPO plan are assumed to move to an Indemnity plan if they are Medicare eligible at 65. All others are assumed to remain in their currently elected product type.
 - g. Future retirees are assumed to enroll in the existing plans in the same proportion as the current retiree mix, as shown in the table below. These proportions are established separately for non-Medicare and Medicare coverage for each product type.

	Retirement Age	
	Under 65	Age 65+
Indemnity	28%	96%
POS/PPO	60%	0%
HMO	12%	4%

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

23 - POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS (Continued)

Actuarial Assumptions (continued)

5. Participation rates, for 2019:

- 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. 85% 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	25%	85%
POS/PPO	60%	0%
HMO	15%	15%

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, 2020 and 2019 are summarized in the following table:

Asset Class	Target Allocation	Long-term expected real Rate of return	
		2020	2019
Global equity	39%	4.80%	4.90%
Portfolio completion strategies	11%	3.20%	3.90%
Core fixed income	15%	0.70%	1.30%
Private equity	13%	8.20%	8.20%
Value added fixed income	8%	4.20%	4.70%
Real Estate	10%	3.50%	3.60%
Timber/natural resources	4%	4.10%	4.10%
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, 2020 and 2019 was 2.28% and 3.63%, respectively. This rate was based on a blend of the Bond Buyer Index rates of 2.21% and 3.51% as of the measurement date of June 30, 2020 and 2019, 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 2028 and 2025 as of the measurement date of June 30, 2020 and 2019, respectively. Therefore, the long-term expected rate of return on plan investments of 7.15% and 7.25% per annum was not applied to all periods of projected benefit payments to determine the total OPEB liability as of June 30, 2020 and 2019, 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:

	2020	2019
1% decrease to 1.28% for 2020 and 2.63% for 2019	\$ 35,617,977	\$ 43,504,306
Current discount rate 2.28% for 2020 and 3.63% for 2019	29,639,150	36,445,632
1% increase to 3.28% for 2020 and 4.63% for 2019	24,915,150	31,761,203

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:

	2020	2019
1% decrease for Medical and EGWP and Administrative costs	\$ 24,073,853	\$ 30,035,805
Current discount as described on page 40 for 2020, 7.5% for Medical and 5% for EGWP and administrative costs for 2019	29,639,150	36,445,632
1% increase for Medical and EGWP and Administrative costs	37,033,135	44,902,713

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 2021 were \$5,003,321 and \$6,567,727, respectively. The estimated amounts of funding attributable for the State retirement system contribution and the employer's share of health care premiums for 2020 were \$4,777,043 and \$6,293,741, 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:

	2021	2020
Direct unrestricted appropriations	\$ 31,123,377	\$ 30,320,955
Fringe benefits for benefitted employees on state payroll	11,571,048	11,070,784
Tuition remitted	(502,229)	(304,826)
Total appropriations	<u>\$ 42,192,196</u>	<u>\$ 41,086,913</u>

A reconciliation between the University and MMARS fund 901 activity as of June 30, 2021 is as follows:

Revenue per MMARS	\$ 73,675,025
Revenue per University	<u>73,471,457</u>
Net reporting classification and differences	<u>\$ 203,568</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 service fees for allowing the University to use the facilities. Service agreement fees were \$250,000 for the years ended June 30, 2021 and 2020. 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 \$322,608 and \$350,084 for the years ended June 30, 2021 and 2020 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 \$115,468 and \$110,026 during the years ended June 30, 2021 and 2020, 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, 2021 and 2020 are as follows:

	2021		2020	
	Residence Life and Housing	Health Services	Residence Life and Housing	Health Services
Total revenue	\$ 6,811,852	\$ 412,123	\$ 10,526,553	\$ 439,597
Total expenses	7,438,979	500,373	12,261,180	512,646
Decrease in net position before transfers	<u>\$ (627,127)</u>	<u>\$ (88,250)</u>	<u>\$ (1,734,627)</u>	<u>\$ (73,049)</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 2020 financial statements, with no effect on change in net position, to conform to the 2021 presentation.

DISCUSSION DRAFT 10/14/21

SUPPLEMENTARY INFORMATION

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

YEAR ENDED JUNE 30, 2021
(With Comparative Totals for 2014 through 2020)

	2021	2020	2019	2018
University's proportion of the net pension liability	0.15%	0.14%	0.17%	0.15%
University's proportion of the net pension liability	\$ 23,033,837	\$ 19,332,813	\$ 20,564,468	\$ 18,014,320
University's covered-employee payroll	\$ 10,458,847	\$ 12,561,991	\$ 12,922,066	\$ 11,336,488
University's proportionate share of the net pension liability as a percentage of its covered employee payroll	220.23%	153.90%	159.14%	158.91%
Plan fiduciary net position as a percentage of the total pension liability	62.48%	66.28%	67.91%	67.21%
	2017	2016	2015	2014
University's proportion of the net pension liability	0.15%	0.18%	0.14%	0.14%
University's proportion of the net pension liability	\$ 18,674,184	\$ 18,901,770	\$ 9,357,928	\$ 11,308,376
University's covered-employee payroll	\$ 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	164.79%	171.63%	91.34%	101.30%
Plan fiduciary net position as a percentage of the total pension liability	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, 2021
(With Comparative Totals for 2014 through 2020)

	2021	2020	2019	2018
Statutorily required contribution*	\$ 1,450,748	\$ 1,315,547	\$ 1,421,424	\$ 1,098,173
Contributions in relation to the statutorily required contribution*	1,450,748	1,315,547	1,421,424	1,098,173
Annual contribution deficiency (excess)	\$ -	\$ -	\$ -	\$ -
University's covered-employee payroll	\$ 10,458,847	\$ 12,561,991	\$ 12,922,066	\$ 11,336,488
Contributions as a percentage of covered-employee payroll	13.87%	10.47%	11.00%	9.69%

*Annual contribution are reported one year in arrears as required by GASB 68

	2017	2016	2015	2014
Statutorily required contribution*	\$ 972,477	\$ 1,039,592	\$ 741,444	\$ 700,426
Contributions in relation to the statutorily required contribution*	972,477	1,039,592	741,444	700,426
Annual contribution deficiency (excess)	\$ -	\$ -	\$ -	\$ -
University's covered-employee payroll	\$ 11,331,835	\$ 11,013,323	\$ 10,245,240	\$ 11,163,731
Contributions as a percentage of covered-employee payroll	8.58%	9.44%	7.24%	6.27%

*Annual contribution are reported one year in arrears as required by GASB 68

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, 2015 THROUGH 2021

1 - CHANGES IN ACTUARIAL ASSUMPTIONS

The actuarial assumptions used as of the June 30, 2020 measurement date included a change in the investment rate of return from 7.25% in 2019 to 7.15% for 2020.

The actuarial assumptions used as of the June 30, 2019 measurement date included a change in the investment rate of return from 7.35% in 2018 to 7.25% for 2019.

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, 2021
(With Comparative Totals for 2017 through 2020)

	2021	2020	2019	2018	2017
University's proportion of the net OPEB liability	0.15%	0.21%	0.25%	0.21%	0.18%
University's proportion of the net OPEB liability	\$ 29,639,150	\$ 36,445,632	\$ 44,998,975	\$ 35,037,942	\$ 33,225,679
University's covered-employee payroll	\$ 10,458,847	\$ 12,561,991	\$ 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	283.39%	290.13%	348.23%	309.07%	293.21%
Plan fiduciary net position as a percentage of the total OPEB liability	6.40%	6.96%	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, 2021
(With Comparative Totals for 2017 through 2020)

	2021	2020	2019	2018	2017
Statutorily required contribution*	\$ 751,524	\$ 959,290	\$ 1,076,188	\$ 882,031	\$ 745,202
Contributions in relation to the statutorily required contribution*	<u>751,524</u>	<u>959,290</u>	<u>1,076,188</u>	<u>882,031</u>	<u>745,202</u>
Annual contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
University's covered-employee payroll	\$ 10,458,847	\$ 12,561,991	\$ 12,922,066	\$ 11,336,488	\$ 11,331,835
Contributions as a percentage of covered-employee payroll	7.19%	7.64%	8.33%	7.78%	6.58%

*Annual contribution are reported one year in arrears as required by GASB 75

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, 2018 THROUGH 2021

1 - CHANGES IN ACTUARIAL ASSUMPTIONS

The actuarial assumptions used as of the June 30, 2020 measurement date included a change in the annual healthcare cost trend rates used to measure the OPEB liability, developing such rates based on the Getzen trend rate model, version202_b. The healthcare cost trend rate changed from 7.5% in 2019 to 4.9% for Medicare benefits and 6.7% for non-Medicare benefits, then decreasing 0.1% each year to a blended rate of 5.18% in 2030 and additional decrease in 2060, 2070, and 2075. The Getzen trend rate model also assumes inflation of 2.5%, real GDP growth of 1.5% and excess medical growth of 1.1%.

The actuarial assumptions used as of the June 30, 2020 measurement date included a change in participant rates whereby 35% of employees currently opting out of active employee health coverage are assumed to enroll in retiree coverage. Also, 100% of spouses are assumed to elect to continue coverage after the retiree's death.

The actuarial assumptions used as of the June 30, 2020 measurement date included a change in participant rates whereby in 2019 actives under age 65 taking coverage were assumed to have indemnity (25%), POS/PPO (60%) or HMO (15%) have been adjusted in 2020 to indemnity (28%), POS/PPO (60%) or HMO (12%).

The actuarial assumptions used as of the June 30, 2020 measurement date included a change in participant rates whereby in 2019 actives over age 65 taking coverage were assumed to have indemnity (85%), POS/PPO (0%) or HMO (15%) have been adjusted in 2020 to indemnity (96%), POS/PPO (0%) or HMO (4%).

The actuarial assumptions used as of the June 30, 2020 measurement date included a change in the long-term expected rate of return on plan investments from 7.35% to 7.15%.

The actuarial assumptions used as of the June 30, 2019 measurement date included a change in the annual healthcare cost trend rates used to measure the OPEB liability decreasing from 8.0% in 2018 to 7.5% in 2019, then decreasing 0.5% each year to an ultimate rate of 4.5% in 2026 for medical and (2) 4.5% for administration costs. Healthcare costs are offset by reimbursements for Employer Group Waiver Plans (EGWP), which are assumed to increase 5.0% per year until 2025, then decrease to 4.5% in 2026.

The actuarial assumptions used as of the June 30, 2019 measurement date included a change in participant rates whereby 80% of current and future contingent eligible participants will elect health care benefits at age 65, or current age if later was increased to 85% in 2019.

The actuarial assumptions used as of the June 30, 2019 measurement date included a change in participant rates whereby in 2018 actives under age 65 taking coverage were assumed to have indemnity (40%), POS/PPO (50%) or HMO (10%) have been adjusted in 2019 to indemnity (25%), POS/PPO (60%) or HMO (15%).

The actuarial assumptions used as of the June 30, 2019 measurement date included a change in the long-term expected rate of return on plan investments from 7.35% to 7.25%.

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, 2018 THROUGH 2021
(Continued)

1 - CHANGES IN ACTUARIAL ASSUMPTIONS (Continued)

The actuarial assumptions used as of the June 30, 2019 measurement date included a change in the discount rates used to measure the OPEB liability from 3.92% to 3.63%. This rate was based on a blend of the Bond Buyer Index rates of 3.51% and 3.87% as of the measurement date of June 30, 2019 and 2018, respectively and the expected rates of return.

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 3.65% to 3.92%. 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, 2019 and 2018, 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.

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

UNIVERSITY NET POSITION ANALYSIS

YEAR ENDED JUNE 30, 2021
(With Comparative Totals for 2017 through 2021)

	2021	2020	2019	2018	2017
Invested in Capital Assets, Net	\$ 71,503,288	\$ 75,835,001	\$ 78,092,336	\$ 79,046,212	\$ 83,469,474
Restricted - Expendable for					
Other	902,011	653,958	467,961	90,205	178,233
Capital Projects	144,330	139,434	135,362	130,815	127,017
Total expendable	1,046,341	793,392	603,323	221,020	305,250
Unrestricted					
Unrestricted from operations	47,866,408	39,197,848	36,364,288	32,009,954	29,588,807
Accumulated Commonwealth pension obligations	(19,435,051)	(17,767,478)	(16,246,067)	(14,531,894)	(13,517,481)
Accumulated Commonwealth OPEB obligations	(38,809,888)	(39,218,355)	(37,648,861)	(34,136,535)	-
Total unrestricted	(10,378,531)	(17,787,985)	(17,530,640)	(16,658,475)	16,071,326
Total Net Position	\$ 62,171,098	\$ 58,840,408	\$ 61,165,019	\$ 62,608,757	\$ 99,846,050

See accompanying independent auditor's report.

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

FUNCTIONAL EXPENSES

YEAR ENDED JUNE 30, 2021
(With Comparative Totals for 2020)

	Instruction	Public Support	Academic Support	Student Services	Institutional Support	Operation and Maintenance of Plant	Totals	
							2021	2020
Regular employee compensation	\$ 21,691,922	\$ 75,138	\$ 3,462,861	\$ 4,769,623	\$ 6,857,171	\$ 3,254,633	\$ 40,111,348	\$ 40,510,166
Special employee contracted services	8,464,439	25,639	195,170	609,179	317,491	69,544	9,681,462	11,356,516
Pension and insurance	8,493,735	1,152	1,154,741	2,194,393	2,641,227	3,047,474	17,532,722	18,736,749
Total payroll and employee benefits	38,650,096	101,929	4,812,772	7,573,195	9,815,889	6,371,651	67,325,532	70,603,431
Regular employee related expenses	155,342	-	25,442	39,122	85,531	50,633	356,070	602,902
Administrative	2,000,542	54,533	683,607	546,285	1,514,384	631,864	5,431,215	5,259,032
Facility operations support and related expenses	366,895	93,804	92,291	272,720	282,259	157,201	1,265,170	1,785,333
Energy and space rental	84,189	-	11,324	620,092	25,268	1,853,284	2,594,157	3,239,902
Professional services	581,721	-	79,014	444,392	625,300	821,753	2,552,180	1,594,670
Operational services	404,972	351	63,254	1,616,364	489,768	314,373	2,889,082	1,311,671
Equipment purchases	930,055	73,807	18,421	20,735	59,939	28,375	1,131,332	1,455,202
Equipment lease and maintenance	109,949	26,229	35,625	75,423	92,393	312,823	652,442	998,144
Construction and building improvements	-	-	-	-	-	5,028,774	5,028,774	3,405,390
Total operating expenses	4,633,665	248,724	1,008,978	3,635,133	3,174,842	9,199,080	21,900,422	19,652,246
Total educational and general expenses	\$ 43,283,761	\$ 350,653	\$ 5,821,750	\$ 11,208,328	\$ 12,990,731	\$ 15,570,731	\$ 89,225,954	\$ 90,255,677

See accompanying independent auditor's report.

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

RESIDENCE LIFE AND HOUSING

STATEMENTS OF NET POSITION

JUNE 30, 2021 AND 2020

	<u>2021</u>	<u>2020</u>
ASSETS		
Cash	\$ 1,879,490	\$ 2,535,923
Accounts receivable, net	<u>97,089</u>	<u>109,817</u>
Total assets	<u>1,976,579</u>	<u>2,645,740</u>
LIABILITIES		
Unearned rental income	162,007	211,057
Accrued and other liabilities	<u>229,862</u>	<u>222,847</u>
Total liabilities	<u>391,869</u>	<u>433,904</u>
NET POSITION		
Unrestricted	<u><u>\$ 1,584,710</u></u>	<u><u>\$ 2,211,836</u></u>

See accompanying independent auditor's report.

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

RESIDENCE LIFE AND HOUSING

STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION

YEARS ENDED JUNE 30, 2021 AND 2020

	2021	2020
REVENUES		
Fees	\$ 6,746,243	\$ 9,897,508
Other income	65,609	629,045
Total revenues	<u>6,811,852</u>	<u>10,526,553</u>
EXPENSES		
Regular employee compensation	1,181,057	1,241,331
Special employees/contracted services	167,320	191,842
Pension and insurance	454,816	470,627
Regular employee related expenses	112	14,224
Administrative	131,657	140,580
Debt payment	3,693,913	8,043,399
Facility operations support and related expenses	121,413	211,473
Energy and space rental	643,187	588,679
Professional services	4,245	12,415
Operational services	-	4,250
Equipment purchases	-	7,402
Equipment lease and maintenance	114,614	125,171
Building improvements	540,089	684,471
Benefits programs	<u>386,556</u>	<u>525,316</u>
Total expenses	<u>7,438,979</u>	<u>12,261,180</u>
Change in net position	(627,127)	(1,734,627)
NET POSITION		
Beginning of year	<u>2,211,836</u>	<u>3,946,463</u>
End of year	<u><u>\$ 1,584,709</u></u>	<u><u>\$ 2,211,836</u></u>

See accompanying independent auditor's report.

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

HEALTH SERVICES

STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION

YEARS ENDED JUNE 30, 2021 AND 2020

	2021	2020
REVENUES		
Fees	\$ 412,107	\$ 438,934
Other income	16	663
Total revenues	<u>412,123</u>	<u>439,597</u>
EXPENSES		
Regular employee compensation	77,639	79,895
Special employees/contracted services	6,909	6,533
Pension and insurance	31,343	28,746
Administrative	4,789	7,495
Facility operations support and related expenses	4,727	12,528
Professional services	372,978	376,924
Operational services	1,663	-
Equipment maintenance	325	325
Benefits programs	-	200
Total expenses	<u>500,373</u>	<u>512,646</u>
Change in net position	<u><u>\$ (88,250)</u></u>	<u><u>\$ (73,049)</u></u>

See accompanying independent auditor's report.

DISCUSSION DRAFT 10/14/21

STATISTICAL INFORMATION
(UNAUDITED)

Worcester State University
Schedule of Net Position by Component
June 30, 2016 through 2021

Exhibit E-1

	2016	2017	2018	2019	2020	2021
Invested in capital assets, net of related debt	\$ 87,321,688	\$ 83,469,474	\$ 79,046,212	\$ 78,092,336	\$ 75,835,001	\$ 71,503,288
Restricted-expendable	3,365,187	305,250	221,020	603,323	793,392	1,046,341
Restricted-nonexpendable	-	-	-	-	-	-
Unrestricted	13,592,318	16,071,326	(16,658,475)	(17,530,640)	(17,787,985)	(10,378,531)
Total primary government net position	\$ 104,279,193	\$ 99,846,050	\$ 62,608,757	\$ 61,165,019	\$ 58,840,408	\$ 62,171,098

**Worcester State University
Tuition & Mandatory Fees**

Exhibit E-2

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
<i>Resident Undergraduate</i>										
Tuition	\$ 970	970	\$ 970	\$ 970	\$ 970	\$ 970	\$ 970	\$ 970	\$ 970	\$ 970
Mandatory Fees	6,683	7,187	7,587	7,587	7,887	8,232	8,562	8,562	8,562	9,616
<i>Total Annual</i>	\$ 7,653	\$ 8,157	\$ 8,557	\$ 8,557	\$ 8,857	\$ 9,202	\$ 9,532	\$ 9,532	\$ 9,532	\$ 10,586
<i>Non Resident Undergraduate</i>										
Tuition	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050	\$ 7,050
Mandatory Fees	6,683	7,187	7,587	7,587	7,887	8,232	8,562	8,562	8,562	9,616
<i>Total Annual</i>	\$ 13,733	\$ 14,237	\$ 14,637	\$ 14,637	\$ 14,937	\$ 15,282	\$ 15,612	\$ 15,612	\$ 15,612	\$ 16,666
<i>Resident Graduate</i>										
Tuition	\$ 150	\$ 150	\$ 150	\$ 150	\$ 150	\$ 150	\$ 169	\$ 169	\$ 169	\$ 169
Mandatory Fees	115	115	117	117	138	148	153	153	153	153
<i>Total per Credit Hours</i>	\$ 265	\$ 265	\$ 267	\$ 267	\$ 288	\$ 298	\$ 322	\$ 322	\$ 322	\$ 322

Worcester State University
Schedule of Employment
2016-2020

Exhibit E-3

	<u>2016</u>	<u>2017</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>
Faculty - Primary Instruction ^{/1}	419	441	466	455	-
Part-time	215	230	248	236	
Full-time	204	211	218	219	
Staff and Administrators	354	356	356	356	-
Part-time	12	12	12	12	
Full-time	342	344	344	344	
Total Faculty & Staff Employees	773	797	822	811	-
Part-time	227	242	260	248	
Full-time	546	555	562	563	
Non-Benefitted Employees ^{/2}	385	436	446	627	-
Contract Workers	174	214	191	230	
Student Workers	211	222	255	397	
Total All Employees	1,158	1,233	1,268	1,438	-

/1 Includes Instruction, Research & Public Service

Notes: 1) This schedule reflects personnel as of November 1 and includes employees paid from both state appropriation and local trust funds.

2) Beginning 2009 all benefitted and non-benefitted personnel are reflected regardless of funding source.

Worcester State University
Admissions, Enrollment, and Degree Statistics
Last Five Years

Exhibit E-4

	Fall Term				
Admissions-Freshman /1	2016	2017	2018	2019	2020
Applications	4,963	4,822	5,123	4,773	4,770
Applications accepted	3,651	3,742	4,062	3,931	3,917
Accepted as a percentage of applications	73.56%	77.60%	79.29%	82.36%	82.12%
Students enrolled /2	1,366	1,494	1,461	1,420	1,201
Enrolled as a percentage of accepted	37.41%	39.93%	35.97%	36.12%	30.66%

/1 Includes all undergraduate admissions including transfer students.

/2 Includes only students who were accepted and enrolled. Enrolled alone would include students who were not accepted but enrolled as non-degree seeking students.

	Annual				
Enrollment	FY17	FY18	FY19	FY20	FY21
Full-time equivalent	5,409.8	5,449.0	5,465.3	5,273.7	4,946.0
Unduplicated credit headcount	10,679	10,276	9,691	8,694	7,737
Percent undergraduate /3	83.16%	85.41%	86.54%	85.94%	86.62%
Percent graduate	16.84%	14.59%	13.46%	14.06%	13.38%

/3 Percent undergraduate/graduate based on Fall semester registration, unduplicated headcount.

	Fall Term				
Student Population Demographics /4	2016	2017	2018	2019	2020
Percentage of men	37.09%	38.72%	38.06%	36.04%	35.92%
Percentage of women	62.91%	61.28%	61.94%	63.96%	64.08%
Percentage of African-American	7.08%	7.77%	8.09%	7.64%	7.83%
Percentage of White	68.95%	66.86%	65.03%	64.94%	65.76%
Percentage of Latino	9.21%	10.68%	11.60%	11.73%	12.77%
Percentage of Other /5	6.75%	6.92%	7.32%	7.58%	7.98%
< 20	23.74%	25.58%	27.19%	27.40%	29.05%
20 to 30	56.35%	57.09%	57.23%	56.90%	58.91%
31 to 40	8.54%	7.44%	6.89%	6.90%	6.27%
41 & Over	11.36%	9.89%	8.69%	8.70%	6.06%

/4 Percents within category are based on population of students who reported this information (gender, race/ethnicity, and age).

/5 Other includes American Indian/Alaskan Native, Asian, Native Hawaiian or Other Pacific Islander, Cape Verdean and Two or more races.

Degrees Granted	FY17	FY18	FY19	FY20	FY21
Bachelor's	1,076	1,095	1,112	1,050	1,045
Master's	225	227	236	242	243

Worcester State University
Schedule of Capital Asset Information

Exhibit E-5

	Academic Year	
	<u>2020</u>	<u>2021</u>
Land (acreage)	57	57
Buildings (square feet)		
100 Instruction/classroom	57,369	57,369
200 Labs	55,893	55,893
300 Administrative	117,172	117,172
400 Study facilities	27,750	27,750
52x Athletic	66,049	66,049
5xx Other Special Use	6,470	6,470
600 General Use	77,736	77,736
700 Support facilities	173,502	173,502
000 Unclassified	-	-
Unassigned/unassignable	379,910	379,910
Total Sq Ft	961,851	961,851
Residence Halls	462,513	462,513
Rental space	-	-
Dormitories - # of residents	1,577	1,577

Note: Classification of facilities space is consistent with Facilities Inventory & Classification Code guide.

	Fiscal Year				
	2017	2018	2019	2020	2021
Source of Revenue					
Student charges (net of scholarships)	\$ 48,483,889	\$ 50,357,398	\$ 52,375,323	\$ 49,988,138	\$ 45,695,427
Grants & contracts	11,975,305	12,637,198	12,763,645	13,156,982	11,566,478
Auxiliary enterprises	440,172	796,446	854,299	629,708	68,139
Other operating revenue	1,032,424	1,265,178	1,468,693	1,129,543	910,590
Total operating revenue	61,931,790	65,056,220	67,461,960	64,904,371	58,240,634
State and Federal support	35,169,690	35,415,371	39,400,435	43,021,314	49,717,834
Other non-operating revenue	(188,427)	(39,057)	1,188,164	1,519,274	(250,810)
Total non-operating revenue	34,981,263	35,376,314	40,588,599	44,540,588	49,467,024
Total revenue	\$ 96,913,053	\$ 100,432,534	\$ 108,050,559	\$ 109,444,959	\$ 107,707,658
Functional Expense					
Instruction	\$ 35,523,651	\$ 38,782,984	\$ 42,272,512	\$ 45,100,954	\$ 43,283,761
Academic support	7,072,401	7,376,332	6,349,745	6,152,467	5,821,750
Student services	11,153,602	11,098,900	11,685,388	11,188,502	11,208,328
Institutional support	14,397,858	13,736,523	13,662,913	12,592,784	12,990,731
Plant operations & maintenance	11,230,348	13,958,602	17,493,866	15,220,970	15,570,731
Research	-	-	-	-	-
Public service	1,270,991	-	-	-	350,653
Scholarships	2,763,487	2,634,749	2,089,119	4,429,390	4,801,269
Sub-total	83,412,338	87,588,090	93,553,543	94,685,067	94,027,223
Auxiliary enterprises	12,170,935	11,839,524	12,954,983	12,773,826	7,939,352
Independent operations	-	-	-	-	-
All other	497,152	695,557	672,047	645,168	602,865
Total operating expense	\$ 96,080,425	\$ 100,123,171	\$ 107,180,573	\$ 108,104,061	\$ 102,569,440
Memo: Depreciation	\$ 5,328,423	\$ 5,655,439	\$ 5,448,274	\$ 5,472,690	\$ 5,600,362

Note: This schedule does not include component units, such as foundations. Total operating expense does not include depreciation.

DISCUSSION DRAFT 10/14/21

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, as of and for the year ended June 30, 2021, and the related notes to the financial statements, which collectively comprise Worcester State University's basic financial statements, and have issued our report thereon dated _____, 2021.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered Worcester State 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 Worcester State University's internal control. Accordingly, we do not express an opinion on the effectiveness of Worcester State 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 Worcester State 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
_____, 2021

WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES
HUMAN RESOURCES COMMITTEE MEETING

Tuesday, October 19, 2021

10:30 AM

REMOTE PARTICIPATION

Join Zoom Meeting

[https://worcester.zoom.us/j/75](https://worcester.zoom.us/j/7540181608)

[40181608](https://worcester.zoom.us/j/7540181608)

Meeting ID: 754 018 1608

Meeting Called By: Maryanne Hammond(Chair)

Minutes: Nikki Kapurch

Board Members: Maryanne Hammond(Chair); Karen LaFond; Dina Nichols; Marina Taylor

WSU Staff: Barry Maloney; Nikki Kapurch; Stacey Luster; Catherine Sweeney

AGENDA		
ITEM	RESPONSIBLE	ACTION
1. <i>Administrative Business</i> A. Call to Order	Maryanne Hammond	
2. <i>Presidential Salary Increases for FY21 and FY22</i> a. Memo from Commissioner* b. Human Resources Committee meeting minutes*	Maryanne Hammond	2. Informational and vote required
3. <i>Adjournment</i>	Maryanne Hammond	3. vote required

*Attachments



Massachusetts Department of Higher Education

MAIN OFFICE
One Ashburton Place, Room 1401
Boston, MA 02108
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WEB www.mass.edu

OFFICE of STUDENT FINANCIAL ASSISTANCE
75 Pleasant Street
Malden, MA 02148
TEL (617) 391-6070
WEB www.mass.edu/osfa

Carlos E. Santiago
Commissioner
Chris Gabrieli
Board Chairman

MEMORANDUM

TO: State University and Community College Board Chairs

FROM: Carlos E. Santiago, Commissioner

DATE: September 16, 2021

CC: State University and Community College Presidents

SUBJECT: **Presidential Salary Increases for FY21 and FY22**

The state's Human Resources Division (HRD) recently issued guidance on salary increases for management positions within the Executive branch of the Commonwealth, and that guidance typically serves as the basis for establishing salary increases for non-unit professionals at the Department as well as for the State Universities and Community Colleges. Consistent with this year's guidance from HRD, I am pleased to approve salary adjustments for eligible presidents at your institution of 2.5% and 2% for FY21 and FY22 respectively. These increases shall be subject to your review and approval.

Below are the terms of these well-deserved adjustments in compensation.

Overview of Increases for Eligible Presidents:

- **FY21 Increase:** Effective July 5, 2020, eligible presidents will receive a 2.5% across the board increase, including retroactive pay.
- **FY22 Increase:** Effective July 4, 2021, eligible presidents will receive a 2% across the board increase, including retroactive pay.
- **One-time Payment:** Eligible presidents will receive a one-time payment equivalent to 1.5% of their salary or \$1,000, whichever is greater.

Eligibility Criteria:

FY21 and FY22 Increases:

- Presidents who are in regular positions as of the date of this guidance are eligible for both the FY21 2.5% and FY22 2% increases and retroactive pay, applicable to creditable service during that time.
- Retroactive pay will only be issued for time worked in an eligible position between July 5, 2020 – July 3, 2021 (FY21 increase) and July 4, 2021 – present (FY22 increase).

One-time Payment:

- Presidents who are in positions as of June 15, 2021 are eligible for the one-time payment.

Excluded from Eligibility for all Increases and Payments:

- Presidents in a terminated or terminated with pay status as of the date of this guidance are ineligible for FY21 and FY22 increases, retroactive pay, and the one-time payment.
- Presidents in post-retiree positions are ineligible for FY21 and FY22 increases, retroactive pay, and the one-time payment.

If you have any questions or concerns, please feel free to contact Tom Simard, Deputy Commissioner for Administration and Finance at tsimard@dhe.mass.edu or 857-207-2175.

WORCESTER STATE UNIVERSITY
HUMAN RESOURCES COMMITTEE MEETING
Meeting Minutes

CHAIR:	Ms. Maryanne Hammond (Chair)	DATE:	June 15, 2021
LOCATION:	Wellness Center Room 204	MINUTES BY:	Catherine Sweeney
TIME:	3:00 PM		
COMMITTEE MEMBERS PRESENT:	Maryanne Hammond (Vice-Chair); Karen LaFond; Dina Nichols; Marina Taylor		
WSU STAFF:	Barry Maloney; Catherine Sweeney; Mike McKenna		

The provision of General Laws, Chapter 30A, having been complied with and a quorum present, a meeting of the Human Resources Committee was held on Tuesday, June 15, 2021. Chair Hammond called the meeting to order at 3:12 p.m.

Administrative Business:

- Trustee Hammond thanked everyone for joining to conduct the 2020-21 annual evaluation of President Maloney.
- The Human Resource Committee is charged with conducting the annual evaluation of President Maloney as called for in his appointment contract and as requested by Commissioner Santiago.
- The deadline for submission of the presidential evaluation is June 30, 2021, set by Commissioner Santiago.
- The following documents were provided for us in conducting the evaluation:
 - Correspondence from Commissioner Santiago
 - BHE Compensation and Evaluation Guidelines/Procedures
 - **President's 2020 - 2021 annual self evaluation**
 - COVID-19 Response Assessment Report, from the Strategic Planning Review Committee (SPRC)
 - The 2020-2025 Strategic Plan, "Beyond 150: Lead, Succeed, Engage"
 - 2020 -2021 WSU Campus Climate Committee Report
 - 2020-2021 WSU Bias Incident Response Team (BIRT) Report
 - 2020-2021 WSU Equal Opportunity & Affirmative Action Advisory Committee Report
 - Standard & Poor's Global Rating – March 12, 2021
- The evaluation will follow criteria, as required by the BHE, as well as criteria requested by the Board of Trustees:

Retention and Student Success	Administrative Management/Leadership
Academic Management/Leadership	Decision Making and Problem Solving
Assessment	Fundraising
Infrastructure	Equity Work/Campus Climate
Fiscal Management/Budgeting	External Relations w/Campus Climate
Communication	COVID-19 Challenges
- The evaluation will be conducted using an assessment form to rate and provide comments on areas listed.

A numeric rating (whole number only) is to be used as follows:

5=A 4=B 3=C 2=D 1=E

- We will begin the process by having a member rate the President with a grade or whole number, and provide comments from the Assessment Form provided. Additional comments may be then made by another member if she feels that the comment would add to the review. We will repeat this process for all 12 evaluation areas. At the conclusion of the meeting, the forms will be submitted in order to tally the results for the final reporting on the various areas used in the evaluation.

Retention and Student Success

Average Rating: 4.5

Comments:

- Cares Act funding was a success.
- Trustee Nichols provided statistics demonstrating President Maloney's success with graduation rates.
- The President ensured that the university remained successful internally with students, staff, and faculty throughout the pandemic

Academic Management and Leadership

Average Rating: 5

Comments:

- President Maloney and his academic team made an extreme effort to move students and faculty online.
- Worcester State University was able to uphold its end on civic engagement opportunities and internships.
- Trustee Hammond emphasized the strategic plan and all the successes with it.

Assessment

Average Rating: 5

Comments:

- Continual reassessment was effective.
- The NECHE process was initiated and progress maintained.
- The President consistently made sure all the students, faculty, and staff were on the same page with whatever was happening on campus
- Prioritizing of mental health needs was important and new methods for reaching students were successful.

Infrastructure

Average Rating: 4.75

Comments:

- Keeping the campus looking pristine offered a good message to outsiders.
- Funds were used very wisely.
- Campus greens, fields, and buildings were well maintained, and overall, the campus was very attractive.

Fiscal Management and Budgeting

Average Rating: 5

Comments:

- President Maloney and VP Kathy Eichelroth did a commendable job balancing and readjusting the budget many times in order to appropriately meet needs.

Communication

Average Rating: 4.75

Comments:

- A newly created COVID-19 Website and dashboard were effective.
- Creation of the Safe Return Team and its ongoing operation was important. Targeted emails sent to parents and the faculty listservs, always keeping them informed.

Administrative Management and Leadership

Average Rating: 5

Comments:

- President Maloney and his team always operated as one unit, which was very important for good outcomes
- Leadership created a safe environment for people to share new ideas, but still always held them accountable
- President Maloney made it a point to always keep it about the students.

Decision Making and Problem Solving

Average Rating: 5

Comments:

- Made strong essential decisions that always ended in success.
- The President felt comfortable making controversial decisions and the university ended up being better for it.

Fundraising

Average Rating: 5

Comments:

- The university was able to establish new scholarships.
- Despite having to launch virtual donor platforms, the university still met goals numbers for donations
- The number of regular people that just wanted to help speaks volumes about what they think of the University and President Maloney.

Equity Work /Campus Climate

Average Rating: 4.5

Comments:

- Increased the diversity in the faculty.
- Always welcomed and allowed both/all parties to be heard.
- Diversity inclusion certificates for the staff added to the success.

External Relationships/Leadership in the Community

Average Rating: 5

Comments:

- President Maloney was always an influential leader.
- President Maloney is highly regarded by his peers.
- Volunteering our facility for the vaccination clinic and creating external relationships with a lot of outsiders aided the university as well as the community.

COVID-19 Challenge

Average Rating: 5

Comments:

- Worcester State University continued to deliver quality and safe education for the students,

- President Maloney's commitment to on-campus living and learning was allowed to remain intact as long as possible.
- Maintaining a COVID testing center for all of WSU community was effective.

President Maloney's overall average rating for all areas used as part of his evaluation was 58.5 out of a total possible of 60.

Upon a motion made and seconded, it was unanimously

VOTED: **To recommend to the full board the report of the Human Resources Committee and approve the 2020-2021 annual evaluation of President Maloney as presented, and to forward to Commissioner Santiago, as requested, with appropriate documents, to meet the June 30, 2021, deadline.**

Administrative Updates

360 Comprehensive Evaluation of the President

- The group spoke briefly about the importance of keeping the 360 Comprehensive Evaluation through a third party for best results.

Upon a motion made and seconded, it was unanimously

VOTED: **to recommend to the full board the consideration of using a consultant to conduct the 360 Comprehensive Evaluation of President Maloney.**

Upon a motion made and seconded, it was unanimously

VOTED: **To adjourn the meeting at 4:26 p.m.**

Respectfully submitted,



Catherine Sweeney
Staff Assistant, Office of the President

President's Update

October 2021



President's Message

Classrooms are full of masked and vaccinated students and residence halls are approaching capacity. Coughlin Field is alive with practices and competitions. A critical mass of employees is in the Administration Building hallways. For those of us who've been on campus throughout the pandemic,

it was heartening to see the calendar turn from August to September!

We wrapped up key collective bargaining negotiations, so nearly all employees now meet the same vaccine requirement as our students. After intensive outreach to some stragglers, we are nearing 100% compliance for our students and making similar gains with employees.

In the first ten days of the academic year, we safely held three large gatherings in spacious locations. Our first-ever Unity Walk brought hundreds together to celebrate our diversity, establishing a new, hopeful tradition. And, we held a live Homecoming after a one-year hiatus. Although each event – and nearly every large meeting – has required special considerations in year two of the pandemic, I never doubted our community's commitment to bringing an in-person educational experience back to Worcester State. After all, it's who we are.

Fall 2019 it is not, but it is not Fall 2020, either. How we best forge forward from here is on my mind. Our faculty rapidly implemented remote teaching modalities and learned how to do so effectively. What new pedagogical approaches will improve or complement the in-classroom experience? What is the optimum level of in-person versus remote work for staff? We will do what best serves Worcester State and our students moving forward, ever mindful of progress on our retention and graduation rates, which now stands at 60%, up from 47% when I arrived ten years ago. Even as we lean into renewed retention efforts, we celebrate a "back-to-campus" that restores our hope for the future.



WORCESTER
STATE
UNIVERSITY

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PRESIDENT'S OFFICE

Worcester State University
486 Chandler Street
Worcester, MA 01602
508-929-8000
www.worcester.edu

Helping Students

The Nursing Department welcomed 71 formerly Becker College students and provided summer opportunities to those in need of transitional courses to align with Worcester State's curriculum. This cohort is taking nursing and required courses alongside their class-year peers. The Sever Street Building has been rented to provide the needed lab and instructional space for this additional number of students.

This summer, programming was launched to meet the needs of students whose high school study was impacted by the pandemic. Several hundred students participated in these programs ([Alternatives for Individual Development](#) and [Lancer Learning](#)) which supported both the transition to university expectations and enabled students to earn course credit free of charge. A pilot program for native speakers of Spanish enabled an initial group of students to receive college credit through [CLEP](#) examinations.

In response to academic and social-emotional learning gaps (which were further exacerbated during the pandemic), the [Black Excellence Academy](#) (BEA) launched in February of 2021. BEA is an educational and cultural after-school program serving 50 students in grades 1-6. Co-founded by Worcester State's General Counsel and coordinated by Worcester State's Secondary Education clinical faculty, BEA prepares students for the highest middle school track, including 8th-grade algebra, which is essential for college readiness. Currently, BEA is in the University's May Street Building.



Promises & Opportunities

The University's Strategic Plan includes the goal to assess its diversity, equity and inclusion (DEI) progress through an equity audit. In Spring 2021, the University's Executive Cabinet and Campus Climate Committee identified an external partner, [Inclusivity Education](#), to facilitate an equity audit based upon qualitative and quantitative data analysis. Inclusivity Education's principal, Dr. Akuoma Nwadike, shared her assessment tool and workplan with the University at Worcester State's Academic Year Kickoff on September 1, 2021. Surveys and interviews of the campus community are underway.

The University is engaged in a national recruitment campaign to hire committed faculty with bold ideas and diverse backgrounds, beginning September 1, 2022. Worcester State's recruitment strategy includes online and print advertising in academic journals, regional associations, and national media, including Higher Ed Jobs and the Chronicle of Higher Education. This year, the university expanded its strategy to include Dean-to-Dean communication with Historically Black Colleges and Universities.

Faculty searches are underway for the following positions: Business Management; Nursing (3); Music & Interdisciplinary Arts; Communication; Occupational Therapy (2); Chemistry; Human Geography; Physics; Philosophy (2); Biology; Economics; Urban Studies; Communication Sciences & Disorders; Psychology; History (2); Health Science; and Computer Science (2).



Philanthropy & Alumni Engagement

For the first time in the Worcester State Foundation's history, the total endowment value exceeded \$40 million. Investment gains in the managed portfolio for the 2021 fiscal year were up more than 33.6%, with a \$10 million total increase in market value of invested assets. Since its inception in 1998, generous gifts to the Worcester State Foundation have amounted to \$46.4 million and the Foundation has provided over \$36.4 million of support to the University while maintaining a healthy, growing endowment.

As of September 24, nearly \$200,000 was made available to 37 academic departments and athletic areas for their fiscal year 2022 department budgets. This valuable support was made possible through the use of 63 Foundation-held funds. These funds have created additional opportunities for departments to purchase new equipment, pay for lecture speakers and other co-curricular events, and provide additional student support in various programs.

After a one-year hiatus, Homecoming Weekend (September 17 and 18) welcomed guests to the Worcester State campus. Nearly 500 alumni and friends attended the Distinguished Alumni Awards Dinner, the Athletic Hall of Fame Luncheon, the celebratory Football Alumni Tent, and a special ALANA Alumni Cocktail Reception at the President's home. The University is looking forward to seeing more of its alumni, donors, and friends live and in-person this academic year.



Building for the Future

As of October 1, 2021, Worcester State is experiencing a 4.15% decrease in overall enrollment as compared to Fall 2020. Currently 5,369 students are enrolled for the Fall 2021 semesters, compared to 5,609 Fall 2020 students. The university anticipates that this year's enrollment is relatively stable, as compared to previous years' data. Retention efforts will remain a critical focus for the University.

The University's Academic Partnerships program for [Accelerated Online Programs](#) (AOP) has thus far produced 14 alumni in three of the five online graduate programs: M.Ed. Early Childhood Education: 2; M.Ed. Elementary Education: 6; M.Ed. Moderate Disabilities: 6. Additionally, two new AOP Nursing Master's level programs were launched this fall.

This summer, Worcester State University officially became a member of [Common Application](#), a non-profit membership organization representing over 900 colleges and universities. The Common Application provides a convenient and easy-to-use way for students to apply to multiple colleges using one standard application. Currently, Worcester State is accepting the Common Application for first-year students applying for undergraduate admission. In an increasingly competitive admission landscape, today's prospective students expect to be able to apply to college using the Common Application.

On Sunday, October 3, Worcester State hosted one of New England's largest recruiting events, the New England Association of College Admission Counselors (NEACAC) college fair. Over 100 colleges and universities participated, drawing more than 1,000 attendees. On Saturday, October 16, and Saturday, November 3, Worcester State will host its two Fall Open House events.





Additional Information

University Advancement Gifts



MANY GIFTS MAKE A BIG IMPACT

For FY '21

The Worcester State Foundation received a total of

\$4
Million

from a total of

3,163
Donors

\$1.5 million for scholarships,
\$224,000 for unrestricted support,
\$2.3 million for other University support.

The Foundation transferred

\$2 Million
to the University, including
\$917,525
in direct student support.

22
new funds
were created

With an investment return of **34%** in FY21,
the Worcester State Foundation total endowment value
surpassed **\$40 million**, the first time in history!

*Inspire Generosity.
Transform Lives.*



WORCESTER
STATE
FOUNDATION

[Facilities Covid Update](#)

Facilities COVID-19 Response Actions

- Mechanical/Plumbing system alterations:
 - Installed MERV-13 filter media in all air handling equipment in every building. Altered building operation control systems to comply with all regulatory requirements.
 - All potable water systems were flushed to prevent potential development of harmful bacteria such as Legionella.
- Cleaning/Sanitizing
 - Developed cleaning and sanitizing protocols for all instructional spaces on campus; determined frequency and staff assignments. Created sanitizing product distribution stations for all campus constituents in every building and residence halls.
 - Developed sanitizing protocol for non-residence hall and residence hall spaces for COVID-19 positive test result response.
- Housing medical first responders
 - Created an occupancy plan for State Building Inspector to obtain a temporary occupancy permit for these campus guests. Created a post-occupancy plan, and implemented plan, in order to obtain an occupancy permit for university use.
- Procured approximately \$600,000 of PPE/sanitizing materials & equipment
- Social Distancing
 - Reviewed every academic instructional space as well as all other spaces on campus to create and implement 6' distancing standards. Determined ingress and egress points for all buildings. Created internet lounge and additional classroom space in traditional non-instruction venues.
- Signage
 - Determined locations for, and installed, all campus COVID-related signage.
- Continued operations functions throughout pandemic
 - Remained staffed on campus throughout pandemic.
 - All preventative maintenance services were performed on all mechanical, electrical, plumbing, conveyance, food service and various other systems throughout all buildings on campus.
 - Provided mail service to remote faculty/staff. Ordered and distributed work-from-home materials to faculty/staff.
 - Completed over \$4.2M of construction renovation and/or capital improvement projects.

[Faculty Vacancies](#)



WORCESTER STATE UNIVERSITY
Where Teaching Matters
SEPTEMBER 1, 2022

TENURE-TRACK FACULTY VACANCIES
Join our team and make a difference, every day

- Assistant Professor, Business Management
- Instructor/Assistant Professor/Associate Professor, Nursing (3 Positions)
- Assistant Professor, Music & Interdisciplinary Arts
- Assistant Professor, Communication (Media Studies, Digital Media/Multimedia Production)
- Assistant Professor, Occupational Therapy (2 Positions)
- Assistant Professor, Chemistry
- Assistant or Associate Professor, Human Geography
- Assistant Professor, Physics
- Assistant Professor, Philosophy (2 Positions)
- Assistant Professor, Biology
- Assistant Professor, Economics
- Assistant Professor, Urban Studies
- Assistant Professor Communication Sciences & Disorders
- Assistant Professor of Psychology
- Assistant Professor of History (2 Positions)
- Assistant or Associate Professor of Health Science
- Assistant or Associate Professor of Computer Science (2 Positions)

HOW TO APPLY
All applicants must apply online at
<https://worcester.interviewexchange.com>.

Worcester State University | 486 Chandler Street, Worcester, MA 01609 | worcester.edu | 508-929-8053

WORCESTER STATE UNIVERSITY is seeking committed faculty with bold ideas and diverse backgrounds, to teach predominantly first generation, students in our progressive gateway city.

"At Worcester State University, we champion academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. We are looking for seasoned or innovative faculty to equip Worcester State students with knowledge and skills necessary to live a life of professional accomplishment, engaged citizenship, and intellectual growth".
—Barry M. Maloney, President



Jeanne Clery Disclosure of Campus Security

Policy and Campus Crime Statistics Act

2020

Annual Security and Fire Safety Report

Published December 2021





486 Chandler Street ▪ Worcester, MA 01602-2597
508-929-8044 (Office) ▪ 508-929-8153 (Fax)



UNIVERSITY POLICE DEPARTMENT

CHIEF'S MESSAGE

Dear Worcester State University Community,

As we begin to resume the normalcy we experienced before the pandemic, I welcome the new members of our community. I echo the words of many, that it is great to see so many members of our community back on campus. During the pandemic, the Worcester State University Police Department was audited, not as a result of wrongdoing, but to better understand how our department can build better relationships with the entire community, students, faculty, and staff alike. The WSUPD team strives daily, to maintain the safest and most secure environment possible for everyone. We believe the relationships we have with our community members encourages a partnership where we all engage in community policing efforts and encourage reporting any suspicious activity to University Police. If there is a need for our services, we are located on the first floor of Wasylean Hall or via phone at 508-929-8044.

Policing is provided 24-hours a day throughout the calendar year by a full-time staff of both sworn and civilian employees. Our police officers enforce the rules and regulations of Worcester State, by-laws of the City of Worcester, and applicable state and federal laws. Through our involvement on campus and with the community, it is my hope to provide the University constituents with officers who balance the effectiveness of enforcement with the ability to be approachable and service-oriented. Our team utilizes many engagement opportunities to get to know our community. Coffee with a Cop is one of our biggest efforts to build togetherness and get to know one another.

Our philosophy and mission are to enhance the "community policing" model, to hold our officers to the highest standards, and to develop a line of communication and teamwork to minimize the danger of crimes occurring within our community. The department offers many crime prevention programs and members can be seen throughout campus as illustrated in this publication. If you have any questions regarding the compiled statistics from calendar year 2020, please feel free to contact my office, on the first floor of Wasylean Hall or at 508-929-8044.

Sincerely,

Jason Kapurch

Jason Kapurch
Chief
University Police

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INTRODUCTION

Worcester State University is a liberal arts and sciences university with a long tradition of academic excellence. Our students receive a variety of multi-disciplinary opportunities enabling them to explore their academic interests and prepare for their careers. Worcester State University is centrally located in Massachusetts about an hour's drive from Boston, Springfield, and Providence, Rhode Island. Our 58-acre campus is nestled in the residential northwest side of Worcester—the second largest city in New England and home to 37,000 college students at more than a dozen colleges and universities.

The campus features ten buildings, reflecting our transition from a teacher-training college to a liberal arts and sciences university. Worcester State University is deeply rooted in the greater Worcester community, with students in a variety of liberal arts and sciences programs contributing more than 161,000 hours of service through 508 engagement opportunities. Our unique programming—from theatre stage productions to guest lectures to resource fairs—attracts thousands to our centrally located campus annually.

Worcester State University offers 60 undergraduate majors and minors, 29 master's degrees, post-baccalaureate certificates, and graduate programs, and real-time access to online, noncredit professional training. Our accreditation by the New England Commission on Higher Education, Inc. (NECHE), formerly the New England Association of Schools and Colleges (NEASC), demonstrates that our liberal arts and sciences curriculum meets or exceeds its criteria for assessment of quality.

Worcester State University is located at 486 Chandler Street, Worcester, MA 01602, where all campus housing is located. Additionally, Worcester State University has utilized various locations that serve as non-campus locations according to *CLERY*. These primary locations include, but are not limited to, the Worcester Center for Crafts located at 25 Sagamore Road, Worcester, MA; the Worcester Ice Center, located at 112 Harding Street, Worcester, MA; Maplewood Farm located at 28 Ball Hill Road, in Berlin, MA; and the Goddard Lot, 140 Goddard Memorial Drive, Worcester, MA. As of the 2021-2022 academic year, Worcester State University will also have non-campus property at 51 Sever Street, Worcester, MA. Additionally, Maplewood Farm is being replaced by the Zimble Show Stables in Bellingham, MA.

PREPARATION OF THE ANNUAL SECURITY REPORT AND DISCLOSURE OF STATISTICS

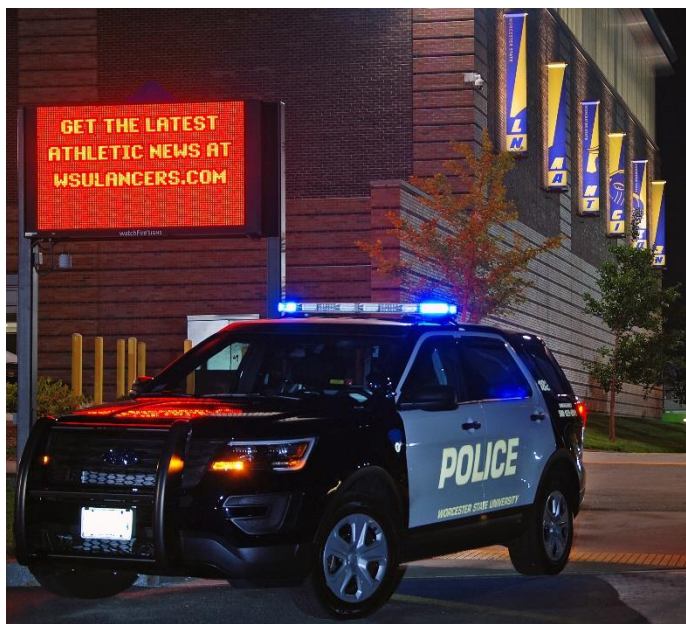
Worcester State University prepares this report to comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, part of the Higher Education Act of 1965, and the Violence Against Women Act (VAWA); requiring colleges and universities to disclose certain timely and annual information about campus crime and security policies. Institutions must publish a report every year by October 1st that contains three years of campus crime statistics and certain security policy statements including sexual assault policies which assure basic victims' right, the law enforcement authority of campus police and where students should go to report crimes. In light of the COVID-19 pandemic, the publishing was extended to December 31, 2020. Each school must disclose crime statistics for the campus, public areas immediately adjacent to or running through the campus, and non-campus facilities. Campus crime, arrest and referral statistics include

those reported to the Worcester State University Police Department, designated campus officials, and local law enforcement agencies.

This report is prepared in cooperation with local law enforcement agencies and with the assistance of many on-campus entities, including, but not limited to, the President's Office, the Dean of Students, Residence Life and Housing, Office of Community Standards, and other University departments. Each entity provides updated information on their educational efforts and programs to comply with the Clery Act to the University Police Department who then compiles all the information into the Annual Security and Safety Report, otherwise known as the Clery Report.

Each year, an email notification is made to all enrolled students, faculty, and staff providing the web link to access this report. Copies may also be obtained at the Worcester State University Police Department in Wasylean Hall, 486 Chandler Street, Worcester, MA 01602. Prospective students and employees may also obtain a copy through Worcester State University Police Department or follow the link on the postcards provided in the Human Resources and Admissions Offices.

WORCESTER STATE UNIVERSITY'S POLICE DEPARTMENT



The Worcester State University Police Department ("Department") is committed to the safety and well-being of the University's student body, staff, faculty, and visitors. In furtherance of its mission, the Department provides direct law enforcement protection and emergency services to Worcester State University's community. The Department also provides remote assistance and consultation on safety and security matters to students and employees who work and study at each of the University's non-campus locations.

The Department is comprised of 15-20 full-time sworn personnel, as well as civilian personnel including full-time Dispatchers. Also under the scope of the

Department are Emergency Management, Parking and Transportation Management, and private or student security at non-campus locations. Worcester State University police officers conduct walking and cruiser patrols throughout the campus and provide emergency response services to any member or visitor of the Worcester State community who calls upon the Department for assistance.

The department is prepared to deal with the same types of incidents handled by municipal police agencies in cities or towns. All WSU police officers attend police academy training and have full police authority on campus. The Worcester State University Police enforce state laws, including motor vehicle laws, as well as university rules and regulations.

Communication and access to timely information are fundamental components of any successful security effort. Accordingly, the Department operates a communications center, which includes emergency dispatch and monitoring of Rave Guardian, all alarms, and all cameras on campus.

Worcester State University Law Enforcement Arrest Authority

The Commonwealth of Massachusetts recognizes the Department as a criminal justice agency, and its patrol officers as police officers. Pursuant to the General Laws of Massachusetts, *Chapter 15A, § 22*, and *Chapter 73, § 18*, the Board of Trustees at Worcester State University has established the Worcester State University Police Department; and the Board has invested the department all the same powers, authority, immunities, and privileges of state and municipal police officers, including but not limited to the power to make arrests, to handle prisoners, and to enforce all traffic laws on streets and highways, throughout the property owned, leased, used, or controlled by the university.

Additionally, Officers employed by the Worcester State University Police Department are also Special State Police Officers (SSPOs), pursuant to the General Laws of Massachusetts, *Chapter 22C, § 63* which grants to university police officers the power to exercise law enforcement authority including detentions, arrests, and searches; concerning any criminal offense; occurring in or on buildings, structures, facilities, lands or roads; owned, occupied or used by their employing institution. The authority to investigate and enforce “any crime” encompasses all felonies and misdemeanors, including motor vehicle offenses. This means that WSUPD Officers may stop vehicles based on a reasonable suspicion of any crime.

In addition to providing direct law enforcement and emergency response services to the campus, Department members are available 24/7 to assist students and staff who study, work, and park at the University’s satellite locations or abroad and who may have questions or concerns relating to safety, law enforcement, and crime reporting. Although the Department encourages individuals to immediately report crimes and emergencies to the local police department that has jurisdiction over the location in which they are present, the Worcester State University Police Department also welcomes all calls for assistance or inquiries from any member of the Worcester State community, regardless of their location.

Worcester State University police officers must satisfy educational and training standards established by the Massachusetts State Police, such as annual in-service training, and when appropriate, receive additional and/or specialty training under the auspices of the Municipal Police Training Committee.

Worcester State University Police Jurisdiction

WSUPD jurisdiction encompasses its Clery geography which includes its core or main campus, campus residence halls, buildings, and/or facilities; designated non-campus long term properties and facilities; public property adjacent to and accessible from on-campus property; and leased, rented, or otherwise recognized and/or controlled buildings, spaces, and/or facilities.

Working Relationship with other Law Enforcement Agencies

The Department has close ties to several professional associations, including the Massachusetts Chiefs of Police Associations, the International Association of Chiefs of Police, and the Massachusetts Association of College Law Enforcement Administrators. Close working relationships are maintained with the Worcester Police Department, the Massachusetts State Police, the Worcester County District Attorney’s Office, and the

Massachusetts Alcoholic Beverages Control Commission (ABCC). Working relationships have also been established with the US Secret Service, Federal Bureau of Investigation, Department of Homeland Security, US Coast Guard Investigative Services and other local law enforcement agencies throughout New England. A representative from the Department also attends monthly meetings of the University, College, and Hospital Law Enforcement Association; a group designed to provide cross-communication between other area campuses which also corresponds directly with the Worcester Police Department. All of this is undertaken to increase the Department's access to information and to enhance the quality of services afforded to the Worcester State University community.

Written Memoranda of Understanding

Worcester State University Police currently has no active written agreements or Memorandum of Understanding (MOU) with the Worcester Police Department or any other law enforcement agency for the investigation of alleged criminal incidents. However, Worcester State University Police Department does have a MOU with the Worcester Police Department in regards to utilizing Worcester Police Department as a holding facility for arrestees.

HOW TO REPORT A CRIME, EMERGENCY, HEALTH OR SAFETY CONCERN

Reporting Crimes, Emergencies, and Health and Safety Concerns

Campus community members - students, faculty, staff, visitors and guests - are encouraged to report all criminal actions, emergencies, suspicious behavior or other public safety related incidents occurring within the University's Clery geography to the Worcester State University Police Department in an accurate, prompt, and timely manner. The University's Clery geography (as defined in the "Geography Definitions" elsewhere in this Annual Report, and hereafter referred to as the "University's Clery geography.") includes:

- On-campus property including campus residence halls, buildings, and/or facilities;
- Designated non-campus properties and facilities;
- All public property, including thoroughfares, streets, sidewalks, and parking facilities, that are within the campus or immediately adjacent to and accessible from the campus or on-campus property/facilities.

The Worcester State University Police Department has been designated by Worcester State University as the official office for campus crime and emergency reporting. WSUPD strongly encourages the accurate and prompt reporting of crimes. Accurate and prompt reporting ensures WSUPD is able to evaluate, consider and send timely warning notices, disclose crimes through ongoing disclosure processes such as the posting of crimes in the Daily Crime Log and accurately document reportable crimes in its annual statistical disclosure. Worcester State University further encourages accurate and prompt reporting to WSUPD and/or the local police when the victim of a crime elects to, or is unable to, make such a report.

This publication focuses on WSUPD because it has primary responsibility for patrolling the Worcester State University campus and it has been designated as the institution's primary reporting structure for crimes and emergencies. However, criminal incidents or incidents off campus can be reported to the local Worcester Police Department. Additionally, as outlined below, the University has also identified a list of primary campus security authorities (CSA) or preferred receivers of reports to whom crimes can be reported.

Primary Campus Security Authorities (CSA) or preferred receivers of reports:

- Call the Worcester State University Police by dialing (508) 929-8911 or on-campus extension 8911
- Report in person to the Worcester State University Police office located at 102 Wasylean Hall
- Crimes or emergency situations can be reported to the Worcester Police Department or local emergency services by dialing 911
- Sex Offenses and other incidents of sexual or relationship violence can also be reported to the University's Title IX Coordinator, by dialing (508) 929-8243 or on-campus extension 8243, or in person at the Student Center room C-338 or by email at: wsu_titleix@worchester.edu
- Contact the Office of Human Resources (HR) by dialing (508) 929-8117 or on-campus extension 8117, or in person at the HR office located in the Shaughnessy Administration Building room A-313
- Contact the Dean of Students by dialing (508) 929-8077 or on-campus extension 8077, or in person in the Student Center room C-344
- Emergency Phones located throughout campus can also be used to contact University Police to report a crime or emergency

Response to Reports

Dispatchers are available 24 hours a day to answer campus community calls by dialing (508)929-8044, or on-campus extension 8044. In response to a call, WSUPD will take the required action by either dispatching an officer or asking the reporting party to go to the WSUPD Office to file an incident report in person. All reported crimes will be investigated by the University and may become a matter of public record. Crime victims are given on and off campus resource information as necessary and appropriate. WSUPD procedures require an immediate response to emergency calls. WSUPD works closely with a full range of city and regional resources to assure a complete and timely response to all emergency calls. Priority response is given to crimes against persons and personal injuries. WSUPD responds to and investigates all reports of crimes and/or emergencies that occur within the University's Clery geography.

To obtain information or request any safety escort services, community members should call WSUPD. Located throughout campus academic buildings are red emergency phones. These phones dial directly to WSUPD for emergency assistance. Exterior phones marked as blue-light phones can also be utilized in an emergency. These phones utilize the WSUPD two-way radio system. Before a dispatcher can answer the phone, a message is automatically relayed telling officers where the phone has been activated.

When placing an emergency call, remember to stay on the line and wait for the dispatcher to end the call. These exterior phones should be used when reporting activities – to include medical or criminal incidents. If a member of the community finds any of these phones inoperative or vandalized, they should call the WSUPD so that the phone can be repaired or replaced as quickly as possible. If assistance is required from the local Worcester Police or Worcester Fire Department, WSUPD will make the necessary contact.

If a sexual assault or rape should occur on campus, staff on scene, including WSUPD, will offer the victim a wide variety of resources and services. This publication contains information about on- and off-campus resources and services and is made available to the Worcester State University community. The information regarding "resources" is not provided to infer that those resources are "crime reporting entities" for Worcester State University.

As mentioned, crimes should be reported to WSUPD to ensure inclusion in the annual crime statistics and to aid in providing timely warning Campus Safety Alert notices to the community, when appropriate. For

example, a crime that was reported only to the Worcester State University counseling center would not be known to WSUPD, a campus security authority (CSA), or other University official.

RESPONSIBILITIES OF THE WSU COMMUNITY FOR PERSONAL SAFETY & SECURITY AND THE SAFETY & SECURITY OF OTHERS

Members of the Worcester State University community must assume responsibility for their own personal safety and the security of their personal property and are encouraged to assist others. The following precautions provide guidance.

- Report all suspicious activity to WSUPD immediately.
- Never take personal safety for granted.
- Try to avoid walking alone at night. Use the RAVE Guardian App or WSUPD escort service.
- Limit your alcohol consumption, and leave social functions that get too loud, too crowded, or that have too many people drinking excessively. Remember to call WSUPD or WPD for help at the first sign of trouble.
- Carry only small amounts of cash.
- Never leave valuables (wallets, purses, books, phones, etc.) unattended.
- Carry your WSU ID and keys at all times and do not lend them to anyone.
- Lock up bicycles and motorcycles. Lock car doors and close windows when leaving your car.
- Always lock the door to your residence hall room, whether or not you are there. Be certain that your door is locked when you go to sleep, and keep windows closed and locked when you are not at home. DO NOT PROP INTERIOR OR EXTERIOR DOORS.
- Do not leave valuables in your car, especially if they can be easily noticed.
- Engrave serial numbers or owner's recognized numbers, such as a driver's license number, on items of value.
- Inventory your personal property and insure it appropriately with personal insurance coverage.

Voluntary Confidential Reporting

Worcester State University encourages anyone who is the victim or witness of any crime to promptly report the incident to WSUPD or the local Police Department.

Confidential Reporting

Students may make confidential reports to Pastoral Counselors and/or Professional Counselors assigned to the Counseling Center. Pastoral Counselors and Professional Counselors when acting in their capacity and function as Worcester State University counselors do not make identifiable reports of incidents to the Official On-Campus Resources unless the student specifically requests them to do so; however, the University encourages counsellors, if and when they deem it appropriate, to inform students they can report incidents of crime to WSUPD, which can be done directly or anonymously through the anonymous reporting processes as outlined below.

Pastoral Counselor: An employee of an institution, who is associated with a religious order or denomination, recognized by that religious order or denomination as someone who provides confidential counseling and who is functioning within the scope of that recognition as a pastoral counselor.

Professional Counselor: An employee of an institution whose official responsibilities include providing psychological counseling to members of the institution's community, and who is functioning within the scope of his or her license or certification.

Confidential reports for purposes of inclusion in the annual disclosure of crime statistics can be made to the Director of Health Services. The Director of Health Services, in their capacity as a CSA, can make confidential crime reports to WSUPD to ensure inclusion in the annual disclosure of crime statistics without disclosing personal identifying information. The Director of Health Services will work closely with WSUPD in order to allow WSUPD to properly assess reports for timely warning consideration and to avoid double counting of crimes.

Anonymous Reporting

The Worcester State University Police Department, unless otherwise prescribed by law or as set forth within this Annual Security and Fire Safety Report, does not take anonymous incident reports. The only exception to this policy is addressed below.

Facilitated Anonymous Reporting: Students may request a Pastoral Counselor or a Professional Counselor in the Counseling Center to facilitate anonymous reporting using internal procedures designed to capture general details about the incident (date, time, location, and brief description of the incident type) to ensure a statistical disclosure in the University's Annual Security and Fire Safety report.

Online Anonymous Reporting: The University allows faculty, staff and students opportunities to report incidents anonymously, which allows a reporting person to complete a report without providing any personal identifying information. Anonymous reporting can be accomplished using the RAVE Guardian App or Text-a-Tip system. Both options are third-party vendors available 24/7/365 and response are sent directly to WSUPD Dispatch.

- WSUPD Anonymous Tip can be found at the link below. Instructions for sending the tip are provided on the webpage: <https://www.worcester.edu/Anonymous-Tip/>

Campus Security Authorities

Federal law requires the University to disclose statistics concerning the occurrence of certain crimes enumerated in the Clery Act that occur within the University's Clery geography and that are reported to campus security authorities ("CSAs") or local law enforcement (where local law enforcement provides that information to the University). Under the law, CSAs include any member of the Worcester State University Police Department; any individual who has responsibility for campus security, but who is not a member of the Police Department; any individual identified by the University as someone to whom a crime should be reported; and any University official who has significant responsibility for student and campus activities. Individuals serving the University as CSAs vary from unit to unit based on their job functions, but include by way of example (but not limitation):

- Executive Director of Human Resources, Affirmative Action and Title IX Coordinator;
- Director of Student Conduct/Office of Community Standards;
- Vice President of Student Affairs/Dean of Students;
- Associate Dean of Students;
- Athletics Department Administrators, Coaches and Trainers;

- Director of International Studies and External Programs;
- Residence Hall Desk Attendants and Contract Security Officers;
- Resident Directors and Resident Assistants;
- Vice President of Academic Affairs/Provost;
- Academic Advising Center's Director, Associate Directors and Assistant Directors;
- Director of Health Services
- Director of Counseling Services, and
- Student Group Advisors

All CSAs should encourage any person who reports a crime or other incident involving campus security to notify the Worcester State University Police Department as soon as possible if they wish for law enforcement to investigate the matter, since law enforcement's ability to investigate a crime effectively is enhanced by timely reporting of a crime. While CSAs should respect the choice of survivors concerning whether the survivor wishes for law enforcement to investigate the incident, any CSA who receives a report of an incident involving a crime or campus security matter must immediately inform the Worcester State University Police Department of the incident consistent with the confidentiality considerations discussed below.¹

Those deemed to be Campus Security Authorities by the Human Resource Department, under the Clery Act reporting requirements, receive training upon hire through <http://www.workplaceanswers.com> or <https://everfi.com/>.

All data collected by the University's CSAs, with the exception of the University Police, is collected through the University's "Maxient" reporting system. Data is then reported to the Worcester State University Police Department, to be included in the statistics generated by the University Police Department, as well as those collected from other agencies; to include but not limited to the Massachusetts State Police and Worcester Police Department. C.S.A.s may also file a report anytime directly to the University Police.

Confidentiality and Privacy

Worcester State University is committed to protecting the privacy of individuals who report criminal incidents or abuse to the University, to the extent that doing so is permitted by law and consistent with the University's need to protect the safety of the community. Different Worcester State officials and personnel are able to offer varying levels of privacy protections to those who report criminal incidents or violations of University policy.

Any report received by any University employee concerning abuse of a minor or juvenile must be reported to state officials in compliance with state law requiring mandatory reporting of child abuse. All members of the Worcester State community are required by University policy to report any instances of known child abuse or neglect to the Worcester State Police Department, and the Department will, in turn, report such information to the appropriate state authorities.

¹ Note that under Clery, professional and pastoral counselors acting in a counseling capacity are exempt from the definition of "campus security authority."

Unless a reported incident involves allegations of child abuse or neglect, a CSA is not permitted to disclose to the Worcester State University Police Department any information concerning an incident that would identify a survivor of a crime without the survivor's consent. If a survivor does not consent to the disclosure of his or her identity to the Worcester State University Police Department, CSAs are required to inform the Department of the survivor's wish for confidentiality, and report the incident to the Worcester State University Police Department without identifying information about the parties involved so that such incidents can be recorded as statistics by the Department and, where appropriate, included in the University's annual security report.

Reports and information received by Worcester State's medical professionals, licensed mental health counselors, religious leaders/clergy who are acting in that capacity are considered legally protected or 'privileged' under Massachusetts law. Thus, those individuals will not share information they learn from survivors with others within the institution (including the University's Title IX Coordinator), or with any third party, except in cases of imminent danger to the victim or a third party, or to satisfy the legal obligation to report child abuse. Absent such circumstances, the only information that these employees will report to the University concerning incidents is statistical information, which does not identify the survivor, so the incident can be included in the University's crime reporting statistics reported in Worcester State's annual Clery reports. Such crime reporting statistics are also included in a Title IX trend report maintained by the University.

Statistical Disclosure of Incidents

Reports and information received by Worcester State's medical professionals, licensed mental health counselors, religious leaders/clergy who are acting in that capacity are considered legally protected or 'privileged' under Massachusetts law. Thus, those individuals will not share information they learn from survivors with others within the institution (including the University's Title IX Coordinator), or with any third party, except in cases of imminent danger to the victim or a third party, or to satisfy the legal obligation to report child abuse. Absent such circumstances, the only information that these employees will report to the University concerning incidents is statistical information, which does not identify the survivor, so the incident can be included in the University's crime reporting statistics reported in Worcester State's annual Clery reports. Such crime reporting statistics are also included in a Title IX trend report maintained by the University.

Worcester State requires all University personnel identified as responsible employees, with the exception of licensed mental health counselors, licensed medical professionals and clergy members who are acting in their capacity as a spiritual advisor when they learn of a sexual assault, to share with the University's Title IX Coordinator all information they learn concerning a report of sexual assault, harassment or abuse, domestic or dating violence, or stalking, so that the Title IX Coordinator can investigate the incident(s), track trends (including possible multiple reports involving the same assailant) and determine whether steps are needed to ensure the safety of the community. All University employees that are not defined as responsible employees, per policy, are strongly encouraged to report all incidents to the Title IX Coordinator. It is the survivor's choice whether they wish to participate in any investigation by the University; however, the University may proceed with a Title IX investigation without the survivor's participation if there is a concern for the safety of other members of the community. The University's ability to investigate a report may be limited if the reporting party requests complete confidentiality in the making of the report or declines to participate in an investigation.

The University encourages all community members to report any criminal incident about which they are aware which occurs on University property or involves a member of the Worcester State community to the Worcester State University Police Department, so the Department can investigate the incident and be of assistance to those involved in the matter. However, if an individual does not wish to report a crime to the Department, the University urges the person to at least disclose the occurrence of the incident to a campus security authority so it may be counted, as appropriate, in the University's annual Clery report.

Information about criminal incidents and safety concerns that are reported to any University officials, including but not limited to members of the Worcester State Police Department will be treated with the greatest degree of respect and privacy possible while still fulfilling Worcester State's obligation to investigate and effectively respond to the report. Every effort will be made to limit the scope of information shared to keep it to a minimum of detail, and only share information when absolutely necessary.

While federal law requires the Department to report certain type of criminal incidents in its annual campus crime statistics, incidents reported by the Department are reported in a statistical manner that does not permit identification of survivors or other individuals who may have been involved in the incident. Likewise, any timely warning notifications or crime bulletins the Department issues to the community will not include the names or identifying information of those involved in the incident.

CAMPUS FACILITIES (SECURITY ACCESS)²

Security and Access to Campus and Facilities

Worcester State University maintains an open-campus environment. On occasion access is limited to students and employees who have been issued university OneCards. The Worcester State University Police Department's communication center monitors entry into residence halls via the university's alarm monitoring and digital access control system, and in some locations, security cameras. Through the communication center, dispatchers have the ability to monitor which OneCard has been given access, which was denied access, and whether an entryway had been held open. They can then dispatch an officer or contact housing directly to address any concerns. The residence halls are locked 24 hours a day. Guests of resident students must register with the Desk Assistants at Dowden, Wasylean and Sheehan Halls. Guests are allowed on campus only if they are accompanied by the sponsoring resident student.

The majority of academic and administrative buildings on campus are open to the public during normal business hours (typically, Monday through Friday, 8:00 AM-5:00 PM, excluding holidays). Some academic and administrative buildings have established additional hours based on the needs of specific departments located within or to conduct evening classes. With the exception of the Learning Resource Center, all academic buildings are typically secured from 9:00 PM to 6:00 AM. Access for faculty and staff is gained through the access control system. University police provide random patrols of all non-residential facilities 24 hours a day. Individuals found on campus without a legitimate purpose may be issued trespass warnings and directed to leave campus; failure to comply may result in arrest.

Resident students are responsible for the actions of their guests. The WSU Student Handbook supports this policy. A resident may be charged with a violation of Campus Policy for the actions of a guest, and may be

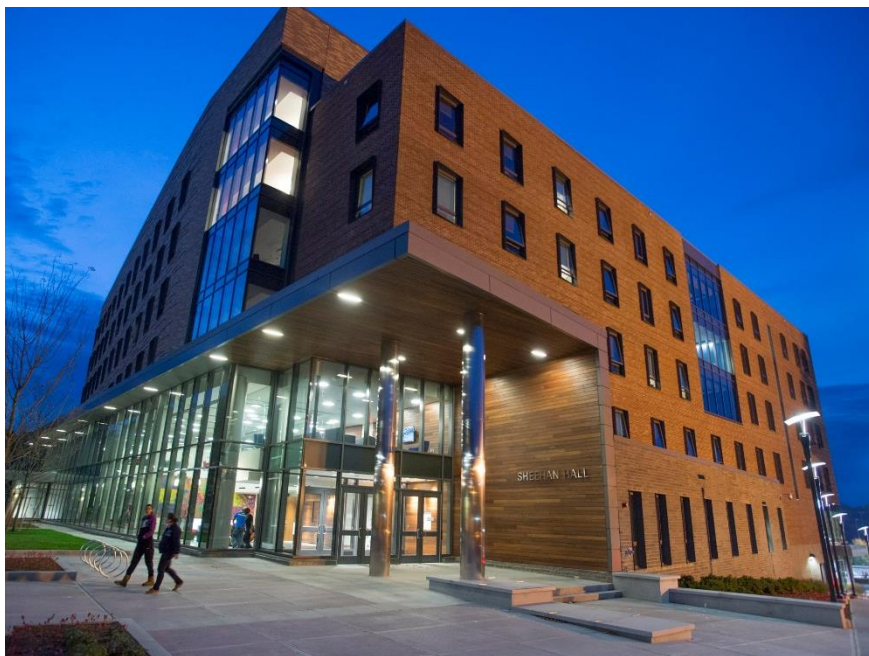
² The University reserves the right to make changes to these policies and procedures without notice, especially in the event of emergencies or other unusual situations.

required to pay a monetary fine for damage done by the guest. For additional policies regarding overnight guests in the residence hall, please refer to the WSU Student Handbook. <http://www.worcester.edu/Student-Handbook/>

The University Police Department is responsible for maintaining all locks and issuing keys for the academic buildings. Access to keys is restricted to designated individuals. All requests for residence halls' keys are made through the Office of Residence Life and Housing. All other requests may be made through the University Police Department located in Wasylean Hall. In the event that a key is lost or stolen please notify University Police at 508-929-8044/8911 or Residence Life and Housing at 508-929-8074 immediately. Tampering with locks and/or theft, duplication, or unauthorized use of any keys belonging to Worcester State University is a serious violation and may be subject to criminal prosecution. Residents will be charged for a lock change in the event of a lost key.

Break Housing

The residence halls close for Winter Break. Notices of specific times and dates are publicized through the Office of Residence Life and Housing before each break. Students are reminded to make travel arrangements accordingly; all students must vacate the residence halls during this break. Break Housing for students who cannot return home or leave campus may be provided. Should a student need accommodations during *any* portion of the break, they must submit a request through the Office of Residence Life and Housing.



When the residence halls close for break, students are expected to take out trash and perishable food, unplug items in the room, turn out the lights, and shut and lock the windows. Bedroom doors that are lockable and apartment doors must be closed and locked. A list of complete closing procedures will be distributed prior to break closing. Residents may leave personal items in their room during all breaks, except for the summer. However, due to the "unoccupied" status of the campus during breaks, it is suggested that students take valuable items with them to ensure their safety.

Parking

There is limited reserved parking for resident students on campus and at the satellite lot on Goddard Memorial Drive. Resident students must apply for parking permits. If they qualify, a fee will be assessed based on the location of their authorized parking space. Commuting students are provided with a decal, the cost is incorporated into their fees. Every effort is made to maximize parking on campus, as well as to monitor the flow of traffic throughout the campus to better ensure the safety of the University's large number of pedestrians.

Campus Alarms

All Campus facilities are alarmed to detect smoke, heat, and intrusion. Panic alarms have been installed in some campus locations in light of the nature of the activities occurring within those spaces. The Worcester State University Police Department tests campus panic alarms on a periodic basis.

Maintenance of Campus Facilities

Lighting surveys are randomly conducted and new lighting is installed as needed. Shrubbery and natural overgrowth are trimmed routinely, especially near walking trails and pathways. The security of doors and windows are reviewed periodically and locks are replaced when needed. In addition to lighting surveys, the University has emergency call boxes throughout the campus. These phones are identifiable by the blue light affixed to the top of each one. Campus community members are encouraged to report any safety hazard on campus such as malfunctioning lights, icy sidewalks, and broken windows to either University Police at 508-929-8044/8911, Facilities Department at 508-929-8025, or the Office of Residence Life and Housing at 508-929-8074.

EMERGENCY COMMUNICATIONS

Worcester State's Emergency Response Team is responsible for coordinating the University's response to an emergency affecting the Worcester State community. Among other functions, the Emergency Response Team assesses relevant information provided to the University, assesses the nature of the emergency, determines which segment(s) of the Worcester State community may be affected by the emergency, assesses the immediate needs of the affected segment(s) of the community, coordinates deployment of the University's resources, and coordinates distribution of information to affected community members. The Emergency Coordinator position overseeing the Emergency Response Team is in the process of being filled and is anticipated to be in place by the end of calendar year 2021.

As discussed below, there may be instances in which the nature of an emergency does not allow time for the Emergency Response Team to assemble in advance of distributing notice of the emergency to the Worcester State community without delay. In those instances, the Chief of Police (or his or her designee), is authorized to issue a communication without consulting the Emergency Response Team. Updates to the campus community, when deemed necessary, about any particular case resulting in a Campus Safety Alert may be: distributed via blast email and/or through RAVE Alert system; follow-up press releases would be arranged through the Communications and Marketing office.

1. Timely Warnings (Community Notification)

The Clery Act requires the University to provide the Worcester State community with "timely warnings/community notifications" concerning any Clery Act crime that:

- (a) is reported to campus security authorities or local law enforcement (and which is made known to the University)
- (b) occurs within the University's Clery geography
- (c) poses a continuing and serious threat to the Worcester State community.

The Chief of Police (or his or her designee), determines whether to issue a timely warning/community notification on a case-by-case basis, considering all available facts, including but not limited to, the nature of the crime, whether the incident is considered to present a serious or continuing threat to the Worcester State community, and whether issuance of a warning/community notification would compromise law enforcement efforts.

Timely warnings/community notifications are issued upon the Department's reaching a determination a crime presents a continuing threat to the Worcester State community and as soon as pertinent information becomes

available. A timely warning/community notification will include a brief description of the incident; a brief description of the suspect(s) if available; the date, time and location of the incident; and precautions the community should take in response to the incident.

The University will not issue a timely warning/community notification if:

- (a) the suspect is apprehended and the threat of imminent danger to the campus community has been mitigated by the apprehension; or
- (b) a report is not filed with the local police and if campus security authorities are not notified of the incident in a manner which allows the University to post a “timely” warning/notification to the community.
- (c) Typically, alerts are not issued for any incidents reported that are older than ten (10) days from the date of occurrence, as such a delay in reporting has not afforded the University an opportunity to react or respond in a timely manner.

Timely warnings/community notifications will never include the name or identifying information concerning the victims/survivors in an incident.

2. Emergency Notifications (Community Alert)

Federal law also requires the University to provide emergency notification/community alert for any other significant emergency or dangerous situation that presents an immediate threat to health and safety on campus. Examples of incidents that may trigger emergency notifications/community alerts (rather than timely warnings/community notifications) are the commission of non-Clery crimes to the extent they pose an ongoing threat to the Worcester State community, and non-criminal incidents such as weather hazards, fires, and outbreaks of illnesses.



Emergency notifications/community alerts are issued upon confirmation of an emergency. The Chief of Police (or his or her designee), determines whether to issue an emergency notification/community alert on a case-by-case basis, using the best information available to the Department at the time of the incident. As a result, information may be limited at the time of the first notification/alert. However, at minimum, an initial notice will include information immediately available to the Department together with recommendations concerning immediately necessary health or safety measures. As information becomes available to the Department, the Department will provide updates to the community.

Timely warnings/community notifications and emergency notifications/community alerts are important, and they will be issued to assist community members in making informed decisions about their personal safety and in preventing similar incidents from occurring. The University urges all of its community members to take any such warning seriously and to pay close attention to the information provided by the University in response to an incident.

Emergency Updates and Final Notifications

The University will communicate updates and revised health and safety guidance, as necessary, throughout the duration of an emergency warranting a timely warning/community notification or emergency notification/community alert. The University will distribute a final notification confirming that emergency

conditions have subsided. If necessary, additional health or safety instructions will accompany any final notification.

Process for Issuing Emergency Notifications

When the Emergency Response Team confirms there is an emergency or dangerous situation posing a serious and continuing threat to the health or safety of the Worcester State University community, the Team in coordination with the Office of Communication and Marketing will, without delay and taking into account the safety of the community, collaborate to determine the content of an emergency message to be broadcast to the relevant segment of the Worcester State community.

The Worcester State University Police Department may issue a timely warning/community notification or emergency notification/community alert without consulting the Emergency Response Team in the event of an immediate threat to the safety or health of the Worcester State Community. The message will be communicated using some or all of the systems described below and may be sent either to the entire Worcester State community or to the appropriate segment of the community if the threat is limited to a particular building or segment of the population, unless in the judgment of the first responders it will compromise efforts to assist a victim or to contain, respond to, or otherwise mitigate the emergency.

3. Methods of Communicating Timely Warnings and Emergency Notifications

The safety of the students, faculty and staff is a constant priority at the Worcester State University Police Department. The ability to quickly provide notice, accurate information and instructions with minimum delay during an emergency is crucial. To accomplish this task, WSU utilizes **Rave Mobile Safety/WSU Alert**, a multi-contact communication service which allows Worcester State University leaders and police personnel to deliver time sensitive notifications to students, faculty and staff during unforeseen events or emergencies. This system complements the existing University emergency response plans which are annually updated to be responsive to both handmade and natural disasters.

The WSU Alert system will be used when it is determined that there is a significant emergency or dangerous situation involving immediate threat to the health or safety of students or staff occurring on or immediately adjacent to the University. The delivery methods of the two alert types differ, and are dependent upon the level of threat and the exigency of the situations.

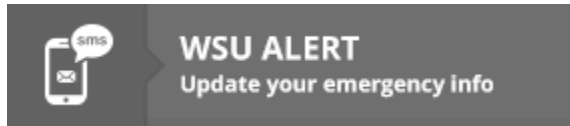
WSU Alert emails are sent to all university email account holders. Broadcast emails reach an estimated 13,000 account holders within approximately 20 minutes. Text Messages are text messages sent via the Rave Mobile Safety/WSU Alert interface used by the university. **Rave Mobile Safety/WSU Alert** generates a text message to community members that have voluntarily presubscribed through WSU Alert to receive such messages. These text messages are received on the subscriber's mobile phone.

WSU Alert text messages reach an estimated 8,000 account holders within approximately 15 seconds. WSU Alert broadcast emails are moderated by the WSU Police Department and/or the Public Information Officer and are available for IMMEDIATE delivery. These messages are a vital step in alerting the University community to an imminent or ongoing threat to safety, security or health.

Other Systems may be utilized to convey vital information during an imminent or ongoing threat to safety, security or health. Such systems include:

- Social Media (i.e. Facebook, Twitter)
- Desktop PC notification (Alertus)
- WSU website
- Local radio and television media
- Fire alarms within buildings
- Outdoor loudspeaker at Coughlin Field
- WSUPD Police sirens
- Handheld megaphones

A copy of any timely warning/community notification or emergency notification/community alert will be maintained by the Worcester State University Police Department for a period of seven years from the date of the warning.



Emergency Communications Network Tests

It is the policy of the Worcester State University Police Department to test the RAVE/WSU Alert system on an annual basis. The following modalities will be tested:

- Broadcast WSU email
- Text messaging
- Social Media
- Desktop PC notification (Alertus)

A copy of test results will be kept on file controlled by WSUPD or a designee.

4. Emergency Response

Many factors are considered when assessing a situation to determine whether to activate one or more of the emergency communications systems and if so, the content of the message and whether to send the emergency message to all or some of the campus community. Among the factors to be considered is the nature and anticipated duration of the emergency situation and whether the emergency applies to a particular building or segment of the population or to the entire campus. The Incident Management Team or Chief of Police/Designee will make a decision without delay, taking into account the safety of the community, determine the content of the notification and initiate the notification system, unless issuing a notification will, in the professional judgment of responsible authorities, compromise efforts to assist a victim or to contain, respond to, or otherwise mitigate the emergency.

Upon confirmation of an immediate emergency or dangerous situation involving a threat to the health or safety of the University community the following communication resources and procedures will be activated. Some or all of these methods of communication may be activated.

5. Evacuation Procedures

Students and employees should make themselves aware of and learn the locations of the emergency exits in the residence halls as well as the academic and administrative buildings and are provided guidance about the direction they should travel when exiting each facility for a short-term building evacuation. WSUPD officers do not tell building occupants in advance about the designated locations for long-term evacuations because those decisions are affected by time of day, location of the building being evacuated, the availability of the various designated emergency gathering locations on campus, and other factors such as the location and

nature of the threat. In both cases, WSUPD staff on the scene will communicate information to students regarding the developing situation or any evacuation status changes.

WSUPD shall be responsible for the safe evacuation of all persons utilizing the University's facilities in the event of natural disasters, civil disturbances, and active threats. The level of necessity will determine the response by WSUPD. If large-scale events occur that are beyond the resource capabilities of WSUPD and the University, officials will request assistance from outside emergency resources such as the Worcester Police and Fire, State Police, City of Worcester Emergency Management, and/or state departments of emergency management. The need to implement evacuation from a campus building or the entire campus shall be based upon information received by or furnished to Worcester State University.

The information may be in the form of instructions or advice from the City of Worcester Emergency Management, the Governor's Office, or other officially recognized agency. Full or partial evacuations may be necessary as a protective action to reduce campus community members' exposure to a hazard. Protective actions reduce TIME of exposure, create DISTANCE, or provide SHIELDING from a specific hazard. Hazards that may require an evacuation include:

- Fire
- HAZMAT release
- Bomb threat or suspicious device/package
- Hostile intruder
- Massive utility failure
- Severe weather conditions
- Hazard that renders facilities uninhabitable

Exercise of Judgment and Contingencies: The actions described are basically standard by nature. When situations arise for which the procedures to be followed are not fully prescribed in the University's Emergency Operations Plan (EOP), responsible personnel will be expected to exercise good judgment, make appropriate decisions, and provide any support necessitated by the situation.

As part of the decision-making process relative to an evacuation, the evacuation must be able to be completed well before the arrival of a hazard. When there is little to no warning time, a shelter-in-place decision/order may be more appropriate. Additional factors to consider beyond warning time when deciding on whether or not to evacuate include:

- Size and geographical area affected
- Population density of the surrounding area
- Capacity and condition of the road network
- Are sufficient transportation resources available – University transportation, public transportation, and private transportation?
- Are there safe alternatives?
- Ability of campus facilities to provide shielding from the hazard
- Ability of facilities to support the population
- Local considerations and local police and emergency resources support

Scope of an Evacuation: The scope of an evacuation can include a single building, a group of buildings, and/or a large geographical area. The scope could go beyond the borders of the institution, and/or the University may be impacted by an evacuation initiated by the local authorities. Size and scope considerations must be included in the overall decision-making process.

Building Evacuation

- All building occupants are required to evacuate when the fire alarm sounds or upon the order of an authorized University official, such as a WSU Police Officer.
- If time permits, stabilize lab procedures, turn off stoves and ovens, and unplug or disable any device that could make a dangerous situation even worse.
- Move to the closest exit and proceed down the EXIT stairwell in a safe and orderly manner. Take personal belongings with you. Do NOT use elevators.
- Remain at least three hundred (300) feet outside of the building and await further instructions. Keep roadways open, and beware of approaching emergency vehicles. Notify emergency responders of anyone trapped, especially anyone with a physical disability.

Large-scale Campus Evacuation

- If evacuation of part or all of the campus is necessary, monitor text message/voice alert system, email, and the University's website for additional information.
- Those in need of transportation will be directed to areas to await transport to an off-campus site.

General Evacuation Procedures

At the sound of a fire alarm or if you are instructed to evacuate, leave your work area immediately and proceed to the nearest exit, and leave the building. If you are the first to recognize a fire situation, activate the alarm, evacuate to a safe location using the nearest exit, and notify WSUPD by dialing (508) 929-8911 or on-campus extension 8911 or by dialing 911 for outside emergency responders.

- Remain Calm
- Do NOT use Elevators, Use the Stairs.
- Assist the physically impaired. If they unable to exit without using an elevator, secure a safe location near a stairwell, and immediately inform WSUPD or the responding Fire Department of the individual's location.
- Proceed to a clear area at least 150 feet from the building. Keep all walkways clear for emergency vehicles.
- Make sure all personnel are out of the building.
- Do not re-enter the building.

Methods of communications may include activating WSU ALERT, the WSU Emergency Notification System utilizing email, text messaging FB, Twitter and/or; messages displayed on electronic message boards on campus; or messages on the home page of WSU website. RAVE Alert is operated by the University Police and University Technology Services, in conjunction with the Assistant to the President for Campus Communications and the Executive Director of Marketing. This system may be used to send messages to the University community utilizing the following electronic WSU communication resources: Email, Text Messaging, Facebook, and Twitter.

myWSU Portal

Domain
Student ▼

Username

Password

☐ Remember Me

LOGIN

Once enrolled or employed at WSU, your University email will automatically be set to receive these messages. To receive text messages on a personal mobile phone, you must register your information at <https://www.worcester.edu/myWSU/>

- Click on the orange and white, WSU Alert Button located on the left-side of the page.
- Login using your WSU username and password
- to add cell phone, click image under 'Cell / Text Message'
- Enter phone number
- Check off 'Receive Text Message'

6. *Sheltering in Place/Lockdown during an Emergency*

If an incident occurs and the buildings or areas in or near your location become unstable, or if the outdoor air becomes dangerous due to airborne toxins or irritating substances, it is usually safer to remain indoors because leaving your immediate location may expose you to the danger outside. Thus, to "shelter in place" means to make a shelter of the building you are in, and, with a few adjustments, this location can be made even safer and more comfortable until it is safe to go outside.

A. *Basic "Shelter in Place" Guidance*

If an incident occurs and the building you are in is not damaged, stay inside and seek an interior room until you are informed by emergency responders that it is safe to exit. If the building in which you are located is damaged, follow the evacuation procedures for your building (close your door, proceed to the nearest exit, and use the stairs instead of the elevators). Once you have evacuated the building, immediately seek shelter in the nearest safe Worcester State University building. If the Worcester State University Police Department, the Worcester Police, or Fire Department personnel are on scene, follow their directions.

B. How You Will Know to "Shelter in Place?"

A shelter in place notification can come from several sources, including the Worcester State University Police Department, the Emergency Response Team, the Worcester Fire Department, or the Worcester Police Department. In addition, notification of a need to shelter in place may come over the radio or television or by any of the communication methods mentioned above.

C. How to "Shelter in Place"

No matter where you are, the basic steps to shelter in place will generally remain the same. Should the need to shelter in place ever arise, follow these steps unless instructed otherwise by local emergency personnel:

- If you are inside, stay where you are. Collect any emergency shelter in place supplies and a telephone to be used in case of emergency. If you are outdoors, proceed into the closest building quickly or follow instructions from emergency personnel on the scene.
- Locate a room to shelter inside. It should be an interior room above ground level without windows (or with the least number of windows).
- Shut, lock, and tightly seal windows and exterior doors.
- Turn off air conditioners, heaters, and fans.
- Close vents to ventilation systems as you are able.
- Turn on a radio or TV, listen for further instructions, and to the extent possible, monitor the internet from a computer or phone.

CRIME PREVENTION, AWARENESS, AND WELLNESS PROGRAMS

Worcester State University believes that through crime prevention and safety awareness education, community members are better prepared to prevent and to respond if crime does occur. During Orientation, all students and their parents are informed of resources offered by the Worcester State University Police Department and other University Departments such as the Office of Title IX and Alcohol & Drug Prevention Education, Counseling Services, and Health Services.

Prevention Programs related to Sexual Assault, Domestic Violence, Dating Violence, and Stalking, and other crimes are offered on a continual basis. A common theme of all awareness and crime prevention programs is to encourage students to be aware of their responsibility for their own security, the security of others, and to be an active bystander. Information is disseminated to students and employees through crime prevention posters, security alerts, displays, videos, and social media. In addition, representatives from University Police, Counseling, Health Services, and the Office of Student Affairs make presentations throughout the year or facilitate educational tables throughout campus.

Safety Workshops

The Worcester State University Police Department conducts training and workshops on a wide variety of safety and security related subjects including, but not limited to theft prevention and data security measures, alcohol and drug awareness, and by-stander intervention measures that can effectively reduce the likelihood that others in the community will be assaulted. The University has police officers who routinely patrol residential areas on campus in an effort to better familiarize students with the Police Department's officers and services, and to enhance communication between students and the Department. Officers will take part as guest lecturers in classes or assist Resident Assistants with programming needs as requested.

Safety Escorts

The Worcester State University Police Department provides safety escorts to members of the community twenty-four hours a day, seven days a week, upon request. This service provides students, faculty, and staff with a walking or motor vehicle escort between locations on campus.

Active Threat Seminars

The Worcester State University Police Department provides sessions to increase employee and student situational awareness and alertness in the event they find themselves in harm's way. This seminar focuses on the principles of "Run, Hide, Fight". It does not teach self-defense, rather it educates and provides attendees an opportunity to ask questions. This is typically offered twice each semester, for staff and students.



Community Liaison

The Worcester State University Police Department works to provide groups and clubs on campus the opportunity to have an officer take part in a meeting, or multiple if desired. This allows officers to address areas of concern for a specific group, provides a familiarity with an officer, and provides the opportunity to collaborate towards an educational goal.

Crime Bulletins and Alerts

The Worcester State University Police Department periodically distributes crime bulletins or alerts to inform members of the Worcester State community about incidents of crime in the areas surrounding the University that may pose an imminent threat of harm to members of the community. Bulletins and alerts are also circulated at times, not in response to a specific incident, but as general reminders to community members about measures members of the community can take to enhance personal and property security.



Rape Aggression Defense (R.A.D.) Program

Worcester State's Police Department has offered R.A.D. course (Rape Aggression Defense) trainings designed to teach basic self-defense techniques. Everyone has the right to be safe on and off campus. No one deserves to be harmed and only the person who commits the harmful act is responsible for that behavior. R.A.D. training is an opportunity to learn more about how to reduce your risks of harm for yourself and the community. Participants are trained to be alert for aggressive behavior, to recognize how this behavior negatively impacts lives, to take steps to avoid aggressive behavior, and to look at how everyone can be part of reducing aggression and violence. This is offered each semester.

CRIME (INCLUDING SEXUAL ASSAULT) PREVENTION AND AWARENESS PROGRAMS

The Office of Title IX and Drug & Alcohol Prevention Education, in collaboration with Athletics, Counseling Services, and Residence Life offers students programming on alcohol and other drug use and abuse as well as tobacco. Programs focus on responsible decision-making, risk factors, harm reduction and bystander intervention. Many programs vary yearly and are offered at different times. Below is a list of programs that are offered every year consistently.

Ever-fi On-line Program - Currently three programs are required for all incoming freshmen students: Alcohol Edu, Prescription Drug Abuse and Sexual Violence Prevention. These programs offer educational information and personalized feedback for students. The first part of the program is typically completed in the summer before freshman arrive on campus, with the second part being completed during the fall. Students must complete the knowledge-based quizzes in order to complete the course.



Alcohol Task Force provides guidance and oversight on alcohol- and drug-related issues on campus. Faculty and staff make up the task force, which meets monthly to discuss alcohol- and drug-related issues, evaluate current program efforts, review policies, and make recommendations about policy and outreach strategies.

BASICS (Brief Alcohol Screening and Intervention for College Students) is an evidence-based intervention program that helps students examine their own alcohol use. Students may self-refer or be referred through the student-conduct process as needed, throughout the year.

eCHECKUP To Go is a web-based marijuana program that uses evidence-based behavior interventions designed to motivate students to reduce their consumption using personalized feedback. Currently eCheckup is used for students who have violated the schools marijuana policy. eCheckup to Go is also offered continuously to all students via The Office of Drug & Alcohol Prevention Education website, as needed.

NCAA Life Skills and Apple Team is a program coordinated by Athletics with collaboration from the Office of Title IX and Alcohol & Drug Prevention Education, Counseling Services and Residence Life. The Life Skills program offers a variety of programs for student athletes. Topics vary from alcohol, drugs, team building, mental health awareness, leadership building, etc. Varsity athletes are required to attend, typically held in the fall.



Speak About It is a required program for all freshmen. An theatrical program which educates on important topics such as alcohol consumption, hate and biased incidents, sexual violence, suicide and bystander, take place annually.

We Speak Up is WSU's pro-social behavior and bystander empowerment/intervention program that educates students to be proactive in helping others and takes place annually.

Workplace Answers Worcester State University provides all employees with annual Title IX training and relevant CSA training as designated under the Clery Act, if it pertains to the employee's role on campus. CSA training teaches responsibility and how to report certain crimes to Worcester State's Police Department and the Title IX Coordinator. In addition, additional training is offered to all employees on Title IX and How to support students.

Sexual Assault Violence Education SAVE Task Force

The Sexual Assault and Violence Education (SAVE) Task Force is a collaborative effort of individuals across academic and student affairs, working together to coordinate sexual and relational violence education and prevention efforts campus wide. The Task Force is composed of administrators, staff, faculty and students representing various campus divisions, departments and disciplines, who are committed to “cultivating a vibrant campus life... in which all members of the WSU community feel welcomed, included, respected, empowered and valued” (Worcester State University, Strategic Plan). Through campus wide programming, training and resources, the task force will help to provide a safe, healthy and supportive campus climate, free of sexual and relational violence.

Bias Incident Response Team (BIRT)

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. BIRT is comprised of faculty, staff, and students who represent various divisions, departments, and disciplines and are committed to creating a safe and welcoming campus environment.

Behavioral Intervention Team

The Behavioral Intervention Team at Worcester State University takes a multidisciplinary approach to address reports of disruptive, problematic, or concerning student behavior prior to a critical incident and, as recommended by the National Behavioral Intervention Team Association, tracks “red flags” over time, detecting patterns, trends, and disturbances in individual or group behavior. The Behavioral Intervention Team’s response to these reports is a proactive approach that balances the needs of the student who may be/is in crisis and the overall safety of the campus community.

Alcohol Policy

All policies and regulations regarding the consumption and/or sale of alcoholic beverages on the Worcester State University premises or off-campus where Worcester State University jurisdiction applies shall be in strict conformity to the appropriate Massachusetts General Laws, the regulations of the License Commission of the city of Worcester and in compliance with the Drug-Free Schools and Communities Act (DFSCA), and the Drug-Free Schools and Campuses Regulations³.

In addition to the preceding laws and others which may be established by legislative bodies, the following rules and regulations apply to Worcester State University premises or off-campus where Worcester State University jurisdiction applies:

- Worcester State University prohibits the possession, consumption, storage or service of alcohol by students with the exception of prior approval from the Dean of Students or designee.

³ References: Mass. General Law, Chap. 138, Sec. 34: Alcoholic Beverages (Procuring for persons under 21); Mass. General Law, Chap. 138, Sec 34A: Alcoholic Beverages (Procuring by false pretenses); Mass. General Law, Chap. 138, Sec. 3413: Alcoholic Beverages (Liquor Purchase Identification Cards); Mass. General Law, Chap. 138, Sec. 34C: Alcoholic Beverages (Transportation by those under 21 years of age); Worcester City Ordinances Chap. 9 re: Open Alcoholic Beverage Containers.

- Students are not allowed in the presence or in possession of empty or full containers of alcohol, including decorative containers.
- Public intoxication is prohibited.
- Operating a vehicle under the influence of alcohol is prohibited.
- The manufacturing of any alcoholic beverage is prohibited.
- Students are responsible for informing their guests of Worcester State University's Alcohol Policy prior to any campus visit. The student will be held strictly accountable for an alcohol violation when their guest violates the alcohol policy. Guests are defined as any person visiting the student whether or not the guest has signed-in to the residence halls through official procedures. Guests, regardless of their age are not permitted to bring alcohol onto the Worcester State University campus.
- Providing alcoholic beverages to a person under age twenty-one (21), whether gratuitously or for sale, is prohibited.
- The possession or use of alcoholic container(s) which indicates the probability of common source drinking (e.g. kegs, punch bowls, beer balls, or the functional equivalent) is prohibited and shall result in a more severe sanction.
- Drinking funnels, taps, ice luges or similar devices are prohibited.
- Creating, offering, and playing drinking games such as beer pong are considered endangering behaviors and are prohibited.
- Open alcoholic beverage containers (including cups containing alcohol) are prohibited.

Additional Guidelines

- Intoxicated persons shall be subject to police intervention including medical transport, arrest, and/or other appropriate action.
- In the event that a student is suspended from Worcester State University housing or from Worcester State University for any disciplinary infraction(s), including but not limited to alcohol, no refund of any Worcester State University fees or tuition will be given to the student.
- Any backpack, bag or similar container that anyone carries onto campus shall be subject to inspection and search by a member of the Worcester State University staff whenever there exists reasonable suspicion to believe that the container is being used to bring onto campus any alcoholic beverage or other material in violation of Worcester State University Policy.
- Students are encouraged and expected to seek help from Worcester State University Police or other Worcester State University staff when they witness others who are incapacitated due to alcohol or other drug use.
- Residency in a bedroom, apartment, or suite in which any alcohol containers, (empty or full to include decorative containers) are present is a violation of the Policy. This includes the bedroom to which the person is assigned or in an adjacent common area.
- Visitation in a bedroom, apartment, or suite in which any alcohol containers, (empty or full to include decorative containers) are present, with reasonable opportunity to be aware of the presence of said item is a violation.

Sanctions - Alcohol

The following is a chart of MINIMUM sanctions for violations of the Alcohol Policy. More severe sanctions may be imposed based on the severity of the violation (including first offense). Sanctions are determined on a case by case basis.

Level

Levels may be increased with the number of violations.

1	RESIDENT STUDENT	COMMUTER STUDENT
	General Probation for one semester (15 weeks)	General Probation for one semester (15 weeks)
	Complete an alcohol education course (\$30 registration fee to be paid at time of course)	Complete an alcohol education course (\$30 registration fee to be paid at time of course)
	Parental/Guardian Notification for student under the age of 21	Parental/Guardian Notification for student under the age of 21
2	RESIDENT STUDENT	COMMUTER STUDENT
	General Probation for an additional one semester (15 weeks)	General Probation for an additional one semester (15 weeks)
	Complete an online alcohol education course	Complete an online alcohol education course
	\$100 fine	\$100 fine
	Complete ten (5) hours of service	Complete ten (5) hours of service
	Residence Hall Probation for up to one academic year	Residence Hall Probation for up to one academic year
3	RESIDENT STUDENT	COMMUTER STUDENT
	Disciplinary Probation for one semester (15 weeks)	Disciplinary Probation for one semester (15 weeks)
	BASICS one on one educational course	BASICS one on one educational course
	\$150 Fine	\$150 Fine
	Residence Hall suspension for up to one academic year or residence hall expulsion	Permanent No Trespass Notice for the residence halls
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21
4	RESIDENT STUDENT	COMMUTER STUDENT
	Suspension from Worcester State University for no less than (1) semester	Suspension from Worcester State University for no less than (1) semester
	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks upon return from suspension	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks upon return from suspension
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21

*If students are found in the presence of or in possession of EMPTY containers of alcohol, they may be given a written warning. Please note that subsequent violations for being in the presence of or possession of empty containers of alcohol (including decorative containers) will result in increased sanctions and levels.

Drug Policy

All policies and regulations regarding illegal consumption/use, possession, sale/ traffic and/or manufacture of narcotics, controlled substances, prescription drugs, counterfeit substances, drug paraphernalia and substances releasing toxic vapor on the Worcester State University campus and its properties shall be in strict conformity to the appropriate Massachusetts General Laws and in compliance with the Drug-Free Schools and Community Act (DFSCA) and the Drug-Free Schools and Campuses Regulations. Detailed descriptions of infractions and penalties can be found in the Massachusetts General Laws, sections 94C and 270. Federal Drug Statute Title 21, USC 841 may also apply. Listed is a summation of these laws. *These laws are subject to change.*

1. **Controlled Substances** are classified according to their chemical characteristics and their effect on the human body.

Class A

Heroin, Morphine, Flunitrazepan, Gamma Hydroxy Butyric Acid (aka GHB), Ketamine Hydrochloride (aka "Special K")

Class B

Cocaine, Codeine, Methadone, Oxycontin and Oxycodone, Amphetamines, Fentanyl, Methamphetamine and its isomers and salts, Phenacyclidine (PCP, Angel Dust), Lysergic Acid Diethylamide (LSD), Opium in certain amounts, P2P, PCH, PCC, MDMA (ecstasy), Phenmetrazine, Percodan, Dilaudid

Class C

Valium, Librium, Morphine and Codeine in certain amounts, Flurazepam, Hallucinogenic substances including Dimethoxyamphetamine, Mescaline, Peyote, Psilocybin (aka Mexican Mushrooms), Tetrahydrocannabinol (THC, active ingredient in marijuana)

Class D

Marijuana, Barbitol, Phenobarbital

Class E

Compounds containing a small percentage of Codeine, morphine or opium, prescription drugs not included in any other class.

Smelling Substance Releasing Toxic Vapor

Although not illegal to possess under certain conditions, these substance offenses occur when a person intentionally smells or inhales them. They include but are not limited to: glue, paint thinners, etc.

2. **Drug Paraphernalia** are objects used for the purpose of ingesting, injecting, inhaling, etc. any or all of the above substances. These include, but are not limited to, pipes (ceramic, metal, glass, etc.), syringes, or any other object modified for this purpose, (e.g. plastic containers, toilet paper rolls, etc.).
3. **Possession of a Controlled Substance** is simply proof the individual directly or constructively possessed some amount of a controlled substance without lawful authority.
4. **Possession with Intent to Distribute** does not require possession of a minimum quantity of a controlled substance where other signs of distribution exist, e.g. quantity (even a minute quantity can suffice), purity, street value, possession of a large amount of cash, uniform packaging, known drug area, behavior, possession of drug paraphernalia, etc. Penalties as outlined under Massachusetts General Laws are included in subsequent pages.

5. **Counterfeit Substances** are imitations intended to be offered off deceptively as a genuine controlled substance. Because fake substances are often more dangerous to ingest and because the dealer is attempting to make a profit while eliminating the risk of being caught with a controlled substance, possession and sale of a counterfeit substance are punishable crimes under the law.
6. **The Drug-Free School and Park Zone Law** was designed to heighten safety and deter drug distribution in areas where children congregate most: schools and public parks. This law provides for an enhanced penalty for individuals who possess any illegal drug with the intent to distribute. This applies to a suspect within 100 feet of a public park or playground or 1000 feet of a public or private elementary, secondary or vocational school. **Worcester State University is within 1000 feet of two schools.**

In addition to the preceding laws and others which may be established by legislative bodies, the following rules and regulations apply to Worcester State University premises or off-campus where Worcester State University jurisdiction applies:

- Worcester State University prohibits the possession or use of drugs or drug paraphernalia.
- Operating a vehicle under the influence of drugs is prohibited.
- The manufacturing of any drug is prohibited.
- Students are responsible for informing their guests of Worcester State University's Drug Policy prior to any campus visit. The student will be held strictly accountable for a drug violation when their guest violates the drug policy. Guests are defined as any person visiting the student whether or not the guest has signed-in to the residence halls through official procedures.

Additional Guidelines

- Any person shall be subject to police intervention including medical transport, arrest, and/or other appropriate action when reasonable suspicion that drugs are involved.
- In the event that a student is suspended from Worcester State University housing or Worcester State University for any disciplinary infraction(s), including but not limited to drugs, no refund of any Worcester State University fees or tuition will be given to the student.
- Any backpack, bag or similar container that anyone carried onto campus shall be subject to inspection and search by a member of the Worcester State University staff whenever there exists reasonable suspicion to believe that the container is being used to bring onto campus any drug or other material in violation of Worcester State University Policy.
- Residency in a bedroom, apartment or suite in which any drug or drug paraphernalia are present is a violation of the Policy. This includes the bedroom to which the person is assigned or in an adjacent common area.
- Visitation in a bedroom, apartment or suite in which any drug or drug paraphernalia are present, with reasonable opportunity to be aware of the presence of said item, is a violation.

Sanctions - Marijuana

The following is a chart of MINIMUM sanctions for violations of the Drug Policy (Marijuana). More severe sanctions may be imposed based on the drug class and the severity of the violation (including first offense). Sanctions are determined on a case by case basis.

Level

Levels may be increased with the number of violations.

1	RESIDENT STUDENT	COMMUTER STUDENT
	General Probation for one semester (15 weeks)	General Probation for one semester (15 weeks)
	Complete an online drug education course	Complete an online drug education course
	\$100 fine	\$100 fine
	Complete five (5) hours of service	Complete five (5) hours of service
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21
2	RESIDENT STUDENT	COMMUTER STUDENT
	Disciplinary Probation for one semester (15 weeks)	Disciplinary Probation for one semester (15 weeks)
	One on one drug education course/meeting	One on one drug education course/meeting
	\$150 fine	\$150 fine
	Complete ten (10) hours of service	Complete ten (10) hours of service
	Residence Hall Review*	Residence Hall No Trespass for up to one academic year
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21
3	RESIDENT STUDENT	COMMUTER STUDENT
	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks
	\$200 fine	\$200 fine
	Residence Hall suspension for up to one academic year	Permanent Residence Hall No Trespass
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21
4	RESIDENT STUDENT	COMMUTER STUDENT
	Suspension from WSU for no less than one (1) semester	Suspension from WSU for no less than one (1) semester
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21

*Residence Hall Review: Together the Office of Community Standards and the Office of Residence Life and Housing will make a determination on the status of the student remaining a member of the residential community.

Sanctions - Other Drugs (Not Marijuana)

The following is a chart of MINIMUM sanctions for violations of the Drug Policy (Not Marijuana). More severe sanctions may be imposed based on the drug class and the severity of the violation (including first offense). Sanctions are determined on a case by case basis. Levels may be increased with number of violations.

Level

Levels may be increased with the number of violations.

1	RESIDENT STUDENT	COMMUTER STUDENT
	General Probation for two semesters (30 weeks)	General Probation for two semesters (30 weeks)
	Complete an online drug education course	Complete an online drug education course
	\$100 fine	\$100 fine
	Complete five (5) hours of service	Complete five (5) hours of service
	Residence Hall Probation for up to one academic year	Residence Hall No Trespass Notice for up to one academic year
	Parental/Guardian Notification for student under the age of 21	Parental/Guardian Notification for student under the age of 21
2	RESIDENT STUDENT	COMMUTER STUDENT
	Disciplinary Probation for one semester (15 weeks)	Disciplinary Probation for one semester (15 weeks)
	BASICS one on one drug educational course	BASICS one on one drug educational course
	\$150 fine	\$150 fine
	Complete ten (10) hours of service	Complete ten (10) hours of service
	Residence Hall suspension for one academic year	Permanent No Trespass Notice for the residence halls
	Parental/Guardian Notification for student under the age of 21	Parental/Guardian Notification for student under the age of 21
3	RESIDENT STUDENT	COMMUTER STUDENT
	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks (upon return from suspension if applicable)	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks (upon return from suspension if applicable)
	Residence Hall Expulsion and/or suspension from Worcester State University	May be suspended from Worcester State University
	\$200 Fine	\$200 Fine
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21
4	RESIDENT STUDENT	COMMUTER STUDENT
	Suspension from Worcester State University for no less than one semester	Suspension from Worcester State University for no less than one semester
	Parental/Guardian notification for student under the age of 21	Parental/Guardian notification for student under the age of 21
	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks (upon return from suspension if applicable)	Disciplinary Probation for no fewer than 15 weeks and no more than 30 weeks (upon return from suspension if applicable)

Alcohol and Drug Emergency Transport/Amnesty Policy

Worcester State University considers the safety and personal well-being of the student body a priority.

Worcester State University recognizes that there may be alcohol or other drug-related medical or safety

emergencies in which the potential for disciplinary action could act as a deterrent to students who want to seek assistance for themselves or others.

Students who are evaluated for a substance abuse wellness check that may or may not result in being transported to a local hospital will be required to contact a member of the Office of Title IX and Alcohol & Drug Prevention Education within twenty-four (24) hours of receipt of letter from the Office of Title IX and Alcohol & Drug Prevention Education. Failure to schedule and attend the sessions may result in conduct action.

When a student aids an intoxicated or impaired individual by contacting Worcester State University Police or Residence Life staff, neither the intoxicated individual nor the individual or student reporting the emergency will be subject to disciplinary action.

In the case of a second (2nd) transport; the student will attend two (2) educational meetings with the Office of Title IX and Alcohol & Drug Prevention Education followed by a minimum of three (3) sessions with a member of the Counseling Services staff.

In the unlikely case of subsequent transports, the student will meet with an administrative team to discuss the students' well-being, evaluate their residency status and/or visitation privileges within the residence halls, and potential conduct action.

Drug and Alcohol Abuse Programs

Worcester State University recognizes that the misuse and abuse of alcohol and drugs can be detrimental to the health, safety, learning, and well-being of individuals as well as the Worcester State community. Therefore, the University offers substance abuse prevention programs for its members and will identify resources and provide assistance for students, faculty and staff who have or develop problems with alcohol and other drugs.

A list of the University's substance abuse prevention, counseling resources, and tobacco cessation is available at <https://www.worcester.edu/Alcohol-and-Drug-Prevention-Education/>. Employees can also seek assistance and support through the Employee Assistance Program if they or a family member are struggling with addiction issues.

Drug and Alcohol Abuse Prevention Program (DAAPP)

The Drug Free Schools Campuses Regulations (34CFR Part 86) of the Drug Free Schools and Communities Act (DFSCA) requires an institution of higher education (IHE) such as Worcester State University, to certify that it has implemented programs to prevent the abuse of alcohol and use and /or distribution of illicit drugs both by Worcester State University students and employees both on its premises and as a part of any of its activities. The Spring 2021 Annual Report can be found at:
<https://www.worcester.edu/WorkArea/DownloadAsset.aspx?id=13124>

SUMMARY STATEMENT REGARDING UNIVERSITY'S POLICY CONCERNING SEXUAL VIOLENCE

The following policy is from the Equal Opportunity, Diversity and Affirmative Action Plan for all Massachusetts State Universities. The policy below is from the MA State University Title IX Sexual Harassment Policy.

SEXUAL VIOLENCE POLICY (EFFECTIVE August 14, 2020)⁴

Article I. Policy 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") are committed to maintaining safe and healthy learning, living, and working environments that are free from all forms of discrimination and harassment.

Consistent with their commitment, the Universities do not discriminate on the basis of sex in the education program or activity that they operate, and are required by Title IX of the Education Amendments of 1972 ("Title IX") to not discriminate in such a manner. The requirement not to discriminate in the education program or activity extends to admission and employment. Inquiries about the application of Title IX to the Universities may be referred to each respective institution's Title IX Coordinator, to the Assistant Secretary of the Office for Civil Rights, or both.

This Title IX Sexual Harassment Policy ("Policy") prohibits sexual harassment, sexual assault, dating violence, domestic violence, stalking, and retaliation as defined under Title IX and outlines the procedures for resolution of reports of these behaviors. The Universities provide educational and prevention programs, services for individuals who have been affected by discrimination and harassment on the basis of sex, and accessible, timely and equitable methods of investigation and resolution of complaints.

Previously known as the "Sexual Violence Policy," the Title IX Sexual Harassment Policy has been amended, and renamed, to be consistent with the Title IX Regulations that became effective August 14, 2020. Additionally, this policy is intended to comply with the reauthorized Violence Against Women Reauthorized Act of 2018 ("VAWA"), including the Campus SaVE Act, and the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act ("Clery Act"). The Title IX Sexual Harassment Policy replaces and supersedes the "Sexual Violence Policy" previously contained on pages 13-45 of the Equal Opportunity, Diversity and Affirmative Action Plan ("EO Plan").

The Universities prohibit all forms of discrimination, harassment, and sexual misconduct. These behaviors are antithetical to the mission of the Universities and, if not covered by this Policy, the Universities ensure that such conduct is prohibited and addressed through the Policy Against Discrimination, Discriminatory Harassment, and Retaliation contained in the EO Plan, Student Code of Conduct and/or employee handbooks and collective bargaining agreements.

⁴ This Policy is effective as of August 14, 2020. Complaints made or claims reported prior to August 14, 2020 will generally be reviewed under the prior Sexual Misconduct and Relationship Policy or the prior EO Plan, as applicable, unless otherwise determined by the EO Director, in his/her sole discretion, with respect to continuing or ongoing violations or other pertinent circumstances.

Article II. Policy Definitions

Actual Knowledge

Notice of sexual harassment or allegations of sexual harassment to the University's Title IX Coordinator or any official of the University who has authority to institute corrective measures on behalf of the University. The mere ability or obligation to report sexual harassment or to inform a student about how to report sexual harassment, or having been trained to do so, does not qualify an individual as one who has authority to institute corrective measures on behalf of the University. Imputation of knowledge based solely on vicarious liability or constructive notice is insufficient to constitute actual knowledge. This standard is not met when the only official of the University with actual knowledge is the Respondent.

Administrative Investigator

The Administrative Investigator is an impartial fact finder who investigates alleged violations of this Policy by interviewing parties and witnesses, collecting and reviewing statements and other relevant evidence, and providing a detailed, unbiased report regarding the findings of the investigation.

Advisor

A single person of the party's choice, who may be, but is not required to be, an attorney, who may be present in any meeting or grievance proceeding, and who may inspect and review evidence. It is the advisor's responsibility to conduct cross-examination during the live hearing. The advisor's role is otherwise strictly limited to providing direct and non-disruptive assistance to the party.

Appellate Administrator/Body

The Appellate Administrator/Body is annually trained and authorized by the Title IX Coordinator or designee to conduct a review of a decision made regarding an emergency removal, dismissal of a complaint, or decision reached by a Decision Maker(s).

Coercion

Unreasonable pressure or emotional manipulation to persuade another to engage in sexual activity. When someone makes it clear that they do not want to engage in sexual behavior, or they do 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.

Complainant

An individual who is alleged to be the victim of conduct that could constitute sexual harassment under this Policy. At the time of filing a formal complaint, a Complainant must be participating in or attempting to participate in the education program or activity of the University with which the formal complaint is filed.

Consent

An understandable exchange of affirmative words or actions, which indicates a willingness by all parties to participate in mutually agreed upon sexual activity. Consent must be informed and freely and actively given. It is the responsibility of the initiator to obtain clear and affirmative responses at each stage of sexual involvement. Consent to sexual activity may be withdrawn at any time, as long as the withdrawal is communicated clearly.

Whether an individual has taken advantage of a position of influence over a Complainant may be a factor in determining consent. 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.

Day

Day may refer to a calendar day or business day and will be specified in each instance in the Policy. A calendar day is any 24-hour period including weekends and holidays. A business day is a weekday, Monday through Friday, on which the Universities are open. Business days explicitly exclude Saturdays, Sundays, and holidays on which the Universities are closed for regular business.

Decision Maker

The Decision Maker is trained to participate in the hearing process and private deliberations. Decision Makers determine the relevance of proposed questions during hearings, and issue written determinations of responsibility that include all findings, sanctions, and remedies.

Education Program or Activity

All operations of the University including locations, events, or circumstances at or in which the University exercises substantial control over both the Respondent and the context in which the sexual harassment occurs, including any building owned or controlled by a student organization that is officially recognized by the University. Additionally, education programs and activities include:

- Operations on campus or on other property owned or controlled by the University, including networks, digital platforms, social media accounts, and computer hardware or software owned or operated by, or used by the University; or
- off-campus incidents in which the University exercised substantial control over both the Respondent and the context in which the behavior occurred.

Evidence

Information that is presented to establish whether a fact is more or less true. The type and extent of evidence available will differ based on the facts of each incident, but explicitly includes the parties' own statements and statements of witnesses. Evidence may be inculpatory or exculpatory.

Exculpatory evidence is evidence that is favorable to the Respondent in that it exonerates or tends to exonerate the Respondent of responsibility.

Inculpatory evidence is evidence that shows, or tends to show, a person's involvement in an act, or evidence that can establish responsibility.

Evidence must be relevant, according to the ordinary meaning of the word.

Information or evidence protected by a legally recognized privilege (e.g., attorney/client, doctor/patient) is excluded from consideration unless the holder of the privilege has waived the privilege in writing to the Title IX Coordinator.

In addition, in accordance with Title IX regulations and the Massachusetts Rape Shield Law (Mass. G.L. c. 233, § 21B) the Respondent or their Advisor are prohibited from asking questions related to the Complainant's alleged prior sexual behavior or alleged sexual reputation unless offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent. Outside of the specific allowable exceptions, such information is not considered relevant.

Force

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, and lack of such resistance cannot be relied upon as the sole indicator of consent.

Formal Complaint

A document filed by a Complainant or signed by the Title IX Coordinator alleging sexual harassment against a Respondent and requesting that the University investigate the allegation of sexual harassment.

Incapacitation

An individual who is incapacitated by alcohol and/or drugs, whether 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.

Preponderance of Evidence

Preponderance of evidence is a standard of review. Under this standard, conclusions by the Decision Maker must be based on what “more likely than not” occurred, based on available information and evidence. Accordingly, the Decision Maker must determine whether it is more likely than not that the Respondent violated this Policy.

Respondent

An individual who has been reported to be the perpetrator of conduct that could constitute sexual harassment. A Respondent is presumed not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the grievance process.

Supportive Measures

Non-disciplinary, non-punitive individualized services offered as appropriate, as reasonably available, and without fee or charge to the Complainant or the Respondent before or after the filing of a formal complaint or where no formal complaint has been filed. Such measures are designed to restore or preserve equal access to the University’s education program or activity without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the University’s educational environment, or deter sexual harassment. Supportive measures may include, but are not limited to, counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules or dining arrangements, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, restrictions from areas of campus, leaves of absence, increased security and monitoring of certain areas of the campus, statutorily provided leave to employees, and other similar measures.

The University will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of the University to provide the supportive measures.

The Title IX Coordinator, or designee, is responsible for coordinating the effective implementation of supportive measures.

Article III. Policy Application

The Policy 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, or any other person participating in an education program or activity of the University. The Policy applies to on-campus and off-campus conduct, including online and virtual, that takes place in the United States within an education program or activity.

The Universities prohibit all forms of discrimination, harassment, and sexual misconduct. These behaviors are antithetical to the mission of the Universities and, if not covered by this Policy, the Universities ensure that such conduct is prohibited and addressed through the Policy Against Discrimination, Discriminatory Harassment, and Retaliation contained in the EO Plan, Student Code of Conduct and/or employee handbooks and collective bargaining agreements.

Article IV. Policy Dissemination

Each University will prominently display the contact information for the institution's Title IX Coordinator, including the name or title, office address, electronic mail address, and telephone number of the employee or employees designated as the Title IX Coordinator(s).

Each University will further prominently display the Title IX policy statement on its website and in each handbook or catalog that it makes available to applicants for admission and employment, students, employees, and all unions or professional organizations holding collective bargaining or professional agreements with the University.

Article V. Policy Offenses

Section V.1 Title IX Prohibited Sexual Harassment

(a) Sexual Harassment

The Universities prohibit, under this Policy, conduct on the basis of sex that satisfies one or more of the following conditions:

1. An employee of the University conditioning the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct; or,
2. Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the University's education program or activity.

Additionally, the behaviors as outlined in subsections (b) through (e) of this section constitute sexual harassment under this Policy.

(b) Sexual Assault

An offense classified as a forcible or non-forcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation. Attempts to commit any of these acts are also prohibited.

(i) Sexual Assault – Rape

The penetration, no matter how slight, of the vagina or anus, with any body part or object, or oral penetration by a sex organ of another person without the consent of the victim (or attempts to commit the same). This includes any gender of victim or Respondent.

(ii) Sexual Assault – Fondling

Fondling is the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances in which the victim is incapable of giving consent because of age and/or because of temporary or permanent mental incapacity

(iii) Statutory Rape

Sexual intercourse with a person who is under the statutory age of consent, which is 16 years old in Massachusetts.

(iv) Incest

Non-forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

(c) Dating Violence

Any act of violence or threatened violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim; the existence of such a relationship shall be determined based on a consideration of the following factors: (i) the length of the relationship, (ii) The type of relationship, and (iii) the frequency of interaction between the persons involved in the relationship. This includes, but is not limited to, sexual, emotional or physical abuse, or the threat of such abuse.

(d) Domestic Violence

Includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.

(e) Stalking

Engaging in a course of conduct directed (directly, indirectly, through a third party or other means) at a specific person that would cause a reasonable person to— (A) fear for their safety or the safety of others; or (B) suffer substantial emotional distress. For the purposes of this Policy, the behaviors must be directly related to that person's sex.

Section V.2 Retaliation

Neither the Universities nor any other person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX or this policy, or because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under Title IX or this policy.

Intimidation, threats, coercion, or discrimination, including charges against an individual for code of conduct violations that do not involve sexual harassment, but arise out of the same facts or circumstances as a report or formal complaint of sexual harassment, for the purpose of interfering with any right or privilege secured by Title IX or this policy, constitutes retaliation.

The Universities will keep confidential the identity of any individual who has made a report or complaint of sexual harassment, any Complainant, any individual who has been reported to be the perpetrator of sexual harassment,

any Respondent, and any witness, except as may be permitted by the FERPA statute, 20 U.S.C. 1232g; or FERPA regulations, 34 CFR part 99; or as required by law; or to carry out the purposes of Title IX and this policy, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder.

Exercise of rights protected under the First Amendment does not constitute retaliation. Charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of a grievance proceeding under this policy does not constitute retaliation; however, a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.

Section V.3 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.

Article VI. 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.

Section VI.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.

Section VI.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.

Article VII. Making a Report

Complainants have the right to not make a complaint to anyone. A number of reporting options are available and the Universities strongly encourage seeking support from medical, counseling, and other support services.

Section VII.1 Title IX Coordinator

Each University has designated and authorized at least one employee to coordinate its efforts to comply with its responsibilities under Title IX, who is referred to as the "Title IX Coordinator."

Any person may report sex discrimination, including sexual harassment, whether or not the person reporting is the person alleged to be the victim of conduct that could constitute sex discrimination or sexual harassment. Reports may be made in person, by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, electronic form (if available), or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Such a report may be made at any time (including during non-business hours) by using the reporting options available at the time of the report. Reports do not constitute a formal complaint under this Policy unless they meet the criteria specified in the Title IX Complaint and Resolution Procedures.

The Title IX Coordinator will assist Complainants in notifying law enforcement, if requested by the Complainant.

The Title IX Coordinator, or designee, is responsible for coordinating the effective implementation of supportive measures and is responsible for receiving and responding to requests for disability accommodations related to supportive measures and participation in the grievance process. The Title IX Coordinator may collaborate with other appropriate offices on campus to provide necessary accommodations under this policy.

The Title IX Coordinator for Worcester State University is:

Jennifer Quinn M.Ed., CHES, CTTS
Director of Title IX
Drug and Alcohol Education Prevention
Office: Student Center 338
508-929-8243
jquinn@worchester.edu
wsu_titleix@worchester.edu

Section VII.2 Law Enforcement

Complainants may file a criminal complaint with Campus Police/Public Safety, the local police department where the incident occurred, and/or other state and federal law enforcement agencies. Complainants can make both a criminal report and a report to the University and do not have to choose one or the other. The Universities encourage victims of crimes to report incidents to the police so that the police can take appropriate measures to help victims and prevent future crimes. In addition to the Title IX Coordinator, Campus Police/Public Safety will help in filing a report with local law enforcement, should the Complainant request assistance.

Complainants are never required, however, to report an incident to Campus Police/Public Safety or local law enforcement. If a Complainant elects not to make a criminal report, the Universities will respect that decision; however, the Universities may have an obligation under the Clery Act to inform Campus Police/Public Safety of an alleged crime, but will not disclose the Complainant's name.

If a Complainant chooses to make a report to Campus Police/Public Safety, an investigation will be conducted and, if the Complainant so requests, they will receive assistance in filing criminal charges against the Respondent. Campus Police/Public Safety can also assist a Complainant in the process of obtaining protective restraining orders and abuse prevention orders for sexual harassment, sexual assault, dating violence, domestic violence, and stalking.

Campus Police/Public Safety have specially trained officers to respond to complaints of sexual assault and dating/domestic violence. Whenever possible, Campus Police/Public Safety will make every effort to offer female Complainants/victims an opportunity to have a female officer present during all interviews.

Reports to law enforcement and/or criminal complaints do not constitute a formal complaint to the University under this Policy unless they meet the criteria specified in the Title IX Complaint and Resolution Procedures.

Section VII.3 Confidential Reports

Persons who have experienced prohibited forms of sexual harassment under this policy may share information confidentially with designated employees (“Confidential Employees”) who cannot reveal identifying information to any third party unless one or more of the following conditions is present:

- the individual has provided written consent to disclose information;
- there is a concern about imminent harm to self or others;
- the information concerns the neglect or abuse of someone who is a minor, elderly, or disabled; or
- an employee has been charged with providing non-identifiable information for purposes of the Clery Act.

“Confidential Employees” include:

- 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 Employee Assistance Program.

Please bear in mind, however, that if one requests certain supportive measures from the University (e.g., extension for 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 providing the requested measures. In such cases, one’s privacy will be maintained to the extent that respecting confidentiality will not impair the University’s ability to provide the requested measures. One may also confidentially report sexual harassment, sexual assault, domestic violence, dating violence, stalking, and/or retaliation as well as other forms of sexual violence and gender-based harassment to community support resources, which are not required to share information with the Universities.

Article VIII. Resources

The safety, health and well-being of the campus communities are of paramount importance to the Universities. Any person who experiences any form of sexual assault, sexual harassment, domestic violence, dating violence, stalking, or retaliation, or similar harmful behaviors regardless of whether they are expressly prohibited by this Policy, is strongly urged to speak with 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 Office of Community Standards, Residence Life, Health Services, the Counseling Center and/or Campus Police/Public Safety. The information is also listed on each University’s website.

Section VIII.1 Immediate Needs

(a) Assuring One’s Safety

If an incident occurs, the Universities encourage one to report the incident and seek both police and medical assistance. Seeking police or medical assistance does not obligate one to make a complaint or take any further action, but the decision to seek medical help and gather evidence allows one 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 help at any time, contact Campus Police/Public Safety or, during regular University business hours, contact the Title IX Coordinator.

(b) Preserving Evidence

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 prove that a crime occurred, 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.), care should be taken to preserve copies and not delete the original communication.

Section VIII.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 (Sheehan Hall, (508) 929-8875, M 8:00 am – 8:00 pm Tu-F 8:00 am – 4:00 pm). Employees may seek confidential counseling and referral services from 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/ma-sexual-assault-nurse-examiner-sane-program>.

(c) 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 information about an incident as confidential as possible while assisting in determining next steps, 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.

(d) Confidential Counseling and Support Resources on Campus

Students may access Counseling Services on a confidential basis (Counseling Center is located in the Student Center, Room 325). Employees may seek the confidential services of the EAP. All community members may access the confidential services of religious/pastoral counselors on campus, if any.

<http://www.worcester.edu/Counseling-Services/>

Section VIII.3 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.

(a) National and State Organizations

- The National Stalking Resource Center: <https://victimsofcrime.org/stalking-resource-center/>
- Stalking, Prevention, Awareness, and Resource Center (SPARC): <https://www.stalkingawareness.org/>

- National Sexual Assault Hotline: 800-656-4673 (24 hour) <https://www.rainn.org/about-national-sexual-assault-telephone-hotline>
- RAINN [Rape Abuse & Incest National Network]: 800-656-4673 (Hotline) www.rainn.org (On-Line Live Chat)
- Safelink MA Hotline: 877.785.2020 (24/7)
- MA Spanish Language Rape Crisis Center Hotline (Llamanos): 800-223-5001(Hotline)
- National Domestic Violence Hotline: 800-799-7233 (24 hour)
- Healing Abuse Working for Change (HAWC): 800.547.1649 (24/7)
- Victim Rights Law Center: 115 Broad Street, 3rd Floor Boston, MA 02110 Phone: 617-399-6720 (legal services for victims of sexual assault) <https://www.victimrights.org/>
- Crisis Text Line for People of Color: Text STEVE to 741741
- The Trevor Project (LGBTQ Suicide Hotline): 866-488-7386
- Trans Lifeline: 877-565-8860
- Our Deaf Survivors Center: VP 978-451-7225, Text 978-473-2678
- MaleSurvivor: <https://malesurvivor.org>
- National Suicide Prevention Lifeline: 800-273-8255 (Hotline)

(b) Massachusetts Office for Victim Assistance (MOVA)

MOVA upholds and advances the rights of crime victims and witnesses by providing outreach and education, policy advocacy, policy and program development, legislative advocacy, grants management, and service referrals.

(i) Sexual Assault and Rape Services

MOVA supports free services throughout Massachusetts to help victims and survivors of sexual assault and rape. These services provide a range of options to support an individual's specific needs, 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.

<https://www.mass.gov/sexual-assault-and-rape-services>

Greater Boston Area Boston Area

- Rape Crisis Center, Cambridge (BARCC): 800-841-8371 (24-hour hotline) 617-492-6434 TTY <https://barcc.org/>,

Northeastern Massachusetts

- YWCA North Shore Rape Crisis Center, Lynn/Lawrence/Haverhill: 877-509-YWCA (9922), Spanish: 800-223-5001
- Center for Hope and Healing, Lowell: 800-542-5212 Hotline, 978-452-8723 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 Support line, 508-626-8686 TTY

Southeastern Massachusetts

- A Safe Place, Nantucket: 508-228-2111 Hotline, 508-228-7095 TTY

- Cape Cod Shelter & Domestic Violence Services (508) 564-7233
- Independence House, Hyannis: (508) 771-6702 or Hotline 800-439-6507
- Independence House, Falmouth: (508) 548-0533 or Hotline 800-439-6507
- Martha's Vineyard Community Services, Oak Bluffs: (508) 693-0032 Hotline or (774) 549-9659 TTY
- The Women's Center, Greater New Bedford: Hotline (508)999-6636 or (508) 996-1177 TTY
- The Women's Center, Fall River: Hotline (508) 996-3343 or (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

(ii) Domestic Violence Services

MOVA supports free services throughout Massachusetts to help victims and survivors of domestic violence. These services provide a range of options to support an individual's specific needs.

<https://www.mass.gov/domestic-violence-services>

Section VIII.4 Private Non-Confidential Campus Resources

The Universities offer a variety of resources to those community members who have experienced or been affected by sexual harassment, sexual assault, domestic violence, dating violence, stalking, and retaliation. While the following resources are not bound by confidentiality, they will seek to keep information as confidential as possible and will only share information 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/Public Safety
- Human Resources
- Housing/Residence Life
- Student Life/Student Affairs
- Office of Community Standards
- Disability Services

The WSUPD Tip Line is also available for confidential reporting. It offers tipsters anonymity, allowing anyone to provide timely, critical information without letting those in his/her vicinity in on the communication. However, Worcester State University will likely be severely limited in investigating and responding to anonymous reports of sexual harassment, sexual violence, relationship violence, and stalking.

To provide anonymous information to WSU Police, send a text message to 274637 containing the word "WSUPD," followed by a space, and then your message. Once you submit your tip:

- University Police are immediately notified of the tip.

- University Police may respond with follow-up questions or information anonymously.
- Users receive confirmation messages for all submitted tips.

Article IX. Employees' Duty to Report

Employees of the Universities have reporting obligations, as outlined below.

Reports are not required if knowledge of the potential violations is obtained at public awareness events, in approved research projects, and as part of coursework assignments.

Reports are also not required if made to "Confidential Employees" except where one or more of the following conditions are met:

- the reporting party has provided written consent to disclose information;
- there is a concern about imminent harm to self or others;
- the information concerns the neglect or abuse of someone who is a minor, elderly, or disabled; or
- an employee has been charged with providing non-identifiable information for purposes of the Clery Act.

Section IX.1 Campus Security Authorities (CSA)

Campus Security Authorities (CSAs) are individuals who by virtue of their University responsibilities, and under the Clery Act, are designated to receive and report criminal incidents to Campus Police/Public Safety so that they may be included and published in the University's Annual Security and Fire Safety Report (Clery Report). All Employees who are designated as CSAs for the purposes of the Clery Act must immediately provide Campus Police/Public Safety with non-identifying statistical information regarding all reported incidents of sexual assault, dating violence, domestic violence, and stalking. For more information related to CSA's, please look to the Worcester State University's most recent Annual Security and Fire Report found on the University Police website, <http://www.worcester.edu/police>.

Section IX.2 Employees' Duty to Report Discrimination, Discriminatory Harassment, and Retaliation

Behavior prohibited under this Policy may also be prohibited under the Policy Against Discrimination, Discriminatory Harassment, and Retaliation. In terms of reports of discrimination, discriminatory harassment, or retaliation, any trustee, administrator, department chair, program coordinator, manager or supervisor who has knowledge of or receives such a report from a student or other member of the University community is obligated to report the information to the EO Officer or Title IX Coordinator as soon as the employee becomes aware of it. Likewise, any member of the campus community is encouraged to report to the EO Officer or the Title IX Coordinator any conduct of which they have direct knowledge and which they in good faith believe constitutes discrimination, discriminatory harassment, or retaliation. Any member of the University community who has a question about their reporting responsibilities should contact the Title IX Coordinator or EO Officer.

Section IX.3 Mandatory Reports Involving Minors and Vulnerable Adult Populations

Persons under 18 ("minors") 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 minor is suffering from abuse, sexual abuse or neglect, including the sexual misconduct prohibited by this Policy, the employee and/or the University may be obligated to comply with the mandatory child abuse reporting requirements established at Mass. G.L. c. 119, §§ 51A-E. In such cases, the employee must immediately report the matter to Campus Police/Public Safety, 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 imposes mandatory reporting requirements for certain occupations where abuse or neglect of individuals with disabilities or who are over age 60 is suspected. For more information, please contact the Title IX Coordinator or Campus Police/Public Safety.

Article X. 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 Title IX Complaint and Resolution Procedures of this Policy and of the EO Plan, subject to the provisions of any applicable collective bargaining agreements. This duty includes, among other things, speaking with the EO Officer, Title IX Coordinator, Administrative Investigator, Decision Maker, 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. Such disciplinary action does not constitute retaliation under this Policy.

Article XI. Amnesty

Students may be hesitant to report sexual harassment, sexual assault, 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 harassment and other conduct prohibited by this Policy. Accordingly, the University may elect not to pursue discipline against a student who, in good faith, reports, witnesses, or participates in an investigation of sexual harassment, sexual assault, domestic or dating violence, stalking, or retaliation.

Article XII. False Reporting

The initiation of a knowingly false report of sexual 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.

Article XIII. University Response to Sexual Harassment

When the University has actual knowledge of sexual harassment in an education program or activity of that University against a person in the United States, it will respond promptly in a manner that is not deliberately indifferent.

The University is deliberately indifferent only if its response to sexual harassment is clearly unreasonable in light of the known circumstances.

The University's response will treat Complainants and Respondents equitably by offering supportive measures to a Complainant, and by following a grievance process that complies with those outlined in the Title IX Complaint and Resolution Procedures section of this document before the imposition of any disciplinary sanctions or other actions that are not supportive measures against a Respondent.

Upon actual notice, the Title IX Coordinator will promptly contact the Complainant to discuss the availability of supportive measures, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of the availability of supportive measures with or without the filing of a formal complaint, and explain to the Complainant the process for filing a formal complaint.

Section XIII.1 Emergency Removal of Respondent

The University may remove a Respondent from the University's education program or activity on an emergency basis, provided that the University undertakes an individualized safety and risk analysis, determines that an immediate threat to the physical health or safety of any student or other individual arising from the allegations of sexual harassment justifies removal, and provides the Respondent with notice and an opportunity to challenge the decision immediately following the removal.

Section XIII.2 Administrative Leave of Employee

The University may place an employee on paid administrative leave during the pendency of a grievance process under this Policy when it reasonably concludes that the employee: (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 the specific reason(s) for the paid administrative leave. During the paid administrative leave, the University reserves the right to prohibit the employee from entering upon the University's property or participating in any University activities absent written authorization from an appropriate University official. The status of the paid administrative leave may change over time as determined to be appropriate and effective. The failure of an employee to comply with the paid administrative leave terms may result in further action or discipline consistent with applicable collective bargaining agreements or employee handbooks.

Section XIII.3 Response to a Formal Complaint

In response to a formal complaint, the University must follow a grievance process that complies with the Title IX Complaint and Resolution Procedures section of this document.

Article XIV. Written Notification of Rights

The Universities will notify Complainants alleging sexual harassment, sexual assault, domestic violence, dating violence, and stalking under this Policy in writing that they have the following rights to:

- an explanation of the options available;
- referrals to confidential assistance and support services from both on- and off-campus resources, including 24-hour services;
- a change in on-campus residence and/or an adjustment to their academic schedule if such changes are reasonably available;
- request that the University impose no contact/communication orders or other supportive measures;
- choose whether or not to make a formal complaint, which would initiate a formal investigation, unless the University deems it necessary to investigate to protect the safety of the community or in compliance with applicable law;
- file no complaint with the University, but receive supportive measures from the University;
- a prompt, thorough, and equitable investigation and resolution of a complaint;
- the confidentiality of the investigation process to the extent possible (reference to confidentiality section);
- know, in advance, the names of all persons known to be involved;
- an advisor of their choice who can be present at any time during the complaint resolution proceedings, including the Administrative Investigation. In addition, this Advisor will participate in the live hearing as the representative of the Complainant who shall cross-examine the Respondent and any witnesses, but whose participation in the process is otherwise limited as outlined in this Policy;
- an advisor provided by the University during the live hearing if you do not have one;
- reasonable accommodations for a documented disability during the process;
- not to have irrelevant sexual history discussed;
- be present at certain meetings and inspect, review and respond to evidence before completion of the investigative report;

- speak and present information on their own behalf, including inculpatory and exculpatory evidence;
- provide witnesses, including fact and expert witnesses;
- submit questions for the Administrative Investigator to ask witnesses;
- know the status of the case at any point during the process;
- be provided with a copy of the Investigative Report and an opportunity to respond to the report in advance of the live hearing;
- be informed of the outcome of the process in a timely manner;
- an appeal from the outcome of the process (if proper grounds for appeal exist);
- file a police report and/or take legal action separate from and/or in addition to the University discipline process;
- seek and enforce a harassment prevention order, restraining or similar court order;
- be assisted by the University in seeking assistance from or filing a complaint with local law enforcement;
- not file a complaint or seek assistance from local law enforcement, but receive supportive measures from the University;
- be free from any behavior that may be construed by the University to be intimidating, harassing or, retaliatory; and
- have the matter handled in accordance with University policy.

The Universities will notify parties who are Respondents to claims of sexual harassment, sexual assault, domestic violence, dating violence, and stalking under this Policy in writing that they have the following rights to:

- an explanation of the allegation(s) against them, including sufficient details known at the time;
- sufficient time to prepare a response to the allegation(s) before any initial interview;
- referrals to confidential assistance and support measures from both on- and off-campus resources, including 24-hour services;
- request that the University impose no contact/no communication orders or other supportive measures;
- receive a copy of the complaint filed against them;
- know, in advance, the names of all persons known to be involved;
- be presumed not in violation of University Policy and that a determination of responsibility is made at the conclusion of the grievance process;
- the confidentiality of the investigation process to the extent possible (reference to confidentiality section);
- an advisor of their choice who can be present at any time during the complaint resolution proceedings, including the Administrative Investigation. In addition, this Advisor will participate in the live hearing as the representative of the Respondent who shall cross-examine the Complainant and any witnesses, but whose participation in the process is otherwise limited as outlined in this Policy. 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, in addition to an advisor of their choice unless such advisor is also the Weingarten representative;
- an advisor provided by the University during the live hearing if you do not have one;
- reasonable accommodations for a documented disability during the process;
- not to have irrelevant sexual history discussed;
- be present at certain meetings and inspect, review and respond to evidence before completion of the investigative report;
- speak and present information on their own behalf, including evidence inculpatory and exculpatory evidence;
- provide witnesses, including fact and expert witnesses;
- submit questions for the Administrative Investigator to ask witnesses;
- know the status of the case at any point during the investigation and resolution process;
- be provided with a copy of the Investigative Report and an opportunity to respond to the report in advance of the live hearing;

- be informed of the outcome of the process in a timely manner;
- an appeal from the outcome of the process (if proper grounds for appeal exist);
- be free from any behavior that may be construed by the University to be intimidating, harassing, or retaliatory; and
- have the matter handled in accordance with University policy.

Article XV. Training

The University ensures that Title IX Coordinators, Administrative Investigators, Decision Makers, Appellate Administrators, and any person who facilitates an informal resolution process receive annual training on:

- the definition of sexual harassment under this policy,
- the scope of the University's education program or activity,
- the Title IX Complaint Resolution Procedures, including how to conduct investigations, hearings, appeals, and informal resolution processes, as applicable, and
- how to serve impartially, including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias.

Each University ensures that investigators receive training on issues of relevance to create an Investigative Report that fairly summarizes relevant evidence.

The University ensures that Decision Makers receive training on any technology to be used at a live hearing and on issues of relevance of questions and evidence, including when questions and evidence about the Complainant's sexual predisposition or prior sexual behavior are not relevant.

All available materials used to train Title IX Coordinators, Administrative Investigators, Decision Makers, Appellate Administrators, and any person who facilitates an informal resolution process will be made publicly accessible on the University's website.

Article XVI. Recordkeeping

The University will create, and maintain for a period of not less than seven years, unless a longer period of retention is required by law, records of any actions, including any supportive measures, taken in response to a report or formal complaint of sexual harassment. In each instance, the University will document the basis for its conclusion that its response was not deliberately indifferent, and document that it has taken measures designed to restore or preserve equal access to the University's education program or activity.

If the University does not provide a Complainant with supportive measures, then the University will document the reasons why the University did not provide such measures. The documentation of certain bases of measures does not limit the University in the future from providing additional explanations or detailing additional measures taken.

Furthermore, the University will maintain for a period of not less than seven years, unless a longer period of retention is required by law, records of:

- each sexual harassment investigation including any determination regarding responsibility and any audio or audiovisual recording or transcript of the hearing, any disciplinary sanctions imposed on the Respondent, and any remedies provided to the Complainant designed to restore or preserve equal access to the University's education program or activity;
- any appeal and the result therefrom;
- any informal resolution and the result therefrom.

Article XVII. 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.

Article XVIII. Compliance Concerns

Persons concerned about the University's handling of a Title IX report or investigation, may bring their concerns to the attention of the University's Title IX Coordinator. Concerns may also be reported 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

Article XIX. Title IX Complaint and Resolution Procedures

The Universities have adopted the following grievance procedures that provide for the prompt and equitable resolution of student and employee complaints alleging any action that would be prohibited by this policy.

Unless otherwise specified, the provisions, rules, or practices in this grievance process for handling formal complaints of sexual harassment under Title IX apply equally to both parties. Proceedings under the Title IX Complaint and Resolution Procedures shall be prompt, fair, and impartial, and be conducted by officials who receive annual training, as addressed in Article XV.

The Title IX Complaint and Resolution Procedures treat Complainants and Respondents equitably by:

- providing remedies to a Complainant where a determination of responsibility for sexual harassment has been made against the Respondent; and
- following an investigation and hearing process that complies with this section before imposing any disciplinary sanctions or other actions that are not supportive measures against a Respondent.

Remedies are designed to restore or preserve equal access to the University's education program or activity. Such remedies may include the same individualized services described as "supportive measures"; however, remedies may be disciplinary or punitive and place burden on the Respondent.

The Title IX Complaint and Resolution Procedures include an objective evaluation of all relevant evidence, including both inculpatory and exculpatory evidence, and provides for credibility determinations that are not based on a person's status as a Complainant, Respondent, or witness.

Section XIX.1 Freedom from Bias and Conflict of Interest

The University requires that any individual designated as a Title IX Coordinator, investigator, Decision Maker, or any person designated to facilitate an informal resolution process not have a conflict of interest or bias for or against Complainants or Respondents generally, or an individual Complainant or Respondent.

Section XIX.2 Parties to a Complaint

The parties to a complaint are the Complainant, who is the alleged victim of conduct that could constitute sexual harassment; and the Respondent, who is the alleged perpetrator of conduct that could constitute sexual harassment.

A Respondent is presumed not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the Title IX Complaint and Resolution Procedures.

Section XIX.3 Making a Formal Complaint

A formal complaint is a document filed by a Complainant or signed by the Title IX Coordinator alleging sexual harassment against a Respondent and requesting that the University formally investigate.

At the time of filing a formal complaint, a Complainant must be participating in, or attempting to participate in, the education program or activity of the University with which the formal complaint is filed. Formal complaints may be made in person, by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, electronic form (if available), or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report.

The "document filed by a Complainant" may be a document or electronic submission (such as by electronic mail) that contains the Complainant's physical or digital signature, or otherwise indicates that the Complainant is the person filing the formal complaint.

Reports made to University employees, including the Title IX Coordinator and campus law enforcement, do not constitute a formal complaint under this Policy unless they meet the aforementioned criteria in this section.

Where the Title IX Coordinator signs a formal complaint, the Title IX Coordinator is not a Complainant or otherwise a party in the Title IX Complaint and Resolution Procedures.

While the Universities encourage prompt reporting of incidents of sexual harassment, sexual assault, domestic violence, dating violence, and stalking, as well as retaliation, they do not limit the timeframe for filing a complaint under this Policy. 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 Complainants, Respondents, or witnesses. A prompt report will enable the University to most effectively respond to a complaint.

(a) Dismissal of a Formal Complaint

The University must investigate the allegations in a formal complaint. However, if the conduct alleged in the formal complaint would not constitute sexual harassment as defined by this Policy even if proved, did not occur in the University's education program or activity, or did not occur against a person in the United States, then the University must dismiss the formal complaint with regard to that conduct for purposes of sexual harassment under Title IX and this Policy. A dismissal of a formal complaint under this Policy for one of the aforementioned reasons does not preclude action under another University policy or its Code of Conduct.

The University may dismiss the formal complaint or any allegations therein, if at any time during the investigation or hearing: a Complainant notifies the Title IX Coordinator in writing that the Complainant would like to withdraw the formal complaint or any allegations therein; the Respondent is no longer enrolled or employed by the University; or specific circumstances prevent the University from gathering evidence sufficient to reach a determination as to the formal complaint or allegations therein.

Upon a dismissal required or permitted pursuant to this section, the University will promptly send written notice of the dismissal and reason(s) therefore simultaneously to the parties. Any party may appeal the dismissal of a formal complaint, in accordance with the appeal process described in Section XIX.6(j).

(b) Consolidation of Formal Complaints

The University may consolidate formal complaints of sexual harassment allegations against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other party, where the allegations of sexual harassment arise out of the same facts or circumstances.

Where the formal complaint process involves more than one Complainant or more than one Respondent, references in this policy to the singular “party,” “Complainant,” or “Respondent” include the plural, as applicable.

(c) Concurrent Investigations

In some circumstances, the Respondent’s alleged conduct violating this Policy may constitute a potential violation of other University conduct policies such as the Policy Against Discrimination, Discriminatory Harassment, and Retaliation and/or the Student Code of Conduct. To avoid duplicative efforts, the University may undertake a concurrent investigation of the alleged conduct. Where such concurrent investigation takes place, the University will use the Title IX Complaint and Resolution Procedures, provided however that cross-examination in the live hearing may be restricted to only questions relevant to allegations of violations of the Title IX Sexual Harassment Policy. Based on the findings of the concurrent investigation, the Respondent may be subject to disciplinary action for violations of this Policy as well as the Policy Against Discrimination, Discriminatory Harassment, and Retaliation and/or the Student Code of Conduct, as well as other policy violations. If a formal complaint is dismissed in accordance with Article XIX, Section XIX.3 (a), an investigation may continue under other University conduct policies and the procedures prescribed for alleged violations of those policies.

Section XIX.4 Notice of Allegations

Upon receipt of a formal complaint in writing, the University will promptly provide the following written notice to the parties who are known:

- Notice of the allegations of behavior potentially constituting sexual harassment as defined in this Policy, including sufficient details known at the time and with sufficient time to prepare a response before any initial interview. Sufficient details include the identities of the parties involved in the incident, if known; the conduct allegedly constituting sexual harassment under this Policy; and the date and location of the alleged incident, if known.
- To a party whose participation is invited or expected, written notice of the date, time, location, participants, and purpose of all investigative interviews, other meetings, or hearings with sufficient time for the party to prepare to participate.
- Notice of the Title IX Complaint and Resolution Procedures, including any potential informal resolution process.
- A statement that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the Title IX Complaint Resolution Procedures.
- A statement to the parties that they may have an advisor of their choice.
- A statement to the parties that they may inspect and review evidence.
- A statement informing the parties of any provision in this Policy or the University’s Code of Conduct that prohibits knowingly making false statements or knowingly submitting false information during the Title IX Complaint and Resolution Procedures.

A Respondent has ten (10) calendar days in which to respond to the complaint after the Notification of Allegations. In cases where a Respondent refuses or fails to participate in the investigation and resolution process, the

University may continue the process without the 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.

At any point after receiving the notice of allegations, including during the investigation and live hearing, a Respondent to any formal complaint may agree to the allegations and the recommended sanction(s).

(a) Amending Allegations

If, in the course of an investigation, the University decides to investigate allegations about the Respondent or Complainant that are not included in the original notice of complaint, the University will provide notice of the additional allegations to the parties whose identities are known.

Section XIX.5 Resolution Options

The Title IX Complaint and Resolution Procedures offer two options, the Informal Resolution Option and the Formal Resolution Option.

(a) Informal Resolution Option

Parties may have the option to request to resolve their formal complaint through a voluntary informal resolution process offered by the University (such as mediation) that does not involve a full investigation and adjudication. If the University offers it, the option to participate in an informal resolution process can be chosen when the formal complaint is filed or at any time prior to reaching a determination regarding responsibility. The University can facilitate an informal resolution process, provided that the University has:

- Provided to the parties a written notice disclosing:
 - the allegations;
 - the requirements of the informal resolution process including:
 - the parties' inability to resume a formal investigation arising from the same alleged conduct once a mutually agreed upon resolution is reached through the informal process, and
 - the parties' right, at any time prior to agreeing to a resolution through the informal resolution process, to withdraw and resume the formal investigation procedures with respect to the formal complaint;
 - any consequences resulting from participating in the informal resolution process, including the records that will be maintained;
 - information on the records that will be maintained or could be shared as a result of participation in the informal resolution process, as required or allowable under FERPA, collective bargaining agreements, employee handbooks, or applicable regulations; as required by law; or as otherwise deemed appropriate;
- Obtained the parties' voluntary, written consent to the informal resolution process.

The University will not offer or facilitate an informal resolution process to resolve allegations that an employee sexually harassed a student. Similarly, the University does not require the parties to participate in an informal resolution process.

The matter will be deemed resolved when all parties expressly agree to an outcome that is acceptable to them and to the University. The University will create a written record of any such agreement. The University will also ensure a reasonably prompt time frame for an informal resolution process, if it is offered and utilized. Every attempt will be made to conclude the Informal Resolution Option within sixty (60) calendar days of the date of the request.

(b) Formal Resolution Option

The process for resolving a formal complaint through the formal resolution option consists of three major stages: the investigation, the live hearing, and a possible appeal.

If a complaint has been properly filed, either by a Complainant or signed by the Title IX Coordinator, 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.

Following the investigation, a live hearing will be held and presided over by a Decision Maker who is neither the Investigator nor the Title IX Coordinator. All complaints pursued under the Title IX Complaint and Resolution Procedures will be evaluated under a “preponderance of the evidence” standard. Under this standard, conclusions must be based on what “more likely than not” occurred.

A written determination is issued after the live hearing and parties have the right to appeal the decision on specific permissible grounds, as outlined in Section XIX.6 j.

Section XIX.6 Formal Resolution Process

(a) Timeframe

The University will attempt to investigate a complaint within sixty (60) calendar days after the notification of allegations. If, for good cause, an investigation is temporarily delayed, the University will provide the parties written status updates at reasonable intervals until the investigation is completed that explains the reason for the delay or extension. Good cause for limited delays may include considerations such as the absence of a party, a party’s advisor, or a witness; concurrent law enforcement activity; the need for language assistance or accommodation of disabilities; the complexity or severity of a complaint; and breaks in the academic calendar or exam periods. While the University will make reasonable efforts to accommodate the availability of parties, their advisors, and witnesses, a party, their advisor, or a witness may not delay the process indefinitely by refusing to attend or otherwise participate in the process.

The University will attempt to conclude the hearing within fifteen (15) business days of receipt of the Investigation Report.

The University will attempt to conclude the appeal process within thirty (30) business days of receipt of the appeal.

(b) Investigation

The investigation may include, but is not limited to:

- interviews of the parties and other individuals and/or witnesses; and/or reviewing certain documents or materials in the possession of either party or any witness that the Administrative Investigator has deemed relevant;
- consideration of all relevant documents, including written statements and other materials presented by the parties and witnesses;
- evidence collection, including but not limited to, documents, text messages, emails, social media posts and messages, photographs, surveillance camera footage, door lock interrogations, card access records, guest sign-in logs, academic records, employee records and personnel documentation, and law enforcement reports;
- the Administrative Investigator’s findings of fact based on the preponderance of the evidence standard;
- the Administrative Investigator’s analysis of allegations, defenses, and evidence presented in order to make the factual findings.

(c) Burden of Proof

The burden of proof and the burden of gathering evidence sufficient to reach a determination regarding responsibility rest on the University and not on the parties. The University cannot access, consider, disclose, or otherwise use a party's records that are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in the professional's or paraprofessional's capacity, or assisting in that capacity, and which are made and maintained in connection with the provision of treatment to the party, unless the University obtains that party's voluntary, written consent to do so for a formal investigation.

(d) Right to an Advisor of Choice

The Complainant and Respondent have an equal opportunity to be accompanied to any related meeting or proceeding by an advisor of their choice. The University does not limit the choice or presence of an advisor for either the Complainant or Respondent in any meeting or grievance proceeding; however, the University may establish restrictions regarding the extent to which the advisor may participate in the proceedings. The University maintains the right to remove an advisor from any meeting or proceeding if the advisor is disruptive. The meeting or proceeding may then be delayed to allow the party to secure another advisor.

(e) Equal Opportunity to Present, Review, and Respond to Evidence

Both parties are afforded an equal opportunity to present witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence. The University does not restrict the ability of either party to discuss the allegations under investigation or to gather and present relevant evidence.

So that each party can meaningfully respond to the evidence prior to conclusion of the investigation, both parties are provided an equal opportunity to review:

- any evidence obtained as part of the investigation that is directly related to the allegations raised in a formal complaint;
- the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility; and
- inculpatory or exculpatory evidence whether obtained from a party or other source.

The University will provide each party and the party's advisor, if any, any evidence subject to review in an electronic format or a hard copy. The parties will have ten (10) calendar days to review the evidence and submit a written response, which the investigator will consider prior to completion of the Investigative Report.

The Administrative Investigator will review the written responses to the evidence, if any, and, based on the information provided, conduct any additional investigation that may be necessary prior to the completion of the Investigative Report. The University will make all such evidence subject to the parties' review available at any hearing to give each party equal opportunity to refer to such evidence during the hearing, including for purposes of cross-examination.

(f) Investigative Report

Following the opportunity for the parties to review the evidence and respond in writing, the Administrative Investigator will create an Investigative Report that fairly summarizes relevant evidence, the Administrative Investigator's findings of fact based on the preponderance of the evidence standard and the Administrative Investigator's analysis of allegations, defenses, and evidence presented in order to make the factual findings.

At least ten (10) calendar days prior to a hearing the investigator will send each party and the party's advisor, if any, the Investigative Report in an electronic format or a hard copy, for their review and written response. The parties have five (5) calendar days to submit a written response to the Administrative Investigator. The Investigative Report and written responses, if submitted, will be forwarded by the Administrative Investigator to the Decision Maker promptly upon receipt of the written responses or upon the response deadline.

(g) Live Hearing

The Title IX Complaint and Resolution Procedures include a live hearing presided over by a Decision Maker.

Parties are requested to give the University five (5) business days of advance notice of the advisor who will accompany them to the live hearing. If a party does not have an advisor, they are requested to notify the University five (5) business days in advance of the hearing so the University is able to provide them with an advisor.

At the University's discretion, live hearings may be conducted in-person or virtually where the parties, witnesses, and other participants are able to simultaneously see and hear each other with enabling technology.

At the request of either party, the University will provide for the live hearing to occur with the parties located in separate rooms with technology enabling the Decision Maker(s) and parties to simultaneously see and hear the party or the witness answering questions.

The University will create an audio or audiovisual recording, or transcript, of any live hearing and make it available to the parties for review upon request.

(i) Cross-Examination

At the live hearing, the Decision Maker(s) will permit each party's advisor to ask the other party and any witnesses all relevant questions and follow-up questions, including those challenging credibility.

Such cross-examination at the live hearing must be conducted directly, orally, and in real time by the party's advisor and never by a party personally.

Only relevant cross-examination and other questions may be asked of a party or witness. Before a Complainant, Respondent, or witness answers a cross-examination or other question, the Decision Maker(s) must first determine whether the question is relevant and explain any decision to exclude a question as not relevant. Questions and evidence about the Complainant's sexual predisposition or prior sexual behavior are not relevant, unless:

- such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant, or
- if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.

If a party does not have an advisor present at the live hearing, the University will provide that party an advisor of the University's choice to conduct cross-examination on the party's behalf.

If a party or witness does not submit to cross-examination at the live hearing, the Decision Maker(s) must not rely on any statement of that party or witness in reaching a determination regarding responsibility. The Decision Maker(s) cannot draw an inference about the determination regarding responsibility based solely on a party's or witness's absence from the live hearing or refusal to answer cross-examination or other questions.

(h) Determination Regarding Responsibility

The Decision Maker(s) will make every reasonable effort to submit a written determination regarding responsibility to the Title IX Coordinator within ten (10) business days after the conclusion of the live hearing.

To reach this determination, the Decision Maker(s) will apply the preponderance of evidence standard in all formal complaints of sexual harassment against students, faculty, and staff.

The written determination will include:

- identification of the allegations potentially constituting sexual harassment;

- a description of the procedural steps taken from the receipt of the formal complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;
- findings of fact supporting the determination;
- conclusions regarding the application of the Title IX Sexual Harassment Policy to the facts; a statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions the University imposes on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education program or activity will be provided by the University to the Complainant; and
- the University's procedures and permissible bases for the Complainant and Respondent to appeal.

The Title IX Coordinator will provide the written determination to the parties simultaneously.

The determination regarding responsibility becomes final either on the date that the University provides the parties with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.

The Title IX Coordinator is responsible for effective implementation of any remedies.

(i) Possible Sanctions and Remedies

(i) For Faculty and Staff (employee) Respondents

Disciplinary action taken against an employee shall be regarded as an administrative action, up to and including termination.

Additional disciplinary action shall also be taken against an employee who violates a sanction or sanctions imposed pursuant to this Policy.

(ii) For Student Respondents

A student who has been found to have violated the Sexual Harassment Policy may be subject to sanctions including, but not limited to:

- | | |
|----------------------------------|----------------------------------------------------|
| • reprimand | • relocation of residence |
| • fines and/or restitution | • revocation of admission or degree |
| • warning | • restriction from facilities or activities |
| • disciplinary hold | • withholding of degree |
| • disciplinary probation | • temporary or permanent residence hall suspension |
| • assessment | • suspension |
| • loss of privileges | • expulsion |
| • educational program or project | |

In general, the sanction typically imposed for students for rape is expulsion. The sanction typically imposed for students for other forms of sexual assault, 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 Policy. Depending on the nature of the violation, such discipline may be imposed pursuant to the provisions of this Policy or pursuant to the applicable provision of the Student Code of Conduct.

(iii) Additional Remedies Following Finding of a Violation

Where necessary, the University will provide additional measures to remedy the effects of a violation. These remedies are separate from, and in addition to, any supportive 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 supportive 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.

(j) Appeals

Either party may appeal a determination regarding responsibility, a dismissal of a formal complaint, or any allegations therein, on the following bases:

- procedural irregularity that affected the outcome of the matter;
- new evidence that could affect the outcome of the matter was not reasonably available at the time the determination regarding responsibility or dismissal was made; and
- the Title IX Coordinator, investigator(s), or Decision Maker(s) had a conflict of interest or bias for or against either Complainants or Respondents generally, or the individual Complainant or Respondent, which affected the outcome of the matter.

Appeals of the written determination made by the Decision Maker(s) must be submitted within ten (10) calendar days of receipt of the written determination. Appeals of the dismissal of a formal complaint, or any allegations therein, must be submitted within ten (10) calendar days of receipt of the written notification of such action.

The University will notify the other party in writing when an appeal is filed and implement appeal procedures equally for both parties. The Appellate Administrator/Body will not be the same person as the Decision Maker(s) who reached the determination regarding responsibility or dismissal, the Administrative Investigator(s), or the Title IX Coordinator.

The Appellate Administrator/Body will issue a written decision describing the result of the appeal and the rationale for the result, and provide the written decision simultaneously to both parties.

Where practicable, the appeal process will be concluded within thirty (30) business days of receipt of the appeal.

Section XIX.7 Formal Complaint Resolution Timeline

The timeline maybe adjusted based upon the considerations set forth in the Title IX Complaint and Resolution Procedures, but no party will be deprived of the minimum review periods provided for in this Policy.

Formal Complaint Investigation Steps

Complaint Received and Notification of
Allegations sent to the Respondent
Respondent's Response

Investigation

Evidence Review & Response

Investigative Report

Investigative Report Review & Response

Timeframe

Promptly after formal complaint received

Written response, if any, due 10 calendar days after notice of
allegations

To be concluded, where practicable, within 60 calendar days of
notice of allegations

Parties have 10 calendar days to review evidence and submit written
response

Provided to parties at least 10 calendar days prior to live hearing

Written response must be submitted by parties at least 5 calendar

Live Hearing	days before live hearing Within 15 business days of receipt of written responses to Investigative Report
Determination of Responsibility	Within 10 business days of conclusion of the live hearing
Appeal Submittal	Due within 10 calendar days of written determination
Appeal Response	To be concluded, where practicable, within 30 calendar days of receipt of written appeal

How to Be an Active Bystander

Bystander intervention means safe and positive options that may be carried out by an individual or individuals to prevent harm or intervene when there is a risk of dating violence, domestic violence, sexual assault, or stalking. Bystander intervention includes recognizing situations of potential harm, understanding institutional structures and cultural conditions that facilitate violence, overcoming barriers to intervening, identifying safe and effective intervention options, and taking action to intervene.

Bystanders play a critical role in the prevention of sexual and relationship violence. We want to promote a culture of community accountability where bystanders are actively engaged in the prevention of violence without causing further harm. We may not always know what to do even if we want to help. If you or someone else is in immediate danger, call University Police at (508) 929-8911, or the local police by dialing 911. This could be when a person is yelling at or being physically abusive towards another and it is not safe for you to interrupt.

Sex Offender Registry and Access to Related Information

The federal "Campus Sex Crimes Prevention Act" (P.L. 106-386, Sec. 1601) (the "CSCPA"), enacted on October 28, 2000, became effective on October 28, 2002. This law requires institutions of higher education to advise the members of their campus communities of the location where to obtain information concerning individuals employed by, enrolled in, and/or serving at the institution who are registered sex offenders. Under the provisions of the same law, individuals who are required to register with the appropriate state office as sex offenders must inform the state office in which they are registered whenever they enroll in, become employed by, or undertake a vocation at an institution of higher education. The CSCPA requires the state Sex Offender Registry offices to notify an institution of higher education whenever a sex offender on its registry provides notice he or she is enrolled in, employed by, or has undertaken a vocation at that institution and to provide information concerning that individual. The CSCPA does not require institutions of higher education to request information from state sex offender registries.

At Worcester State University, all publicly available information received from state Sex Offender Registry offices will be maintained by the Worcester State University Police Department. Any member of the public who is at least 18 years of age or older may request sex offender information. The information will be provided to any person who is seeking the information for his/her own protection, for the protection of a child under the age of 18, or for the protection of another person for whom the requesting person has responsibility, care, or custody. Information concerning an individual enrolled in, employed by, or undertaking a vocation at Worcester State University who is required to register as a sex offender may be obtained by appearing in person at the Worcester State University Police Department in Wasylean Hall and asking to review the registered sex offender log.

Additional information about persons required to register as sex offenders and how to obtain information concerning such persons may be obtained from the Massachusetts Sex Offender Registry Board, P.O. Box 4547, Salem, MA 01970; 1-800-93-MEGAN; www.mass.gov/sorb or from the Worcester Police Department. Information from the Sex Offender Registry Board is available concerning those sex offenders who have been finally classified by the Board as Level 2 (Moderate Risk) or Level 3 (High Risk) offenders.

Persons seeking Sex Offender Registry information should be aware there are criminal penalties for use of Sex Offender Registry information to commit a crime or to engage in illegal discrimination or harassment of an offender.

MISSING STUDENT POLICY FOR STUDENTS WHO RESIDE ON-CAMPUS⁵

The purpose of this policy is to establish procedures for Worcester State's response to reports of missing students, as required by the Higher Education Opportunity Act of 2008 (Section 488). This policy applies to students who reside in Worcester State-operated residence halls.

For the purposes of this policy, a student may be considered to be "missing" if the person's absence is contrary to their usual pattern of behavior and unusual circumstances may have caused the absence. Such circumstances include a reasonable/reliable report or suspicion that the missing student may be endangered. Examples include, but are not limited to, victim of foul play, expression of suicidal thoughts, alcohol or other drug abuse, a life-threatening situation, or recent contact with person(s) who may endanger the student's welfare.

Any individual on campus who has information that a residential student may be a missing person must notify the Worcester State Police Department immediately.

Procedures for Designation of Emergency Contact Information

Students age 18 and above and emancipated minors

Upon check-in to the residence halls, residential students must designate an individual(s) to be contacted by Worcester State no more than 24 hours after the time that the student is determined to be missing. A designation will remain in

effect until changed or revoked by the student. All emergency contact forms will be stored electronically.

Students under the age of 18

In the event a student who is not emancipated is determined to be missing, Worcester State is required to notify a custodial parent or guardian no more than 24 hours after the student is determined to be missing.

If a member of the University community has reason to believe that a student who resides in on-campus housing is missing, the Worcester State University Police should be contacted immediately at 508-929-8911. This call will generate an incident report and initiate an investigation to attempt to locate the missing student. WSU has a detailed and specific protocol for conducting missing person investigations, utilizing a wide range of electronic resources as well as making personal contact with friends, classmates, co-workers and relatives.

⁵ All missing student contact information that has been provided to the University will be maintained confidentially. This information will only be accessible to authorized campus officials, and it may not be disclosed, except to law enforcement in furtherance of a missing person investigation.

If WSU determines that a student is missing, the Worcester Police Department, the police department of the community where the missing student maintains a home of record, and the person designated as the student's emergency contact will be notified no later than 24-hours after the student is determined to have been missing. If the missing student is under the age of 21, a missing person notice will be posted on the national police information network. If the missing student is under the age of 18 and is not an emancipated individual, Worcester State will notify the student's parent or legal guardian immediately after WSU has determined that the student has been missing.

In addition to registering the name of a person as an emergency contact, students residing in on-campus housing have the option to identify confidentially an individual to be contacted by Worcester State in the event the student is determined to be missing. If a student has identified such an individual, Worcester State will notify that individual after the student is determined to be missing. Students who wish to identify a confidential contact for this purpose can do so through the Office of Residence Life.

CRIME STATISTICS

The Clery Act requires that crime statistics concerning the occurrence of certain crimes reported to campus security authorities be published for the most recent calendar year and the two preceding calendar years for which data is available in the following geographical categories:

- A. On-campus;
- B. In dormitories or other residential facilities for students on campus;
- C. In or on a non-campus building or property; and
- D. On public property.

CLERY DEFINITIONS

The Clery Act requires that statistics for the following crimes be reported:

1. **Criminal Homicide**
 - a. **Murder (non-negligent manslaughter):** the willful (non-negligent) killing of one human being by another
 - b. **Manslaughter by Negligence:** the killing of another person through gross negligence
2. **Sexual Assault (Sex Offenses):** An offense that meets the definition of rape, fondling, incest, or statutory rape as used in the FBI's Uniform Crime Reporting (UCR) program. Per the National Incident-Based Reporting System User Manual from the FBI UCR Program, A sex offense is "any sexual act directed against another person, without consent of the victim, including instances where the victim is incapable of giving consent.
 - a. **Rape:** the penetration, no matter how slight, of the vagina or anus, with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
 - b. **Fondling:** the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.
 - c. **Incest:** sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

- d. **Statutory Rape:** sexual intercourse with a person who is under the statutory age of consent.
3. **Robbery:** the taking or attempting to take anything of value from care, custody, or control of a person or persons by force or threat of force or violence and/or by putting the victim in fear.
 4. **Aggravated Assault:** an unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm.
 5. **Burglary:** the unlawful entry of a structure to commit a felony or theft.
 6. **Motor Vehicle Theft:** the theft or attempted theft of a motor vehicle.
 7. **Arson:** any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.
 8. **Weapons Violations:** the violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices or other deadly weapons. This classification encompasses weapons offenses that are regulatory in nature.
 9. **Drug Abuse Violations**⁶: the violation of laws prohibiting the production, distribution and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use. The unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation or importation of any controlled drug or narcotic substance. Arrests for violations of state and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing, and making of narcotic drugs.
 10. **Liquor Law Violations:** the violation of state or local laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession or alcoholic beverages, not including driving under the influence and drunkenness.
 11. **Domestic Violence:** a felony or misdemeanor crime of violence committed—
 - By a current or former spouse or intimate partner of the victim;
 - By a person with whom the victim shares a child in common;
 - By a person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner;
 - By a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred;
 - By any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

To categorize an incident as Domestic Violence, the relationship between the perpetrator and the victim must be more than just two people living together as roommates. The people cohabitating must be current or former spouses or have an intimate relationship.
 12. **Dating Violence** - violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship, and

⁶ The Commonwealth of Massachusetts has changed its laws concerning marijuana use. Worcester State University does not permit use on campus. Though referrals that occur for this conduct are not counted for *Clery* reporting purposes, students who violate this policy will still face judicial consequences as outlined in the Student Handbook.

the frequency of interaction between the persons involved in the relationship. For the purposes of this definition—

- Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse.
- Dating violence does not include acts covered under the definition of domestic violence.

13. Stalking:

- a. engaging in a course of conduct directed at a specific person that would cause a reasonable person to—
 - Fear for the person’s safety or the safety of others; or
 - Suffer substantial emotional distress.
- b. For the purposes of this definition –
 - Course of conduct means two or more acts, including but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.
 - Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim.
 - Substantial emotional distress means significant mental suffering or anguish that may, but does not necessarily require medical or other professional treatment or counseling.

Stalking may occur in a range of formats including, but not limited to, in-person, written letters or notes, voice mail, email, texting, following someone utilizing global position system (GPS), video and audio recording, and social networking.

- 14. Hate Crime:** a criminal offense that manifests evidence that the victim was intentionally selected because of the perpetrator’s bias against the victim. For purposes of the Clery Act, hate crimes are those that manifest evidence the victim was intentionally selected because of his or her actual or perceived race, gender, religion, sexual orientation, ethnicity, disability, national origin or gender identity.

Statistics included in this report are taken from a variety of sources, including the Worcester State University Police Department, other campus security authorities, and the Worcester Police Department. The Worcester State University Police Department gathers, compiles, and prepares all statistics for this report.

CRIMINAL OFFENSES - On Campus is divided into two areas

Student Housing indicating in dormitories or other residential facilities for students on campus. This is a subset of on-campus.

The term “on campus” means:

1. Any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution’s educational purposes, including residence halls; and
2. Any building or property that is within or reasonably contiguous to the area identified in paragraph 1 of this definition, that is owned by the University, but controlled by another person, is frequently used by students, and supports institutional purposes (such as a food or other retail vendor).

CRIMINAL OFFENSES – In or on a non-campus building or property

The term “non-campus building or property” means

1. Any building or property owned or controlled by a student organization that is officially recognized by the institution. (Worcester State University does not have any recognized student organizations which have off-campus locations or housing facilities.)
2. Any building or property owned or controlled by an institution that is used in direct support of, or in relation to, the institution’s educational purposes, is frequently used by students, and is not within the same reasonably contiguous geographic area of the institution. (For the purpose of this report, Worcester State University non-campus properties include: the Worcester Center for Crafts, Worcester Ice Center, Maplewood Farm, and the Goddard Parking Lot).

CRIMINAL OFFENSES – On public property

The term “public property” means all public property, including thoroughfares, streets, sidewalks, and parking facilities, within the campus, or immediately adjacent to and accessible from the campus.

STATISTICAL REPORT

REPORTED CRIMINAL OFFENSES					
OFFENSE	YEAR	GEOGRAPHIC LOCATION			
		ON-CAMPUS PROPERTY*	ON-CAMPUS STUDENT HOUSING	NON-CAMPUS PROPERTY	PUBLIC PROPERTY
MURDER / NON- NEGLIGENT MANSLAUGHTER	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
MANSLAUGHTER BY NEGLIGENCE	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
RAPE	2018	5	5	1	0
	2019	2	1	0	0
	2020	2	2	0	0
FONDLING	2018	1	1	0	0
	2019	6	5	0	0
	2020	1	1	0	0
INCEST	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
STATUATORY RAPE	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
ROBBERY	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
AGGRAVATED ASSAULT	2018	0	0	1	0
	2019	0	0	0	0
	2020	0	0	0	0
BURGLARY	2018	4	0	0	0
	2019	4	4	0	0
	2020	0	0	0	0
MOTOR VEHICLE THEFT	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
ARSON	2018	1	1	0	0
	2019	1	1	0	0
	2020	0	0	0	0

* On-campus property statistics are INCLUSIVE of, not in addition to, on-campus student housing.

VAWA REPORTED OFFENSES					
OFFENSE	YEAR	GEOGRAPHIC LOCATION			
		ON-CAMPUS PROPERTY*	ON-CAMPUS STUDENT HOUSING	NON-CAMPUS PROPERTY	PUBLIC PROPERTY
DOMESTIC VIOLENCE	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
DATING VIOLENCE	2018	4	4	0	0
	2019	3	3	0	0
	2020	0	0	0	0
STALKING	2018	1	1	0	0
	2019	2	1	0	1
	2020	0	0	0	0
ARRESTS AND DISCIPLINARY REFERRALS					
OFFENSE	YEAR	GEOGRAPHIC LOCATION			
		ON-CAMPUS PROPERTY*	ON-CAMPUS STUDENT HOUSING	NON- CAMPUS PROPERTY	PUBLIC PROPERTY
ARRESTS: WEAPONS: CARRYING, POSSESSION, ETC.	2018	0	0	0	0
	2019	0	0	0	0
	2020	0	0	0	0
DISCIPLINARY REFERRALS: WEAPONS: CARRYING, POSSESSION, ETC.	2018	2	2	0	0
	2019	2	2	0	0
	2020	2	2	0	0
ARRESTS: DRUG ABUSE VIOLATIONS	2018	0	0	0	0
	2019	1	0	0	0
	2020	0	0	0	0
DISCIPLINARY REFERRALS: DRUG ABUSE VIOLATIONS	2018	67	67	0	0
	2019	69	67	0	0
	2020	14	13	0	0
ARRESTS: LIQUOR LAW VIOLATIONS	2018	0	0	0	0
	2019	1	0	0	0
	2020	0	0	0	0
DISCIPLINARY REFERRALS: LIQUOR LAW VIOLATIONS	2018	140	132	1	0
	2019	173	172	0	0
	2020	102	102	0	0

* On-campus property statistics are INCLUSIVE of, not in addition to, on-campus student housing.

Hate Crimes: There were no reported Hate Crimes for the years 2018, 2019, or 2020.

2020 CAMPUS FIRE SAFETY ANNUAL REPORT

OVERVIEW

The Higher Education Opportunity Act (Public Law 110-315), enacted in August 2008, requires Worcester State University to produce an annual fire safety report outlining fire safety practices, standards and fire related statistics for on campus housing facilities. The following Fire Safety Annual Report contains all required information relating to Worcester State University.

Fire Alarm and Suppression Systems

All on-campus residence halls are equipped with fire alarm and sprinkler systems which meet state and local fire safety codes. The fire systems in all on-campus residence facilities consist of horns and strobe lights that alert residents to an alarm and which are remotely monitored at the University Police Department operation center. On-campus residence halls are also equipped with fire rated smoke/fire doors designed to impede the spread of smoke and/or fire. Regular and frequent inspections are conducted by University Police, Residence Life and Facilities who report fire hazards in the residence halls and facilitate prompt resolutions. Upon receipt of a fire alarm, University Police are immediately dispatched and the Worcester Fire Department is notified. Worcester State University's on-campus housing consists of a variety of configurations, including traditional dormitory style buildings, chalet style houses and suite style facilities. Fire safety equipment is reviewed and tested annually to identify areas of concern or where additional equipment may be necessary.

Policies on Rules for Electrical Appliances, Smoking and Open Flames

All electrical appliances must be UL approved. Cooking appliances such as hot pots, hot plates, coil water heaters and any other appliances with open heating elements that may be fire hazards are prohibited. Residence Life has approved microwave ovens for use in student rooms. Fire codes prohibit students from bringing their own furnishings unless it has a CAL 133 rating, furnishings such as beds, desks, etc., are provided. Flammable items and decorations such as fishnets, tapestries, etc., hung from the ceilings, walls, etc. are prohibited. Open-air fires are prohibited in the residence halls and surrounding areas. This includes but is not limited to candles, incense and space heaters. For a detailed list of approved appliances, etc. and policy statements please refer to the Residence Hall Handbook. The only exception to this rule is barbecue grills (charcoal only) placed in several areas of Chandler Village. Gas grills, wood fires, etc. are prohibited. Chapter 143 of the Massachusetts General Laws prohibits smoking in schools, colleges, universities, public buildings and institutions.

WSU is a Tobacco-Free Campus Smoking and/or the use of tobacco products, including any nicotine delivery system, will not be permitted in or on University property, University- leased property, including buildings, dormitories, grounds, community garden, athletic fields, walkways, parking lots, and bus stops; all other property (enclosed or outdoors) owned, leased or operated by the University. The use of any tobacco products, including smokeless tobacco, and nicotine delivery systems is prohibited on any property owned or leased by the University.

FIRE SAFETY TRAINING AND EVACUATION PLANS FOR RESIDENCE HALL STAFF AND RESIDENTS

The Office of Residence Life in conjunction with the University's safety officer regularly reviews evacuation plans for all on-campus residence halls. Equipment vendors/manufacturers complete annual testing of smoke detectors and other individual system components to insure their proper operation and communication with the fire alarm reporting systems. Fire evacuation drills are performed during each semester to evaluate all aspects of the evacuation process and to review/implement changes as necessary. Students residing on campus are referred to the Residence Hall Handbook located on the Residence Life Department website, fire safety specific policies are identified below.

FIRE DRILLS

A fire drill is a supervised practice of a mandatory evacuation of a building. Fire drills are conducted in every residence hall each year in coordination with the Worcester State University Police Department, Facilities, and the Office of Residential Life and Housing. These drills are unannounced and are performed to test:

- Residents' reaction to the fire alarm signal;
- Residents' knowledge of building emergency evacuation plans;
- Response time of University emergency responders; and
- Systems functioning

All fire drills are monitored by the Worcester State University Police Department. The Worcester State Facilities Department documents the results of each drill. The Worcester State University Facilities and/or Police Department may recommend improvements or to repeat the drill based on the outcome of any given drill.

SPECIFIC FIRE RELATED POLICIES

Worcester State University's fire-related policies aim to provide students, faculty, and visitors with the information intended to enhance fire prevention and safety. These policies are disseminated through periodic trainings on basic fire awareness and safety for students and employees and through this Report.

Worcester State University students, staff, and faculty are instructed to report all fire-related emergencies to the University Police Department at 8911/8044 from any campus phone, or 508-929-8911/508-929-8044 from an outside line to reach the Department's recorded emergency line. WSUPD will in turn notify the Worcester Fire Department.

RESIDENCE HALL HANDBOOK POLICIES

All policies can be located in the Residence Hall Handbook at:

<https://www.worcester.edu/WorkArea/DownloadAsset.aspx?id=7975>

EMERGENCY EXITS

Numerous emergency exit doors are located in Dowden Hall, Sheehan Hall, and Wasylean Hall on the first floor and in several stairways. Additionally, each apartment in Chandler Village has one or more emergency/fire exit doors. **All of these doors are alarmed, are clearly marked, and are intended for emergency use only.** Inappropriate and/or unauthorized use of these emergency exits by students may result in fines of up to \$100 and/or judicial action.

FIRE ALARMS

Do not pull the fire alarm unless there is a fire. Students will be charged for false fire alarms that have to be reset by the Fire Department. Any fire alarm may result in some level of panic or falling during evacuation, which may lead to students being injured. False alarms may also contribute to student complacency and, should there be a real fire, students may not respond. Any student who causes a fire, tampers with fire extinguishers, or falsely pulls a fire alarm may be removed from housing immediately and will face judicial action.

1. Do not let garbage accumulate. Take your trash out to the dumpster.
2. All electrical appliances must be UL approved.
3. Cooking appliances such as hotplates, hot pots, coil water-heaters, toaster ovens, crockpots, etc., may be fire hazards. THEY ARE PROHIBITED.
4. Fire Drills are performed during each semester. Failure to leave your apartment/room may result in judicial action and residential status review.
5. Tampering with/ destruction of smoke detectors, heat detectors and other fire safety equipment will result in a \$100.00 fine, along with judicial action, possible removal from the residence halls, plus the cost of parts and labor for all repairs. This includes the covering of smoke detectors.

Any resident who may be aware of a potential fire hazard in his or her area should inform the Office of Residence Life and Housing immediately.

CHANDLER VILLAGE FIRE ESCAPES AND FIRE DECK DOORS

The use of all fire escapes and roof decks is strictly prohibited except in the event of an emergency. Students found using them during non-emergency situations may face judicial action and/or fines.

Many third floor apartments have fire decks adjacent to the upper levels. These areas are prohibited and cannot be used except in the case of an emergency. The fire doors are alarmed, and any unauthorized openings may result in fines of up to \$100.00 and/or additional judicial action.

FIRES

Open-air fires are prohibited in the residence halls and surrounding areas. This includes but is not limited to candles, incense, and space heaters. The only exceptions to this rule are the barbecue grills (charcoal only) placed in several areas throughout Chandler Village. These are the only areas to be used for barbecues and outdoor cooking. All privately owned gas or charcoal grills, hibachis, etc. are strictly prohibited. Wood fires are not allowed anywhere on campus. Violators are subject to all penalties associated with relevant fire codes, including but not limited to a \$100.00 fine and judicial action.

STATISTICAL REPORT

The following are 2018-2020 fire statistics as reported to the Worcester State University Police Department. The statistics are current as of publication of this report.

Residence Hall	Fire Alarm Monitoring	Sprinkler System	Smoke Detectors	Fire Extinguishers	Evacuation plans & Placards	Fire Drills
Chandler Village	YES	YES	YES	YES	YES	1
Dowden Hall	YES	YES	YES	YES	YES	1
Sheehan Hall	YES	YES	YES	YES	YES	1
Wasylean Hall	YES	YES	YES	YES	YES	1

2018-2020 FIRE LOG

Location	Total Fires in Each Building	Fire Number	Cause of Fire	Injuries Requiring Treatment	Number of Deaths	Value
Chandler Village 17	1	1	Unintentional/Open Flame	0	0	\$0-99
Wasylean Hall	2	1	Undetermined	0	0	\$0-99
		2	Electrical	0	0	\$1000-9999
Dowden Hall	1	1	Intentional	0	0	\$0-99

