

UMass Amherst: A Commitment to Inclusiveness and Diversity

A report to the Board of Trustees Committee of the Whole

February 14, 2006

Commission on Campus Diversity and the Action Plan

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UMass Amherst: A Commitment to Inclusiveness and Diversity

The University of Massachusetts Amherst has a remarkable history of engagement on the many issues and challenges defined by the concept of diversity. Over at least a generation, the people of this campus have developed, struggled, and fought for a campus environment that welcomes people without regard to their race, class, ethnicity, gender, political perspective, nationality, religion, or other non-academic characteristic. In seeking this goal, the campus has developed over many years a range of institutions, organizations, groups, process, and procedures, each designed to address one or another element of the commitment to diversity. And over these years, the various organizations and groups, institutions, process, and procedures have demonstrated much success.

Commission on Campus Diversity and the Action Plan

Nonetheless, after all these years and commitment of time, energy, and expertise to this agenda, the campus found itself dissatisfied with its progress and unhappy with its ability to resolve conflicts, identify opportunities, and build the consensus required for improvement. To help reframe the campus commitment to diversity and inclusiveness and identify the directions needed for improvement, the campus launched an extensive, intensive, and comprehensive review of its approach, support, and investment in campus diversity by appointing a Commission on Campus Diversity composed of national experts, campus participants, and community members, and issued a charge to that Commission on October 14, 2004. [List of Commission Members is attached]

“On our campus, we know that the racial and ethnic conflicts that exist in the communities from which our students come carry over into campus life. We know that education programs designed to establish the standards of behavior we expect from all members of our community must be constantly revised and reinforced since each new generation of students requires clear direction about our expectations within this campus community. We know that some among us believe that encouraging conflict is an effective tactic while others believe that disengagement from these difficult issues is the appropriate response. Neither approach produces the kind of university community we require, and both approaches are indicative of a need to review and reframe our commitment of resources, our organizational structure, and our programs to improve the conditions and reduce behaviors that create occasions for conflict and provide the opportunities that reengage more of our campus community in the work of improving the campus....”

“To that end, the Chancellor, Provost, and Vice Chancellor for Student Affairs have established the Commission on Campus Diversity with strong national leadership to provide an opportunity to understand our challenges better and to design a strategy to implement the many improvements everyone recognizes are necessary....”

Over the period from the first meeting of the Commission on November 13, 2004, to the posting of the final Campus Action Plan for implementing the Commission’s recommendations on April 29, 2005, the Commission engaged the campus in a remarkable and effective series of hearings, presentations, conversations, and testimony in public forums. The Commission conducted its own confidential deliberations. Once the Commission submitted its final report on March 1,

2005, the Chancellor reviewed the report with a variety of administrators, faculty, and students, and then issued a Draft Action Plan, posted on the campus website on March 12, 2005. The campus then engaged in another intense conversation about the proposed actions to implement the recommendations of the Commission, and in response to requests from student representatives, the comment period was extended to April 1, 2005. In addition, an alternative plan drafted by the Student Government President and the Graduate Student President was also posted on the campus website. After the close of the comment period, the Chancellor posted a Q&A to address many of the issues raised in the conversations related to the proposed action plan, and then on April 8, 2005, the Chancellor posted a Revised Implementation Plan with a budget on the campus website and offered another 10 days for additional comment. On April 22, 2005, the comment period closed, and on April 29, 2005, the Chancellor posted the Final Campus Action plan implementing the Commission's recommendation. Today, the campus is on schedule for the implementation of the Action Plan.

This review of the extensive, campus wide process that engaged current students and alumni, current faculty and staff and retired faculty and staff, experts from across the country, and many other interested individuals clearly indicated both the strength of the commitment to campus diversity and the very wide divergence of opinion on the appropriate measures for achieving what is clearly a universally desired goal. The intensity of the commitment is reflected in the intensity with which various campus constituencies articulated and continue to articulate their opposition to or support of various proposals and counter proposals that emerged during this lengthy process. Any Trustees interested in detailed information, discussion and results of this process can easily follow it through the extensive materials available on the campus diversity website which contains all the major documents associated with this process, in particular the Charge to the Commission on Campus Diversity, the Report of the Commission entitled Diversity and Inclusion at UMass Amherst: A Blueprint for Change, the Executive Summary, the various proposed Action Plans and responses, the Chancellor's Q&A, and the Final Action Plan.

Action Plan Implementation

In addressing the Commission's recommendations, the campus committed itself to a number of actions, for it is only action that will produce improvement, and the actions currently underway as a result of this plan focus on student success, recognizing that the continuing efforts to recruit and retain a diverse campus community requires us to ensure that we focus on the success of all our students. The principle of inclusion requires us to see all of our students as equally entitled to the full support of our academic and student affairs programs, equally entitled to expect outstanding academic advising, equally entitled to take advantage of every major, every program, every academic and extracurricular activity. While we strongly endorse the valuable contributions of the many support organizations for particular student interest or affinity groups, we nonetheless recognize that the responsibility for academic success, academic advising, and the overall quality of student life belongs to the coordinated efforts of Academic and Student Affairs. As a result, the Action Plan requires academic affairs and student affairs, under the leadership of Provost Charlena Seymour and Vice Chancellor Mike Gargano and their staffs to work together to enhance, build, and reorient their programs and personnel to support student academic success.

This is a complex and challenging task, and as the Commission recognized, the campus needs a senior administration official reporting directly to the Chancellor to oversee and report on the progress we make towards the implementation of the Action Plan. Professor Esther Terry, Associate Chancellor, has this responsibility for the campus and brings both a lifetime of experience with all of these issues and a commitment to the cause second to none.

Lest anyone imagine that this Action Plan reflects only new and untested activities, a close reading demonstrates that the campus' initiatives seek to build on and refine, reorganize, and revitalize the exceptional programs, activities, and commitments that have defined this campus' dedication to diversity over the years. For example, one program, begun in the mid-1990s by Chancellor David Scott, carried on by Chancellor Marcie Williams, and continued today is the Community, Diversity, and Social Justice Initiative. Led by Professor Bailey Jackson, this program is particularly effective in integrating this agenda into the activities of all parts of the university, whether physical plant, maintenance, administration and finance, student affairs, academic affairs, athletics, or other administrative offices. It works from the bottom up by virtue of engaging the campus' people in identifying problems and opportunities within their own units, meeting and discussing the successful efforts, and assigning responsibility for success to the units, with the support of supervisors and the campus' senior administration. In addition, the program is data based and action oriented.

Student Success and the First Year Experience

While we do not have the time here to present all the aspects of the coordinated plan that will improve the campus' performance on these issues, let me offer a perspective on the approach. Although we have significant programs focused on faculty diversity, staff diversity, recruitment and retention and mentoring of faculty, and other programs designed to build the pipeline of scholars and students from under represented groups, and while these programs continue to grow, one of the key elements in our holistic and all inclusive approach to this issue is a focus on undergraduate success, especially on the first-year experience.

If students have an effective, academically sound, and socially and culturally enriched first year experience, we know that their chances of graduation improve dramatically. We know that strong first year programs have proven successful at our counterpart institutions, and we know that our campus needs to move very quickly to implement such programs here. These programs ensure that students who come to this residential campus will find themselves in a residential, academic, and student life context that is specifically tailored to their needs. To that end Vice Chancellor Mike Gargano and his staff have begun creating first-year only residence halls and within a few years we expect to have almost all first year students living together, creating the common experiences that allow them to understand what is required of a successful student, how to recognize problems early, where to go for help, how to engage and interact productively with students from many different locations, backgrounds, and experiences.

We have taken responsibility through Academic Affairs and especially our outstanding Academic Advising operation for the careful monitoring and advising of our students to ensure that they are quickly and effectively engaged in their academic program. We believe that the sooner a student identifies a major the sooner their academic focus sharpens and the sooner the institution can mobilize its resources to support that student's success. We believe that the fewer undeclared students we have, the better the academic advising they will receive because then the faculty and others can know the student's purpose. We have created an early warning system that will identify during the first semester whether a student is struggling academically in a number of course that often signal academic deficiencies. With this system we can intervene, provide academic support, and get the student back on track to a successful academic career.

In all this, some may wonder about our programs that deal directly with the specific cultural and social needs of specific ethnic, racial, gender, and other affinity groups. This campus has a remarkable array of student-focused support enterprises, but in the past they have often operated in isolation, in conflict, or without sufficient resources for success. To remedy this defect, the

Vice Chancellor for Student Affairs has successfully recruited an outstanding student affairs professional to head up the Center for Student Development, a unit whose mission and scope is defined in the Campus Action Plan and has responsibility for the management, coordination, and supervision of these many groups.

Challenges of Implementation

In these conversations, it is sometimes hard to see the whole process as we focus intensely on this or that issue, this or that department, organization, or individual, argue about this or that budget allocation or bureaucratic arrangement. Yet a university campus is an organic, connected, and endlessly vital enterprise.

On one side, however, university campuses are among the most conservative of organizations, resisting change at every opportunity, using the process of delay and controversy to ensure that things stay as they are. We who live in universities our whole lives are experts in this process. We know how to ensure that proposed changes will not happen and our best weapon is the delay that defeats progress. Administrators and others, who may imagine that change is possible, have short tenures compared to the life of the institution.

On the other side, university campuses are composed of some of the most intellectually innovative people in the world. They seek opportunities to improve, to compete against their colleagues everywhere, and hunger for a campus that is effective and welcoming to all. In producing a campus that is effective, competitive, and welcoming; a campus that insists on student success; a campus that identifies, recruits, and retains a diverse student body, faculty, and staff; a campus led by a diverse group of administrators and academic leaders; we must insist on performance, because unless we measure good performance we cannot improve. For this reason we identify the metrics that track our success in this initiative.

Performance requires not only dedication and commitment; it requires money. It is not enough to believe, it is not enough to try hard to perform, we also have to invest. The Provost and the Vice Chancellor for Student Affairs along with the other administrative units of the campus have identified additional funds and reallocated others to ensure that we can pay for the performance we demand and that we can get things done fast enough to be effective. As of FY2006 the campus provided over \$800K toward specific items related to the Campus Action Plan from the Diversity Tax that reallocated funds from all parts of the campus to support this initiative. In addition, a new allocation of \$75K supports faculty development and mentoring, and student affairs reallocated over \$400K to fill two long vacant positions in admissions, a special assistant to the Vice Chancellor to help with the implementation of aspects of the Action Plan, and the creation and appointment to a new position to lead the Center for Student Development as outlined in the Action Plan.

Financial Aid Commitment

As discussed by the Trustees, the Amherst campus has increased need-based financial aid by 104% between FY2002 and FY2006 to continue the campaign to ensure accessibility to our campus. Indeed this took place while state financial aid fell 4% and total student charges increased 51%. Between 2000/01 and 2004/05 campus funding of community scholarships, first generation, and low-income students increased by 28%. Between 2001/02 and continuing through 2004/05, ALANA students received 27.5% of the total campus financial aid budget including both need-based and merit-based financial aid. In Fall 2004, the ALANA students represented 16.5% of the undergraduate students.

Over the last two years the number of students receiving merit aid from campus sources fell from 1,116 to 885 while the need-based recipients from campus sources increased from 3,823 to 4,891. Finally, UMass Amherst provides 87% of financial need (89% for instate students) which places this campus at the top of a list of 10 comparable regional institutions (Rutgers, Vermont, Delaware, New Hampshire, Connecticut, Penn State, Maryland, Stony Brook, and Rhode Island).

Some background on the issues of financial aid specific to the Amherst Campus may help place these efforts in perspective.

Many indicators of accessibility could be identified, but a useful measure is to look at the number of students with need as defined by the Federal Methodology. The total number of students awarded Federal Pell Grants at UMass Amherst for the last five years has grown slightly but steadily from 3,950 in 200/2001 to 4,352 in 2004/2005

Indeed the percent of enrolled students receiving Pell grants at all Massachusetts 4-year public institutions in 2001 was 17.2% (latest date for data) while at UMass Amherst the percentage receiving Pell Grants was 21.6%. [Additional financial aid information in the Appendix]

The details of these processes are many; our experts can provide you with whatever information you require. We are well launched on this Action Plan; we anticipate much conversation, discussion, suggestion, and concern as we continue. At every moment, we listen carefully and adjust as needed, but we can not be delayed.

Special Projects

Let me turn now to a variety of special projects that by no means exhaust the many activities related to the agenda of this meeting but may serve as markers of the campus' commitment.

We have an exceptional opportunity through the **recruitment of a diverse set of new faculty** to acquire nationally competitive researchers and outstanding teachers. The Amherst 250 plan and the replacement of retired faculty produced an opportunity to open searches for about 77 new faculty (about half replacements and half additional "250 Plan" searches) this year. With reasonable support from the legislature, we expect to continue this process for a number of years.

To ensure that we reach, interest, and recruit to our campus the very best faculty we can find, we have created a set of guidelines for faculty searches. These guidelines make certain that we have identified all the candidates for these positions, not just those whom we might know, those who might respond to an ad, or those currently working in institutions just like ours. Instead, we insist that we have aggressively reached out to associations, meetings, institutions, activities where high quality faculty might be found. We insist that the materials that announce our openings are scripted to encourage everyone with talent and ability to apply. We review our descriptions to be sure we have not written them so narrowly that we unnecessarily reduce the pool of applicants. We work closely to ensure that our search committees reflect the complexity and diversity of our faculty and staff and our institution, so that everyone we interview gains an accurate representation of our campus. We structure the on-campus interviews to ensure that the candidates we have recruited for their academic quality will meet a wide cross section of our campus community and will understand how welcoming and supportive this environment will be.

We will know how successful we have been in this effort at the close of the hiring period around the end of this academic year or at the latest by the beginning of the new academic year. [Faculty Recruitment Checkpoints Memo Attached]

As mentioned above, in the process of focusing on student success for all of our students, we have recognized the critical importance of first year, early intervention to ensure student success, both in terms of student affairs and academic affairs activities. Directed by Pamela Marsh-Williams, Assistant Provost and Dean of Undergraduate Advising and the Academic Support Center, the **pre-major advising initiative** offers the following examples of the activities underway.

We now track and monitor first year students who our early warning system identifies as being potentially at-risk in their academic performance by ensuring that they use the advising and academic support resources that will enable them to achieve academic success and continue on to complete their degrees.

We have begun increasing the racial and ethnic diversity of the advising team with broader representation of ALANA staff among all levels of our staff (i.e., professional, graduate TAs and peer advisors).

We collaborated with Commonwealth College to establish a living and learning community for first-year ALANA students who are academically successful but not yet part of the Commonwealth College experience.

We collaborated with the Athletic Support Services to establish a dual-advising system to ensure student athletes are working directly with academic advisors as well as their athletic support staff.

We developed a first-year seminar for undeclared majors to establish a closer relationship with academic advisors and to foster greater familiarity with academic resources and strategies to overcome barriers to academic achievement. In particular, these advisors actively recruit ALANA students to enroll in this seminar.

We established the Academic Advising Link in the Library's Learning Commons to facilitate student access to advising resources during peak evening and weekend hours.

These represent but a small part of the effort focused on academic student success, which combined with the first year programs sponsored by Student Affairs give all our students a fully supported opportunity to take advantage of the opportunities presented by UMass Amherst

Student academic success also requires a diverse curriculum, and to further enhance the courses within which issues related to diversity receive substantial attention, the Provost initiated a programs for faculty **Small Grants in Support of Diversity Education**, funded by the Diversity Tax. [Additional information on this program is in the Appendix]

As a major public research university, UMass Amherst also has a commitment to **graduate education**. We have many programs focused on increasing the number of individuals from under represented minorities in graduate education. One recognized as a national model is **The Northeast Alliance for Graduate Education and the Professoriate** (NEAGEP). UMass Amherst began this consortium with a grant from NSF in 1999 and recently received a renewal grant for an expanded program funded at about \$8.9 million over five years. This coalition is one of several intended by NSF to increase significantly the number of underrepresented minorities

receiving doctorates in science, technology, engineering and mathematics (STEM). NSF particularly seeks to increase the number of these individuals entering the professoriate, since a scarcity of role models and mentors has been shown to constitute a significant barrier to producing minority STEM graduates.

Other schools in NEAGEP include the New England land grant universities as well as Boston University, Massachusetts Institute of Technology, Pennsylvania State University and Rutgers University. Campuses at which UMass Amherst is prioritizing its efforts to recruit underrepresented minority students in STEM disciplines include Jackson State University, Lincoln University, Long Island University, Medgar Evers College, and The University of Puerto Rico-Mayaguez.

The program, now in its sixth year with Provost Charlena Seymour as principal investigator (and original co-PIs Donald Fisher of Mechanical and Industrial Engineering, Sandra Petersen of Biology, Donald St. Mary of Mathematics and Statistics, and Peter Hepler of Biology), has been primarily focusing on "pipeline" activities to pave the pathway from undergraduate schools to specific graduate programs in STEM areas at UMass Amherst.

Another large NSF grant dedicated to increasing the participation of under represented minorities in the STEM fields is part of the **Louis Stokes Alliances for Minority Participation (LSAMP)** initiative. This program is designed to strengthen the preparation of minority students in STEM disciplines and increase the number who complete baccalaureates. The UMass has been renewed for \$2.1 million over five years. Principal investigator and Deputy Provost John Cunningham leads this alliance of public and private institutions in Massachusetts and southern New England (UMass Amherst, Worcester Polytechnic Institute, Northeastern University, University of Rhode Island and the University of Connecticut). It also includes the New England Board of Higher Education, which has contacts at all of the Alliance institutions. The Northeast LSAMP Alliance is one of 34 nationwide.

The School of Nursing received a \$957,755 **Nursing Workforce Diversity Grant from the U. S. Department of Health and Human Services** to recruit more minority and disadvantaged students to the field of nursing, particularly in light of the predicted shortage of registered nurses over the next fifteen years. The project is aimed at supporting students in area middle and high schools who are interested in nursing. As part of the effort minority students from the School of Nursing partner with prospective students. The grant is also supporting a series of workshops aimed at enhancing multicultural communication and support skills for faculty, staff, and students in the School of Nursing.

Even for small programs we have taken national leadership. For example, the campus received a \$90,000 annual grant from the **US Department of Agriculture for Undergraduate Nutrition** majors to increase the numbers of under represented groups in the field of food and agriculture science. Prepared by Nancy Cohen, Matthew Ouellett and Pamela Marsh-Williams, the grant will allow UMass Amherst to award up to 5 scholarships. This grant also provides an opportunity for academic advising to work closely with the Nutrition faculty to identify eligible students and facilitate their recruitment (and enhance awareness of scholarship and career opportunities for an even broader range of students, beyond those who receive the scholarships).

The mission of the **Office of Graduate Student Recruitment and Retention (OGSRR)** is to facilitate the recruitment and retention of graduate students. The OGSRR director coordinated several "recruitment teams" of faculty, graduate students and staff travel to national recruitment events, such as the Ronald McNair Research Symposiums, the Annual Biomedical Research

Conference for Minority Students (ABRCMS), the Society for the Advancement of Chicanos and Native Americans in Science (SACNAS), and visits to several minority serving institutions. Other key recruitment activities included participation in several national consortiums designed to increase the presence, on campuses across the nation, of students from groups who have been traditionally underrepresented within graduate education, e.g., Project 1000 – a national Hispanic name exchange program, and the National Physical Science Consortium.

Although the campus has a wide range of recruitment efforts focused on increasing the number of under represented minority students who will choose UMass Amherst as their college, a recent series of engagements with our local community colleges, **a community college outreach initiative**, offers a useful example.

The four community colleges in our region—Springfield Technical Community College, Holyoke Community College, Greenfield Community College, and Berkshire Community College—offer an opportunity to increase the transfer of well prepared students to UMass Amherst. In addition, they have close connections and relationships with area high schools.

Following a suggestion by UMass Amherst alumnus Bill Cosby, the campus organized four community symposiums jointly sponsored by one of the community colleges and UMass Amherst. The symposia involved the invitation of high school students and teachers, parents, and community college students to a large event at each community college that featured the academic advisors and leadership of the community college and UMass Amherst, and Mr. Cosby.

The group presented the many resources available to help students succeed at the community college and then transfer successfully to UMass Amherst and succeed here. Presentations covered academic requirements, financial aid, majors, and elements of student life. Mr. Cosby concluded each symposium by engaging with the audience and delivering a message that encouraged students at all levels to take their opportunities seriously, recognize the many support services available to help them succeed, and study, study, study.

Conclusion

In short, this is but a brief, limited, and partial review of the UMass Amherst programs and activities related to the topic of this Committee of the Whole. As should be evident, this commitment is of long-standing, reflecting the dedication, energy, and struggle of a generation or more of faculty, students, and others. It is a reflection of the difficulty of the task that we remain so dissatisfied with our progress after so long, but it is also a reflection of the campus commitment that we continue to find new ways to improve our performance and address these challenges.

John V. Lombardi
February 2005

Attachments

Membership of Commission on Campus Diversity
Undergraduate Financial Aid Fact Sheet (UMass Amherst, January 2006)
Faculty Recruitment Checkpoints Memo
Small Grants in Support of Diversity Education

Membership of Commission on Campus Diversity, October 14, 2004

- Chair: Orlando Taylor, Vice President for Research and Dean of Graduate School, Howard University
- Rosio Alvarez, Executive Director/Deputy CIO, Information Technologies, UMass Amherst
- Eduardo Bustamante, President, Student Government Association, UMass Amherst
- Joyce Bylander, Associate Provost, Campus Academic Life, Dickinson College
- Jules Chametzky, Professor Emeritus, English Department, UMass Amherst
- Martha Escobar, Assistant Director of Undergraduate Admission, UMass Amherst
- Sidonio Ferreira, Assistant Dean, Support Services, UMass Amherst
- Ruth Ellen Fitch, President and Chief Executive Officer, Dimock Community Health Center
- Anne Herrington, Chair, Department of English, UMass Amherst
- Frances Horowitz, President, The Graduate Center, City University of New York
- Bailey Jackson, Associate Professor, School of Education, UMass Amherst
- Arthur Jemison, Senior Project Manager, Massachusetts Port Authority, and UMass Amherst Alumnus
- Howard Johnson, Provost and Vice President for Academic Affairs, University of North Texas
- Pamela Marsh-Williams, Associate Dean, Undergraduate Advising, UMass Amherst
- Ernie May, Secretary of the Faculty Senate, Professor of Music, UMass Amherst
- Mathew Ouellett, Associate Director, Center for Teaching, UMass Amherst
- Robert Ringel, Professor of Audiology and Speech Sciences, Purdue University
- Vanessa Rivera, Assistant Dean for Student Affairs, College of Engineering, UMass Amherst
- Uri Strauss, President, Graduate Student Senate, UMass Amherst
- Ben Swan, 11th Hampden District State Representative (Springfield, Mass.)
- Carlos Vargas-Aburto, Provost and Vice President for Academic Affairs, Central State University (Ohio)
- Esther Terry, Ex-Officio, Associate Chancellor for Equal Opportunity and Diversity, UMass Amherst

Undergraduate Financial Aid Fact Sheet

UMass Amherst

January 2006

Separation of Admissions Decisions from Financial Aid Decisions:

- The Office of Admission is need-blind during review of admission applications. Admission counselors do not have access to a family's financial records. Admission review and decisions rely solely on the academic and co-curricular achievement of the individual student.
- The Office of Financial Aid reviews all need-based aid using the standard federal methodology and the Free Application for Federal Student Aid (FAFSA). This is consistent with national standards.

Students with need as defined by Federal Methodology

Federal Pell Grants are awarded to the highest need students as determined by the Federal Methodology. The following represents the total number of students awarded Federal Pell Grants at UMass Amherst for the last five years.

2000/2001	3,950
2001/2002	4,092
2002/2003	4,103
2003/2004	4,256
2004/2005	4,352

The percent of enrolled students receiving Pell Grants

UMass Amherst vs. All Massachusetts 4-year Public Institutions

All Massachusetts 4 year public institutions

1992 17.5%

2001 17.2%

UMass Amherst

1992 21.6%

2001 21.6%

Campus vs. State Investment in Need-Based Financial Aid

Campus Investment in Need-Based Financial Aid

2000-01 \$ 9.0 million

2004-05 \$19.0 million.

Increase of 112%

State Appropriation for Student Aid (Excludes State entitlement aid)

2000-01 \$7.70 million

2004-05 \$7.40

Decrease of 4%

Increase in Total Student Charges from 2000-01 to 2004-05: **51%**.

Increase in Campus Funding of Community Scholarships
First Generation and Low-Income Students.

2000-01 \$0.90 million
2004-05 \$1.15 million
An Increase of 28%

Special Need-Based Aid and ALANA Financial Aid

The Amherst campus assisted students with additional need based aid in Spring 2002 and Spring 2004 due to the mid-year fee increases associated with the Commonwealth's budget crisis. The highest need students received 95% of the full amount of the mid-year fee increase in 2002 and 100% of the fee increase in 2004 in additional campus grant aid.

Beginning in 2001-02 and continuing through 2004-05, ALANA students have received 27.5% of the total university financial aid budget including both need-based and merit-based financial aid. In fall 2004, ALANA students represented 16.5% of the undergraduate population.

Merit-Based Financial Aid

- \$1.6 million of campus funds distributed as merit aid according to campus priorities.
- \$3.5 million of campus funds distributed as merit aid according to requirements of the University of Massachusetts System office.

Need-Based vs. Merit-Based Financial Aid

2002-03 3,823 undergraduates received campus need-based grant aid
1,116 received non-need based campus scholarships. (Incl.
Athletics)
2004-05 4,891 students received campus need-based grant aid
885 students received non-need-based campus scholarships. (Incl.
Athletics)

Need-Based Aid to Highest Federal Need Category (family income less than \$30,000)

In 2004-05, the campus had 3,553 students in the highest need category. Families in this category have a \$3,850 or less expected family contribution to the cost of attendance. A typical financial aid package for students in the lower part of this category who have a zero expected family contribution includes:

- institutional grant aid (\$2,419),
- other grant aid and waiver (\$8,863),
- work-study (\$1,500)
- subsidized loan (\$2,625).

This contribution of support still leaves a gap in the total amount required to pay for the estimated cost of attendance of \$2,789, generally met with other forms of loans.

Need-Based Aid vs. Merit Based Aid for In-State Undergraduates

Need-Based Aid (any source or type)
 Fall 2004 7,441 (49% of the 15,072 enrolled in-state undergraduates)
 Merit-Based Aid (campus scholarships, excluding athletics)
 Fall 2004 610 (4% of the 15,072 enrolled in-state undergraduates)

Note: Including all sources (need based aid, Pell, federal and state alternative loans, private loans, merit aid, private scholarships, tuition waivers, etc.) 72% of all in-state Fall 2004 undergraduates were awarded some form of financial aid (10,782 students with awards).

In some cases, Merit Scholarships assist students in meeting their need.

Percent Financial Need Met by UMass Amherst vs. Public Competitors, All Undergrads 2004-05

Institution	Percent Financial Need Met
UMass Amherst	87%
Rutgers University	83%
University of Vermont	82%
University of Delaware	78%
University of New Hampshire	78%
University of Connecticut	70%
Penn State University	70%
University of Maryland	69%
SUNY Stony Brook	68%
University of Rhode Island	57%

Source: Common Data Set

List of Special Student Awards

University Scholars Program:

This program is administered by the University of Massachusetts President’s Office, which invited principals of all accredited high schools in Massachusetts to nominate students for the University Scholars Program. First and second ranked Massachusetts high school seniors with 1200+ SAT or 27+ACT scores who attend accredited public or private high schools in Massachusetts and meet all eligibility requirements are awarded up to a \$10,000 annual scholarship. The Amherst campus maintains a budget of \$3.5 million in scholarship dollars for this program annually.

Community Scholarships:

The Amherst campus provides community scholarships to first generation and low- income students. This is an annual \$5000 award renewable for four years. The flagship campus budgeted \$1,150,000 dollars to support this program annually.

Power Up For Success:

To assist first generation and low-income students with transitioning from high school to the Amherst campus, all Community Scholarship students were given the opportunity to participate in Power Up For Success, which provides a three-day orientation on navigating the university, study skills, resources the university provides for academic success and co-curricular and experiential programs. Students are also given the option to live in EPOCH, the all-freshmen residence hall. In the past two years 49 students have taken advantage of this opportunity with the campus covering the cost of \$19,000.

Massachusetts Need Based Programs:

The Massgrant program is awarded by the Commonwealth of Massachusetts to high need, Pell eligible undergraduate residents. Massgrant awards range from \$300 to \$1500 for students enrolled full-time.

Mass Cash Grants and Need Based Tuition Waivers are awarded to students with demonstrated financial need; when combined these cannot exceed the value of mandatory tuition and fees.

Massachusetts applicants apply for Mass Need Based Programs by filing a FAFSA or Renewal FAFSA.

University Community College Scholars Program:

Designed to recognize outstanding academic performance by Massachusetts Community College graduates, candidates are nominated by Community College Presidents. Each nominee must be the top academically ranked student in his/her graduating class, have an Associate's degree and a 3.75 grade point average. Awards are valued up to \$10,000 per year for a maximum of four semesters.

Tuition Advantage Program:

This Massachusetts State program recognizes academic achievement by Massachusetts Community College graduates and offers a 33% tuition waiver at the in-state tuition rate. Qualified students must complete their Associate's Degree, have a minimum grade point average of 3.0 and participate in the Joint Admission Program. The Amherst campus currently has 271 students in this program.

John and Abigail Adams Scholarship:

This program is administered by the Massachusetts Board of Higher Education for students who are graduating from Massachusetts high schools beginning spring 2005. In order to receive this scholarship and apply it to the cost of attending UMass Amherst, students must submit a copy of their scholarship letter to the UMass Amherst Financial Aid office and must have filed a FAFSA. Scholarship awards are based on grade 10 English and Mathematics MCAS results: score in the Advanced category in either Mathematics or the English language arts section of the grade 10 MCAS test; score in Proficient or Advanced category on the second subject Mathematics or English language arts; and have a

combined score on these assessments that ranks in the top 25% in their school district. This scholarship is a tuition waiver. The tuition waiver will be extended for a total of eight consecutive semesters, as long as the student is enrolled in 12 or more semester credits and maintains a 3.0 overall grade point average. The Amherst campus currently has 1335 students in this program. (38% of the first year class)

Stanley Koplik Certificate of Mastery Award:

Similar to the Adams Scholarship, this program is administered by the Massachusetts Board of Higher Education. It awards tuition waivers based on MCAS test scores of Advanced or Proficiency plus the additional requirements of Advance Placement courses or SAT II subject exams. Students can only accept one tuition waiver option. The Amherst campus currently has 624 students in the Koplik program.

Faculty Recruitment Checkpoints Memo

MEMORANDUM

To: Deans
From: Provost Charlena M. Seymour
Date: February 4, 2006
Subject: Faculty Search Process Guidelines

Having now had some more experience with the procedures for tenure track faculty searches, I would like to update and clarify the guidelines that I expect us to follow. I would also ask that you share copies of this document with your Department Chairs, Search Committee Chairs, and the School/College Personnel Assistant.

To start with an overview, I envision the process as involving essentially 3 checkpoints. (If you'd like a mnemonic for the checkpoints, it could be R.I.O: Requisition, Invitations, and Offer.)

OUTLINE OF CHECKPOINTS

(assuming concerns are resolved at each stage):

CHECKPOINT 1: REQUISITION

- A. Faculty Personnel Requisition (signed by Department Chair and Dean) is submitted to the Office of EO&D.
- B. EO&D reviews and forwards to the Provost.
- C. Associate Provost for Faculty Recruitment and Retention reviews, particularly for diversity concerns.
- D. Deputy Provost reviews, particularly for budget and space concerns.
- E. Provost authorizes search.

CHECKPOINT 2: INVITATIONS

- F. Search committee recruits, reviews and recommends to Department Chair and Dean the set of finalists to be invited to campus.
- G. Dean recommends finalists to be invited to campus to Associate Provost for Faculty Recruitment and Retention who reviews and recommends to Provost.
- H. Provost authorizes that invitations to finalists can proceed.

CHECKPOINT 3: OFFER

- I. Search committee interviews finalists and recommends to Department Chair and Dean who should be hired.
- J. Dean recommends to Provost (cc Deputy Provost as well as Associate Provost for Recruitment and Retention who advise) and to Office of Equal Opportunity and Diversity. Provost authorizes hiring. Formal offer is made.

Detailed Summary of Provost's Office Checkpoints for Tenure Track Faculty Hires

At each of the checkpoints below, information is needed by the Provost's Office to affirm that a proactive search will be or has been undertaken in order to ensure that the strongest, most diverse candidate pool possible has been constructed. In addition, resource impacts of an anticipated hire (for example, laboratory animal housing requirements) must be identified and accounted for early in the process.

CHECKPOINT 1: REQUISITION

Regardless of the procedures internal to a School/College and Department, a duly signed (Department Head/Chair plus Dean) Faculty Personnel Requisition is submitted first to the Office of Equal Opportunity and Diversity for review and comment. EO&D forwards the Personnel Requisition to the Provost.

The Provost's staff reviews the Requisition to confirm budget, space (office and research), start-up arrangements, and relation to the School/College Strategic Plan.

The Associate Provost for Faculty Recruitment and Retention follows-up with the Dean and Department Chair concerning the comments of EO&D and works to resolve any outstanding issues and to maximize the recruitment strategy to attract a diverse candidate pool. Three facets of the requisition are particularly considered:

- (a) the diversity of the composition of the search committee, especially the inclusion of racial/ethnic as well as gender diversity,
- (b) the language of the position description/advertisement, including language that would encourage a strong and diverse pool to apply, and
- (c) the recruitment strategy, including actively contacting appropriate individuals and institutions to recruit a strong and diverse pool.

Assuming the above sets of concerns are addressed satisfactorily, the Provost signs off to authorize the search and the Requisition is returned to the Department.

CHECKPOINT 2: INVITATIONS

The search committee then proceeds to advertise, actively recruit, and review applicants. To enhance the diversity of the applicant pool, it is expected that relevant individuals and institutions will be contacted directly to proactively encourage applications, that notices will be placed on appropriate listservs to reach a diverse audience, and that association meetings and conferences (such as the Compact for Faculty Diversity Conference) will be used as occasions to reach out to a diverse pool.

A **“Search File”** must be created by the Faculty Search Committee that provides a description of the demographics of the applicant pool and the proactive steps taken in the search process. Specifically, it includes:

- a. A summary of the actions taken to seek the broadest pool of high quality candidates.
- b. A list of the candidates proposed for invitation to a campus visit showing their expertise, racial/ethnic diversity characteristics and gender as far as known.
- c. Comments regarding the rest of the pool with regard to diversity. Discuss how the remaining pool is outmatched by the candidates proposed for invitation. Note whether there are any candidates from diverse backgrounds who are close to those proposed for a visit, e.g., if 3 candidates are proposed, are 4 and 5 possible candidates.
- d. Also describe the prospective candidates from part (a) and how they were contacted and by whom. (When prospective candidates do not formally apply, it would be helpful to learn the reasons for that to inform our procedures going forward.)

When the Search Committee decides to schedule campus visits for finalist candidates, a request to invite in the short-listed finalists (accompanied by the “Search File”) should go forward from the Search Committee chair to the Department Chair to the Dean to the Associate Provost for Faculty Recruitment and Retention who reviews the diversity of the applicant pool and the short list. Note that, in the interest of honoring equal opportunity regulations, it is urged that the complete set of finalists be identified and invited essentially at the same time. However, in exceptional circumstances, requests to proceed with invitations may be made prior to the

identification of the complete set of finalists. (The Search Committee may elect to work with the Associate Provost in advance to ensure that a diverse pool is being recruited.) Also note that remaining issues of budget, space, and start-up should be resolved by the Dean with the Deputy Provost prior to the first candidate visit. If no issues remain outstanding, the Provost will confirm that candidate visits may begin.

CHECKPOINT 3: OFFER

The Search Committee proceeds to interview finalists and progresses to the point of an anticipated hire offer. The Search Committee recommends to Department Chair and Dean who should be hired. The Dean recommends to Provost (cc Deputy Provost as well as Associate Provost for Recruitment and Retention who advise). At the same time, clearance should also be sought by the Dean from the Office of Equal Opportunity and Diversity. Provost authorizes hiring.

No communication of any kind that might be construed as relating to employment, salary or working conditions occurs with the candidate prior to explicit authorization from the Provost and approval of the Applicant Log Summary by the Office of Equal Opportunity and Diversity. There are no “informal” or “unofficial” offers contingent on subsequent approval. The formal offer letter will be reviewed and approved by the Provost prior to its delivery to the candidate.

TIME IS THE ENEMY

Since we recognize that we are in a highly competitive hiring environment, every effort should be made by all involved to anticipate and keep this process moving as expeditiously as possible.

Small Grants in Support of Diversity Education

Request for Proposals

The report of the Diversity Commission calls on the University administration to "support the development of more General Education Diversity courses that focus on issues of difference, culture, power and privilege". To that end, the Chancellor's Action Plan proposes "incentive grants for curriculum and pedagogical development projects" in diversity education. (See <http://www.umass.edu/campusdiversity/>.) The Provost has allocated funds to support these grants and has asked the General Education Council to award them.

The Council will consider any proposal that promises to improve diversity education at the University, but there is a particular interest in proposals that address one or more of the following needs:

- Programs to train and mentor teaching assistants or associates in diversity courses.
- Courses that satisfy the General Education U (U.S. diversity) requirement, especially from departments or colleges that currently offer few such courses. The Council welcomes proposals for new courses, for improvement of existing courses, or for modifications of established courses to bring them into the scope of the U requirement.
- Curricula that more fully integrate diversity education into the major. (These need not involve general education courses).
- Ideas for improving diversity education in large lecture courses.
- Ideas that readily scale up and transfer to other courses and departments.

The Center for Teaching will offer consultation to participants when they begin their projects and when they are ready to prepare their final reports.

Participants will also meet regularly as a group to discuss their ideas and experiences.

Up to 10 grants of about \$6,000 each are envisioned, but proposals for larger amounts will be considered with sufficient justification. This competition will occur annually, and renewals as well as new proposals will be considered.

Collaborative and interdisciplinary projects are welcome.

The proposal cover sheet and instructions are available at <http://people.umass.edu/jjmccart/diversity-grant.doc> (Word format) or <http://people.umass.edu/jjmccart/diversity-grant.pdf> (Acrobat format). Questions can be addressed to the chair of the General Education Council, John J. McCarthy (jmccarthy@linguist.umass.edu), or to Council member Maurianne

Adams(adams@educ.umass.edu). The deadline for receipt of proposals is March 6, 2006.
(This deadline is slightly later than the originally announced deadline of March 1.)