Strategic Action
Towards a Commonwealth of Learning
A Six Year Retrospective – FY 1996-2001

A Presentation for the Faculty Senate
November 2, 2000

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Format

• An overview of 20 areas of focus identified in Strategic Action

• The Appendix includes supplementary information

• This presentation will be available on the Web on November 3, 2000 at http://www.umass.edu/chancellor/vision

• A complete Retrospective on Strategic Action will be available on December 1, 2000
Strategic Action
A Community-Based Approach to Planning

Shaped by the following guiding principles, Strategic Action:

- Recognized the ongoing imperative for change
- Worked toward blurring the boundaries and rendering barriers permeable, making the University a more integrative organization
- Attended to the ecology of the learning, living and working environments
- Fostered diversity and multiculturalism, valuing the richness and differences of individuals and cultures, yet affirming our common humanity
- Strengthened and advanced internal and external connections
- Provided access to more opportunity
- Focused on human empowerment and enablement to become a more caring institution
- Strived for multidimensional excellence in a realistic array of activities
- Employed creative uses of technology to create a new environment for learning, discovery and outreach
- Adopted a set of catalysts for constructive change
# Progress Towards Strategic Action Goals

<table>
<thead>
<tr>
<th>Progress Towards Goals</th>
<th>Exceeded</th>
<th>Met</th>
<th>Striving</th>
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<tr>
<td><strong>Institutional Goals</strong></td>
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<tr>
<td>1. Achieve Profile of a Land Grant - AAU Institution</td>
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<td>2. Campaign UMass - Raise $125M - Engage Advocates - Strengthen Image</td>
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<td>3. Improve Library’s 1991 ARL Ranking of 93</td>
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<td>4. Foster Internationalization across the institution</td>
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<td>5. Increase Sponsored Research</td>
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<td>6. Enhance Learning Environment - Model for Gen Ed Reform - Center For Teaching</td>
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<tr>
<td><strong>Increase Access</strong></td>
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<td>7. Hold Tuition and Fees Constant</td>
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<td>8. Increase Institutional Financial Aid</td>
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<td><strong>Enrollment</strong></td>
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<td>9. Increase SAT Mean Score</td>
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<td>10. Decrease Acceptance Rate and Improve Retention</td>
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<td>11. Reflect the Diversity of MA College Bound High School Grads in the Incoming First Year Class</td>
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<td><strong>Athletics</strong></td>
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<td>12. Achieve Gender Equity without Compromising Men's Sports</td>
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<td>13. Student Athlete Achievements</td>
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<td><strong>Management Initiatives</strong></td>
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<td>14. Reshape Priorities through Reallocation and Restructuring</td>
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<td>15. Connect Student Rooms, Laboratories and Offices to the Internet</td>
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<td>16. Make Major Resource Investments in Physical Plant</td>
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<td>17. Campus Beautification</td>
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<td><strong>Blurring the Boundaries</strong></td>
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<td>18. Reorganize Schools and Colleges</td>
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<tr>
<td>19. Integrate Learning, Outreach and Research - New Organizational Structure</td>
<td>X</td>
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<tr>
<td>20. Create Partnerships with External Communities</td>
<td>X</td>
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</tbody>
</table>
Timeline
Trend Analysis Update 1982-2000

**Combined SAT Scores** (recentered)
- Stability: 9.5% Growth Operating Budget
  - 1982: 1060
  - 1999: 1133

**In-State Applications** (three-year rolling average)
- Stability: (+700 apps/year)
  - 1982: 9,982
  - 1999: 11,717

**In-State Student Costs** (actual dollars)
- Stability: (13%/year)
  - 1982: $3,476
  - 1999: $10,002

**Sponsored Research** (three-year rolling average)
- Stability: ($22 M)
  - 1982: $8 M
  - 1999: $14 M

**Private Giving**
- Stability: ($8 M)
  - 1982: $22 M
  - 1999: $8 M

**Operating Budget**
- Stability: (+11%/year)
  - 1982: $295 M
  - 1999: $10,002

**Sponsored Research**
- Stability: (+3%/year)
  - 1982: $236 M
  - 1999: $9,495

**In-State Applications**
- Stability: (+700 apps/year)
  - 1982: 9,982
  - 1999: 11,717

**Combined SAT Scores** (recentered)
- Stability: (+11 points/year)
  - 1982: 1060
  - 1999: 1133

**Combined SAT Scores** (recentered)
- Instability: (-7 points/year)
  - 1982: 1147
  - 1999: 1078

**Combined SAT Scores** (recentered)
- Recovery: (+9 points/year)
  - 1982: 1147
  - 1999: 1133

**Combined SAT Scores** (recentered)
- Recovery: (+11%/year)
  - 1982: $295 M
  - 1999: $10,002
10-Year Accreditation

In January of 1999, the University was reaccredited by the New England Association of Schools and Colleges. In his executive summary, John DiBiaggio, President of Tufts University and Chair of the Evaluation Team affirmed the excellence of the faculty at UMass Amherst:

“The faculty is truly one of UMass Amherst’s greatest assets. Experienced faculty members have sustained high efforts of performance in the classroom, in their scholarly endeavors, and in their public outreach. The overall quality of the faculty is excellent and their morale seems to be good.”

John DiBiaggio
Chair, Evaluation Team
New England Association of Schools and Colleges
Achieving the Profile of a Land Grant AAU Institution

“The University will be integrative in all that it strives to do.”

Strategic Action Goal – Striving Towards
Achieving the Profile of a Land Grant AAU Institution

- Achieving the profile of an AAU institution is a fundamental institutional goal, so that we may become an integrative Land Grant Research University
- Striving towards this goal is the basis for decision making across all units
- To achieve this distinctive status requires a significant investment in this campus
- Almost all of the achievements of Strategic Action are important in achieving the profile of a Land Grant AAU institution
AAU/Land Grant Institutions

- Cornell University
- Iowa State University
- Massachusetts Institute of Technology
- Michigan State University
- Ohio State University
- Pennsylvania State University
- Purdue University
- Rutgers University
- University of Arizona
- University of California Berkeley, Los Angeles
- San Diego, Santa Barbara
- University of Florida
- University of Illinois
- University of Maryland – College Park
- University of Minnesota
- University of Missouri – Columbia
- University of Nebraska – Lincoln
- University of Wisconsin - Madison
Advancing the University

Strategic Action Goals
- Secure Resources, Raise $125M - Exceeded
- Engage Ambassadors - Exceeded
- Strengthen Image - Exceeded

- **Campaign UMass** has thus far raised $119.1M ($125M will be raised by December 31, 2000, one year ahead of schedule)

- Average annual giving $25M (Pre-campaign average annual giving $11M)

- Created the **Ambassadors Network**, a grassroots organization of parents, alumni and friends committed to regular volunteer action on behalf of UMass Amherst

For details see pages 64-65 in Appendix
Campaign UMass – Gift Allocation

<table>
<thead>
<tr>
<th>Allocation of Gifts</th>
<th>Goal</th>
<th>Projected 12/31/00</th>
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<tbody>
<tr>
<td>College/School-based Initiatives</td>
<td>80.0</td>
<td>88.0</td>
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<tr>
<td>Facilities</td>
<td>30.0</td>
<td>23.0</td>
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<td>Student Support</td>
<td>10.0</td>
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<tr>
<td>Unrestricted</td>
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<td>2.5</td>
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<tr>
<td>Library</td>
<td>5.0</td>
<td>1.0</td>
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<tr>
<td>Total</td>
<td>125.0</td>
<td>125.0</td>
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</table>

Allocation Of Gifts

- **Goal**
- **Actual**

Strategic Action
Towards a Commonwealth of Learning

Advancing the University
Campaign UMass - Summary

July 1, 1995-December 31, 2001

Campaign Goal $125M

Actual Performance

Kick Off

Original Target

Campaign completion one year early

Linear regression for Campaign finishing on original schedule (Dec. 31, 2001)
Campaign UMass - Faculty Endowments

- 8 Endowed Chairs - $1.5M or greater
- 7 Professorships - $500,000 or greater
- 8 Faculty Endowments - $100,000 or greater
- 3 Additional Endowed Chairs
  (Pending Commitments - Fall 2000)
The Communications and Marketing Department gained the consensus of the campus community on a new institutional logo and developed five **Key Themes and Messages** that highlight the University’s distinctive strengths. These are:

- Delivering access to an excellent education
- A distinguished faculty
- Offering exceptional opportunity
- Partnering to solve societal problems
- Fueling the economy
National Reputational Rankings

- **National Research Council 1995 Research/Doctorate Study** identified ten UMass Amherst programs as ranked within the top third among research institutions.

- **“America’s Best Graduate Schools, 2001”** ranked the College of Engineering 49th out of 219 graduate engineering programs. In its list of previously ranked programs, Linguistics and Polymer Science were ranked number one, and the MFA Program in Creative Writing was 10th.


- **Money Magazine** ranked UMass 4th in Money’s 1998 best buys among public schools for in-state students.

- **U.S. News & World Reports** "America's Best Colleges, 2001" ranked the Amherst campus among the top 50 nationwide in a listing called "Great Schools at Great Prices." UMass is one of only 10 public institutions on the list. UMass Amherst is ranked among the top 50 "Best Undergraduate Engineering Programs."

- The October issue of **Kiplinger’s Personal Finance** magazine ranked UMass Amherst 61st on its list of the 100 best values in public colleges.
UMass in the National News
Oct 24 - Nov 3, 2000

“Scientists’ Hopes Raised for a Front-Row Seat to Evolution”

Feature story on research of Andrew P. Hendry, evolutionary ecologist, Biology

The New York Times
October 24, 2000
UMass in the National News
Oct 24 - Nov 3, 2000

“Homelessness”
In-depth description of an interdisciplinary honors course that focuses on the plight of the homeless

Cover Story, Learning Section
Boston Sunday Globe, October 29, 2000
UMass in the National News
Oct 24 - Nov 3, 2000

“Strangers and Neighbors: Teaching and Writing About Blacks and Jews”

Written by Maurianne Adams, Education, and John Bracey, Afro-American Studies

Cover Story, Review Section
Chronicle of Higher Education
Nov. 3, 2000
Library Services

Strategic Action Goal – Striving Towards Increase ARL Ranking and Profile AAU Libraries

- ARL rankings - 43rd (1976); 93rd (1991); 77th (1996) and 79th (2000)
- Acquisitions Expenditures increased by 28.6% between FY96 - 00 ($4.1M to $5.2M). Between FY94 - 00 the increase was 58.5%
- Provided improved facilities for learning and research including electronic classrooms, multimedia room, more PCs, and assistive technologies
- Secured external funding to advance new initiatives (MBLC funding for MassBedrock)
- Developed and implemented public information programs, new endowments and new publications

For details see page 67 in Appendix
Internationalism

Guiding Principle - Enable the Commonwealth’s full participation in the global economy and prepare students for a global society.

- International Programs Office (ISP) ranked 7th among top public research universities
- Between FY1996 and FY2000, the number of students participating in Study Abroad Programs increased by 43%, or approximately 18% of all students
- 250 scholars and researchers visit UMass each year
- Approximately 1,800 international students study at the University annually
- Established the new International Scholars Program, a partnership program between Commonwealth College and ISP
- Created 58 new IPO programs between 1996 and 2000
Countries hosting official UMass study abroad programs

Total: 32

[Map image of countries hosting official UMass study abroad programs]
Countries of researchers and scholars visiting UMass since Jan 2000

Total: 47
Countries where UMass students go to study

Total: 41
Sponsored Research

Strategic Action Goal – Striving Towards 7% Annual Increase in Sponsored Research

Includes all grants and contracts, calculated on a rolling three-year average

- Total FY94 - $57.2M
- Total FY96 - $63.6M
- Total FY01 - $79.3M
- Compound Average Growth – 5.1%

Grants & Contracts (Awards)
3 yr. trailing average ***

Fiscal Year

Slow Ramp Up
Dramatic Growth
Major Stagnation
Moderate Growth

Source:
- Non-Profits
- Industry
- State & Local
- Federal

*** 3 yr. trailing average plotted on third
General Education Requirements

The following is a summary of the work of the Faculty Senate Committee charged with making recommendations for reform of General Education Requirements.

General education courses designed for first and second year students should provide:

- Opportunities for critical thinking
- Engage the subject through “active” learning strategies and communities
- Assignments and activities that help students synthesize
- Integrative Studies
- Global Perspectives

Classes must meet at least one of the following criteria:

- Class size should be small enough to foster active learning
- Classroom lecture format should allow for “class talk” or similar teaching techniques
- Large lecture format with discussion sections should comprise no more than twenty-five students
Center For Teaching

- Received a Theodore M. Hesburgh Certificate for impact on undergraduate teaching and learning
- Admitted into the Carnegie Teaching Academy Campus Program
- Established a permanent tribute in the Campus Center for Distinguished Teaching Award recipients

(I-r) Mary Deane Sorcinelli, Associate Provost
John Biggs, President & CEO TIAA-CREF
Cora Marrett, Provost
Increasing Accessibility

Guiding Principle - Access to more opportunity
Strategic Action Goal - Exceeded
To become more accessible by decreasing costs and increasing financial aid

Between 1996 and 2000:

- **Tuition & Mandatory Fees decreased 5.5%**
- **CPI (Consumer Price Index) increased 9.5%**
- **HEPI (Higher Education Price Index) increased by 14.4%**
- **Institutional financial aid as a percentage of the operating budget has increased from 5.1% in 1996 to 7.0% in 2000 (a total of $17.4M)**
SAT Mean Score

- **SAT Mean Score**
  - 1994 - 1082
  - 2000 - 1133 (an increase of 51 points)

- New admissions process for entering class fall 2000 used new methods of measuring potential

- Students admitted on the strength of their weighted high school grade point average (GPA), together with their SAT scores and other characteristics of diversity, leadership, and ability to overcome barriers

Strategic Action Goal - Revised
Increase SAT Mean Score by 10 points per year
Commonwealth College

Commonwealth College models the integration of Learning, Discovery and Outreach

Admissions Statistics Entering Fall 2000

Average SAT scores: 1312
Average high school GPA: 3.9
Average high school rank: top 6%
Number of freshmen: 509
Percent of incoming class: 13.5%
51 of the 82 Valedictorians and Salutatorians
Acceptance and Retention

Strategic Action Goal - Exceeded
To become more selective and to improve retention

- **Acceptance Rate** - percentage of applicants offered admission, changed by 17 points
  - 1994 – 86%
  - 2000 – 69%

- **One-Year Retention Rate** – improved by 4 points
  - 1994 - 77%
  - 2000 - 81%
Advising and Retention

Strategic Action Goal - Met
Configure a new undergraduate advising model

- Undergraduate Advising and Academic Support Center created in 1997
- Focus on personalized advising services for undeclared and pre-major students (who are more than 50% of the first-year students)
- Advising interventions target academically at-risk students
- Between 1996-97 and 1999-2000, the number of undeclared/pre-major students subject to academic discipline decreased by 32.7%
Diversity Initiatives

Guiding Principle – To fostering diversity and multiculturalism, valuing the richness and differences of individuals and cultures, yet affirming our common humanity.

Strategic Action Goal
Entering freshman class reflects the diversity of college prepared high school seniors.

ALANA College Prepared MA High School Graduates
(1998*) - 15.5%

- 1998 Entering Class – 20.8%
- 1999 Entering Class – 19.1%
- 2000 Entering Class – 16.8%
- 2001 Entering Class – 16.8%

*Most recent available data
Diversity of Entering Class

Population Diversity
United States, Massachusetts, UMass Amherst

- US Population (1990): 24.8%
- Massachusetts Population (1990): 11.6%
- Mass. HS Grads 4-Yr. College (1998): 15.5%
- UMass Amherst Entering Class (1998): 19.1%
- UMass Amherst Entering Class (1999): 16.8%
- UMass Amherst Entering Class (2000 prelim.): 16.8%

African American
Hispanic
Asian American
Native American
Athletics

- The 1998 UMass football team captured the I-AA national championship, the first-ever national title in a men's sport at UMass.
- *USA Today* cited UMass as one of the nation's top 16 schools in Title IX compliance. Gender equity was accomplished without discontinuing any men’s sports.
- A new women's softball stadium was opened in 2000 and Garber Field underwent a $2 million renovation in 1996.
- UMass led the Atlantic 10 in academic all-conference selections every year from 1996-2000, including a league record 36 student-athletes earning a spot on the 1996-97 academic all-conference unit.
- Sixteen of UMass 29 teams have made at least one postseason appearance over the last five seasons.
- Exploring feasibility of moving to IA Football conference.
## Revenues and Expenditures FY96-00

<table>
<thead>
<tr>
<th>Strategic Action Goal - Exceeded</th>
<th>Restructure $11M Annually</th>
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<tbody>
<tr>
<td>• Original plan</td>
<td>$11M base restructuring</td>
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<tr>
<td>Actual</td>
<td>$15.5M by FY01</td>
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<tr>
<td>• Additional $11.6M in internal reallocation</td>
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<tr>
<td>• Original plan</td>
<td>$46.3M in new General Operations revenues</td>
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<tr>
<td>Actual</td>
<td>$81.1 by FY01</td>
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<tr>
<td>• FY96 - 00, higher than anticipated revenues allowed additional investments of:</td>
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<td>$7.7M Financial aid and scholarships</td>
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<td>$6.2M Major initiatives</td>
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<td>$4.4M Utilities, assessment, other</td>
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<td>• Unanticipated costs totaled $19.4M</td>
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</tbody>
</table>

For details see Appendix
Change in Resources and Investments
FY 1996 - 2001

- Reallocation: $11.6M
- Restructuring: $15.5M
- One-time Strategies: -$3.1M
- Other Revenue: $11.0M
- State Appropriation: $67.0M
- Program Investments: $11.6M
- Info Technology: $8.9M
- Infrastructure: $8.7M
- Development / Athletics: $2.6M
- Major Initiatives: $13.0M
- Financial Aid: $8.8M
- Central / Mandated: -$11.3M
- Salary Increases: $43.3M
Profile of Faculty Positions
FY 1996-2001

Total Vacancies: 328
Information Technology Investments

Guiding Principle - Employ creative uses of technology to create a new environment for learning, discovery and outreach

Strategic Action Goal - Exceeded
Capital Investment of $9.3M in Information Technology

Total IT capital investment, FY96-01, $15M

- Annual operating budget increased from $3.0M (FY96) to $5.4M (FY01)
- At the end of this year, 98% of all campus buildings (including all residence halls) will be networked
- Installed 21,633 network connection ports
- Integrated Student Information System
- Founding member of Internet2
- Began implementation of PeopleSoft Human Resources and Financial Systems

For details see page 77-78 in Appendix
Office of Information Technologies

Strategic Action Goal - Exceeded

- Create a network available from any office or classroom enabling electronic collaboration for teaching and research with consistent high speed access from any outlet.
- A pilot project to wire residence hall rooms will allow premium technology housing options.

![Graph showing E-mail Messages Processed and Buildings Completed over time]

Campus Wiring/Network Project
Buildings Completed

E-mail Messages Processed
Daily Average
Infrastructure Investments

Guiding Principle - Attend to the ecology of the learning, living and working environments
Strategic Action Goal - Exceeded
Capital Spending - $60M

- Capital Spending FY96-01 totaled $78M
- Opened 5 new facilities
- Invested $4.5M in classrooms
- Created Campus Master Plan
  Landscape for Learning
- Made $8.7M recurring annual investment from the operating budget
- Continuing to address infrastructure deficiencies which total $393M
New Construction FY96-01

Polymer Research Center - $50 M

ECSC Phase I - $14.5 M

Fine Arts Center Lobby - $2.3 M

Day Care Building - $237,000

Animal Care Building - $4.5 M
Classroom Renovations FY96-01

Alumni Classroom, LGRC

Machmer Hall Classroom

Thompson Hall Auditorium

Mahar Auditorium

Total Expenditures FY96-01
$4.5 Million
Completed Project Expenditures FY96-01 by Project Type

“Landscape for Learning”

- New Construction: $31 million
- Modernization: $20 million
- Renewal: $7 million
- Deferred Maintenance: $20 million
- Deferred Maintenance: $20 million

Total Expenditures FY96-01: $78 Million

- ECSC Phase I - $14.5 M
- Chapel Tower - $1.6 M
- Fine Arts Center Lobby - $2.3M
- Mahar Auditorium - $1.7 M
Completed Project Expenditures FY96-01 by Funding Source

- **State GOB**: $31 million
- **UMA Operating Budget**: $29 million
- **UMBA**: $8 million
- **State GOB Supplemental**: $2 million
- **UMA Housing**: $8 million

Total Expenditures FY96-01: **$78 Million**
Financial Model Options

Facilities Condition Index (FCI) = \( \frac{\text{total cost of existing deficiencies}}{\text{current replacement value}} \)

\( = \frac{\$393 \text{ million}}{\$1.6 \text{ billion}} \)

\( = 0.25 \) at UMass Amherst

Fiscal Year

Facilities Condition Index (FCI)

$0 $10,000,000 $20,000,000 $30,000,000 $40,000,000 $50,000,000 $60,000,000 $70,000,000

0.00 0.05 0.10 0.15 0.20 0.25 0.30 0.35 0.40 0.45 0.50
The Campus Beautification Committee (CBC), established in 1994, serves in an advisory role on improvements to the physical appearance and image of the campus, thus providing for an environment that supports the University’s overall mission of teaching, research and outreach. The CBC currently has 32 members from all sectors of the greater University community.
Blurring the Boundaries
Enrollment Management Initiative

Guiding Principle - Work toward blurring the boundaries and rendering barriers permeable to making the University a more integrative organization

“Communication and collaboration across executive areas has increased over the last 3 years. This is really the cornerstone of good enrollment management, and cannot be exaggerated. For example, I meet several times a week with Academic Affairs staff and Enrollment Services staff, and representatives of Administration and Finance are involved in virtually every discussion about financial aid strategies. As a result, we've met every enrollment goal since I've been here, which other campuses cannot say.”

Joseph Marshall
Assistant Vice Chancellor for Student Affairs
Dean of Enrollment Services
Reorganizing Schools and Colleges

Guiding Principle - The University will be integrative in all that it strives to do

Strategic Action Goal - Striving

Create a College of Life Sciences and Biotechnology and School of Management/Applied Management and to discuss other potential reorganizations

• To ensure integration of learning, discovery and outreach in each major knowledge area

• The structure is still evolving and interdisciplinarity and integration are flourishing

• New Interdisciplinary Units
  The Center for the Family
  The Center for Neuroendocrine Study
  The Center for Public Policy and Administration
  The Graduate Program in Organismic and Evolutionary Biology
  The Program in Molecular and Cellular Biology
  The Plant Biology Graduate Program
Outreach

Strategic Action Goal – Exceeded
Coordinate University Outreach in the Provost’s Executive Area
(along with Research and Teaching)

• The executive area is now directed by a Vice Chancellor for Outreach who reports to the Provost *

• Created the Faculty Senate Outreach Council

• Partnering in UMass Online, a system-wide initiative to provide high-quality distance learning

* During the Strategic Action timeframe, the Vice Chancellor for Research position was also placed under the office of the Provost to provide further integration of learning, discovery and outreach.
Outreach

“The Commonwealth is Our Campus”
Partnerships - The UMass/Baystate Alliance

• For the past ten years, UMass Amherst and the Baystate Medical Center in Springfield have jointly funded a research program designed to foster research collaborations between the two institutions.

• Over 30 collaborative projects have been funded which support a UMass graduate student who works under the joint direction of a UMass faculty member and a Baystate faculty member.

• The University and Baystate are preparing to take the collaboration to the next level by creating a new research facility at Baystate and a new teaching/research building on the Amherst campus, the Integrated Sciences Building. As a physical structure, this facility is designed to blur the boundaries.
Partnerships - Office of Commercial Venture and Intellectual Property

Guiding Principle - Strengthen and advance internal and external connections

- Works with faculty on intellectual property issues
- Provides a revenue stream for UMass and a meaningful outlet for faculty entrepreneurship
- CVIP - Generated $1M between FY1999 - 2001

### Revenue from Patent Income

<table>
<thead>
<tr>
<th>Year</th>
<th>Revenue</th>
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<tbody>
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<td>1990</td>
<td>13,603</td>
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<td>1991</td>
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<tr>
<td>1994</td>
<td>21,562</td>
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<td>59,204</td>
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<td>1997</td>
<td>66,101</td>
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<tr>
<td>1998</td>
<td>8,732</td>
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**Subtotal-1990-1998** 196,066

| CVIP | 1999 | 209,610 |
| CVIP | 2000 | 257,551 |
| CVIP | 2001*| 550,000 |

**Subtotal-C VIP-1999-2001** 1,017,161

**Total 1991-2001** 1,213,227

*estimated
Partnerships - Economic Development

• The UMass Office of Economic Development was created in 1994

• Mass Ventures Corporation was founded in 1995
  – Vehicle for UMass partnership with the business community and the state
  – Generates start-ups from UMass technology and creativity; provides business planning expertise
  – Raised $66M in venture capital for regional businesses between FY96-01
  – Positioned UMass as a valuable state asset for economic development
Partnerships - Office of Strategic Technology Alliances (STA)

• STA, a national model for university/industry partnerships development, markets University’s core competencies and excellence in science and technology

• Promotes research across interdisciplinary lines

• Generated over $8 Million in funds from 12 STA companies FY97-00

• Created Master Alliance Agreement, a boilerplate contract articulating partnership terms and conditions enabling drastic reduction in start up time for research collaborations. MMAs have been negotiated with General Electric, General Motors, Procter & Gamble and Kollmorgen.
Partnerships - COMEC Campaign

Guiding Principle - Focusing on human empowerment and enablement to become a more caring institution

In 1999 UMass Amherst employees led all other employees in the Commonwealth, contributing $397,279 and achieving a record participation rate of 45%.
# Progress Towards Strategic Action Goals

<table>
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<th>Progress Towards Goals</th>
<th>Exceeded</th>
<th>Met</th>
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<tr>
<td><strong>Institutional Goals</strong></td>
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<tr>
<td>1 Achieve Profile of a Land Grant - AAU Institution</td>
<td></td>
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<tr>
<td>2 Campaign UMass - Raise $125M - Engage Advocates - Strengthen Image</td>
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<td>X</td>
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<tr>
<td>3 Improve Library’s 1991 ARL Ranking of 93</td>
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<td>4 Foster Internationalization across the institution</td>
<td>X</td>
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<tr>
<td>5 Increase Sponsored Research</td>
<td></td>
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<tr>
<td>6 Enhance Learning Environment - Model for Gen Ed Reform - Center For Teaching</td>
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<tr>
<td><strong>Increase Access</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Hold Tuition and Fees Constant</td>
<td>X</td>
<td></td>
<td></td>
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<tr>
<td>8 Increase Institutional Financial Aid</td>
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<tr>
<td><strong>Enrollment</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Increase SAT Mean Score</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Decrease Acceptance Rate and Improve Retention</td>
<td>X</td>
<td></td>
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<tr>
<td>11 Reflect the Diversity of MA College Bound High School Grads in the Incoming First Year Class</td>
<td>X</td>
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<tr>
<td><strong>Athletics</strong></td>
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<tr>
<td>12 Achieve Gender Equity without Compromising Men's Sports</td>
<td>X</td>
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<td></td>
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<tr>
<td>13 Student Athlete Achievements</td>
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<td><strong>Management Initiatives</strong></td>
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<tr>
<td>14 Reshape Priorities through Reallocation and Restructuring</td>
<td>X</td>
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<tr>
<td>15 Connect Student Rooms, Laboratories and Offices to the Internet</td>
<td>X</td>
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<tr>
<td>16 Make Major Resource Investments in Physical Plant</td>
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<td>X</td>
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<tr>
<td>17 Campus Beautification</td>
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<tr>
<td><strong>Blurring the Boundaries</strong></td>
<td></td>
<td></td>
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<tr>
<td>18 Reorganize Schools and Colleges</td>
<td>X</td>
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<tr>
<td>19 Integrate Learning, Outreach and Research - New Organizational Structure</td>
<td>X</td>
<td></td>
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<tr>
<td>20 Create Partnerships with External Communities</td>
<td>X</td>
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</table>
The Context for *Strategic Action*

1993-1994  Directions in Higher Education Seminars
1993-1994  6 Task Forces & 7 Working Groups
1994      Continuous Quality Improvement
1994-1995  Synthesized Plans - Major Budgetary Units (MBUs)
1995      “Strategic Thinking”
1995-1996  Program Review
           Administrative Redesign
           Campus Restructuring – *Striving for Excellence*
1996-2001  Strategic Action
           *Towards a Commonwealth of Learning*
2001-2010  Strategic Intent
           *A Commonwealth of Learning*
## Strategic Action

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<td>Undergraduate</td>
<td>19,164</td>
<td>19,467</td>
<td>19,065</td>
<td>18,752</td>
<td>19,372</td>
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<tr>
<td>Graduate</td>
<td>6,103</td>
<td>5,959</td>
<td>5,819</td>
<td>5,793</td>
<td>5,669</td>
<td>-7.3%</td>
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<tr>
<td>Total</td>
<td>25,267</td>
<td>25,422</td>
<td>24,884</td>
<td>24,545</td>
<td>25,031</td>
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<td>ALINA %</td>
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<tr>
<td>First-Year</td>
<td>17.2%</td>
<td>20.7%</td>
<td>20.8%</td>
<td>19.1%</td>
<td>16.8%</td>
<td>-0.4 pts.</td>
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<tr>
<td>Undergraduate</td>
<td>14.8%</td>
<td>16.3%</td>
<td>17.3%</td>
<td>17.8%</td>
<td>17.8%</td>
<td>+3.0 pts.</td>
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<td>Academic Indicators of First-Year Students</td>
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<td>SAT Score Mean</td>
<td>1068</td>
<td>1098</td>
<td>1108</td>
<td>1124</td>
<td>1133</td>
<td>+38 pts.</td>
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<td>2.82</td>
<td>2.85</td>
<td>3.09</td>
<td>3.16</td>
<td>3.26</td>
<td>+0.4 pts.</td>
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<td>68</td>
<td>97</td>
<td>106</td>
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<tr>
<td>One Year Retention Rate</td>
<td>77.0%</td>
<td>78.3%</td>
<td>79.3%</td>
<td>79.4%</td>
<td>80.6%</td>
<td>+3.6 pts.</td>
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<td>78.5%</td>
<td>74.4%</td>
<td>73.0%</td>
<td>74.5%</td>
<td>68.9%</td>
<td>-9.6 pts.</td>
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<td>Honors Students/ Commonwealth College</td>
<td>1,245</td>
<td>1,510</td>
<td>1,642</td>
<td>1,805</td>
<td>2,227</td>
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<td>Ugrad In-State Tuition &amp; Fees</td>
<td>$5,514</td>
<td>$5,413</td>
<td>$5,329</td>
<td>$5,229</td>
<td>$5,212</td>
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<td>Consumer Price Index (CPI)</td>
<td>100.0</td>
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<td>104.8</td>
<td>106.5</td>
<td>109.5</td>
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<td>Financial (in thousands)</td>
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<td>Total Operating Budget (Revenues)</td>
<td>$473,405</td>
<td>$492,740</td>
<td>$511,345</td>
<td>$526,916</td>
<td>$555,102</td>
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<td>State Appropriation</td>
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<td>$182,200</td>
<td>$196,707</td>
<td>$211,245</td>
<td>$219,826</td>
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<td>Financial Aid as % of General Operations Budget*</td>
<td>5.1%</td>
<td>4.9%</td>
<td>5.7%</td>
<td>6.4%</td>
<td>7.0%</td>
<td>+1.9 pts.</td>
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<td>Sponsored Activities</td>
<td>$63,600</td>
<td>$69,500</td>
<td>$69,500</td>
<td>$72,100</td>
<td>$75,800</td>
<td>19.2%</td>
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<tr>
<td>Financial Cushion</td>
<td>12.8%</td>
<td>11.8%</td>
<td>11.9%</td>
<td>12.2%</td>
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<tr>
<td>Campaign UMass</td>
<td>$16,400</td>
<td>$26,700</td>
<td>$23,100</td>
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<td>$19,800</td>
<td>$109,900††</td>
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<td>Restructuring/Reallocation</td>
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<td>$24,328</td>
<td>$87,834††</td>
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<td>Library Acquisitions Expenditures</td>
<td>$4,108</td>
<td>$4,434</td>
<td>$4,269</td>
<td>$4,541</td>
<td>$5,272</td>
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<td>Employees</td>
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<td>Faculty</td>
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<td>1,391</td>
<td>1,393</td>
<td>1,395</td>
<td>1,454</td>
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<td>1,058</td>
<td>1,065</td>
<td>1,038</td>
<td>1,048</td>
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<tr>
<td>Non-Tenure System</td>
<td>294</td>
<td>333</td>
<td>328</td>
<td>357</td>
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<td>2,615</td>
<td>2,591</td>
<td>2,633</td>
<td>2,614</td>
<td>2,650</td>
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<tr>
<td>Total</td>
<td>7,876</td>
<td>7,901</td>
<td>7,982</td>
<td>8,088</td>
<td>8,202</td>
<td>+326</td>
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<td>Campus Network Ports (Internet)</td>
<td>2,100</td>
<td>3,321</td>
<td>5,148</td>
<td>3,554</td>
<td>21,633</td>
<td>21,033††</td>
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* FY00 figures are projected.
** Report issued 1/01.
†† Includes cumulative.
# Students - Data

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<td>First-Year Entering Students</td>
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<td>Applications</td>
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<td>17,706</td>
<td>18,006</td>
<td>17,691</td>
<td>19,915</td>
<td>13.4%</td>
<td>19,499</td>
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<td>74.4%</td>
<td>73.0%</td>
<td>74.5%</td>
<td>68.9%</td>
<td>-9 pts.</td>
<td>67%</td>
<td>86.0%</td>
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<td>3,985</td>
<td>3,737</td>
<td>3,866</td>
<td>4,060</td>
<td>5.2%</td>
<td>3,731</td>
<td>3,822</td>
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<tr>
<td>SAT Score Mean</td>
<td>1095</td>
<td>1099</td>
<td>1108</td>
<td>1124</td>
<td>1133</td>
<td>+38 pts.</td>
<td>1127</td>
<td>1082</td>
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<tr>
<td>High School GPA</td>
<td>2.82</td>
<td>2.85</td>
<td>3.09</td>
<td>3.16</td>
<td>3.26</td>
<td>+0.4 pts.</td>
<td>3.33</td>
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<tr>
<td>High School Vals/Sals</td>
<td>-</td>
<td>-</td>
<td>68</td>
<td>97</td>
<td>106</td>
<td>-</td>
<td>100</td>
<td>-</td>
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<tr>
<td>MA College-Bound Graduates</td>
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<td>34,652</td>
<td>35,237</td>
<td>36,174</td>
<td>-</td>
<td>-</td>
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<tr>
<td>% attending UMass Amherst</td>
<td>11%</td>
<td>12%</td>
<td>11%</td>
<td>11%</td>
<td>-</td>
<td>-</td>
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<tr>
<td>Undergraduate</td>
<td>19,164</td>
<td>19,467</td>
<td>19,065</td>
<td>18,752</td>
<td>19,372</td>
<td>1.1%</td>
<td>19,061</td>
<td>18,375</td>
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<tr>
<td>Graduate</td>
<td>6,103</td>
<td>5,955</td>
<td>5,819</td>
<td>5,793</td>
<td>5,659</td>
<td>-7.3%</td>
<td>5,355</td>
<td>5,859</td>
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<tr>
<td>Total</td>
<td>25,267</td>
<td>25,422</td>
<td>24,884</td>
<td>24,545</td>
<td>25,031</td>
<td>-0.9%</td>
<td>24,416</td>
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<tbody>
<tr>
<td>Undergraduate</td>
<td>$5,514</td>
<td>$5,413</td>
<td>$5,329</td>
<td>$5,229</td>
<td>$5,212</td>
<td>-5.5%</td>
<td>$5,212</td>
<td>$5,467</td>
</tr>
<tr>
<td>Graduate</td>
<td>$5,543</td>
<td>$5,551</td>
<td>$5,496</td>
<td>$5,496</td>
<td>$5,642</td>
<td>1.8%</td>
<td>$5,642</td>
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<td>Associate's</td>
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<td>115</td>
<td>109</td>
<td>67</td>
<td>86</td>
<td>-8.5%</td>
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<td>99</td>
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<td>Baccalaureate</td>
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<td>3,966</td>
<td>3,577</td>
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<td>-</td>
<td>3,834</td>
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<td>Master's (includes CAGS)</td>
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<td>1,037</td>
<td>1,054</td>
<td>969</td>
<td>1,043</td>
<td>7.1%</td>
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<td>671</td>
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<td>281</td>
<td>299</td>
<td>270</td>
<td>276</td>
<td>-18.3%</td>
<td>-</td>
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<td>5,170</td>
<td>5,428</td>
<td>4,883</td>
<td>5,443</td>
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<td>5,142</td>
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<table>
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<tr>
<td>Total</td>
<td>$103,679</td>
<td>$108,927</td>
<td>$114,920</td>
<td>$118,338</td>
<td>$115,466</td>
<td>11.4%</td>
<td>$115,466</td>
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* Institutional aid is based on allocations, while total is based on expenditures.

According to the Princeton Review’s rankings of the top “party” schools, 1992 was the tail-end of UMass’s party days. By 1997 they were saying the ”Days of ZooMass are over.” And, since 1999, UMass Amherst has not been included in their annual ranking of the top party schools in the nation.
Students – Undergraduate Advising and Academic Support Center

- Established in 1997, UAASC integrates advising and academic programs services
- UAASC focuses on personalized advising services for undeclared and pre-major students (who represent more than 50% of the first-year students)
- UAASC provides stronger linkages to the undergraduate deans and faculty advisors in UMass' nine colleges/schools as well as with the personnel in the Commonwealth College, ALANA, support programs, Athletic Counseling, Residential Academic Programs
- UAASC employs advising interventions that target academically at-risk students, resulting in significant reductions in the numbers of pre-major and undeclared students who are subject to Academic Discipline
- Establishing UAASC offices on the 6th floor of Goodell brings together Pre-Major Advising Services and several of the key academic programs and services into a centrally located facility
- UAASC increased technological support and computer enhancements for advising and academic support personnel, which enables them to utilize a computer network for enhanced communication, linkages to the University's student database, web-based communications, and on-going monitoring of students' academic performance and assessments of services rendered
- UAASC hosts campus-wide forums through such units as the Undergraduate Deans Council, Undergraduate Deans' Advisory Group and the Resource Network which foster on-going communication, campus-wide programs, academic policy and procedure evaluation/development, as well as enhanced advising and academic support strategies
- The decline in the number of pre-major/undeclared students who are subject to academic discipline can be attributed in part to UAASC. In 1996-97, 918 undeclared/pre-major students were subject to academic discipline. In 1999-2000, 618 pre-major/undeclared students were subject to academic discipline, a decrease of 32.7%.
Students – New Admission Policies

Major goals of this yearlong effort were to:

1. Emphasize the weighted high school grade point average (GPA) and de-emphasize the use of the SAT.

2. Recognize students' full potential by taking into account such "non-cognitive" factors as leadership, pattern of achievement and success in overcoming particularly difficult challenges.

3. Maintain a challenging educational environment by promoting a diverse campus.

4. Give preference in admissions to residents of Massachusetts and conform with statewide admissions standards established by the state Board of Higher Education.

A new admissions process was developed for the class entering fall 2000. This was done to ensure that our practices conform with rulings of the Supreme Court of the United States and to meet the campus' diversity goal of reflecting the diversity of college bound high school graduates.

The new process admits some students on the strength of their weighted high school grade point average (GPA), together with their combined SAT scores. A second group of applicants with lower GPAs and SATs will be reviewed through a system which will assign points for GPAs, for Massachusetts residency, for different kinds of achievements and honors, and for the applicant's ability to contribute to the diversity of the campus. Three-quarters of the possible points will be based on an applicant's weighted GPA. This model, consistent with current research, shifts emphasis away from standardized tests as the only means of measuring human potential.
## Summary of Campaign Giving

<table>
<thead>
<tr>
<th>University of Massachussets</th>
<th>Estimated</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1994</td>
</tr>
<tr>
<td>Gifts (millions)</td>
<td></td>
</tr>
<tr>
<td>Individuals</td>
<td></td>
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<tr>
<td>Alumni</td>
<td>3.6</td>
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<tr>
<td>Parents</td>
<td>0.3</td>
</tr>
<tr>
<td>Other</td>
<td>1.9</td>
</tr>
<tr>
<td>Total Individuals</td>
<td>5.8</td>
</tr>
<tr>
<td>Organizations</td>
<td></td>
</tr>
<tr>
<td>Foundations</td>
<td>0.9</td>
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<tr>
<td>Corporations</td>
<td>8.7</td>
</tr>
<tr>
<td>Other</td>
<td>1.2</td>
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<tr>
<td>Total Organizations</td>
<td>10.8</td>
</tr>
<tr>
<td>Total</td>
<td>16.6</td>
</tr>
<tr>
<td>Number of Donors</td>
<td></td>
</tr>
<tr>
<td>Individuals</td>
<td>35,523</td>
</tr>
<tr>
<td>Organizations</td>
<td>1,958</td>
</tr>
<tr>
<td>Total</td>
<td>37,481</td>
</tr>
<tr>
<td>Gifts by Type (millions)</td>
<td></td>
</tr>
<tr>
<td>Cash</td>
<td>6.9</td>
</tr>
</tbody>
</table>
Campaign UMass – Gifts by Source

<table>
<thead>
<tr>
<th></th>
<th>FY 96 - 01 *</th>
</tr>
</thead>
<tbody>
<tr>
<td>(in millions)</td>
<td></td>
</tr>
<tr>
<td>Parents</td>
<td>1.6</td>
</tr>
<tr>
<td>Other Organizations</td>
<td>11.3</td>
</tr>
<tr>
<td>Foundations</td>
<td>19.1</td>
</tr>
<tr>
<td>Other Individuals</td>
<td>20.6</td>
</tr>
<tr>
<td>Corporations</td>
<td>35.1</td>
</tr>
<tr>
<td>Alumni</td>
<td>46.3</td>
</tr>
<tr>
<td>Total</td>
<td>134.0</td>
</tr>
</tbody>
</table>

* 01 Estimated

Campaign Giving

Fiscal Year

FY 96 - 01

(in millions)
Advancement – Alumni Relations

- Alumni Association assets grew from $300,000 to $3.5 M
- Membership has grown from 8,000 to 12,000 individuals
- Alumni Association developed a 20-year strategic plan
- Growth from 6 to 40 regional alumni clubs
- Exceeded target of 3,000 engaged alumni as volunteers in various programs
- Alumni serve as admission council volunteers, and school and college advisory council volunteers
- Between 1996 and 2000, individual alumni contributed $46M toward Campaign UMass, representing 35.5% of total contributions.

The Alumni Association has appropriated $1 M to build an Alumni Center next to the softball field. The building needs have been identified and a fundraising plan is underway. The targeted completion date is 2005.
## Library Profile

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Acquisitions Expenditures</td>
<td>$4,108,093</td>
<td>$4,434,055</td>
<td>$4,269,080</td>
<td>$4,541,415</td>
<td>$5,272,539</td>
<td>28.3%</td>
</tr>
<tr>
<td>Serials Expenditures</td>
<td>$2,682,027</td>
<td>$2,483,267</td>
<td>$2,820,849</td>
<td>$2,976,589</td>
<td>$3,117,911</td>
<td>16.3%</td>
</tr>
<tr>
<td>Electronic Resources Expenditures</td>
<td>$130,051</td>
<td>$330,603</td>
<td>$309,462</td>
<td>$408,472</td>
<td>$447,676</td>
<td>244.2%</td>
</tr>
<tr>
<td>Infrastructure Investment</td>
<td>N/A</td>
<td>N/A</td>
<td>$508,369</td>
<td>$289,521</td>
<td>$268,562</td>
<td>N/A</td>
</tr>
<tr>
<td>ARL Ranking</td>
<td>76</td>
<td>76</td>
<td>80</td>
<td>79</td>
<td>N/A</td>
<td>77</td>
</tr>
<tr>
<td>Volumes Held</td>
<td>2,762,244</td>
<td>2,826,284</td>
<td>2,882,541</td>
<td>2,935,739</td>
<td>2,993,518</td>
<td>8.4%</td>
</tr>
<tr>
<td>Serial Titles</td>
<td>15,518</td>
<td>15,797</td>
<td>15,835</td>
<td>15,510</td>
<td>15,362</td>
<td>-1.0%</td>
</tr>
<tr>
<td>Database Titles</td>
<td>40</td>
<td>53</td>
<td>63</td>
<td>57</td>
<td>83</td>
<td>107.5%</td>
</tr>
<tr>
<td>Library Visitors</td>
<td>1,143,355</td>
<td>1,181,275</td>
<td>1,094,865</td>
<td>1,045,979</td>
<td>1,021,167</td>
<td>-10.7%</td>
</tr>
<tr>
<td>FTE Career Staff</td>
<td>139</td>
<td>142</td>
<td>140</td>
<td>142</td>
<td>146</td>
<td>5.0%</td>
</tr>
<tr>
<td>FTE Student Staff</td>
<td>45</td>
<td>47</td>
<td>54</td>
<td>50</td>
<td>43</td>
<td>4.4%</td>
</tr>
<tr>
<td>PC Workstations Acquired</td>
<td>N/A</td>
<td>N/A</td>
<td>133</td>
<td>68</td>
<td>62</td>
<td>N/A</td>
</tr>
<tr>
<td>Web Site Visits (per month)</td>
<td>N/A</td>
<td>N/A</td>
<td>18,000*</td>
<td>30,000*</td>
<td>42,479</td>
<td>N/A</td>
</tr>
<tr>
<td>Electronic Reference Questions</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>580</td>
<td>469</td>
<td>N/A</td>
</tr>
<tr>
<td>Instruction: Classes Met</td>
<td>362</td>
<td>502</td>
<td>560</td>
<td>541</td>
<td>568</td>
<td>56.9%</td>
</tr>
<tr>
<td>Instruction: Students Served</td>
<td>5,808</td>
<td>7,253</td>
<td>7,630</td>
<td>8,519</td>
<td>8,489</td>
<td>46.2%</td>
</tr>
</tbody>
</table>

* Estimate

N/A = Not Available

University Of Massachusetts Amherst
Grant & Contract Awards

Slow Ramp Up  |  Dramatic Growth  |  Major Stagnation  |  Moderate Growth

Fiscal year
$0  |  $10  |  $20  |  $30  |  $40  |  $50  |  $60  |  $70  |  $80

$0  |  $10  |  $20  |  $30  |  $40  |  $50  |  $60  |  $70  |  $80

Other represents State & Local, Industry and Non-profit awards
General Education Requirements

Creating Learning Communities
The General Education Program advances the aim of general education through learning communities by encouraging the University to provide a learning community for every first-year student. The creation of learning communities provides the setting for an enhanced General Education Program and prepares first-year students for more successful integration into the University.

Strengthening Writing
The General Education Program identified the need for writing across the curriculum. The program proposed the following recommendations:
- Every incoming student must complete first-year writing or an honors version with no exceptions
- Students must complete two courses designed “writing intensive” in disciplines outside the Writing Program

Integrative Studies
Students would fulfill an “interdisciplinary” requirement by either of two options:
- A cluster of two related courses
- An interdisciplinary course

Global Perspectives
The General Education Program proposed to expand the definition of “diversity” to provide a global perspective to each student. Students will be required to complete a Domestic Diversity” and a “Global Diversity” course

More Intensive Upper Division
Schools and Colleges will be responsible for encouraging faculty to develop challenging upper division courses open for enrollment by general education students. Each student will be required complete the following courses: Junior year writing and two advanced general education courses outside the major departments.
Diversity

• Fall 1996, created the Counsel on Community, Diversity and Social Justice (CDSJ) as the umbrella organization, consolidating a number of former advisory groups

• The Counsel undertook the task of developing a new approach to addressing issues related to diversity making it an integral part of all unit activities

• Key outcomes include: more proactive management, information-driven approach, responsibility at the departmental level
The cumulative reallocated and restructured funds within the base operating budget was over $108.2M, representing approximately 4.0% of the total base budget.
Comparing Original Plan to Actual Change in Base Budget FY96-FY2001

<table>
<thead>
<tr>
<th>Expenditures By Category</th>
<th>FY96-FY00 Original Plan</th>
<th>FY96-FY00 Actual</th>
<th>FY96-FY00 Actual less FY2001</th>
<th>FY2001 Estimate</th>
<th>FY96-FY01 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ Amount</td>
<td>Plan %</td>
<td>$ Amount</td>
<td>%</td>
<td>$ Amount</td>
</tr>
<tr>
<td>Major Initiatives ***</td>
<td>5,200</td>
<td>9.1%</td>
<td>11,484</td>
<td>14.2%</td>
<td>$6,284</td>
</tr>
<tr>
<td>Development/Athletics</td>
<td>1,800</td>
<td>3.1%</td>
<td>2,621</td>
<td>3.2%</td>
<td>$821</td>
</tr>
<tr>
<td>Information Technologies</td>
<td>6,000</td>
<td>10.4%</td>
<td>7,480</td>
<td>9.2%</td>
<td>$1,480</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>8,000</td>
<td>13.9%</td>
<td>7,450</td>
<td>9.2%</td>
<td>($550)</td>
</tr>
<tr>
<td>Financial Aid</td>
<td>0</td>
<td>0.0%</td>
<td>7,781</td>
<td>9.6%</td>
<td>$7,781</td>
</tr>
<tr>
<td>Salary Increases</td>
<td>31,216</td>
<td>54.4%</td>
<td>34,435</td>
<td>42.6%</td>
<td>$3,219</td>
</tr>
<tr>
<td>Other (Utilities, Assessment, Misc.)</td>
<td>5,210</td>
<td>9.1%</td>
<td>9,668</td>
<td>11.9%</td>
<td>$4,458</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>57,426</td>
<td>100.0%</td>
<td>80,919</td>
<td>100.0%</td>
<td>$23,493</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fund Sources</th>
<th>FY96-FY00 Original Plan</th>
<th>FY96-FY00 Actual</th>
<th>FY96-FY00 Actual less FY2001</th>
<th>FY2001 Estimate</th>
<th>FY96-FY01 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ Amount</td>
<td>Plan %</td>
<td>$ Amount</td>
<td>%</td>
<td>$ Amount</td>
</tr>
<tr>
<td>Restructuring</td>
<td>11,086</td>
<td>19.3%</td>
<td>12,728</td>
<td>15.7%</td>
<td>$1,642</td>
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<tr>
<td>New Funds</td>
<td>46,340</td>
<td>80.7%</td>
<td>68,191</td>
<td>84.3%</td>
<td>$21,851</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>57,426</td>
<td>100.0%</td>
<td>80,919</td>
<td>100.0%</td>
<td>$23,493</td>
</tr>
</tbody>
</table>

Update of Table II, Projected Revenue and Expenditures FY1996 to FY2001, Strategic Action May 1996
Strategic Action Goal - Exceeded

6 year average annual increase in state appropriations was projected at 4.2%

- State appropriation has increased on average 5.7% over the past six years
- Total tax revenue increased in the same period by 6.9%
- UMass’ appropriation still grows at a rate lower than the state revenue base growth (during this period, 1.2 % lower). This trend has continued for over 20 years
- After accounting for mandated increases and non-discretionary costs and deferred maintenance, the actual growth was only 1.8%
## Unanticipated Costs

### Unanticipated Costs FY96-01

<table>
<thead>
<tr>
<th>Expenditure</th>
<th>FY96</th>
<th>FY97</th>
<th>FY98</th>
<th>FY99</th>
<th>FY00</th>
<th>FY01</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Scholarships/Financial Aid &amp; Waivers</td>
<td>$1.460</td>
<td>$1.037</td>
<td>$2.740</td>
<td>$1.376</td>
<td>$2.335</td>
<td>$0.960</td>
<td>$9.908</td>
</tr>
<tr>
<td>Operation of New Buildings</td>
<td>$0.100</td>
<td></td>
<td>$0.220</td>
<td>$0.750</td>
<td>$0.410</td>
<td></td>
<td>$1.480</td>
</tr>
<tr>
<td>Old Chapel Renovations</td>
<td></td>
<td>$0.975</td>
<td></td>
<td>$1.475</td>
<td></td>
<td></td>
<td>$2.450</td>
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<tr>
<td>FICA, Longevity, Sick Leave, Other</td>
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<td></td>
<td>$0.128</td>
<td></td>
<td></td>
<td>$1.533</td>
<td>$1.661</td>
</tr>
<tr>
<td>Shift in Assessment of Central Services</td>
<td>$0.580</td>
<td>$0.580</td>
<td>$0.664</td>
<td>$0.360</td>
<td>$0.364</td>
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<td>$2.548</td>
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<tr>
<td>Legislative Earmarks</td>
<td>$0.170</td>
<td>$0.220</td>
<td></td>
<td>$1.000</td>
<td></td>
<td></td>
<td>$1.390</td>
</tr>
<tr>
<td>Total</td>
<td>$1.560</td>
<td>$2.762</td>
<td>$5.235</td>
<td>$2.918</td>
<td>$4.105</td>
<td>$2.857</td>
<td>$19.437</td>
</tr>
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</table>
## History of State Tax Revenues

### UMass Amherst State Appropriations Projection (in $ millions)

Based on History of State Tax Revenues and UMass Amherst Appropriations

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Base Increase Salary</th>
<th>Other</th>
<th>TOTAL</th>
<th>UMass ** AMHERST</th>
<th>State *** TAX REV</th>
<th>% state change</th>
<th>6-YR AVG</th>
<th>% Amherst change</th>
<th>6-YR AVG</th>
<th>Compare UMA w/State</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2000</td>
<td>5.2</td>
<td>3.6</td>
<td>8.8</td>
<td>64.8</td>
<td>15,700</td>
<td>15.4%</td>
<td>6.9%</td>
<td>3.9%</td>
<td>5.7%</td>
<td>-1.2%</td>
</tr>
<tr>
<td>FY99</td>
<td>5.6</td>
<td>9.7</td>
<td>15.3</td>
<td>56.0</td>
<td>13,610</td>
<td>-3.0%</td>
<td>7.5%</td>
<td>9.1%</td>
<td>7.3%</td>
<td></td>
</tr>
<tr>
<td>FY98</td>
<td>4.9</td>
<td>8.9</td>
<td>13.8</td>
<td>40.7</td>
<td>14,025</td>
<td>6.7%</td>
<td>6.3%</td>
<td>7.9%</td>
<td>4.7%</td>
<td></td>
</tr>
<tr>
<td>FY97</td>
<td>4.9</td>
<td>6.3</td>
<td>11.2</td>
<td>26.9</td>
<td>12,861</td>
<td>6.7%</td>
<td>6.3%</td>
<td>7.9%</td>
<td>4.7%</td>
<td></td>
</tr>
<tr>
<td>FY96 *</td>
<td>3.2</td>
<td>4.9</td>
<td>8.1</td>
<td>15.7</td>
<td>12,050</td>
<td>5.3%</td>
<td>4.7%</td>
<td>5.3%</td>
<td>4.7%</td>
<td></td>
</tr>
<tr>
<td>FY95</td>
<td>0.0</td>
<td>7.6</td>
<td>7.6</td>
<td>7.6</td>
<td>11,165</td>
<td>4.4%</td>
<td>10.3%</td>
<td>-0.9%</td>
<td>9.8%</td>
<td>-5.3%</td>
</tr>
<tr>
<td>FY89 - FY94</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4.4%</td>
<td>10.3%</td>
<td>-0.9%</td>
<td>9.8%</td>
<td>-5.3%</td>
</tr>
<tr>
<td>FY83 - FY88</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9.9%</td>
<td>7.3%</td>
<td>9.8%</td>
<td>7.3%</td>
<td>-2.6%</td>
</tr>
<tr>
<td>FY77 - FY82</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9.9%</td>
<td>7.3%</td>
<td>9.8%</td>
<td>7.3%</td>
<td>-2.6%</td>
</tr>
</tbody>
</table>
State Appropriation – Amherst Allocation

The allocation to the Amherst campus has risen slightly over the first few years of Strategic Action and recently has remained consistent.

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Amherst Campus</th>
<th>Total</th>
<th>% of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY96</td>
<td>170,937</td>
<td>351,091</td>
<td>48.7%</td>
</tr>
<tr>
<td>FY97</td>
<td>182,200</td>
<td>371,215</td>
<td>49.1%</td>
</tr>
<tr>
<td>FY98</td>
<td>196,707</td>
<td>400,807</td>
<td>49.1%</td>
</tr>
<tr>
<td>FY99 *</td>
<td>212,995</td>
<td>430,607</td>
<td>49.5%</td>
</tr>
<tr>
<td>FY00 *</td>
<td>221,047</td>
<td>448,416</td>
<td>49.3%</td>
</tr>
<tr>
<td>FY01 *</td>
<td>232,464</td>
<td>471,848</td>
<td>49.3%</td>
</tr>
</tbody>
</table>

*Includes Commonwealth College Appropriation of $1.75M
Office of Information Technologies

Weekly Web Activity
Web activity on the www.umass.edu system (ie. www.umass.edu/something) for an average week in October of each year.

<table>
<thead>
<tr>
<th></th>
<th>1995</th>
<th>2000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weekly Web Traffic</td>
<td>103,000 hits</td>
<td>2,200,000 hits</td>
</tr>
<tr>
<td>Weekly Web Volume Served</td>
<td>n/a</td>
<td>19.1 gigabytes</td>
</tr>
</tbody>
</table>

Public and Semi-Public Computer Labs/Classrooms

<table>
<thead>
<tr>
<th></th>
<th>1995</th>
<th>2000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rooms</td>
<td>4</td>
<td>16</td>
</tr>
<tr>
<td>Workstations</td>
<td>78</td>
<td>346</td>
</tr>
</tbody>
</table>
Office of Information Technologies
Integrated Student Information System

• Improve services to students, parents, faculty, staff
• Integration of Admissions, Registration and Records, Bursar, Financial Aid, and Housing data to provide real-time or near real-time access to complete student information.
• Widespread access to data through Web interfaces.

Milestones:
10/95  Decision to proceed with new system
  7/96  Campus kickoff
11/97  Selection of Peoplesoft as vendor
  2/98  Initial Peoplesoft release (“version 7.0”) installed
  6/99  Peoplesoft version 7.5 (first release with most required functionality) installed
11/99  Admissions Module in production; Grad school application on Web
  9/00  Undergraduate Application, all inquiry and application status on Web

10/01  Student Records and Student Financials in production
  2/02  Financial Aid module in production
  10/02 Housing module written, tested and in production
Administrative Redesign
Striving for Excellence

• Travel Reimbursement Incentive Program (TRIP)
  – Streamlined travel reimbursement process from four weeks to five days

• ProCard
  – Provided certified users with a credit card to purchase items costing less than $500
  – Reduced average payment to vendor time from 31 days to four days
  – 39% of all purchases under $500 are made with ProCard
  – In August 2000 - 3,370 ProCard transactions were paid with one invoice
  – Purchase limit increased to $1,000
Continuous Quality Improvement

• A major transformational effort
• Overarching goal is to change the organization from being hierarchically driven to customer driven
• Focus on Staff Training and Development (operating budget increased by 50% from FY96 to FY00)
• Improving the quality of work environment for employees
• Enhancing the effectiveness and efficiency of services through process redesign
Staff Training and Development

Strategic Action articulated a need to become a more caring campus. A means of achieving this objective was to focus greater attention on Staff Training and Development. The well-regarded Staff Training and Development unit provides the following services: managing the Labor, Management Workplace Education Program (LMWEP), designing and delivering workshops and providing organizational development services.

The institution invested in Staff Training and Development by increasing their operating budget by 50% between 1996 and 2000

In FY2000:

- Over 400 employees participated in 40 LMWEP programs. LMWEP is an award-winning employer/union partnership that enables employees to explore and act upon issues that affect their working lives
- Nearly 2,000 participants attended over 200 Employee Training Workshop Sessions which are available to all University employees
- Total participation in customized workshops and training sessions exceeded 3,000
Campus Ecology – COMEC Campaign

Results for 1999

For the second consecutive year, the 1999 COMEC Campaign at UMass Amherst led all other state agency campaigns in dollars raised. In fact, UMass Amherst had the fastest growing campaign in the state for the last three years. Our united giving helps to establish a profile of the university as a socially responsible community citizen and to strengthen the safety net of health, human service, and environmental services for our employees and students.
Recognition

Assembling this report would not have been possible without the expertise and support of those noted below:

**OIT/Academic Computing**
- Copper F. Giloth, Director
- Kate Hudson, Information Support Specialist
- Fred Zinn, Multimedia Applications Designer

**Budget Office**
- Joyce Hatch, Associate Vice Chancellor for Finance
- David Markland, Primary financial analyst for the Retrospective

**Facilities Planning**
- James Cahill, Director
- Cynthia Arbour, Facilities Planner
- Clifford Resnick, Senior Facilities Planner

**Office of Institutional Research**
- Marilyn H. Blaustein, Ph.D., Director
- Kathleen M. Morley, Ph.D.- Primary researcher and statistician for the Retrospective

**Publications**
- Wayne Cournoyer, Director
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