Preliminary draft

This Self-Study is in the form of a preliminary draft, leading toward a final draft in late August. This material will continue to undergo editing; editing might be extensive in some sections. Comments and feedback are welcome.

Standard Three: Organization and Governance

Description

The University of Massachusetts Amherst has an organization and a governance system that effectively support its land-grant mission. UMass Amherst operates in a state with 25 institutions of public higher education; it is the flagship campus in the five-campus University of Massachusetts system. In this landscape, UMass Amherst stands out as the state’s largest single investment of public resources in higher education. Like many other state systems of public higher education, the Massachusetts system is complex and involves predictable strains between centralized authority and decentralized operations, as well as some competition among individual institutions for scarce resources. Despite such complexities and challenges, UMass Amherst has a demonstrated record of academic success. This success is due in part to a statewide organization that has encouraged the campus to have a strong voice in shaping its own future – and to the activities of campus governance bodies operating within that structure. The UMass Amherst organization and governance system are described below. As members of the University community, the governance bodies described work to foster excellence in teaching, knowledge creation and engagement activities and may gauge their effectiveness by successful efforts to advance UMass Amherst as a top public research university serving students and other constituents in the commonwealth, nation and world.

Governance within the University of Massachusetts system encourages the participation of active stakeholders. The Trustee Policy on University Governance clearly acknowledges shared governance – the right of faculty and students to initiate recommendations in areas where they have “primary responsibility.” This Board of Trustees policy, established in 1973, states that “the variety and complexity of (the University’s) tasks require and ensure the interdependence of the governing board, the administration, the faculty and the students. … The Board of Trustees has long recognized this interdependence … and now formally adopts the principle of joint effort in governing the University.” Further, it states that “faculty and students may be organized into governing bodies … approved by the Board of Trustees. … When appropriate, governing bodies will have the privilege of contributing to long-range planning, the preparation of the annual budget request, and the allocation of available resources.”

The University of Massachusetts is authorized by Massachusetts General Laws, Chapter 75. The legislation gives the University’s Board of Trustees authority to confer degrees. The Trustees have authority over all educational programs offered by the University, subject only to a more general authority of the Massachusetts Department of Higher Education. This Department, formerly the Higher Education Coordinating Council, is responsible for

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coordinating higher education in Massachusetts. It has final approval for new degree programs proposed by all public and many independent institutions. The Department of Higher Education also sets tuition rates and coordinates annual budget requests to the Governor for the state’s public institutions of higher education. In most other matters, the Department is not involved in the governance or management of the University.

**University Board of Trustees**

The Board of Trustees functions as a legislative body that deals mainly with questions of policy. It is not an administrative or management board, though, in certain rare instances, when required by Massachusetts General Laws, it may function as an appeal body. It establishes the general policies governing the University but it has delegated many powers to the President of the University of Massachusetts system and, through the President, to campus administrators for routine operations. Appropriate University personnel are accountable to the Trustees for developing and implementing sound administrative policies.

The Board of Trustees is composed of 19 voting members and three ex officio nonvoting members. Its membership includes the state Secretary of Education and 16 other voting members appointed by the Governor for five-year terms, renewable for second terms. At least five Trustees appointed must be alumni of the University, and one must be a representative of organized labor. The Board also has five student members, one elected from each of the five campuses of the University system. In any given year, two students are voting members of the Board and three serve as ex officio nonvoting members; student voting memberships rotate annually among the five campuses. Each member of the Board is required to file a Conflict of Interest Disclosure.

Faculty, students and campus administrators are welcome to attend full Board meetings as well as appropriate committee meetings. For each meeting they may receive advance notice, agendas and supplementary materials; they are encouraged to participate in discussions and are expected to report actions taken by the Board to their respective campus constituents. There are four regular meetings of the full Board each year, and committees meet as often as needed. Most committee meetings are held at the President’s Office and full Board meetings rotate among the five University campuses. All meetings are open to the public, although the Board or its committees may vote to enter into executive session when discussing specific confidential topics, such as personnel matters.

The Board has seven standing committees: the Executive Committee; the Compensation Committee; the Academic and Student Affairs Committee; the Committee on Administration and Finance; the Audit Committee; the Development Committee; and the Athletic Committee. The responsibilities of each are described in the Board of Trustees By-Laws. In addition, the Board has special committees, among them, the Trustee Governance Committee which, meeting annually, is responsible for ensuring the effective composition and workings of the Board in carrying out its responsibilities. The Chair of the Board may establish and appoint other special committees from time to time to have such duties as he or she may determine. The Board has a full-time nonvoting Secretary who, along with staff, prepares minutes, agendas and reports for
the Board and maintains its records. Each campus has a staff administrator who serves as its liaison to the Board and maintains ongoing communication with the Secretary.

The Trustees have the broad responsibility to ensure that University funds are spent properly, that the University exercises appropriate stewardship of its assets, and that operating results are positive. The Board of Trustees has sole authority in awarding tenure to faculty. The University Senior Vice President for Management and Fiscal Affairs reports regularly to the Board of Trustees on the University’s financial condition. The Trustees annually set mandatory student charges for the University and, unlike tuition, these fees are not subject to review and approval by the Department of Higher Education. The Trustees also receive endowment gifts, and approve land acquisition and disposal, major building construction projects, the establishment of new revenue operations, and other significant financial transactions.

**Massachusetts Department of Higher Education**

While the Board of Trustees has overall responsibility for the University, the Massachusetts Department of Higher Education is the statutorily created agency in Massachusetts responsible for defining the mission and coordinating the Commonwealth’s entire system of public higher education. Its purview includes 15 community colleges, nine state colleges and the University. The Department’s main responsibilities include academic program approval, capital planning and construction, scholarship guidelines and financial aid policies, and tuition rates and policies. The Department annually conveys to the Governor the University’s proposed budget, which is prepared and approved by its Board of Trustees; the Department both develops and conveys proposed budgets for all other public institutions of higher education.

Reporting to the state’s Secretary of Education, the Department has a Commissioner and a Board of 11 voting members, with one ex officio member, and two nonvoting student advisors. The chief executive of the Department, the Commissioner for Higher Education, working with the University’s President, maintains liaison between the Department and the University.

**The President’s Office and the University System**

The University of Massachusetts President’s Office provides leadership in working with the Board of Trustees, the Department of Higher Education, and state government in general. The Office also provides common services for all five campuses of the University system. The President’s Office includes an Executive Vice President, three Senior Vice Presidents and three Vice Presidents. Offices reporting to the President include the General Counsel, University Treasurer, University Auditing Department, University Controller, and University Systems/Administrative Computing.

The Senior Vice President for Academic Affairs, Student Affairs and International Relations meets regularly with relevant administrators from the five campuses and works closely with the President and the Board of Trustees concerning all issues relating to student and academic affairs. Similarly, the Senior Vice President for Administration, Finance and Technology meets with financial officers on each campus and reports to the President and the Board of Trustees concerning all fiscal affairs. The responsibilities of other senior administrators in the President’s
Office include: Government Relations, Economic Development, Communications, Advancement and Health Sciences. The President’s Office also oversees intercampus academic collaborations, such as joint graduate degrees in Nursing and Marine Science, as well as the system-wide distance education program, UMassOnline. Among nonacademic programs, the President’s Office oversees the Office of Commercial Ventures and Intellectual Property, which reports to the Vice President for Economic Development, as do technology transfer programs with various Massachusetts industries, such as biotechnology and information technology/telecommunications. The University of Massachusetts Donahue Institute, which also reports to the Vice President for Economic Development, publishes Benchmarks, a periodical that monitors the Massachusetts economy.

The University of Massachusetts Foundation[^] is separate from the President’s Office but works for the University system as a whole. Established in 1950, the Foundation is a separate legal entity from the University, a Massachusetts Chapter 180 not-for-private corporation exempt from federal taxes under section 501(c)(3) of the Internal Revenue Code. Its purpose is “to foster and promote the growth, progress and general welfare of the University of Massachusetts, to provide a depository for charitable contributions, to manage and allocate these assets in a prudent manner through policies that foster stability and growth, and to be available as a vehicle to allow for flexibility, efficiency and economy in financing projects and research.” Managed by a Board of Directors that includes 20 public members and 14 University-affiliated voting members, the Foundation serves all five campuses of the University and retains its own legal, banking, investment management and auditing services.

Working in concert with this system-wide foundation is the UMass Amherst Foundation[^]. Established in 2002, it has a Board of Directors that includes 32 public members, most of them Amherst campus alumni, and eight ex officio members affiliated with the campus administration, faculty and student body. It serves as an active fundraising body that seeks support principally from alumni and friends of the Amherst campus. As a separate legal and financial entity, it can provide additional resources from outside the state budget to enhance the scope and quality of campus fundraising.

Five Colleges Inc.

UMass Amherst is an active partner in Five Colleges Inc.,[^ one of the most successful academic consortia in the country. Five Colleges is a nonprofit educational consortium established in 1965 to promote the broad educational and cultural objectives of its member institutions, which include UMass Amherst and four private, liberal arts colleges – Amherst College, Hampshire College, Mount Holyoke College and Smith College. UMass Amherst’s affiliation with Five Colleges affects campus operations in multiple ways and is described in detail here because the consortium is part of the campus’s organizational framework. Five Colleges promotes and administers long-term forms of cooperation that benefit faculty, students and staff. These include:

- Shared use of educational and cultural resources and facilities, including a joint automated library system and open cross-registration for courses;
- Some joint departments and programs;

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• Inter-campus transportation.

The proximity of member institutions favors Five Colleges collaboration, as does a shared commitment to the liberal arts and to undergraduate education. In all, the collaboration offers students a selection of more than 5,300 courses taught by more than 2,200 faculty members. The history and success of the consortium has been well documented. Five Colleges currently hosts more than 30 faculty seminars and, with support from the Andrew W. Mellon Foundation, the consortium has over the past decade provided pre-dissertation teaching fellowships to nearly 100 outstanding graduate students from the best graduate programs around the country.

The consortium also supports two distinguished public media: the Massachusetts Review and WFCR-FM. The Massachusetts Review is an independent quarterly journal of literature, the arts and public affairs. Now celebrating its 50th anniversary, the Review has been described by the Boston Globe as one of the top 10 literary journals in New England. WFCR-FM is a public radio station that provides news and music for western New England. Its listening audience – served by a transmitting range reaching into Connecticut, New York and Vermont – currently numbers more than 200,000; the station broadcasts on FM, AM and digital formats.

One outstanding example of Five Colleges’ success in recent years has been the development of a fiber optic network for high-speed computing. This project, at a cost over $3 million, would have been prohibitively expensive for any one institution to finance but, by pooling resources and management, this state-of-the-art network was possible.

The consortium brings administrators and faculty together to discuss issues of common interest. As a result, there are currently more than 30 faculty seminars that meet regularly and focus on topics that range from Afro-Brazilian Culture to Number Theory. Administrators from the member institutions have successfully combined some campus services, such as campus security and recycling, to achieve increased efficiency and lower costs.

As member institutions address the current economic downturn, the consortium will have a key role to play in the design of cost-saving cooperative ventures, such as more joint faculty appointments, more faculty exchanges and more collaborative academic programs.

Amherst Campus Organization

During the past decade there have been several organizational changes on campus. Since 1999 five new academic programs have been added and two have been discontinued. The process for revising academic program offerings, including new minors and certificate programs, is described in Standard Four (Changes in Academic Program Offerings, 1999-2008). Administrative Reorganization: Since the last NEASC Self-Study the following administrative changes occurred with the aim of improving institutional effectiveness:

- The Vice Chancellor for Academic Affairs and Provost became a Senior Vice Chancellor, and responsibilities of the Vice Chancellors for Research and Outreach offices shifted to Academic Affairs with a change of title to Vice Provost.

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• The position of Deputy Chancellor was eliminated and the following changes occurred:
  o A new position, Chief Information Officer was created, and information technology functions were transferred to this area.
  o The Associate Chancellor for Equal Opportunity and Diversity (EO&D) and related functions shifted to a direct report to the Chancellor.
  o A new Office of Public Affairs was created that reported directly to the Chancellor and included State, Government and Community Relations and News and Information.
  o The Office of Campus Planning and Space Management moved to the Vice Chancellor for Administration and Finance where it was aligned with Facilities and Campus Planning.
  o Environmental Health and Safety moved from the Vice Chancellor for Student Affairs to the Vice Chancellor for Administration and Finance to reflect its relevance to all campus functions.

Following Chancellor Robert Holub’s arrival on the campus in 2008, several organizational changes have been implemented with the intention of having UMass Amherst operate more effectively and efficiently as a top public research university. These changes include the following:

  • Appointment of an Executive Vice Chancellor for University Relations to ensure a consistent and coordinated external relations strategy for the campus. It includes the following units: Creative Services, News and Media Relations, External Relations and University Events, and Government and Community Relations. The Vice Chancellor for Development and Alumni Affairs, appointed in March 2009 as a member of the Chancellor’s leadership team, reports to the Executive Vice Chancellor.

  • Reassignment of the offices of Undergraduate Admissions and Financial Aid Services from the Vice Chancellor for Student Affairs and Campus Life to the Vice Chancellor for Academic Affairs. This move more closely aligned these units with the academic mission of the campus.

  • Reassignment of the Department of Public Safety from the Vice Chancellor for Student Affairs and Campus Life to the Vice Chancellor for Administration and Finance. This move aligned this unit with other offices concerned with the welfare of the entire campus.

  • Restoration of the position of Vice Provost for Research to a Vice Chancellor for Research and expansion of the title to include Engagement. This structure is consistent with the organization at most top research universities.

A chart depicting proposed organization of campus administration for 2010 is available at http://www.umass.edu/oapa/publications/organization/organization_chart.pdf

The basic unit of campus organization is the academic department. Both planning and budget proposals begin at this level and are reviewed by the appropriate Dean and the Provost before being submitted to the Chancellor. At each stage, budget proposals are evaluated in light of unit plans; priorities for the budget cycle are determined within that context. (Non-academic

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departments and units follow a parallel procedure with the appropriate Vice Chancellor establishing budget priorities for units in each executive area.) Each academic department has a chair or head nominated by the department and approved by the Dean and Provost. Chairs and heads meet regularly with their Dean and routinely serve for renewable three-year terms. Departmental committees vary across campus but each department has at least a personnel committee and two curriculum committees for graduate and undergraduate studies. Students are routinely invited to serve on department committees, especially planning, recruitment and curriculum committees.

Academic Reorganization: Effective September 2009, a restructuring of the schools and colleges will occur – again, aimed at fostering effective and efficient operations to advance UMass Amherst as a top public research university. These changes include the following:

- A new College of Natural Sciences will be established and will bring most of the life sciences into one administrative unit.
- The College of Natural Resources and the Environment will be eliminated, and the majority of units will migrate to the new College of Natural Sciences.
- Administration of the School of Nursing will be combined with that of the School of Public Health, although it will retain its autonomy as a school.
- The Colleges of Humanities and Fine Arts and Social and Behavioral Sciences will study the possibility of merging.
- Polymer Science and Computer Science will continue to explore a plan to move into the College of Engineering with the goal of strengthening the College.

Amherst Campus Governance

The Trustee Policy on University Governance, mentioned earlier, is a clear statement that the University encourages participation by faculty and students in shaping institutional policies. The Policy states, in part:

“By virtue of its professional preparation and its central concern with learning and teaching, the faculty will exercise primary responsibility in such academic matters as curriculum, subject matter and methods of instruction, research, admissions, libraries and other aspects of University life which directly relate to the educational process. Students share this concern and they will be assured the opportunity of participating in developing academic policies and in evaluating degrees, programs and courses. The faculty will have primary responsibility for matters of faculty status, such as appointments, reappointments, promotions, tenure, and salary adjustments. Students will also be assured the opportunity of participating in the evaluation of a faculty member’s effectiveness.

“Students will have primary responsibility for services and activities which are designed primarily to serve students or those which are financed primarily by students, managing student political affairs and organizational matters, and setting standards for student behavior, conduct and discipline.”

There are currently three principal governance organizations on the Amherst campus that provide opportunities for faculty and students to express opinions and make recommendations.
concerning campus policies and activities. These are the Faculty Senate, the Graduate Student Senate, and the undergraduate Student Government Association. There are also eight labor unions representing UMass Amherst employees that collectively bargain such issues as rank, responsibilities and compensation. (The unions are listed in Standard Eleven.) The unions also elect representatives to a campus-wide Labor Council that meets periodically with administrative officials.

**The Faculty Senate**

The Faculty Senate is a legislative body of elected faculty members, librarians and ex officio senior academic administrators who hold faculty rank. The Senate approves new courses and academic programs; it develops, recommends and reviews policy on a broad array of issues that affect faculty, staff and students. The opening announcement and question sessions at Faculty Senate meetings constitute a public forum – a campus town meeting – where the principal administrative officers and representatives of the faculty, staff and student governance bodies regularly meet to address questions and discuss matters of importance for the campus. Occasionally, the Senate invites legislative and academic leaders to address meetings on current issues. Because the academic quality of a university rests on the quality of its faculty and the degree to which its faculty participates in governance, the Senate and its Councils and Committees are basic to the maintenance of academic freedom and the achievement of high academic quality.

The Faculty Senate, which has 95 elected members from 19 districts, holds meetings open to the public twice monthly during the academic year, and the Chancellor is its President ex officio. Senators are faculty members and librarians who are elected by specific constituencies. The Senate has 16 councils, eight standing committees, and a number of ad hoc committees that vary according to need and interest. When fully staffed, the total membership of the Senate’s councils and committees exceeds 500 faculty members, student representatives and administrative staff. A complete list of Faculty Senate councils and committees, along with the charge and membership for each, is published in the *Faculty Senate By-Laws*.

**The Graduate Student Senate**

The Graduate Student Senate has three officers – President, Vice President and Treasurer – and its constitution empowers each academic department to elect one senator for every 50 graduate students (or increment thereof) enrolled. It also allows representation from graduate dormitory housing, family housing, and from Graduate Student Organizations (one Senate seat for each). The Senate has a standing Finance Committee that currently oversees allocation of about $300,000 to support various programs, groups and services, including Student Legal Services, the Family Services Office and the Student Union Art Gallery. The Graduate Student Senate also funds a child-care voucher program that provides subsidies to graduate student families. It also supports various cultural or political organizations of interest to graduate students, as well as small grants from an ad hoc funding program for specific events. The Graduate Student Senate also supports the Graduate Women’s Network; The Voice, a graduate student newsletter; and provides funding and administrative support for such organizations as the

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India Student Association, the Black Graduate Student Organization and several others. Senate committees oversee campus activities relating to graduate students, including child care, affirmative action and a central graduate student lounge. The Senate nominates graduate students to serve on Faculty Senate committees and councils as well as search committees and curricular and administrative review committees.

**Student Government Association**

The undergraduate governance body is the Student Government Association, and all students who pay the Student Activities fee are members for the period in which their fee is applicable. Its organization in many respects parallels American government in general: at the local level there are House Councils in each residence hall; each of five residential areas (and commuters as a whole) has an Area Government with a Governor and Lieutenant Governor. At the campus-wide level, there are three branches of the Student Government Association: an Executive headed by the President; the Legislative, a Student Senate with 49 elected members which is headed by the Speaker; and the Judicial, headed by the Student Government Association Attorney General. Another major officer of the Student Government Association is the Student Trustee, elected annually, like all principal officers of the Association. The SGA is governed by a one hundred page *Constitution*, most recently approved by the University’s Board of Trustees in 1994. Within the Executive branch, the President has a Cabinet composed of seven secretaries who oversee areas of particular concern to student government: Finance, Registry, Attorney General, Administrative Affairs, University Policy, Public Policy and Diversity. Their duties are described in the *Constitution*, pages 56-63.

The Student Senate usually meets weekly during each academic semester and, in recent years, it has allocated about $1.9 million annually from Student Activities Fee revenue to over 260 *Registered Student Organizations*. The Senate plays an active role in campus governance by providing advice to campus administrators about issues that affect undergraduate education and welfare. The Student Trustee also has direct access to address the University’s Board of Trustees.

**Appraisal**

Overall, the organization and governance of UMass Amherst have functioned quite well during the past decade. Predictably, there have been tensions and disagreements among various parties, but concerns usually have been resolved because students, staff and faculty all have appropriate and recognized forums in which to express their opinions, as well as agencies to advocate for their concerns. Further, despite tension that arises from checks and balances within a university governance system, UMass Amherst’s governing bodies ultimately share the goal of advancing the flagship campus and its many constituents.

The University of Massachusetts also has an array of mechanisms for monitoring the effectiveness of its organization and governance. The following activities help to identify problems and suggest directions for enhancing effectiveness.

The Board of Trustee’s Governance Committee, described in *Trustee By-Laws Article IV* is convened annually in May and its primary responsibility, is “ensuring the effective composition...
and workings of the Board ... in carrying out its responsibilities for the University.” In subsection v, it specifically charges the Committee to “undertake a self-assessment of the effectiveness of the Board.”

University Guidelines on the Review and Evaluation of Senior Administrators clearly specifies the schedule and criteria for evaluating the effectiveness of the University’s President and Vice Presidents, and the campus’s Chancellor, Vice Chancellors, Provost and Deans.

The University’s Academic Quality, Assessment and Development (AQAD) program is intended to “assess and improve the core academic function of teaching and learning, research/professional/creative activity, and public service/academic outreach through an ongoing system of quality control/program assessment at the unit level (i.e., department or program).” This comprehensive assessment program, involving all academic programs on a regular and rotating cycle, is described in Standard Four.

The Faculty Senate’s Rules Committee meets at least once yearly to review the structure and composition of its committees and councils and to recommend changes in Senate By-Laws that will enhance their effectiveness. Two Senate councils – the Status of Diversity Council and the Status of Women Council – monitor the status of women and underrepresented communities across the campus (Their scope is not limited to faculty only), and these councils make recommendations to the administration concerning them.

The undergraduate Student Government Association’s Administrative Affairs Committee is charged with evaluating the effectiveness of the Student Government Association, its Constitution and its Acts.

Non-academic units, such as those in Student Affairs and in Administration and Finance, periodically undertake assessment activities, and the Workplace Learning & Development office provides an array of workshops designed to improve the effectiveness of campus personnel, offices and operations. Programs such as the University Health Services, the University Libraries and the Office of Information Technology all survey their clients to monitor their effectiveness. These efforts are described further in Standards Six and Seven.

Projection

UMass Amherst’s organization and governance structure has proved effective and useful to the institution during the past 10 years. The structure is flexible, appropriate and responsive to the changing needs of the academic community it is intended to serve.

Looking to the future, the campus anticipates discussing further reorganization and consolidation of administrative units to reduce costs and to advance the campus in fulfilling its mission as a contemporary public research university. Similarly, the campus expects that, by working with the Five Colleges consortium, there will be an increase in the number of collaborative ventures among its member institutions.