



UMASS
AMHERST

Framework for Excellence
The Flagship Report
Spring 2009

The University of Massachusetts Amherst, the flagship campus of the University of Massachusetts, has a distinctive mission in the Commonwealth. In a state with many of the finest private research universities and several of the most distinguished liberal arts colleges in the country, it is the only public research institution that offers a combination of high quality undergraduate education, outstanding graduate education, and internationally recognized research. Indeed, it is the only public institution in Massachusetts with a Carnegie designation for very high research activity. Moreover, as the state's land-grant campus, it has the responsibility to carry on programs around the state for the benefit of the citizenry and to maintain dynamic connections to communities across the state. It has special responsibilities for Western Massachusetts, where it is located, and for Springfield, the largest city in the region.

UMass Amherst is part of a five-campus University system and a five-college consortium. It partners with other campuses in the University of Massachusetts system (Boston, Dartmouth, Lowell, and Worcester) as part of its public mission in research and education. It partners with the four liberal arts colleges in the Amherst area (Amherst College, Hampshire College, Mount Holyoke College, and Smith College) to enhance the educational opportunities for students studying in the Pioneer Valley. As the flagship campus, UMass Amherst interacts with public institutions throughout the state, and especially those community colleges in the vicinity that serve as feeder schools for transfer students wishing to complete their four-year undergraduate education on the Amherst campus. It also seeks and fosters initiatives with other national research institutions across the state and the nation. As a recognized leader in online education, the campus extends its reach to learners around the nation and the globe.

Currently UMass Amherst enjoys an outstanding reputation among institutions of higher education in the United States. By several measures, it is among the top fifty public research campuses, and it is recognized as the top public research institution in New England. UMass Amherst, however, seeks to attain more. It aspires to be among the very best public research universities in the country, and this document seeks to establish the framework to attain that goal. It outlines a program for approximately the next decade in the development of UMass Amherst, describing where we want to be in 2020 and how we aim to get there.

We believe in taking an integrative approach to raising the stature of the campus. We already do many things very well, but we can do even better when we work together to achieve our goals. In the central administration, the Vice Chancellors must work with the Chancellor and with each other as a cohesive team to support the core missions of the campus. The central administration must integrate vertically with deans, directors, and managers to insure that there is appropriate coordination and that we do not forfeit opportunities owing to an inadequate flow of information. Within colleges, departments,

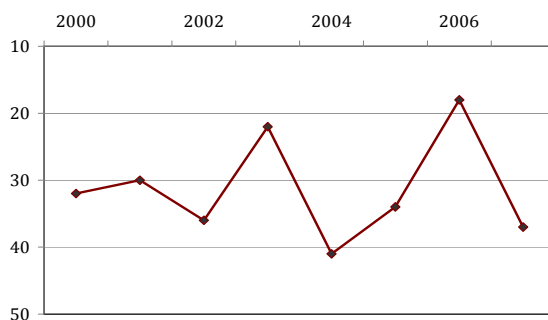
and non-academic units, the same spirit of cooperation and coordination must inform our actions. More than ever, in the twenty-first century it is essential that we be more than the sum of our parts.

In the pages that follow, this document outlines the high-level considerations necessary to move us to the cadre of the very best public research universities in the country. This document is not a detailed action plan but anticipates that all campus units will develop their own plans, in whatever format may be appropriate for them, to meet the high-level targets contained here. It should be clear that our success in meeting these goals depends, to some extent, on external forces and events beyond our control. However, much can be accomplished with our internal resources. It will be important that we define key measurements, mileposts, and dependencies to judge our progress as we go forward with this plan.

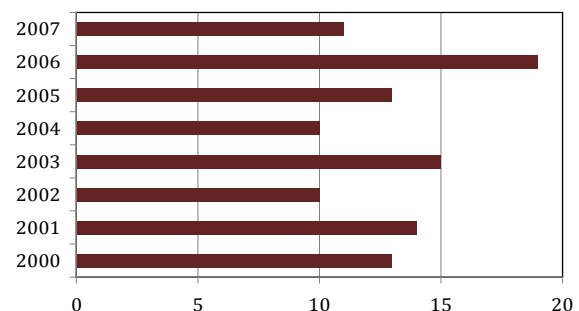
This vision statement and the resulting implementation plans developed at the unit level will be the product of input from the entire campus. This document originated in discussions in the fall of 2008, and it began to take more concrete form in a retreat organized in September of that year. The Chancellor and the senior staff contributed first thoughts in December and January; in February and March, academic deans, the Faculty Senate, and high-level managers were consulted. In April, input was solicited from the wider campus community. From this process, a document will emerge that will help set our course for the coming decade.

Faculty Development

The key to any great research university is the quality of its faculty. We are fortunate at UMass Amherst to have a faculty of extremely high quality. In every year but one since 2000 we have ranked among the top 40 public research institutions in faculty awards.

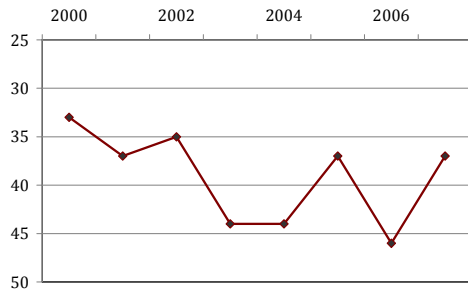


Faculty Awards: Rank

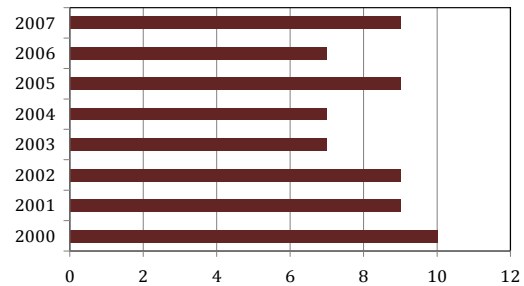


Number of Faculty Awards

For the past decade we have also ranked among the top 50 public research institutions in national academy memberships, which is all the more remarkable considering one of the three academies is restricted to members of medical school faculties.



National Academy Members: Rank



National Academy Members

We have many faculty members with international reputations in their disciplines, as well as some of the top-ranked academic programs in the country. The reputation of our faculty in turn allows us to recruit outstanding faculty from around the world.

While individual faculty members can no doubt improve their effectiveness as teachers and scholars, the most important challenge we face at UMass Amherst with regard to faculty is simply their overall number. In comparison to the public research universities to whose ranks we aspire, we have too few faculty members. This relative dearth of faculty resources, especially on a campus with no medical school, means that it will be difficult for us to improve our rankings in faculty awards and in other prestigious recognitions from external agencies.

Full-Time Instructional Faculty Fall 1987 to Fall 2007

	Tenured System			Non-Tenure System	Total	% Tenure System
	Tenured	Tenure-Track	Total			
Fall 1987	952	249	1,201	102	1,303	92%
Fall 1988	951	246	1,197	95	1,292	93%
Fall 1989	949	227	1,176	95	1,271	93%
Fall 1990	933	200	1,133	95	1,228	92%
Fall 1991	942	159	1,101	77	1,178	93%
Fall 1992	933	130	1,063	89	1,152	92%
Fall 1993	943	148	1,091	81	1,172	93%
Fall 1994	936	154	1,090	84	1,174	93%
Fall 1995	896	156	1,052	94	1,146	92%

Fall 1996	906	151	1,057	107	1,164	91%
Fall 1997	883	163	1,046	108	1,154	91%
Fall 1998	846	169	1,015	125	1,140	89%
Fall 1999	865	174	1,039	122	1,161	89%
Fall 2000	859	172	1,031	124	1,155	89%
Fall 2001	833	186	1,019	133	1,152	88%
Fall 2002	736	175	911	142	1,053	87%
Fall 2003	738	180	918	153	1,071	86%
Fall 2004	705	212	917	183	1,100	83%
Fall 2005	710	244	954	188	1,142	84%
Fall 2006	713	248	961	197	1,158	83%
Fall 2007	712	260	972	203	1,175	83%

The Amherst 250 plan was a long-overdue project to increase the size of the Amherst faculty to 1200, which represents its strength in the late 1980s. We embrace the numerical goals of Amherst 250 once again, even as we may be forced by budget exigencies to eliminate faculty positions. When we have budgetary means, however, we must proceed to increase the size of our faculty with an eye toward strategic initiatives. Instructional needs are important, but they cannot be the sole factor in deciding where to allocate new positions. Wherever we grant a faculty position, we will want to consider what sort of return we are going to receive in terms of teaching, research, and service.

Accordingly, we will be proceeding over the next decade to increase the size of the faculty on the Amherst campus. The timing of these investments relies in large part on revenue recovery, including revenue from increased student enrollment (see below). Net growth in the size of the faculty is therefore targeted toward the mid- and later years of the planning period.

The new Provost and Senior Vice Chancellor for Academic Affairs, for whom we are searching, will work with deans and the central administration to address this important issue. The following considerations will assist us to maximize the investment in new faculty:

- A recently issued Request for Proposals outlined the strategy the campus will employ for hiring a significant portion of its faculty in the next decade. The RFP calls for proposals from groups of faculty interested in a specific area of research and teaching and asked them to make requests for faculty to augment their activities. Among other criteria, these requests will be evaluated according to the possibilities for securing external funding, the promise of establishing UMass Amherst as a center of excellence for the specific activity, and the strengths that currently exist on the campus in that area.
- Because we recognize the corresponding need for a robust program of capital construction over the next decade, we will coordinate our plans for hiring faculty with our overall campus long-range building plan. We will likely have to delay the addition of faculty until we receive additional operating funds, but in that time

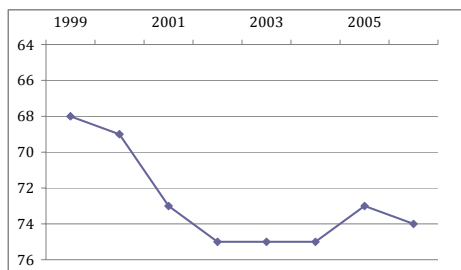
- we should make certain that we are well on our way toward completing several new or renovated facilities to house these new faculty members.
- We will be coordinating other areas with our hiring plans as well. Development will be able to present opportunities for donors to invest in the future of promising fields of research and teaching; admissions will seek to attract students to the new and exciting programs we are implementing; and communications can begin to advertise our national prominence in areas of excellence on campus and to build coalitions with key constituents to improve on our current level of excellence.
 - Our administration must do more to support faculty achievement and excellence and to build structures to assist faculty success in obtaining research grants, in winning additional faculty awards, and in gaining recognition for innovative and effective teaching and scholarship. Our goal in administration must be centered on supporting an increased level of faculty accomplishment in these areas.

Research and Creative Activity

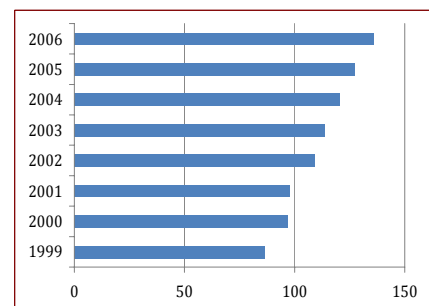
The prestige of this campus rests, to a great extent, on the research and creative activity conducted here. Whatever form this work takes --- articles, books, conference presentations, patents, paintings, or performances --- the recognition that it receives within each of the disciplines contributes to the reputation of the whole institution. Truly exceptional work can bring national or international awards, as we saw in the earlier section on Faculty.

All research and creative activity can require support from the institution: the library, studio and performance space, laboratories, seed money for projects, subventions for research or conference travel, and so on. We need to do more in some or all of these areas, and we will do so as the revenue picture improves.

In many fields, research requires substantial support from beyond this campus, particularly in the form of federal grants. In fact, an institution's success in attracting federal research dollars is one of the key indicators used when making national comparisons. UMass Amherst performs fairly well in research productivity, which is most commonly measured in terms of research expenditures per annum. It ranks among the top 75 public research universities in total research expenditures

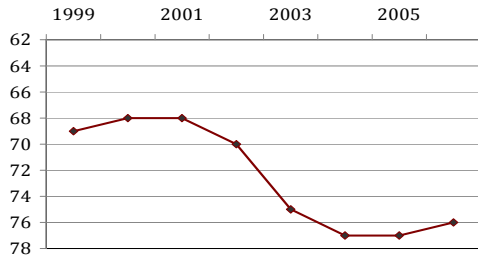


Total Research: Rank

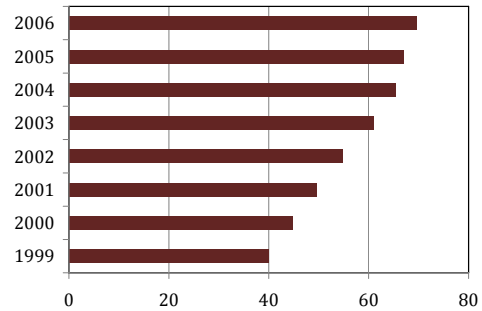


Total Research Dollars (in \$M)

and among the top 80 public institutions in federal dollars expended on research.



Federal Research: Rank

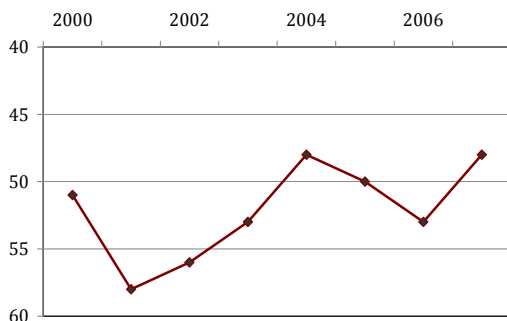


Federal Research Dollars (in \$M)

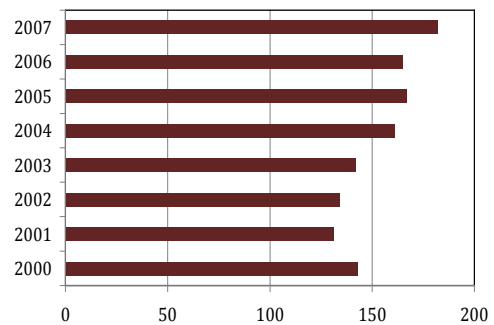
Among all research universities, public or private, it ranks in the top 100 for federally funded research, and if we discount for the absence of a medical school on the campus, it ranks 76th. Sponsored research activity has increased every year since the early 80s. Clearly these measures speak well for the amount of research conducted on the campus, but they also indicate that we have significant room for improvement in the coming decade.

To improve its ranking in federal research appreciably, UMass Amherst would need to more than double its share of federal research expenditures. Such a level of research productivity will be difficult to attain during a ten-year period, but if we want to reach our overall goal of becoming one of the top public research institutions in the country, we must move strategically to realize significant increases in research.

If research activity improves, we should also see an increase in the number of postdoctoral appointments on campus. For the past three years, we have averaged over 160 postdoctoral appointments per year, placing us around 50th in rankings of public research institutions. We aspire to increase this number by 50%.



Postdoctoral Appointees: Rank



Postdoctoral Appointees

The most important factors for increasing research productivity are numbers of faculty engaged in research and the necessary facilities to support that research. A secondary factor is an administrative infrastructure that assists the faculty in translating their ideas into funded grants and contracts. Increasing research faculty numbers can be accomplished through (1) adding faculty, (2) orienting faculty replacement hires in appropriate departments towards the better funded research areas, and (3) increasing research activity among existing faculty.

The budgetary environment limits the campus's ability to grow the faculty in the short-term, and while we are in the midst of a strong building program, research facility needs are so great that relief will neither be immediate nor ubiquitous. Renovations of existing facilities will help, but significant facilities will not be completed for several years. It should be recognized that availability and/or quality of facilities may very well limit our choices of the research areas and topics that we can productively pursue. Again, close coordination between academic planning and facilities planning is required. Prudent use of scarce physical facilities monies, as well as seeking outside monies for building and renovations will be paramount. It will also be essential that the campus identify appropriate and adequate sources of funding for faculty startup needs.

Faculty growth will have to be a point of emphasis as new resources become available in the future. Replacement hires provide a short-term possibility to increase research activity; however, in the case of junior faculty hires, research return on investment will not be realized for 3-5 years. Increasing research activity in existing faculty is difficult but should be part of an overall strategy.

The administrative infrastructure needs to increase its efficiencies and grow as research faculty numbers increase (through growth in numbers or intensity). New programs have to be established and old programs retooled to make administrative support more effective (less time-consuming and costly). The Research Office has to identify and implement procedures and technologies that help it meet this objective.

How will the campus administration help the research enterprise enhance productivity?

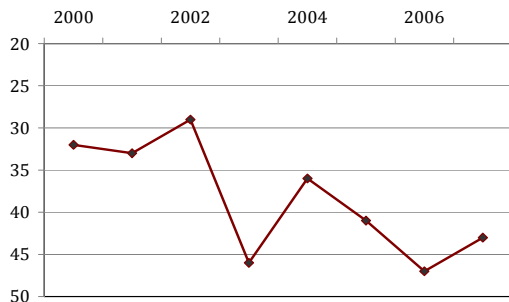
- Faculty growth will remain a high priority and a driver when the budgetary situation changes and additional resources are available. Research productivity potential will be an emphasis in new faculty hires in research related fields without sacrificing teaching quality.
- The chief research officer position has been changed to a Vice Chancellor for Research and Engagement (VCRE). With the research office reporting directly to the Chancellor, it will be able to work more closely with all vice chancelleries, including academics (especially the Graduate School) and administration and finance (especially facilities planning and physical plant), signaling the administration's intent to place more emphasis on research. The VCRE will have greater authority and resources to implement procedures and policies to enhance the research profile of the campus, and to assist faculty with securing outside

sponsored research. The VCRE will also focus on interdisciplinary research activities to compete for lucrative federal grants and will promote liaisons with industry to enhance our research profile.

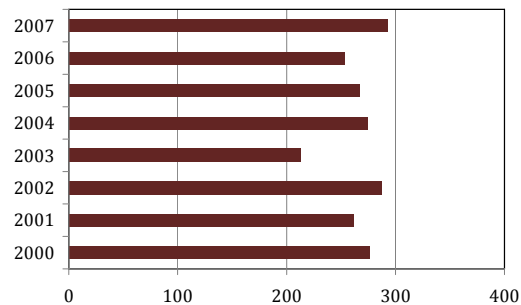
- We must identify and obtain alternative sources to state and federal funds, such as industry. In order to facilitate our connections with industry, the campus must be able to act more expeditiously and more nimbly in its negotiations. The campus administration is currently seeking to obtain more flexibility in our dealings with industry and more expertise on our campus in order to establish long-lasting and mutually productive relations with industrial partners. The possibility of industrial partnership space in new science buildings will be investigated and evaluated.
- The international arena also is a potential source of sponsored research funding that has been underutilized. While international research can be inherently more expensive to secure and conduct, the Office of the VCRE will endeavor to expand international opportunities for the faculty.
- The Office of Research must become more efficient and effective. It will require additional support, and this support will be forthcoming when the campus sees increases in its operating budget.
- The Office of the VCRE will work with the Office of Government Relations in locating opportunities for faculty funding, especially in the federal government arena, and in developing more specific plans to support our faculty actively to receive grants from state and federal agencies. This effort must be systematic and must be regularly evaluated to ensure that our processes are maximizing our faculty opportunities. Similarly, our Development Office must act in concert with Research in order to take full advantage of industrial partnerships and foundation funding opportunities. Here, too, we must develop comprehensive plans to link faculty expertise better to opportunities. Any disconnects between our research and corporate relations offices and our government activities must be eliminated. These units must work in consort and with the shared goal of maximizing faculty achievements.

Graduate Education

There is no premier research institution that does not excel in graduate education. On the Amherst campus, we have many fine graduate programs; some are highly regarded throughout the country. But our graduate population is too small for an institution that aspires to be among the best public research campuses in the United States. We have a headcount of just over 4000 students, and in 2006 we awarded 253 doctorates, placing us just inside the top 50 public institutions. More disturbing is that our doctoral production has fallen steadily since 2000, when we were in the top 35 public institutions. We seek to increase the number of doctorates awarded by approximately 75.



Doctorates Awarded: Rank



Doctorates Awarded

The challenges we face in increasing the number of graduate students have to do with funding and support. Good graduate students, the ones who add to research productivity while on the campus and attain a doctorate in a timely fashion, are in high demand. We will be able to attract some students because of the excellence of our programs, but many students will choose to pursue their advanced degrees at institutions that offer better financial arrangements. Low teaching stipends and the absence of significant fellowship support are two factors that must be addressed if we are to improve graduate education on the Amherst campus. An increase in research funding will also help attract and employ students, especially in the natural sciences and engineering. The trends in graduate education are especially troubling if one considers that in our current financial crisis we will likely be forced to eliminate many teaching assistant positions, and that the production of doctorates in many fields takes six or seven years and cannot therefore be increased quickly even if operating funding recovers in the next few years.

We will be pursuing several avenues in regard to graduate education:

- In our current budget downturn, we will be encouraging instructional units to preserve as many graduate student lines as possible. We may also commit some one-time funding to enable programs to attract and retain an acceptable cohort of graduate students. Going forward, growth in the number of graduate students will be a goal.
- We must understand the factors that contribute to the overall time to degree in order to eliminate roadblocks and thereby reduce the time to degree. Similarly, we must understand issues related to graduate student retention in order to improve retention. These steps will improve the overall value returned from our investments in graduate education.
- We are in the process of surveying departments and colleges to find out where we stand with regard to stipends for teaching and research. When we have obtained this information, we will develop a long-term plan to enhance our competitiveness with peer institutions. We will seek at first to target our best programs and make certain they are adequately funded for graduate education. Then we will look at programs that offer the greatest promise of increased productivity and excellence and seek to support their efforts.

- The Graduate School is looking at multiple factors for identifying our best departments and departments that show much promise of productivity and excellence including: 1) results of the National Research Council (NRC) findings; 2) a survey of those schools (i.e., Education and Management) that are not covered by the NRC and those departments within colleges that were not reviewed by the NRC (e.g., Landscape Architecture and Regional Planning); 3) a review of AQAD and accreditation visits; and 4) reports of the colleges submitted for the campus' New England Association of Schools and Colleges re-accreditation effort. The Graduate School anticipates releasing a report entitled "Competitiveness Document" by January 2010 that is based on all the above and will then organize a "Competitiveness Review Committee" to review these findings and send a report with observations and recommendations to the Chancellor by May 2010.
- Given our outstanding faculty resources and our current financial realities, it is essential that we become more collaborative in our academic offerings if we are to remain competitive at the graduate level. To illustrate this issue, compared to our peers, we have the fewest graduate certificate programs (the fastest growing area of graduate education in the nation). The Graduate School proposes to stimulate the creation of additional Integrative Graduate Education Research and Training Grants, introduce new graduate certificate offerings, develop active centers and institutes, share common areas of instruction, and deliver new areas of knowledge.
- We must make graduate fellowships a priority of our fundraising efforts. Such fellowships may support the students themselves but should also recognize the need to support the research efforts of graduate students, particularly in areas where external funding is relatively sparse. Many of our donors, who were mostly undergraduates, may not relate experientially to graduate student support. But we must work hard to make it clear to our many supporters that graduate education is one of the key elements in our vision for the future.
- We will also increase our efforts to recruit the best and the brightest students into our graduate programs from countries around the world. We will call upon our international alumni and colleagues to help us in these efforts.

Undergraduate Education

UMass Amherst prides itself on its undergraduate education. Students report a high level of satisfaction with the faculty and the curriculum. Although we are a large campus, we offer excellent programs that make the students feel part of a much smaller cohort. Our honors college, Commonwealth College, provides an enriched undergraduate experience through small classes emphasizing academic rigor, excellent advising and student programs, and a capstone experience, where students create new knowledge and perspectives. It has broad recognition in the region, and its growth over the past decade is a tribute to its success. Unfortunately it has become so popular that the current funding model is no longer appropriate to its size. One essential task for the campus in the next few years is therefore to establish a viable financial and enrollment model for

Commonwealth College, which may involve rethinking and redesigning our honors curriculum as well as the relationship between Commonwealth College and departments on campus.

We can leverage the success that Commonwealth College has achieved to further our efforts on providing an outstanding student experience for all undergraduates. Although we want to offer selective small courses and individualized attention to the extent that it is possible, we must conceive of our status as a large public research institution as an advantage and ensure that our communications and marketing efforts reflect this emphasis in all aspects of our internal and external communication. What we have to offer is unique in the Commonwealth: a relatively inexpensive, comprehensive, research-oriented education. We are a big campus with big ideas and big opportunities. We must seize this market position and opportunity and not shy away from who we truly are and why that matters.

In order to take advantage of our unique position in the Commonwealth, we will seek to make progress in several areas in the coming years:

- We will establish a First-Year Experience Program focusing on advising and coursework that ensure college success. One hallmark component will be a first-year seminar program, enabling freshmen to meet in a small-enrollment environment with a tenured or tenure-track faculty member and a small group of interested peers. Since faculty are our strength, we must ensure that our students have direct and early access to our faculty and the passion they bring to the classroom and laboratory. These seminars will make the campus “smaller,” and will also introduce the students to a faculty member who does advanced research and will provide them with mentoring and advice in an important transitional period. That program will commence in fall 2009 and is expected to be fully operational by fall 2011.
- We will expand research and directed scholarship opportunities for undergraduates so that they can better understand what faculty do and obtain first-hand experience with a disciplinary field. The most worthwhile experience a student can have involves putting knowledge into practice. The undergraduate research experience will frequently be the culmination of a student’s career on the Amherst campus. Our goal is to provide a research opportunity for every undergraduate who wants one.
- General education consists of both skills courses and distribution courses. We must continue to make these courses relevant for students on our campus. Too often, general education is viewed as a list of courses to complete, rather than the essence of the educational experience. Under our general education program, we will strive to create a series of courses for students that are stimulating, relevant, and accessible. The General Education Task Force will propose initial changes in fall 2009. These changes will address a restatement of the purposes of General Education, aspects of the design and delivery of courses, faculty resources and support systems, and strategies for assessment.

Residential Life and Student Affairs

The fact that UMass Amherst is one of the ten largest residential housing systems in the nation means that the majority of our undergraduate students live on our campus in residence halls that stand in fairly close proximity to the academic buildings where their courses are taught. Despite this proximity, however, and despite the many faculty-led programs that have been started in the residence halls over the years, there is not as much purposeful, systematic alignment between the residence halls and the academic side of the campus as there might be. The generally accepted lore is that programming in the housing complexes and classroom support each other's ends, but in reality, our academic space and living space are mostly independent of each other, with academic classroom space "belonging" to Academic Affairs and the areas of residential life "belonging" to Student Affairs. We believe there should be greater connection between the two.

This idea is not new. Many studies show that students on residential campuses succeed best when the services and programs of student affairs professionals are linked with academic affairs curricula; and, increasingly, student affairs mission statements cite the centrality of the academic mission to their own. Indeed, in response to a recommendation of the (2005) Commission on Diversity commissioned by then-Chancellor John Lombardi, we committed that "Student Affairs and Campus Life will reorganize its structure and support systems to ensure closer integration with the academic programs of the institution".

We believe it is prudent to move forward with changes that will produce an outstanding undergraduate experience.

Much of the programming in our residence halls is aimed at promoting development in such areas as healthy behaviors, social responsibility, clarified values, self-esteem, or leadership development. This vital part of our work must be continued—perhaps even increased—if we are to fulfill our obligations to embrace the various forms and manifestations of diversity represented in our student population as we create communities suitable to living and learning.

- We will continue to encourage and support student affairs professionals in their efforts to provide programming that will help to create dynamic living and learning environments that foster respect for diversity in all its manifestations, as well as an appreciation for civility and social justice as essential requirements for living and studying together as future scholars, researchers, and artists. We will undertake to better identify all such programming as to categories (whether they are aimed at promoting healthy behaviors, social responsibility, clarified values, self-esteem, or leadership development, etc.), and to develop methods of evaluation. Roughly 40% of our students now participate in programming that may fall under one of these categories. Our goal is that each student have access to at least one such program while living in the residence halls.

In response to our continuing commitment to move forward in bringing diversity to all areas of the campus, but also acknowledging a special responsibility to promote diversity in particular communities within student affairs, we will take the following actions:

- We will work to develop a plan for the current programs the aims of which are to celebrate and support historically underrepresented minorities on our campus (the Committee for the Collegiate Education of Black and other Minority Students (CCEBMS), the Bilingual Collegiate Program (BCP), the United Asia Learning Resource Center (UALRC), and the Native American Student Support Services (NASSS)) that will, while maintaining their special cultural identities, foster greater collaboration among them as a way of paving the way for creating a framework for addressing their commonalities with each other and, ultimately, with the larger community. It is increasingly expected that students' education will prepare them to function in more than one culture. Our goal is to encourage greater appreciation for different cultures, not only among the larger population, but also among groups for whom the campus has set aside special cultural centers and support services.
- We will continue our efforts to restore some of the TRIO programs to the campus. We are currently preparing to make applications as each program accepts new proposals. Our first goal is to have Upward Bound restored to the campus by 2010.
- To better support the campus' academic mission, as well as to more sharply focus our own commitment to aid students "in their academic growth," Student Affairs has joined with Academic Affairs to create and empower a Task Force with responsibility to evaluate the offerings of the First Year Program. This Task Force is deliberately comprehensive in its membership—being led by the Assistant Provost for Undergraduate Advising, with members representing Residential Life, the Center for Student Development, the New Students Program, Planning and Assessment, the faculty, and the Vice Chancellor for Student Affairs among others—to ensure that the programming offered to all first year students will enhance their academic success. Such essentials to success as study skills, time management, and making good academic choices will figure prominently in these programs. The Task Force is on track to make recommendations as to both the proper content and the evaluation of these programs by the end of spring semester 2009.
- Student Affairs is committed to working with Academic Affairs in identifying space in the residence halls to accommodate some of the small-group, faculty-led courses that are being planned in Academic Affairs.

Even as we focus our attention on the proper programming for the residential halls, we must not lose sight of the role of recreation, intramural, club, and varsity sports. More than an aid to good physical health in general, these activities tend to foster positive self-image as well as increased capacity for tolerance.

- In the new recreational building that is currently under construction, we will establish a robust recreational program that will attract students from across the campus.
- Intramural and club sport activities will remain a vibrant component in the hierarchy of student activities. We will seek way to better coordinate all club sports and organized recreation to better support evolving student interests.
- Varsity athletics will remain an integral part of the University experience for participants and spectators. The University will remain committed to a national competitive NCAA Division I program.

Diversity

We are rightfully proud of our progress in the area of diversity at UMass Amherst. This past year, we enrolled a first-year class that had the highest academic indicators in our history. At the same time, this class was perhaps the most diverse group of students we have ever welcomed to campus. In the ranks of faculty, we have made significant strides over the past decade in the appointment of women and minorities in our instructional faculty. Our staff likewise exhibits a laudable diversity considering we are a community located in a small town in Western Massachusetts.

While we can be proud of our record, we should not be content with the gains we have made. We must continue to attract the very best minority students and faculty to the campus and make special efforts to hire a staff that reflects the population of not only the region but also the state. In addition, we must expand our notion of diversity into realms beyond race and ethnicity, welcoming individuals of various political and religious beliefs and heritages, as well as individuals of different sexual preferences, gender identities, and age brackets and an increasing number of veterans seeking to further their education. We must welcome this diverse, cosmopolitan population of students, faculty, and staff, but we must also ensure that we establish a campus climate in which everyone feels safe and accepted and can thrive in this diverse community.

We have in mind several initiatives to promote diversity:

- With regard to the student population, we must find new and creative ways to attract students from communities with known diversity. We will expand on programs to promote college attainment at target high schools and then implement programs on campus that will assist in retaining these students. We will work on this initiative with supportive students currently on campus who can help us understand the concerns of these prospective students, who can assist us in identifying recruitment strategies, and who can speak directly to prospective students who will identify with them. We also will develop plans to build a feeder program in targeted areas – such as Springfield – where we connect with students and families in middle school years and work to bring them to UMass Amherst through coordinated efforts and partnerships with selected schools. A

- pilot program is in development now and could serve as a model for future efforts.
- We will explore ways to increase the number of international students on campus, especially from those countries that are currently underrepresented in the student population, thereby doing much to enhance the diversity of our campus community.
 - We will continue our efforts in faculty and staff hiring, ensuring that all search committees are constituted with adequate representation of diverse perspectives and that searches encourage the recruitment of a diverse candidate pool. We will continue to monitor our progress for the recruitment and retention of underrepresented faculty and utilize resources of the Mellon Mutual Mentoring project to increase members of underrepresented faculty. We will enlist, wherever possible, the Faculty Senate in our efforts, in particular the Senate's Council on Diversity and Council on the Status of Women.
 - The administration will work closely with the Faculty Senate Council on Diversity to monitor campus climate and to make suggestions for improving the comfort level on campus for individuals with different backgrounds, beliefs, ages, and life experiences. This Council has recently agreed to expand its student membership significantly in order to ensure broad input. The Chancellor will ask this Council for an annual report on its findings and will meet with the Council as appropriate.

Facilities and Physical Plant

The physical plant presents the campus with perhaps its greatest challenge. Before the recent building program that invested \$760M in renovations and new construction, the campus had gone several decades without any significant investment in its facilities. As a result, many of the buildings on campus were not adequate for the purposes of contemporary science and modern education. The capital construction projects that will be completed by the end of next year have helped considerably. The renovated Skinner Hall, the long overdue construction of a new Power Plant, the remarkable Studio Arts Center, the state-of-the-art Integrative Science Building, and the Recreation Center still under construction are exemplary structures in which we can all take pride. But there are still many serious problems remaining.

Going forward, we should recognize both the opportunities and the challenges that face us in maintaining and providing adequate facilities for faculty and students. Over the next decade, the recently passed capital bill for higher education should fund close to \$600M worth of new structures and deferred maintenance. Among the new buildings it will fund are a science building and a classroom building. The life science bill has a provision for another new science building for the campus. In addition, the campus will be devoting its own funding to a variety of projects desperately needed if we are to compete with the very best institutions for faculty and students.

These new and upgraded facilities will greatly improve the campus, but we should not lose sight of the enormous needs we have with our aging and deteriorating physical plant. The total cost for deferred maintenance on the campus currently amounts to more than \$1B dollars, and the debt payments for our first phase of capital development put stress on our operating budget and will become increasingly burdensome as we devote additional funds to capital projects in the future. It is apparent that the new science buildings and the new classroom facility will not provide enough functional space for our existing programs or for the increased number of students and faculty we anticipate, even if we assume the completion of extensive renovation in existing facilities.

Our goals for facilities are ambitious, but we must achieve them if we wish to move the campus into the upper echelon of public research institutions:

- Complete a comprehensive science complex for the campus by developing precincts of science activity that include at a minimum the life sciences, physical sciences, engineering, and behavioral sciences. These precincts will be located to optimize the various types of cross-disciplinary sciences with similar needs. The New Science Building will be located contiguous with the recently completed Integrated Science Building to form a homogenous core complex in the eastern portion of campus. The new Life Sciences Building will be proximate to these two buildings in an area either east of North Pleasant Street or close to the existing Goessmann science facility.
- Construct adequate classroom, auditoria, and faculty office space to accommodate both current programs and increases in student and faculty numbers by 2020. This space must be constructed flexibly so that we can move nimbly as emphases in student demand and national priorities change.
- Make sure that appropriate renovations are performed in buildings of remaining value when space is vacated by units moving into the new space, and in current space, as required, for faculty who will be remaining in their current locations. These renovations will upgrade the existing buildings to comply with all health, fire, safety, and building codes, as well as ensure that the renovated space conforms to modern practices and promotes excellence in instruction and in research within the constraints of the building infrastructure. This implies the likely demolition of buildings for which renovation costs are greater than replacement costs.
- Make certain that student facilities for athletics, recreational activities, and student life are appropriate for the student population. Upgrades are necessary to make us competitive for top student athletes and to contribute to our success as a Division I university. Adequate recreational facilities and facilities for student life are necessary for us to create a more cohesive student culture, which in turn assists us in attracting and retaining the best students.
- It must also be recognized that facilities and infrastructure includes more than just buildings. We must provide appropriate and commensurate library and other information resources, technology in the teaching laboratories, information technology, instructional technology, etc. in order to meet our goals in graduate and undergraduate education and research.

State Support

While there is no doubt that state support for the University has been diminished over time, it is equally clear that the Commonwealth of Massachusetts will continue to be an important source of support for the institution. A primary goal of the newly formed University Relations unit will be to improve UMass Amherst's position with the legislative and executive branches of the Commonwealth, and to successfully advocate for support for the university, its people and its programs. As the Commonwealth's flagship public research institution, UMass Amherst has the potential to generate significant support among its core constituents, and to convert that support into active advocacy on Beacon Hill.

Some of this work has already been launched, as University Relations has undertaken the following initiatives:

- Creation of a revitalized UMass Advocates Network, a web-based initiative designed to engage alumni and friends in Massachusetts. This effort, somewhat dormant over the past few years, will be reinvigorated with the goal of adding members and increasing their involvement in the coming years.
- Development of specific plans to engage the parents of current students in the advocacy process, and to encourage them to actively support UMass Amherst with their state senators, representatives and the Governor's Office.
- Development of specific plans to support faculty, staff and student involvement in the advocacy process, and link these efforts to the larger advocacy network and plans that emerge from this initiative.
- Creation of a comprehensive government relations plan that outlines state and federal priorities for the university, and seeks to match funding requests and proposal developments from faculty, staff and students to these priorities, and from this create an annual plan with goals, metrics and evaluation.

To be successful in achieving the goals put forth in this framework, it is imperative to improve our institutional performance in generating financial support from all sources, including the Commonwealth. To do this, it is critical that the institution make a strong case on Beacon Hill and throughout Massachusetts of the value of the flagship institution to the social and economic health of the Commonwealth and that investment in UMass Amherst is an investment in the people of Massachusetts.

Enrollment and Demographics

In the fall of 2008, UMass Amherst had an undergraduate headcount enrollment of 19,373. It had a graduate headcount of 4,011, and an enrollment in continuing education of 2,976, of which 1,809 were graduate students. Total undergraduate enrollment was thus 20,540; while graduate enrollment stood at 5,820. Of these totals, 576 undergraduates and 670 graduate students were enrolled in non-degree programs. Enrollment in terms of full-time-equivalent students was 24,276.6.

Fall Enrollment 2008
Headcount Student Majors

	Female	Male	Full-Time	Part-time	In-State	Out-of-State	Total
Undergraduate Headcount	9,406	9,735	18,644	497	15,329	3,812	19,141
First-Year Total	2,452	2,327	4,761	18	3,712	1,067	4,779
Entering First-Year	2,157	1,951	4,100	8	3,159	949	4,108
Other First-Year	295	376	661	10	553	118	671
Sophomore	2,464	2,495	4,920	39	3,963	996	4,959
Junior	2,307	2,527	4,727	107	3,982	852	4,834
Senior	2,077	2,314	4,100	291	3,606	785	4,391
Postgraduate	27	26	36	17	46	7	53
Non-Degree	79	46	100	25	20	105	125
Stockbridge Headcount	55	177	225	7	192	40	232
First-Year	34	95	128	1	109	20	129
Second-Year	21	82	97	6	83	20	103
Non-Degree	-	-	-	-	-	-	-
UGrad & Stockbridge Headcount	9,461	9,912	18,869	504	15,521	3,852	19,373
Graduate Headcount	2,155	1,856	1,962	2,049	1,496	2,515	4,011
Master's	800	583	981	402	680	703	1,383
CAGS	22	10	10	22	29	3	32
Doctoral	1,191	1,170	906	1,455	646	1,715	2,361
Non-Degree	142	93	65	170	141	94	235
Including Program Fee enrollments as follows:	398	343	-	741	266	475	741
UGrad, Stockbridge & Grad Headcount	11,616	11,768	20,831	2,553	17,017	6,367	23,384
Continuing and Professional Education (CPE)	1,559	1,417	224	2,752	1,698	1,278	2,976
Undergraduate	755	412	128	1,039	884	283	1,167
Degree	519	197	95	621	562	154	716
Non-Degree	236	215	33	418	322	129	451
Graduate	804	1,005	96	1,713	814	995	1,809
Master's	498	785	75	1,208	522	761	1,283
CAGS	10	3	6	7	13	0	13
Doctoral	73	5	10	68	43	35	78
Non-Degree	223	212	5	430	236	199	435
Includes Program Fee enrollments as follows:	36	44	-	80	42	38	80
TOTAL Headcount (including CPE)	13,175	13,185	21,055	5,305	18,715	7,645	26,360
Undergraduate	10,216	10,324	18,997	1,543	16,405	4,135	20,540
Degree	9,901	10,063	18,864	1,100	16,063	3,901	19,964
Non-Degree	315	261	133	443	342	234	576
Graduate	2,959	2,861	2,058	3,762	2,310	3,510	5,820
Master's	1,298	1,368	1,056	1,610	1,202	1,464	2,666
CAGS	32	13	16	29	42	3	45
Doctoral	1,264	1,175	916	1,523	689	1,750	2,439
Non-Degree	365	305	70	600	377	293	670
Includes Program Fee enrollments as follows:	434	387	-	821	308	513	821

In 2008-09, tuition and fees for in-state students were \$10,232, of which \$8,518 were fees coming directly to the campus. Out-of-state total charges amounted to \$21,729, of which \$11,792 were fees. In an agreement reached a few years ago, the Amherst campus retains tuition and fees for out-of-state students, but only fees for in-state students. Out-of-state students comprise approximately 20% of the undergraduate headcount. Well over 60% of the graduate student population is composed of non-residents, but since these students are often supported by the institution as teaching assistants, the net total revenue to the campus from many graduate students, in- or out-of-state, is reduced.

Our current ability to retain out-of-state tuition offers one opportunity to obtain the additional revenue we need to achieve our goals in teaching, research, and other areas while limiting the necessity for and size of in-state fee increases. We have a historical commitment to maintaining access to a quality education for the qualified students of the Commonwealth, so we will maintain in-state undergraduate enrollments at least at current levels. We will increase out-of-state undergraduate enrollment (and tuition and fee revenue) by slowly raising the undergraduate population over the next decade, to about 22,500 by 2020. This may still be less than the optimum size for the campus, but it represents a reasonable intermediate goal that should be re-evaluated as we approach 2020. To accommodate these additional students, we will focus on undersubscribed majors and we will increase the capacity of high-demand programs.

During the first half of the planning period, Massachusetts and the Northeast will experience a decline in the number of high school graduates, so our first priority will be to increase market share in order to maintain strong enrollment and then to build on that base to increase enrollment in the mid- and later years of the planning period. This timing is also consistent with the development of improved instructional space, now being planned and designed.

To accomplish this increase in undergraduate students and this shift in the geographic origins of students, we will need to do substantial work, investing in practices that will assist us in achieving the funding the campus requires for its operations:

- We will gear the Admissions Office more toward matriculation of students from outside Massachusetts, including students from other countries. Although high school graduates in the state and the region will decline over the next decade, we expect this trend will be offset in part by the growing recognition of the value we offer in comparison to other alternatives. While we have had success in attracting out-of-state applicants, our yield on these applicants is currently far too low to accomplish the planned shift in enrollment pattern. Thus we will need a twofold effort: to improve our yield and enroll more students who are currently applying from outside Massachusetts and to attract an increased number of applications through enhanced and targeted marketing efforts.
- Communications must assist the Office of Admissions in marketing our programs for out-of-state and international populations and in advertising our value for prospective students within the Commonwealth. This effort must engage our faculty, students, donors, and alumni in an overall student recruitment effort and

work from a consistent, quality communications program. Communications staff must also help determine targeted opportunities in specific markets and develop plans aimed at these markets and at increasing enrollment from these areas.

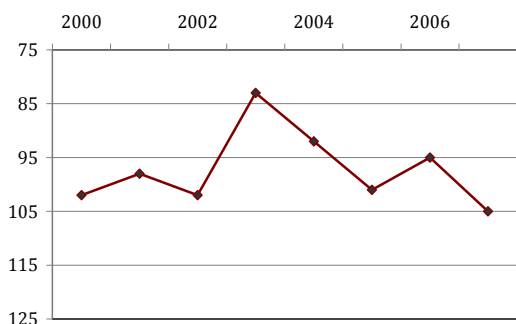
- The recruitment and retention of out-of-state students as well as retention of our in-state students will require that we more fully integrate our student life activities with our academic programs and that we improve the quality of the educational experience.
- A portion of the revenues we receive from these changes in enrollment patterns will be devoted to the faculty hiring program. We undertake these efforts to improve the quality of the institution and to mitigate uncertainties in public funding that have interrupted our plans for faculty recruitment.

Development

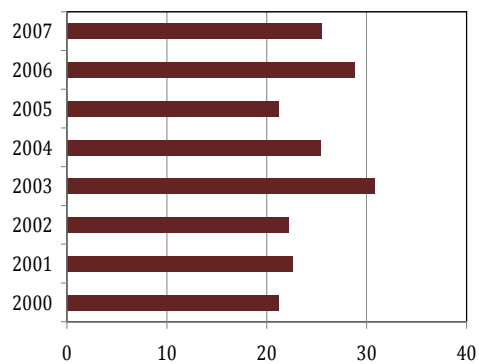
Fundraising is an essential component for enhancing the operations of any major college campus in the twenty-first century. It contributes to funding for faculty chairs, which attract the best teachers and researchers. It provides monies for essential research activities. It supports undergraduate and graduate students through scholarship and fellowship stipends, enabling a campus to increase its national profile. Fundraising is therefore essential to a modern campus; it is a core mission for an institution that expects to compete with other fine universities around the country.

The Amherst campus has more than 200,000 living alumni, and many of these individuals have reached or are approaching the pinnacle of lucrative careers. We also have a fiercely loyal alumni base that harbors fond memories of the campus and their experiences while students at Amherst.

While rankings for faculty awards, research, PhD production, and other indicators place us among the top 80 public institutions, and in some cases among the top 50, we fall consistently lower in measurements of fundraising. In this universe, our annual giving barely breaks the top 100.

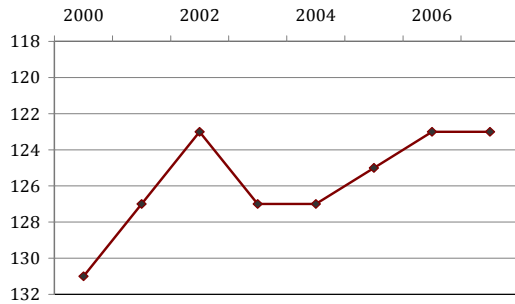


Annual Giving: Rank

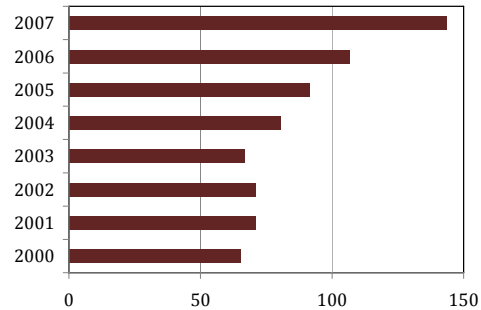


Annual Giving in \$M

Development was established late on this campus, and support for operational needs took precedence over building the endowment. This has left us below the top 120 among academic peers in this category.



Endowment Assets: Rank



Endowment Assets in \$M

If we are going to succeed as a campus, we must declare fundraising a priority with a renewed energy and dedication. While progress in recent years has been remarkable given formidable challenges, the potential for future growth is astounding.

Over the next decade, UMass Amherst needs to double its endowment and to double its annual fund. The goal is to rank consistently in the top echelon of public research universities for fundraising performance. To reach this goal, UMass Amherst must raise an average of \$60 million a year. Such an increase will not be easily attained, but we are moving to implement the following measures to ensure success:

- UMass Amherst has appointed a new Vice Chancellor for Development and Alumni Affairs. This individual is a proven, experienced professional able to organize a successful campaign and assist in training a staff for fundraising responsibilities. The VCD will also take the lead in cultivating our top donors and will work directly with the Chancellor to develop and cultivate major gifts.
- Although resources are scarce at present, we will dedicate an incremental amount of increased funding over time and ensure that fundraising improves in scope and efficiency. We already have in place a model of at least partial self-sufficiency for the fundraising arm of the campus, but we believe that an investment over the next few years will more than pay for itself before the decade comes to a close.
- We will continue to expand existing efforts in which Development works in coordinated fashion with other offices and administrators on campus. In particular, Development will partner with University Relations to ensure that our message is appropriate and consistent and that we are employing resources with maximum effectiveness. Development will also work with Government Relations,

Research, Academic Affairs, and Student Affairs to take advantage of opportunities for fundraising in conjunction with these offices on the campus.

Outreach

As part of its land-grant mission, UMass Amherst extends its resources for lifelong education to a broad range of learners, industries, and organizations, through a strong combination of credit, online, and community-based educational programs. These initiatives provide an important component of the institution's move toward the top ranks of public research universities. As a campus, we take special pride in the recent news that UMass Amherst has been selected to receive the Community Engagement Classification from the Carnegie Foundation.

In addition, Outreach efforts foster significant and important collaborative reciprocal partnerships between the university and external constituencies. The University's Outreach programs provide platforms for our institution's community engagement, especially around issues of workforce and economic development.

Our role as the Commonwealth's land-grant university requires us to engage in addressing, supporting, and resolving statewide needs. The areas in which we encounter needs range from agriculture to management to the arts, and accordingly in these areas we serve a large number of individuals, industries, and communities. University support of these different constituencies facilitates greater productivity for the Commonwealth.

In addition, our online learning programs expand university access to adult and non-traditional students. Increasing our market share of non-traditional learners, an expanding cohort, is a concrete step to cope with the declining numbers of high school graduates and to produce strong revenue growth for the academic community.

As the state's land grant institution, we maintain commitments in many of the state's "gateway cities," and as the public flagship institution located in the western part of the state, we have a particular and abiding interest in our closest neighbors and their welfare. We are committed to Amherst and Hadley, where the campus is located. However, we are also concerned about other communities in the region, especially the future of the city of Springfield, the largest city in the region and the third largest city in Massachusetts and one threatened by declines in its economic base. Our new partnership with the city will continue to nurture the various programs we have offered in Springfield over the years and will lead to the development of fruitful connections in the coming decade, particularly in the areas of creative economy and green industry development.

To accomplish our mission as a land-grant institution and to provide support for the Commonwealth and its citizenry, we will work toward the following goals:

- We seek to establish a permanent office in Springfield, which will house numerous and varied initiatives, from arts and educational programs to

- architectural assistance to consultative aid in public health and nutrition. Our office in Springfield will serve to coordinate and unify various initiatives that already exist and encourage faculty and students to engage in new initiatives that are beneficial to the campus and to the city.
- Through ongoing improvements in marketing, program development, and services for adult and non-traditional students, we will expand our community and distance-learning programs. These courses provide valuable revenues for the campus, as well as needed curriculum for students on the campus and for the growing population of students from around the country and the world who increasingly choose online and blended modalities for their education.
 - We will seek to integrate our summer session into our campus plan in two ways: by using it to supplement curricular offerings during the fall and spring term, and by exploring avenues to attract to campus special groups of students as part of revenue enhancement activities. We now have a stock of buildings and student housing that are not being used effectively for three months of the year; a more effective summer session will solve problems resulting from oversubscribed courses by expanding the academic year and provide the campus opportunities for income-generating programs. In addition, our university's location and involvement in the rich cultural life of our region will be leveraged to create a summer life for the campus that is vibrant and meaningful to our students and to the region.
 - We will seek to increase and enhance our partnerships with the region's community colleges. These relationships can address improved recruitment and retention of students from those institutions and create expanded potential for positive experiences for adult students within our programs.

Communications and University Relations

UMass Amherst is in the process of forming an integrated team to work on communications – reorganizing staff and structures to create a more nimble, active team of professionals charged with building a clear and compelling brand identity for the institution.

Separate communications units that existed under various vice chancellors and in various units have been consolidated under the leadership of a new Executive Vice Chancellor for University Relations. The EVC-UR has the task of making certain that the messages that emanate from campus are clear, consistent, and consonant with our overall mission and strategic plan. Moreover, these messages must be created and delivered with specific, tangible outcomes in mind – simply put, everything we do in communications and marketing should be designed to help the institution achieve its goals.

The overarching goal of the new office of University Relations is to relate to the great variety of audiences with an interest in UMass Amherst. These audiences include, internally, our faculty, students, and staff, and, externally, emeriti and other retired staff members. These audiences also include alumni, donors, prospective students, the general

public, legislators, our congressional delegation, and federal agencies. University Relations will therefore be working with several different offices on the campus in assisting them to do their job: For Development, it will help provide a consistent message to use in campaigns and in communication for fundraising purposes. For Government Relations, it will ensure that our profile and priorities are well understood and communicated to legislators, their staffs, and executive branches of the Commonwealth. For Admissions, it will assist with recruiting the best students from Massachusetts and from other states to help the campus achieve its enrollment strategies. For Public Relations, it will work to improve the image of the campus in print and electronic media.

The success of our communications strategies will be manifested in the success of other areas of the campus. However, we are proceeding to complete the following projects to position ourselves for the future:

- We are aiming to have a completely revised web presence by early this spring. A new front page and several internal pages will be completed first, with ongoing efforts launched to improve the look, tone, and feel of the web presence, and to create specific strategies to use the latest social media outlets to reach our key audiences. At that point we will be assisting units to update their pages using a common format and style that will identify them as part of the UMass Amherst community.
- We are undertaking revision of our communication with alumni, both domestic and international, and should have a more comprehensive strategy in place by the end of the spring. We will be reviewing in general how we communicate with alumni, with an eye toward integrating them more effectively in fundraising and in recruiting high-profile students, and also in using social media channels such as Facebook, Linked-in, and other media connected to our alumni in ways that make sense to their lives. We will also launch dramatically improved online options for our alumni and enhanced career networking opportunities for our students by connecting them to our alumni network.
- Together with Development, University Relations will take charge of a new regional initiative with our Foundation Board that will focus our energies initially on three cities: Boston, New York, and Washington. The aim of this initiative is to integrate the Foundation Board into the activities of the campus and to activate its individual members, creating a closer bond to the institution. This plan, announced in the fall, will serve as a model for how we will use integrated communications and marketing techniques across the institution to achieve specific, tangible results.
- University Relations, based on existing market research, as well as on newly initiated research, will develop and roll out new key messages and brand positioning materials in the early spring. Through a series of “brand illustrators,” University Relations will create clear, compelling messages about UMass Amherst for use by the entire campus in the full range of communications vehicles. University Relations will serve as the full-service communications and marketing agency to the campus. The revised organizational structure and new

supporting materials will be shared with the campus in early spring, following months of planning.

- All University Relations efforts will be developed and evaluated based on how well they support specific outcomes in four simple areas – Students, Dollars, Votes, and Image. To elaborate by category:
 - Students – what are our student recruitment and retention goals, and how do we support and improve our institutional performance in these areas?
 - Dollars – how do we support increased private giving and government and corporate funding for the institution, with particular emphasis on assisting faculty in obtaining increased support for their efforts?
 - Votes – how do we better position our institution with local, state, and federal officials and create the right relationships and strategies to gain the maximum support for the institution?
 - Image – how do we build a clear and compelling identity for UMass Amherst in the minds of the people we must influence, with particular emphasis on building an image that helps us succeed in the other three areas?



Conclusion

The University of Massachusetts Amherst is fortunate to have excellent faculty, staff, and students, the three key, critical elements needed to move this institution to the upper echelons of national research universities.

While we already do many things very well, we must work together to achieve our ambitious institutional goals. This document outlines the high-level considerations necessary to move us into the cadre of the most competitive research universities in the nation. It is not a detailed action plan, but rather a framework, with the expectation that campus units will develop their own plans to meet these high-level targets.

As we know from the past months, our success in meeting these goals depends, to some extent, on external forces and events beyond our control. We can, however, use internal resources to continually move forward, and as a campus, we must work together to complete the framework presented in these pages.



Please email your comments to framework@chancellor.umass.edu