

Interim Five-Year Report



Submitted by

Westfield State University
Westfield, Massachusetts

to the

Commission on Institutions of Higher Education (CIHE)
of the New England Association of Schools and Colleges (NEASC)
Burlington, Massachusetts

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I. Introduction – Preparation of the Report

The report was prepared through an iterative process of data collection, drafting, and review.

Initial work, including data collection and drafting outlines for each section of the report, was carried out by the Westfield State University NEASC Interim Report Committee:

- Erol Bailey, Assistant Professor of Education
- Andrew Bonacci, Chair of the Music Department and Committee Co-Chair
- Chaitali Brahmabhatt, Staff Associate, Urban Education
- Daniel Chamberlain, Student Representative
- Justin Connolly, Student Representative
- Susan LaMontagne, Dean of Students
- Lisa Plantefaber, Associate Dean of Institutional Research and Assessment
- Tom Raffensperger, Dean of Academic Information Services and Committee Co-chair
- Supriya Sarnikar, Associate Professor of Economics and Management
- Steven Scibelli, Associate Director, Office of Financial Accounting
- Jessica Tansey, Director, DGCE Development & Outreach Initiatives

The first draft was reviewed and revised by the Division of Academic Affairs:

- Marsha Marotta, Interim Vice President of Academic Affairs
- Susan Leggett, Dean of the Faculty
- Cheryl Stanley, Dean of Education
- Christina Swaidan, Dean of Undergraduate Studies
- Shelley Tinkham, Dean of the Division of Graduate and Continuing Education
- Brian Jennings, Assistant Professor of Mathematics and Chair of the Curriculum Committee
- Joseph Camilleri, Associate Professor of Psychology and Faculty Liaison for Assessment
- Wendy Wiggins, Coordinator of Assessment and Accreditation, Office of the Dean of Education

Subsequent review was carried out by the President and President's cabinet:

- Ramon S. Torrecilha, President
- Marsha Marotta, Interim Vice President of Academic Affairs
- Stephen Taksar, Vice President of Administration and Finance
- Carlton Pickron, Vice President of Student Affairs
- Erica Broman, Vice President of Institutional Advancement
- Diane Prusank, Chief of Staff, Associate Vice President
- Tricia Oliver, Director of Campus Communications

Special thanks go to Lisa Plantefaber, Associate Dean of Institutional Research and Assessment, for her work ensuring that the report is based on sound data.

II. Institutional Overview

Westfield State University was founded in 1839 by Horace Mann as the nation's first institution of public higher education providing education to students without regard to race or gender in a fully integrated environment. This tradition of inclusion continues to form the foundation of the institution's values and mission. Today, under the leadership of its 20th president, Dr. Ramon S. Torrecilha, the University is a comprehensive liberal arts institution comprised of an undergraduate-only Day Division and a Division of Graduate and Continuing Education (DGCE), offering in total 31 undergraduate and nine graduate degree programs in arts, humanities, and social sciences, as well as professional fields including teacher education, nursing, social work, mental health counseling, and criminal justice. DGCE also offers a range of continuing education and graduate certificate programs, part-time study opportunities, and online bachelor's degree-completion programs.

As of fall 2016, the University enrolls approximately 5,000 full-time undergraduate students, 600 part-time undergraduate students, and 800 graduate students. 93% of students come from Massachusetts, and students come from every county in the state. The majority of undergraduate students live on campus. Westfield State University is accredited by the New England Association of Schools and Colleges. Westfield State's teacher licensure programs are accredited by the Massachusetts Department of Education and are accredited by the Council for the Accreditation of Education Preparation (CAEP) (formerly known as the National Council for Accreditation of Teacher Education (NCATE)). Massachusetts is a member of the Interstate Certification Compact (for teacher certification). Individual programs also hold external accreditations.

Since the 2012 Self-Study and the Commission's action letter, Westfield State has undergone significant changes: most notably, an ambitious building program, and a major transition in institutional leadership. The University just completed its first new academic building in forty years, the Science and Innovation Center, and opened a new 411-bed University Hall residence in 2013. The Catherine Dower Center for Performing and Fine Arts is slated for a two-phase opening, the first in January of 2017. There are also significant backfill renovations currently occurring and planned for the next several years.

In August of 2013, an audit found irregularities in the expenditures of then-President Evan Dobelle. The subsequent faculty vote of no confidence, investigations conducted by the Massachusetts Inspector General and Attorney General, and the eventual departure of the president, created a significant distraction and diversion of resources from the ongoing business of the University. Following Dobelle's departure, Interim President Elizabeth Preston ushered in a period of stability and healing, though many administrative positions through this period remained interim in nature. Since President Ramon S. Torrecilha took the helm in January 2016, interim positions are being steadily replaced with permanent appointments and the University has turned its attention back to the future of Westfield State. Changes in leadership have led the institution from turmoil to stability and a fresh look forward.

Massachusetts is experiencing the economic and demographic shifts common to the Northeast: declining numbers of high school graduates, increased proportions of students of

color, and an increased demand for a highly educated workforce. Facing the changing needs of students and the Commonwealth, the University is proceeding with an integrated strategy that focuses on enrollment management, new program development, student retention, and reducing the achievement gap. At the core of this strategy is the four-year Westfield State Experience, an articulated pathway designed to guide students through the unique challenges they face each year in college. The first year focuses on the transition to college through first-year-only (FYO) courses, learning communities and other activities; the second year on exploring pathways and creating an individualized plan for success; the third year on high impact practices such as undergraduate research, internships, and civic engagement; and finally the transition to the workforce or graduate school. In implementing this framework, the University is refocusing its efforts on one of the strongest values shared across the campus: a commitment to student success.

III. Response to Areas Identified for Special Emphasis

Area of Special Emphasis 1

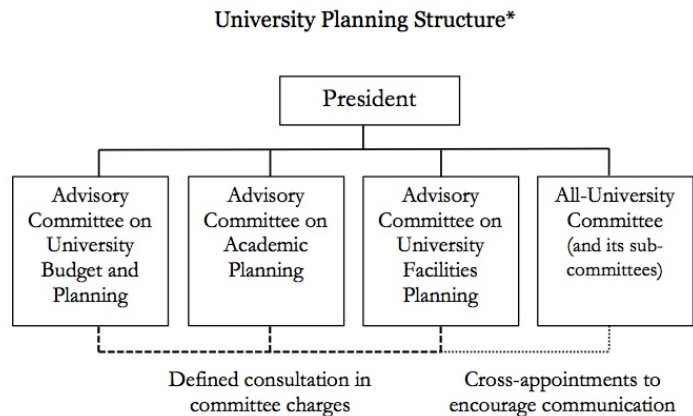
assuring its governance structure effectively facilitates the integration of strategic and academic planning

In its 2012 Action Letter, the Commission expressed concern that there was a lack of clarity about the responsibilities of and relationship between planning committees, resulting in frustration about the “slowness of the process.” This reflected concern that there were too many committees involved in the planning process, and that the role of these committees was not always clear. Concern was also expressed in the Evaluation Team’s report that the mission statement was too long and not sufficiently precise. The Commission referenced Standard 2.1 “2.1 Planning and evaluation are systematic, comprehensive, broad-based, integrated, and appropriate to the institution. They involve the participation of individuals and groups responsible for the achievement of institutional purposes and include external perspectives.” This is also the relevant standard in the new 2016 Standards.

Since the 2012 Evaluation Team visit and the Commission’s action letter, the University has taken steps to focus the planning process and clarify the roles and responsibilities of planning committees while maintaining inclusiveness and representation from a broad spectrum of the University community. The University has reduced the number of planning committees and defined the roles of current planning committees, resulting in more timely recommendations. An example has been the work of the Advisory Committee on Academic Planning, which began discussions on restructuring the Division of Academic Affairs into schools and colleges during two meetings in May 2016, and then completed that work between September and December of 2016.

Three university-wide Advisory Committees form the core of the University’s planning function, along with the All-University Committee (AUC), a standing committee established by the *Agreement between the Board of Higher Education and the Massachusetts Teachers Association/NEA Massachusetts State Colleges Association* (the Agreement).

The three advisory planning committees are the Advisory Committee on Academic Planning, the Advisory Committee on University Budget and Planning, and the Advisory Committee on University Facilities Planning. AUC makes recommendations directly to the President on matters concerning the curriculum and faculty. The three advisory committees also make recommendations to the President and are charged with consulting each other where appropriate in formulating recommendations.



* Does not include the Graduate Education Council, which reports to the President through the Vice President, Academic Affairs

Soon after he arrived in January 2016, President Torrecilha and his cabinet began reviewing the roles and specific responsibilities of each committee, as well as who they report to, and their relationship to one another. The charge for each of these committees has been revised, and clearly delineates the purview of each committee, the relationship of each committee with the other two, and that each operates in an advisory capacity and reports to the President.

Following the University's commitment to inclusion of different perspectives, these committees have broad representation from different constituencies on campus. The Advisory Committee on Academic Planning includes a majority of faculty members, in addition to representatives drawn from administration, students, and collective bargaining unit for professional employees. It is chaired by the Vice President of Academic Affairs. Ex Officio members include the Associate Dean of Institutional Research, and a representative from the Division of Administration & Finance. The Advisory Committee on University Facilities Planning is chaired by a faculty member or librarian, and has three additional faculty representatives. There are four divisional representatives, student, and bargaining unit representatives, as well as the Executive Director of Capital Planning and Facilities, and the Director of Facilities and Operations. The Advisory Committee on University Budget and Planning is chaired by the Vice President of Administration and Finance, and includes five divisional representatives, representatives from each of the bargaining units (including the Faculty unit), a student representative, and a designee from the President's Office.

In addition to these three planning committees, the Agreement makes provision for committees that advise the President as part of the governance process, primarily on academic matters. The relationship between these governance committees is set forth in the Agreement. The AUC oversees two other standing committees, the Academic Policies Committee and the Curriculum Committee. Ad hoc committees, such as the Committee on Core Assessment, may be formed by any of these standing committees. The Graduate Education Council reports to the President through the Vice President for Academic Affairs. These academic committees are involved primarily in generating and endorsing recommendations on academic policy and curriculum matters. These recommendations are made to the President and, depending on their nature, by the President to the Board of Trustees. In addition to the structural relationships set forth in the charges of the advisory committees and in the Agreement, the administration seeks to foster communication among these bodies and others. University leadership structures through intentional cross-appointments. Further, because members are academic chairs, this provides another connection between planning committees. For example, there are three Department Chairs on the Advisory Committee on Academic Planning, providing a connection between this committee and the Department Chairs group. The committee also includes two members of the Curriculum Committee and one member of the Graduate Education Council. In addition, the faculty members on the committee are elected by the faculty.

Ultimately, the work of these committees will feed into the five-year Strategic Plan through the strategic planning process. The current plan is for the period 2012-2017. President Torrecilha has received permission from the Board of Higher Education (BHE) to begin its next strategic planning cycle – which will formulate the 2019-2024 strategic plan – in the 2017-2018 academic year (i.e., a one year delay) so we may align our strategic plan with proposed changes to the strategic planning process currently under consideration at the BHE.

This horizontal and vertical integration of planning, based on highly representative committees with clear charges, is helping to ensure systematic, comprehensive, and broad-based institutional planning.

In fall 2012, the University also adopted a more concise mission statement, supplemented by a set of institutional values, and a vision statement. This conceptual foundation provides a clear reference point for University planning processes, and serves as a framework as well as guidance for discussions and decisions on the future of the institution. The new mission statement is: *Westfield State University fosters intellectual curiosity, encourages critical thinking, inspires civic engagement, and promotes a global perspective. A public teaching institution offering quality programs in the liberal arts and sciences with complementing professional studies curricula, we are grounded in our founding principles of academic excellence and educating all in a diverse and welcoming community. Westfield State develops the knowledge, skills, and character essential for students to reach their full potential and become responsible leaders in society. We contribute to the economic, social, and cultural vitality of the region.*

Area of Special Emphasis 2

providing sufficient resources to support institutional planning and evaluation activities;

In its April 2012 report, the 2012 CIHE Evaluation Team expressed concern about the resources devoted to institutional research and planning. Specifically, it identified a lack of human and material resources devoted to the Office of Institutional Research and Assessment. They expressed concern about the resulting lack of useful evidence about current students and recent graduates available for use in institutional assessment and planning. The standard section cited by the Commission is: “Planning and evaluation are systematic, comprehensive, broad-based, integrated, and appropriate to the institution ... The institution allocates sufficient resources for its planning and evaluation efforts.” (2.1). The relevant standards in the 2016 Standards are 2.1 and 2.2.

Westfield State University remains committed to data-based decision making for assessment and planning for the improvement of institutional effectiveness. Collection, analysis, and presentation of pertinent data is a critical first step toward improving institutional effectiveness.

Since the CIHE site visit in 2012, the University has taken substantive steps to improve this critical function by allocating additional human and operational resources (such as upgraded computers and data visualization and analysis software) for these activities. The FTE staff associated with the Institutional Research and Assessment office has doubled since 2012. In 2013 a full-time research analyst was hired and the half-time administrative assistant position previously assigned to the office was converted to a full-time position.

The addition of staff members and resources has allowed the office to expand its survey work and its support of learning outcomes assessment. Surveys of incoming first-year students and participants in first-year-only courses have been conducted annually. The NSSE and FSSE surveys were administered on a typical three-year cycle in 2013 and 2016. Since late 2013, the Office has been heavily involved in the implementation, support and report retrieval for the LiveText assessment system used by the teacher education programs. LiveText is used

primarily for the evaluation and reporting of data on student learning outcomes in specific education licensure programs. The adoption of LiveText was the result of an effort to identify applications to serve university-wide assessment efforts. While it ultimately did not scale to the entire University, stakeholders learned what types of systems might best serve their needs.

Additional staffing has also allowed the Office of Institutional Assessment and Planning to monitor and disseminate critical data in a more comprehensive and efficient manner. For example, the Office is publishing a new Fact Book to disseminate institutional data more efficiently, and is developing a new Student Success Dashboard using interactive data visualization software. This dashboard is based on a database that links individual student characteristics (demographic, high school background) with term-by-term academic activity and retention or graduation status. Students' participation in Westfield State Experience activities such as First-Year-Only course sections, study abroad, research and internships can also be followed. Currently in an experimental stage, the project already has a functioning beta-version dashboard that is producing useful data. Cohorts of students are being tracked to identify roadblocks to retention and achievement. The Office has adopted the data visualization and analysis tool Tableau as its platform for the Student Success Dashboard. Useful data visualization is already emerging from this testing, helping the University to identify variables that most affect graduation rates, retention rates, and the gap between the achievement of historically underrepresented populations and other students. We have found, for example, that achievement gaps are not typically consistent over the course of a cohort's progress through college: the one year retention gap is lower than in subsequent years. The four-year graduation rate gap is the greatest and decreases but is not eliminated by the sixth year. We have also identified high schools from which graduating students who matriculate to Westfield are at higher risk of attrition than students from other high schools.

Data gathered through use of the Starfish Retention Center system continues to provide faculty, program leaders, and administrators with "early warning" information on students at risk. Our goal is ultimately to link data from the two systems, allowing attrition risk prediction from the student success dashboard to be aligned with near-real-time student behavioral data from Starfish. Rapid intervention when detrimental patterns emerge will promote individual student success.

Area of Special Emphasis 3

continuing to develop and implement a comprehensive and systematic approach to the assessment of student learning and program review;

In its January 2013 action letter, the Commission expressed concern that while most programs were undergoing regular periodic review, and most programs were engaged in the assessment of student learning outcomes and using that data for program improvement, there was need for continued development of a formal, comprehensive, institution-wide plan for assessment of student learning outcomes.

The standards cited by the Commission were 2.6 (The institution has a system of periodic review...), 4.8 (The institution implements and provides support for systematic and broad-based assessment), 4.51 (The institution's approach to understanding what and how students are learning and using the results for improvement has the support of the institution's

academic and institutional leadership and the systematic involvement of faculty), and 4.54 (The institution uses a variety of quantitative and qualitative methods ...). The relevant standards in the new 2016 Standards are 2.7, 2.8, and 8.10.

Westfield State University remains committed to the assessment of student learning outcomes for program improvement. Since the Evaluation Team's visit in 2012, and the Commission's Action Letter of January 2013, the University has made substantive progress on developing a University-wide approach to assessment. This progress has included advancing a culture of assessment among faculty and academic departments, helping programs "close the loop" on assessment for program improvement, and providing specific leadership and support for assessment activities. The recently appointed Dean of Undergraduate Studies has been given the responsibility for stewardship of assessment of student learning outcomes in degree programs and in the Common Core Curriculum. In addition, the Faculty Liaison for Assessment works with departments to implement student learning outcomes assessment practices and the specific requirements of the University's *Academic Program Review Process* (see Appendix) which details the requirements for program review.

The University continues its periodic review of programs through a seven-year cycle for degree programs and is working toward a six-year cycle for Core Curriculum areas (see area of special emphasis 4). Many programs are also reviewed by external accreditation agencies. Faculty members are deeply involved in these assessment processes. Since the 2013 letter, the University has continued to make progress toward an institution-wide approach to assessment of student learning outcomes. Student learning outcomes for each program are articulated and are made available on the website of University's Office of Assessment and Institutional Research. Academic departments are now reporting how they measure student learning outcomes and how they use the data for program improvement to Academic Affairs through their annual reports. This is a key component to applying the framework for assessing student learning outcomes and using them for program improvement as defined in the *Academic Program Review Process*. Core to those are the defining of student learning outcomes, measurement of achievement of those outcomes, and using the data for program improvement. When each program undergoes review, the Faculty Liaison for Assessment meets with that department to assist them in adhering to the guidelines.

The Westfield State Experience frames the assessment of student learning outcomes in the broader context of overall student success. It will provide a cross-division assessment of the students' overall experience, adding another dimension to the assessment of student success outcomes in specific programs within the initiative. Combined with careful analysis of student learning outcomes data, department chairs and program coordinators can identify courses or requirements in programs that prove particularly challenging to students. This in turn informs plans on where to target academic support resources for the greatest positive effect.

In a contractual environment that gives faculty members and departments significant authority over the curriculum and assessment activities, fostering a culture of assessment is a necessary foundation for continued progress. Through the Curriculum Committee, subcommittees of the curriculum committee, and the work of the new Faculty Liaison for Assessment, faculty members and departments are receiving the support they need and, more importantly, the groundwork is being laid for an environment in which a comprehensive approach will thrive, driven by faculty members and academic departments. Administration takes both a leadership

and support role, providing the rationale for a comprehensive approach to assessment, and the resources faculty leaders and instructors need to advance assessment activities. This is a cultural shift, an approach to assessment that most faculty members and programs are actively supporting.

Since the 2012 Evaluation Team report, there has been an increase in the use of student outcomes data for program improvement. Economics and Theatre were both programs identified by the 2012 Evaluation Team for concern. Those departments have now begun “closing the loop” in using student learning outcomes data for program improvement (see the E-Series document in the Appendix). Criminal Justice, History, and Nursing have also made changes to their programs based on assessment data. Political Science and Sociology have gathered data and begun discussions that will lead to changes and program improvement. The Psychology department has developed and is pilot testing a new pre/post-test assessment plan. These changes constitute steady progress. The Faculty Assessment Coordinator has worked directly with the English, Biology, Communication, Economics & Management, History, Mathematics, Music, Nursing, Psychology, and Athletic Training programs to offer support in improving assessment methods. The Assessment Coordinator also organized discussion sessions and workshops to support faculty engagement with assessment, such as how to organize a Department Assessment Committee and methods for assessing student learning outcomes for civic engagement. A new web-space was created to provide faculty with a repository of online resources for department-specific assessment practices. The Computer and Information Science program, another program of concern for the 2012 Evaluation Team, was successfully re-accredited by ABET for its Computer Science program, meeting its standard for assessment, and plans to institute changes based on assessment data. The Business Management and Liberal Studies programs have also begun conversations on assessment.

Since the 2012 self-study, the Dean of Graduate and Continuing Education has met with program chairs to identify components of a focused assessment and evaluation protocol (to be completed every five years). These protocols include examination of achievement of student learning outcomes, external review, and a structured feedback process for program improvement.

In 2015 Westfield State University joined the Multistate Collaborative to Advance Learning Outcomes Assessment (MSC). This initiative provides resources for faculty and helps develop specific assessments at member institutions. Through this program the Faculty Liaison for Assessment worked with the Office of Assessment and Institutional Research to identify courses that matched project requirements to develop model assessments. Participating faculty either attended a workshop provided by Dr. Bonnie Orcutt, who was Director of Learning Outcomes Assessment at the Massachusetts Department of Higher Education, or individual training with the Faculty Liaison for Assessment, Brian Jennings. The work included training two faculty scorers to work with the selected assessment artifacts. All participants received stipends, training, or both, and in some cases, their experience gave them their first exposure to assessment practices. Additionally, in Spring of 2016, a faculty member associated with the Reading and Writing Center and the Faculty Liaison for Assessment went to a 3-day AACU training workshop in Kansas City in the use of the LEAP Rubrics for general education learning goal assessment. They then worked over the summer scoring 100 student artifacts on the Rubric on which they were trained. In 2016 and 2017, Westfield State University is

continuing our support of the MSC by participating in the project's Refinement Year, which will provide even more opportunities for faculty to receive professional development on assessment. Although the impact on individual programs is difficult to quantify, the project advanced the culture of assessment among faculty and provided meaningful training and model assessments.

The University is working toward a model of program assessment designed and implemented by the programs themselves, framed by our *Academic Program Review Process*, and supported through professional development and incentives. Each discipline may have its own approach to assessment, but what all programs share is expressed student learning outcomes to determine the level to which students achieve those outcomes. Most programs are using that information for program improvement, and more are doing so now than in 2012 (see the S-Series appendix). While most departments are collecting, analyzing, and acting on student learning outcomes data, a few are still not "closing the circle," and will require continued focused attention and support. Steady advances continue as the result of resources directed to developing faculty experience and knowledge in assessment through the work of the Faculty Liaison for Assessment, the Curriculum Committee, and participation in programs such as the Multistate Collaborative to Advance Learning Outcomes Assessment.

Area of Special Emphasis 4

developing and implementing a coherent and substantive common Core curriculum

In their 2012 report, the CIHE Evaluation Team wrote that "University has work yet to do to develop a coherent and substantive common Core curriculum" and the January 2013 action letter from the CIHE notes that they would seek assurance in this report that "the University has completed this work."

The areas of the standard referenced by the Commission include "The general education requirement is coherent and substantive ..." (4.16) and "The general education requirement in each undergraduate program ensures adequate breadth for all degree-seeking students ..." (4.17). The relevant standards in the new 2016 Standards are 4.16, 4.17, and 4.18.

Westfield State University continues to provide a broad and substantive general education through its Common Core Curriculum (the Core). In keeping with the University's mission to assist its students to develop intellectually and to use their knowledge to improve the conditions of their communities, the Core has been designed to introduce students to a variety of academic disciplines and social issues. The Core includes five subject areas: Humanities; Social Science; Mathematics/Applied Analytical Reasoning; Science; and Diversity. Each area of the Core in turn has subsidiary areas in which course requirements must be fulfilled. For Humanities, these include English Composition, Literary and Philosophical Analysis, and Appreciation of the Arts. Social Sciences includes United States History and Government, and Social Understanding. Mathematics/Applied Analytical Reasoning include those named areas. Science includes Laboratory Science and Allied Science. Diversity includes both Global and United States diversity. The Composition requirement is a particularly important early component of the Core in creating a common experience, requiring all students to take two English composition courses.

Since the 2012 CIHE Evaluation Team report and the Commission's action letter, the Curriculum Committee reviewed and rejected the 2008 report of the Review of the Common Core Committee (ROCCC) as a whole due to lack of consensus on the appropriateness of changing to a new core curriculum without first assessing the current one. The ROCCC report went through the governance process, and led to an understanding that while the core is serving its objectives to provide a broad liberal arts education to our students, that a new process for core review was needed. Through this process, issues such as the size of the Core curriculum might be addressed. What resulted has been a two-part approach: First, the incremental improvement of Core Curriculum areas through periodic review by a subcommittee of the Curriculum Committee; and second, the assignment of the Dean of Undergraduate Studies with stewarding overall Core Curriculum improvement. Further Core review will be guided by the Westfield State Experience goals and measures of student success, including impact on retention, graduation rates, and narrowing the achievement gap.

In the fall of 2012 the University Curriculum Committee created the Ad Hoc Committee on Core Assessment which was charged with answering two questions: First, what could an assessment process of the Core look like? and; second, given the faculty contract limits on the lifetime of a particular elected University Curriculum Committee, could an assessment of the Core happen during a single academic year? The committee concluded that it would not be feasible to meaningfully assess the entire Core within one academic year, and thus the Committee should instead seek to assess the Core over a multi-year timeframe with annual goals set for each year. In particular the committee recommended choosing a subset of sections of the Core for assessment each year, with an overall timeframe of 5 years for a complete Core assessment cycle. Ultimately, this was changed to 6 years, though this remains under development as the committee learns from its work. The work focuses on reviewing individual departments' core footprint.

The Special Committee on Core Assessment (no longer ad hoc) was subsequently formed to "assess the Core academic program in order to create a process and culture of informed improvement at an institutional level, ensuring the Curriculum Committee is fulfilling its contractual obligation." This work is now being carried out by a subcommittee of the Curriculum Committee. Its other goals include determining how well courses are providing students opportunities to demonstrate Core course objectives and requirements; how well students are achieving Core course objectives and requirements; what faculty are already doing to assess Core course objectives and requirements, and whenever possible, to embed Core assessment within departments' current practices. Its stated goals also include fostering a productive culture of assessment by supporting interdisciplinary collaboration, learning in conversations about our shared goals for the Core, and allowing faculty to reflect on their pedagogical practices.

The University has continued to make substantive progress on improvement of the Core by working toward regular periodic review of Core areas, as well as the appointment of the Dean of Undergraduate Studies to steward the overall process. The success of this effort will rely on a continuing productive and collaborative approach to Core assessment and improvement.

IV. Standards Narrative

Standard 1: Mission and Purposes

Shortly after the CIHE Evaluation Team's visit, the University completed a strategic planning process as part of its regular five-year cycle that included a revision of the University's Mission, with the goal of making it a more functional guide for directing the activities of the University. As a component of the University's strategic planning process, the rewriting of the Mission was carried out in a manner that was collaborative, inclusive, and informative. Representation on planning committees is broad, including faculty, staff, and students. The Mission, Values, and Vision form a clear, accurate, and recognizable representation of who we are as an institution, the values that form our foundation, and the direction we are going. The Mission statement, values, and vision are available on the University's website and in the Undergraduate Catalog and Student Handbook.

Through its Mission, Westfield State University defines its distinctive character: "A public teaching institution offering quality programs in the liberal arts and sciences with complementing professional studies curricula, we are grounded in our founding principles of academic excellence and educating all in a diverse and welcoming community." The Mission reflects the institution's rich legacy and principles as founded by Horace Mann in 1839, and implemented as one of the first coeducational and racially integrated institutions in the country. The Mission further emphasizes the outcomes the institution intends to achieve, that it "develops the knowledge, skills, and character essential for students to reach their full potential and become responsible leaders in society." It extends these outcomes in their effect on the community and Commonwealth in contributing to the "to the economic, social, and cultural vitality of the region."

The Mission statement provides a strong and distinctive sense of purpose, values, and place in society. The Mission is supported by a values statement, which among other things, prioritizes "treating all members of our community with dignity and respect," "building community by being inclusive, supporting the personal development of all community members, and embracing multiple perspectives," and "making decisions in a transparent and collaborative manner."

The Mission informs the University's plans and priorities, from the institutional level down to individual departments and programs. All of the University's departmental mission statements either explicitly or implicitly reflect the University's Mission, values and stated goals. In turn, departmental plans (as found on departmental websites) and articulated student learning outcomes reflect the elements of the Mission that pertain directly to the characteristics the institution seeks to develop in students.

Initiatives in Civic Engagement, Undergraduate Research and Creative Activities, the extensive student participation in internships and practicums, a robust International Program, all cornerstones of the Westfield State Experience third and fourth years, demonstrate how the University's Mission informs its programs and activities. Additions in program offerings such as the newly approved Physician Assistant Studies program, and recently implemented RSN-to-BSN program demonstrate how the Mission guides decisions in providing both a strong

liberal arts education with complementary professional programs. The University's extensive renovations of existing buildings, the completion of the new Science and Innovation Center, and the forthcoming Catherine Dower Center for the Performing and Fine Arts, show how the aspirational values statement pushes the University ahead to allocate resources in support of its Mission.

The Mission statement is reviewed periodically within the institution's strategic planning cycle. It was approved by the All-College Committee in the fall of 2012 and then approved by the University Board of Trustees at their fall 2012 meeting. The Mission is prominently featured on the University's website and in the Undergraduate Catalog and Student Handbook. The Mission Statement will be reviewed in the University's next strategic planning cycle, which has been postponed until 2018 in response to changes in the planning cycle at the State Board of Higher Education.

Standard 2: Planning and Evaluation

Planning

Since the 2012 CIHE Evaluation Team visit, the University has redefined and consolidated planning in three Advisory Committees as well as the All University Committee, ensuring a systematic, broad-based approach to planning. The three primary planning committees are the Advisory Committee on Academic Planning, the Advisory Committee on University Budget and Planning, and the Advisory Committee on University Facilities Planning. The charges of each committee make provision for consultation across them, ensuring an integrated process. The committees are involved in compelling work: review of the structure of Academic Affairs; formulation of a single integrated budget for the institution; substantial facilities planning and multiple renovation projects; and the relocation of the Institutional Advancement division from its downtown Westfield location to campus.

More detail of the current work of these committees is provided in the Institutional Plans section. In addition to the planning committees, the administration is advised on planning and other issues through institutional standing committees, as established in accord with the Agreement between the Board of Higher Education and the Massachusetts Teachers Association/NEA Massachusetts State Colleges Association (the Agreement). These include the Graduate Education Council, the aforementioned All University Committee, the Academic Policies Committee and the Curriculum Committee. Each University committee is supported by sub- or ad hoc committees as needed. .

Planning committees include members of all bargaining units, representing faculty, administrative professionals, and staff members. Students and non-unit administrators are also represented. They are also informed in their work by data gathered, analyzed, and presented by the Office of Institutional Research and Assessment. In order to inform their planning recommendations, committees often seek broader input from the University community through surveys and forums. All meetings of committees are open, and announcements and the agenda of upcoming meetings are distributed to the campus community via university wide email.

Planning occurs in both long- and short-term cycles. The University engages in a five-year strategic planning cycle, where a committee is formed to lead the process. The University's current strategic plan is for the 2012-2017 period, and has received permission from the Massachusetts Board of Higher Education to begin strategic planning for the next five-year period in the 2017-2018 academic year in order to accommodate proposed changes to the strategic planning process currently under consideration at the BHE.

In addition to the five-year planning cycle, the institution engages in a continuous cycle of assessment and response through both committees and the administrative structures of the University. While a five-year planning cycle provides a long-range vision of the University's direction, shorter-term cycles of planning, implementation, and evaluation are necessary to address concerns and pursue opportunities as they arise. This occurs through the advisory committees on planning and through functional units. While the University adheres to the operational demands of state regulation, mandatory issues, and collective bargaining agreements, it seeks to remain flexible and competitive.

Evaluation

In order to enhance its abilities in this area, the University has increased the staffing and resources of the Office of Institutional Research and Assessment, which is currently building a new fact-book and implementing new data visualization and analysis software to provide decision-makers with consistent data sets (i.e., the same data is being accessed by all constituencies) and better tools for identifying areas of concern and opportunity and as a consequence adjust the allocation of resources accordingly.

Currently the University's evaluation efforts are focused on two main areas: one, the full implementation of student learning outcomes-based assessment of its academic programs; and second, the use of data to track and target three mission-based measures of success: graduation rates, retention rates, and closing the achievement gap between traditionally underrepresented students and other students. Data are used to identify problem areas, propose solutions, and allocate resources to support those solutions. A major initiative in this regard is the development of the Westfield State Experience, which engages students in high-impact practices that have been shown to address graduation and retention rates and narrow the achievement gap. These practices include structured curricular and career planning, undergraduate research, service learning, community-based and global learning and internships to further increase retention and engagement. An Associate Dean of the Westfield State Experience has been appointed, and substantial financial and planning resources are being allocated to the establishment of a Center for Undergraduate Research and Creative Work. The development of the Westfield State Experience includes first-year-only courses in the core curriculum, a common read book assigned for the summer preceding the first semester, and a new website for first-year students and another for parents.

Westfield State University undertakes a process of planning, evaluation, and implementation to achieve its goals in light of its mission. Planning processes continually evolve to ensure the widest possible participation and focused enough to ensure institutional responsiveness and effectiveness.

Standard 3: Organization and Governance

Authority and governance of the institution is well defined in the by-laws, charts/tables of organization for each division and for the institution as a whole, and by the three collective bargaining agreements that establish the working relationships of the faculty, administration and staff to the University and to one another. The University's organized system of governance, established by the Massachusetts State College Association (MSCA) contract, through standing, ad hoc, and special committees involves all constituencies, addresses relevant issues to academic and student life, and promotes effective communication among them.

Governing Board

The governing board of the University is the 11-member Westfield State University Board of Trustees, which is appointed by the governor of the Commonwealth of Massachusetts. Each member is appointed for a five-year term, with the possibility of one additional term of five years. While trustee terms do expire, the trustees continue to serve on the board until a replacement has been appointed. The PENC (Public Education Nominating Council) is charged with this responsibility of identifying potential trustees. Board members have a clear understanding of and commitment to their role and fiduciary responsibilities through their oath of office and the policies and practices set forth both by the Bylaws.

The members of the Board of Trustees are selected from all sectors of the Commonwealth, from the professional ranks of manufacturing, banking and state police to the nonprofit sectors of charitable, community and developmental organizations. All exhibit a deep interest in the continued success and value provided by the University. Many are alumni of the University, with an extensive track record of supporting the University through various means. Board and committee participation is high for the members, and communication is open and free-flowing. Diverse viewpoints are respected and addressed with in-depth discussion. All members exhibit the highest level of commitment to affording students access to quality public education at reasonable cost. The Trustees meet no fewer than five times per year, and have established standing committees to assist it in their functions. Meetings are open to the public and agendas, minutes, and notices are posted in compliance with the Commonwealth's open meetings law.

Internal Governance

The University President effectively manages the institution through the President's Cabinet, made up of four divisional Vice Presidents and others useful to the conduct of cabinet business. A search for a fifth Vice President for Enrollment Management is underway. Vice Presidents are responsible for decision-making in their respective areas of responsibility, and for advising the President on matters of concern for the institution.

The President is reviewed annually by the Board of Trustees. The review is forwarded to the Commissioner of Higher Education for Massachusetts, who reviews the evaluation and provides a response. Massachusetts State University Presidents are also required to have a comprehensive review at three years for new presidents and every five years thereafter.

The governance process, as outlined in the BHE/MSCA Agreement, places primary responsibility for the curriculum with faculty. The All University Committee (AUC) is the overarching governance body in regard to undergraduate academics. Standing committees of AUC include the Curriculum Committee, Student Affairs Committee, and the Academic Policies Committee. The Graduate Council, established by the MSCA bargaining agreement as the Graduate Education Council, submits its recommendations directly to the president through the VPAA rather than through AUC. Committees have broad representation, and include faculty, students, staff, and administrators. Many governance actions further require approval of the Board of Trustees, and upon presidential approval of the items, they are placed on the agenda of the next board meeting.

Three University-Wide advisory committees form the core of the University's planning function, along with the All University Committee, a standing committee described by the Agreement. The three core planning committees are the Advisory Committee on Academic Planning, the Finance & Budget Planning Committee, and the University Facilities Planning Committee. Further descriptions of the roles and relationships of these committees can be found in Area of Special Emphasis

The primary institutional voice of students is the Student Government Association (SGA), which is comprised of 70 elected members and includes representatives from each class, residence hall, the Commuter Council, and other representatives from alumni, athletics, the Westfield State University Foundation, and multicultural representative. Members of the SGA hold seats on University governance committees.

Through an established, contractual system of shared governance, Westfield State has built a network of working committees with inclusive representation that facilitates the accomplishment of our mission and purposes, and supports institutional effectiveness and integrity. Through appropriately constituted and charged ad hoc, standing, and special committees, to the invested participation of the president and trustees, Westfield is effectively governing and addressing the issues that allow continued accomplishment of the mission.

Standard 4: The Academic Program

Since the 2012 self-evaluation, Westfield State University has attained approval for the new M.S. in Physician Assistant Studies and the new RN-to-BSN program. Other new initiatives include the MassTransfer program (Commonwealth Commitment Program) with all community colleges, as well as additional agreements with Springfield Technical Community College and Holyoke Community College to provide Bachelor's degrees to transfer students with a total capped cost of \$30,000. The University also established an Inclusive Concurrent Enrolment Initiative program (ICE) that provides dual enrollment opportunities for students ages 18 - 21 that have intellectual disabilities and are still receiving special education services through their home school districts.

Assuring Academic Quality

The University assures academic quality through program review and assessment. Programs are reviewed (with outside reviewers) on a seven-year schedule and core curriculum areas are

reviewed on a six-year cycle. Many programs are also reviewed by external accreditation agencies. Academic planning is led by the Advisory Committee on Academic Planning, whose appointed members represent constituencies from across the University. Additional planning and policy formulation and implementation occurs within the division of Academic Affairs, centered on the weekly academic deans meeting convened by the Vice President for Academic Affairs. Most of the academic departments develop student learning outcomes, assess student learning outcomes, and adjust their programs based on this data. In areas where this is not yet occurring, there is support from the division of Academic Affairs to implement assessment programs.

The baccalaureate degree requires the completion of a minimum of 120 credit hours with a cumulative grade point average of 2.0 and a minimum of 2.0 in the major. All students must fulfill common core requirements of 43-52 credits, and requirements of a major that range from 36-80 credit hours. The remainder of the degree credit requirements may be filled by prerequisites, electives, or by the selection of minor(s) or second major.

The University uses a Learning Management System (LMS) to provide online and hybrid learning platform that serves both Day Division and DGCE courses. The LMS requires a secure login and password for authentication. If additional authentication is needed, the LMS provides for live camera-based verification of identity.

Undergraduate Degree Programs

Westfield State University offers 31 undergraduate academic majors in the arts and sciences and in professional fields. Of those academic majors, 14 lead to a Bachelor of Arts, 12 to a Bachelor of Science, four to a Bachelor of Science in Education, one Bachelor of Science in Nursing, and one Bachelor of Social Work. Students may select from 38 academic minors and 41 concentrations. The University, through the Division of Graduate and Continuing Education (DGCE), offers part-time study opportunities, and online bachelor's degree-completion programs.

A new Reach to Teach program, a collaboration between Westfield State University and Springfield Public Schools, is designed to attract middle and high school students of color to the teaching profession and in particular to the high need areas of teacher training in math, science and special education. Another initiative created in collaboration with Springfield Technical Community College is the RSN-to-BSN program that will help fill a demand for BSN positions in the nursing field. The University is also planning a new Master of Science in Physician Assistant (PA) Studies program.

General Education

The common core curriculum areas include the Humanities, Social Sciences, Mathematics/Applied Analytical Reasoning, Science, and Diversity. These, along with the English Composition component of the Humanities core curriculum assures both a substantial and coherent introduction to the broad area of human knowledge as well as competence in written and spoken English. Each area of the core has an associated set of values offering students an opportunity to develop the critical skills needed to deal effectively with a variety of academic disciplines and concepts. Courses must be evaluated and approved

through campus governance according to whether they meet the standards and objectives of the relevant section of the core.

The Major or Concentration

Majors range from 36 to 80 semester hours of credit or approximately one to two-thirds of the student's degree program. The requirements for academic majors, programs of study, course sequencing, and course information are published in the Bulletin. The academic majors are designed to lead students through introductory, intermediate and advanced level coursework. Some majors, including History, Criminal Justice, English, Ethnic and Gender Studies, and Communication, allow for creative sequencing of requirements with attention to the major core areas. Other programs, including Music, Math, Chemistry, Biology, General Science, Business Management and Spanish, require a more standardized sequence of courses and require students to adhere to a fairly rigid sequencing of courses in majors. Still others, including Social Work and Athletic Training, require specific prerequisites before enrolling in major classes. Nursing and Education lay out the student's program of study from first year to senior year, with the only options being the exact order in which some of the courses are taken. Each of these programmatic structures adheres to standards within specific disciplines and is validated by the external review process.

Graduate Degree Programs

The graduate degrees offered at Westfield include the long-standing Master's degrees in English, Counseling, Applied Behavior Analysis, Public Administration, Social Work, Accounting, Criminal Justice; and Master of Education degrees in multiple licensure areas. Since the last NEASC visit Westfield State University has added the Master of Science in Physician Assistant Studies program. The Master of Science in Accountancy has been retitled to the Master of Science in Accounting and the Master of Arts in Psychology has been retitled to the Master of Arts in Counseling. These degree title changes better reflect the intent and content of the curriculum. All teacher licensure programs available to full-time undergraduates are available to students in a post-baccalaureate program as well. Additionally, three non-degree graduate certificates are offered in Homeland Security, Applied Behavior Analysis and Spanish. Graduate Education Council oversees governance of graduate education. Responsibilities include approval of degree requirements and all changes to degree programs and academic policies pertaining to graduate programs. The process requires that all programs have clearly stated requirements and objectives (reflected in the Graduate Catalog), and provide rationale for proposed changes. Additionally, programs and syllabi of new courses are assessed for higher-level knowledge and specialization beyond the undergraduate level. In addition to the contractually required Graduate Education Council, each department with a graduate program has a graduate committee responsible for curriculum review and development and implementation of assessment plans.

The departmental graduate committee customarily consists of faculty teaching in the graduate program. Also, all graduate programs undergo review as part of the institutional cycle. In most cases, programs have been through external review within the past five years. These include the DHE approval process for programs; Physical Education; Education and School Guidance (NCATE); Criminal Justice (DHE PCIPP); Applied Behavior Analysis, Accounting and Social Work (DHE approval process). The Master in Public Administration and Master of

Science in Mental Health Counseling have been through internal review. The program review for the Master of Public Administration recommended significant revisions.

Integrity in the Award of Academic Credit

Westfield State University requires a minimum of 120 credits in the awarding of undergraduate degrees, and 30 credits in the conferring of graduate degrees. In accordance with the BHE/MSCA Agreement, faculty and administration maintain control over all academic matters (policies, procedures, and curricula) including the awarding of credits (in residency and transfer) and the conferral of all degrees regardless of the modality of the program or course instruction (in class, online, and/or hybrid). The University also maintains oversight of all off-campus programs or courses. Credit awards are consistent with those of peer institutions, the Massachusetts Board of Higher Education policies, and Commission on Institutes of Higher Education policy. Transfer credit policies and procedures, including institutions with which Westfield State maintains articulation agreements, are publicly disclosed on the University's website and in its Catalog.

The University defines a credit hour as: An amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two additional hours of student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

Standard 5: Students

Westfield State University recruits and admits students in undergraduate, graduate, and certificate programs through outreach efforts designed to ensure open and equal access to higher education. Admission and retention policies, procedures, and standards are available on the University's website and in hard copy form from the Admissions Office. The University seeks to keep prospective students fully informed of the options available to them in the University through the website, which introduces them not only to academic programs but also the people and programs that will help them succeed.

Admissions

The University follows state-mandated admission standards. Students meeting the minimum standards are considered for admission based on their academic records, standardized admission test scores, and other supporting materials. Additional criteria are applied to those applying to specialized majors such as Music, Art, and Nursing. Graduate programs have additional criteria and have a direct input in the admission process. The majority of students are state residents, in alignment with the University's mission is to provide educational

opportunities to the citizens of the Commonwealth. Students accepted through special admission into the Learning Disabilities Program are exempt from the state standards and are allowed to substitute diagnostic test results and other college preparatory classes for standardized test scores and foreign language classes.

Westfield State evaluates readiness for collegiate study using several methods of evaluation. First-year students are required to complete a writing exam online. Students who exhibit below college level writing skills are placed in an English course with an additional workshop component. Many incoming first-year students take the Accuplacer exam during New Student Orientation, but students with a high school GPA above 2.7 are exempt from the math Accuplacer exam. Students participating in the Learning Disabilities Program are exempted from the exam. This testing assists the Academic Affairs division in identifying students who could benefit from additional support with college level writing and mathematics.

Several programs including Learning Disabilities, Urban Education, Athletics, and International Programs recruit targeted populations and offer academic and support services to students while they are enrolled to ensure comparable academic experience, and opportunity for academic retention and success. As well, the University's Honors Program serves as a retention tool for high achieving students. Admissions processes and information help recruitment and ensure that student qualifications and expectations are compatible with institutional objectives.

Student Services and Co-curricular Activities

Through student services and co-curricular activities, the University provides the services and programs necessary for students to reach their academic, leadership development, and life-long learning goals. The Academic Achievement Department provides a comprehensive array of academic support services through Academic Advising Center, the Banacos Academic Center (which includes Disability Services Program, the Learning Disabilities Program and the Tutoring Center), The Reading and Writing Center, the TRiO program, and the Urban Education Program.

The Division of Student Affairs' mission is to "foster the development of knowledge, skills, and values vital to students' personal, professional, and global success." The division includes Athletics, the Campus Center (housing student activities programming, Fitness Center, Commuter Services, and the Student Government Association and its subsidiary student clubs and organizations), Career Center, Counseling Center, Diversity and Inclusion, Health Services, and the Department of Public Safety. It also includes Residential Life, Dining Services, and Student Conduct office. These resources comprise a broad range of support services, and information on, and orientation to these services is provided both to prospective and current students.

DGCE dedicates a number of resources to the support of non-traditional students, Veterans Services coordinating the needs of these students with the available campus resources described above. For graduate students, utilization of services tends to be primarily through the Reading and Writing Center, although students with documented learning disabilities are provided appropriate support and accommodations.

Westfield State participates in a variety of federal, state, institutional and private financial aid programs. Student financial aid awards are based on financial need with a focus on awarding the students with the most need first. The Admission Office awards a limited number of Paul Tsongas Scholarships and Presidential Merit Scholarships to high achieving students at the point of admission. Information on how to apply for financial aid, descriptions of various aid programs, deadline dates and forms can be found on the Financial Aid webpage. Westfield State is compliant with Title IX and follows all NCAA and institutional regulations regarding financial aid. All student-athletes must meet institutional regulations applicable to the general student body in order to be eligible to receive institutional financial aid.

The University has a Student Records and Privacy Regulations Policy that is consistent with the Family Educational Rights and Privacy Act (FERPA) of 1974 and affords students certain rights with respect to their education records. These regulations apply to “education records” originating from the institution or from educational institutions defined as “records, files, documents, and other materials which...contain information directly related to a student” and “are maintained by an educational agency or institution.” Records are maintained and destroyed consistent with this policy and the State Records Retention Schedule.

All student services departments have an established, continuous, training program for members of their staff which prepares them for each academic year. Members of the DGCE staff members are trained on an individual basis, with a strong focus on the customer service orientation that guides the entire division. The University’s Office of Human Resource provides ongoing training for all University staff. All newly appointed campus police officers are graduates of the special 17-week academy which is conducted by the Massachusetts State Police, followed by nine weeks of field training under the close supervision of a field training officer. Annual in-service refresher training sessions and specialized in-depth trainings on a variety of police-related topics are frequent.

Standard 6: Teaching, Learning, and Scholarship

Faculty and Academic Staff

Since the 2012 self-study, one significant change has been closer compliance with the “15% rule” delineated in the *Agreement*, affecting “day” contract faculty and courses. This rule states that in academic departments of more than five faculty members, “not more than fifteen percent (15%) of an academic department’s total number of three (3)-credit and four (4)-credit courses and sections assigned to the department shall be taught by part-time employees during an academic year.” In February of 2015, the Massachusetts Department of Labor Relations’ (DLR) Commonwealth Employment Relations Board (CERB) affirmed that the BHE must comply with this part of the Agreement. Since then, closer compliance to this rule has resulted in fewer Day Division sections being taught by adjunct faculty members and more taught by full-time members. In departments that rely heavily on adjunct instructors, such as Art, Music, and English, this has been challenging to achieve, but currently most departments are in compliance. Partly as a result of this, and new program development, there has been an

increase of 13 full-time faculty members from 221 in 2012 to 234 in 2016. Expansion in DGCE programs is responsible for a moderate overall increase in part-time instructors.

Another development has helped codify and re-assert the University's place as a residential institution dedicated to quality instruction. In May of 2014, the All University Committee approved revisions the University's Online Education Policy so that no more than 25% of a department's day school offerings may be taught as a total of online and hybrid plus (more than 50% online) courses per year. Additionally, for every required major course offered as an online or hybrid plus section in the day division, there must be an in-person option within the normal course cycle.

A potential change affecting faculty members is a discussion on re-structuring the Division of Academic Affairs into schools and/or colleges according to field areas, for example, Humanities, Social Sciences, Natural Sciences, etc. The objective of this restructuring would be to provide greater support for activities such as assessment, faculty professional development, and other departmental activities. This matter is currently under discussion by the Committee on Academic Planning, who will make a recommendation to the President.

Westfield State continues in compliance with the new Standard 6, with adequate numbers of qualified faculty and staff who through their classroom instruction, departments, programs, and campus governance, ensure the quality of instruction and support for learning. Through internal grants, travel funding, the Faculty Center, and other programs, the University supports faculty work in both teaching, and research and creative activities. Through the campus governance process, as defined by the BHE/MSCA Agreement, faculty members and librarians have primary responsibility for advancing the University's mission through the curriculum and research activities.

The faculty has a 12-credit workload per semester. Typically, the 12-credit load is constructed of four 3-credit courses or, in departments and programs with studio, workshop, or laboratory courses, of three 4-credit courses or the contractually defined equivalent. The faculty employs lecture, experiential, service learning, discussion, field and practicum instructional modalities in their classrooms. While primarily a teaching institution with expectations in line with the mission, the University recognizes that faculty members are teacher-scholars engaged with students. Scholarly and creative endeavors are required in the Agreement and count toward reappointment, promotion, and tenure..

Faculty members lead and participate in the recruitment of their colleagues. In addition to the recruitment and interview procedures described in the Agreement, academic departments also have search procedures providing greater detail. All departments adhere to the University's *Affirmative Action Hiring Procedures* and the Board of Higher Education's *Equal Opportunity, Diversity, and Affirmative Action Plan*. Faculty members are compensated according to minimum salaries set forth by the Agreement, but higher initial salaries within the ranges specified by the Agreement may be negotiated between prospective employees and the vice president for Academic Affairs. Various health, dental, life insurance, long-term care insurance and retirement options are offered.

All faculty members advise students, holding a minimum of 75 office hours per semester. Academic advising at Westfield is comprised of course/schedule planning, career advice,

programmatic planning, and general University life guidance and problem solving. Academic advising takes place primarily through academic departments where faculty advisors are assigned to students by department chairs.

The evaluation process associated with personnel decisions is also clearly defined by the Agreement. Faculty must be reviewed every year by the department chair and the vice president for Academic Affairs prior to tenure. In the second and fourth year, a departmental peer review committee also evaluates faculty members. In the typical pattern, faculty members apply for tenure in their sixth year, and are reviewed by a University-wide tenure committee. Finally, in the seventh year, faculty members apply for promotion to associate professor. Criteria for evaluation include teaching effectiveness, advising effectiveness, professional service, and continuing scholarship. These criteria match the institution's mission.

The institution provides multiple contexts and support for faculty development designed to improve teaching and promote innovation in the form of internal grants, opportunities for research such as sabbaticals and a full semester release from teaching and advising responsibilities through the Semester Time Award for Research and Scholarship (STARS) grants, internal workshops and trainings, Faculty Center programming, and both contractually funded and extra-contractual funding of professional development. Scholarship of Teaching and Learning grants, awarded through the Faculty Center, support faculty in researching their teaching practices and in sharing the results of their studies. The Office of Human Resources also offers a series of workshops open to faculty as well as staff.

Teaching and Learning

Instructional content and methods meet generally accepted academic and professional standards and expectations, as verified through regular periodic review processes, both external and internal. Students are taught by faculty members from multiple disciplines and through a variety of modalities, including in-person, online, hybrid courses and flipped classrooms. Instructional methods vary by discipline. Student Learning outcomes are published on the University's website and course specific requirements are included in course syllabi.

The institution provides many opportunities for faculty development designed to improve teaching and promote innovation in the form of internal grants, opportunities for research including sabbaticals and Semester Time Award for Research and Scholarship (STARS) grants, internal workshops and trainings, Faculty Center programming, and funding for professional development, such as conferences, workshops, and summer institutes. The Faculty Center offers workshops about teaching and learning. In collaboration with the Faculty Center, the Writing Across the Curriculum (WAC) coordinator offers regular workshops designed to help faculty improve students' writing, and is available for weekly consulting hours in the Faculty Center. CIT sponsors regular technology workshops, provides one-on-one consulting with faculty, and leads a "web camp" twice each year to instruct faculty who will teach online courses. The Innovative Pedagogical Initiative grant, offered through Academic Affairs, provides funds to faculty members to attend workshops and seminars designed to support innovation in their teaching. Scholarship of Teaching and Learning grants, awarded through the Faculty Center, support faculty in researching their teaching practices and in sharing the results of their studies.

All faculty members are required to advise students, holding a minimum of 75 office hours per semester. Academic advising at Westfield is comprised of course/schedule planning, career advice, programmatic planning, and general university life guidance and problem solving. Academic advising takes place primarily through academic departments where faculty advisors are assigned to students by department chairs. Departmental faculty advisors work in conjunction with the Honors Program, Learning Disabilities Program, and Academic Advising Center staff to provide specialized guidance to students on academic probation and certain student populations.

Standard 7: Institutional Resources

Human Resources

The University continues to employ sufficient and qualified personnel to fulfill its mission. This demonstrated by recent hiring of two new vice presidents (Vice President for Administration and Finance and Vice President for University Advancement) and an Executive Director of Facilities and Capital Planning. The University offers sufficient compensation and benefits to attract a competitive pool of candidates for open positions, and has in place policies and procedures to develop a diverse faculty and staff. All human resources policies, procedures, and forms are available through the Human Resources department website or through the university's employee portal.

Financial Resources

In April 2014, Westfield State University requested the services of the Office of the Comptroller to conduct a transition review of University financial policies and internal controls to identify any gaps in accountability. The transition review report recommended a dedicated Internal Controls Officer with a direct reporting relationship with the Board of Trustees which was implemented as recommended. This relationship provides direct communication to the Board of Trustees at Westfield State via the Chair of the Audit Committee to ensure transparency and a direct link to the governance structure.

The University continues to preserve and enhance available resources to support its mission as evidenced in the most recent independent auditor's report in the appendices. The University's financial condition has improved since the 2012 Evaluation Team report and has continued this trend in the last year. The University's financial position improved significantly during the fiscal year ended June 30, 2016, with a \$22.6 million or 31% increase in total net position. Expenses incurred during fiscal year 2016 totaled \$114.1 million. Revenues from tuition and fees, state capital support and appropriations, grants, and other sources totaled \$136.7 million resulting in an increase in net position of \$22.6 million. Expenses incurred during fiscal year 2015 totaled \$109.5 million. Revenues from tuition and fees, state capital support and appropriations, grants, and other sources totaled \$123.0 million resulting in an increase in net position of \$13.5 million.

In 2016, the University decided to transition to a self-operated dining program from a contracted service. The goals of this shift were to improve student satisfaction, more directly

integrate healthy food choices and sustainability, and increase the financial contribution for re-investment in strategic programs/needs. All of these goals were achieved, at some level, in the first year of operation coupled with a \$250,000 grant to support the implementation. By all measures, the new dining program has been a success with a goal of continuous improvement.

While the campus has been successful developing realistic annual budgets and analysis which has resulted in a stable financial environment, opportunities exist in developing multi-year enrollment and financial forecasting as well as enhanced capital planning methods. It is anticipated this effort will be more fully integrated into the next campus strategic planning process.

Information, Physical, and Technical Resources

There have been several significant improvements in infrastructure on campus since the 2012 self-study. The Science building has been completed, along with backfill renovations to Wilson Hall. The new Science and Innovation Center Building provides additional classrooms and laboratories in support of the University's natural and physical science programs as well as health science programs. Wilson Hall renovations have also helped to alleviate pressure on classrooms and faculty and staff office space. In addition, the University has taken possession of the old Juniper Park Elementary School. With the assistance of a key alumni donation, the school is being renovated as the Dower Center for Performing and Fine Arts. This will provide much needed recital, performance, and studio space for these programs. The university has also continued renovations to various residence hall space (e.g., Davis Hall). All renovations follow proper state or federal building codes and requirements regarding safety, security and access as documented in the design, permitting and inspection process.

Deferred maintenance is still a significant and complex issue at Westfield State as documented by the 2016 Sightlines study. With the various state agencies and quasi-agency oversight and with limited state funding, significant progress is challenging. Nonetheless, the campus will be developing a multi-year capital plan and will focus on renovating existing structures vs new buildings to maximize the return on investment and to reduce deferred maintenance.

Since the 2012 Self-Study, significant upgrades in bandwidth and wireless access saturation have helped mitigate connectivity issues. Bandwidth capacity has increased by 357% through the upgrade of key infrastructure components and a physical increase of capacity from 350Mbps to 1,600Mbps. The University moved student email accounts to a cloud-based Microsoft platform and significantly upgraded its internal faculty, staff, and student portal, MyWestfield. Following the completion of library renovations in 2012-2013, the library has seen a 32% increase in foot traffic and increased usage of electronic resources. Information literacy student learning outcomes have been defined and are being measured through sessions co-taught by librarians and instructional faculty members in the English Composition courses. This data is then used for improvement of the information literacy program. More resources are being directed toward STEM fields to accommodate additional program growth in those areas and fill in gaps in access for the natural sciences. New policies on computer lifecycle allocation, use of email, and information security have provided for a more secure and consistently funded information technology environment.

Standard 8: Educational Effectiveness

This area is addressed in the Reflective Essay section below, as per the NEASC Five-year Interim Report guidelines.

Standard 9: Integrity, Transparency, and Public Disclosure

Integrity

Since the Evaluation Team's visit in 2012, Westfield State University has undergone significant and sometimes challenging changes in areas related to integrity, transparency, and public disclosure. In August of 2013, an audit found irregularities in the expenditures of then-President Evan Dobbelle. Dobbelle left office, and Interim President Elizabeth Preston's oversaw a period of stability, healing, and review of policies. The events of 2013 threatened the reputation of the institution and its perceived ability to manage public funds and student tuition dollars. By welcoming and participating openly with the Inspector General's and Attorney General's investigations, and through the University's requested review of its financial policies and internal controls through the Massachusetts State Office of the Comptroller, the University was able to both restore public trust and improve processes to ensure integrity and transparency in its operations. In addition to the creation of a dedicated Internal Controls Officer position that reports directly to the Board of Trustees, the University made numerous policy and procedure updates and changes to ensure proper controls. Specifically, travel policies, financial accountability, and risk management processes have been instituted. Through this difficult time, the University's reputation for providing an affordable, high-quality education remained intact, as evidenced by these ratings and awards:

- Best Universities - North, 2012-2017, US News and World Report
- Best Online Degree Programs, 2014-2015, US News and World Report
- One of the highest six-year graduation rates among the Massachusetts universities
- One of the largest producers of new teachers among the Massachusetts state universities
- Winner of 12 MASCAC athletics conference Smith Cup championships
- Ranked among the top 15 percent of military friendly schools by GI Jobs magazine, 2012.
- Designated as a "Top Military Friendly College" by Advanced Military Education Magazine
- Designated as a military friendly school by Victory Media
- Named 12th in the country on the "Best Colleges for Elementary Education" by Teacher.org

Perhaps more importantly, applications and admissions did not suffer significantly through this period. While the 2014 cohort was 5% lower than the previous year, the 2015 cohort was the largest in Westfield State's history.

University's Academic Honesty Policy clearly asserts that academic honesty is a core value of the institution, and is required of all members of the University community. It defines all aspects of academic honesty, sets forth procedures for ensuring academic integrity, and draws

the clear connection between academic honesty and academic freedom. The policy is published on the University's web site and in the Undergraduate and Graduate Catalogs.

Transparency

The University has also made improvements in transparency. There is improved accessibility of institutional assessment data through its Office of Assessment and Institutional Research, providing prospective students and the public with information on graduation rates, retention rates, admissions, class size data, and licensing exam success rates. The office also produces the University Fact Book and is in the process of piloting a public face to the currently under-development Student Success Dashboard.

As a State institution, the University and its employees are subject to public records law, and all documents received by any employee in their capacity as a public official are considered public unless specifically exempt. Beyond this, the University pro-actively publishes information about its operations, including the annual audit report. All Board of Trustees meetings are open to the public, and agendas and minutes are published on the University's website. University financial transactions, including employee salaries are available through the Open Checkbook website, sponsored by the State of Massachusetts Executive Office for Administration & Finance, the Office of the Treasurer, and the Office of the Comptroller.

Public Disclosure

In 2014, the University completely revised its website, with accessibility and usability specifically in mind. It provides access to a wide variety of information about the University, including academics, student life, costs and financial aid, support services, directories, and the University's operations. The University publishes its Online Undergraduate Catalog/Student Handbook and Graduate Catalog on its public-facing website. This searchable and highly navigable catalog provides information on admissions, costs, financial aid, policies, degree requirements, programs of study, course descriptions, and academic support services. While the website provides a wide spectrum of information, the Catalog is considered the repository of official information for students. Many parts of the website "port" information directly from the catalog to ensure consistency of the most important information, such as program requirements. Policies for grievance procedures, appeals, and other student complaints are included in the Student Handbook and in the Academic Policies section of the Catalog.

For those new to the University, The University View Book, the "About Westfield" web page, the undergraduate prospective student website, and the Visitors Guide clearly describe the institutional size and characteristics, academic and support services, co-curricular and non-academic opportunities and other resources that benefit students. Periodic review ensures the accuracy of University-generated public information. Content is typically coordinated at the director level with sign-off at the vice president level to assure clarity and accuracy. Information is also made available in print to visitors and others at the University's Admissions Office. Among the biannually produced recruitment materials is a Financial Aid Brochure, designed specifically for full-time undergraduate day students, which details cost of attendance, types of financial assistance available, filing processes, and a question and answer section that addresses commonly asked financial aid-related questions. The brochure is distributed at all admission recruitment events and available to current students. The

The University strives to maintain a culture and practice of respect, integrity, safety, and the open expression of ideas. These values are manifested in University policies, collective bargaining agreements, and the work of many offices in providing training and support activities, such as Safe Zone training, professional development workshops, anti-fraud workshops, procedural training sessions, micro-aggression awareness, post-election discussions, and other activities that promote and support our values.

V. Reflective Essay on Educational Effectiveness

What Students Gain as a Result of their Education

Through the Westfield State Experience, the University is developing a comprehensive approach to ensuring student success and the effectiveness of the institution. The initiative will engage students in the life of the university and in the trajectory of their own education. The core measures of effectiveness of the Westfield State Experience are retention rates (supported by high-impact practices that engage students with their program of studies and co-curricular activities), graduation rates (through focused application of academic support resources and program improvement), and bridging the achievement gap (through targeted support for traditionally underserved populations and outreach to their communities). Other important measures include licensure examination pass rates, as well as indicators of success after graduation in the work world or in graduate education.

The first year of the program focuses on the transition to college through first-year-only (FYO) courses and learning communities; the second year on exploring pathways and creating an individualized plan for success; the third year on high impact practices such as undergraduate research, internships, and civic engagement; and finally the transition to the workforce or graduate school. In implementing this framework, the University is refocusing its efforts on one of the strongest values shared across the campus: a commitment to student success.

Employment and admission to graduate education are among the more common goals of our students, and an important factor in understanding what students gain from their experience at Westfield State University. Eighty-five percent of the class of 2013, as reported in 2015, were either employed or in graduate school, while 4.2 percent were seeking employment. (Class of 2013 Alumni Survey Report, <http://www.westfield.ma.edu/academics/career-center/post-graduate-reports>).

These data are gathered by alumni surveys, which also seek to determine what preparation alumni believe has worked well, and what preparation might have improved their prospects. Westfield State has one of the lowest student loan default rates among its peers: 3.9 percent in 2013. (National Student Loan data system, https://www.nslds.ed.gov/nslds/nslds_SA/).

There is evidence to show that Westfield State University's emphasis on a strong liberal arts education contributes to graduates' success in the workplace. In its 2016 survey, the National Association of Colleges and Employers (NACE), more than 80 percent of responding employers said they look for evidence of leadership skills on the candidate's resume, and nearly as many seek out indications that the candidate is able to work in a team. Employers also cited written communication skills, problem-solving skills, verbal communication skills, and a strong work ethic as important candidate attributes. (Alumni Surveys: <http://www.naceweb.org/surveys/index.aspx>)

The University's external website is designed specifically to inform students, prospective students, and their families about what they can expect to gain from the University: from the curriculum, co-curricular activities, and what benefits they can expect by completing their education at Westfield State. The University publishes retention rates, graduation rates, licensure rates, and income-based graduation rates so students and their families have a realistic view of the institution's ability to meet its goals.

Assessment of Student Learning

Westfield State University remains committed to ensuring its educational effectiveness through the assessment of student learning outcomes. All undergraduate departments have identified student learning outcomes for their programs, and have either developed or are in the process of developing means of assessing outcomes and applying resultant data to program improvement.

Data collection, analysis, and improving the effectiveness of programs is the key to the successful realization of the Westfield State Experience. In this capacity, the Westfield State Experience provides a framework for defining, measuring, analyzing, and acting on student learning data. Since the CIHE site visit in 2012, the University has taken substantive steps to improve data collection, analysis, and presentation, as well as the use of data in decision-making, by allocating additional human and operational resources for these activities. The FTE staff associated with the Institutional Research and Assessment office has doubled since 2012. In 2013 a full-time research analyst was hired and the half-time administrative assistant position previously assigned to the office was converted to a full-time position. The addition of these staff members has allowed the office to expand its capacity to meet university assessment needs.

As the University's continues to develop its culture of data-based assessment, more data is becoming available for evaluation and planning purposes. As high-impact experiences such as internships, undergraduate research, and civic engagement become more central to retention efforts, data on these experiences and their impact will be used to shape further development of these programs.

Program-level measures of student learning outcomes form the basis of program improvement efforts. The University publishes student learning outcomes for each program on the Office of Assessment and Institutional Research website, and the criteria and processes for achieving those outcomes are articulated by each department. Degree requirements and other expectations are made clear through the University's website, catalog, and through advising. . The University continues to make steady progress toward use of student learning outcomes data for program improvement, as shown in the E-Series form (see Appendix).

A critical use of student assessment data is for program improvement. The University continues its periodic review of programs through a seven-year cycle for degree programs and now engages in a six-year cycle for Core Curriculum areas. Many programs are also reviewed by external accreditation agencies. Faculty members are deeply involved in these assessment activities. As of November 2016, the Dean of Graduate and Continuing Education has

worked to identify components of a focused assessment and evaluation protocol (to be completed every five years). These protocols include examination of achievement of student learning outcomes, external review, and a structured feedback process for program improvement. In September of 2016 the newly-appointed Dean of Undergraduate Studies was given the responsibility of stewardship of assessment of student learning outcomes for program improvement in both degree programs and in the Common Core Curriculum.

The Institution acknowledges that collecting and applying student learning outcomes data toward program improvement remains in a somewhat developmental state for a few programs (see E-Series appendix), although programs and departments that have thoroughly integrated on outcomes-based assessment process are leading the way toward a comprehensive and fully integrated system. All save one of the teacher education programs have been nationally recognized by their respective professional organization under the umbrella of NCATE/CAEP accreditation, with national recognition based solely on outcomes-based evidence aligned to national standards. Other programs at the undergraduate level have made significant strides in identifying the measures used to determine whether students have met program-identified outcomes. The History Department, for example, relies on a major research paper that is a capstone project for the major, and is assessed twice during the program by a four-person assessment committee. The B.S. in Mathematics and B.S. in Science programs have developed a portfolio-based assessment aligned to outcomes, while other programs (e.g. Criminal Justice) have implemented a “pre- and post” comprehensive exam administered to students at entry and exit. Professional programs such as nursing and teacher education rely on licensure or professional exams, as well as internship observations. At the graduate level, all programs rely on the Comprehensive Exam as a traditional measure of student learning outcomes, while others (e.g. Mental Health Counseling) require a portfolio.

Measures of Student Success, including Retention and Graduation

The Westfield State Experience views student success as all-encompassing and multifaceted, requiring a broad set of measures of student achievement. Only when viewed as a whole can the institution understand how and to what extent students have achieved the goals that they, the University, and society have set for them. Two measures have traditionally formed the core of student success: retention rate and graduation rate. “Retention rate” is generally understood to mean the proportion of the starting cohort of students that is still enrolled in the following fall term. Graduation rate is the proportion of the cohort that receives a degree from the institution. It is generally measured at four, five, six, and eight years. The six-year graduation rate is the most commonly used and “graduation rate” used without any qualifier often refers to the six-year graduation rate. As an early measure of student success, the retention rate is influenced by the degree to which admitted students are prepared for work at the institution, whether their needs match the opportunities provided by the University, and whether they are receiving sufficient support and guidance to succeed. While critically important for understanding student success, more nuanced indicators are needed to determine whether and how the University is meeting the needs of all students, not only within the institution, but beyond, as students take up employment or pursue graduate education.

Graduation Rate

Westfield State University has the highest graduation rate among its peer Massachusetts State Universities.

State University—Six-Year Graduation Rates for First-time Full-time Baccalaureate Degree-seeking Freshmen Cohort, excluding the Massachusetts College of Art and Design and the Massachusetts Maritime Academy. (source IPEDS):

Institution	Rate Type	Cohort	Cohort	Cohort	Cohort	Cohort	Cohort
		2004	2005	2006	2007	2008	3 Year Rolling Average
Bridgewater State University	Grad Rate	53.20%	51.70%	54.40%	57.50%	59.20%	57.10%
	Peer Rate	53.70%	53.40%	54.60%	53.90%	54.60%	54.40%
Fitchburg State University	Grad Rate	51.80%	47.20%	50.80%	50.30%	56.70%	52.70%
	Peer Rate	41.60%	42.10%	40.00%	42.30%	42.70%	41.70%
Framingham State University	Grad Rate	51.10%	51.70%	51.50%	50.60%	51.40%	51.20%
	Peer Rate	41.80%	44.00%	42.70%	42.70%	44.00%	43.10%
Massachusetts College of Liberal Arts	Grad Rate	51.30%	53.10%	46.80%	56.60%	51.70%	51.90%
	Peer Rate	55.70%	55.90%	54.60%	54.50%	57.30%	55.50%
Salem State University	Grad Rate	42.30%	41.70%	45.40%	45.60%	46.00%	45.70%
	Peer Rate	44.00%	43.40%	43.30%	44.20%	45.40%	44.30%
Westfield State University	Grad Rate	60.50%	58.30%	59.80%	58.50%	62.70%	60.40%
	Peer Rate	43.60%	42.80%	43.10%	45.80%	48.10%	45.60%
Worcester State University	Grad Rate	45.10%	46.90%	51.00%	48.80%	53.10%	51.00%
	Peer Rate	39.80%	38.70%	39.50%	41.90%	40.80%	40.80%
State Universities (excludes MCAD and MMA)	Grad Rate	50.80%	50.10%	52.20%	52.90%	55.20%	53.40%

Source: Massachusetts Department of Higher Education

The University's graduation rate is consistent, and can be attributed to multiple factors. Westfield State University is the most highly residential State University in Massachusetts. This contributes to a strong sense of community, connection and engagement. Engagement is one of the leading factors identified in contributing to student retention and graduation.

This sense of community is also a function of close faculty support of students through instruction and advising. A strong student-centered culture has been identified in campus surveys as one of the University's strengths, and this plays a key role in the University's success in this area. The University also provides a robust array of student support services to

provide academic support, opportunities for engagement, and opportunities for self-improvement. These include:

- Academic Advising Center (AAC)
- TRiO Student Support Services
- Banacos Academic Center including Disabilities Services, Learning Disabilities Program and the Tutoring Program
- Urban Education Program
- Reading and Writing Center
- Supplemental Instruction
- The Washington Center Internship Program
- State University Internship Incentive Program
- Technology Support
- Counseling Center
- Career Center
- Commuter Services
- Department of Inclusion / Diversity
- Financial Aid Office
- Fitness Center
- Department of Health Services
- Interfaith Center
- International Programs
- Library services
- Transfer Transitions Office
- Orientation programs for first-year and transfer students
- Student Activities
- Veteran Services

The University can focus the efforts of these services where they are needed the most through analysis of student success data, specifically data that helps identify where students face challenges. This is a critical role for student success data in achieving the greatest operational efficiency by offices that support student success.

Retention Rate

The University's retention rate is consistently above those of its peers (in terms of both NCES similar size and Carnegie classification and peer Massachusetts State Universities).

State University—First-Year Retention Rate (Fall to Fall) New First-Time, Full-time Degree-Seeking Students, excluding the Massachusetts College of Art and Design and the Massachusetts Maritime Academy. (Source: Massachusetts Department of Higher Education)

Institution	Number and Percentages	Cohort	Cohort	Cohort	Cohort	Cohort
		2010	2011	2012	2013	2014
Bridgewater State University	Full-time First-Time Degree-Seeking Students	1,431	1,450	1,425	1,451	1,506
	# Returning to Same Institution	1,157	1,169	1,160	1,180	1,192
	% Returning to Same Institution	80.90%	80.60%	81.40%	81.30%	79.20%
	Peer Retention Rate	77%	74.20%	76.30%	76.20%	*NA
Fitchburg State University	Full-time First-Time Degree-Seeking Students	721	689	739	790	720
	# Returning to Same Institution	525	511	580	613	540
	% Returning to Same Institution	72.80%	74.20%	78.50%	77.60%	75%
	Peer Retention Rate	68.30%	70%	72.50%	72.70%	*NA
Framingham State University	Full-time First-Time Degree-Seeking Students	720	920	821	804	806
	# Returning to Same Institution	536	682	600	599	595
	% Returning to Same Institution	74.40%	74.10%	73.10%	74.50%	73.80%
	Peer Retention Rate	72.70%	72%	73.10%	76.20%	*NA
Massachusetts College of Liberal Arts	Full-time First-Time Degree-Seeking Students	351	306	308	271	351
	# Returning to Same Institution	250	228	242	212	261
	% Returning to Same Institution	71.20%	74.50%	78.60%	78.20%	74.40%
	Peer Retention Rate	78.10%	78.60%	78.80%	78.60%	*NA
Salem State University	Full-time First-Time Degree-Seeking Students	986	989	1,086	1,074	1,127
	# Returning to Same Institution	723	730	848	871	900
	% Returning to Same Institution	73.30%	73.80%	78.10%	81.10%	79.90%
	Peer Retention Rate	76.20%	74.40%	75.70%	77.10%	*NA
Westfield State University	Full-time First-Time Degree-Seeking Students	1,135	1,132	994	1,285	1,220
	# Returning to Same Institution	901	904	785	985	954
	% Returning to Same Institution	79.40%	79.90%	79%	76.70%	78.20%
	Peer Retention Rate	71.20%	71.90%	74.30%	76%	*NA
Worcester State University	Full-time First-Time Degree-Seeking Students	809	790	781	775	785
	# Returning to Same Institution	644	617	627	633	606
	% Returning to Same Institution	79.60%	78.10%	80.30%	81.70%	77.20%
	Peer Retention Rate	73.10%	74%	75.50%	76.60%	*NA
State Universities (excluding MCAD and MMA)	Full-time First-Time Degree-Seeking Students	6,153	6,276	6,154	6,450	6,515
	# Returning to Same Institution	4,736	4,841	4,842	5,093	5,048
	% Returning to Same Institution	77.00%	77.10%	78.70%	79.00%	77.50%

While first-year retention can also be attributed to the University's strong sense of community, the institution also engages in an intentional focus on the first-year experience. While no statistical "bump" appears as the result of first-year experience initiatives, these are certainly reinforcing the campus' strengths in this area. Again, all of the support services listed above play a role in first-year retention. First-to-second year retention rates of graduate student cohorts vary in the 82% to 86% range. Course completion rates for students in online courses ranges from 81% to 88%.

Transfer students present special challenges in measuring retention and graduation rates since they enter at different points and are expected to exit at different points. Their success is comparable with other students. Of the 302 students entering as transfer students in fall 2013, 79% re-enrolled or had graduated one year later. This persistence rate is equivalent to the one-year retention rate of first time students. By spring 2016, 64% of the 2013 transfer students had graduated, again roughly equivalent to the six-year graduation rates of recent first year cohorts.

Income-based graduation rates and achievement gap data show whether the University is serving all its student equitably. Westfield State University has a long tradition of gender and race inclusion, being one of the first coeducational and integrated institutions of higher learning in the country. Horace Mann, the University's founder and education reformer said, "Education, then, beyond all other divides of human origin, is a great equalizer of conditions of men—the balance wheel of the social machinery." The concept of education as a force to empower the disenfranchised is a core value not only to Westfield State, but to the tradition of public higher education. Reducing the achievement gap is an important cornerstone of retention efforts. The University also measures graduation rates, as defined above, for those students who have received Pell grants, which are awarded based on financial need. This provides the University with information on how well low-income students are being served and supported.

The University has only recently begun to consider achievement gap data as central to its measures of institutional success. "Achievement gap" refers to the observed, persistent disparity of educational measures between the performance of groups of students, especially groups defined by socioeconomic status, race/ethnicity and gender. Achievement gaps occur when one group of students (such as, students grouped by race/ethnicity, gender) outperforms another group and the difference in average scores for the two groups is statistically significant. The data shows that Westfield State has achievement gaps between white and black students as well as white and Hispanic students both in terms of retention and graduation. Addressing these gaps is a key component of the University's retention strategy. At the core of achieving student success is teaching and learning. This is where learning happens, and everything else the University does extends from this moment. Every academic program at Westfield State defines and measures student learning outcomes, and most use this information for program improvement. Student Learning Outcomes are goals for student achievement in specific disciplinary proficiencies. This data provides information on where students are succeeding and where they are not, and can help faculty members adjust the curriculum and programs to provide students with more opportunities for success. It can also indicate whether students are adequately prepared for work at each level of their program.

Pell Grant graduation rate, and Pell Grant Gap

The data shows that non-white students and Pell Grant recipients graduate at lower rates.

Other Undergraduate Graduation Rates	2009	2010	2011	2012
Six year graduation rate for non-white students	48%	48%	54%	63%
Six year graduation rate for white students	60%	64%	65%	67%
Six year graduation rate for Pell recipients	54%	54%	57%	62%

Graduation rates for Pell Grant recipients show a slight overall improvement over the last six cohorts.

	Fall 2005 Cohort	Fall 2006 Cohort	Fall 2007 Cohort	Fall 2008 Cohort	Fall 2009 Cohort	Fall 2010 Cohort
Percentage of all students who received a Federal Pell Grant:	17%	16%	21%	19%	25%	29%
Six-year graduation rate for previous fall term cohort:	58%	56%	54%	54%	58%	61%

(Cohort of full-time first-time bachelor's (or equivalent) degree-seeking undergraduate students who entered in the previous fall. Include in the cohort those who entered the institution during the summer term preceding the previous fall term).

Achievement Gap

The University has only recently begun to consider achievement gap data as one of its core measures of institutional success. The data shows that Westfield State has achievement gaps between white and black students as well as white and Hispanic students both in terms of retention and graduation. Addressing these gaps is a key component of the University’s retention strategy.

The black/white student achievement gap is substantial. The data shows that a clear challenge exists. The small size of the sample makes understanding year-to-year trends more difficult.

	4 year grad rate	5 year grad rate	6 year grad rate	Black Student head count
2007	-15.90%	-20.40%	-18.90%	35
2008	-21.70%	-20.40%	-21.70%	52
2009	-20.10%	-8.50%	-4.90%	40
2010	-19.50%	-9.10%	-11.50%	29
2011	-27.80%	-24.10%		55
2012	-24.50%			35

The Latino/white student achievement gap is also significant.

	4 year grad rate	5 year grad rate	6 year grad rate	Latino student head count
2007	-12.00%	-7.3	-9	39
2008	-19.10%	-17.00%	-12.6	35
2009	-17.40%	-17.40%	-14.9	52
2010	-18.10%	-12.80%	-8.9	65
2011	-18.90%	-11.50%		60
2012	-9.50%			73

Both sets of data show that black and Latino students graduate at lower rates and take longer to graduate than white students.

Licensure exam pass rates

Licensure examination pass rates provide an external perspective on the level of preparation of our students in specific professional fields.

Athletic Training (Tests are administered by the National Athletic Trainers Association and the Athletic Training Board of Certification)

First Time Pass Rate: 64%

Current Pass Rate: 100%

Education (Tests are administered by the Massachusetts Department of Elementary and Secondary Education: Massachusetts Tests for Education Licensure - MTEL)

Pass Rate for 2013 - 2014: 99%

Nursing (Tests are administered by the National Council of State Boards of Nursing - NCSBN)

First Time Pass Rate: 81%

Current Pass Rate: 90%

Social Work (Tests are administered by the Association of Social Work Boards)

Pass Rate for 2013: Bachelors: 86%, Masters: 81%

Satisfactory Levels of Student Achievement on Mission-Appropriate Outcomes

Westfield State University is committed to measuring student success and using analysis of those metrics for improvement of institutional effectiveness, as guided by its mission, values, and vision. The Westfield State Experience views student success as a multifaceted concept that creates a comprehensive and empowering whole for each individual student. Success includes retention and graduation, bridging the achievement gap, as well as readiness for graduate education or professional employment. It requires understanding the degree to which students achieve learning outcomes, and how successful they are in achieving professional licensure in fields that require it. Student success also means ensuring that each student is respected, and helping each student understand that they have the power to learn whatever they set their minds to.

The University's mission presents student success as a multi-faceted concept that matches the comprehensive goals of the institution. The University's mission includes "Westfield State develops the knowledge, skills, and character essential for students to reach their full potential and become responsible leaders in society." The Vision Statement takes this further: "The University will graduate well-rounded and creative leaders able to embrace the challenges and opportunities ahead, contribute to their fields, and improve their communities."

Important core measures of institutional effectiveness include graduation and retention rates. The current six-year graduation rate for the Fall 2009 cohort is 62.7%. This is a slight increase from the 2008 cohort's 62.6% and a further increase from the fall 2007 cohort rate of 58.5%. These rates are significantly higher than the peer graduation rate of 45.6% (rolling three-year average). The current first-year retention rate for the Fall 2014 cohort is 78.5%. This is an increase from the 2013 cohort retention rate of 76.8% but a drop from the 2012 rate of 79%. These rates are similar to northeast states and national retention rates. Understanding the achievement gap is essential to reducing it, and the new Student Success Dashboard is already yielding data that will help faculty and administrators understand at what points students face their greatest challenges and require targeted support.

Program-level measures of student learning outcomes form the basis of program improvement efforts. The University publishes student learning outcomes for each program, and the criteria and processes for achieving those outcomes is articulated by each department. Degree requirements and other expectations are made clear through the University's website, catalog, and through advising through professional advisors and, for upper-level students, by faculty members within their major department. As noted in the Area of Special Emphasis section above on assessment of student learning outcomes, the University continues to make steady progress toward use of student learning outcomes data for program improvement, as shown in the E-Series forms. The University continually works to foster and promote a culture of assessment throughout the institution through the work of the Faculty Liaison for Assessment, the Special Committee on Core Assessment, the Curriculum Committee, and participation in programs such as the Multistate Collaborative to Advance Learning Outcomes Assessment.

Among the aggregate data that shows trends for the entire student body are the stories of smaller cohorts and individual students, whose success is no less important than that of the whole, requiring a nuanced and granular look at the data. According to the Mission Statement, the University is "grounded in our founding principles of academic excellence and educating all in a diverse and welcoming community." Westfield State was the first public teacher education institution in the country to admit students regardless of race or sex. The University values education's potential to reduce inequity and increase empowerment and opportunity for those who have been traditionally underserved. For these reasons, the University collects data on the gap in achievement between majority and minority students, and between students with demonstrated financial need and other students.

Other measures speak to the success that students may achieve beyond the University. An important milestone for those pursuing professional fields is achievement on licensure examinations. The University measures licensure pass rates for Athletic Training (National Athletic Trainers Association and the Athletic Training Board of Certification), Education (Massachusetts Department of Elementary and Secondary Education: Massachusetts Tests for Education Licensure - MTEL), Nursing (National Council of State Boards of Nursing - NCSBN), and Social Work (Association of Social Work Boards). Alumni surveys provide information on rates of employment and enrollment in graduate programs for graduates. The Westfield State Experience

Key to the Institution's mission is to "contribute to the economic, social, and cultural vitality of the region." Western Massachusetts, particularly Hampden County, has some of the lowest college-going rates in the state. In an attempt to improve student success, retention, access and graduation rates, the University is deeply engaged in developing new projects in early college programming with area school districts, Westfield Public Schools, Holyoke Public Schools and Springfield Public Schools, and bachelor-completion degree programs with four of our partner community colleges, Berkshire Community College, Holyoke Community College, Springfield Community College and Greenfield Community College.

Westfield State University began developing an early college high school model, with Westfield Technical Academy in December 2015, and added two additional districts, Springfield Public Schools District and Holyoke Public School District in July 2016 under the leadership of President Torrecilha, who has branded the initiative, The Westfield Promise. The initiative is based upon a successful financially sustainable ECHS model with Northern Essex Community College and Amesbury High School and its development has been further informed by literature, research and best practices in the field of early college programming. The intent of the Westfield Promise is to inspire college-going aspirations among students underrepresented in higher education by providing them with an affordable pathway to a four year college degree in a supportive environment, equip them with the skills they need to be successful in college-level courses, and ultimately, produce successful college graduates. The Westfield Promise will target students who experience disproportionate high school and college dropout rates: at-risk and low-income students, first generation college students, and students of color. This program will further target capable students within this demographic target who are not participating in AP courses and who may be unsure about going to college. The goal is for students to attain at least 24 transferable credits, exempting them from taking the SAT for admission into WSU; and up to 36 college credits, allowing students to qualify for the Mass Transfer Block, shortening a four-year degree by one full year, promoting a timely and affordable pathway to college completion. Successful Westfield Promise students will be offered preferred admission into an undergraduate program at Westfield State University upon high school graduation

Beginning in Spring 2016, the University began working with Springfield Technical Community College to offer hybrid a RN-to-BSN with limited face-to-face meetings at STCC. This program will enroll its first cohort in spring 2017. The University is now growing more aware of the need of greater flexibility with our community college partners and is now engaged with its other three partner community colleges to develop RN-to-BSN completion programs and additional bachelor-completion degrees some of which may be offered remotely or partially at the community college. This work requires additional transfer articulations and close coordination with our community college partners. These programs are designed to promote accessibility and ease the transition of community college students to a four-year campus.

Appraisal and Projection

Westfield State University is committed to ensuring it is meeting its mission by collecting, analyzing, and acting upon measures of student success to improve programs and focus institutional resources. Student success is at the core of our mission, and is the center and goal

of all our activities and initiatives. Measures of student success range from the achievement of specific learning outcomes by individual students to broad, institution-wide indicators such as retention and graduation rates. Measures of student success are critical for the survival of the institution and its ability to serve the people of the Commonwealth. In its 2014 Vision Project Report, Degrees of Urgency, the Massachusetts Board of Higher Education writes

A “perfect storm” of factors— our economy’s need for more college graduates, projected declines in the number of high school graduates, and the cumulative impact of historic underfunding of public higher education—threatens our ability to attract and retain knowledge-based industries that drive economic prosperity.

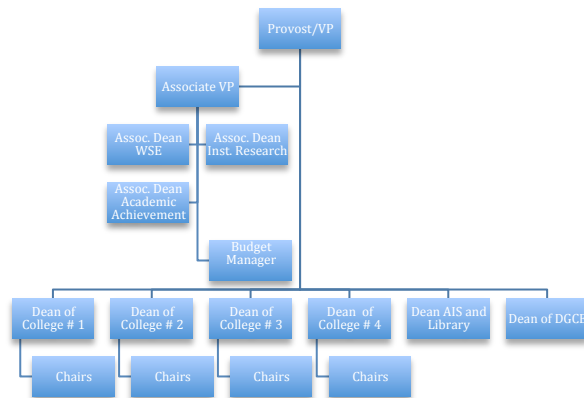
In one clear example of the challenge, the current ratio of Massachusetts health care job openings to recent graduates holding related associate’s and bachelor’s degrees is 5:1. The projected drop in Massachusetts high school students graduating annually between 2009 and 2020 is 9%. With the declining numbers of high school graduates combined with an increasing need for skilled college graduates, the University is focusing strongly on retention and closing the achievement gap. The University is focused on making the most of available resources. While still pursuing active recruitment of students, particularly from underserved populations, retention is an essential strategy. Once the University, the student, and their family has invested in matriculating into the University, retaining and graduating that student while adhering to high academic standards is the most efficient means to fulfilling our mission. Through the Westfield State Experience program, the University is building access to data to faculty, department chairs, and administrators to identify trouble spots and target resources to help students where that help is needed most to provide students with a more formative experience that prepares them for employment, graduate school, and as good citizens of their communities.

Westfield State University is making steady progress in developing a comprehensive culture of assessment, and needs to continue this work by working closely with academic departments and placing such efforts in the larger context of student success and institutional effectiveness. The University stands on a solid foundation of strong overall graduation and retention rates. With a new focus on data collection for program improvement, it is equipped and ready to address the achievement gap. Moving forward, the Westfield State Experience will provide a framework for data collection and continual program improvement. Program-based student learning outcomes data are already enabling faculty members, department chairs and administrators to identify specific challenges in each program and make targeted improvements. The position description for the new Provost position, currently in recruitment, explicitly prioritizes assessment and program improvement. Both program-based and institutional data on graduation rates, retention rates, and the achievement gap, are forming the foundation of a comprehensive approach to institutional assessment and effectiveness.

VI. Institutional Plans

Westfield State University recently redefined and consolidated its planning structure into three University Advisory Committees and the Agreement-mandated All-University Committee. The All-University Committee works primarily on curriculum and academic policies. The other three committees include the Advisory Committee on Academic Planning, the Advisory Committee on University Budget and Planning, and the Advisory Committee on University Facilities Planning. These committees are currently involved with short-to-medium term planning and will become involved in strategic planning in the next strategic planning cycle. The charge of each of these three committees clarifies their relationship to each other and their advisory role to the President. The President provides vision and leadership to the planning process and has already articulated a direction for the institution through the Westfield State Experience. The University is still guided by its 2012-2017 strategic plan. President Torrecilha has worked with the Massachusetts Board of Higher Education to delay the University's strategic planning cycle by one year to align it with that of the Department of Higher Education. This planning cycle will bring these four committees together for the coming strategic planning process.

The Advisory Committee on Academic Planning is currently focusing its work on a proposed restructuring of the Division of Academic Affairs. Currently the Academic Affairs has a flat, unified structure with all academic department chairs reporting directly to the Vice President for Academic Affairs. This structure has the responsibilities of academic administrators too diluted and spread too thin across all the academic and academic support units. Academic leadership is consumed with day-to-day management and leaving insufficient time for leadership functions such as policy and planning work. An enhanced version of the current model is being considered, which adds planning and administrative personnel to the existing structure. The committee is also considering a model based on schools and colleges, where academic departments would be gathered into larger schools and/or colleges. The committee has gathered information, including examples from other institutions, department size and workload, and solicited input from many campus constituencies through discussions with each academic and academic support department, and through open forums to listen to the concerns and suggestions of the campus community. Deans and Associate Deans were also interviewed and their time/workload analyzed. The committee has considered as a base for further discussion the following sample model. This would gather departments into schools and/or colleges:



This would mean a significant change for the academic life of the campus, gathering cognate departments into schools and colleges under a dean. Deans of colleges would have responsibility for the budget, program, and personnel of their respective unit, and would report directly to the Provost/Vice President. These deans, along with the Provost and Associate Vice President for Academic Affairs, and the Deans of the Department of Graduate and Continuing Education, could devote an appropriate amount of time to leadership functions such as policy formulation and strategic planning. Throughout this process, discussion is informed by the establishment of the Westfield State Experience and supporting programs. Already an interim Associate Dean of the Westfield State Experience has been appointed.

The Advisory Committee on University Budget and Planning has reviewed past budgeting practices and is in the process of assessing the budget models for the next fiscal year. In the previous fiscal year, the University engaged in zero-based budgeting. While this process was useful for individual units to examine their operations and reconsider operational priorities, flat-funding was ultimately applied, and all the benefits of a zero-based approach were not realized. Another ongoing challenge is to fund the current and backfill facilities renovations occurring on campus. In proposing budget models for the next fiscal year, the committee is considering the overall financial health of the institution, specifically its revenue sources and ways in which it can realize operational efficiencies by focusing on strategic priorities. Those priorities are guided both by the current strategic plan, and by President Torrecilha's emphasis on retention, graduation rates, and closing the achievement gap.

The Advisory Committee on University Facilities Planning is actively engaged in several facilities projects currently at various phases of completion. The recently opened Science and Innovation Center and forthcoming Catherine Dower Center for Performing and Fine Arts require significant planning at all levels. These two projects have spawned backfill projects in three existing academic buildings (i.e., Wilson Hall, Bates Hall, and Parenzo Hall). Academic departments will be moved, some support services relocated or expanded, and administrative offices moved possibly including a relocation of the Office of the President to the main campus. The potential changes brought about by the proposed restructuring being considered by the Advisory Committee on Academic Planning further complicates facilities planning and will necessitate close communication with that committee as renovation planning moves forward.

Guiding these short-to-medium term planning activities are the University's current strategic plan (2012-2017). Its five major areas of focus are:

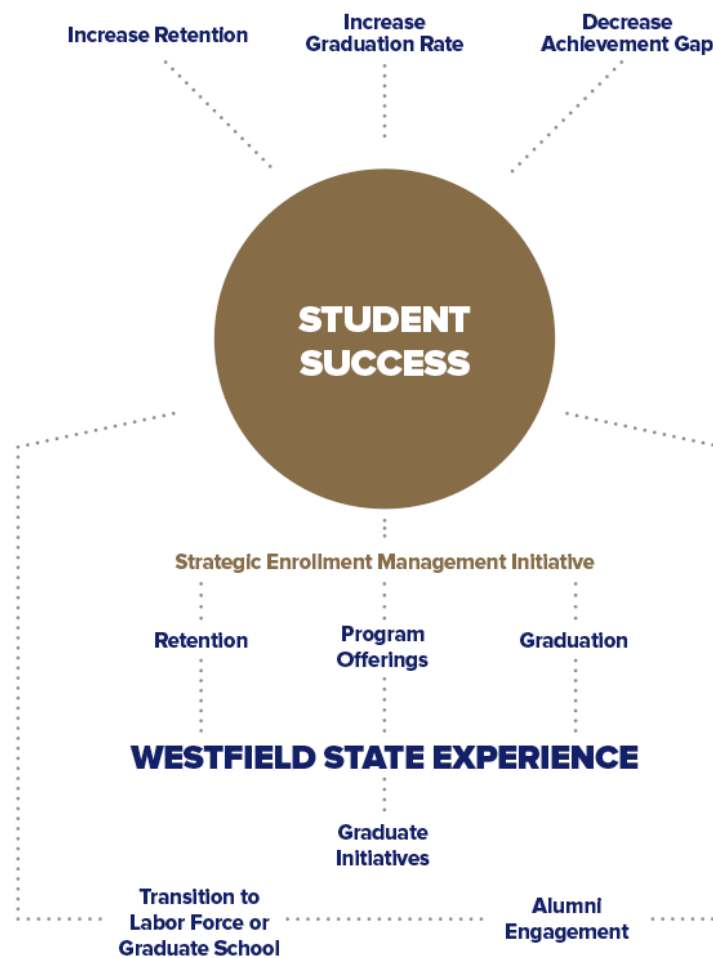
1. Provide a University experience that prepares students for achievement in a complex and evolving global environment.
2. Develop a responsible and sustainable growth management strategy.
3. Expand and diversify financial resources
4. Strengthen our community with improved communication and collaboration
5. Increase ways to connect with and enrich the greater community

Since his arrival in January 2016, President Ramon S. Torrecilha has articulated a more explicitly student-centered vision for the University. Through conversations and forums with campus constituencies, and through a survey of faculty, staff, and students, he found that our

common areas of focus are a culture of commitment to student success and a strong appreciation for the role of the Faculty. All constituencies also expressed the importance of developing new academic programs to meet the needs of students and the Commonwealth.

In conjunction with this, President Torrecilha has articulated the central role of the Westfield State Experience in ensuring student success through high impact activities that increase retention rates, graduation rates, close the achievement gap, and prepare students for success in the world beyond Westfield State University.

VISION: Model Comprehensive Institution



The Westfield State Experience focuses multiple University functions on achieving student success. It engages the entire University community: students, faculty, staff, and alumni, to focus on our core values.

Appendix on following pages:

- Affirmation of Compliance with Federal Regulations Relating to Title IV
- Most recent financial statement
- Auditor's management letter (none issued)
- Interim Report Forms (including Standard 8, Educational Effectiveness)
- Making Assessment More Explicit (The E Series)
- Westfield State University *Academic Program Review Process*



COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION

NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES

3 Burlington Woods, Suite 100, Burlington, MA 01803-4514

Voice: (781) 425 7785 Fax: (781) 425 1001 Web: https://cihe.neasc.org

AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

1. Credit Hour: Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (CIHE Policy 111. See also Standards for Accreditation 4.34.)

Table with 2 columns: Category (URL, Print Publications, Self-study/Interim Report Page Reference) and Value (http://www.westfield.ma.edu/offices/registrar/credit-hour-definition, Sections of the Catalog can be printed for accessibility needs, Page 20)

2. Credit Transfer Policies. The institution's policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (CIHE Policy 95. See also Standards for Accreditation 4.38, 4.39 and 9.19.)

Table with 2 columns: Category (URL, Print Publications, Self-study/Interim Report Page Reference) and Value (http://www.westfield.ma.edu/admissions/undergraduate-admissions/transfer-applicants, Sections of the Catalog can be printed for accessibility needs, Page 20)

3. Student Complaints. "Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered." (Standards for Accreditation 5.18, 9.8, and 9.19.)

Table with 2 columns: Category (URL, Print Publications, Self-study/Interim Report Page Reference) and Value (http://catalog.westfield.ma.edu/content.php?catoid=15&navoid=669, http://catalog.westfield.ma.edu/content.php?catoid=15&navoid=672, Sections of the Catalog can be printed for accessibility needs, Page 28)

4. Distance and Correspondence Education: Verification of Student Identity: If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also Standards for Accreditation 4.48.)

Table with 2 columns: Category (Method(s) used for verification, Self-study/Interim Report Page Reference) and Value (Login / password; camera-based live authentication available, Page 18)

5. FOR COMPREHENSIVE EVALUATIONS ONLY: Public Notification of an Evaluation Visit and Opportunity for Public Comment: The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments. (CIHE Policy 77.)

Table with 2 columns: Category (URL, Print Publications, Self-study Page Reference) and Value (empty)

The undersigned affirms that Westfield State University (institution name) meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer: [Signature]

Date: Jan. 11 / 2017

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

**FINANCIAL STATEMENTS AND
MANAGEMENT'S DISCUSSION AND ANALYSIS**

JUNE 30, 2016



WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

**Financial Statements and
Management's Discussion and Analysis**

June 30, 2016

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INDEPENDENT AUDITORS' REPORT

To the Board of Trustees of
Westfield State University
Westfield, Massachusetts

Report on the Financial Statements

We have audited the accompanying financial statements of Westfield State University (an agency of the Commonwealth of Massachusetts) (the "University"), which comprise the statements of net position as of June 30, 2016 and 2015, the related statements of revenues and expenses, changes in net position and cash flows for the years then ended, and the related notes to the financial statements. We also have audited the financial statements of Westfield State Foundation, Inc. (the "Foundation") as of June 30, 2016 and 2015, and the related statements of revenues and expenses and changes in net position and cash flows for the years then ended. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on the financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control.

Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We

believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the Westfield State University as of June 30, 2016 and 2015, and the respective changes in net position and cash flows thereof for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that management's discussion and analysis on pages 3-15, the schedule of the proportionate share of the net pension liability on page 53 and the schedule of the contributions on page 54 and the notes to the required supplemental information on page 55 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Supplementary Schedules

Our audit was conducted for the purpose of forming an opinion on the University's basic financial statements. The supplemental schedules listed in the accompanying table of contents are presented for purposes of additional analysis and are not a required part of the basic financial statements. Such information has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated October 10, 2016, on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control over financial reporting and compliance.

O'Connor and Duen, P.C.

**Certified Public Accountants
Braintree, Massachusetts**

October 10, 2016

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Management's Discussion and Analysis (Unaudited)

June 30, 2016

INTRODUCTION

The following discussion and analysis provides an overview of the financial position and results of operations of Westfield State University (the "University") for the fiscal year ended June 30, 2016, with comparative information for the year ended June 30, 2015. This discussion has been prepared by management along with the financial statements and footnotes. Since this analysis is designed to focus on current activities, resulting changes and currently known facts, it should be read in conjunction with the basic financial statements and notes thereto. The financial statements, footnotes and this discussion are the responsibility of management.

Westfield State University is a comprehensive public institution of higher learning with approximately 5,600 full time equivalent combined day and evening students. The campus is located in Westfield, Massachusetts and offers 31 undergraduate majors in both the traditional arts and sciences and in professional fields with over 60 options for discipline-specific or interdisciplinary minors and concentrations. There are also 36 graduate-level degree and certificate programs offered by the Division of Graduate and Continuing Education. This broad range of graduate programs and undergraduate majors, minors, and concentrations reflect the commitment of Westfield State University to providing quality educational programs.

FINANCIAL HIGHLIGHTS

- The University's financial position improved significantly during the fiscal year ended June 30, 2016, with a \$22.6 million or 31% increase in total net position. Net position, which represents the residual interest in the University's assets after liabilities and deferred inflows of resources are deducted, increased to \$94.8 million from \$72.2 million in 2015.
- Expenses incurred during fiscal year 2016 totaled \$114.1 million. Revenues from tuition and fees, state capital support and appropriations, grants, and other sources totaled \$136.7 million resulting in an increase in net position of \$22.6 million. Expenses incurred during fiscal year 2015 totaled \$109.5 million. Revenues from tuition and fees, state capital support and appropriations, grants, and other sources totaled \$123.0 million resulting in an increase in net position of \$13.5 million.
- In June of 2012, the Government Accounting Standards Board (GASB) issued *Statement 68 Accounting and Financial Reporting for Pensions*. This statement is effective for fiscal years beginning after June 15, 2014. During the fiscal year ended June 30, 2015, the University implemented GASB 68. With the new reporting change, the University is allocated its proportionate share of the Commonwealth of Massachusetts State Employees' Retirement System's net pension liability, deferred outflows of resources, deferred inflows of resources,

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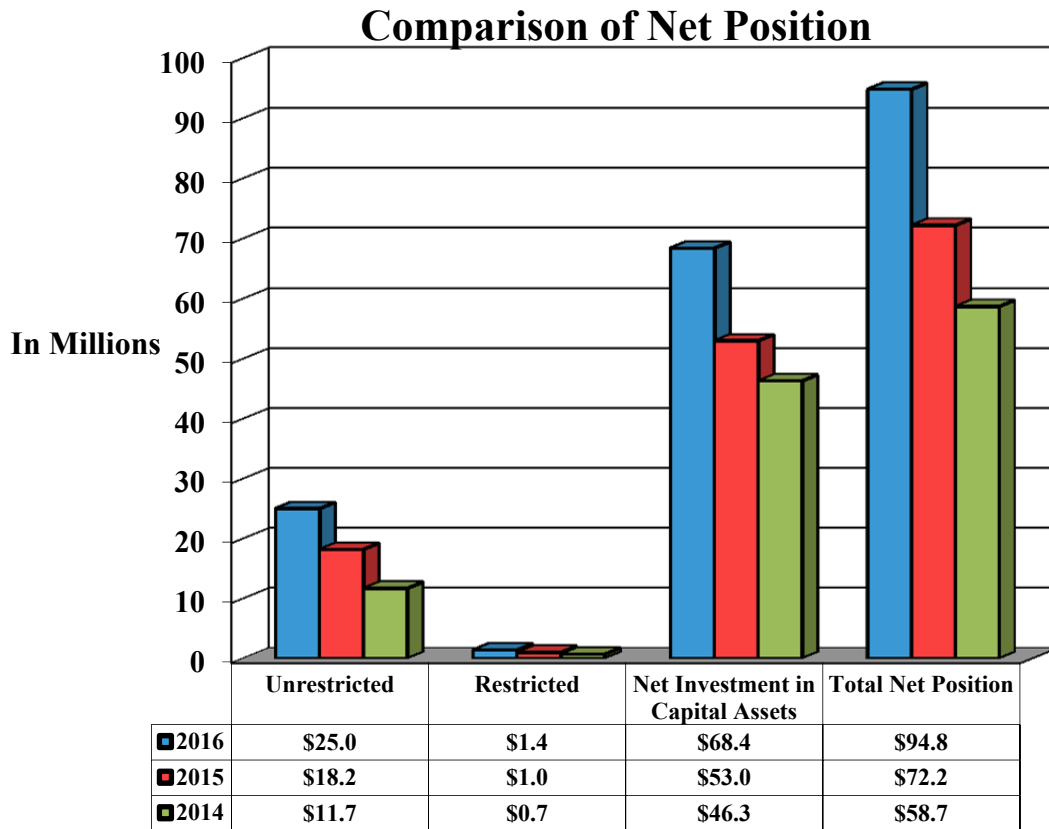
Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL HIGHLIGHTS - Continued

and pension expense. A restatement to record the effects of the new reporting guidance decreased beginning net position by \$17,520,188 in 2015.

Graphically displayed, the comparative changes in net position by category for the fiscal years ended June 30, 2016 and 2015 and 2014 are shown below:



- The increase in total net position during the fiscal year ended June 30, 2016 is partially attributable to the recognition of state capital appropriation revenue in the amount of \$14.5 million for the work completed during the fiscal year on the new science center building. The increase in total net position during the fiscal year ended June 30, 2015 was also attributable to the recognition of state capital appropriation revenue in the amount of \$7.8 million for the work completed during fiscal year 2015 on the new science center building.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL HIGHLIGHTS – Continued

The remainder of the increase in both fiscal year 2016 and 2015 was due to the fact that revenues more than offset expenses.

OVERVIEW OF THE FINANCIAL STATEMENTS

This discussion and analysis is intended to serve as an introduction to the University's basic financial statements. Westfield State University's basic financial statements are comprised of two components: 1) the financial statements and 2) the notes to the financial statements.

The Financial Statements

The financial statements are designed to provide readers with a broad overview of Westfield State University's finances in a manner similar to a private-sector university. The University's financial report includes four financial statements: the *Statement of Net Position*, the *Statement of Revenues and Expenses*, the *Statement of Changes in Net Position* and the *Statement of Cash Flows*.

These statements have been prepared in accordance with Government Accounting Standards Board (GASB) principles. These principles establish standards for external financial reporting for public colleges and universities and require that financial statements be presented on a consolidated basis to focus on the institution as a whole. A description of the financial statements follows.

The Westfield State Foundation, Inc. (the 'Foundation'), a component unit of the University, is an independent not-for-profit corporation operated exclusively for charitable, scientific, and educational purposes for the benefit of the University. The financial information of the Foundation has been discretely presented and included within these financial statements because of the nature and significance of their relationship with the University. Complete financial statements for the Foundation can be obtained from their administrative office in Westfield, Massachusetts.

The *Statement of Net Position* presents the financial position of the University at the end of the fiscal year and includes all assets less liabilities and deferred inflows of resources of the University. The difference between these amounts, net position, is one indicator of the current financial position of the University, while the change in net position serves as a useful indicator of whether the financial position of the University is improving or deteriorating.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

OVERVIEW OF THE FINANCIAL STATEMENTS – Continued

The *Statements of Revenues and Expenses and Changes in Net Position* presents the University's results of operations and other non-operating revenues and presents information showing how the University's net position changed during the most recent fiscal year.

The *Statement of Cash Flows* provides additional information about the University's financial results by reporting the major sources and uses of cash. Government Accounting Standards Board (GASB) Statements 34 and 35 require that the direct method be used to prepare this statement. The direct method of cash flow reporting portrays the net cash flow from operations by major categories of operating receipts and disbursements.

The financial statements can be found on pages 16-19 of this financial report.

Notes to the Financial Statements

The footnotes provide additional information that is essential to a full understanding of the data provided in the financial statements. The notes to the financial statements can be found on pages 20-52 of this financial report.

Other Information

In addition to the financial statements and accompanying footnotes, this financial report also contains certain required supplementary information concerning the University's Building Authority trust fund. This supplementary information can be found on pages 56-57 of this financial report.

FINANCIAL ANALYSIS OF THE UNIVERSITY

The University's financial position increased significantly during the year with an increase in net position of \$22.6 million for the year ended June 30, 2016 as compared to an increase of \$13.5 million for the year ended June 30, 2015.

Net position invested in capital assets, net of related debt, represents the University's capital assets (e.g. land, buildings, machinery and equipment), net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction or improvement of those assets. By far the largest portion of the University's net position (72.2% at June 30, 2016 and 73.4% at June 30, 2015), these capital assets are used to provide services to students and support to faculty and administration; consequently these assets are not available for future spending.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

An additional portion of the University's net position (1.5% at June 30, 2016 and 1.4% at June 30, 2015), are restricted expendable which represents scholarships, grants, and donations that are subject to external restrictions on how they must be used. The remaining balance of unrestricted net position (26.3% at June 30, 2016 and 25.2% at June 30, 2015) may be used to meet the University's ongoing obligations.

A summary of the Statements of Net Position as of June 30, is presented below:

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Current Assets	\$ 65,167,798	\$ 65,403,913	\$ 48,062,598
Capital Assets, net	91,554,869	67,780,162	61,642,210
Other Non-current assets	1,560,279	1,646,597	984,654
Deferred Outflows of Resources	<u>11,184,930</u>	<u>2,349,657</u>	<u>1,283,189</u>
Total Assets and Deferred Outflows of Resources	<u>169,467,876</u>	<u>137,180,329</u>	<u>111,972,651</u>
Current Liabilities	16,653,727	15,749,079	15,086,825
Non-current Liabilities	<u>57,135,625</u>	<u>44,831,973</u>	<u>36,799,273</u>
Total Liabilities	<u>73,789,352</u>	<u>60,581,052</u>	<u>51,886,098</u>
Deferred Inflows of Resources	<u>900,399</u>	<u>4,440,253</u>	<u>1,439,277</u>
Net Position:			
Invested in Capital Assets, net of related debt	68,412,112	52,998,001	46,289,232
Restricted: Expendable	1,420,001	981,536	680,442
Unrestricted	<u>24,946,012</u>	<u>18,179,487</u>	<u>11,677,602</u>
Total Net Position	<u>94,778,125</u>	<u>72,159,024</u>	<u>58,647,276</u>
Total Liabilities, Deferred Inflows of Resources and Net Position	\$ <u>169,467,876</u>	\$ <u>137,180,329</u>	\$ <u>111,972,651</u>

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

A condensed summary of the Statements of Revenues and Expenses for the years ended June 30 is as follows:

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Operating revenues:			
Tuition and fees	\$ 51,693,910	\$ 49,400,890	\$ 48,524,546
Residence and dining fees	28,457,775	26,872,236	25,713,839
Less: scholarships and fellowships	(10,277,457)	(9,578,206)	(9,375,369)
Federal, state and private grants and contracts	11,691,682	10,950,861	11,302,149
Other sources	<u>4,642,967</u>	<u>4,790,926</u>	<u>4,578,875</u>
Total operating revenues	86,208,877	82,436,707	80,744,040
Less: operating expenses	<u>113,656,770</u>	<u>109,025,859</u>	<u>107,134,376</u>
Operating loss	(27,447,893)	(26,589,152)	(26,390,336)
Non-operating revenues (expenses):			
State appropriations, net	33,425,461	31,982,967	30,162,664
Restricted state appropriations	26,022	94,599	152,009
Net investment income	355,923	310,674	307,856
Loss on disposal of assets	(12,912)	(6,474)	(15,196)
Interest expense	<u>(381,258)</u>	<u>(438,770)</u>	<u>(455,586)</u>
Total net non-operating revenues	33,413,236	31,942,996	30,151,747
Income before other revenues (expenses)	5,965,343	5,353,844	3,761,411
Related entity transfers	203,443	(6,792)	(35,000)
State capital appropriations	<u>16,450,315</u>	<u>8,164,696</u>	<u>1,324,222</u>
Increase in net position	\$ 22,619,101	\$ 13,511,748	\$ 5,050,633

WESTFIELD STATE UNIVERSITY
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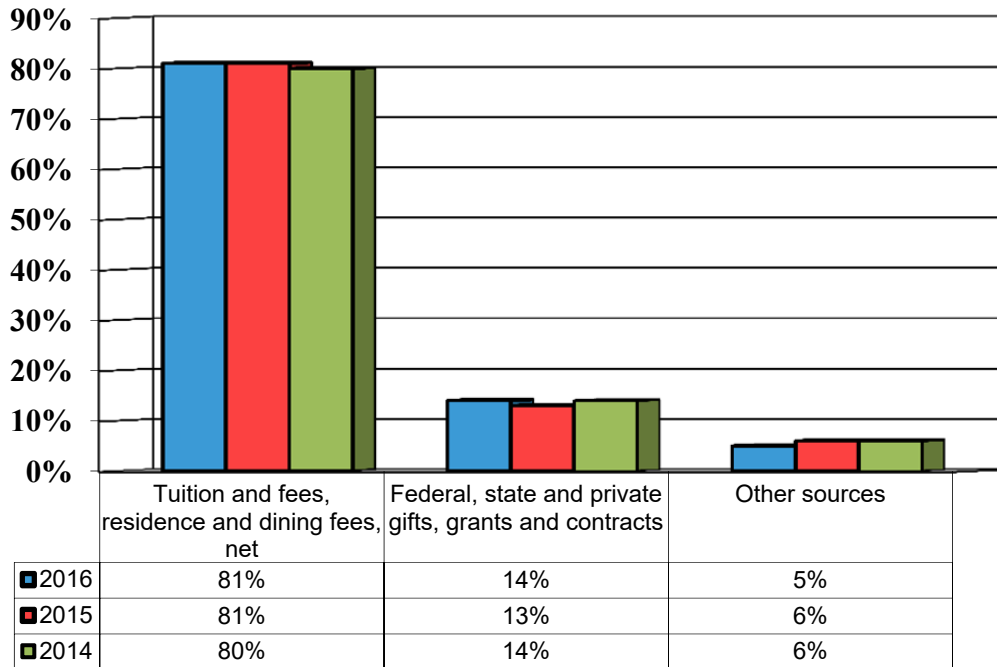
Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

The following is a graphic illustration of operating revenues by source, as a percent of total operating revenue, which were used to fund the University's operating activities for the years ended June 30, 2016, 2015 and 2014.

Operating Revenues by Source



The University's operating revenues consist primarily of tuition and fee and residence and dining fee revenue. Tuition and fee revenue increased \$2.3 million or 4.6% during the fiscal year ended June 30, 2016 and \$.9 million or 1.8% during the fiscal year ended June 30, 2015. The increase in fiscal year 2016 was due to an increase in enrollment over the prior fiscal year which had a financial impact on tuition and fee revenue of \$.9 million. Also adding to the increase in fiscal year 2016 was an increase in the general fee of \$200 per student (\$.9 million impact) and an increase in Division of Graduate and Continuing Education tuition and fees of \$.5 million. For fiscal year ended June 30, 2015, the increase was primarily due to an increase in the general fee which was offset by revenue decreases due to lower enrollments along with a slight decrease in Division of Graduate and Continuing Education tuition and fees.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

Tuition and fees received by the University include the following at June 30:

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Tuition	\$ 13,139,050	\$ 12,526,966	\$ 12,699,687
Student Fees:			
General fees	28,024,782	26,505,913	25,374,623
Student activity fees	1,754,859	1,666,332	1,624,462
Capital improvement fees	464,340	454,027	459,617
Technology fees	7,654,200	7,490,612	7,585,504
Miscellaneous fees	<u>656,679</u>	<u>757,040</u>	<u>780,653</u>
Total	\$ <u>51,693,910</u>	\$ <u>49,400,890</u>	\$ <u>48,524,546</u>

Residence and dining fee revenue generated by the auxiliary operations of the University's food service provider and building authority trust funds was \$28,457,775, \$26,872,236 and \$25,713,839 for the years ended June 30, 2016, 2015, and 2014, respectively. The increase in revenues for the fiscal year ended June 30, 2016 in the amount of \$1,585,539 or 5.9% is attributable to the increased number of students combined with the yearly increase in room and board rates. At June 30, 2015 residence and dining fee revenue increased \$1,158,397 or 4.5%.

Major grants and contracts awarded to Westfield State University for the years ended June 30, 2016, 2015 and 2014 included the following:

- U.S. Department of Education - Student Support Services \$264,284 (in 2016 and 2015) \$250,462 (in 2014)
- U.S. Department of Education - College Work Study \$368,333 (in 2016, 2015 and 2014)
- U.S. Department of Education - SEOG \$295,448 (in 2016, 2015 and 2014)

WESTFIELD STATE UNIVERSITY
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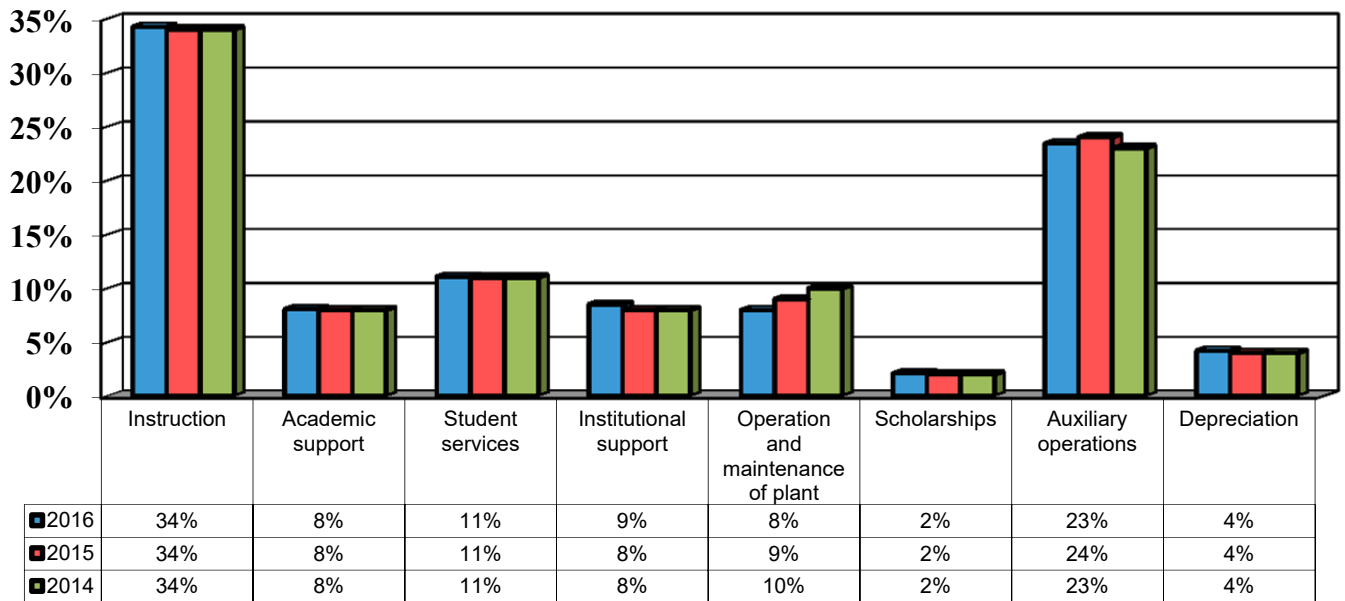
Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

The following is a graphic illustration of operating expenses by function, shown as a percent of total operating expense, for the years ended June 30, 2016, 2015 and 2014.

Operating Expenses by Function



A summary of the University's expenses by functional classification for the years ended June 30, 2016, 2015, and 2014 is as follows:

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Instruction	\$ 38,912,843	\$ 36,549,113	\$ 35,972,212
Public service	467,132	323,685	306,904
Academic support	9,161,703	8,257,294	8,175,828
Student services	12,585,632	12,291,835	11,928,015
Institutional support	9,670,085	9,028,190	8,734,781
Operation and maintenance of plant	9,056,368	9,413,263	10,172,014
Scholarships and fellowships	2,395,789	2,343,220	2,092,247
Auxiliary operations	26,619,361	25,985,478	25,017,980
Depreciation	<u>4,787,857</u>	<u>4,833,781</u>	<u>4,734,395</u>
Total	\$ <u>113,656,770</u>	\$ <u>109,025,859</u>	\$ <u>107,134,376</u>

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

The University's total operating expenses increased during fiscal year ended June 30, 2016 by \$4,630,911 or 4.2% as compared to a 1.8% increase for the fiscal year ended June 30, 2015. The increase in fiscal year 2016 is attributable to many factors the largest of which are: an increase in compensation and benefits (\$5.2 million) offset by a decrease in utility costs (\$.7 million).

A condensed summary of the Statements of Cash Flows for years ended June 30 is as follows:

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Cash received from operating activities	\$ 114,037,511	\$ 109,889,561	\$ 108,129,250
Cash expenses for operating activities	<u>(125,789,104)</u>	<u>(125,167,095)</u>	<u>(124,296,006)</u>
Net cash applied to operating activities	(11,751,593)	(15,277,534)	(16,166,756)
Net cash provided by non-capital financing activities	25,851,434	25,106,354	23,880,980
Net cash provided by (applied to) capital financing activities	(14,300,802)	7,133,903	(3,466,009)
Net cash provided by investing activities	<u>354,815</u>	<u>310,158</u>	<u>307,070</u>
Net increase in cash and equivalents	153,854	17,272,881	4,555,285
Cash and equivalents - beginning of year	<u>63,499,936</u>	<u>46,227,055</u>	<u>41,671,770</u>
Cash and equivalents - end of year	<u>\$ 63,653,790</u>	<u>\$ 63,499,936</u>	<u>\$ 46,227,055</u>

The University's liquidity increased very slightly during the year ended June 30, 2016 with a \$153,854 increase in cash and equivalents. The following discussion amplifies the overview of cash flows presented above.

During the year ended June 30, 2016, the University's net cash applied to operating activities decreased by \$3.5 million over the prior year. This was due to an increase in cash received of \$4.1 million and a decrease in payments to suppliers of \$2.8 million outpacing an increase in payments to employees of \$3.4 million. Net cash provided by non-capital financing activities increased approximately \$.7 million due to an increase in state appropriation. Net cash applied to capital financing activities decreased \$21.4 million due to the decrease in proceeds received from the issuance of bonds (\$11.7 million) an increase in capital asset purchases (\$11.1 million) and an increase in payments related to a service concession arrangement cancelation (\$.8 million)

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

FINANCIAL ANALYSIS OF THE UNIVERSITY - Continued

offsetting increases in state appropriation (\$1.6 million) and a change in debt service reserve (\$.7 million). The slight increase in net cash provided by investing activities was due to an increase in interest received.

The University's liquidity increased significantly during the year ended June 30, 2015 with a \$17,272,881 increase in cash and equivalents. Approximately \$11.0 million of the increase is attributable to bond proceeds received during fiscal year 2015 which will be spent during fiscal year 2016. The following discussion amplifies the overview of cash flows presented above.

During the year ended June 30, 2015, the University's net cash applied to operating activities decreased by \$.9 million over the prior year. This was due to an increase in cash received of \$1.8 million and a decrease in payments to suppliers of \$1.1 million outpacing increases in payments to employees of \$1.9 million and direct lending disbursements of \$.1 million. Net cash provided by non-capital financing activities increased approximately \$1.2 million due to an increase in state appropriation. Net cash provided by capital financing activities increased \$10.6 million due to the proceeds received from the issuance of bonds (\$11.7 million) and the increase in state appropriation (\$.3 million) offsetting increases in capital asset purchases (\$.7 million) and debt service reserve (\$.7 million). The increase in capital debt was related to the bonds payable for the new science center building. The slight increase in net cash provided by investing activities was due to an increase in interest received.

WESTFIELD STATE UNIVERSITY
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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

LOSS FROM OPERATIONS

The following table presents the University's incurred losses from operations and its non-operating revenues for the fiscal years ended June 30, 2016, 2015 and 2014.

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Operating revenues, net	\$ 86,208,877	\$ 82,436,707	\$ 80,744,040
Operating expenses	<u>113,656,770</u>	<u>109,025,859</u>	<u>107,134,376</u>
Operating loss	<u>(27,447,893)</u>	<u>(26,589,152)</u>	<u>(26,390,336)</u>
Commonwealth direct appropriation, fringe benefits for Commonwealth employees, net of tuition remitted to the Commonwealth and 9C cut	33,425,461	31,982,967	30,162,664
Restricted state appropriations	26,022	94,599	152,009
Net investment income	355,923	310,674	307,856
Loss on disposal of assets	(12,912)	(6,474)	(15,196)
Other expenses	(381,258)	(438,770)	(455,586)
Capital appropriations	16,450,315	8,164,696	1,324,222
Related entity transfers	<u>203,443</u>	<u>(6,792)</u>	<u>(35,000)</u>
Non-operating revenues	<u>50,066,994</u>	<u>40,100,900</u>	<u>31,440,969</u>
Increase in net position	<u>\$ 22,619,101</u>	<u>\$ 13,511,748</u>	<u>\$ 5,050,633</u>

Due to the nature of accounting for appropriations as non-operating revenues in accordance with GASB principles, the University incurred a loss from operations. The Commonwealth's Department of Higher Education establishes tuition rates while the University sets fees and other charges. The University, with the purpose of balancing educational and operational needs with tuition and fee revenue, approves budgets to mitigate losses after Commonwealth appropriations.

The \$10 million increase in net non-operating revenues during fiscal year 2016 is primarily attributable to an increase in state capital appropriation in the amount of \$8.3 million combined with an increase in net state appropriation in the amount of \$1.4 million and an increase in related entity transfers of \$.2 million. The state capital appropriation increase was due to the recognition of revenue related to the science center building which was in progress at June 30, 2016.

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Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2016

LOSS FROM OPERATIONS - Continued

The \$8.7 million increase in net non-operating revenues during fiscal year 2015 is primarily attributable to an increase in state capital appropriation in the amount of \$6.9 million combined with an increase in net state appropriation in the amount of \$1.8 million. The state capital appropriation increase was due to the recognition of revenue related to the science center building which was in progress at June 30, 2015.

CAPITAL ASSETS AND DEBT

The University's investment in capital assets, net of accumulated depreciation, as of June 30, 2016 and 2015 were \$91,554,869 and \$67,780,162, respectively. Investment in capital assets includes land, land improvements, buildings and improvements, furnishings and equipment, construction in progress, and library books. Capital assets increased by \$23,774,707 or 35% during fiscal year ended June 30, 2016 and increased \$6,137,952 or 10% during the fiscal year ended June 30, 2015. The increase during fiscal year ended June 30, 2016 and 2015 was due to capital additions outpacing depreciation expense. Capital additions during fiscal year ended June 30, 2016 amounted to \$28,586,526 as compared to \$10,980,007 for the year ended June 30, 2015.

Major additions during 2016 include \$25.8 million in construction in progress for construction, furnishings and equipment costs related to the new science center building on campus completed in August, 2016, \$.8 million in construction in progress for construction costs related to the entrance upgrades to the Horace Mann Center and \$.3 million for upgrades to the Woodward Center lighting system.

Major additions during 2015 include \$8.1 million in construction in progress for construction costs related to the new science center building on campus scheduled to be completed in August, 2016, \$1.1 million for the installation of air conditioning in Bates Hall and Parenzo Hall, and \$.5 million in Information Technology upgrades.

REQUESTS FOR INFORMATION

This financial report is designed to provide a general overview of Westfield State University's finances for all those with an interest in the University's finances. Questions concerning any of the information provided in this report or requests for additional financial information should be addressed to: Vice President of Administration and Finance, 333 Western Avenue, Westfield, Massachusetts 01085.

WESTFIELD STATE UNIVERSITY
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Statements of Net Position

June 30, 2016

WESTFIELD STATE UNIVERSITY
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Statements of Net Position

June 30,

Assets and Deferred Outflow of Resources

	Westfield State University		Component Unit	
	2016 <u>University</u>	2015 <u>University</u>	2016 <u>Foundation</u>	<u>Foundation</u>
Current Assets:				
Cash and equivalents	\$ 56,834,060	\$ 47,879,444	\$ 211,643	\$ 149,224
Cash held by State Treasurer	3,178,444	1,587,185	-	-
Deposits held by State Treasurer	2,296,544	3,067,436	-	-
Deposits held by MSCBA	1,344,742	1,295,871	-	-
Deposits held by DCAMM	-	9,670,000	-	-
Short-term investments	62,447	61,339	-	-
Accounts receivable, net	1,203,851	1,618,004	1,555,036	177,810
Due from Foundation	3,120	2,888	-	-
Loans receivable	176,935	178,385	-	-
Other current assets	<u>67,655</u>	<u>43,361</u>	<u>15,631</u>	<u>8,922</u>
Total Current Assets	<u>65,167,798</u>	<u>65,403,913</u>	<u>1,782,310</u>	<u>335,956</u>
Non-Current Assets:				
Debt service reserve	1,102,602	1,107,609	-	-
Investments	-	-	6,192,514	6,398,482
Loans receivable, net	457,677	538,988	-	-
Capital assets, net	<u>91,554,869</u>	<u>67,780,162</u>	<u>493,302</u>	<u>499,855</u>
Total Non-Current Assets	<u>93,115,148</u>	<u>69,426,759</u>	<u>6,685,816</u>	<u>6,898,337</u>
Deferred Outflows of Resources:				
Contributions subsequent to the measurement date	1,586,274	1,656,130	-	-
Differences between actual and expected experience	595,204	-	-	-
Changes in plan actuarial assumptions	5,214,710	182,054	-	-
Changes in proportion due to internal allocation	<u>3,788,742</u>	<u>511,473</u>	<u>-</u>	<u>-</u>
Total Deferred Outflows of Resources	<u>11,184,930</u>	<u>2,349,657</u>	<u>-</u>	<u>-</u>
 Total Assets and Deferred Outflows of Resources	 <u>\$ 169,467,876</u>	 <u>\$ 137,180,329</u>	 <u>\$ 8,468,126</u>	 <u>\$ 7,234,293</u>

The accompanying notes are an integral part of the financial statements.

Liabilities, Deferred Inflows of Resources and Net Position

	Westfield State University		Component Unit	
	2016 <u>University</u>	2015 <u>University</u>	2016 <u>Foundation</u>	2015 <u>Foundation</u>
Current Liabilities:				
Accounts payable and accrued liabilities	\$ 3,202,315	\$ 2,318,564	\$ 8,784	\$ 27,958
Accrued salaries, wages and benefits	5,489,320	5,315,374	-	-
Compensated absences	4,729,060	4,937,652	-	-
Accrued workers' compensation	161,688	198,373	-	-
Due to University	-	-	3,120	2,888
Student deposits and unearned revenue	964,537	1,129,313	1,000	1,000
Deposits held for others	589,023	591,015	-	-
Line of credit	-	-	189,600	247,200
Assets held in custody for others	225,704	187,862	223,486	225,712
Current portion of capital lease obligations	95,905	120,270	-	-
Current portion of bonds payable	1,192,922	947,337	-	-
Other liabilities	<u>3,253</u>	<u>3,319</u>	<u>-</u>	<u>-</u>
Total Current Liabilities	<u>16,653,727</u>	<u>15,749,079</u>	<u>425,990</u>	<u>504,758</u>
Non-Current Liabilities:				
Compensated absences	1,559,569	1,540,688	-	-
Accrued workers' compensation	604,604	711,596	-	-
Grants refundable	665,328	834,828	-	-
Capital lease obligations	62,982	158,888	-	-
Bonds payable	24,131,552	25,390,562	-	-
Net pension liability	<u>30,111,590</u>	<u>16,195,411</u>	<u>-</u>	<u>-</u>
Total Non-Current Liabilities	<u>57,135,625</u>	<u>44,831,973</u>	<u>-</u>	<u>-</u>
Total Liabilities	<u>73,789,352</u>	<u>60,581,052</u>	<u>425,990</u>	<u>504,758</u>
Deferred Inflows of Resources:				
Service concession arrangements	12,000	1,110,557	-	-
Net differences between projected and actual earnings on pension plan investments	865,282	3,324,089	-	-
Changes in proportion to Commonwealth	<u>23,117</u>	<u>5,607</u>	<u>-</u>	<u>-</u>
Total Deferred Inflows of Resources	<u>900,399</u>	<u>4,440,253</u>	<u>-</u>	<u>-</u>
Net Position:				
Net investment in capital assets	68,412,112	52,998,001	493,302	499,855
Restricted for:				
Expendable	1,420,001	981,536	3,966,358	3,193,253
Non-expendable	-	-	3,828,541	3,276,788
Unrestricted	<u>24,946,012</u>	<u>18,179,487</u>	<u>(246,065)</u>	<u>(240,361)</u>
Total Net Position	<u>94,778,125</u>	<u>72,159,024</u>	<u>8,042,136</u>	<u>6,729,535</u>
Total Liabilities, Deferred Inflows of Resources and Net Position	<u>\$ 169,467,876</u>	<u>\$ 137,180,329</u>	<u>\$ 8,468,126</u>	<u>\$ 7,234,293</u>

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Statements of Revenues, Expenses and Changes in Net Position

For the Years Ended June 30, 2016 and 2015

	2016 Westfield State University	2015 Westfield State University	2016 Component Unit- Foundation	2015 Component Unit- Foundation
Operating Revenues:				
Tuition and fees	\$ 51,693,910	\$ 49,400,890	\$ -	\$ -
Residence and dining fees	28,457,775	26,872,236	-	-
Less: scholarships and fellowships	<u>(10,277,457)</u>	<u>(9,578,206)</u>	-	-
Net tuition and fees	69,874,228	66,694,920	-	-
Federal grants and contracts	8,631,027	8,270,275	-	-
State grants and contracts	2,493,564	2,210,075	-	-
Private grants and contracts	567,091	470,511	2,343,887	853,744
Public service	569,168	314,245	-	-
Other sources	<u>4,073,799</u>	<u>4,476,681</u>	<u>91,092</u>	<u>104,414</u>
Total Operating Revenues	<u>86,208,877</u>	<u>82,436,707</u>	<u>2,434,979</u>	<u>958,158</u>
Operating Expenses:				
Instruction	38,912,843	36,549,113	-	-
Public service	467,132	323,685	-	-
Academic support	9,161,703	8,257,294	46,820	144,892
Student services	12,585,632	12,291,835	-	-
Institutional support	9,670,085	9,028,190	675,484	597,651
Operation and maintenance of plant	9,056,368	9,413,263	-	-
Scholarships and fellowships	2,395,789	2,343,220	188,633	143,601
Auxiliary operations	26,619,361	25,985,478	-	-
Depreciation	<u>4,787,857</u>	<u>4,833,781</u>	<u>19,269</u>	<u>14,844</u>
Total Operating Expenses	<u>113,656,770</u>	<u>109,025,859</u>	<u>930,206</u>	<u>900,988</u>
Operating (Loss) Income	<u>(27,447,893)</u>	<u>(26,589,152)</u>	<u>1,504,773</u>	<u>57,170</u>
Non-Operating Revenues (Expenses):				
State appropriations, net	33,425,461	31,982,967	-	-
Restricted state appropriations	26,022	94,599	-	-
Loss on disposal of assets	(12,912)	(6,474)	-	-
Investment income, net of expenses	355,923	310,674	19,040	197,249
Interest expense	<u>(381,258)</u>	<u>(438,770)</u>	<u>(7,769)</u>	<u>(9,774)</u>
Net Non-Operating Revenues	<u>33,413,236</u>	<u>31,942,996</u>	<u>11,271</u>	<u>187,475</u>
Increase in Net Position Before Other Revenues (Expenses)	5,965,343	5,353,844	1,516,044	244,645
Capital appropriations	16,450,315	8,164,696	-	-
Related entity transfers	<u>203,443</u>	<u>(6,792)</u>	<u>(203,443)</u>	<u>6,792</u>
Increase in Net Position	22,619,101	13,511,748	1,312,601	251,437
Net Position, at Beginning of Year	<u>72,159,024</u>	<u>58,647,276</u>	<u>6,729,535</u>	<u>6,478,098</u>
Net Position, at End of Year	\$ 94,778,125	\$ 72,159,024	\$ 8,042,136	\$ 6,729,535

The accompanying notes are an integral part of the financial statements.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Statements of Cash Flows

For the Years Ended June 30, 2016 and 2015

	Westfield State University	
	<u>2016</u> <u>University</u>	<u>2015</u> <u>University</u>
Cash Flows from Operating Activities:		
Tuition and fees	\$ 42,415,647	\$ 40,644,304
Residence and dining fees	24,757,890	23,519,864
Grants and contracts	11,785,354	11,122,412
Payments to suppliers	(33,582,687)	(36,344,424)
Payments to employees	(61,657,460)	(58,288,735)
Direct lending receipts	30,432,307	30,386,201
Direct lending disbursements	(30,432,307)	(30,386,201)
Loans issued to students	(116,650)	(147,735)
Collections of loans to students	163,566	155,133
Other receipts	<u>4,482,747</u>	<u>4,061,647</u>
Net Cash Applied to Operating Activities	<u>(11,751,593)</u>	<u>(15,277,534)</u>
Cash Flows from Non-Capital Financing Activities:		
State appropriation	26,851,251	26,501,504
9C cuts	-	(372,446)
Tuition remitted to state	(1,203,260)	(1,015,912)
Transfers from Foundation	<u>203,443</u>	<u>(6,792)</u>
Net Cash Provided by Non-Capital Financing Activities	<u>25,851,434</u>	<u>25,106,354</u>
Cash Flows from Capital Financing Activities:		
Capital appropriations	1,913,575	317,886
Cancellation of service concession arrangement	(772,434)	-
Proceeds from sale of bonds	-	11,746,598
Purchases of capital assets	(13,931,996)	(2,803,899)
Principal paid on capital leases	(120,271)	(148,222)
Interest paid on capital leases	(9,439)	(13,672)
Principal paid on bonds payable	(1,013,425)	(880,458)
Interest paid on bonds payable	(371,819)	(424,248)
Increase (decrease) in debt service reserve	<u>5,007</u>	<u>(660,082)</u>
Net Cash (Applied to) Provided by Capital Financing Activities	<u>(14,300,802)</u>	<u>7,133,903</u>
Cash Flows from Investing Activities:		
Interest income	<u>354,815</u>	<u>310,158</u>
Net Increase in Cash and Equivalents	153,854	17,272,881
Cash and Equivalents, Beginning of Year	<u>63,499,936</u>	<u>46,227,055</u>
Cash and Equivalents, End of Year	<u>\$ 63,653,790</u>	<u>\$ 63,499,936</u>

WESTFIELD STATE UNIVERSITY
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Statements of Cash Flows - Continued

For the Years Ended June 30, 2016 and 2015

	2016 Westfield State <u>University</u>	2015 Westfield State <u>University</u>
Reconciliation of Net Operating Loss to Net Cash Applied to Operating Activities:		
Operating loss	\$ (27,447,893)	\$ (26,589,152)
Adjustments to Reconcile Net Operating Loss to Net Cash Applied to Operating Activities:		
Depreciation	4,787,857	4,833,781
Fringe benefits provided by the State	7,803,492	6,964,420
Amortization of service concession arrangement	(326,123)	(328,720)
Bad debts	144,189	150,633
Changes in Assets and Liabilities:		
Accounts receivable	291,239	(241,274)
Due from Foundation	(232)	(1,128)
Loans receivable	61,486	12,130
Other current assets	(24,294)	9,860
Accounts payable and accrued liabilities	777,011	(317,794)
Accrued salaries, wages and benefits	173,946	631,670
Compensated absences	(189,711)	479,660
Accrued workers' compensation	(143,677)	18,654
Student deposits and unearned revenue	(164,776)	52,927
Deposits held	(1,992)	(66,624)
Assets held in custody for others	37,842	(381,398)
Grants refundable	(169,500)	(159,778)
Other liabilities	(66)	(663)
Net pension activity	<u>2,639,609</u>	<u>(344,738)</u>
Net Cash Applied to Operating Activities	<u>\$ (11,751,593)</u>	<u>\$ (15,277,534)</u>
Non-Cash Transactions:		
Fringe benefits paid by State	<u>\$ 7,803,492</u>	<u>\$ 6,964,420</u>
Acquisition of capital assets through capital leases	<u>\$ -</u>	<u>\$ 90,714</u>
Trade in value received for capital assets	<u>\$ 11,050</u>	<u>\$ 1,800</u>
Capital improvements provided by capital appropriations	<u>\$ 14,536,740</u>	<u>\$ 7,846,810</u>
Construction in progress included in accounts payable and accrued liabilities	<u>\$ 106,740</u>	<u>\$ 238,584</u>
Cash and Equivalents, End of Year:		
Cash and equivalents	\$ 56,834,060	\$ 47,879,444
Cash held by State Treasurer	3,178,444	1,587,185
Deposits held by State Treasurer	2,296,544	3,067,436
Deposits held by MSCBA	1,344,742	1,295,871
Deposits held by DCAMM	<u>-</u>	<u>9,670,000</u>
Total	<u>\$ 63,653,790</u>	<u>\$ 63,499,936</u>

The accompanying notes are an integral part of the financial statements.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Notes to the Financial Statements

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies**

Organization

Westfield State University (the "University") is a public, state-supported university located in Westfield, Massachusetts and governed by a local Board of Trustees under the direction of the Massachusetts Department of Higher Education. The University is empowered to award baccalaureate and post graduate degrees in education, business, and arts and sciences, as well as conduct programs of continuing education. The University is accredited by the New England Association of Schools and Colleges.

Basis of Presentation

The accompanying financial statements have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America, as prescribed by the *Governmental Accounting Standards Board* ("GASB").

Westfield State Foundation, Inc. (the "Foundation") is a related tax exempt organization founded to foster and promote the growth, progress and general welfare of the University. The Foundation is included in the University's financial statements and is reported in a separate column from the University to emphasize that it is a Massachusetts not-for-profit organization legally separate from the University. Because of the significance of its financial relationship with the University, the Foundation is included in the University's financial statements. Complete financial statements can be obtained from the Foundation's administrative office in Westfield, Massachusetts.

Revenues are recorded when earned, and expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. Grants and similar items are recognized as revenue as soon as all eligibility requirements have been met. The accompanying statement of revenues and expenses demonstrates the degree to which the direct expenses of a given function are offset by program revenues. Direct expenses are those that are clearly identifiable within a specific function. Program revenues primarily include charges to students or others who enroll or directly benefit from services that are provided by a particular function. Items not meeting the definition of program revenues are instead reported as general revenue.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

Basis of Presentation - Continued

The University has determined that it functions as a business-type activity, as defined by GASB. The effect of inter-fund activity has been eliminated from these financial statements. The basic financial statements and required supplementary information for general-purpose governments consist of management's discussion and analysis, basic financial statements and required supplementary information. The University presents its statement of net position, revenues and expenses, changes in net position, and cash flows on a combined University-wide basis.

The University's policy for defining operating activities in the statement of revenues and expenses is those that generally result from exchange transactions such as the payment received for services and payment made for the purchase of goods and services. Certain other transactions are reported as non-operating activities in accordance with GASB Statement No. 35, *Basic Financial Statements and Management's Discussion and Analysis - for Public Colleges and Universities*. These non-operating activities include the University's operating and capital appropriations from the Commonwealth of Massachusetts, net investment income, and interest expense.

Net Position

Resources are classified for accounting purposes into the following four net asset categories:

Investment in capital assets, net: Capital assets, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction, repair or improvement of those assets.

Restricted - nonexpendable: Net position subject to externally imposed conditions such that the University must maintain the funds in perpetuity.

Restricted - expendable: Net position whose use is subject to externally imposed conditions that can be fulfilled by the actions of the University or the passage of time.

Unrestricted: Net position that is not subject to externally imposed stipulations. Unrestricted net assets may be designated for specific purposes by action of management or the Board of Trustees or may otherwise be limited by contractual agreements with outside parties.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

Net Position - Continued

The University has adopted a policy of generally utilizing restricted - expendable funds, when available, prior to unrestricted funds.

Use of Estimates

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America require management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingencies at the dates of the financial statements and revenues and expenses recognized during the reporting periods. The University's significant estimates include the accrual for employee compensated absences, the accrual for workers' compensation liability, the accrual for pollution remediation, the allowance for doubtful accounts, and the useful lives of capital assets. Actual results could differ from those estimates.

Trust Funds

In accordance with the requirements of the Commonwealth of Massachusetts, the University's operations are accounted for in several trust funds. All trust funds have been consolidated and are included in the accompanying financial statements.

Cash and Equivalents

The University's cash and equivalents are cash on hand, cash and deposits held with the Commonwealth's Treasurer and Massachusetts State College Board Authority ("MSCBA"), which are short term, highly liquid investments with original maturities of three months or less from the date of acquisition.

Allowance for Doubtful Accounts

Accounts and pledge receivable are periodically evaluated for collectability. Provisions for losses on receivables are determined on the basis of loss experience, known and inherent risks in the loan portfolio, the estimated value of underlying collateral and current economic conditions.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

Investments

Investments in marketable securities are stated at fair value.

Dividends, interest, and net gains or losses on investments of endowments and similar funds are reported in the Statement of Revenues and Expenses. Any net earnings not expended are included in net position categories as follows:

- A) as increases in restricted – nonexpendable net position if the terms of the gift require that they be added to the principal of a permanent endowment fund;
- B) as increases in temporarily restricted – expendable net position if the terms of the gift or the University’s interpretation of relevant state law impose restrictions on the current use of the income or net gains. The University has relied upon the Attorney General’s interpretation of state law that unappropriated endowment gains should generally be classified as restricted - expendable; and
- C) as increases in unrestricted net position in all other cases.

Capital Assets

Real estate assets, including improvements, are generally stated at cost. Furnishings, equipment and collection items are stated at cost at date of acquisition or, in the case of gifts, at fair value at date of donation. In accordance with the University's capitalization policy, non-collection items with a unit cost of more than \$1,000 are capitalized. Library materials are generally expensed during the year. University capital assets, with the exception of land and construction in progress, are depreciated on a straight-line basis over their estimated useful lives, which range from 3 to 40 years. The cost of normal maintenance and repairs that do not add to the value of the asset or materially extend assets lives are not capitalized.

Restricted Gifts

The University recognizes restricted gifts as revenues or receivables when all applicable eligibility requirements, including time requirements, are met.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

Grants and Contracts

The University receives monies from the Federal and state government and other private agencies under grants and contracts. The costs, both direct and indirect, charged to these grants and contracts are subject to audit by the granting agency. The University administration believes that any audit adjustments would not have a material adverse effect on the University's financial position, its revenues, expenses and changes in net position, or its cash flows.

Compensated Absences

Employees earn the right to be compensated during absences for vacation and sick leave or when using compensatory time. Accrued vacation and compensatory time is the amount earned by all eligible employees through June 30, 2016. The accrued sick leave balance represents 20% of amounts earned by those employees with ten or more years of state service at June 30, 2016. Upon retirement, these employees are entitled to receive payment for this accrued balance. Funding of these amounts is anticipated to be part of the future annual appropriation process from the Commonwealth of Massachusetts.

Student Deposits and Unearned Revenue

Deposits and advance payments received for tuition and fees related to certain summer programs and tuition received for the following academic year are deferred. Funds received in advance from various grants and contracts are deferred. Deposits and unearned revenue are recorded as revenue when earned.

Deposits held by MSCBA

Deposits held represent funds held by the Massachusetts State College Building Authority for specific projects.

Deposits held by DCAMM

Deposits held represent funds held by the Division of Capital Asset Management and Maintenance for specific projects.

Deposits held by State Treasurer

Deposits held represent funds accessible by the University held by the Commonwealth of Massachusetts for payments on payroll.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

Pensions

For purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Massachusetts State Employees' Retirement System plan ("SERS") and the additions to/deductions from SERS' fiduciary net position have been determined on the same basis as they are reported by SERS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

Student Fees

Student tuition and other fees are presented net of scholarships and fellowships applied to students' accounts. Certain other scholarship amounts paid directly to, or refunded to, the student are generally reflected as expenses.

Fringe Benefits

The University participates in the Commonwealth's fringe benefit programs, including health insurance, unemployment, pension and workers' compensation benefits. Health insurance, unemployment and pension costs are billed through a fringe benefit rate charged to the University. Workers' compensation costs are assessed separately based on the University's actual experience. The Commonwealth requires the University to record, as a liability, its portion of the future estimated workers' compensation benefits to be paid.

Income Tax Status

The University is a component unit of the Commonwealth of Massachusetts and is exempt from Federal income taxes under Section 115 of the Internal Revenue Code. The Foundation is exempt from income taxes under the provisions of Section 501(c)(3) of the Internal Revenue Code.

New Governmental Accounting Pronouncements

GASB Statement 81 – Irrevocable Split-interest Agreements, effective for periods beginning after December 15, 2016 requires a government that receives resources pursuant to an irrevocable split-interest agreement recognize assets, liabilities and deferred inflows of resources at inception of the agreement. It also requires recognition of assets representing the beneficial interest in an irrevocable split-interest agreement administered by a third-party in certain circumstances. Revenues related to these agreements should be recognized when the resources become applicable to the reporting period. Management has not completed its review of the requirements of this standard and its applicability.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

New Governmental Accounting Pronouncements - Continued

GASB Statement 80 – *Blending Requirements for Certain Component Units- an Amendment of GASB Statement No. 14* effective for periods beginning after June 15, 2016, provides additional criterion requiring blending of a component unit incorporated as a not-for-profit corporation in which the primary government is they sole corporate member. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 78 – *Pensions Provided Through Certain Multiple-Employer Defined Benefit Pension Plans* is effective for periods beginning after December 15, 2015 and amends Statement 68 to exclude certain pensions provided to employees of state or local governments that, among other factors, are used to provide pension benefits to governmental and non-governmental employees. The Statement establishes requirements for the recognition and measurement of pension expense, expenditures, and liabilities, note disclosures and required supplementary information. Management has not completed its review of the requirements of this standard and its applicability.

GASB Statement 76 - *The Hierarchy of Generally Accepted Accounting Principles for State and Local Governments*, supersedes similarly named Statement 55 and is effective for reporting periods beginning after June 15, 2015. The objective of this Statement is to identify, in the context of the current governmental financial reporting environment, the hierarchy of generally accepted accounting principles (“GAAP”). The hierarchy consists of the sources of accounting principles used to prepare financial statements of state and local governmental entities in conformity with GAAP and the framework for selecting those principles. GASB 76 reduces the GAAP hierarchy to two categories of authoritative GAAP and addresses the use of authoritative and non-authoritative literature in the event that the accounting treatment of a transaction or other event is not specified within a source of authoritative GAAP. Implementation of this standard had no affect on financial position.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 1 - **Summary of Significant Accounting Policies - Continued**

New Governmental Accounting Pronouncements - Continued

GASB Statement 75 - *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions* is effective for periods beginning after June 15, 2017. This Statement replaces Statement 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pension Plans* and Statement 57, *OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans*. The objective of Statement 75 is to improve accounting and financial reporting by state and local governments for postemployment benefits other than pensions (“OPEB”). It also requires additional information by state and local governmental employers about financial support for OPEB that is provided by other entities. The Statement establishes standards for recognizing and measuring liabilities, deferred outflows and inflows of resources, and expense/expenditures. GASB 75 also identifies the assumptions and methods that are required to be used to project benefit payments, discount projected benefit payments to their actuarial present value and attribute that present value to periods of employee service for defined benefit OPEB. Management has not yet evaluated the effects of the implementation of this Statement.

GASB Statement 73 - *Accounting and Financial Reporting for Pensions and Related Assets That Are Not within the Scope of GASB Statement 68, and Amendments to Certain Provisions of GASB Statements 67 and 68* The provisions of this Statement applicable to the University are effective for periods beginning after June 15, 2015. The purpose of these provisions is to clarify and enhance certain reporting requirements of GASB Statements 67 and 68. GASB Statement 68 is effective for the fiscal year ended June 30, 2015. Implementation of this standard had no affect on financial position.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 2 - **Cash and Equivalents**

Custodial credit risk is associated with the failure of a depository financial institution. In the event of a depository financial institution's failure, the University would not be able to recover its balance in excess of amounts insured by the Federal Deposit Insurance Corporation (FDIC) and other third-party insurance. The University's policy is to mitigate as much custodial risk associated with its cash assets as possible. Deposits in the bank in excess of the insured amounts are uninsured and uncollateralized.

The Treasurer of the Commonwealth of Massachusetts oversees the financial management of the Massachusetts Municipal Depository Trust (MMDT), an external investment pool for cities, towns and other state and local agencies within the Commonwealth. MMDT operates as a Rule 2a-7-like pool and is valued by MMDT's management on amortized cost where the net asset value is \$1 per share. At June 30, 2016 and 2015, the University has \$58,420 and \$58,174, respectively, invested with MMDT and is included in cash and equivalents.

The University has a repurchase agreement with one of its financial institutions. The fair value of the securities held at this institution at June 30, 2016 and 2015 was approximately \$6,000,000 and \$5,844,000, respectively. The University will earn interest on their cash investment at prime rate minus 75 basis points.

The carrying amount of the University's bank deposits and deposits in trust depositories are \$56,834,060 and \$47,879,444, as compared to bank balances of \$58,045,939 and \$48,200,032 at June 30, 2016 and 2015, respectively. The differences between the carrying amount and the bank balances were caused by deposits in-transit and outstanding checks.

Bank balances as of June 30, 2016 and 2015 in the amount of \$51,987,371 and \$42,297,716, respectively, at Peoples Bank and Berkshire Bank are insured by the Massachusetts Depositors Insurance Fund and are therefore not subject to custodial risk. Amounts remaining that are exposed to custodial risk at June 30, 2016 and 2015 were \$6,058,568 and \$5,902,316, respectively.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 3 - **Cash Held by the State Treasurer**

Accounts payable, accrued salaries, wages and withholdings to be funded from state appropriated funds totaled \$3,178,444 and \$1,587,185 at June 30, 2016 and 2015, respectively. The University has recorded a comparable dollar amount of cash held by the State Treasurer for the benefit of the University, which was subsequently used to pay for such liabilities.

Note 4 - **Investments**

University

Short-term investments are categorized according to the level of risk assumed by the University. At June 30, 2016 and 2015, the entire balance of investments represents mutual funds that are held in safekeeping accounts in trust depositories in the name of the University and are uninsured. At June 30, 2016 and 2015, the investments are stated at fair market value, have a maturity of less than one year, and have an unrated quality.

Fair Value Hierarchy

The fair value hierarchy categorizes inputs to valuation techniques used to measure fair value into three levels. Level 1 inputs are quoted market prices for identical assets or liabilities in active markets that a government can access at the measurement date. Level 2 inputs are inputs, other than quoted prices included within Level 1, that are observable for an asset or liability, directly or indirectly. Level 3 inputs are unobservable inputs. The highest priority is assigned to Level 1 inputs and the lowest to Level 3 inputs. If the fair value is measured using inputs from more than one level of the hierarchy, the measurement is considered to be based on the lowest priority input level that is significant to the entire measurement. Valuation techniques used should maximize the use of the observable inputs and minimize the use of unobservable inputs.

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at June 30, 2016 and 2015.

Mutual Funds: Valued at the net asset value of the shares held by the University and the Foundation at year end.

The preceding methods described may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore,

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 4 - **Investments - Continued**

Fair Value Hierarchy – Continued

although the Foundation believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine if the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

At June 30, 2016 and 2015, all investments of the University and Foundation are categorized in Level 1 of the fair value hierarchy.

Foundation

Investments of the Foundation are stated at fair value and consist of the following at June 30:

	<u>2016</u>		<u>2015</u>	
	<u>Market</u>	<u>Cost</u>	<u>Market</u>	<u>Cost</u>
Investments:				
Stock Market Index Fund	\$ 2,606,635	\$ 2,652,076	\$ 3,152,513	\$ 3,217,614
Bond Market Index Fund	1,888,071	1,851,894	1,926,487	1,964,782
International Stock Market Index Fund	<u>1,697,808</u>	<u>1,938,896</u>	<u>1,319,482</u>	<u>1,384,008</u>
	<u>\$ 6,192,514</u>	<u>\$ 6,442,866</u>	<u>\$ 6,398,482</u>	<u>\$ 6,566,404</u>

The following schedule summarizes the investment return net of investment fees and its classification in the statements of revenues and expenses for the year ended June 30:

	<u>2016</u>	<u>2015</u>
Interest and dividends	\$ 142,507	\$ 135,794
Investment expenses	(14,014)	-
Realized gains	(23,717)	1,564,835
Net unrealized gains	<u>(85,736)</u>	<u>(1,503,380)</u>
	<u>\$ 19,040</u>	<u>\$ 197,249</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 5 - **Accounts Receivable**

The composition of the University's accounts receivable at June 30, 2016 and 2015 is summarized as follows:

	<u>2016</u>	<u>2015</u>
Student accounts receivable	\$ 1,693,551	\$ 1,570,241
Grants receivable	230,957	324,628
Other receivables	<u>491,921</u>	<u>812,799</u>
	2,416,429	2,707,668
Less: allowance for doubtful accounts	<u>(1,212,578)</u>	<u>(1,089,664)</u>
	<u>\$ 1,203,851</u>	<u>\$ 1,618,004</u>

Note 6 - **Loans Receivable and Grants Refundable**

Loans receivable consist of the Federal Perkins Loan Program ("Perkins"). The Federal government provides the majority of the funds to support this program. Loan payments received from students made under this program may be re-loaned after collection. The portion of the Perkins program provided by the Federal government, identified as grants refundable on the Statement of Net Position, is refundable to the Federal government upon the termination of the University's participation in the program.

Loans receivable include the following at June 30:

	<u>2016</u>	<u>2015</u>
Perkins loans receivable	\$ 1,151,840	\$ 1,213,326
Less: allowance for doubtful accounts	<u>(517,228)</u>	<u>(495,953)</u>
Total loans receivable, net	634,612	717,373
Less: amount due in one year	<u>(176,935)</u>	<u>(178,385)</u>
Long term loans receivable	<u>\$ 457,677</u>	<u>\$ 538,988</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 7 - **Related Party Transactions**

University

The University provides certain personnel and payroll services to the Foundation at no charge.

A member of the Board of Trustees of the University is the President of Westfield Bank with which the University has entered into a repurchase agreement with. The bank holds deposits of approximately \$6,000,000 and \$5,844,000 as of June 30, 2016 and 2015, respectively.

Foundation

A member of the Board of Directors is a principal in a firm that provided \$2,850 and \$1,950 in legal service to the Foundation during the years ended June 30, 2016 and 2015, respectively.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 8 - **Capital Assets**

The University's capital asset activity for the year ended June 30, 2016 is summarized as follows:

	June 30, 2016					
	Estimated lives (in years)	Beginning Balance	Additions	Retirements	Reclassifications	Ending Balance
Capital assets, not depreciable:						
Land	-	\$ 1,223,862	\$ -	\$ -	\$ -	\$ 1,223,862
Construction-in-progress	-	<u>9,914,856</u>	<u>26,994,625</u>	<u>-</u>	<u>-</u>	<u>36,909,481</u>
Total		<u>11,138,718</u>	<u>26,994,625</u>	<u>-</u>	<u>-</u>	<u>38,133,343</u>
Depreciable:						
Buildings, including improvements	20-40	92,857,582	299,044	-	-	93,156,626
Land improvements	20	2,104,294	-	-	-	2,104,294
Leasehold improvements	5	271,083	-	-	-	271,083
Equipment and furnishings	3-10	24,647,338	1,219,877	856,680	-	25,010,535
Library books	5	7,206,947	39,160	-	-	7,246,107
Vehicles	5	<u>1,427,997</u>	<u>33,820</u>	<u>-</u>	<u>-</u>	<u>1,461,817</u>
Total		<u>128,515,241</u>	<u>1,591,901</u>	<u>856,680</u>	<u>-</u>	<u>129,250,462</u>
Less accumulated depreciation:						
Buildings, including improvements		43,011,027	2,720,884	-	-	45,731,911
Land improvements		1,039,473	104,596	-	-	1,144,069
Leasehold improvements		271,083	-	-	-	271,083
Equipment and furnishings		19,409,661	1,761,433	832,718	-	20,338,376
Library books		7,118,210	43,956	-	-	7,162,166
Vehicles		<u>1,024,343</u>	<u>156,988</u>	<u>-</u>	<u>-</u>	<u>1,181,331</u>
Total accumulated depreciation		<u>71,873,797</u>	<u>4,787,857</u>	<u>832,718</u>	<u>-</u>	<u>75,828,936</u>
Capital Assets, Net		<u>\$ 67,780,162</u>	<u>\$ 23,798,669</u>	<u>\$ 23,962</u>	<u>\$ -</u>	<u>\$ 91,554,869</u>

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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 8 - **Capital Assets - Continued**

The University's capital asset activity for the year ended June 30, 2015 is summarized as follows:

	June 30, 2015					
	Estimated lives (in years)	Beginning Balance	Additions	Retirements	Reclassifications	Ending Balance
Capital assets, not depreciable:						
Land	-	\$ 1,223,862	\$ -	\$ -	\$ -	\$ 1,223,862
Construction-in-progress	-	<u>2,127,541</u>	<u>8,342,815</u>	<u>-</u>	<u>(555,500)</u>	<u>9,914,856</u>
Total		<u>3,351,403</u>	<u>8,342,815</u>	<u>-</u>	<u>(555,500)</u>	<u>11,138,718</u>
Depreciable:						
Buildings, including improvements	20-40	91,253,344	1,048,738	-	555,500	92,857,582
Land improvements	20	2,104,294	-	-	-	2,104,294
Leasehold improvements	5	271,083	-	-	-	271,083
Equipment and furnishings	3-10	23,833,671	1,457,180	643,513	-	24,647,338
Library books	5	7,167,687	39,260	-	-	7,206,947
Vehicles	5	<u>1,383,503</u>	<u>92,014</u>	<u>47,520</u>	<u>-</u>	<u>1,427,997</u>
Total		<u>126,013,582</u>	<u>2,637,192</u>	<u>691,033</u>	<u>555,500</u>	<u>128,515,241</u>
Less accumulated depreciation:						
Buildings, including improvements		40,305,095	2,705,932	-	-	43,011,027
Land improvements		934,877	104,596	-	-	1,039,473
Leasehold improvements		271,083	-	-	-	271,083
Equipment and furnishings		18,231,826	1,813,074	635,239	-	19,409,661
Library books		7,063,799	54,411	-	-	7,118,210
Vehicles		<u>916,095</u>	<u>155,768</u>	<u>47,520</u>	<u>-</u>	<u>1,024,343</u>
Total accumulated depreciation		<u>67,722,775</u>	<u>4,833,781</u>	<u>682,759</u>	<u>-</u>	<u>71,873,797</u>
Capital Assets, Net		<u>\$ 61,642,210</u>	<u>\$ 6,146,226</u>	<u>\$ 8,274</u>	<u>\$ -</u>	<u>\$ 67,780,162</u>

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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 9 - **Student Deposits and Unearned Revenue**

Student deposits and unearned revenue includes tuition received in advance from students for summer courses commencing after June 30, the subsequent fall semester, and grant funds received in advance. Student deposits and unearned revenue of the University include the following as of June 30:

	<u>2016</u>	<u>2015</u>
Tuition and fees	\$ 921,194	\$ 1,026,816
Grants	<u>43,343</u>	<u>102,497</u>
Total student deposits and unearned revenue	\$ <u>964,537</u>	\$ <u>1,129,313</u>

Note 10 - **Deferred Inflows of Resources**

The University has entered into two agreements, categorized as service concession arrangements per GASB 60 *Accounting and Reporting for Service Concession Arrangements*, with certain vendors for the provision of beverages and dining and related services. As part of these arrangements, the vendors provided the University with \$3,442,715 for the purpose of improvements of the related facilities and \$30,000 in support of the mission of the University. In accordance with GASB 65, *Items Previously Reported as Assets and Liabilities*, the University has accounted for these funds as deferred inflows of resources and will amortize the amounts into income over the life of the respective agreements. In June, 2016 the University terminated its agreement with its dining provider and paid \$772,434 which represented the unamortized portion of its service concessions arrangement.

Recognition of the beverage monies in annual revenue is as follows:

Years Ending <u>June 30,</u>	
2017	\$ 6,000
2018	<u>6,000</u>
	\$ <u>12,000</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 11 - **Line of Credit**

The Foundation has a \$1,000,000 line of credit with a bank, secured by certain investments bearing interest at 3.50%. The balance outstanding on the line of credit was \$189,600 at June 30, 2016 and \$247,200 at June 30, 2015, respectively.

Note 12 - **Long-Term Liabilities**

Long-term liabilities at June 30, 2016 consist of:

	June 30, 2016				
	<u>Beginning</u>			<u>Ending</u>	<u>Current</u>
	<u>Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Balance</u>	<u>Portion</u>
Leases and bonds payable:					
Lease obligations	\$ 279,158	\$ -	\$ 120,271	\$ 158,887	\$ 95,905
Bonds payable	23,653,743	-	812,825	22,840,918	1,034,018
Bonds premium	<u>2,684,156</u>	<u>-</u>	<u>200,600</u>	<u>2,483,556</u>	<u>158,904</u>
Total leases and bonds payable	<u>26,617,057</u>	<u>-</u>	<u>1,133,696</u>	<u>25,483,361</u>	<u>1,288,827</u>
Other long-term liabilities:					
Compensated absences	6,478,340	-	189,711	6,288,629	4,729,060
Workers' compensation	909,969	-	143,677	766,292	161,688
Grants refundable	834,828	-	169,500	665,328	-
Net pension liability	<u>16,195,411</u>	<u>13,916,179</u>	<u>-</u>	<u>30,111,590</u>	<u>-</u>
Total other long-term liabilities	<u>24,418,548</u>	<u>13,916,179</u>	<u>502,888</u>	<u>37,831,839</u>	<u>4,890,748</u>
Total	<u>\$ 51,035,605</u>	<u>\$ 13,916,179</u>	<u>\$ 1,636,584</u>	<u>\$ 63,315,200</u>	<u>\$ 6,179,575</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 12 - **Long-Term Liabilities - Continued**

Long-term liabilities at June 30, 2015 consist of:

	June 30, 2015				
	Restated Beginning <u>Balance</u>	<u>Additions</u>	<u>Reductions</u>	Ending <u>Balance</u>	Current <u>Portion</u>
Leases and bonds payable:					
Lease obligations	\$ 337,616	\$ 89,764	\$ 148,222	\$ 279,158	\$ 120,270
Bonds payable	14,337,877	10,090,000	774,134	23,653,743	812,857
Bonds premium	<u>1,133,882</u>	<u>1,656,598</u>	<u>106,324</u>	<u>2,684,156</u>	<u>134,480</u>
Total leases and bonds payable	<u>15,809,375</u>	<u>11,836,362</u>	<u>1,028,680</u>	<u>26,617,057</u>	<u>1,067,607</u>
Other long-term liabilities:					
Compensated absences	5,998,680	479,660	-	6,478,340	4,937,652
Workers' compensation	891,315	18,654	-	909,969	198,373
Grants refundable	994,606		159,778	834,828	-
Net pension liability	<u>18,803,377</u>	<u>-</u>	<u>2,607,966</u>	<u>16,195,411</u>	<u>-</u>
Total other long-term liabilities	<u>26,687,978</u>	<u>498,314</u>	<u>2,767,744</u>	<u>24,418,548</u>	<u>5,136,025</u>
Total	<u>\$ 42,497,353</u>	<u>\$ 12,334,676</u>	<u>\$ 3,796,424</u>	<u>\$ 51,035,605</u>	<u>\$ 6,203,632</u>

Bonds Payable

In December 2014, the University entered into a financing agreement with the MSCBA for partial funding of a new Science Center building. The source of financing for the project is based on the issuance of Project Revenue Bonds issued by MSCBA on behalf of the University (Series 2014B). Through its agreements with MSCBA, the University will repay this debt in semi-annual installments, starting November 1, 2015 and ending May 1, 2044, at an annual variable coupon rate averaging 5.0%. MSCBA requires that the University maintain a debt service reserve. At June 30, 2016 and 2015, the balance on the bond was \$11,628,057 and \$11,718,440, respectively.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 12 - **Long-Term Liabilities - Continued**

Bonds Payable - Continued

In November 2011, the University entered into a financing agreement with the MSCBA for an expansion of the wellness center, and the relocation of the food services and other student areas in Ely Hall. The source of financing for the project is based on the issuance of Project Revenue Bonds issued by MSCBA on behalf of the University (Series 2012A). Through its agreements with MSCBA, the University has an agreement to repay this debt in semi-annual installments, starting November 1, 2012 and ending May 1, 2031, at an annual variable coupon rate averaging 4.9%. A debt service reserve fund is not required under this financing arrangement. At June 30, 2016 and 2015 the balance on the bond was \$7,797,562 and \$8,170,734, respectively.

During November 2010, the University borrowed \$226,065 in clean renewable energy bonds issue Series 2010A-14 with the Massachusetts Development Finance Agency ("MDFA"). The Series 2010A-14 bonds are payable in annual principal installments of \$13,298 through fiscal year 2027. Interest is payable semiannually at a fixed interest rate of 3.5%. MDFA requires no debt reserve. At June 30, 2016 and 2015 the balance on the bond was \$146,277 and \$159,575, respectively.

In December 2010, the University entered into a financing agreement with the MSCBA for an expansion of a dining facility. The source of financing for the project is based on the issuance of Project Revenue Bonds issued by MSCBA on behalf of the University (Series 2010A and 2010B). Through its agreements with MSCBA, the University has an agreement to repay this debt in semi-annual installments, starting May 1, 2011 and ending May 1, 2030, at an annual variable coupon rate averaging 5.5%. MSCBA requires that the University maintain a debt service reserve. At June 30, 2016 and 2015 the balance on the bond was \$3,486,689 and \$3,717,029, respectively.

In August 2002, the University borrowed \$5,816,000 in tax-exempt revenue bonds issue Series M-2 with the Massachusetts Health and Educational Facilities Authority ("MHEFA"). The Series M-2 bonds are payable in annual installments through fiscal year 2022 with principal amounts ranging between approximately \$242,000 and \$435,000. Interest is payable monthly at a predetermined varying rate (0.503% as of June 30, 2016). MHEFA requires that the University maintain a debt service reserve. At June 30, 2016 and 2015 the balance on the bond was \$2,265,889 and \$2,572,121, respectively.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 12 - **Long-Term Liabilities - Continued**

Bonds Payable - Continued

The University has a \$2,265,889 letter of credit agreement with Bank of America in support of the above MHEFA revenue bonds. Under the terms of the agreement, the University has pledged its right to receive continuing education tuition and fees, general fees, technical fees and miscellaneous fees as collateral to Bank of America. The agreement also places certain limits on the University with regard to incurring additional debt; requires the University to maintain a minimum amount of unrestricted cash and equivalents, and to maintain a debt service ratio and debt service reserve fund. Fees paid under the terms of the agreement were \$34,189 and \$42,787 at June 30, 2016 and 2015, respectively. As of June 30, 2016 and 2015, there is no outstanding balance on the letter of credit, respectively.

Maturities of the bonds payable subsequent to June 30, 2016 are as follows:

Years Ended <u>June 30,</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2017	\$ 1,192,922	\$ 959,082	\$ 2,152,004
2018	1,236,760	926,072	2,162,832
2019	1,283,930	896,254	2,180,184
2020	1,331,179	865,967	2,197,146
2021	1,384,712	832,576	2,217,288
2022-2026	5,887,802	3,553,356	9,441,158
2027-2031	6,228,104	2,333,794	8,561,898
2032-2036	2,223,311	1,400,250	3,623,561
2037-2041	2,678,176	852,750	3,530,926
2042-2044	<u>1,877,578</u>	<u>187,500</u>	<u>2,065,078</u>
	<u>\$ 25,324,474</u>	<u>\$ 12,807,601</u>	<u>\$ 38,132,075</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 12 - **Long-Term Liabilities - Continued**

Capital Lease Obligations

The following schedule summarizes future minimum payments under non-cancelable capital leases as of June 30, 2016:

	<u>Principal</u>	<u>Imputed Interest</u>	<u>Total</u>
2017	\$ 95,905	\$ 4,862	\$ 100,767
2018	<u>62,982</u>	<u>1,423</u>	<u>64,405</u>
	<u>\$ 158,887</u>	<u>\$ 6,285</u>	<u>\$ 165,172</u>

The following is a summary of property held under capital lease as of June 30, 2016:

Equipment	\$ 649,704
Less: accumulated depreciation	<u>(399,214)</u>
	<u>\$ 250,490</u>

Note 13 - **Pension**

Defined Benefit Plan Description

The University makes contributions for employees paid by state appropriations through a benefit charge assessed by the Commonwealth. Such pension expense amounted to \$2,528,000 and \$2,653,000 for the years ended June 30, 2016 and 2015, respectively. Employees, who contribute a percentage of their regular compensation, fund the annuity portion of the Retirement System. Annual covered payroll was approximately 88% of annual total payroll for the University for the years ended June 30, 2016 and 2015, respectively.

Certain employees of the University participate in a cost-sharing multiple-employer defined benefit pension plan – the Massachusetts State Employees’ Retirement System ("SERS") – administered by the Massachusetts State Board of Retirement (the “Board”), which is a public employee retirement system (“PERS”). Under a cost-sharing plan, pension obligations for employees of all employers are pooled and plan assets are available to pay the benefits through the plan, regardless of the status of the employers’ payment of its pension obligations to the plan. The plan provides retirement and disability benefits and death benefits to plan members and beneficiaries.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 13 - **Pension - Continued**

Defined Benefit Plan Description – Continued

The Massachusetts State Employee's Retirement System does not issue a stand-alone financial statement.

Benefit Provisions

SERS provides retirement, disability, survivor and death benefits to members and their beneficiaries. Massachusetts General Laws ("MGL") establishes uniform benefit and contribution requirements for all contributory PERS. These requirements provide for superannuation retirement allowance benefits up to a maximum of 80% of a member's highest three-year average annual rate of regular compensation. For employees hired after April 1, 2012, retirement allowances are calculated based on the last five years or any five consecutive years, whichever is greater in terms of compensation. Benefit payments are based upon a member's age, length of creditable service, and group creditable service, and group classification. The authority for amending these provisions rests with the Legislature.

Members become vested after ten years of creditable service. A superannuation retirement allowance may be received upon the completion of twenty years of service or upon reaching the age of 55 with ten years of service. Normal retirement for most employees occurs at age 65; for certain hazardous duty and public safety positions, normal retirement is at age 55. Most employees who joined the system after April 1, 2012 cannot retire prior to age 60.

Contributions

The SERS' funding policies have been established by Chapter 32 of the MGL. The Legislature has the authority to amend these policies. The annuity portion of the SERS retirement allowance is funded by employees, who contribute a percentage of their regular compensation. Costs of administering the plan are funded out of plan assets.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 13 - **Pension - Continued**

Contributions - Continued

Member contributions for SERS vary depending on the most recent date of membership:

<u>Hire Date</u>	<u>Percent of Compensation</u>
Prior to 1975	5% of regular compensation
1975 - 1983	7% of regular compensation
1984 to 6/30/1996	8% of regular compensation
7/1/1996 to present	9% of regular compensation except for State Police which is 12% of regular compensation
1979 to present	An additional 2% of regular compensation in excess of \$30,000

The University is required to contribute at an actuarially determined rate; the rate was 9.45% and 10.39% of annual covered payroll for the fiscal year ended June 30, 2016 and 2015, respectively. The University contributed \$1,586,274 and \$1,656,130, for the fiscal years ended June 30, 2016 and 2015, respectively, equal to 100% of the required contributions for each year.

Pension Liabilities, Pension Expense and Deferred Outflows of Resources and Deferred Inflows of Resources

At June 30, 2016 and 2015, the University reported a liability of \$30,111,590 and \$16,195,411, respectively, for its proportionate share of the net pension liability related to its participation in SERS. The net pension liability was measured as of June 30, 2015 and 2014, the measurement date, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of January 1, 2015 and 2014 rolled forward to June 30, 2015 and 2014. The University's proportion of the net pension liability was based on its share of the Commonwealth of Massachusetts collective pension amounts allocated on the basis of actual fringe benefit charges assessed to the University for the fiscal year 2015 and 2014. The Commonwealth's proportionate share was based on actual employer contributions to SERS for fiscal year 2015 and 2014 relative to total contributions of all participating employers for that fiscal year. At June 30, 2015 and 2014, the University's proportion was 0.289% and 0.253%, respectively.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 13 - **Pension - Continued**

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources - Continued

For the years ended June 30, 2016 and 2015, the University recognized a net pension expense of \$2,639,609 and \$1,311,392, respectively. The University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources at June 30:

	<u>2016</u>	<u>2015</u>
<u>Deferred Outflows of Resources</u>		
Contributions subsequent to the measurement date	\$ 1,586,274	\$ 1,656,130
Differences between expected and actual experience	595,204	-
Changes in plan actuarial assumptions	5,214,710	182,054
Changes in proportion due to internal allocation	<u>3,788,742</u>	<u>511,473</u>
Total	<u>\$ 11,184,930</u>	<u>\$ 2,349,657</u>
<u>Deferred Inflows of Resources</u>		
Net differences between projected and actual earnings on pension plan investments	\$ 865,282	\$3,324,089
Changes in proportion to Commonwealth	<u>23,117</u>	<u>5,607</u>
Total	<u>\$ 888,399</u>	<u>\$ 3,329,696</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 13 - **Pension - Continued**

*Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and
Deferred Inflows of Resources - Continued*

The University's contributions of \$1,586,274 and \$1,656,130 made during the fiscal years ending 2016 and 2015, respectively, subsequent to the measurement date will be recognized as a reduction of the net pension liability in each of the succeeding years. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized as increases (decreases) in pension expense as follows:

Years Ending <u>June 30,</u>	
2016	\$ 1,782,389
2017	1,782,389
2018	1,782,389
2019	2,767,327
2020	<u>595,763</u>
	<u>\$ 8,710,257</u>

Actuarial Assumptions

The total pension liability was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Measurement date	June 30, 2015	June 30, 2014
Inflation	3.00%	3.00%
Salary increases	3.50% to 9.00%	3.50% to 9.00%
Investment rate of return	7.50%	8.00%
Interest rate credited to annuity savings fund	3.50%	3.50%

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 13 - **Pension - Continued**

Actuarial Assumptions - Continued

For measurement dates June 30, 2015 and 2014, mortality rates were based on the pre-retirement of RP-2000 Employees table projected 20 years with Scale BB and Scale AA, (gender distinct), respectively, and post-retirement of Healthy Annuitant table projected 15 years with Scale BB and AA (gender distinct), respectively.

The actuarial assumptions used in the January 1, 2015 valuation rolled forward to June 30, 2015 and the calculation of the total pension liability at June 30, 2015 were consistent with the results of the actuarial experience study performed as of January 1, 2015.

Investment assets of SERS are with the Pension Reserves Investment Trust (“PRIT”) Fund. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimate ranges of expected future rates of return are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future rates of return by the target asset allocation percentage. Best estimates of geometric rates of return for each major asset class included in the PRIT Fund’s target asset allocation as of June 30, are summarized in the following table:

Asset Class	2015		2014	
	Target Allocation	Long-term expected real rate of return	Target Allocation	Long-term expected real rate of return
Global Equity	40%	6.90%	43%	7.20%
Core Fixed Income	13%	2.40%	13%	2.50%
Hedge Funds	9%	5.80%	10%	5.50%
Private Equity	10%	8.50%	10%	8.80%
Real Estate	10%	6.50%	10%	6.30%
Portfolio Completion Strategies	4%	5.50%	0%	0.00%
Value Added Fixed Income	10%	5.80%	10%	6.30%
Timber/Natural Resources	4%	6.60%	4%	5.00%
	100%		100%	

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 13 - **Pension - Continued**

Discount Rate

The discount rate used to measure the total pension liability was 7.50% and 8.00% for the years ended June 30, 2015 and 2014, respectively. The projection of cash flows used to determine the discount rate assumed that plan member contributions will be made at the current contribution rates and the Commonwealth's contributions will be made at rates equal to the difference between actuarially determined contributions rates and the member rates. Based on those assumptions, the net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

Sensitivity of the Net Pension Liability to Changes in the Discount Rate

The following table illustrates the sensitivity of the net pension liability calculated using the discount rate of 7.50 and 8.00 percent for the years ended June 30, 2015 and 2014, respectively, as well as what the net pension liability would be if it were calculated using a discount rate that is one-percentage-point lower or one-percentage-point higher than the current rate.

June 30, 2016		
Current		
1.00% Decrease (6.50%)	Discount Rate (7.50%)	1.00% Increase (8.50%)
\$ 40,931,531	\$ 30,111,589	\$ 20,779,240
June 30, 2015		
Current		
1.00% Decrease (7.00%)	Discount Rate (8.00%)	1.00% Increase (9.00%)
\$ 23,446,365	\$ 16,195,411	\$ 9,971,468

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 14 - **Operating Leases**

During fiscal year 2011, the University entered into a lease agreement for an apartment building to be used for student housing, expiring in July 2021. The University also leases office equipment under non-cancelable operating leases with various expiration dates through 2021. Total rent expense under these lease agreements was approximately \$1,540,000 and \$1,578,000 for the years ended June 30, 2016 and 2015, respectively.

Future minimum payments related to these leases are as follows:

Years Ending <u>June 30,</u>	
2017	\$ 1,648,676
2018	1,680,920
2019	1,711,973
2020	1,638,304
2021	1,641,877
2022	<u>104,893</u>
Total	<u>\$ 8,426,643</u>

Note 15 - **Restricted Net Position**

The University is the recipient of funds that are subject to various external constraints upon their use, either as to purpose or time. These funds are comprised of the following at June 30:

	<u>2016</u>	<u>2015</u>
Restricted - expendable:		
Scholarships and fellowships	\$ 448,454	\$ 344,063
Loans	15,095	15,095
Capital projects	660,398	503,105
Grants	<u>296,054</u>	<u>119,273</u>
	<u>\$ 1,420,001</u>	<u>\$ 981,536</u>

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 15 - **Restricted Net Position – Continued**

The Foundation's restricted - nonexpendable and expendable net position consists of investments to be utilized for various scholarships and program support as of June 30, 2016 and 2015.

Note 16 - **Operating Expenses**

The University's operating expenses, on a natural classification basis, are comprised of the following at June 30:

	<u>2016</u>	<u>2015</u>
Compensation and benefits	\$ 71,571,830	\$ 66,392,422
Supplies and services	34,901,294	35,456,436
Depreciation and amortization	4,787,857	4,833,781
Scholarships and fellowships	<u>2,395,789</u>	<u>2,343,220</u>
	<u>\$ 113,656,770</u>	<u>\$ 109,025,859</u>

Note 17 - **Fringe Benefits**

Fringe Benefit Programs

The University participates in the Commonwealth's Fringe Benefit programs, including active employee and post-employment health insurance, unemployment, pension, and workers' compensation benefits. Health insurance and pension costs (described in the previous paragraphs) for active employees and retirees are paid through a fringe benefit rate charged to the University by the Commonwealth.

Group Insurance Commission

In addition to providing pension benefits, under Chapter 32A of the Massachusetts General Laws, the Commonwealth is required to provide certain health care and life insurance benefits for retired employees of the Commonwealth, housing authorities, redevelopment authorities, and certain other governmental agencies. Substantially all of the Commonwealth's employees may become eligible for these benefits, if they reach retirement age while working for the Commonwealth. Eligible retirees are required to contribute a specified percentage of the health care benefit costs, which is comparable to contributions required from employees. The Commonwealth is reimbursed for the cost of benefits to retirees of the eligible authorities and non-state agencies.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 17 - **Fringe Benefits - Continued**

Group Insurance Commission - Continued

The Commonwealth's Group Insurance Commission (GIC) was established by the Legislature in 1955 to provide and administer health insurance and other benefits to the Commonwealth's employees and retirees, and their dependents and survivors. The GIC also covers housing and redevelopment authorities' personnel, certain authorities and other offline agencies, retired municipal teachers from certain cities and towns and a small amount of municipalities as an agent multiple employer program, accounted for as an agency fund activity of the Commonwealth, not the University.

The GIC administers a plan included within the State Retirement Benefits Trust Fund, an irrevocable trust. Any assets accumulated in excess of liabilities to pay premiums or benefits or administrative expenses are returned to the Commonwealth's General Fund. The GIC's administrative costs are financed through Commonwealth appropriations and employee investment returns. The Legislature determines employees' and retirees' contribution rates.

The GIC is a quasi-independent state agency governed by an eleven member body (the "Commission") appointed by the Governor. The GIC is located administratively within the Executive Office of Administration and Finance and is responsible for providing health insurance and other benefits to the Commonwealth's employees and retirees and their survivors and dependents.

During the fiscal year ended June 30, 2016, the GIC provided health insurance for its members through indemnity, PPO, and HMO plans.

The GIC also administers carve-outs for pharmacy, mental health, and substance abuse benefits for certain of its health plans. In addition to health insurance, the GIC sponsors life insurance, long-term disability insurance (for active employees only), dental and vision coverage (for employees not covered by collective bargaining), retiree discount vision and dental plans, and a pre-tax health care spending account and dependent care assistance program (for active employees only).

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 18 - **Commitments and Contingencies**

The University is exposed to various risks of loss related to torts, theft of, damage to, and destruction of assets, errors and omissions, and natural disasters for which the Commonwealth is self-insured.

Various lawsuits are pending or threatened against the University, which arise in the ordinary course of operations. In the opinion of management no litigation is now pending or threatened that would materially affect the University's financial position.

The University receives significant financial assistance from Federal and state agencies in the form of grants. Expenditures of funds under these programs require compliance with the grant agreements and are subject to audit. Any disallowed expenditure resulting from such audits become a liability of the University. In the opinion of management, such adjustments, if any, are not expected to materially affect the financial condition of the University.

The University participates in the Massachusetts College Savings Prepaid Tuition Program (the "Program"). This Program allows individuals to pay in advance for the future tuition at the cost of tuition at the time of election to participate, increased by changes in the Consumer Price Index plus 2%. The University is obligated to accept as payment of tuition the amount determined by this Program without regard to the standard tuition rate in effect at the time of the individual's enrollment at the University. The effect of the program cannot be determined as it is contingent on future tuition increases and the Program participants who attend the University.

Note 19 - **Massachusetts Management Accounting and Reporting System**

Section 15C of Chapter 15A of the Massachusetts General Laws requires Commonwealth Colleges and Universities to report activity of campus based funds to the Comptroller of the Commonwealth on the Commonwealth's Statewide Accounting System, Massachusetts Management Accounting and Reporting System, ("MMARS") on the statutory basis of accounting. The statutory basis of accounting is a modified accrual basis of accounting and differs from the information included in these financial statements. Management believes the amounts reported on MMARS meet the guidelines of the Comptroller's *Guide for Higher Education Audited Financial Statements*.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 19 - **Massachusetts Management Accounting and Reporting System - Continued**

The University's state appropriations are composed of the following at June 30:

	<u>2016</u>	<u>2015</u>
Direct unrestricted appropriations	\$ 26,825,229	\$ 26,406,905
Add: Fringe benefits for benefited employees on the state payroll	7,803,492	6,964,420
Less: 9C cuts	-	(372,446)
Less: Day school tuition remitted to the state and included in tuition and fee revenue	<u>(1,203,260)</u>	<u>(1,015,912)</u>
Total unrestricted appropriations	33,425,461	31,982,967
Capital appropriations	16,450,315	8,164,696
Restricted appropriations	<u>26,022</u>	<u>94,599</u>
Total appropriations	\$ <u>49,901,798</u>	\$ <u>40,242,262</u>

No timing differences occurred where the University had additional revenue that was reported to MMARS after June 30, 2016 and 2015.

Note 20 - **Pass-Through Grants**

The University distributed \$30,432,307 and \$30,386,201 as of June 30, 2016 and 2015, respectively, for student loans through the U.S. Department of Education Federal direct lending program. These distributions and related funding sources are not included as expenses and revenues, or as cash disbursements and cash receipts in the accompanying financial statements.

WESTFIELD STATE UNIVERSITY
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Notes to the Financial Statements - Continued

June 30, 2016 and 2015

Note 21 - **Massachusetts State College Building Authority**

The MSCBA was created pursuant to Chapter 703 of the Acts of 1963 by the Commonwealth as a public instrumentality for the general purpose of providing dormitories, dining commons and other facilities primarily for use by students of the state universities of the Commonwealth. The University is charged a semi-annual revenue assessment that is based on a certified occupancy report, the current rent schedule, and the design capacity for each of the residence halls. This revenue assessment is used by MSCBA to pay principal and interest due on its long-term debt obligations. These obligations may include the costs of periodic renovations and improvements to the residence halls. The Commonwealth guarantees these obligations. The Revenue Assessments for the residence halls for the years ended June 30, 2016 and 2015 were \$10,227,375 and \$10,403,795, respectively. All facilities and obligations of the MSCBA are included in the financial statements of the MSCBA.

Dormitory trust fund reports included as supplemental information include revenues and expenses, which are included in auxiliary enterprises revenues and expenses.

**REQUIRED SUPPLEMENTARY
INFORMATION**

WESTFIELD STATE UNIVERSITY
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Schedules of Proportionate Share of the Net Pension Liability
(Unaudited)

Valuation date	January 1, 2015	January 1, 2014
Measurement date	June 30, 2015	June 30, 2014
Proportion of the net collective pension liability	0.289%	0.218%
Proportionate share of the collective net pension liability	\$ 30,111,590	\$ 16,195,411
Covered-employee payroll	\$ 15,939,644	\$ 16,181,450
Proportionate share of the net pension liability as a percentage of its covered-employee payroll	188.91%	100.09%
Plan fiduciary net position as a percentage of the plan's total pension liability	67.87%	76.32%

Notes:

The GASB pronouncement requiring the presentation of the information on this schedule became effective for years beginning after June 15, 2015 and is intended to provide data for the most recent ten years.

See accompanying notes to the required supplemental information.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Schedules of Contributions (Unaudited)

For the Years Ended June 30,

	<u>2016</u>	<u>2015</u>
Contractually required contribution	\$ 1,586,274	\$ 1,656,130
Contributions in relation to the contractually required contribution	<u>1,586,274</u>	<u>1,656,130</u>
Contribution excess	<u>\$ -</u>	<u>\$ -</u>
Covered-employee payroll	\$ 16,780,213	\$ 15,939,654
Contribution as a percentage of covered-employee payroll	9.45%	10.39%

Notes:

Employers participating in the Massachusetts State Employees' Retirement System are required by MA General Laws, Section 32, to contribute an actuarially determined contribution rate each year

The GASB pronouncement requiring the presentation of the information on this schedule became effective for years beginning after June 15, 2015 and is intended to provide data for the most recent ten years

See accompanying notes to the required supplemental information.

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Notes to the Required Supplementary Information
(Unaudited)

For the Year Ended June 30, 2016 and 2015

Note 1 - **Change in Assumptions**

Changes in assumptions about the discount rate from 8.0% to 7.50%, using different scales within mortality tables, and other inputs resulted in additional plan wide pension expense of \$2.33 billion dollars to be charged to income over an amortization period of 5.5 years beginning with the fiscal year ended June 30, 2016. Previously, changes in assumptions about future economic or demographic factors and inputs resulted in additional plan wide pension expense of \$102 million dollars to be charged to income over an amortization period of 5.5 years beginning with the fiscal year ended June 30, 2015. The unamortized portion of the change is reported as a deferred outflow of resources in the statements of net position. The University's proportionate share of the net pension liability and the results of changes in assumptions is 0.289% and 0.218% respectively, as shown on the Schedules of Proportionate Share of Net Pension Liability, and represents the relationship of contributions made by the University to total contributions by all participating State Agencies.

The University's portion of these amounts is as follows:

	<u>2016</u>	<u>2015</u>
Changes in assumptions	\$ 6,345,724	\$ 222,510
Recognized in current year pension expense	<u>1,131,014</u>	<u>40,456</u>
Changes in assumptions	<u>\$ 5,214,710</u>	<u>\$ 182,054</u>

SUPPLEMENTAL INFORMATION

WESTFIELD STATE UNIVERSITY
 (an agency of the Commonwealth of Massachusetts)

Schedules of Net Position
Dormitory Trust Fund Report (Unaudited)

For the Years Ended June 30,

Assets

	<u>2016</u>	<u>2015</u>
Current Assets:		
Cash and equivalents	\$ 7,820,069	\$ 6,693,428
Accounts receivable, net	165,022	144,981
Deposits held by State Treasurer	302,338	306,425
Other current assets	<u>6,932</u>	<u>44,295</u>
Total Assets	<u>\$ 8,294,361</u>	<u>\$ 7,189,129</u>

Liabilities and Net Position

Current Liabilities:		
Accounts payable and accrued liabilities	\$ 273,766	\$ 271,903
Accrued employee compensation and benefits	537,773	506,008
Deposits held for others	559,100	570,585
Other liabilities	<u>1,426</u>	<u>776</u>
Total Current Liabilities	<u>1,372,065</u>	<u>1,349,272</u>
Noncurrent Liability:		
Accrued employee compensation and benefits	<u>54,741</u>	<u>44,522</u>
Total Liabilities	<u>1,426,806</u>	<u>1,393,794</u>
Net Position:		
Unrestricted	<u>6,867,555</u>	<u>5,795,335</u>
Total Liabilities and Net Position	<u>\$ 8,294,361</u>	<u>\$ 7,189,129</u>

WESTFIELD STATE UNIVERSITY
(an agency of the Commonwealth of Massachusetts)

Schedules of Revenues, Expenses and Changes in Net Position
Dormitory Trust Fund Report (Unaudited)

For the Years Ended June 30, 2016 and 2015

	<u>2016</u>	<u>2015</u>
Operating Revenues:		
Room rent	\$ 18,221,528	\$ 17,234,260
Infrastructure fees	-	274,850
Other sources	98,748	101,969
Deposits forfeited	76,606	95,110
Commissions - laundry	69,533	65,543
Commissions - vending	42,663	42,314
University support	<u>150,000</u>	<u>150,000</u>
Total Operating Revenues	<u>18,659,078</u>	<u>17,964,046</u>
Operating Expenses:		
Employee compensation	2,614,952	2,593,917
Energy costs	1,491,301	1,777,031
Pension and insurance	818,036	736,930
Special employees	755,235	611,932
Operational services	446,604	424,170
Scholarships	339,588	350,000
Repairs and maintenance	267,208	143,770
Facility operations supplies	350,327	283,045
Administrative	79,916	65,996
Equipment purchase	96,306	130,247
Equipment lease, rental and maintenance	31,939	30,389
Consultant services	53,864	29,574
Student travel	2,631	2,026
Employee related	11,576	12,929
Annual payment to the Massachusetts State College Building Authority	<u>10,227,375</u>	<u>10,403,795</u>
Total Operating Expenses	<u>17,586,858</u>	<u>17,595,751</u>
Increase in Net Position	<u>1,072,220</u>	<u>368,295</u>
Net Assets, Beginning of Year	<u>5,795,335</u>	<u>5,427,040</u>
Net Assets, End of Year	<u>\$ 6,867,555</u>	<u>\$ 5,795,335</u>

**INDEPENDENT AUDITORS' REPORT ON
INTERNAL CONTROL OVER FINANCIAL
REPORTING AND ON COMPLIANCE AND OTHER
MATTERS BASED ON AN AUDIT OF FINANCIAL
STATEMENTS PERFORMED IN ACCORDANCE
WITH *GOVERNMENT AUDITING STANDARDS***



INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*

To the Board of Trustees of
Westfield State University
Westfield, Massachusetts

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Westfield State University (the "University"), which comprise the statement of net position as of June 30, 2016 and 2015, and the related statement of revenues and expenses, changes in net position, and cash flows for the years then ended, and the related notes to the financial statements, which collectively comprise the University's basic financial statements and have issued our report thereon dated October 10, 2016.

Internal Control Over Financial Reporting

In planning and performing our audits of the financial statements, we considered the University's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we do not express an opinion on the effectiveness of the University's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audits we

did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audits and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

O'Connor and Duen, P.C.

**Certified Public Accountants
Braintree, Massachusetts**

October 10, 2016

Auditor's Management Letter: No management letter has been issued; there were no significant internal control issues in the most recent report.

INTERIM REPORT FORMS GENERAL INFORMATION

Institution Name:

OPE ID:

		Annual Audit	
		Certified:	Qualified
		Yes/No	Unqualified
Financial Results for Year Ending:	<input type="text" value="06/30"/>	Yes	Unqualified
Most Recent Year	<input type="text" value="2016"/>	Yes	Unqualified
1 Year Prior	2015	Yes	Unqualified
2 Years Prior	2014	Yes	Unqualified

Fiscal Year Ends on: (month/day)

Budget / Plans

Current Year	2017
Next Year	2018

Contact Person:

Title:

Telephone No:

E-mail address:

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	Website Location	Date Approved by the Governing Board
Institutional Mission Statement	westfield.ma.edu/about/mission-statement	11-Oct-12

Standard 2: Planning and Evaluation

PLANNING

Strategic Plans

Year approved by governing board	Effective Dates	Website location
?	?	?
Immediately prior Strategic Plan	13-Apr-06	http://www.westfield.ma.edu/uploads/strategicplan/Strategic%20Plan%202005-2010.pdf
Current Strategic Plan	11-Oct-12	http://www.westfield.ma.edu/uploads/strategicplan/2012-2017_SP_Committee_Final.pdf
Next Strategic Plan		

Other institution-wide plans*

Year completed	Effective Dates	Website location

Plans for major units (e.g., departments, library)*

?			

EVALUATION

Academic program review

Program review system (colleges and departments). System last updated:
 Program review schedule (e.g., every 5 years)

Website location
?
2010 (approximately). *
Every 7 years or external accreditation cycle

*Insert additional rows, as appropriate.

Standard 3: Organization and Governance (Board and Internal Governance)

Please attach to this form:

- 1) A copy of the institution's organization chart(s).

If there is a "sponsoring entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited institution.

Name of the sponsoring entity
 Website location of documentation of relationship

None

Governing Board

By-laws
 Board members' names and affiliations

Website location
http://www.westfield.ma.edu/about/presidents-office/board-of-trustees
trustees

Please enter any explanatory notes in the box below

*The current program review schedule was established in about 2010. The general requirements for programs without external accreditation have remained constant since then. Specific questions and areas of emphasis are updated annually.

**Standard 3: Organization and Governance
(Locations and Modalities)**

Campuses, Branches and Locations Currently in Operation (See definitions in comment boxes)

(Insert additional rows as appropriate.)

	Location (City, State/Country)	Date Initiated	Enrollment*		
			2 years prior (FY2014)	1 year prior (FY 2015)	Current year (FY 2016)
u Main campus*	Westfield, MA	1844	8,387	8,666	10,327
u Other principal campuses	none				
u Branch campuses (US)	none				
u Other instructional locations (US)					
u Branch campuses (overseas)	none				
u Other instructional locations (overseas)	none				

Educational modalities

	Number of programs	Date First Initiated	Enrollment*		
			2 years prior (FY2014)	1 year prior (FY 2015)	Current year (FY 2016)
Distance Learning Programs	No programs specifically designated				
Programs 50-99% on-line	6**	2009	230	154	162
Programs 100% on-line					
Non-matriculated students taking online courses only		2002	360	398	362
u Correspondence Education	0				
Low-Residency Programs	0				
Competency-based Programs	0				
Dual Enrollment Programs	***		45	51	57
Contractual Arrangements involving the award of credit	1****		1,028	1,372	2,878

*Enter the annual unduplicated headcount for each of the years specified below.

Please enter any explanatory notes in the box below

* The reported enrollment includes all students enrolled in the institution whether taking courses exclusively online, exclusively on campus or a combination of the two. For Educational Modalities, students may be counted more than once. **Program available 100% online; not all matriculated students choose to take online courses only. ***The University enrolls high school students in individual credit courses, not in degree or certificate programs. ****The majority of 3rd party contractual courses are professional development for teachers. Only one degree program with twelve enrolled students has more than one contract course as part of the curriculum.

**Standard 4: The Academic Program
(Summary - Degree-Seeking Enrollment and Degrees)**

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Associate's	Bachelor's	Master's	Clinical doctorates (e.g., Pharm.D., DPT, DNP)	Professional doctorates (e.g., Ed.D., Psy.D., D.B.A.)	M.D., J.D., DDS	Ph.D.	Total Degree- Seeking
Main Campus FT		4,924	244					5,168
Main Campus PT		416	299					715
Other Principal Campus FT								0
Other Principal Campus PT								0
Branch campuses FT								0
Branch campuses PT								0
Other Locations FT								0
Other Locations PT								0
Overseas Locations FT								0
Overseas Locations PT								0
Distance education FT		35						35
Distance education PT		99						99
Correspondence FT								0
Correspondence PT								0
Low-Residency FT								0
Low-Residency PT								0
Unduplicated Headcount Total	0	5,474	543	0	0	0	0	6,017
Total FTE		5,164.34	348.17					5,512.51
Enter FTE definition:		15 credit hours per FTE	12 credit hours per FTE					
Degrees Awarded, Most Recent Year		1,215	197					1,412

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

Please enter any explanatory notes in the box below

Standard 4: The Academic Program
(Summary - Non-degree seeking Enrollment and Awards)

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Title IV-Eligible Certificates: Students Seeking Certificates	Non-Matriculated Students	Visiting Students	Total Non-degree-Seeking	Total degree-seeking (from previous page)	Grand total
Main Campus FT	17	8	16	41	5,168	5,209
Main Campus PT	20	305		325	715	1,040
Other Principal Campus FT				0	0	0
Other Principal Campus PT				0	0	0
Branch campuses FT				0	0	0
Branch campuses PT				0	0	0
Other Locations FT				0	0	0
Other Locations PT				0	0	0
Overseas Locations FT				0	0	0
Overseas Locations PT				0	0	0
Distance education FT				0	35	35
Distance education PT				0	99	99
Correspondence FT				0		0
Correspondence PT				0		0
Low-Residency FT				0		0
Low-Residency PT				0		0
Unduplicated Headcount Total	37	313	16	366	6,017	6,383
Total FTE	24.92	90.32	14.06	129	5,512.51	5,641.81
Enter FTE definition:	12 credit per FTE	12 graduate credits or 15 undergraduate credits= 1 FTE	15 credits per FTE			
Certificates Awarded, Most Recent Year	16					

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

Please enter any explanatory notes in the box below

Title IV eligible certificates are post-bacclaureate teacher licensure students.

**Standard 4: The Academic Program
(Headcount by UNDERGRADUATE Program Type)**

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(Fall 2013)	(Fall 2014)	(Fall 2015)	(Fall 2016)	(Fall 2)
For Fall Term, as of Census Date					
Certificate					
Associate					
Baccalaureate	5524	5429	5459	5474	
Total Undergraduate	5,524	5,429	5,459	5,474	0

**Standard 4: The Academic Program
(Headcount by GRADUATE Program Type)**

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(Fall 2013)	(Fall 2014)	(Fall 2015)	(Fall 2016)	(Fall 2)
For Fall Term, as of Census Date					
Master's	483	505	526	543	
Doctorate					
First Professional					
Other	39	37	37	37	
Total Graduate	522	542	563	580	0

**Standard 4: The Academic Program
(Credit Hours Generated at the Undergraduate and Graduate Levels)**

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(Fall 2013)	(Fall 2014)	(Fall 2015)	(Fall 2016)	(Fall 2)
Undergraduate	78950	77417	78455	78237	
Graduate	4593	4824	5400	5124	
Total	83,543	82,241	83,855	83,361	0

**Standard 4: The Academic Program
(Information Literacy sessions)**

Main campus					
Sessions embedded in a class	173	150	135	113	130
Free-standing sessions					
Branch/other locations					
Sessions embedded in a class					
Free-standing sessions					
Online sessions	Summer only -2				
URL of Information Literacy Reports	http://lib.westfield.ma.edu/lprogram (Reports listed under "About the Program")				

Please enter any explanatory notes in the box below

Standard 5: Students
(Admissions, Fall Term)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)



Credit Seeking Students Only - Including Continuing Education

	3 Years Prior (FY 2014)	2 Years Prior (FY 2015)	1 Year Prior (FY 2016)	Current Year (FY 2017)	Goal (specify year) (FY 2)
Freshmen - Undergraduate					
Completed Applications	5,137	5,150	5,140	4,740	
Applications Accepted	3,846	3,840	4,092	3,695	
Applicants Enrolled	1,287	1,224	1,292	1,068	
% Accepted of Applied	74.9%	74.6%	79.6%	78.0%	-
% Enrolled of Accepted	33.5%	31.9%	31.6%	28.9%	-
Percent Change Year over Year					
Completed Applications	na	0.3%	-0.2%	-7.8%	-100.0%
Applications Accepted	na	-0.2%	6.6%	-9.7%	-100.0%
Applicants Enrolled	na	-4.9%	5.6%	-17.3%	-100.0%
Average of statistical indicator of aptitude of enrollees: (define below)					
Average High School GPA	3.01	3.1	3.09	3.11	
Transfers - Undergraduate					
Completed Applications	825	732	791	741	
Applications Accepted	683	614	629	661	
Applications Enrolled	439	421	392	431	
% Accepted of Applied	82.8%	83.9%	79.5%	89.2%	-
% Enrolled of Accepted	64.3%	68.6%	62.3%	65.2%	-
Master's Degree					
Completed Applications	235	278	269	244	
Applications Accepted	180	212	217	191	
Applications Enrolled	151	167	159	131	
% Accepted of Applied	76.6%	76.3%	80.7%	78.3%	-
% Enrolled of Accepted	83.9%	78.8%	73.3%	68.6%	-
First Professional Degree					
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-
Doctoral Degree					
Completed Applications					
Applications Accepted					
Applications Enrolled					
% Accepted of Applied	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-

Please enter any explanatory notes in the box below

**Standard 5: Students
(Enrollment, Fall Term)**

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

?

Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior (FY 2014)	2 Years Prior (FY 2015)	1 Year Prior (FY 2016)	Current Year (FY 2017)	Goal (specify year) (FY 2)
UNDERGRADUATE						
First Year	Full-Time Headcount	1,388	1,320	1,386	1,155	
	Part-Time Headcount	38	33	24	7	
	Total Headcount	1,426	1,353	1,410	1,162	0
	Total FTE	1,423	1,334	1,412	1,167	
Second Year	Full-Time Headcount	1,015	1,154	1,226	1,270	
	Part-Time Headcount	41	43	30	28	
	Total Headcount	1,056	1,197	1,256	1,298	0
	Total FTE	1,035	1,184	1,247	1,283	
Third Year	Full-Time Headcount	1,300	1,159	1,218	1,333	
	Part-Time Headcount	163	177	158	171	
	Total Headcount	1,463	1,336	1,376	1,504	0
	Total FTE	1,362	1,224	1,288	1,386	
Fourth Year	Full-Time Headcount	1,269	1,234	1,109	1,194	
	Part-Time Headcount	310	309	308	282	
	Total Headcount	1,579	1,543	1,417	1,476	0
	Total FTE	1,384	1,349	1,227	1,309	
Unclassified	Full-Time Headcount	27	23	24	30	
	Part-Time Headcount	141	138	133	140	
	Total Headcount	168	161	157	170	0
	Total FTE	61	60	57	70	
Total Undergraduate Students	Full-Time Headcount	4,999	5,031	4,904	4,982	0
	Part-Time Headcount	693	686	672	628	0
	Total Headcount	5,692	5,717	5,576	5,610	0
	Total FTE	5,264	5,152	5,230	5,215	0
	% Change FTE Undergraduate	na	-2.1%	1.5%	-0.3%	-100.0%
GRADUATE						
	Full-Time Headcount	221	227	260	262	
	Part-Time Headcount	458	504	620	511	
	Total Headcount	679	731	880	773	0
	Total FTE	383	402	450	427	
	% Change FTE Graduate	na	5.0%	11.9%	-5.1%	-100.0%
GRAND TOTAL						
	Grand Total Headcount	6,371	6,448	6,456	6,383	0
	Grand Total FTE	5,647	5,554	5,680	5,642	0
	% Change Grand Total FTE	na	-1.6%	2.3%	-0.7%	-100.0%

Please enter any explanatory notes in the box below

Graduate FTE are 12 credit hours per FTE.

**Standard 5: Students
(Financial Aid, Debt, Developmental Courses)**

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

? Where does the institution describe the students it seeks to serve?

--

? **Three-year Cohort Default Rate**
 ? **Three-year Loan repayment rate**
 (from College Scorecard)

(FY 2011)	(FY 2012)	(FY 2013)
4.6	2.6	3.9
		91

? **Student Financial Aid**

Total Federal Aid
 Grants
 Loans
 Work Study
 Total State Aid
 Total Institutional Aid
 Grants
 Loans
 Total Private Aid
 Grants
 Loans

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year	Goal (specify year)
(FY 2014)	(FY 2015)	(FY 2016)	(FY 2017)	(FY 2)
\$35,217	\$35,000	\$35,716		
\$7,426	\$7,480	\$7,982		
\$27,357	\$27,039	\$27,247		
\$432	\$480	\$486		
\$4,400	\$4,371	\$4,096		
\$1,903	\$2,342	\$2,492		
\$1,903	\$2,342	\$2,492		
\$0	\$0	\$0		
\$601	\$971	\$1,034		
\$5,304	\$5,802	\$4,421		

Student Debt

Percent of students graduating with debt (include all students who graduated in this calculation)

Undergraduates
 Graduates
 First professional students

79%	76%	78%		
48%	59%	55%		

For students with debt:

Average amount of debt for students leaving the institution with a degree

Undergraduates
 Graduates
 First professional students

\$26,326	\$27,396	\$28,621		
\$16,402	\$19,293	\$20,776		

Average amount of debt for students leaving the institution without a degree

Undergraduates
 Graduate Students
 First professional students

\$14,237	\$12,215	\$14,721		

Percent of First-year students in Developmental Courses (courses for which no credit toward a degree is granted)

English as a Second/Other Language
 English (reading, writing, communication skills)
 Math
 Other

0%	0%	0%	0%	0
0%	0%	0%	0%	0
0%	0%	0%	0%	0
0%	0%	0%	0%	0

Please enter any explanatory notes in the box below

Complete award data are not available for FY17. No budget has yet been developed for FY18.

--

Standard 6: Teaching, Learning, and Scholarship
(Faculty by Category and Rank; Academic Staff by Category, Fall Term)

3 Years Prior	2 Years Prior	1 Year Prior	Current Year
(FY 2014)	(FY 2015)	(FY 2016)	(FY 2017)

? Number of Faculty by category

Full-time	232	230	235	229
Part-time				
Adjunct	282	292	297	302
Clinical				
Research				
Visiting	1	1	1	1
Other; specify below:				
Total	515	523	533	532

****Percentage of Courses taught by full-time faculty**

60.00%	59.00%	63.00%	62.00%
--------	--------	--------	--------

? Number of Faculty by rank, if applicable

Professor	90	89	87	87
Associate	49	61	68	70
Assistant	84	70	64	60
Instructor	9	10	16	12
Other; specify below:				
Visiting lecturer	283	293	298	303
Total	515	523	533	532

? Number of Academic Staff by category

Librarians	7	6	7	7
Advisors	17	16	17	17
Instructional Designers				
Other; specify below:				
Total	24	22	24	24

Please enter any explanatory notes in the box below

**Excludes lab sections and individual instruction.

**Standard 6: Teaching, Learning, and Scholarship
(Appointments, Tenure, Departures, Retirements, Teaching Load Full Academic Year)**

3 Years Prior (FY 2013)		2 Years Prior (FY 2014)		1 Year Prior (FY 2015)		Current Year* (FY 2016)	
FT	PT**	FT	PT	FT	PT	FT	PT

1. Number of Faculty Appointed

Professor
Associate
Assistant
Instructor
No rank
Other
Total

1						1	
1							
23		22		15		11	
7		5		7		16	
	300		303		347		324
32	300	27	303	22	347	28	324

2. Number of Faculty in Tenured Positions

Professor
Associate
Assistant
Instructor
No rank
Other
Total

88		88		87		86	
37		46		53		58	
7		9		6		8	
	300		303		347		324
132	300	143	303	146	347	152	324

3. Number of Faculty Departing

Professor
Associate
Assistant
Instructor
No rank
Other
Total

				1			
				1			
10		9		6		7	
6		2		8		11	
					347		324
16	0	11	0	16	347	18	324

4. Number of Faculty Retiring

Professor
Associate
Assistant
Instructor
No rank
Other
Total

8		4		3		8	
1				2		1	
1				1			
10	0	4	0	6	0	9	0

Please enter any explanatory notes in the box below

*Most recent full year 2015-16.**Includes temporary (non-tenure track) fulltime positions. Number departing includes individuals leaving a temporary position when appointed to a tenure-track position.

Standard 7: Institutional Resources
(Headcount of Employees by Occupational Category)

For each of the occupational categories below, enter the data reported on the IPEDS Human Resources Survey (Parts B and D1) for each of the years listed.

If your institution does not submit IPEDS, visit this link for information about how to complete this form:

https://surveys.nces.ed.gov/IPEDS/Downloads/Forms/package_1_43.pdf

	3 Years Prior			2 Years Prior			1 Year Prior			Current Year		
	(FY 2014)			(FY 2015)			(FY 2016)			(FY 2017)		
	FT	PT	Total	FT	PT	Total	FT	PT	Total	FT	PT	Total
Instructional Staff	233	269	502	231	292	523	236	279	515			0
Research Staff			0			0			0			0
Public Service Staff			0			0			0			0
Librarians	7		7	6		6	7		7			0
Library Technicians	3	4	7	4	4	8	4	5	9			0
Archivists, Curators, Museum staff	1		1			0			0			0
Student and Academic Affairs	27	9	36	43	11	54	48	18	66			0
Management Occupations	54		54	50		50	50		50			0
Business and Financial Operations	19	2	21	26		26	26	2	28			0
Computer, Engineering and Science	24	8	32	28	8	36	27	11	38			0
Community, Social Service, Legal, Arts, Design, Entertainment, Sports, and Media	44	37	81	27	31	58	27	37	64			0
Healthcare Practitioners and Technical	6	4	10	6	5	11	6	7	13			0
Service Occupations	112	14	126	95	9	104	90	2	92			0
Sales and Related Occupations			0			0			0			0
Office and Administrative Support	94	15	109	97	12	109	92	14	106			0
Natural Resources, Construction, Maintenance	26	3	29	27	2	29	28	1	29			0
Production, Transportation, Material Moving			0			0			0			0
Total	650	365	1,015	640	374	1,014	641	376	1,017	0	0	0

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources
(Statement of Financial Position/Statement of Net Assets)

Fiscal Year ends - month & day: (6/30)		2 Years Prior (FY 2014)	1 Year Prior (FY 2015)	Most Recent Year (FY2016)	Percent Change	
					2 yrs-1 yr prior	1 yr-most recent
ASSETS (in 000s)						
?	Cash and Short Term Investments	\$43,441,738	\$48,090,007	\$57,108,150	10.7%	18.8%
?	Cash held by State Treasurer	\$1,600,783	\$1,587,185	\$3,178,444	-0.8%	100.3%
?	Deposits held by State Treasurer	\$1,346,446	\$3,067,436	\$2,296,544	127.8%	-25.1%
?	Accounts Receivable, Net	\$1,528,150	\$1,618,004	\$1,203,851	5.9%	-25.6%
?	Contributions Receivable, Net	\$223,899	\$177,810	\$1,555,036	-20.6%	774.5%
?	Inventory and Prepaid Expenses	\$53,221	\$43,361	\$67,655	-18.5%	56.0%
?	Long-Term Investments	\$6,201,245	\$6,398,482	\$6,192,514	3.2%	-3.2%
?	Loans to Students	\$728,716	\$717,373	\$634,612	-1.6%	-11.5%
?	Funds held under bond agreement	\$456,397	\$12,073,480	\$2,447,344	2545.4%	-79.7%
?	Property, plants, and equipment, net	\$62,102,859	\$68,280,017	\$92,048,171	9.9%	34.8%
?	Other Assets	\$1,294,855	\$2,361,467	\$11,203,681	82.4%	374.4%
	Total Assets	\$118,978,309	\$144,414,622	\$177,936,002	21.4%	23.2%
LIABILITIES (in 000s)						
?	Accounts payable and accrued liabilities	\$13,982,213	\$15,050,205	\$15,755,340	7.6%	4.7%
?	Deferred revenue & refundable advances	\$3,174,302	\$1,721,328	\$1,554,560	-45.8%	-9.7%
?	Due to state			-		
?	Due to affiliates			-		
?	Annuity and life income obligations			-		
?	Amounts held on behalf of others	\$778,520	\$413,574	\$449,190	-46.9%	8.6%
?	Long-term investments	\$15,809,375	\$26,617,057	\$25,483,361	68.4%	-4.3%
?	Refundable government advances	\$994,606	\$834,828	\$665,328	-16.1%	-20.3%
?	Other long-term liabilities	\$19,113,919	\$20,889,071	\$31,207,962	9.3%	49.4%
	Total Liabilities	\$53,852,935	\$65,526,063	\$75,115,741	21.7%	14.6%
NET ASSETS (in 000s)						
	Unrestricted net assets					
	Institutional	\$57,966,834	\$71,177,488	\$93,358,124	22.8%	31.2%
?	Foundation	\$126,667	\$259,494	\$247,237	104.9%	-4.7%
	Total	\$58,093,501	\$71,436,982	\$93,605,361	23.0%	31.0%
	Temporarily restricted net assets					
	Institutional	\$680,442	\$981,536	\$1,420,001	44.2%	44.7%
?	Foundation	\$3,146,133	\$3,193,253	\$3,966,358	1.5%	24.2%
	Total	\$3,826,575	\$4,174,789	\$5,386,359	9.1%	29.0%
	Permanently restricted net assets					
	Institutional			-		
?	Foundation	\$3,205,298	\$3,276,788	\$3,828,541	2.2%	16.8%
	Total	\$3,205,298	\$3,276,788	\$3,828,541	2.2%	16.8%
	Total Net Assets	\$65,125,374	\$78,888,559	\$102,820,261	21.1%	30.3%
	TOTAL LIABILITIES and NET ASSETS	\$118,978,309	\$144,414,622	\$177,936,002	21.4%	23.2%

Please enter any explanatory notes in the box below

FY2014 figures include a prior period adjustment due to GASB 68 (pension reporting) which was made at the conclusion of FY2015.

**Standard 7: Institutional Resources
(Statement of Revenues and Expenses)**

Fiscal Year ends - month & day: (6/30)	3 Years Prior (FY 2014)	2 Years Prior (FY 2015)	Most Recently Completed Year (FY 2016)	Current Year (FY 2017)	Next Year Forward (FY 2018)
OPERATING REVENUES (in 000s)					
⌵ Tuition and fees	\$48,524,546	\$49,400,890	\$51,693,910	\$51,586,225	\$53,133,812
⌵ Room and board	\$25,713,839	\$26,872,236	\$28,457,775	\$28,632,590	\$29,348,405
⌵ Less: Financial aid	-\$9,375,369	-\$9,578,206	-\$10,277,457	-\$10,980,000	-\$11,680,000
Net student fees	\$64,863,016	\$66,694,920	\$69,874,228	\$69,238,815	\$70,802,217
⌵ Government grants and contracts	\$10,739,645	\$10,480,350	\$11,124,591	\$11,430,000	\$11,680,000
⌵ Private gifts, grants and contracts	\$1,146,723	\$1,324,255	\$2,910,978	\$2,327,843	\$2,827,843
⌵ Other auxiliary enterprises	\$3,874,665	\$4,094,904	\$3,358,775	\$3,468,100	\$3,668,100
Endowment income used in operations					
⌵ Other revenue (specify):	\$770,190	\$800,436	\$1,375,284	\$961,092	\$980,314
Other revenue (specify):					
Net assets released from restrictions					
Total Operating Revenues	\$81,394,239	\$83,394,865	\$88,643,856	\$87,425,850	\$89,958,473
OPERATING EXPENSES (in 000s)					
⌵ Instruction	\$35,972,212	\$36,549,113	\$38,912,843	\$41,128,981	\$43,128,981
⌵ Research					
⌵ Public Service	\$306,904	\$323,685	\$467,132	\$520,000	\$520,000
⌵ Academic Support	\$8,247,634	\$8,402,186	\$9,208,523	\$10,264,152	\$11,064,152
⌵ Student Services	\$11,928,015	\$12,291,835	\$12,585,632	\$12,191,710	\$12,541,710
⌵ Institutional Support	\$9,129,203	\$9,625,841	\$10,345,569	\$10,697,916	\$11,197,916
Fundraising and alumni relations					
⌵ Operation, maintenance of plant (if not allocated)	\$10,221,994	\$9,413,263	\$9,056,368	\$12,084,197	\$9,373,341
⌵ Scholarships and fellowships (cash refunded by public institution)	\$2,291,102	\$2,486,821	\$2,584,422	\$3,028,608	\$3,081,016
⌵ Auxiliary enterprises	\$25,017,980	\$25,985,478	\$26,619,361	\$29,407,989	\$30,260,821
⌵ Depreciation (if not allocated)	\$4,746,988	\$4,848,625	\$4,807,126	\$4,919,269	\$4,919,269
⌵ Other expenses (specify):					
Other expenses (specify):					
Total operating expenditures	\$107,862,032	\$109,926,847	\$114,586,976	\$124,242,822	\$126,087,206
Change in net assets from operations	-\$26,467,793	-\$26,531,982	-\$25,943,120	-\$36,816,972	-\$36,128,732
NON OPERATING REVENUES (in 000s)					
⌵ State appropriations (net)	\$30,314,673	\$32,077,566	\$33,451,483	\$35,956,911	\$38,456,911
⌵ Investment return	\$1,326,823	\$507,923	\$374,963	\$329,040	\$330,000
⌵ Interest expense (public institutions)	-\$467,933	-\$448,544	-\$389,027	-\$964,781	-\$980,000
Gifts, bequests and contributions not used in operations					
⌵ Other (specify): Loss on disposal of assets	-\$15,196	-\$6,474	-\$12,912		
Other (specify):					
Other (specify):					
Net non-operating revenues	\$31,158,367	\$32,130,471	\$33,424,507	\$35,321,170	\$37,806,911
Income before other revenues, expenses, gains, or losses	\$4,690,574	\$5,598,489	\$7,481,387	-\$1,495,802	\$1,678,179
⌵ Capital appropriations (public institutions)	\$1,324,222	\$8,164,696	\$16,450,315	\$6,000,000	
⌵ Other (specify): Prior period adjustment	-\$17,939,557				
TOTAL INCREASE/DECREASE IN NET ASSETS	-\$11,924,761	\$13,763,185	\$23,931,702	\$4,504,198	\$1,678,179

**Standard 7: Institutional Resources
(Statement of Debt)**

FISCAL YEAR ENDS month & day (6/30)		3 Years Prior (FY 2014)	2 Years Prior (FY 2015)	Most Recently Completed Year (FY 2016)	Current Year (FY 2017)	Next Year Forward (FY 2018)
	Debt					
	Beginning balance	\$16,440,055	\$15,809,375	\$26,617,057	\$25,483,361	\$24,217,887
	Additions	\$281,732	\$11,808,204		\$0	\$0
	? Reductions	(\$912,412)	(\$1,000,522)	(\$1,133,696)	(\$1,265,474)	(\$1,397,106)
	Ending balance	\$15,809,375	\$26,617,057	\$25,483,361	\$24,217,887	\$22,820,781
	Interest paid during fiscal year	\$455,586	\$438,770	\$389,027	\$960,802	\$926,208
	Current Portion	\$959,566	\$1,067,607	\$1,288,827	\$1,299,742	\$1,283,930
	Bond Rating					

Debt Covenants: (1) Describe interest rate, schedule, and structure of payments; and (2) indicate whether the debt covenants are being met.

Debt service coverage ratio as of 6/30 must be greater than 1.25x. Unrestricted liquidity to funded debt as of 6/30 must be greater than .50:1. Loan to value of collateral as of 6/30 cannot exceed 80% of current collateral value. These covenants apply to Bank of America Letter of Credit and reimbursement agreement only. All debt covenants are being met.

Line(s) of Credit: List the institutions line(s) of credit and their uses.

Future borrowing plans (please describe)

At this time we are not planning any future borrowing.

Please enter any explanatory notes in the box below

**Standard 7: Institutional Resources
(Supplemental Data)**

FISCAL YEAR ENDS month & day (6/30)	3 Years Prior (FY 2014)	2 Years Prior (FY 2015)	Most Recently Completed Year (FY 2016)	Current Year (FY 2017)	Next Year Forward (FY 2018)
NET ASSETS					
Net assets beginning of year	\$77,050,135	\$65,125,374	\$78,888,559	\$102,820,261	\$107,324,459
Total increase/decrease in net assets	(\$11,924,761)	\$13,763,185	\$23,931,702	\$4,504,198	\$1,678,179
Net assets end of year	\$65,125,374	\$78,888,559	\$102,820,261	\$107,324,459	\$109,002,638
FINANCIAL AID					
Source of funds					
Unrestricted institutional	\$2,291,102	\$2,486,821	\$2,584,422	\$3,028,608	\$3,081,016
Federal, state and private grants	\$9,375,369	\$9,578,206	\$10,277,457	\$10,980,000	\$11,680,000
Restricted funds					
Total	\$11,666,471	\$12,065,027	\$12,861,879	\$14,008,608	\$14,761,016
% Discount of tuition and fees					
% Unrestricted discount					
FEDERAL FINANCIAL RESPONSIBILITY COMPOSITE SCORE	2.2	3.8	5.0	4.1	4.0
Please indicate your institution's endowment spending policy:					

Please enter any explanatory notes in the box below

**Standard 8: Educational Effectiveness
(Undergraduate Retention and Graduation Rates)**

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year (most recent completed)	Next Year Forward (goal)
	(FY 2013)	(FY2014)	(FY 2015)	(FY 2016)	(FY 2)
IPEDS Retention Data	2012 cohort	2013 cohort	2014 cohort	2015 cohort	
Bachelors degree students	79%	77%	78%	77%	
? IPEDS Graduation Data (150% of time)	2007 cohort	2008 cohort	2009 cohort	2010 cohort	
Bachelors degree students	58%	63%	63%	66%	
? IPEDS Outcomes Measures Data					
First-time, full time students					
Awarded a degree within six years	58%				
Awarded a degree within eight years	60%				
Not awarded within eight years but still enrolled	1%				
First-time, part-time students					
Awarded a degree within six years	0%				
Awarded a degree within eight years	0%				
Not awarded within eight years but still enrolled	0%				
Non-first-time, full-time students					
Awarded a degree within six years	70%				
Awarded a degree within eight years	72%				
Not awarded within eight years but still enrolled	0%				
Non-first-time, part-time students					
Awarded a degree within six years	56%				
Awarded a degree within eight years	59%				
Not awarded within eight years but still enrolled	0%				
? Other Undergraduate Retention/Persistence Rates (Add definitions/methodology in #1 below)					
1 Transfer out rate for Full-time,first-time students	32%				
2 Transfer out rate for Part-time,first-time students	100%				
3 Transfer out rate for Full-time, Non-first time students	14%				
4 Transfer out rate for Part-time, Non-first tiem students	30%				
5					
? Other Undergraduate Graduation Rates (Add definitions/methodology in # 2 below)					
1 Six year graduation rate for non-white students	48%	48%	54%	63%	
2 Six year graduation rate for white students	60%	64%	65%	67%	
3 Six year graduation rate for Pell recipients	54%	54%	57%	62%	
4					
5					
Definition and Methodology Explanations					
1 IPEDS Outcome Measures "did not receive an award and subsequently enrolled at another institution					
Based on IPEDS graduation rate cohort and methodology. Non-white includes Latino, Black, Asian, Pacific Islander, Native American and					
2 multiracial. Pell recipients are students who received a Pell grant in their first year of enrollment.					

Note: complete this form for each distinct student body identified by the institution (See Standard 8.1)

Standard 8: Educational Effectiveness
(Student Success and Progress Rates and Other Measures of Student Success)

Category of Student/Outcome Measure	Bachelor Cohort Entering		Associate Cohort Entering	
	6 years ago	4 years ago	6 years ago	4 years ago
First-time, Full-time Students	2010 Cohort	2012 Cohort		
Degree from original institution	66%	53%		
Not graduated, still enrolled at original institution	1%	11%		
Degree from a different institution	12%	5%		
Transferred to a different institution	3%	11%		
Not graduated, never transferred, no longer enrolled	18%	20%		
First-time, Part-time Students				
Degree from original institution	17%	0%		
Not graduated, still enrolled at original institution	17%	0%		
Degree from a different institution	0%	0%		
Transferred to a different institution	16%	0%		
Not graduated, never transferred, no longer enrolled	50%	100%		
Non-first-time, Full-time Students				
Degree from original institution	73%	71%		
Not graduated, still enrolled at original institution	1%	2%		
Degree from a different institution	n/a	n/a		
Transferred to a different institution	n/a	n/a		
Not graduated, never transferred, no longer enrolled	n/a	n/a		
Non-first-time, Part-time Students				
Degree from original institution	55%	29%		
Not graduated, still enrolled at original institution	5%	11%		
Degree from a different institution	n/a	n/a		
Transferred to a different institution	n/a	n/a		
Not graduated, never transferred, no longer enrolled	n/a	n/a		

Measures of Student Achievement and Success/Institutional Performance and Goals					
	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2)	(FY2)	(FY 2)	(FY 2)	(FY 2)

Success of students pursuing higher degrees (add more rows as needed; add definitions/methodology in #1 below)

1					
2					
3					
4					

Other measures of student success and achievement, including success of graduates in pursuing mission-related paths (e.g., Peace Corps, public service, global citizenship, leadership, spiritual formation) and success of graduates in fields for which they were not explicitly prepared (add more rows as needed; add definitions/methodology in #2 below)

1					
2					
3					
4					

Definition and Methodology Explanations

1	
2	

**Standard 8: Educational Effectiveness
(Licensure Passage and Job Placement Rates and
Completion and Placement Rates for Short-Term Vocational Training Programs)**

	3-Years Prior	2 Years Prior	1 Year Prior	Most Recent Year
	(FY 2013)	(FY 2014)	(FY 2015)	(FY 2)

? State Licensure Examination Passage Rates								
Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1 MA Test for Educator Licensure	314	272			326	276		
2 MA Board of Registration in Nursing Exam			27	19				
3								
4								
5								

? National Licensure Passage Rates								
Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1 Association of Social Work Boards-Bachelor	7	6						
2 Association of Social Work Boards-Masters	16	13						
3 Accountancy Exam sections-Bachelors	22	7						
4 Accountancy Exam sections Advanced Deg	24	17						
5								

? Job Placement Rates									
Major/time period	*	# of grads	# with jobs	# of grads	# with jobs	# of grads	# with jobs	# of grads	# with jobs
1									
2									
3									
4									
5									

* Check this box if the program reported is subject to "gainful employment" requirements.

Web location of gainful employment report (if applicable)

Completion and Placement Rates for Short-Term Vocational Training Programs for which students are eligible for Federal Financial Aid

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2)	(FY2)	(FY 2)	(FY 2)	(FY 2)

? Completion Rates					
1					
2					
3					
4					
5					

? Placement Rates					
1					
2					
3					
4					
5					

Please enter any explanatory notes in the box below

**Standard 8: Educational Effectiveness
(Graduate Programs, Distance Education, Off-Campus Locations)**

Student Success Measures/ Prior Performance and Goals	3 Years Prior (FY 2013)	2 Years Prior (FY2014)	1 Year Prior (FY 2015)	Current Year (FY 2016)	Next Year Forward (goal) (FY 2)
--	--------------------------------	-------------------------------	-------------------------------	----------------------------	---

? Master's Programs (Add definitions/methodology in #1 below)					
Retention rates first-to-second year	82%	88%			
Graduation rates @ 150% time	56%				
Average time to degree					
Other measures, specify:					

? Doctoral Programs (Add definitions/methodology in #2 below)					
Retention rates first-to-second year					
Graduation rates @ 150% time					
Average time to degree					
Other measures, specify:					

? First Professional Programs (Add definitions/methodology in #3 below)					
Retention rates first-to-second year					
Graduation rates @ 150% time					
Average time to degree					
Other measures, specify:					

Distance Education (Add definitions/methodology in #4 below)					
Course completion rates	86%	81%	88%	84%	
Retention rates	72%	42%	75%	53%	
Graduation rates	23%	19%			
Other measures, specify:					

Branch Campus and Instructional Locations (Add definitions/methodology in #5 below)					
Course completion rates					
Retention rates					
Graduation rates					
Other measures, specify:					

Definition and Methodology Explanations					
1	Cohort includes all students entering in the indicated fiscal year. Most are part-time students. Retention rate is based on number of students starting in one year and re-enrolling in at least one term in the subsequent year. Expected time to completion for a full-time student is four semesters (150% equals three years).. Course completion rates are based on all online completion program students enrolled in online courses during the indicated year.				
2	Not applicable				
3	Not applicable				
4	Includes part-time students matriculated in online bachelors degree completion programs. Retention rate is based on cohort of students matriculating within a fiscal year. Retention rate includes students re-enrolling in at least one term in the subsequent year. 150% of time for 2012-13 cohort is 2016.				
5	Not applicable				

**Standard 9: Integrity, Transparency, and Public Disclosure
(Integrity)**

? Policies	Last Updated	Website location where policy is posted	Responsible Office or Committee
Academic honesty	Aug, 2010	http://www.westfield.ma.edu/university-	Vice President of Academic
Intellectual property rights			
Conflict of interest	Dec 2013	http://www.westfield.ma.edu/uploads/	Vice President of Academic
Privacy rights	April, 2016	http://www.westfield.ma.edu/privacy-	Registrar, Dean of Student
Fairness for students	March, 2015	www.westfield.ma.edu	Non-Discrimination Cmplnc
Fairness for faculty	"" ""	"" ""	"" ""
Fairness for staff	"" ""	"" ""	"" ""
Academic freedom	Aug 2010	http://www.westfield.ma.edu/uploads/	Vice President of Academic
Research			
Title IX	"" ""	"" ""	"" ""
Other; specify			

Non-discrimination policies

Recruitment and admissions	"" ""	"" ""	"" ""
Employment	"" ""	"" ""	"" ""
Evaluation	"" ""	"" ""	"" ""
Disciplinary action	"" ""	"" ""	"" ""
Advancement	"" ""	"" ""	"" ""
Other; specify			

Resolution of grievances

Students	"" ""	"" ""	"" ""
Faculty	"" ""	"" ""	"" ""
Staff	"" ""	"" ""	"" ""
Other; specify			

? Other	Last Updated	Website location or Publication	Responsible Office or Committee

Please enter any explanatory notes in the box below

The University operates under the Massachusetts's Board of Higher Education's Equal Opportunity, Diversity and Affirmative Action Plan (EO Plan), approved in March, 2015. The EO Plan proscribes a non-discrimination policy for all nine state universities in Massachusetts, including non-discrimination polices based upon race, color, religion, national origin, age, disability, gender, sexual orientation, gender identify, gender expression, genetic information, marital or parental status and veterans' status. The EO Plan contains a investigation and resolution procedures which are administered through the Office of Non-Discrimination Compliance.

Standard 9: Integrity, Transparency, and Public Disclosure (Transparency)

Information	Website location and/or Relevant Publication(s)
How can inquiries be made about the institution? Where can questions be addressed?	http://www.westfield.ma.edu/about
Notice of availability of publications and of audited financial statement or fair summary	http://www.westfield.ma.edu/offices/administration-finance/office-of-the-vice-president-for-administration-and-finance
Processes for admissions	http://www.westfield.ma.edu/admissions
Processes for employment	http://westfield.interviewexchange.com/static/clients/482WSM1/index.jsp
Processes for grading	
Processes for assessment	
Processes for student discipline	Student Handbook http://catalog.westfield.ma.edu/content.php?catoid=15&navoid=638#Student_Conduct_Procedure
Processes for consideration of complaints and appeals	

List below the statements or promises made regarding program excellence, learning outcomes, success in placement, and achievements of graduates or faculty and indicate where valid documentation can be found.

Statement/Promise	Website location and/or publication where valid documentation can be found

Date of last review of:	
Print publications	
Digital publications	

Please enter any explanatory notes in the box below

Standard 9: Integrity, Transparency, and Public Disclosure (Public Disclosure)

Information	Website location
Institutional catalog	Undergraduate: http://catalog.westfield.ma.edu/index.php Graduate: http://catalog.westfield.ma.edu/index.php
Obligations and responsibilities of students and the institution	Undergraduate: http://catalog.westfield.ma.edu/index.php Graduate: http://catalog.westfield.ma.edu/index.php
Information on admission and attendance	Undergraduate: http://www.westfield.ma.edu/admissions/undergraduate-admissions Part-Time: http://www.westfield.ma.edu/admissions/part-time-evening Online: http://www.westfield.ma.edu/admissions/online-degree-completion Graduate: http://www.westfield.ma.edu/admissions/graduate-school-massachusetts
Institutional mission and objectives	http://www.westfield.ma.edu/about/mission-and-vision
Expected educational outcomes	Core Course Criteria: http://www.westfield.ma.edu/committees/curriculumcommittee/core-course-criteria Undergraduate: http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes Graduate: http://www.westfield.ma.edu/admissions/graduate-admissions/graduate-program-standards-and-assessments
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/institutional-data
Requirements, procedures and policies re: admissions	Undergraduate: http://catalog.westfield.ma.edu/index.php Graduate: http://catalog.westfield.ma.edu/index.php
Requirements, procedures and policies re: transfer credit	Undergraduate: http://www.westfield.ma.edu/admissions/undergraduate-admissions/transfer-applicants http://catalog.westfield.ma.edu/index.php Part-Time: http://www.westfield.ma.edu/academics#section1-group2 Graduate: http://www.westfield.ma.edu/academics#section1-group4 http://catalog.westfield.ma.edu/index.php
A list of institutions with which the institution has an articulation agreement	Community Colleges: http://www.westfield.ma.edu/admissions/undergraduate-admissions/transfer-admission/community-college-course-equivalency-guides http://www.westfield.ma.edu/admissions/undergraduate-admissions/transfer-admission/community-college-masstransfer-details-brochures Education Licensure Articulation: http://www.westfield.ma.edu/admissions/undergraduate-admissions/transfer-admission/masstransfer-articulation-for-wsu-education-licensure-programs
Student fees, charges and refund policies	Undergraduate tuition, fees: http://www.westfield.ma.edu/tuition-financial-aid Undergraduate student account policies and procedures: http://www.westfield.ma.edu/offices/student-accounts/policies-procedures Undergraduate refund process: http://www.westfield.ma.edu/offices/student-accounts/westfield-refund-card Graduate tuition, fees: http://www.westfield.ma.edu/academics/continuing-education-massachusetts/tuition-fees Graduate refund schedule: http://www.westfield.ma.edu/academics/continuing-education-massachusetts/withdrawal-form-and-refund-schedule-for-credit-courses
Rules and regulations for student conduct	Undergraduate: http://catalog.westfield.ma.edu/content.php?catoid=13&navoid=584 Graduate: http://catalog.westfield.ma.edu/content.php?catoid=16&navoid=712
Procedures for student appeals and complaints	Undergraduate Appeals: http://catalog.westfield.ma.edu/content.php?catoid=15&navoid=669 Graduate Appeals: http://catalog.westfield.ma.edu/content.php?catoid=16&navoid=719 Graduate-Continuing Education-Financial Appeals: https://secure.blueoctane.net/forms/0ANB0Z07DGDO
Other information re: attending or withdrawing from the institution	Undergraduate: http://catalog.westfield.ma.edu/content.php?catoid=15&navoid=669 Graduate and Continuing Education: http://www.westfield.ma.edu/academics/continuing-education-massachusetts/policies-for-graduate-continuing-education
Academic programs	Undergraduate, Post-Baccalaureate, Graduate and On-Line: http://www.westfield.ma.edu/academics
Courses currently offered	Undergraduate: http://catalog.westfield.ma.edu/content.php?catoid=15&navoid=663 Graduate and Continuing Education: http://www.westfield.ma.edu/academics/continuing-education-massachusetts/current-upcoming-course-offerings
Other available educational opportunities	Study Abroad: http://www.westfield.ma.edu/academics/study-abroad Internships: http://www.westfield.ma.edu/academics/career-center/internships Urban Education: http://www.westfield.ma.edu/academics/urban-education

Other academic policies and procedures	Undergraduate: http://catalog.westfield.ma.edu/index.php Graduate: http://catalog.westfield.ma.edu/content.php?catoid=16&navoid=719
Requirements for degrees and other forms of academic recognition	Undergraduate: http://catalog.westfield.ma.edu/index.php Graduate: http://catalog.westfield.ma.edu/content.php?catoid=16&navoid=719
List of continuing faculty, indicating department or program affiliation, degrees held, and institutions granting them	http://www.westfield.ma.edu/offices/academic-affairs/faculty-listing
Names and positions of administrative officers	http://www.westfield.ma.edu/about/presidents-office/cabinet-directory
Names, principal affiliations of governing board members	http://www.westfield.ma.edu/about/presidents-office/board-of-trustees
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location	Not applicable
Programs, courses, services, and personnel not available in any given academic year.	
Size and characteristics of the student body	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/institutional-data
Description of the campus setting	http://www.westfield.ma.edu/about
Availability of academic and other support services	Academic: http://www.westfield.ma.edu/academics Mental Health: http://www.westfield.ma.edu/student-life/counseling-center
Range of co-curricular and non-academic opportunities available to students	http://www.westfield.ma.edu/student-life
Institutional learning and physical resources from which a student can reasonably be expected to benefit	Academic Support: http://www.westfield.ma.edu/academics Ely Library: http://lib.westfield.ma.edu/home
Institutional goals for students' education	Course Criteria: http://www.westfield.ma.edu/committees/curriculumcommittee/core-course-criteria Undergraduate: http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes Graduate: http://www.westfield.ma.edu/admissions/graduate-admissions/graduate-program-standards-and-assessments
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/measures-of-student-success
Total cost of education and net price, including availability of financial aid and typical length of study	Tuition and Fees: http://www.westfield.ma.edu/tuition-financial-aid Net Price Calculator: http://www.westfield.ma.edu/netprice/
Expected amount of student debt upon graduation and loan payment rates	
Statement about accreditation	Undergraduate: http://www.westfield.ma.edu/about/neasc-accreditation Graduate: http://catalog.westfield.ma.edu/content.php?catoid=16&navoid=710

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY	(1) Where are the learning outcomes for this level/program published? (please specify) Include URLs where appropriate.	(2) Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	(3) Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	(4) What changes have been made as a result of using the data/evidence?	(5) Date of most recent program review (for general education and each degree program)
At the institutional level:					
For general education if an undergraduate institution:	http://www.westfield.ma.edu/committees/curriculumcommittee/core-course-criteria	Departments submitting courses for approval must document how they address each outcome	Curriculum Committee	Subcommittee of Curriculum Committee makes recommendations and works with departments on changes and improvements. Changes made to English Composition I and II as a result of the committee's work (see English Composition below)	6 year cycle, ongoing
List each degree program:					
English Composition	http://www.westfield.ma.edu/academics/english-department/composition-program	Review of portfolios of students' writing	All composition faculty meet at the end of every semester to review a selection of portfolios and to evaluate how well the portfolios meet	Revision to course description for English 101; Proposal to move English 102 to a sophomore-level	Part of Department Review: November 2014; Review of Comp alone 2007

			specific CREEPP outcomes (see URL above). The Composition Coordinator writes a report of the findings of the portfolio assessment to the Composition Committee and to the department chair. We've also been sending it to Curriculum Committee but haven't received any feedback.	class (in governance); Revision to assessment process (to focus on fewer outcomes during each review); Greater emphasis on public writing and variety of genres; Better communication with campus community about composition outcomes/goals and the instruction given in composition courses	
BA Art	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Portfolio and assessment at of student art show presentation	Annual assessment in spring by faculty members	Changed class content/delivery where weaknesses are evident	May 2016
BS Athletic Training	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Clinical evaluations (mid-term and final), proficiency evaluations, conferences with Program Director and Clinical Education Coordinator Professional development assessed at Level 1 with department Intermediate Standing, at Level 3 with Advanced Standing	Program Director, Clinical Education Coordinator, faculty meet every week to review student status and program function	Student presentations as part of our Senior Symposium each fall and spring.	CAATE 2016-17 (ongoing)

		Final outcome- pass rate BOC exam			
BS Biology; Biology 8-12 Teacher concentration	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Biology teaching concentration: 6 key assessments aligned to NSTA & DESE standards	Teacher licensure program: key assessment data reviewed biannually by department faculty; annually by TEC	Teacher education: improvements made to lab safety instruction	Teaching program nationally recognized by NSTA 8/16; currently under review by DESE
BA Communication	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Exit surveys from junior/senior internship site supervisors compiled by internship coordinator (faculty member), student internship portfolios evaluated by faculty supervisors. Introductory level course(COMM 101) in-class pre/post survey	Evidence gathered by faculty interpreted by the department curriculum committee	Refinements to upper level writing course (COMM332) approved by department curriculum committee and submitted to university curriculum committee in Fall 2016	Fall 2008 last external review; external review report due in November of 2016, with external reviewer in Spring 2017
BS Computer Science	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Course assignments Graduate/Employer Surveys	Departmental Curriculum Committee		ABET accreditation in
BS Computer Information Systems	http://www.westfield.ma.edu/uploads/computer-science/PEO.pdf	Course assignments, graduate/employer surveys	DCIS assessment committee & curriculum committee	none	2013 Applied Science Accreditation Commission
BS Chemistry; Chemistry 8- 12 and Gen Sci 5-8 Teacher	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Teaching concentrations: 6 key assessments aligned to NSTA & DESE standards	Teacher licensure programs: key assessment data reviewed biannually by department faculty; annually by TEC	Teacher education: improvements made to lab safety instruction	Teaching programs nationally recognized by NSTA 2/16; currently under

concentration s					review by DESE
BS Criminal Justice	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Pre-post comprehensive exam administered in freshman and upper-level elective courses; focus groups conducted annually in the spring;	Faculty member responsible for administering the exam and the department assessment committee	No changes have been made to date.. Department is developing certificate programs for students to developed specialties in areas like forensics and international crime and justice	DHE approval (PCIPP) in 2015
BS Business Management	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	In process. Chair has course release to develop assessment methods			
BA Economics	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	In process. Pre- and post-test piloted in ECON 101 and 102. Tin January 2016 it was decided that each instructor would administer the TUCE survey (Test of Understanding in College Economics) individually in their own classes.	Departmental faculty.	Contributed to decision to offer ECON 204 every semester instead of every year.	
BSE Early Childhood Education	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	7 key assessments aligned to DESE & NAEYC standards	Key assessment data reviewed biannually by department faculty; annually by TEC	Weaker data in the areas of working with diverse learners and with technology has led to strengthening related opportunities in field settings.	Nationally recognized by NAEYC 2/16; currently under review by DESE

BSE Elementary Education	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	6 key assessments aligned to DESE & ACEI standards	Key assessment data reviewed biannually by department faculty; annually by TEC	Weaker data in working with ELL students has improved as result of a dedicated SEI course; weakness in math content has led to new specialized math gen ed course for elementary teachers.	Nationally recognized by ACEI 8/15; currently under review by DESE
BSE Moderate Needs	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	6 key assessments aligned to DESE & CEC standards (MTEL, course grades, IEP case study, lesson plans, communication disorders project, special education-specific practicum observation, DESE practicum assessment (CAP))	Key assessment data reviewed biannually by department faculty; annually by TEC	Weaker data in assessment design, understanding communicative disorders, and writing lesson objectives led to strengthening of course instruction, field opportunities, and curriculum redesign	Nationally recognized by CEC 8/13; currently under review by DESE
English – B.A. Literature Concentration	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Samples of students' work including research papers and exams	The department curriculum committee selects particular outcomes and analyzes students' work, then meets to discuss results and evaluate strengths and weaknesses evident in the work.	(1) Adopted new outcomes for our 200-level survey courses (2) designed a new course (3) decided to require a diverse literary traditions class.	November 2014

				(4) currently re-examining our core requirements	
English - B.A. Writing Concentration	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Portfolios of students' writing and performances in internships	The Writing Committee assesses sample student portfolios and internship supervisors evaluate students' work in internships.	(1) recently instituted a requirement that every Writing Concentration student complete a 3-credit internship (2) Offer courses in Advanced Prose and Chapbook (3) Considering changing the literature requirements for the Writing Concentration	November 2014
English – B.A. Teacher Concentration	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	6 key assessments aligned to NCTE and DESE standards (MTEL, course grades in the major, unit plan, YA novel unit plan, Teacher Work Sample, DESE practicum assessment (CAP))	data reviewed biannually by department faculty; annually by TEC	(1) English 380: Multicultural Education has been made a requirement for English Education students (2) New NCATE and DESE standards have led to a revision of syllabi	Nationally recognized by NCTE 8/15; currently under review by DESE
BS Environmental	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Students complete a senior capstone internship or independent research project	Departmental assessment committee	The department has modified its curriculum to	Spring 2016

Science	outcomes	which are evaluated. Students also complete an exit survey which specifically covers the learning outcomes.		include more writing, more computer work, and more real-life scenarios through projects. The department also created new coursework in soils, and new minors, Wildlife Management and Wetland Analysis.	
BA Ethnic and Gender Studies	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Reflective essays in identified courses, research and community activism projects and a presentation in the capstone seminar, exit interviews once coursework complete	All faculty members participate in assessment. Multiple reviewers assess blinded artifacts with rubrics. At least 2 outcomes/year assessed for program development	None yet	DHE approval in 2009
BS General Science	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Seminar course – development of portfolio	Faculty members in the department, and faculty member of record for the seminar course aggregates rubrics	The department initiated the development of several interdisciplinary courses with Environmental Science including Environmental Chemistry, Water Analysis, and Oceanography.	
BA History; History Teacher	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Student work on a major research paper/project is assessed twice during	In 2016 the department is piloting a four-person assessment committee	New required senior seminar capstone course.	Spring 2014 Nationally recognized by

Concentration	outcomes . These are under review in 2016 for revision.	students' undergraduate studies, in HIST 202 and in their Senior Seminar. History Education majors also have an additional set of key assessments, including the MTEL, content course grades, teaching unit plan, DESE practicum evaluation (CAP), teacher work sample, and assessment of NCCS standards knowledge	to review and score the major research papers in HIST 202 and the Senior Seminar. Teacher licensure program: key assessment data reviewed biannually by department faculty; annually by TEC	New course that is an introduction to the profession and the major themes of historiography. New required Modern World History course to fill in missing content areas within the major	NCSS 8/16; currently under review by DESE
BA/BS Liberal Studies	In progress	As per the last review of the program in 2010, the Liberal Arts Chair 2015-2017 started to collect reflective essays from Liberal Arts majors in order to assess students' literacy in interdisciplinary knowledge.	NA	NA	2016 annual report
BA Mathematics; Mathematics Teacher Concentration	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	A portfolio of student work, containing entries in each of the five learning outcome areas, along with a narrative from the student addressing the learning outcome. Additional 6 key assessments for teacher education	The immediate grade for the portfolio is given by the student's advisor. The departmental assessment committee is currently reviewing the learning outcomes and how the portfolio can be modified to facilitate interpretation of the evidence. Teacher licensure program: key assessment data reviewed biannually by department faculty;	Increased the number of required courses, changed the sequencing of courses, and created an introductory first-year seminar. For portfolio, inform students of requirement earlier, and continuously communicate about portfolio requirement. Also	2016 Math education program to undergo review by NCTM in 2017 under new NCTM standards; currently under review by DESE

			annually by TEC	define meeting schedule with advisors, and incorporate narratives into some 300-level courses.	
BS Movement Science Physical Education Licensure	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Student Portfolios with Professional Development Points (sophomore year – Intermediate Standing; senior year – Advanced Standing) 8 key assessments aligned to NASPE standards	The Student Performance Evaluation Committee (SPEC) reviews Intermediate Standing portfolios. All department faculty review Advanced Standing portfolios every semester.	A sub-group (3 faculty members) of the Curriculum Committee is reviewing Movement Science Student Outcomes, one of which is to “Communicate Effectively”. In an attempt to increase student proficiency in this area the Department has a workshop planned for this fall (2016) with representative of Writing Across the Curriculum. Key assessment data also reviewed by TEC.	Two out of four concentrations have accreditation review processes: Physical Education nationally recognized by NASPE, now SHAPE, in 8/13; currently under review by DESE Exercise Science (CoaES, 2011)
BA Music; Music Teacher Concentration	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Semester juries, music education sophomore entrance juries, music education pre-practicum exit	Departmental curriculum committee; TEC review of music education data	Instituted course rotation changes; Added dispositional	NASM accreditation 2013; currently under review by

		<p>juries, departmental recital performances, ensemble performances, performance repertoire portfolios, practicum evaluations</p>		<p>assessment piece to Music Education Sophomore Entrance Juries; re-wrote the applied level repertory expectations; modified collection instrument (Jury sheets); syllabus change (course requirements) for MUSC 0279 Recital Attendance and Performance. Revisions to Music Education Concentration to include pedagogy courses in all three areas of licensure (currently only two) will be submitted to governance in the spring of 2017; overhaul of the departmental schedule of major classes and ensemble rehearsals to coincide with the move to the</p>	<p>DESE</p>
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				Dower Center complex.	
BSN Nursing	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	NCLEX-RN exam HESI exit exams Capstone Course Employer Survey Graduate Survey	Department Curriculum Committee, Department Chair, and Program Evaluation Committee	Addition of Internship class. Starting a new pre-test and post-test evaluation	October 2016 full review and approval Massachusetts Board of Registration in Nursing (BORN) Accreditation in the fall 2013 by the Commission on Collegiate Nursing Education
BA Psychology	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Just began pre-post assessment of student learning outcomes in 2016	Annually by the department assessment committee	Only pre-assessment data has been collected so far, so no data to inform changes yet	2010
BA Political Science	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Evaluation of reflection essays for core courses - POLS 101, POLS 103, POLS 206, and POLS 209	Assessment Coordinator and Department Chair	No change has been implemented yet. Our Department will be interpreting the data for POLS 101 and POLS 103, and start gathering data for POLS 206 and POLS 209 in spring 17.	2010
BS Regional	http://www.westfield.ma.edu/	Senior Capstone course	Faculty for individual	none	2010

Planning	offices/assessment-and-institutional-research/student-outcomes	Alumni survey	classes, major advising for portfolio		
BA Sociology	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Newly implemented Senior Capstone course	The materials will be evaluated by two members of our department (out of a department of four). A short report will be written up and distributed to the department, who will discuss it during our academic bi-annual department assessment meeting (Start of the Fall and end of the Spring).	Already a preliminary discussion has taken place to allow students to build portfolios that will prepare them for the job market	Review is currently in progress
BSW Social Work	http://www.westfield.ma.edu/academics/social-work-department/assessment-of-student-learning-outcomes	Two instruments are to assess all competencies through practice behaviors. 1. A student self evaluation. 2 A Field Supervisor evaluation	Evidence is reviewed by our Assessment Committee and then by each Program Committee	Have made some fine tuning changes to each program but primarily the data is presently evidence that is being used as part of programmatic review and changes underway to meet the new CSWE accreditation standards.	2015 is posted and 2016 will be posted in the next month
BA Spanish	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Skill test, exit interview, reflective essay, oral presentations. A capstone course will be piloted in	Departmental curriculum committee; members review independently, and then	Courses that have not been taught in more than three years, or that no	Approved on May 4, 2010. First program review in AY

		spring 2017	discuss their evaluations as a committee to reach consensus	longer support the mission of the major have been deleted. New classes have been added based on student interest and need. Added concentration in Spanish Translation and Interpreting	2016-2017.
BA Theatre	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Review of student papers and exams; videorecording of students' performance; student surveys	Theatre Arts Committee	1) Beginning to perform musicals in collaboration with Music Department; 2) Introduced play selection committee; 3) Beginning discussion of major curricular reforms, now that new faculty member has joined the department 4) Added musical theatre to the curriculum	Spring 2015
MSW	http://www.westfield.ma.edu/academics/social-work-department/assessment-of-student-learning-outcomes	Two instruments are used to assess all competencies through practice behaviors. 1. A student self evaluation. 2 A Field Supervisor evaluation	Evidence is reviewed by our Assessment Committee and then by the Field Education Advisory Committee and each Program	Have made some fine tuning changes to each program but primarily the data is presently	Fall 2016

			Committee annually. Program outcomes on each competency are compared to predefined benchmarks.	evidence that is being used as part of programmatic review and changes underway to meet the new CSWE accreditation standards.	
MA Psychology	<p>School Guidance: http://www.westfield.ma.edu/images/uploads/dgce-pdfs/sg_sac_handbook.pdf</p> <p>Adjustment Counseling: http://www.westfield.ma.edu/images/uploads/dgce-pdfs/sg_sac_handbook.pdf</p> <p>Mental Health; Forensic Mental Health: http://www.westfield.ma.edu/images/uploads/dgce-pdfs/mhc_fmhc_handbook.pdf</p>	<p>School Guidance: Professional portfolio</p> <p>Mental Health/Forensic: Counselor Preparation Comprehensive Exam (CPCE) Exam, Internship Performance Evaluation</p>	<p>School Guidance: Program advisor reviews portfolios annually</p> <p>Mental Health/Forensic: CPCE exam results reviewed annually by Graduate Committee</p>	<p>Portfolio reviews inform content in Special topics in School Counseling Course</p> <p>Data are communicated to instructors to ensure curricular changes are made</p> <p>Results from CPCE exam communicated to faculty to inform course content</p> <p>Degree title has been updated to MA in Counseling from MA in Psychology in Fall 2016 to better reflect intent of degree</p>	School guidance & Adjustment Counseling currently under review by DESE
MA ABA	Learning behavior outcomes are tied to the Behavior	Performance on the Board Certification exam;	Departmental Graduate Committee an annual	Course additions and course content	2013

	Analysis Certification Board https://www.westfield.ma.edu/uploads/dgce/aba_goals_and_course_objectives.pdf	comprehensive exam; thesis defense; employment rates.	basis	changes	
MA English; MA English Teacher Education	http://www.westfield.ma.edu/academics/english-department/outcomes	Graduate students complete capstones; 6 key assessments aligned to NCTE standards	Graduate Committee reviews pre-capstone proposals and capstones and meets to discuss the strengths and weaknesses in our students' work on an annual basis. Education data reviewed by TEC and TEC-GC	No changes have been made recently, though we are considering developing a greater range of pedagogical courses for graduate students who are also high school teachers.	Fall 2014 Licensure program nationally recognized by NCTE 8/15; currently under review by DESE
MS Accounting	http://www.westfield.ma.edu/admissions/graduate-admissions/graduate-program-standards-and-assessments	<ul style="list-style-type: none"> • Comprehensive exam (degree requirement) <i>or</i> CPA Exam, unless already passed • Informal feedback from employers • Advisory board feedback • The MSA program plans to prepare a survey to send to employers to formalize the process of receiving feedback from employers. 	MSA program faculty, meets periodically, and no less than annually, to discuss students' progress	Addition of advisory board in Spring 2016, consideration of additional courses (e.g., upper level finance course); degree title updated to MS in Accounting from MS in Accountancy in Fall 2016	Spring 2010
MS Criminal Justice	http://www.westfield.ma.edu/admissions/graduate-admissions/graduate-program-standards-and-assessments	Culminating exit requirement including comprehensive exams, thesis, and capstone experience; Advisory board feedback.	Department Graduate faculty, meets periodically and no less than annually to discuss students' progress	Created an advisory committee to align employer needs; update comprehensive exam each semester to reflect changing program	2016

				outcomes; and clearer desired outcomes statements on the syllabus	
MPA	http://www.westfield.ma.edu/admissions/graduate-admissions/graduate-program-standards-and-assessments	Comprehensive exam, thesis, capstone; course linked outcomes	Program director is charged with review of capstone proposals and final reports, in consultation with Departmental Graduate Committee. Student progress in program and course linkage also reviewed by graduate faculty on an annual basis.	No changes in near future contemplated; however, a review of core requirements will take place in 2017-2018	2011
MEd	http://www.westfield.ma.edu/offices/assessment-and-institutional-research/student-outcomes	Comprehensive exam, practicum Candidate Assessment of Performance (CAP) for initial licensure programs	Comprehensive Exams are evaluated by Program Coordinators and review team each semester, practicum CAP completion determined by practicum supervisor and Education department chair, each semester.	Courses have been evaluated and aligned with State standards-specifically Professional Standards for Teachers (PST's) and Subject Matter Knowledge (SMK's) elements, additional CAP elements have been integrated into pre-practicum courses to better set up the culminating CAP experience	Fall 2016 M.Ed programs leading to initial teacher licensure recognized by respective professional associations except for Mathematics, which will undergo a NCTM review this year; all M.Ed. programs currently under review by DESE.

Institutions selecting E1a should also include E1b.

Note: Please see the Statement on Student Achievement and Success Data Forms (available on the CIHE website: <https://cihe.neasc.org>) for more information about completing these forms.

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

(1) Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).	(2) Date of most recent accreditation action by each listed agency.	(3) List key issues for continuing accreditation identified in accreditation action letter or report.	(4) Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.). *	(6) Date and nature of next scheduled review.
ABET (Computer Information Science)	AY 12/13	No deficiencies, weaknesses, or concerns were found.	Qualitative criteria in the following areas: 1. Students 2. Program Educational Objectives 3. Student Outcomes 4. Continuous Improvement 5. Curriculum 6. Faculty 7. Facilities 8. Institutional Support	AY 19/20
NCATE (Education and all Teacher Licensure Programs)	AY 09/10 AY 11/12 (focused visit advanced level)	Unqualified accreditation initial and advanced levels	No specific quantitative performance indicators, but extensive qualitative requirements	AY 18/19 continuing accreditation review by CAEP (NCATE successor)
CAATE - Commission on Accreditation of Athletic Training Education (Athletic Training)	AY 15/16	The program is on probation for non-compliance with the required 70% 3 year aggregate pass rate on the BOC exam	-Pass rate on Board of Certification Examination	AY 16/17
CAAHEP – Commission on Accreditation of Allied Health Programs (Health Fitness)	AY 10/11	Must come into compliance with requirement for one (1) FTE faculty member in program in addition to the program director.	No specific quantitative performance indicators, but extensive qualitative requirements	AY 17/18

NASM - National Association of Schools of Music (Music)	AY 12/13	Currently fully accredited, no issues	No specific quantitative performance indicators, but extensive qualitative requirements	AY 19/20
CCNE - American Association of Colleges of Nursing (Nursing)	AY 13/14	Met all four accreditation standards. No compliance concerns with respect to key elements.	State Board of Nursing Approval. NCLEX pass rate. Program completion and employment data. Faculty qualified and sufficient for number of students. Standard 1- Program Quality: Mission and Governance Standard 2- Program Quality: Institutional Commitment and Resources Standard 3- Program Quality: Curriculum and Teaching-Learning Practices Standard 4- Program Effectiveness: Assessment and Achievement of Program Outcomes	AY 20/21
CSWE - Council on Social Work Education (Social Work)	AY 13/14	Unqualified reaffirmation of accreditation	No specific quantitative performance indicators, but extensive qualitative requirements	AY 20/21

*Record results of key performance indicators in form 8.3 of the Data First Forms.

Institutions selecting E1b should also include E1a.

ACADEMIC PROGRAM REVIEW PROCESS

Purpose

The Academic Program Review process is designed to provide academic programs an opportunity to reflect on their accomplishments and systematically plan for their future. Through these activities, Academic Affairs means to consistently align its academic programs with the University's mission and strategic plan and to keep at the forefront of our work the continuous improvement of our academic programs.

Background

Program Review is an integral part of nearly all academic institutions. Accreditation agencies, including NEASC, require institutions to regularly participate in a process of reflection and planning in an effort to improve the quality of academic programs.

As a teaching institution, it is our responsibility to ensure that our students receive the best education for today and for their future.

A Program Review process with a strong self-study component can ensure that we focus on the future and not the past. Our program review process must encompass a discussion about progressive and integrated program goals and learning outcomes, course content, and pedagogies for the "New Global Century." It must ask questions not just about whether our programs are current but also about the processes through which we keep looking forward.

Our program review process provides a standard set of issues to be addressed, but can allow for those same issues to be looked at through a different lens, one adapted by the needs, interests, or questions of the specific department under review. Academic Affairs staff will work with programs to help them to first create questions that get to the heart of their concerns, second, derive methods for gathering appropriate data and third, participate in the data gathering and analysis process.

Review Cycle

Programs which are not accredited by a discipline-based accrediting body shall conduct an Academic Program Review according to the WSU guidelines every seven years.

Programs which are accredited by a discipline based accrediting association shall follow the review cycle and self-study guidelines of the accrediting association and submit a copy of the self-study to the Office of Academic Affairs one month prior to submission to the accrediting association.

Halfway through the review cycle, departments will submit a brief report of activities related to the plan of action designed upon conclusion of the Academic Review Process.

Self-Study Guidelines

Executive Summary

Begin with an executive summary including recommendations for change stemming from the self-study.

Area accomplishments

Provide a synopsis of program highlights from the last several years including brief notes on major curricular reforms, implementation of innovative pedagogies, major faculty presentations, awards or projects, student achievements/awards.

How do we know that our programs are meeting the educational needs of our students for the future/how do we know our faculty are prepared to teach in this future environment?

- List the significant learning goals identified for your majors.
- Describe the outcomes assessments methods used to identify progress towards these goals.
- Provide data that indicate current levels of success in achieving these goals.
- Discuss how these data have been/are being used to inform curriculum *and* pedagogy in your department. Describe how these data are being used to affect other parts of the campus (e.g. influencing the offerings of courses in other departments, influencing the available information resources available through the library, influencing the purchase of new technologies, influencing faculty development opportunities, etc.)
- Describe the strategies the department uses to assure that these learning goals are appropriate to prepare our students *for the future* (e.g., regular conversations with employers/intern supervisors about the future of the field, faculty attendance at conferences/panels about the future of the discipline, etc.).
- Describe faculty participation in professional development opportunities that directly enhance and update their teaching and student learning. Describe enhancements to student learning which have resulted from these experiences.
- Describe the program's integration of technology into the pedagogical processes. Describe how this integration has enhanced teaching and student learning.
- Discuss the program's use of the following "active learning" experiences: first year seminars, learning communities, writing intensive courses, research collaboration with faculty, service learning/community based learning, internships, capstone courses/projects, etc.
- What features of our program distinguish us from other programs in the region?

What does quality education look like in their discipline/major?

- Provide information about a program in your discipline that you would consider to be of “higher” quality than yours, but within reach of WSC. How does that program differ - - in curriculum? students? pedagogies? staffing? What parts of that program could be replicated with existing resources? What parts of that program could be replicated with an incremental increase in resources?

Student Indicators

Provide a narrative context for the following data provided to you by the College:

- Number of students applying to your program, acceptance rate for your program, yield rate for your program. Average entering student SAT scores and high school GPA.
- Student Retention Rate
- 4yr and 6yr graduation rates

Action Plan

The program review process provides an opportunity to reflect on past accomplishments and plan for the future.

- Given the work you have done on this self-study, please outline the program goals for the next 5-7 years.
- Discuss specifically how these goals will enhance teaching and student learning.
- Note which existing resources can support the new goals. Note any additional resources that might needed to be added to support the next goals.

External Review

As part of the program review process, the program must be evaluated by an external reviewer.

Selection of an External Reviewer

Reviewers should be selected from among professionals with appropriate credentials and demonstrated professional experience in college-level teaching, research, and administration within similar institutions of higher education, and must have a disinterested professional commitment to the assignment of evaluation and to the task of rendering objective findings and recommendations.

Reviewers will be recommended by the department and approved by the Vice President of Academic Affairs: the department should submit the names and CVs of three reviewers to the Vice President, who will make the final decision in consultation with the department.

The stipend for an external reviewer is \$1,000.00 plus reasonable travel: departments

should work with the Office of Academic Affairs to contract with the reviewer and to reimburse them for their travel expenses.

Content of the External Review

In order to meet NEASC and DHE guidelines, reviewers should address the following questions, which may be supplemented by the department.

(1) The following are the NEASC program standards for undergraduate programs. Reviewers should comment on how well the program meets these standards.

- 4.5 Degree programs have a coherent design and are characterized by appropriate breadth, depth, continuity, sequential progression, and synthesis of learning.
- 4.13 Undergraduate degree programs are designed to give students a substantial and coherent introduction to the broad areas of human knowledge, their theories and methods of inquiry, plus in-depth study in at least one disciplinary or interdisciplinary area. Programs have an appropriate rationale; their clarity and order are visible in stated requirements in official publications and in student records.
- 4.14 Each undergraduate program includes a general education requirement and a major or concentration requirement. At the baccalaureate level, curricula include substantial requirements at the intermediate and advanced undergraduate level, with appropriate prerequisites. Wherever possible, the institution also affords undergraduate students the opportunity to pursue knowledge and understanding through unrestricted electives.
- 4.19 The major or area of concentration affords the student the opportunity to develop knowledge and skills in a specific disciplinary or clearly articulated interdisciplinary area above the introductory level through properly sequenced course work. Requirements for the major or area of concentration are based upon clear and articulated learning objectives, including a mastery of the knowledge, information resources, methods, and theories pertinent to a particular area of inquiry. Through the major or area of concentration, the student develops an understanding of the complex structure of knowledge germane to an area of inquiry and its interrelatedness to other areas of inquiry. For programs designed to provide professional training, an effective relationship exists between curricular content and effective practice in the field of specialization. Graduates demonstrate an in-depth understanding of an area of knowledge or practice, its principal information resources, and its interrelatedness with other areas.

(2) In addition, reviewers should comment on each of the following DHE review questions for undergraduate level programs.

- In what ways is the proposed program consistent with the academic mission of

the campus?

- What experience and expertise does the department possess to undertake the program? Does the program have a significant proportion of faculty who hold advanced degrees in the field or in a closely related discipline?
- How will graduates demonstrate that they have acquired the knowledge and developed the skills that are identified as the program's objectives? Evaluate the process the University has established to assess the effectiveness of the program in achieving its goals and objectives.
- Has the institution demonstrated its commitment of the necessary and appropriate resources to the program (including faculty, facilities, equipment, and library and information resources) to ensure program quality and program improvement?

The reviewer's report and the department's response to the report must be submitted as part of department's program review.

Time Table

Fall Semester	Dean meets with chairs scheduled for review for discussion of process/procedures
Fall Semester	Academic Affairs, Institutional Research, DGCE, Registrar and Admissions provide data to assist departments in review
Fall through Mid Spring Semester	Department conducts self-study using WSC Program Review Guidelines; submit to VPAA
Early Spring Semester	Dept. Chair and Dean work to derive list of possible external reviewers from professional organization; VPAA selects reviewers in consultation with Dept. Chair and Dean
Mid Spring Semester	Site visit by evaluator; 1-2 days including exit interview
Late Spring Semester	Program Evaluator submits written report
Summer or early Fall of next AY	Dept. submits response to report and identifies priorities
Fall of the next AY	VPAA and Dean meet with Dept. to review materials and establish action plan
Mid Course in Review Cycle	Submit written update on action plan to VPAA; discussions as needed