

University of Rhode Island

FIFTH-YEAR INTERIM REPORT

Submitted to the New England Association of Schools and Colleges
Commission on Institutions of Higher Education

University of Rhode Island
Kingston, Rhode Island

August 15, 2012

2. INTRODUCTION

This Fifth-Year Interim Report represents the collective efforts, commitment, and wisdom of many faculty and staff in the University of Rhode Island community. Following an organizational meeting in fall of 2011, materials were prepared by faculty and staff. Final preparation of the interim report occurred in summer 2012, followed by vetting by the Student Leadership, Faculty Senate Executive Committee, Joint Committee on Academic Planning, Council of Deans, Vice Presidents, Provost, and President of the University.

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3. INSTITUTIONAL OVERVIEW

Chartered in 1892, the University of Rhode Island is a land-, sea-, and urban-grant institution. With three campuses located in Kingston (main), Providence, and Narragansett, Rhode Island, the University offers bachelor's, professional doctorate, master's and doctor of philosophy degrees. The University has 86 undergraduate and 73 graduate degree programs and, as of fall 2011, the student population consists of 13,093 undergraduate and 2,731 graduate/ professional doctorate degree and post-baccalaureate certificate students.

The University currently has 702 full-time faculty members and 117 FTE part-time faculty who teach at the Kingston, Narragansett and/or Providence campuses. URI is a learning-centered research university and is a Carnegie classified RU/H (Research Universities, high research activity) institution. In FY2011, the University received \$95.8 million in [total sponsored program research awards](#), a steady increase over the past 5 years, from \$68 million in FY2007. For the decade preceding FY2007, URI typically generated \$60 to \$70 million in sponsored research awards. The notable increase in sponsored research awards is very consistent with specific institutional strategies and investments.

4. RESPONSE TO AREAS IDENTIFIED FOR SPECIAL EMPHASIS

Focus Area #1 (from April 3, 2008 letter):

Developing and implementing a comprehensive, integrated financial planning process that provides clear and robust links to academic and capital priorities (Standards 2.1, 4.9, 9.3, 9.7)

Focus Area #2 (from March 29, 2011 letter):

Implementing the new Academic Plan for 2010-2015 and integrating the plan's academic and capital priorities in the University's financial planning process (Standards 2.1, 2.3, 2.7)

Progress/Update:

Academic Planning

The University's NEASC Focused Visit Report of 2010 highlighted the process that led to the development of the [Academic Plan](#) and the subsequent efforts that were developed to align the budgeting and academic program review processes. Progress continues with regard to improving the integration of financial, academic and strategic planning processes since the 2010 focused report. The following principles were developed during spring 2010 by the Strategic Budget and Planning Council (SBPC) and continue to be important to University planning:

"The Academic Plan coupled with divisional/athletics plans that directly link to the Academic Plan collectively constitutes the University's overall strategic plan.

All University planning and evaluation should be systematic, comprehensive, broad-based, integrated, and appropriate to the Mission of the University.

The Strategic Budget and Planning Council ensures that the University's strategic plan guides resource allocations and investments."

Implementing the Academic Plan 2010-2015: *Charting our Path to the Future: Toward a Renewed Culture of Achievement.*

The main goals of the Academic Plan are to:

- * Enhance Academic Quality and Value
- * Prepare Students for a Changing World
- * Advance Research and Innovation
- * Ready Students for Global Citizenry
- * Ensure an Equitable and Inclusive Campus Community
- * Improve Institutional Effectiveness

Crosscutting themes that relate to the pursuit of these goals involve advancing efforts in the following areas: enhancing value for students and faculty; international opportunities;

experiential learning; interdisciplinary solutions; online learning; innovation and partnerships; and institutional self-sufficiency.

In fall 2010, President Dooley who arrived at URI that summer, articulated the following University-wide transformational goals, which directly correspond to and support the Academic Plan:

- * Creating a 21st Century 24/7 Learning Environment
- * Increasing the Magnitude, Prominence, and Impact of URI's Research, Scholarship, and Creative Work
- * Internationalizing and Globalizing the University of Rhode Island
- * Building a Community at the University of Rhode Island that Values Equity and Diversity

The process of implementing the Academic Plan involves collaboration, shared governance, and shared responsibility among administrators, faculty, and staff for the well-being of the institution and learning environment. College-wide planning led by the deans aligns with the Academic Plan and the college missions. The work of various task forces, which were appointed jointly by the Office of the Provost and the Faculty Senate Executive Committee, over the past several years focused on the themes of the plan and provides direction and strategies pertaining to the realization of various cross cutting themes, such as student access and success, internalization, technology based learning, interdisciplinary and experiential learning, advancing research, and fostering community, equity, and diversity. Planning in other divisions/units at the University (Student Affairs, Administration and Finance, Research and Economic Development, Advancement, and Athletics) also aligns with the Academic Plan and their missions. Most of these plans are posted on the [planning website](#).

Academic Summits have been held every January since 2009 to further collaborative efforts in planning between the Provost and faculty. The Summits extend an invitation to all faculty and each year are focused on different themes within the Academic Plan. They have been jointly planned with a committee of faculty and administrative staff. The first Summit in 2009 was convened to begin to identify the goals for the current five-year Academic Plan. In the years since, Summit topics have ranged from learning outcomes and assessment to interdisciplinary education to technology-based learning approaches. The most recent [Academic Summit of 2012](#) was planned by the Joint Committee on Academic Planning - JCAP (described below), the Faculty Senate Executive Committee, and the Provost's Office. It focused on interdisciplinary education and the University's new Cluster Hire Initiative. Opportunity was provided to allow faculty in attendance (150) to decide on cluster topics (i.e., areas of interdisciplinary integration) within any of the four cross cutting strategic themes of the Academic Plan. An RFP and cluster hiring goals were developed jointly with a small group of faculty and administrators. Review panels, comprised of deans and faculty, were convened to consider submitted proposals and present recommendations for funding (one per academic theme area) to the Provost. The Cluster Hire Initiative is described further in Standard Four on Academic Programs.

Linking Budgeting with Academic Planning

Linking academic planning and budgeting continues to be an important area of focus for the University. Within the Division of Academic Affairs, key elements of the budget process include

emphasis on strategic investments, an open and transparent process, data informed measures of productivity and cost effectiveness, and encouragement of innovation. The development of general revenue budgets and resource allocations for all major units/colleges within the Division of Academic Affairs is expected to be consistent with the budget principles developed in 2009 ([Principles for a Strategic and Sustainable Budget Process](#)).

The planning and allocation process includes annual budget planning that is reflected in each college or unit's budget narrative, public presentation, and budget hearings. The overall goal is to provide an understandable and defensible budget allocation to each unit that reflects the unit's goals in the context of the University's strategic priorities as articulated in the Academic Plan. The process also shapes the budget allocation for the subsequent years (e.g., FY2012 budget hearing for the FY2014 budget allocation) extending two additional years to ensure a multi-year budget horizon for both the unit and institution. Resource allocation within the Division of Academic Affairs is conducted by a reasoned, balanced, and objective analysis of unit performance, priorities, and needs. Such analyses are guided by the Academic Plan and institutional strategic priorities as well as by unit productivity, cost effectiveness, and efforts to promote innovation and quality with careful consideration of the context of the discipline and mission of each unit. [Guidelines for the Allocation of Resources](#) are explicit in writing and posted on the Provost's website. Budget submission guidelines for colleges promote budget requests in a standardized and strategic manner and are articulated in a web available document entitled [Unit Budget Planning and Allocation Process](#).

Using this budget process since 2010, the deans of each college develop prospective budgets for submission to the Provost. In an open meeting, the deans share their program mission, strengths, priorities, and needs. The Faculty Senate Executive Committee and the Director of the University Honors Program also participate in the open meeting. Individual college budget hearings are typically held in January, February, or March of each year when all deans present their college budget submissions to the Provost's leadership team. Following the budget hearings and submission of all budget materials by the deans, the Provost makes his recommendations for budget investments and informs the deans of each college in writing as to those budget investments. In addition, the Provost's Office staff makes a presentation of all allocation recommendations to the Council of Deans so that all deans and unit leaders understand the details of the resource allocation recommendations.

A new system for academic program review has been implemented, which is expected to help guide deans of colleges in departmental and college-wide action planning and resource allocations. The system is in early stage of implementation and discussed in Focus Areas #3 and #4 below on Academic Program Review.

Linking University-wide Budgeting with Strategic Planning

The University-wide Strategic Budgeting and Planning Council (SBPC) was implemented in January 2010 and meets at least monthly throughout the academic year and several times during the summer. [The Strategic Budget and Planning Council Charge](#) is to provide a new, transparent, and inclusive process in the planning, budgeting, and assessment of University strategic directions, investments, and facilities. The Council is advisory to the President and ensures that the University's Strategic Plan and Mission guide resource allocations and investments. Provost Donald DeHayes chairs the Council; Vice President for Administration and Finance, Robert Weygand, serves as Vice Chair. The Presidentially-appointed committee members include: the Chair of the Faculty Senate, several additional faculty and deans, all Vice Presidents, Presidents

of the Student Senate and Graduate Student Association, and staff representatives. All meetings are open to the University community.

The Council utilizes a set of guiding budget principles, which were developed to guide its budget process [Principles for a Strategic and Sustainable Budget Process](#), as well as a set of budget request materials entitled [SBPC Guide for Divisions/Unit Budget Planning Request](#). These documents distinctly highlight that any new funding requests made by divisions must be articulated as to how they: directly support the goals of the Academic Plan; relate to a set of criteria related to financial and institutional benefits; and advance the missions and strategic priorities of their division.

Each of the Vice Presidents of the Divisions, the President and the Athletic Director utilize the budget submission templates and guidelines developed by the SBPC to make all new funding requests for their divisions. To advance the Council's charge for University-wide transparency, its charge, set of principles, all budget templates and materials, including meeting minutes, agendas and divisional budget submissions to the Council are posted on the [SBPC website](#).

The Council holds yearly budget hearings in the spring semester where each Vice President, as well as the President and Athletic Director, request new funding for the subsequent fiscal years through their budget submission materials and presentation to the SBPC. Deliberations immediately follow and result in a set of budget recommendations for new strategic requests to the President for the following fiscal year. The President reports back to the Council his final budget investment decisions at their first fall meeting. This is noted in the [SBPC posted minutes](#) of 9-16-2010 for FY2012 and 9-26-2011 for FY2013.

Evaluation and Progress of the Academic Plan

At the beginning of each semester, the Office of the Provost produces a [news communication](#), which is distributed to the campus community and highlights the key initiatives underway relative to the Academic Plan. The [planning website](#) also provides regular updates as to progress on the Academic Plan, various activities and initiatives underway, and serves as the central resource for planning at the University. All task force reports and recommendations are posted to ensure University-wide access and availability.

The [key indicators \(metrics\)](#) of the Plan have been established by a joint committee of the Provost's Office and Faculty Senate entitled [JCAP \(Joint Committee on Academic Planning\)](#), which was established in 2010. The committee charge is described in Section 5.70.10 in the *University Manual*, [Recommendation of the Faculty Senate Executive Committee To Replace the Joint Strategic Planning Committee \(JSPC\) With the Joint Committee on Academic Planning \(JCAP\)](#). JCAP promotes ongoing collaboration between administration and faculty in monitoring progress of the University's Academic Plan, suggesting modifications, additions, and deletions to the Plan as well as creating and coordinating task forces associated with implementation of some aspects of the plan. Additionally, it is responsible for periodic and systematic review of various aspects of the institution as required by NEASC and shall ensure that the results of these reviews are used for continuing improvement. A subcommittee of JCAP worked to develop the key indicators for the Academic Plan, which have been endorsed by the full committee. Baseline data has been established for many of the metrics, where possible, using 2008-09 as the common year. While monitored on a yearly basis, the metrics will require a long-range view over time to understand the progress on particular goals.

Capital Planning and links to University-wide Strategic Budgeting

A new strategic process and set of criteria for the submission, consideration, and prioritization of new capital (large scale) requests was implemented in spring 2012. Any capital requests must be made in accordance with criteria pertaining to how the project addresses a set of strategically defined factors related to both the Campus Master Plan values and the strategic priorities of the University, as well as financial and environmental resource impacts. The request must include a description of the project, its strategic importance to the program, division, and University, its alignment with the University's Strategic Plan (i.e., Academic Plan, the President's transformational goals, and supporting division plans), its potential impacts across the University, and the potential for both public and private funding of the project.

Submissions are incorporated into the budget process utilized within each division of the University. Following vetting of the various potential projects within the divisions, Vice Presidents of each of the divisions submit their highest priority new capital improvement requests as part of their strategic budget requests to the University-wide SBPC. To facilitate the development of information regarding future capital projects and investments, a schedule of capital planning work sessions is held in February. These sessions are timed to coordinate with the budget planning cycle and the capital improvement planning cycle, and permit capital investment proposals to be refined prior to their presentation to the SBPC in April.

The SBPC recommends to the President a prioritization of new capital projects based on University importance and urgency, recognizing that external factors such as funding potential might reshape priorities. The SBPC considers new projects proposed by academic and nonacademic units, assesses their relative importance to University objectives, and ultimately recommends their exclusion or inclusion, funding strategy, and relative priority. [A Flow Chart for Capital Plan Requests](#) shows the various groups involved from the time of the inception of a capital project submission from a unit through the various stages and groups that review and make budgetary related recommendations. [The Capital Request Form](#) indicates the strategic criteria to evaluate the request.

Any capital requests recommended by the SBPC and the President will be submitted to the Office of Capital Planning and the department of Business Services in the Division of Administration and Finance, which oversees the Capital Improvement Plan (CIP). The programs/units proposing the capital projects will work closely with the capital planning office to ensure the planning and design of facilities meet programmatic needs. The prioritization assigned by the President will then be reflected in the University's submission of the CIP to the Office of Higher Education (OHE) and the Rhode Island Board of Governors for Higher Education (RIBGHE), which typically occurs around July 1st of each year.

The CIP is revisited and updated annually and priorities may change over time as institutional needs and funding opportunities change. Changes in code requirements as well as the relative efficiency and condition of existing facilities and infrastructure are also taken into consideration in each year's planning. The CIP provides a status report for capital projects previously approved and funded as well as a description and source and use of funds projection for new capital projects in a combined sequential priority format. A project will emerge as a target for investment and ultimately receive approval for funding through the State process two to four years later followed by the design and construction phases of the project. There has been steady progress on multiple fronts in the targeted improvement of University facilities and infrastructure serving the needs of academic programs, research, and the student body, fueled by a balanced flow of capital financing from multiple sources and annual budgetary appropriations.

[The Campus Master Plan](#) Review Team has the essential role of keeping the Campus Master Plan in the forefront of new construction projects and to ensure that those projects meet the major philosophical guiding principles of the Plan for the future physical development of the campus. The Committee reviews new projects and designs and makes necessary recommendations that guide new building and grounds projects as they move forward. The Campus Master Plan emphasizes the future physical development of the University of Rhode Island. It provides design guidelines and policies for current and future development of the University's building, grounds and infrastructure. The Plan ensures consistent standards for landscape elements that are needed to create a more inviting, unified, and aesthetically pleasing campus. These goals correspond to the goals in the Academic Plan that support the campus environment for learning and aesthetics as related to enrollment goals and the living and learning community at the University, and reflects the University's commitment to shared governance is reflected by its membership composition and charge.

The planning and budgeting processes at the University of Rhode Island have improved substantially since the 2007 Self-Study. The Academic Affairs budgeting process, the University-wide budgeting process, and the Capital Improvement Plan process are now each linked to each other and tied to strategic planning priorities and as well as a system of shared governance.

Focus Area # 3 (from the April 3, 2008 letter):

Implementing a systematic process of academic program review (Standards 4.8, 4.9)

Focus Area #4: (from the March 29, 2011 letter):

Implementing the new Academic Program Review process and using the results to improve academic programming (Standards 4.8, 4.9)

Progress/Update:

The primary purpose of academic program review is to assess both the academic quality and the financial aspects of a program leading to improved program focus and quality. In addition, program review is intended to help the University improve efficiency and effectiveness in the relevance, organization, and delivery of the academic program. The Academic Program Review Committee (APRC) is a joint committee of the Faculty Senate and the President charged with coordinating the administration of academic program review, overseeing the collection of data, and compiling and disseminating information resulting from the review ([University Manual, Chapter 5, Committees of the University, 5.86.10-11](#)). It also is responsible for continuing to modify previous instrument versions or develop new instruments to accommodate the changing needs of the faculty and administration.

The 2010 NEASC interim report described in detail the significant change in design and focus of academic program review that had occurred since the 2007 Self-Study. The following is an overview and update of activities since the 2010 report was completed.

Overview of the Academic Program Review Plan

The model involves a three-level program review protocol. The first two elements, defined by the APRC, consist of an annual "Central Data Report" produced by Institutional Research and a biennial program data report ("Chair Survey") generated by individual departments. These data reports allow programs to track progress against goals and benchmarks and enable deans to engage in more effective management, helping departments with internal improvements,

allocating college resources, and advocating for resources at higher levels on an ongoing basis through the academic budget submission process described previously.

The third and cornerstone activity of program review is the intensive self-study that is subject to external review through peer evaluation and benchmarking of data from peer institutions. The self-study, conducted every six years, will provide a narrative explaining how the program's activities in research, teaching, and public engagement support the Mission and Academic Plan of the University, integrating longitudinal trends from the annual and biennial data reports.

Annual Central Data Report

The annual Central Data Report provides detailed information reflecting metrics on faculty, graduate assistants, credit hours and class sections, enrollment by major and minor, as well as graduation totals by department. In addition, for departments engaged in funded research, grant proposal and award activity are summarized. Data is collected and maintained by central administration through the Office of Institutional Research. The annual reports give departments a dynamic picture of their standing on key metrics for monitoring progress toward strategic goals. Participation by the University in the [Delaware Study](#) provides external benchmarking of key indicators for all departments with a comparator (73% of departments at the University).

The Central Data Report is distributed to all departments in January of each year; two reports have been distributed to date, one in 2011 and one in 2012. The report has been streamlined and Institutional Research has been highly responsive to department chairs' recommendations for revision.

Biennial Program Data Report (Chair Survey)

The Chair Survey is designed to solicit information that is available only at the program level and provides departments with a uniform mechanism for monitoring progress on these metrics. Data elements include productivity and quality of research, scholarship and creative activity; curricular and teaching quality and innovation; the extent and nature of public engagement; and data on placement and student satisfaction. In some cases these indicators address aspects of quality that may directly relate to program-level strategic plans as well as demonstrate contributions to University-wide goals. Various indicators are being incorporated into the Academic Plan assessment metrics, including measures of faculty scholarship, global, multicultural and interdisciplinary focus of curricular offerings, and student engagement in scholarship.

The University community provided significant input in the development of the Chair Survey. Following extensive preparation and revision by the APRC, the Survey was vetted in fall 2011 for comment by all department chairs, deans, student leaders, the Joint Committee on Academic Planning, and the Faculty Senate Executive Committee. The APRC presented the entire 3-part protocol at the Provost's Chairs Forum in early December 2011, and it was requested by chairs that the first distribution of the Survey occur in mid-spring semester. A report of the APRC was also made to the Faculty Senate. Following its final revision, in March 2012, the Survey was distributed electronically using SurveyMonkey™ for completion by all (n= 52) department chairs, directors of free-standing programs, and deans in those Colleges/School where departments did not exist or where academic programs had substantial overlap.

All respondents completed their respective surveys and have received back their individual results. Deans have received their department and program reports as well. As previously identified, the results have also been provided in aggregate form for measures of Academic Plan assessment

metrics. The results and comments from this first survey administration will be reviewed by the APRC for any potential instrument revisions prior to its repeated administration in 2014.

Six-year Self-Study and External Review

While the annual Central Data Report and biennial Chair Survey are designed to help programs track progress against strategic planning goals and benchmarks on a timely basis, the six-year self-study is more in-depth, and supports strategic plan alignment across levels of the institution. Retrospectively, it allows programs to examine how past activities support their strategic plan and the mission of the University, and to use the information provided through the central and program data reports over the previous six years to document progress on performance goals and benchmarks. Prospectively, it allows programs to articulate response strategies to the opportunities and challenges of their field, and to establish forward-looking goals and benchmarks to be pursued during the next planning cycle. Demonstrating success against past benchmarks is critical for establishing the credibility of programs' prospective goals and making their case for additional resources through the college planning and prioritization process. In addition to external benchmarking of peer institutions, it is expected that an external perspective will be sought during the self-study via peer evaluation. Accredited programs will obtain external perspective through their pre-determined accreditation teams.

Once the self-study is produced and following external review, the chair/program director will meet with the dean to develop a set of response actions and refine benchmarks to accomplish identified goals. Needs of the department/program will also be discussed. The dean will prepare a letter to the chair/program director articulating performance goals and areas of strength and improvement. The dean and the chair/program director will meet with the Provost to discuss future directions of the unit. ([University Manual Chapter 8 Academic Regulations](#) 8.86.14). Resource-related issues that may emerge will be incorporated into college-level planning and prioritization activities involving the deans, chairs, and faculty of each college.

The guidelines for the Self-Study process were vetted in fall 2011 for comment by all department chairs, deans, student leaders, the Joint Committee on Academic Planning, and the Faculty Senate Executive Committee. They were subsequently finalized in spring 2012. For the first 2012/2013 cycle, all departments from the College of Engineering will perform their self-study. These departments are undergoing simultaneous external accreditation by the Accreditation Board for Engineering and Technology (ABET) and will use that process for external review. While this is a smaller cohort than originally planned, it will allow for evaluation and modification of process as the University moves forward to full implementation. The goal remains to have all departments/programs evaluated over 6 years. The Academic Program Review Committee is creating a schedule for self-study evaluations that will limit excess burden on departments with accredited programs, while providing continuity within colleges.

The University continues to make significant progress in the implementation of our Academic Program Review process.

Focus Area #5 (from April 3, 2008 letter):

Analyzing the implications for planning and governance of possible changes to the relationship between the University and the State of Rhode Island (Standard 9.2, and Organization and Governance, statement of the Standard)

Progress/Update:

The 2007 Self Evaluation indicated that the University was considering a new governance relationship with the State that would provide a more privatized model for the University. As reported in our 2010 update, the University did not advance such a proposal and with the tenure of President David Dooley, the University has maintained the traditional model that has existed for the last thirty years.

The General Assembly leaders, in its most recent session, believed it was important to have greater coordination among and efficiency within public elementary, secondary, and post-secondary institutions of education in Rhode Island. They also raised concerns about increasing higher education tuition and fees. As a result, the Assembly has passed a revision to the current statutes that pertain to the governance of these systems with the intent of strengthening and improving the relationship and feedback processes among elementary, secondary, and public higher education within the state in order to promote educational excellence. The new statute will eliminate the Board of Regents for Elementary and Secondary Education and the Board of Governors for Higher Education and create a single Board of Education that will have all the duties, authority and functions of the previous two boards. The new Board is to be instituted by January 1, 2013. As it stands at present, the Office of Higher Education would cease to exist by July 1, 2014 and there will be a transition over the next two years of the operations and duties of this office into the responsibilities of the three state institutions of higher learning and appropriate state agencies. The details and implications of these changes have not been established at this time.

Additionally an Executive Committee made up of the Commissioner of Elementary and Secondary Education, Commissioner of Higher Education and the presidents of the Community College of Rhode Island, Rhode Island College and the University of Rhode Island will counsel the new Board of Education. This committee will be tasked with “developing coherent plans for the elimination of unnecessary duplication in public education and addressing the future needs of public education within the state in the most efficient and economical manner possible.” The new Board of Education is similar to the board that governed both educational areas prior to 1982 when the current Board of Governors for Higher Education was created to more directly address the higher educational needs of the state.

Financial stability of the University is addressed under Standard 9, Finances, in the Standards Narrative section of this report.

Focus Area #6 (from April 3, 2008 letter):

Achieving its goals for student retention and persistence to graduation and assuring the effectiveness of the institution’s financial aid policies in facilitating accomplishment of these goals (Standards 6.6, 9.5)

Progress/Update:

Success in graduating and retaining students begins with the recruitment and pipeline of applicants, and successfully yielding and enrolling a strong cohort of students that meets the strategic goals of the University. The University’s current Academic Plan calls for the expansion of the applicant pool and selectivity, strategically using aid to enhance the yield of high-achieving students, and increasing the recruitment and yield of a diverse community. Understanding the importance of enrolling and retaining students to meet these goals, the University created the position of Vice Provost for Enrollment Management in 2008. In the first few months of planning, it was determined that the University was lacking essential data related to the recruitment and retention of students. In 2009, while it was preparing to implement the

Common Application, the University undertook an aggressive plan to create robust student data sets that integrated data from the admission application, financial aid and the FAFSA, Clearinghouse, and the University's eCampus/Peoplesoft system.

While the data were being gathered, cleaned and integrated, the University met with a series of consultants to discuss the issues of recruitment and retention of students. Several consultants, including Noel-Levitz, identified for the University opportunities and areas in need of improvement. The two main areas of improvement focused on undergraduate applications and the admission pipeline, and the need to enhance the strategic uses of financial aid in the recruitment and retention of students.

Although there was an increase in undergraduate applications of over 20% from fall 2010 to fall 2011, and acceptance of 1800 more applicants in fall 2011 compared with the previous year (15,299 vs. 13,484, respectively), the University failed to enroll the planned target number of out-of-state freshmen students for that year. After analyzing the results, communicating with families, and comparing our data against competitors, the University learned a difficult fact – our financial aid packages were not competitive, despite an overall increase in financial aid from \$45.2 million in FY2010 to \$53.7 million in FY2011. To illustrate this, the University's average out-of-state student discount rate was 18%. In comparison, our competitors' averages were well over 30%, with some private schools in the 40-42% range. In addition to struggling with the recruitment of students, the University's retention analysis showed that out-of-state students were stating they were leaving due to cost, and the analyses showed that students with lower discount rates were leaving at record rates after their first year (further details are provided in Section 6 of this report on retention).

When the University failed to meet its out-of-state class freshman class target in fall 2010, and with the findings that there was a correlation between discount rate and retention, as described below, the Vice Provost for Enrollment Management, on behalf of the enrollment management committee, approached the newly formed Strategic Budget and Planning Council (SBPC) to increase financial aid. After a series of meetings and presentations that illustrated the connection of aid to recruitment and retention, the SBPC recommended the allocation of additional aid to assist in the recruitment and retention of students. This is noted in the increase in financial aid from \$53.7 million in FY2011 to \$60.3 million in FY2012. Prior to this increase, the University had increased aid, as noted above, from \$45.2 million in FY2010 to \$53.7 in FY2011. These additional allocations of aid were necessary to keep pace with increases in tuition and student need. However, the increases had not been sufficient, especially in challenging economic times, to meet the needs of both incoming and continuing students; therefore, new aid allocations were used to support both continuing students and recruitment of new students. Currently, the fastest growing part of the University's budget is financial aid, with grants and loans increasing from \$41.2 million in FY2009 to \$60.3 million in the FY2012, as noted in the Interim Report Forms for Standard 6, on Financial Aid and Debt. In addition to grants and loans, the institution provides about \$17 million in tuition waivers, graduate fellowships, and graduate assistantships, bringing total University aid close to \$80 million for FY2012

In addition to recognizing the correlation between discount rate and retention, we realized that the former strategies and policies of allocating aid had been too simplistic, based upon the formula that the amount of aid allocated to freshmen was related to the amount of aid freed-up from graduating seniors and retention loss, plus some additional allocations based on tuition increases. A new strategy was developed to meet the enrollment goals of the University, recognizing that the University needed to strategically award aid and reach certain discount rates in order to achieve its enrollment and net revenue goals. Previous need and merit aid strategies

and policies based on GPA, SAT and rank criteria for merit aid, and FAFSA and expected family contribution for need-based aid were enhanced by the strategic use of the new enrollment and predictive model data sets. Use of these models has revealed the importance of connecting the appropriate aid amounts and strategies to the recruitment of students to help meet institutional targets and support student yield and retention.

Predictive models were created in 2010 using five years of admission, financial aid, FAFSA, Clearinghouse and other data. The University learned that aid, or lack thereof, was one of the main factors in yielding students. In addition, the University discovered the value of various programs on campus. For example, more aid was needed to recruit students in certain majors and colleges than in others. Most importantly, the enrollment management team discovered that a more complex system of awarding financial aid – both need and merit – was needed. To this end, the University created new need- and merit-based awards and formulas, and changed the amounts offered based on various strategic data from our internal and external competitive analyses. The complexity of need- and merit-based awards has increased to over 40 aid packaging strategies and scenarios from under a dozen just a few years ago.

The results of this work are quite positive: for fall 2011 and expected for fall 2012, the University has exceeded its new freshman enrollment targets despite a highly competitive market and challenging economic times. For example, the University enrolled over 400 more out-of-state students in fall 2011 as compared to fall 2010. From 2010 to 2011, the University also saw a 1% increase in students of color, and experienced increases in average high school GPA (from 3.21 to 3.32) and SAT scores (critical reading and math from 1072 to 1087). The University has seen its selectivity improve – from accepting over 83% of its applications in fall 2010, to accepting approximately 77% in fall 2012. For the fall 2012, the University expects to exceed both its in-state and out-of-state freshman enrollment targets.

With respect to financial aid and retention, from fall 2009 through spring 2010, the retention committee undertook a series of analyses to determine why students left, and where they later enrolled. The University looked at three main data sources to determine why students were leaving. The first source, the University's exit survey, is administered through Peoplesoft/eCampus and asks a variety of questions related to why students leave (academic, social, financial, personal reasons). From this survey, overall cost and financial aid were determined as the main factors identified as why students left. We further tested this point by looking at the correlation between discount rate (institutional aid/cost of attendance) and student retention. Students with low discount rates were more likely to leave. In fact, students with a discount rate of under 12% were leaving the University at startling rates – 40-50% depending upon the cohort year. Finally, to further triangulate these results, the University looked at where students enrolled after leaving the University. Out-of-state students who left the University were not enrolled in elite, private schools but rather enrolled in their home state public institutions.

In fall 2010, the University launched a pilot program to determine if retention of students receiving a low discount rate might be enhanced by increasing their financial support. Students in this category were awarded additional aid for spring 2011, with the promise of keeping this additional aid in subsequent years provided that their need profile was consistent. As stated previously, the retention of students with a 12% or lower discount rate was less than 60%. One year after launching this pilot program, the students who received additional aid mid-year were retained at an 80% rate – a dramatic increase from the previous year. Overall first-year retention at the University is 82.3% for the fall 2010 freshman cohort, the highest it has been in the past 10 years. In-state first-year retention for the 2010 cohort is 87.2%, and out-of-state first-year retention is 76%. Both in- and out-of-state retention have seen gains in recent years. The overall

second-year retention is 72.5%, the second highest it has been in 10 years, with second year in-state retention at 78.7% and out-of-state at 66.2%. With better packaging and leveraging of financial aid from the recruitment phase, the University expects to see continued improvement in retention in upcoming years.

Our new financial aid model recognizes that aid not only enhances access and availability for students, but if allocated strategically, also serves to meet revenue, academic quality, and diversity goals of the institution. As such, URI has successfully transitioned to a strategic net revenue model for financial aid allocation that has helped us achieve and exceed our revenue, academic quality, and diversity goals, and has led to increased yield, retention, and revenue and, over the past three years, the highest enrollment in our history.

The University recognizes that much work still needs to be done to stay competitive in today's market. The University of Rhode Island enrolls over 3,500 Pell Grant recipients, and despite the increases in aid, the University still has an overall student unmet need of over \$75 million. With challenging economic times, waning State support, and increased scrutiny of the value of higher education, the University understands the essential strategic use of financial aid to meet its enrollment goals and foster student success and persistence. The University's strategic plan with respect to enrollment calls for enhancing diversity, providing access, expanding the applicant pool, and enhancing the yield of high achieving students. The strategic use of aid is essential to meeting these goals, and recent results indicate the University is moving in the right direction. In the upcoming year, the University seeks to expand its current use of predictive modeling to further enhance recruitment and retention efforts. Financial aid packaging and policies must continue to evolve to meet the changing needs of the students, and to ensure that the University meets its enrollment goals. Because these strategies are in their initial years of implementation, there are not enough data to test the linkage of these new aid policies and strategies to the University's graduation rates. The next data sets for analyzing the University's success of strategies with respect to retention will become available after October 15, 2012.

5. STANDARDS NARRATIVE

STANDARD ONE: MISSION AND PURPOSES

The institution's mission and purposes are appropriate to higher education, consistent with its charter or other operating authority, and implemented in a manner that complies with the Standards of the Commission on Institutions of Higher Education. The institution's mission gives direction to its activities and provides a basis for the assessment and enhancement of the institution's effectiveness.

MISSION STATEMENT (CURRENT)

*The University of Rhode Island is the State's public learner-centered research university. We are a community joined in a common quest for knowledge. The University is committed to enriching the lives of its students through its land, sea, and urban grant traditions. URI is the only public institution in Rhode Island offering undergraduate, graduate, and professional students the distinctive educational opportunities of a major research university. Our undergraduate, graduate, and professional education, research, and outreach serve Rhode Island and beyond. Students, faculty, staff, and alumni are united in one common purpose: to learn and lead together. Embracing Rhode Island's heritage of independent thought, we value: Creativity and Scholarship
Diversity, Fairness, and Respect*

The Mission Statement of the University of Rhode Island remains unchanged from 2007. It reflects the character of the institution, providing the basis upon which the University identifies its priorities. In its 2007 evaluation, the Commission noted that there was a lack of connection between the Mission Statement and the University's priorities and strategic plan at that time. There has been significant change in leadership and focus since 2007, and the current 2010-2015 Academic Plan, the basis of strategic planning for the University, the Academic Vision, and the President's Transformational Goals are all consistent with the 2007 Mission Statement.

The [Academic Vision](#) of the University was created in 2009 following significant dialogue with administrators and faculty leadership. It places the University as the "institution of first choice for students and faculty" and puts emphasis on innovation, interdisciplinary and collaborative learning and scholarship, diversity, social responsibility and global prosperity. This new Vision aligns tightly to the University Mission as well as to the Academic Plan.

STANDARD TWO: PLANNING AND EVALUATION

The institution undertakes planning and evaluation to accomplish and improve the achievement of its mission and purposes. It identifies its planning and evaluation priorities and pursues them effectively.

This standard is addressed under Section 4, Focus Areas #1 and #2 of this report.

STANDARD THREE: ORGANIZATION AND GOVERNANCE

The institution has a system of governance that facilitates the accomplishment of its mission and purposes and supports institutional effectiveness and integrity. Through its organizational design and governance structure, the institution creates and sustains an environment that encourages teaching, learning, service, scholarship, and where appropriate research and creative activity. It assures provision of support adequate for the appropriate functioning of each organizational component. The institution has sufficient independence from any sponsoring entity to be held accountable for meeting the Commission's *Standards for Accreditation*.

Article XII of the State Constitution gives the General Assembly the power to promote and fund public schools in Rhode Island. The legal authority for the [Rhode Island Board of Governors for Higher Education](#) is set forth in Title 16, Chapter 59 of the General Laws of the State of Rhode Island and Providence Plantations (GLRI). The Board is not directly a department of State Government but serves the State as a Public Corporation with membership appointed by the governor.

As previously identified in this report under Section 4, Focus Area # 5, the Rhode Island General Assembly has voted to abolish the Board of Governors and the Board of Regents and to create a single Board of Education to be instituted in January 2013. Until that time, the 12-member Board of Governors for Higher Education maintains jurisdiction over the University of Rhode Island, Rhode Island College, the Community College of Rhode Island, and the Office of Higher

Education. The Office of Higher Education (OHE) is directed by the Commissioner for Higher Education and performs the administrative functions required by the Board. OHE is organized into five units: The Commissioner's Office, Finance and Management, Academics and Student Affairs, Legal Affairs, and External Affairs. OHE provides consistent contact with the three institutions.

The currently constituted Board of Governors is relatively new, appointed by the Governor in 2011. Most of the current Board's work is done through committees, some of which are new additions: (1) Academic and Student Affairs, (2) Facilities, Finance and Management, (3) Personnel (4) Government Relations, (5) Personnel Review, (6) Quality, Continuous Improvement and Innovation, and (7) Student Advisory. The committees meet with appropriate officers and groups from the schools to consider policy, programs, actions and budgets. While final funding authority lies with the State legislature, the Board prepares and presents both an annual budget and a five-year budget for the Office of Higher Education and the three institutions. Importantly, the Board of Governors has authority with regard to tuition at the three institutions.

An overview of the FY2012 administrative structure of the University is provided in the [Organizational Outline](#), of the *University Manual, Appendix D* and reflects changes made to the organizational structure since 2007. The administration of the University is hierarchical. The President is the chief executive officer of the University, reporting directly to the Board. He is supported in his management of the University by the Provost and Vice President for Academic Affairs, the Vice President of Administration and Finance, the Vice President of Research and Economic Development, and the Vice President of Student Affairs. The President's team is comprised of the Vice Presidents and the Director of Athletics, the Associate Vice President for Community, Equity, and Diversity, and the Director of Government Relations. The latter two positions are new as of 2012. A new position of Executive Director of Communications and Community Relations was approved by the RIBGHE in May 2012, in conjunction with the abolishment of the Division of Advancement and the Vice President for Advancement. This new position may also join the President's team in the future. Since 2007, there have been other mid-level administrative changes, most notably within the Division of Academic Affairs as well as the appointment of a new Dean of the Graduate School.

As previously identified in Section 4, Focus Areas #1 and #2 of this report, the President's [Strategic Budget and Planning Council \(SBPC\)](#) and the Provost's [Joint Committee on Academic Planning \(JCAP\)](#) were created in 2010 as complementary committees to provide a more effective mechanism for shared governance and institutional strategic planning and evaluation, as well as to address issues of academic planning and accreditation of the University. The previous Joint Strategic Planning Committee was abolished at that time.

The faculty maintain a critical role in assuring academic integrity and institutional policies related to the Mission of the University. The Faculty Senate Executive Committee (FSEC) continues to serve as the coordinating body for all other Senate Committees. The Chair of the FSEC serves on the SBPC and the Vice-Chair serves as the co-chair with the Provost on the JCAP. Other members of the FSEC serve on the JCAP as well.

Although focus on scholarship and teaching prevail with junior faculty, especially those seeking promotion and tenure, there is significant involvement of faculty in the shared governance of the University. The annual Academic Summits have been well attended by faculty and highly successful in moving agendas forward. The FSEC continues to encourage faculty participation in shared governance through committee and board involvement. With the Provost, the FSEC

has instituted an annual Faculty Outstanding Service Award. This recognition for University service is intended to showcase the importance of this aspect of faculty life.

To further enhance faculty participation in University governance, the FSEC will work with the Provost and deans to encourage junior faculty to serve on at least one University committee during their pre-tenure career at the University and emphasize the value of service as a ‘well-rounded’ and respected faculty member at the University.

Student participation in the governance of the University continues to remain significant on many boards and committees of the University. The Student Senate is empowered to act in furtherance of its objectives in two major areas: recognition and funding of student organizations and direct University participation in policy-making. The President of the Student Senate and the President of the Graduate Student Association are members of the Faculty Senate, JCAP and SBPC.

The Alumni Association Executive Board sets policy for the Alumni Association and works with Alumni Relations staff to plan events and decide which initiatives to undertake. Members of the Executive Board are nominated and elected annually by alumni. With the elimination of the Vice President for Advancement, the Alumni Relations Executive Director will be a direct report to the URI Foundation President and will maintain operational responsibility for the Office of Alumni Relations, continuing to serve as Secretary to the Alumni Association Board.

The creation of internal joint governance committees since 2007 (i.e., JCAP and SBPC) has enhanced faculty participation in University planning and budgeting processes. These structures, as well as changes in top administrative positions, reflect the transformational goals of the President and those within the Academic Plan (i.e., increased emphasis on diversity and equity and institutional effectiveness through transparency, administrative streamlining, and ensuring that shared governance reflects shared responsibility between administration and faculty for attaining university goals and learning outcomes and the student experience).

STANDARD FOUR: THE ACADEMIC PROGRAM

The institution’s academic programs are consistent with and serve to fulfill its mission and purposes. The institution works systematically and effectively to plan, provide, oversee, evaluate, improve, and assure the academic quality and integrity of its academic programs and the credits and degrees awarded. The institution sets a standard of student achievement appropriate to the degree awarded and develops the systematic means to understand how and what students are learning and to use the evidence obtained to improve the academic program.

The University of Rhode Island’s Academic Plan guides the University’s investments in academic programs. Four areas of strategic investment have been identified: Liberal learning and scholarship in the 21st century; health and wellness; the environment and the green economy; and science and technology. In addition, the Academic Plan emphasizes preparing students for a changing world through reinvigoration of the general education program, developing interdisciplinary courses and programs, enhancing experiential learning, boosting online learning technologies, and encouraging lifelong learning. Strengthening global education is another goal in the Academic Plan relevant to Standard 4. We have made significant progress on each of these goals through the development of new programs and initiatives described below and have continued to build upon a strong program of student learning outcome assessment, described under Section 6 of this report. Additionally, we have embarked on the development and

implementation of a comprehensive academic program review process, previously addressed in Section 4, Focus Areas #3 and #4.

Undergraduate Programs

Since 2009, as a result of an analysis of low enrollment programs, URI has eliminated and/or consolidated 31 programs. In addition, through our efforts to streamline and rationalize the students' pathways through their degree program, departments have identified practices and processes within each major that assist progress and/or remove obstacles for students to complete degrees within four years; determined unnecessary barriers for completing requirements in a timely manner as students transfer between majors; and developed advising opportunities that would help students in navigating these challenges. Overall, this effort has resulted in reducing the number of credits required for graduation to 120 in most programs at the University, with the exception of a small number of accredited programs.

In line with the strategic reinvestment goals in the Academic Plan, several new majors have been developed since 2007: Interdisciplinary Health Studies Program (BS); Medical Physics (combined BS in Physics with an MS in medical physics, in partnership with Rhode Island Hospital); Ocean Engineering Professional Practice Degree (combined BS and MS), Pharmaceutical Science (BS); Chinese Language (BA); Supply Chain Management (BS); and Cell and Molecular Biology with a biochemistry option (BS). In addition, an interdisciplinary minor in Sustainability has been established, and workshops have been organized to assist faculty in infusing sustainability concepts and applications across the curriculum. Currently, an interdisciplinary BA/BS in Environmental Studies and an interdisciplinary minor in Urban Studies are being designed.

To strengthen global education, the new Chinese language major builds on the tremendous success of our International Engineering and International Business Programs. In addition, the URI Chinese Flagship Partner Program, supported by the [Language Flagship](#) an initiative of the National Security Education Program, has been established to provide an intensive undergraduate experience for students preparing for global careers. Students in the program (i.e., Flagship Scholars) earn a bachelor's degree in a chosen academic discipline (engineering, business, political science, textile and fashion merchandising, etc.) while working to achieve “superior” language proficiency in Mandarin Chinese (as defined by the American Council on the Teaching of Foreign Languages). As a result of these initiatives, a number of URI students have traveled to China for study and internship experience. A related globalization initiative is the establishment of a series of courses in English for non-native speakers through affiliation with [the Associates in Cultural Exchange \(A.C.E.\)](#). This program permits promising international students with deficiencies in English to be conditionally admitted to the University and gain fully matriculated status once they have passed appropriate coursework in English. A.C.E. began offering courses in spring 2012.

The University has placed strong emphasis on the teaching of science, technology, engineering, and math (STEM) disciplines. Faculty in the STEM disciplines have developed the URI Collaborative Explorations in Mathematics and Science Program (CEMS) initiative, which aims to enhance student interest and engagement, strengthen mathematical and computational thinking, and develop scientific reasoning and critical problem solving skills for students in the early stages of their college careers. The Collaborative held its first conference in April 2012.

With regard to interdisciplinary initiatives, the [Harrington School of Communication and Media](#) was founded with the goal of promoting interdisciplinary education in digital media, electronic

communication, journalism, writing, library and information science, film media, and public relations. Under the leadership of the new director of the School, the faculty have been working to integrate the curriculum among six different programs and to develop new courses focusing on strengths in intercultural/global, health, environmental communication, social media, and digital information. As mentioned previously, the [Health Studies program](#) is an interdisciplinary major that prepares students for non-clinical careers in public health, health education promotion, health services, and health-related research, and includes courses from Business, Kinesiology, Pharmacy, Nursing, Social Sciences, and Humanities. Beginning its second year, over 130 students are majoring in this innovative program.

To support further development of interdisciplinary programs, the [Cluster Hire Initiative](#) began in 2012 as a result of collaboration among the Provost, the Faculty Senate Executive Committee, and faculty involved in planning the annual Academic Summit. The overall goal of the URI Cluster Hire Initiative is to “strategically invest in faculty in areas of extant and potential university strength and prominence, and further enhance the magnitude and impact of learning and discovery in areas critical to student learning and important to address contemporary and future societal challenges and opportunities. Cluster hires will enhance the magnitude and impact of URI research, scholarship, and creative work as well as academic quality and value in relation to the student experience.” Specifically, the Cluster Hire Initiative will invest in 12 faculty hires in cross department/college interdisciplinary areas that reflect and strengthen the interests and expertise of existing faculty and focus on challenging, emerging, and relevant societal issues that transcend borders among disciplines. It will also create new interdisciplinary and experiential learning opportunities and curricular offerings at the undergraduate and graduate levels. Based on a competitive proposal process, four areas, one in each of the strategic themes of the Academic Plan, will be funded in fiscal year 2013: Islamic and Mediterranean Studies; Ocean Renewable Energy Programs at URI; E2S2 - Water: Engineering, Science, Economics, Society Collaborative; and Aging and Health: Promoting Wellness Across the Lifespan. Depending upon funding, the University will seek to invest in cluster areas in future years as consistent with the Academic Plan’s strategic themes.

General Education Program

In order to inform the redesign of our general education program, we initiated a pilot program in 2009 called the Grand Challenge Initiative to encourage and support full-time faculty in developing new interdisciplinary general education courses that engage first-year students and challenge them to explore multiple perspectives in areas of contemporary significance. Consistent with the objectives of general education, grand challenge courses provide students the opportunity to explore, question, and wrestle with current and complex issues of our world. These courses were originally paired with either a writing or communication course to support interdisciplinary learning and limited to 25 students or less. In fall 2010, 524 students enrolled in 28 grand challenge courses, including one 76-student large lecture course and one honors course. Faculty members were supported in the development of these courses by a series of workshops prior to the fall semester and through informal meetings during the semester. This pilot program continued in fall 2011 semester when approximately 550 students took 30 grand challenge courses, including three honors courses. For fall 2012, over 374 students are enrolled in 16 courses. Assessment of this program is described in Section 6 of this report.

The University College and General Education (UCGE) committee of the Faculty Senate has been working since 2010 to revise the general education program at URI. The Faculty Senate Executive Committee formally charged the UCGE committee to develop a program that would meet the accreditation requirements of NEASC; spread general education across all four years of

college education; work with all colleges and programs; allow for a mix of three- and four-credit courses; be “transfer-friendly;” and support dynamic, interdisciplinary courses to attract and engage students (modeled after the grand challenge courses). The proposed general education curriculum that the committee is developing is centered on learning outcomes adapted from the LEAP Outcomes set forth by the American Association of Colleges and Universities, but also customized to the URI environment and aligned with the URI Academic Plan. In May 2012, the Faculty Senate [approved a list](#) of institutional objectives and student learning outcomes for undergraduate general education. However, progress has been slow on developing the structure of the new program and the transition plan, which will need Faculty Senate approval. It is anticipated that the new program will be approved in the 2012-2013 academic year, with a transition to the new program beginning in fall 2013.

Online Education

Although the University does not offer any degree programs that are delivered fully online, the number of blended and fully online courses has increased substantially since the last comprehensive review. In the 2011-2012 academic year, 139 online courses were offered, an increase of 44% since 2007. We have had an increase of over 196% in web-facilitated courses since 2007 (i.e., courses that use one or more tools of the learning support management system, excluding fully online courses). Academic areas with the largest number of online courses are Communication Studies, Library Science, Women’s Studies, Writing, and Psychology. Our recently hired Director of Learning, Assessment, and Online Education is developing a strategic plan and institutional policies to ensure the quality and integrity of blended, online, and traditional face-to-face courses, as well as preparation programs to assist faculty and students participating in online learning course technologies. All online courses are offered through Sakai, a secure, password-protected learning management support system. In addition, all online courses must be approved by the Curricular Affairs Committee to ensure the quality, rigor, and relevance of proposed courses ([Online course approval](#)).

Consistent with the Academic Plan, the University is supporting the development of online post-baccalaureate certificate programs. After conducting research on the skill, knowledge, and competency areas that the global economy requires of workers and areas of future business growth in Rhode Island, we are designing online post-baccalaureate certificates that will be accessible to Rhode Island residents (and beyond) to increase individuals’ employability and advancement in fields critical to the knowledge economy. We currently have an online post baccalaureate certificate in digital forensics that began in 2007 (see Distance Education Data Form). An online post baccalaureate certificate in cyber-security was approved by the RIBGHE in June 2012 and others in development or under consideration include lab automation, social media, sustainable business practices, and health care management.

The Graduate Program

In the past five years, major efforts have been undertaken to revitalize the Graduate School. An important change has been the development of an aggressive, institution-tailored process to evaluate graduate student learning outcomes in all graduate programs, described in Section 6 of this report.

In a separate but integrally related initiative, a systematic evaluation was developed and orchestrated to gauge the productivity and level of success of all graduate degree programs. The outcome was the procurement and synthesis of data-rich Program Profiles that portray program-specific metrics such as numbers and academic success of applicants, yield of acceptances from

applicants offered admission, numbers of funded versus unfunded students, and faculty publications in peer-reviewed journals (see Grad Retreat PowerPoint 2011 slides on the [Graduate School website](#)). Many of these data had been available in the past, but were never coalesced into profiles depicting the levels to which programs succeeded in attracting, mentoring, and graduating graduate students.

In order to develop a new mission and plan for the Graduate School, a day-long, off-campus retreat was held November 2011 to find ways to improve graduate education. Eighty-six chairs and graduate program directors participated in the retreat, which resulted in a renewed enthusiasm for the graduate mission and a myriad of possibilities now being crafted into a roadmap for the future of graduate education.

Several Graduate School initiatives have been developed and completed in the last five years including increased efficiency through an improved admissions system, streamlined forms, processes and documentation, and improved communication through the School's website and online newsletter. The cornerstone document guiding all graduate study, the [Graduate School Manual](#), has also been extensively revised. Improved mentoring of graduate students has been facilitated by the Graduate School through the design and offering of new workshops for chairs and graduate program directors, as well as new workshops for graduate students to provide in-depth instructions on formatting requirements for theses and dissertations. Students are encouraged to participate in the University-wide day-long program, Discovery @ URI, to showcase their research talents.

While resources to support graduate education remain a challenge, the budget to support the competitive Graduate School Tuition Scholarships, Fellowships, and Diversity Awards program has been increased by 75%. Also, an additional \$2,000 has been secured for winners of our Excellence in Doctoral Dissertation Awards in the STEM and non-STEM disciplines. Finally, a newly designed competitive grants initiative, the Enhancement of Graduate Research Awards program, has made \$40,000 available to support graduate student research and preparation of quality grant proposals in each of the last two years.

In our 38 master's programs (161 tracks), 27 doctoral programs (115 tracks), 8 professional programs (15 tracks), and 11 certificate programs, applications rose from 1940 in 2009 to more than 2381 in 2012, an indication of growing interest in our graduate programs (see Interim Report Forms, Standard 6, Admissions). In that same time span, students enrolled in master's and doctoral programs increased by 4.6% (1258 to 1316) and 2.7% (633 to 650), respectively. Combining all post-baccalaureate degree students, enrollment increased 6.8% (2557 to 2731) from 2009 to 2012 (see Interim Report Forms, Standard 4, Headcount, Credit Hours). All accredited graduate programs have met their accreditation standards and are in good standing, and several new degree programs were added in the last five years: M.A. in Special Education; M.S. in Medical Physics; M.S. in Nurse Practitioner, with Acute Nursing option; Doctor of Nursing Practice; M.S. and Ph.D. in Interdisciplinary Neurosciences; dual degree in Master of Business Administration and Master of Oceanography; and a post-baccalaureate Certificate in Cyber Security. In addition, the one-year MBA Program was completely redesigned this past year.

A tandem of web surveys and focus group discussions were implemented to help develop strategies to further improve our success in recruiting and retaining graduate students in general, and underrepresented minority students in particular. In fall 2011, underrepresented minorities made up 6% and 7% of all master's and doctoral students, respectively. However, in that same

semester, underrepresented minorities made up 11% and 13% of all newly admitted master's and doctoral students, respectively, an upward trajectory we continue to promote.

Initiatives for the next five years include: creating a formal long-term plan to strategically increase the quality and growth of graduate education; refining the newly developed graduate student learning outcomes process; exploring new ways to incentivize an increase in graduate student research productivity; developing additional policies to minimize unproductively long time-to-degree durations; and continuing our efforts to become more proactive in every phase of graduate education.

Integrity in the Award of Academic Credit

The University continues to engage in systematic procedures to ensure the integrity of the award of academic credit. Academic regulations appear in the [University Manual](#) and [Graduate Student Manual](#). Faculty Senate and University Committees share oversight of these regulations, with final changes approved by the President. The University's Academic Standards and Calendar Committee recently proposed legislation to change the course drop policy, which was approved by the Faculty Senate in March 2012 and goes into effect fall 2012 ([University Manual, Section 8.34.10](#)). The policy states that a course may be dropped through e-campus (i.e., URI's online registration system) on or before the end of the third week of classes with no mark on a student's transcript. Courses may be dropped through e-campus between the fourth and the end of the sixth week of classes and will be recognized on a student's transcript with a "W" (Withdrawal). After the end of the sixth week, a student may drop a course only in exceptional circumstances and only with authorization of the dean of the college in which the student is enrolled. Such drops will also be recognized on a student's transcript with a "W" (Withdrawal). If the student has not dropped a course by the end of the withdrawal period (six weeks), the instructor must submit a grade. The rationale for this policy change is to encourage proactive academic behavior in terms of following through with a course selection after six full weeks of experiencing a class. The "W" mark will encourage students to make well-informed, responsible decisions concerning needed credits and required courses for graduation. The "W" also serves as a record, useful particularly for advising purposes, so that advisors can notice patterns of withdrawal and help students make decisions to keep them on track for a timely graduation.

Academic regulations are in place for proposing and approving academic programs of study, courses, and awarding of credit, [including review and award of transfer credit](#), study abroad, internships, independent study, service learning, and prior learning assessment (University Manual, Chapter 8, Academic Regulations). Policies on academic integrity also appear in Chapter 8 of the University Manual (8.27.1—8.27.21) and the [Student Handbook](#) identifies honesty (including academic honesty) as one of cornerstone values within the community. These regulations and procedures are communicated through the University Manual, Graduate Student Manual, Student Handbook, and the University Catalog, all of which are readily available on the University's web site.

Assessment of Student Learning

URI has continued to strengthen institutional efficacy through learning outcomes assessment since 2007 through a focus on the continuous improvement of undergraduate and graduate academic programs. The University's [Academic Plan](#) has increasingly served as our guide to support the shift toward a learning-centered institution and a culture of measurable achievement. There are solid structures and initiatives in place to ensure that academic programs clearly define their goals for students and assess what students are actually learning as a result of their

education. These data are used to foster student achievement by improving responses to identified patterns of weakness, enhancing academic quality, accountability and performance, and involving faculty in building communities of assessment practitioners. Student learning outcomes assessment is addressed in Section 6 of this report.

With regard to our academic programs, we will continue to develop innovative and relevant programs consistent with the thematic areas in the Academic Plan, while monitoring low-enrollment majors for potential elimination. By the next comprehensive evaluation in 2017, our new general education program will be in place and we will have increased the number of online courses and programs.

STANDARD FIVE: FACULTY

The institution develops a faculty that is suited to the fulfillment of the institution's mission. Faculty qualifications, numbers, and performance are sufficient to accomplish the institution's mission and purposes. Faculty competently offer the institution's academic programs and fulfill those tasks appropriately assigned them.

The University utilizes a college-wide strategic reinvestment process to make decisions about hiring new faculty, which is described in Section 4, Focus Areas #1 and #2 of this report. In addition, the University is planning to hire 12 new tenure-track faculty members in FY2013 through the Cluster Hire Initiative, described under Standard 4, Academic Programs.

Over the last four years, the University has employed a stable number of full-time tenure-track and clinical faculty, and lecturers even though there has been a reduction in the state appropriation over this time period as well as the impact of the latest recession (see Interim Report Forms, Standard 5, Faculty). This was accomplished through the more effective and efficient allocation of resources based on our improved strategic planning. In academic year 2011-12, the University employed 702 full-time faculty that consisted of 601 full-time tenure-track and clinical faculty and 101 full-time lecturers/instructors. In addition, 105 FTE of per course faculty also assisted in the deliver of the curriculum on the Kingston campus. During the academic year 2011-2012, the student faculty ratio on the Kingston campus increased to 15.6:1 with an ultimate strategic management goal of 16:5:1. (As a comparison the student-faculty ratios at other New England flagship research universities range from 18:1 to 21:1.) Lastly, for academic year 2012-2013, we are searching for an additional 12 interdisciplinary faculty above replacements through a tenure-track faculty cluster hire initiative (discussed in Standard 4) that will result in a total of 615 full-time tenure-track and clinical faculty.

The University has replaced its legacy Student Evaluations of Teaching (SET) Effectiveness system with the [IDEA Center's Student Ratings of Instruction](#) (SRI) system. After piloting the system for two semesters and training faculty in its use, the IDEA-SRI was fully implemented across the University in spring 2009 under the direction of the Joint AAUP-Board of Governors Committee on Student Evaluation of Teaching. The IDEA-SRI allows instructors to select the essential and important learning objectives in their courses, and the students provide feedback on their learning progress on these objectives. Students also provide evaluations of their own effort and motivation in courses, as well as their perceptions of the use of 20 teaching strategies. The IDEA Center provides extensive analyses of the student evaluation data and provides instructors with recommendations for improvement. The IDEA Center has a large national database of

comparative information from a variety of higher education institutions that permits comparisons across courses within an institution and across disciplines for all institutions in the database. Longitudinal analyses of course evaluation data are also provided to the University through the Group Summary Report.

In its most recent Group Summary Report for fall 2011, the percentage of classes with adjusted ratings at or above the average of the IDEA database is 57% for progress on relevant objectives, 56% for excellent teaching, and 47% for excellent course. The IDEA Center suggests that, individually and when the three indices are averaged together, a percentage of 60 or higher indicates that teaching effectiveness is unusually high. Although there is room for improvement, the University's results have shown some strengthening compared to the spring 2010 averages of 52% for progress on relevant objectives, 53% for excellent teaching, and 49% for excellent course. In 2011, the Faculty Senate's Teaching Effectiveness Committee (TEC) surveyed the faculty on their confidence in administering the IDEA-SRI evaluations, interpreting the results, and how the results might be used to improve their teaching. The response rate was low, and the Faculty Senate will have a forum in fall 2012 to hold a general discussion of the IDEA survey. The TEC has recommended that a representative from the IDEA Center be invited to the University to discuss the kinds of assistance and guidance that faculty need to effectively use the evaluations to improve their teaching.

URI researchers submitted 679 proposals totaling \$278,724,850 in FY2011 and were funded to the level of \$95,790,159, the second highest total in the University's history. FY2010 totals were higher but included \$24,400,000 in American Recovery and Reinvestment Act (ARRA) funds. Research funding has increased steadily since 2002 when it was \$64,200,000. Most of the funds (85%) are from federal sources and about 10% from the State of Rhode Island. Research and development expenditures have increased steadily since 2002 when they were \$53.4M to \$102.6M in FY2011.

The number of proposals submitted over the past decade has ranged from 602 in FY2002 to a high of 744 in FY2009, including a large number of ARRA-directed proposals. The FY2011 total was 679. The total dollar amounts of proposals follow a similar trajectory with \$175.6M in FY2002, \$413.8M in FY2009 and \$278.7 in FY2011. In 2011 the percentage of requested grant dollars, which were received, reached a record high of 33% (Division of Research and Economic Development, [Annual Report FY2011](#)).

The University of Rhode Island has had a collective bargaining agreement between the RIBGHE and the URI Chapter of the AAUP since 1972. Over the past decade, the administration and faculty have successfully negotiated collective bargaining agreements that have provided both parties with contractual security and have allowed the University to attract, maintain and enhance the quality of the faculty appointed at the institution.

The more recent collective bargaining agreements consisted of salary increases of 2.5% on January 1, 2008, 2.5% for academic year 2008-2009, and 3% for academic year 2009-2010 during the economic recession that severely impacted higher education and faculty salaries across the nation. This was followed by a one-year contract extension for fiscal 2011 that did not include a salary increase. At the commencement of the negotiations for a new three-year contract covering 2012-2014, the RIBGHE approved the administrative team to negotiate up to a 3% salary raise in each of the three academic years for a total of up to 9%. Total raises equaling 9% over three years, an increase in medical premium co-share by faculty as well as improvements in the tenure and promotion process and an improved post tenure review process were tentatively agree upon by both negotiating teams in March 2012. Subsequently, the

RIBGHE failed to approve not only the collective bargaining agreement with the AAUP, but other tentatively agreed upon contracts as well. This action by the RIBGHE was taken even though there was clearly stated strong support from President David Dooley, Provost Donald DeHayes and other members of the senior leadership team at the University to approve the contract. In response, the URI Chapter of the AAUP has legally challenged the RIBGHE failure to approve the tentatively agreed upon contract. As of this writing, the Rhode Island Labor Board has not yet ruled on this issue. While salary offers to new faculty hires are competitive on a national basis, average existing faculty salaries tend to be lower on a comparative basis with the other New England Public Flagship Universities due to salary compression. Approval of this contract is important in remaining competitive for attracting and retaining faculty.

In December 2010, the RIBGHE ratified the first collective bargaining agreement with the part-time faculty at the University of Rhode Island. The contract includes provisions for salaries, teaching assignments performance evaluations, discipline, and grievance procedures.

STANDARD SIX: STUDENTS

Consistent with its mission, the institution defines the characteristics of the students it seeks to serve and provides an environment that fosters the intellectual and personal development of its students. It recruits, admits, enrolls, and endeavors to ensure the success of its students, offering the resources and services that provide them the opportunity to achieve the goals of their program as specified in institutional publications. The institution's interactions with students and prospective students are characterized by integrity.

Since 2007, taking account of the changing needs of our student population, URI has made a number of enhancements to the campus environment to support the intellectual and personal development of students. With respect to Standard 6, the University community continues to meet and exceed NEASC standards.

The University has implemented a series of initiatives to enhance the recruitment of undergraduate students. The first was a campus-wide branding initiative that led to the creation of the tag line, "Think Big, We Do." Prior to this initiative, the University had a series of inconsistent and confusing sets of logos, brands and messages. With this initiative came the creation of many new marketing pieces, including new brochures and videos that focused on stories of students and faculty. These value-added stories, pictures and testimonials focused on experiential education, service learning, research and connections with faculty, and the solving of "big," real-world issues. For the first time, the University had a clear, consistent message in marketing and recruitment that connected to the University's academic and strategic plan. In addition to branding, the University chose to move to the Common Application in fall 2010. This move allowed the University to enhance its overall applicant pool and increase applications, while strategically joining over 350 colleges and universities, many of whom are our direct competitors.

The admission staff has grown to include more full time professionals through the conversion of temporary positions into permanent ones. Since 2007, we have hired four nine-month permanent admissions officers, some of which possess greater bi-lingual communication skills. We have been broadening our recruitment efforts by traveling to large cities such as Milwaukee, Chicago, Baltimore, Washington DC, Arlington, Philadelphia, and others cities in Maryland, New York, New Jersey, and Connecticut, presenting multiple programs for guidance counselors, as well as doing some additional recruitment travel (college fairs/or and high school visits) to Florida,

California, and Colorado. Admissions programs have expanded and become more diverse in their delivery, marketing and target audiences. For example, we have added weekly on-campus information sessions offered by the colleges of Business, Engineering, Pharmacy, Nursing, and Environmental and Life Sciences, with occasional sessions by the departments of Education and Textiles, Fashion Merchandising, and Design. We have done special telephone outreach to applicants of color, sent targeted communications (emails) to parents of applicants, and attended a special annual college fair for GLBT students in the greater Boston area. We have expanded the number of early outreach programs we offer by hosting numerous groups of middle school students for tours and information sessions on campus. In addition, we have incorporated student speakers and video in our daily admission information sessions, and continuously improve our web site based on feedback from applicants, parents, and guidance counselors. Sophisticated need and merit based financial aid modeling methods have been employed in the last three years, leading to more predictable admission yields in addition to improved socio-economic, racial and gender diversity in our applicant pool.

Through the recruitment efforts of the Admissions Office and the implementation of the Common Application, URI continues to attract high quality students to the institution. We have increased first-year applications by almost 24% since 2009 while increasing our selectivity (i.e., 77% acceptance rate in 2012 compared to 82% acceptance rate in 2009) and increasing SAT scores from 1077 to 1087. The majority of the increase in applications was seen in out-of-state applicants, who are vital to the success of the institution. This increase is very encouraging given the demographic decline in the number of high school graduates, especially in the northeast where URI typically draws most of its students. Feedback on the move to the Common Application from families and students was positive as it made it easier to apply to URI. The technological move to the Common Application was seamless, with strong support from information technology and a collaborative effort to make it work from the entire undergraduate admission team. For fall of 2011 and 2012, the University's applicant pool has continued to grow in both in and out-of-state applications. The University had expected a first-year bump in applications with the implementation of the Common Application. We are pleased to see a sustained increase in applications for the subsequent years and attribute this to a variety of the aforementioned strategic initiatives.

Additionally, the percentage of students of color in the freshman class has increased from 15% in 2009 to 18% in 2011. For fall 2012, the University continues to see a growth in applicants of students of color, with over 20% of the students self-identifying as students of color. This is a positive sign for the University, and an opportunity to capitalize upon to help the University achieve its goal of becoming a more diverse and inclusive community.

With regard to graduate students, the University has engaged in a number of initiatives to improve graduate recruitment and enrollment. Under the leadership of a new Dean of the [Graduate School](#), four major advancements have been made to improve the recruitment, retention, and graduation rates of graduate students. First, the Graduate School has utilized the software package Hobson's ApplyYourself to streamline the application, faculty review, and communication of decisions in the graduate application process. Second, the Graduate School has worked to create a community of scholars through academic and social support mechanisms. The 2011 Graduate Student Retreat and the GradShare initiatives have provided both a face-to-face and internet-based opportunity to bring the graduate community closer together. Third, the Graduate School has hired a Director of Graduate Recruitment and Diversity Initiatives. This critical position has resulted in increased and improved diversity-related programming including International Education Week, minority-focused funding opportunities, and the active participation in the Northeast Alliance for Graduate Education and the Professoriate. Fourth, the

University has committed to the creation of funds to reduce out-of-state tuition differentials enabling programs to attract a wider pool of students and better match student skill sets with our academic programs. These efforts have resulted in a 23% increase in applications and 4% increase in enrollment since 2009.

In looking to the future, the University understands the increasing competition for traditional undergraduate students and the changing, diverse landscape of the population in the United States. The University's Academic Plan calls for an increase in students of color and international students. To enhance our ability to recruit international students, the University signed a partnership in fall 2011 with A.C.E. – the Associates in Cultural Exchange. One of the main goals of this program is to offer English learning training to international students with the hope of enrolling them in the University following their language proficiency courses. A.C.E. offers non credit-bearing English language training courses for undergraduate students that have been conditionally accepted to URI. The first small pilot cohort began in spring 2012. We hope to expand this to include graduate students as well in the near future.

The Provost has also created a position entitled Special Assistant for Global Strategies and Partnerships focused on advancing and integrating on-campus global education and experiences. In addition, the Global Steering Committee made up of faculty from throughout the University has been created to help shape our global strategy and agenda and to assist our students in becoming global citizens. To further enhance international recruitment, additional strategic partnerships are being formed, guided by review and input from the Global Steering Committee. The University continues to offer both short and long-term [study abroad programs](#), and these programs currently number in excess of 200 in over 60 countries.

Supporting the transition of first-year students from high school to college requires having a clear understanding of their academic, social, and personal needs and being able to provide interventions for at-risk students. To address these needs, we are using [MapWorks](#) data to guide both individual interactions (increase instructor/advisor connection with students) and for understanding aggregate student data (changes in student profiles, grades, dean's list-probation-dismissal metrics, early alert tracking, etc.).

Using these data we are able to strategically address student needs in and out of the classroom through such initiatives such as URI 101 (i.e., first year seminar), Early Alert (i.e., referral for faculty, staff or other students when concerned about a student's well being), Learning Communities (i.e., shared classes around majors), Living Learning Communities (i.e., homogenous housing around majors), PASS (i.e., Program for Academic Skills and Success), Grand Challenge courses (i.e., freshmen only courses, interdisciplinary in function, and focus on current issues), and common reading experiences. Links to these initiatives can be found on the [University College's website](#). To better support student progress through their program of study to a timely graduation, the Provost appointed a [university-wide advising steering committee](#) in January 2011 to design a comprehensive plan that would provide best practice recommendations for advising students, from admission to graduation. These initiatives are discussed in more detail under Section 6 of this report.

The Division of Student Affairs finalized a five-year strategic plan in 2010. This plan has continued to support a number of initiatives undertaken prior to 2007 while setting a vision for improved support of our students. For example, the division continues to develop its learning outcomes assessment processes. Housing and Residence Life is in its third year of utilizing EBI's residence life survey to compare outcomes to peer and national institutional results. A new development that came out of the strategic planning process was the creation of the

Department of Civility Education to focus on issues related to hazing, bullying and disrespectful campus behavior. Under the leadership of our new President, a new [Office of Community, Equity, and Diversity](#) was created and will be led by a recently hired Chief Diversity Officer (CDO). (This office is described in greater detail in Standard 11.)

Facilities improvements have supported students' residential and co-curricular experiences. Scheduled to open in 2012, Housing and Residence Life will welcome 429 students into a LEED-certified building. The Athletics Department is currently completing construction of a new Athletic Support Center. In 2009, a new baseball stadium was completed. A multi-million dollar indoor track was completed in 2012. This facility serves Intercollegiate Athletics as well as the entire campus community. In addition, the University has entered into the process of securing bids for a Fitness and Wellness Center with a projected opening in 2013. A stand-alone GLBT Center is also slated for completion in 2013. The final major project is the expansion of our on-campus dining facilities to accommodate the almost 6000 residential students.

The safety and wellness of our students have also been areas of focus since the comprehensive review in 2007. In addition to the passage of [off-campus jurisdiction policies](#), the institution has changed student conduct policy to establish the standard of level of "proof" being preponderance of information rather than clear and convincing evidence in judicial cases. Our [Student Health Services](#) operation continues to be accredited and provide exceptional support for our students. Similar to national trends, [Recreation Sports](#) has grown to more than 20 intramural seasons and 12 club sport teams. Eight light intramural fields are scheduled to be in use by fall 2012. URI's [alcohol and drug prevention programs](#) continue to support our students, as does the [Counseling Center](#). In 2011, the University joined the National College Health Improvement Project, which is a 32-school consortium that collaborates for the purpose of finding strategies to reduce binge drinking and its harmful effects.

The Office of Career Services has changed its name to the [Office of Career Services and Employer Relations](#) and established a new Assistant Director of Employer Relations to manage and serve a growing population of employer contacts, now numbering over 5000. With Alumni Association support, two half-time Alumni Career Advisor specialist positions were created, providing free career counseling for URI graduates. Each year, the office hosts about 400-500 employing organizations for on-campus events and reaches 5000-6000 students in programs and classroom presentations. To better assist our students in seeking employment opportunities upon graduation, the University established RhodyNet as a centralized 24/7 career, job, and internship management tool for students and alumni in 2007. This service permits students to make career counseling appointments online and to utilize social media and mobile devices to access job, job fair, interview and internship information. After the introduction of online scheduling, student career advising appointments increased by 100%. The Office also conducts two surveys of students. One is a snapshot survey of potential graduates on their future plans and the other is a survey of recent graduates six months after leaving URI. The latter survey particularly follows up on employment and further education.

Consistent with our Academic Plan, the University is committed to providing the services and programs that will continue to enhance academic quality and value, as well as prepare our students for success in a changing world, that includes focus on building global opportunities and an equitable and inclusive campus climate.

STANDARD SEVEN: LIBRARY AND OTHER INFORMATION RESOURCES

The institution provides sufficient and appropriate library and information resources. The institution provides adequate access to these resources and demonstrates their effectiveness in fulfilling its mission. The institution provides instructional and information technology sufficient to support its teaching and learning environment.

In its 2007 report, the Commission found that, “For a university with a diverse and significant number of Ph.D. and masters degree programs, the small and declining [library] collection is a concern.” The report noted that “URI is substantially lower than many of its comparator institutions in staffing and collections,” and that “the campus would benefit from setting a strategic direction for the library with related financial planning to support the library’s mission and activities.”

Five years later, the URI Libraries still lag behind peers in expenditures and acquisitions, with a total library budget of \$6.74 million and a materials budget of \$3.41 million in 2011/12. According to the latest data from the Association of College and Research Libraries, in 2011 URI’s total library budget was 65% of the median budget of peer institutions. Total library materials expenditures per student FTE at URI were \$199.43, compared with a peer median of \$518.19 ([ACRL Peer Comparison for University of Rhode Island Libraries, 2007-2011](#)).

In 2008 and 2009, the library canceled a total of \$646,215 in serials subscriptions when all units of the University were required to make deep budget reductions. After a 20% decrease in library materials expenditures in 2009, from 2010 to 2012 the library’s materials budget has increased by an average of just over 5% per year ([Serials Expenditures Summary](#)). While this increase is less than the rate of inflation in serials prices, through strategic reallocation of funds and partnerships with consortia, the library has been able to acquire a number of large journal packages. As a result, the total number of subscribed journals has increased from 20,079 in 2007 to 33,787 in 2012, an increase of 68%.

In 2007, the Commission commended URI for being ahead of most of its peers in providing Information Literacy (IL) instruction; however, it identified shortcomings in the library’s support for the instruction needs of students in upper division courses and in the assessment of shorter instruction sessions. Since that time, the University Libraries have expanded IL instruction and its assessment. Library faculty continue to teach credit-bearing IL courses as part of the University’s General Education program. Additional instruction is provided for over 9,000 students annually in both face-to-face and online modalities for most programs at the University. Outreach to the University has been expanded by embedding instructional user guides in the Sakai learning management system, by publishing a regular Instruction Services newsletter, by offering a series of instructional seminars for the university community, and by continuing the annual *Issues of the Information Age* forum.

The library is developing incremental, scaffolded, assessable IL instruction programs for the College of Engineering and the Women’s Studies Program. Assessment procedures and methods have been developed for all programmatic IL instruction including URI 101 freshmen seminar classes, introductory Writing courses, the Engineering program and the Talent Development pre-matriculation program. Instruction librarians are working on developing authentic assessments of “one-shot” IL sessions taught by librarians in their subject liaison areas. With support from an internal URI Provost technology grant, the library is developing “InfoRhode,” a series of online modular IL tutorials that can be used individually or in combination; these will be embedded in online courses and the library web site. With support from the Provost’s Office via the Student

Learning Outcomes, Assessment and Accreditation office and a Davis Educational Foundation grant, the library is piloting an information literacy rubric to be used for assessment of information literacy university-wide.

The library's digital initiatives have also grown since 2007. In 2008, the Special Collections Unit established a digital media center that digitizes items on demand and generates a small revenue stream. In 2012, the library hired a Digital Initiatives Librarian to provide leadership in the management of the library's institutional repository, [DigitalCommons@URI](#), and to provide leadership and vision for the development of additional digital library services.

In its 2007 report, the Commission commented that the library building was very well used and that the physical environment was good, though dated. Since then, the physical environment of the University Libraries has improved. In spring 2009, the Pell Marine Science Library moved into the top floor of the Ocean Science and Exploration Center, a newly constructed \$15 million building on the University's Narragansett Bay Campus. That same year, the main library in Kingston was dedicated as the Robert L. Carothers Library and Learning Commons, and in 2012 an \$850,000 renovation of the north portion of the first floor of the library into a learning commons was completed. To better meet student needs, the main library's hours were extended to 2:00 am on Sundays through Thursdays.

Progress has also been made in setting a strategic direction for the library, though new funding models for library support are still in development. The Academic Plan 2010-2015 includes the library under multiple goals. It calls for the development and support of collaborative learning spaces within the library that support active learning and student access to faculty and academic support; the development of a comprehensive and collaborative plan for the library inclusive of the University community and potential other institutional/organizational partners, including exploring potential new sustainable/alternative funding models, exploring new models of delivery of services which best meet future needs of students, faculty and the community, and finalizing a vision and plan for the new learning commons; the development of the [DigitalCommons@URI](#) platform into a showcase of research for the purposes of preservation, sharing, and promotion of URI research; and assuring the availability of library resources in support of research.

Following from the Academic Plan's call for the development of a comprehensive and collaborative plan for the library, the Provost called for the formation of an institution and statewide committee to create a vision for the "library of the 21st century." This committee was formed in spring 2011 and in November 2011 hosted a forum on the future of URI library services. A [report](#) from the committee based in part on input from the forum was released in April 2012.

In its 2007 report, the Commission wrote, "The library has seen a decline in the number of personnel since the last NEASC visit from 66 to 52." In 2012, total library staff has declined further to 43.5, a number significantly below average staffing levels at comparator institutions. The library has adapted to decreased staff through reorganization. In 2009, the Serials Unit and the Monographic Acquisitions and Copy Cataloging Unit were merged into a unified Acquisitions Unit. That same year, the Circulation and Reserves Units were combined into a single service point. After a 2012 renovation of the Circulation area, Interlibrary Loan was also moved to this space. Since 2009, the hiring of part-time reference librarians has allowed full-time library faculty to continue teaching credit-bearing information literacy courses.

In the area of instructional technology, the University's Information Technology Services (ITS) division has made a number of accomplishments since the Commission's report. As described under Standard 8 of this report, ITS has received over \$3.5 million in grants from NSF, NIH, and DOE to improve connectivity. ITS has also implemented the Sakai open source courseware management system; made over \$1 million of hardware and software upgrades and renovations to general use classrooms in support of technology-based instruction; and contracted with Google to provide students with Gmail accounts that remain operational after graduation.

These improvements were achieved despite the fact that ITS's budget has declined since 2008 and is now at the same level as it was in 2004. The ability to support growing levels of hardware and software with inadequate operational and maintenance funding is a challenge, though staffing levels remain the largest concern. ITS would need to add nine staff to match our next ranked peer institution and forty to match our peer average. Implementation and support problems will grow if one-time capital IT expenditures continue to rise without commensurate increases in operating and personnel budgets to support them.

Despite budgetary and staff limitations, the Universities Libraries continues to serve the needs of the academic community. Future initiatives as outlined in the Library Vision Report focus on continuing to build on our strengths in information literacy instruction and the development of learning and scholars' commons, while exploring ways to preserve, disseminate, and protect intellectual and creative content through the digital commons and open access initiatives.

STANDARD EIGHT: PHYSICAL AND TECHNOLOGICAL RESOURCES

The institution has sufficient and appropriate physical and technological resources necessary for the achievement of its purposes. It manages and maintains these resources in a manner to sustain and enhance the realization of institutional purposes.

Operations and Management

In 2008, the units within the former Safety and Risk Management operation were combined with Police, Security, Communications, and Parking Services to form a new Department of Public Safety and Emergency Management. The Risk Management and Insurance functions now report directly to the Assistant Vice President for Business Services. The purpose of this new organization was to provide a more efficient and effective streamlined operation that enhances the ability to provide a safe and secure environment that supports the delivery of quality academic programs at the University of Rhode Island. These units form the basis for protection, prevention, fire and life safety and compliance with legal and environmental practices at the University.

In addition, since 2007, the University has appointed an Industrial Hygienist in Public Safety to test for and address matters involving environmental health and safety as well as issues pertaining to working conditions on the University's campuses. It has also established as an 8th unit of Public Safety, an Office of Emergency Management and Homeland Security. In order to maintain data integrity and mitigate the risk of compromised systems, an Associate Director of Information Security and a Senior Information Technologist were also hired.

The Dean of the Graduate School of Oceanography has had responsibility for the Narragansett Bay Campus facilities providing direct management oversight for 46 buildings and the grounds, as well as the oceanfront pier and research vessel operations at the Narragansett Bay Campus. There are discussions underway at this time with the University's Facilities Services Department

that could shift the management of facilities maintenance and housekeeping functions to the Kingston campus-based unit. In addition, the Vice President for Administration and Finance oversees the Ryan Center and Boss Arena that are maintained jointly by Facilities Services and an arena management firm, the contract for which is coming up for competitive bidding.

Planning and Oversight

The Facilities Finance and Management subcommittee of the RIBGHE augments the Board's oversight of [URI's Five-Year Capital Improvement Plan](#) (CIP), which is primarily supported by general obligation bonds, institution-sponsored revenue bonds, state general revenues, and federal and/or private resources. The process for development and implementation of the CIP is described in Section 4, Focus Areas #1 and #2 of this report.

The University continues to receive state funding support for the University's Asset Protection Program, a planning and funding program that serves to preserve the condition and function of the University's general fund which supports facilities and infrastructure. Annual appropriations are sought as part of the CIP submission with funding derived from the state-supported [Rhode Island Capital Fund \(RICAP\)](#). In FY2012, the University experienced a favorable boost in its RICAP support from the State. Over \$7.0M was received in contrast with the \$5.3M in FY2011. The recommended RICAP Asset Protection appropriation for FY2013 for the University suggests that the \$7.0M will be supported as a new baseline, with a further increase to \$7.2M next year. The University's auxiliary enterprises are responsible for similar capital investments in their respective facilities with funding derived from their relevant student fee-supported budget resources.

Developments

Since 2007, upgrades to classrooms have continued on all three campuses, including installation of LCD projectors and Internet access- both wireless and wired. The Kingston, Narragansett and Providence campus have all received classroom technology upgrades from \$5.8M in state funds that supported URI's NOMAD (New-Order, Multi-model Advance Design) learning space project. Each campus received lecture capture systems, digital annotation systems and Crestron electronic switching systems, as well as new whiteboards, furniture, flooring and electrical upgrades. Kingston also received problem-based learning systems, audience response systems and an Instructional Technology Center where faculty can learn to use the advanced equipment without being in front of a roomful of students. A complete database of installed media in all classrooms is available at <http://hdwiki.uri.edu/index.php/Category:Classrooms>. In addition, Information Technology Services provides a [guide](#) to faculty and students wishing to utilize the available classroom equipment and media.

During the past five years the Champlin Foundations has funded the creation of the Digital Production Resource Center (DPRC), and in conjunction with the NOMAD project, also funded the Instructional Technology Center (ITC). Both of these facilities support faculty in the creation and use of rich media. The DPRC offers eight powerfully configured Mac workstations with a variety of software to create media. It also contains a 3D rendering farm and Avid professional HD video editing station. The Champlin Foundations also funded an upgrade for the TV studio with digital cameras and switching console.

By collaborating with other departments, Media & Technology Services was able to secure three sources of federal funding to make vast improvements in the University's network backbone and wireless network. Approximately \$940,000 from the Department of Energy, \$750,000 from

INBRE (NIH) and \$1.2M from EPSCoR (NSF) provided enough funding to run approximately 43.5 miles of 72-strand fiber to connect key University campuses. About 500 access points were also installed to bolster the University's Wi-Fi network. This network infrastructure not only allows more of existing voice, data and video traffic, but it also enables researchers to send massive data sets to the high performance computing cluster at Brown University.

These improvements provide the infrastructure that will allow URI to meet its bandwidth needs for at least the next five years. The electronics that power the fiber optic backbone can be upgraded to provide sufficient capacity for at least the next 20 years. There has been installation of new phone and video conferencing systems with 1300 phones cut over to the new Cisco VoIP based system, and approximately 2,500 more are expected to be cut this summer. The University has also made an investment in a Cisco/Tandberg videoconference system that will be integrated with the new phone system this summer.

The University will continue to upgrade classrooms with digital technology to accommodate HD projection and ever-changing mobile devices. In addition to classroom technology, tools to support online and experiential learning will be a priority, as well as systems to store and assess evidence of learning. Other important IT tools that will be a priority in the next five years include federated ID services and systems that enable disparate groups to build trust relationships so they can securely and efficiently collaborate online.

The University continues to advance fire safety improvements in its residential, major assembly, and general business occupancy. Using a \$12.5 million federal American Recovery and Reinvestment Act (ARRA) grant from the US Department of Education, in addition to \$18.5 million in student fee supported revenue bonds addressing residential, dining and student union buildings, planning and construction began on four major fire safety projects in spring 2011. Projects to be completed this summer include the athletic complex, Chafee Social Science Center, Carothers Learning Commons and Library, and the Fine Arts Center - Phase I. Also completed with ARRA funding were 14 Building Alarm upgrades.

There are several major projects that have been completed or projected since 2007, including new facilities and expansions of academic, residential and dining facilities and infrastructure. These projects are detailed in Appendix G: *Update on Physical Resource Projects*.

STANDARD NINE: FINANCIAL RESOURCES

The institution's financial resources are sufficient to sustain the quality of its educational program and to support institutional improvement now and in the foreseeable future. The institution demonstrates, through verifiable internal and external evidence, its financial capacity to graduate its entering class. The institution administers its financial resources with integrity.

State Funding

The general election of 2010 brought a new administration to the Governor's office, which began its tenure beginning in January 2011. In February 2011, the new Governor submitted his FY2012 budget proposal to the Rhode Island General Assembly which suggested general operating increases of \$9.8 million for the Rhode Island higher education system of which there was a \$2.3 million increase for the University of Rhode Island. The General Assembly gave final approval to a smaller increase of \$2.9 for the Rhode Island higher education system and \$1.1 million for the University. This modest increase in support for the system and URI stopped the previous

trends of reductions in state support for higher education and URI. The following provides a six-year summary of the state support for the general operating fund (E&G Fund) of the University.

FY2007	\$82,471,177
FY2008	\$74,896,525
FY2009	\$62,192,731
FY2010	\$56,784,303
FY2011	\$56,618,919
FY2012	\$57,773,316
FY2013	\$57,624,557

Financial Condition

The University's financial resources have continued to be sufficient to support the operation and mission of URI. Since the 2007 comprehensive study, the University's assets have continued to increase. The independently audited financial statements for the most recent 10 years (FY2002 - 2011) can be found at http://www.uri.edu/controller/financial_reporting.html.

The University's FY2011 current assets, \$125.44 million, exceed current liabilities, \$51.85 million, by \$73.59 million. This is substantially more than the \$32.4 million differential reported in the 2007 Study and demonstrates a continued improvement in the University's financial health. Additionally, the total assets continue to improve. The total net assets in 2007 were \$213.06 million and in 2011 it was \$382.47 million. The total asset increase of \$169.41 million was largely due to investment in capital improvements (\$123 million) but there was also a very significant increase in the unrestricted net assets from \$19.99 million in 2007 to \$67.46 million in 2011, a 337% increase. The unrestricted net assets provide a reasonable reserve fund for unexpected expenditures and it is another indicator of the University's improving financial condition. Despite credit rating agency concerns for the State of Rhode Island financial picture, credit rating agencies, Moody's and Standard and Poors, have rated the University A1/Stable and A+/Stable, respectively.

Physical Condition

The Division of Administration and Finance developed a new [three year strategic plan](#) (2012-2014) that identifies goals and actions intended to more closely align the physical work on campus to the educational goals and mission of the University. The University now integrates the Capital Improvement Plan and financial planning system, instituted a centralized database for current and future CIP projects in planning or design (Capital Improvement Program Access Database) and has developed a criteria-based evaluation method for weighting the relative importance and merit of new capital projects in relation to the University's Academic Plan and strategic goals, fully exercising the new methodology.

The University continues to address deferred maintenance on campus through a combination of capital improvement projects and asset protection activities. The deferred maintenance continues to range from \$400 – 425 million, which is the same level as in 2007.

STANDARD TEN: PUBLIC DISCLOSURE

In presenting itself to students, prospective students, and other members of the interested public, the institution provides information that is complete, accurate, timely, accessible, clear and sufficient for intended audiences to make informed decisions about the institution.

The University continues to present itself to stakeholders in terms consistent with those described under Standard 10. The University publishes complete information online and in print publications, including the catalog and brochures. All materials, in all forms, are vetted to clearly and accurately present the institution's mission, objectives, educational outcomes, admission requirements, as well as policies and procedures. Information about the student body, campus settings, and academic and other resources available are well documented and available online.

Information about the cost of education is published in all sources. The amount of debt upon graduation as specified in 10.11 is published in section H5 of the [Common Data Set](#). To provide a more informative picture of student indebtedness, inclusion of this information in appropriate publications is under consideration.

Since the 2007 comprehensive evaluation, the University's successful institutional branding process has enhanced its position and ability to serve its many constituents. Developed and implemented in 2008, the brand has become the foundation for ongoing, university-wide, integrated marketing and communications. As a result, images, messages, and information presented to constituents -- in all print and electronic forms -- are more consistent and more accurately depict the university's offerings. The branding process has produced a clearly defined, long-term identity and image that is consistent with diverse stakeholders.

As part of the branding process, and in keeping with technology used by constituents, the University enhanced its use of social media venues like Facebook™, Twitter™ and YouTube™ to provide official, timely and accurate information about academic, program and administrative developments and more. Growth in the use of such tools and university-wide website improvements are expected to continue.

STANDARD ELEVEN: INTEGRITY

The institution subscribes to and advocates high ethical standards in management of its affairs and in all of its dealings with students, faculty, staff, its governing board, external agencies and organizations, and the general public. Through its policies and practices, the institution endeavors to exemplify the values it articulates in its mission and related statements.

The University of Rhode Island continues its dedication to promoting a high degree of institutional integrity. The University upholds its commitment to high ethical standards as demonstrated through a number of existing initiatives and policies including the ["URI Cornerstones"](#) (value statements developed by the Quality of Student Life Committee) and the continued work of those associated with the John Hazen White Sr. Center for Ethics and Public Service, a center that was created in 1994 to promote discourse, education, and scholarship on ethical issues and the character of service in public life.

With the inclusion of new initiatives, the University remains committed to strengthening the diversity of students and faculty as evidenced in the [Academic Plan](#) (Goal V: Ensure an Equitable and Inclusive Campus Community) and President Dooley's Transformational Goals (Goal 4: Build a Community at the University of Rhode Island that Values and Embraces Equity and Diversity), which are incorporated into the introduction section of the Academic Plan. Further, new positions and processes were established within the Division of Research and Economic Development that reinforce the integrity and objectivity of our research and scholarship.

Community, Equity, and Diversity

One of the major goals of the University of Rhode Island's academic plan and vision is to be an exemplary community built on a foundation of diversity and equity. A number of key diversity initiatives have been developed and implemented at URI over the last four years.

The Director of Affirmative Action, Equal Opportunity, and Diversity was appointed in January 2011 after serving in the interim position since 2007. The Director serves on a number of URI committees, including the Equity Council and the President's Commission on the Status of Women, and continues to provide leadership to the campus and state communities concerning matters related to equity and affirmative action. A new Assistant Director was also appointed in fall 2012. The Affirmative Action Office was reorganized to report under the area of [Community, Equity, and Diversity](#).

After a period of interim appointments since 2010, a new Associate Vice President for Community, Equity and Diversity has been appointed to commence at the end of August 2012. The responsibilities, among others, of the Chief Diversity Officer include supervision of the Women's Center, Multicultural Center, LGBT Center, the Bias Incident Response Team, and the Office of Affirmative Action and Equal Opportunity.

A new structure of commissions was implemented in fall 2012, which constitute a formal University infrastructure of committees at the university-wide, divisional, college and departmental levels devoted to community, equity and diversity. The President and the Chief Diversity Officer support this wide network of diversity organizations, which enable the University to fully integrate its efforts to promote community, equity and diversity at the University. While many of these organizations function autonomously, the Chief Diversity Officer communicates and collaborates with these committees as liaison for the President to ensure that all initiatives undertaken serve the overall accomplishment of strategic university diversity goals. The commissions include: The Equity Council, the Commission on the Status of Women, the Commission on LGBTQ, and the Commission on the Status of Students, Staff, and Faculty of Color. The commitment to community, equity, and diversity extends beyond the commissions to the divisions, where each has a division-wide committee as well as college wide committees in the division of Academic Affairs. A comprehensive listing of the Diversity Councils, Commissions and Committees comprehensive can be found at the following website: <http://www.uri.edu/diversity/email.html>

Towards furthering the Academic Plan goals for equity and diversity, the Diversity Task Force in Academic Affairs recently advanced the *URI LGBT Faculty Fellows Initiative*. The LGBT Faculty Fellows program is a series of professional development workshops designed to increase the LGBT competency of faculty members. The workshops provide faculty members with the tools to create classroom environments that are inclusive of LGBT people, perspectives, and issues. The LGBT Faculty Fellows program includes a series of five workshops over the course of the 2012-2013 academic year focused on LGBT cultural competency, inclusive pedagogy, and best practices in LGBT inclusion. As part of the program, Fellows will construct a personalized action plan for LGBT inclusion in their own courses.

Research

New Online Institutional Review Board (IRB) Submission Process

A new online Institutional Review Board (IRB) submission process, IRBNet, was adopted in June 2010. [IRBNet](#) is a secure web-based software management system for reviewing and managing human subjects research proposals. To address the policies and procedures of using human subjects and animals in research, the University began collaboration with the [Collaborative Institutional Training Initiative \(CITI\) Program](#). The CITI training provides research ethics education to the University faculty who conduct research with human subjects and in the use of animals in research.

Assistant Vice President for Intellectual Property and Commercialization

In 2011, the Division of Research and Economic Development hired an Assistant Vice President for Intellectual Property and Commercialization. A revised and well-vetted (by faculty and administration) [policy on intellectual property](#) was approved at the Faculty Senate meeting during fall 2011 semester. Additionally, a [policy on conflict of interest](#) regarding intellectual property is provided to help faculty identify potential conflicts and procedures while protecting the integrity and objectivity of the University community. Both of these policies are clearly communicated on the Division of Research and Economic Development website.

6. ASSESSMENT, RETENTION, AND STUDENT SUCCESS

In this section, we have focused on the following two issues: assessment of student learning (*The Academic Program*, 4.48– 4.54) and measures of student success, including retention and graduation (*Students*, 6.5– 6.9).

6b. Assessment of Student Learning (The Academic Program, 4.48– 4.54)

Description: *What is the institution doing in the area(s) selected for discussion?*

The [Academic Plan](#) (2010) serves as a guide for the University’s work in developing sound policies, structures, and initiatives for supporting student learning. The Academic Plan includes goals and actions that align with the University’s mission and vision as a learning-centered institution. We have advanced our efforts in the assessment of student learning through various initiatives, including building a strong learning outcomes assessment program, participating in the National Study of Student Engagement (NSSE), the Wabash National Study of Liberal Arts Education (2006-2009), and the Wabash 2010 Study (Wabash 2.0) (2010-2013). In addition, the University participates in the Voluntary System of Accountability Program and the national Teagle-funded Great Lakes Colleges Association Study Abroad Project. Further, we have secured external resources through a second Davis Educational Foundation Grant (“Evidence to Initiative,” 2010-2013) that links assessment results to faculty development.

The Office of Student Learning, Outcomes Assessment and Accreditation (SLOAA) established in 2006 serves as the main resource for the support of learning outcome assessment activity within the institution. The institutional commitment to assessment is evidenced by the increase in staffing of the office through the recent hiring of a Director of Learning, Assessment and Online Education with oversight for the office of SLOAA. The Office also has a full-time Assistant Director of Assessment, a part-time faculty graduate program Assessment Coordinator, a part-time clerical support staff, and a graduate student. URI maintains a strong, collaborative relationship with the OHE and the Board through an informal committee of assessment personnel at the three Rhode Island institutions of higher education. These representatives meet regularly to share ideas and resources, and to discuss a shared understanding of what our students should know be able to do, regardless of the institution in which they are enrolled to enhance the

transferability of students within the State. In addition, the OHE has provided funding for a graduate student to support assessment at the three institutions.

SLOAA has developed sound structures and initiatives to assist faculty in clearly defining their goals for students and assessing what students are actually learning as a result of their education. [Methods for tracking and reporting assessment activity](#) have improved and research efforts to promote data-based initiatives have increased. Accountability for assessment has also expanded, and the University-wide Learning Outcomes Oversight Committee (LOOC) is now well established with the defined role of ensuring that effective assessment activities are an integral part of program self-examination and improvement. The LOOC is a joint committee of the President and the Faculty Senate, composed of faculty, staff and administrative representatives, that provides ongoing support to SLOAA. The LOOC successfully established and gained approval of a set of [institutional assessment policies](#) in April 2010. The policies, which were approved by the Office of the Provost and the Faculty Senate, and endorsed by OHE, define University-wide assessment expectations and establish explicit responsibilities for the assessment of learning outcomes for general education, undergraduate, graduate and non-academic programs. The policies also delineate reporting expectations and cycles. Full-scale implementation of all aspects of the policies in academic programs is nearly complete. The coordination of efforts to assess certificate, co-curricular and nonacademic programs is on the horizon as we look for synergism among the many student experiences at URI.

As of June 2012, three rounds of undergraduate assessment have been completed, with 100% of undergraduate programs and General Education reporting full cycles of assessment. Each report examines student work, highlights patterns of strengths and weaknesses, and culminates in recommendations for changes to improve student learning. In 2010, graduate program directors began discussions about assessment with the Graduate School to develop a faculty-driven process to improve graduate education learning outcomes. Four strategically selected programs representing both accredited and non-accredited degree offerings (i.e., Communication Studies, Human Development and Family Studies, Mechanical, Industrial, and Systems Engineering, and School Psychology) served as pilots to test and refine an assessment process that would be both meaningful and manageable. This pilot group was then expanded to seven, including three additional programs (Clinical Psychology, English: Writing & Rhetoric, and English: Literature and Culture), which ultimately shaped an assessment process that has been vetted widely among faculty and has received support of and approval by the OHE. By June 2014, all graduate programs will be phased into the assessment process with the initial development of an [assessment plan](#), creating programmatic goals and learning outcomes, a curricular map and an assessment timeline, and by June 2015, will be actively reporting on [assessment activities](#).

A cohort-based, staggered reporting cycle has been developed to integrate undergraduate and graduate reporting into one assessment process. This [reporting framework](#), supported by the Office of the Provost, the Graduate School, OHE, the Faculty Senate (February, 2012) and LOOC creates a sustainable assessment process across all academic programs, encourages faculty engagement in meaningful work, and allows for time to implement and evaluate interventions. The framework respects the structure of departments where it is often the same faculty who are responsible for assessment at the undergraduate and graduate level, and acknowledges the uniqueness of programs, particularly at the graduate level. By 2015, the staggered reporting cycle will be fully implemented across all academic programs, satisfying continuous assessment and reporting.

In 2007, URI joined the [Wabash National Study of Liberal Arts Education](#), a longitudinal study that uses multiple tests, scales and surveys to investigate critical factors that affect the outcomes

of a liberal arts education. Over 1800 URI freshmen comprised two cohorts (fall 2007 and fall 2008). In spring 2011, approximately 300 seniors and 4th year students from the first cohort returned to complete the surveys. In March 2012, 200 seniors and 4th year students from the second cohort completed the surveys. Data from the first cohort (freshman, fall 2007 - senior, spring 2011) was just made available in July 2012. While a thorough analysis of the change data is planned, we are excited that a preliminary review indicates statistically significant growth in critical thinking as measured by the *Collegiate Assessment of Academic Proficiency* (CAAP) set of standardized tests. The change data within these cohorts, reflecting experiences from first year to fourth year, will provide invaluable information because they have also been linked to institutional data (such as GPA and retention indices) throughout the student's four-year experience, and can be disaggregated by college and major for further exploration.

The University continues to participate regularly in the [National Survey of Student Engagement \(NSSE\)](#) to collect data on freshmen and senior perceptions of their college experience. The Wabash Study identified twelve of the many NSSE questions as correlating with gains in deep learning. Results of the analysis (discussed in more detail in the next section under “Findings”) indicated some clear trends of improvement over the last decade, broadly reflecting the level of effort being made by the University to enhance student learning through a variety of initiatives. The results also point to areas where we need to focus increased efforts to enhance student learning.

URI also participates in [The College Portrait program](#), through the Voluntary System of Accountability (VSA) providing NSSE data, institutional data, and the standardized test and written versions of the Collegiate Assessment of Academic Proficiency Analysis (CAAP) from our two freshmen and senior Wabash cohorts, to measure gains in critical thinking. Wabash change data is expected in 2012.

In 2009, URI joined the national Teagle-funded [Great Lakes Colleges Association Study Abroad project](#). The pre and post online surveys are designed to capture student growth on a number of variables related to the development of a multicultural perspective as a result of studying abroad. The Academic Plan calls for exposing students to opportunities to develop cultural awareness and a respect for diversity, and the study abroad program provides a unique immersion opportunity. There are a variety of program options available to students. However, with multiple leave/return dates for students, it has been a challenge to engage students in the post-return survey. We are eager for the results, expected fall 2012, and will use them in conjunction with data on diversity from NSSE and the Wabash subscales to provide useful insight into student perception and development on issues of multiculturalism and diversity.

While we continue to grow the infrastructure to support sustainable assessment, we also make use of external resources to advance this work. In 2010, the Davis Educational Foundation awarded URI its second Davis grant to support assessment. The [proposal](#), “Evidence to Initiative: Improving Student Learning Through Faculty Development at the University of Rhode Island,” outlines goals for the three-year, \$296,811 grant, and links directly to the Academic Plan supporting the enhancement of academic quality and value through investments in teaching and scholarship, creating faculty development initiatives rooted in data, and expanding a culture of achievement promoted by faculty-student engagement. Initial work supported by this grant has included the development of a pilot program to inform revisions in the general education program (i.e., the Grand Challenge Initiative) and an Online Faculty Fellows Program to develop faculty expertise in creating online course. This coming year, we are rolling out an Assessment Fellows Program. This program will support faculty and departments in implementing recommendations from the most recent round of assessment reporting by identifying how

changes in the curriculum will be implemented, what student work will be examined and the criteria used to evaluate this work, and the expected effects of the intervention on student learning.

2. *Findings:* What has the institution learned in the area(s) identified and how has it used or will it use the results for improvement of the academic program and services for students? How will the findings be used in internal and external communication? Include data and evidence, and as appropriate, refer to the E and S forms.

We have approached the important work of assessment of student learning through multiple avenues, as described above to create a rich warehouse of data. In this section, we summarize what we have learned by measuring the outcomes of these initiatives and how we are using this learning to improve our assessment process and academic programs.

Student Learning Outcomes Assessment

With regard to our program of learning outcomes assessment, summary data from URI's third round of reporting indicate the variety of changes that have improved student learning (see [E1a – Graduate](#); [E1a – Undergraduate](#); [E1b – Graduate](#); [E1b – Undergraduate](#); [S3 – Graduate](#); [S3 - Undergraduate](#)). [Highlights of evidenced-based program changes](#) made to improve student learning, and the evaluation of the effects of some of the interventions indicate how the quality of assessment work has improved. We are just entering a phase of routinely evaluating the impact of changes. Specifically, this improvement is reflected in faculty applying a greater variety of assessment methods, the use of college and program-level assessment committees, and the greater level of faculty commitment to assessment. Patterns of weakness typically revealed during the assessment process are in the areas of curriculum (e.g., course sequencing, prerequisites, and program delivery), pedagogy, and/or the assessment method or process. Recommendations for change provide a key focus for follow-up during future rounds of assessment, and faculty are held accountable for implementing interventions and measuring their efficacy. When faculty report weakness in their assessment process, they are usually recommended to use standardized and objective evaluative tools, increase their sample size, and to look across sections or courses to focus on programmatic, not course-level, outcomes achievement. Faculty are guided to evaluate direct, authentic sources of student work, as opposed to relying on indirect measures or more traditional proxy indicators of program health and student success (e.g., grades, GPA, graduation rates).

Since 2011, subcommittees of trained LOOC members work with the SLOAA Office to review assessment reports and provide constructive feedback and guidance to programs. This process of peer review allows for more authentic feedback from faculty peers, and results in the development of assessment “experts” within the committee and across the institution. Fair and constructive feedback on assessment reports has been instrumental in helping to develop better assessment processes. The narrative feedback form that was used to evaluate reports from the second round of assessment (2009-2010) was replaced by a [feedback rubric](#) during the recent third round (2011-2012). The rubric is completed individually by reviewers, discussed during group evaluation, and summarized by SLOAA, which provides the feedback to programs with a rank-level designation that corresponds to comprehensiveness of the report. The new structured feedback has been well received, and often prompts additional conversation and action. The [SLOAA assessment website](#) provides the reporting form, rubric for faculty to review in advance, and guidelines and criteria to help faculty create a successful plan or report.

The [assessment website](#) remains the primary vehicle for making our commitment to assessment transparent and providing accessible resources and information for faculty. It is continually

updated and improved in response to faculty needs and campus assessment activities. All assessment reporting information and resources are posted, including links to individual program outcomes; however, actual program reports and data are not public at this time. Program assessment materials are maintained on a URI server and retained in hardcopy. Since 2009, all past and current program assessment reports, documentation, and feedback have also been stored on an external site, PBWiki, Inc., an online collaboration tool. This process was shared with RIBGHE and then adopted statewide, providing one central repository of content available to RIBGHE, SLOAA and LOOC. The "Wiki" site has proven to be an invaluable organizational tool as well as a strong analytical instrument. By tagging key words in reports, we can sort by outcome, student artifact, or course level of assessment. [Preliminary analysis](#) has revealed, for example, that 100% of our programs have learning goals that include content knowledge in their discipline, 89% have a critical thinking outcome, 81% oral and written communication, 55% have a teamwork outcome, and 50% include diversity outcomes. This tool provides opportunities to conduct macro-level analyses of assessment trends across the institution and can lead to efficiencies of scale in designing faculty development programs.

Wabash and NSSE Results

To date, we have received results from Wabash on first-year students who entered URI in fall 2007 and fall 2008, and as of a few weeks ago, longitudinal results comparing 2007 first-year cohort data to 2011 senior year data. In examining the [data for 2007 and 2008 freshman cohorts](#), our students made small improvements in critical thinking and moral reasoning in their first year. Similar to students at other large institutions in the study, URI students declined slightly or did not change on outcomes such as leadership, need for cognition, well-being, political and social involvement, and openness to diversity and challenge in their first year. Although our students reported a decline in academic motivation over the first year, this decrease was smaller, on average, than that of students at other large institutions. As indicated earlier, based on a preliminary review of the longitudinal data just obtained, critical thinking scores (as measured by CAAP) of seniors have significantly improved since the first year. In the next several months, we will be examining the longitudinal data in more detail. Thus far, the Wabash data are conclusive on one point: the variation of student experiences within the institution is far greater than the variation of experiences across institutions. We have added student focus group data to uncover what is meant by the "URI student experience" to find out why some students report receiving a high degree of good experiences and others do not. We need to increase the opportunity for all students to have a comparably rich undergraduate experience, and these data provide both baseline and benchmarks with peer comparisons to spark conversations about pedagogical and institutional changes that would promote gains in achievement. Faculty have shown great interest in learning more about these data and will be provided opportunity to share and interpret the results.

More recently, URI was accepted to participate in the Wabash 2010 Study (Wabash 2.0), a three-year commitment in which the focus shifts from gathering data, to creating a model for using data to make changes. In conjunction with Davis Grant goals, URI identified three project areas ([online student engagement](#), [information literacy](#), and [interdisciplinary learning](#)) that would link to faculty development initiatives to improve student learning. The analyses of the projects are underway, direct and indirect data have been collected, and many changes have already been made. For example, in the information literacy assessment project, we found that 65% of students are "approaching expectations" (rather than "meeting" or "exceeding" expectations) regarding the ability to "use and format citations and references correctly." Therefore, instructors are learning and beginning to make changes in how they address this issue in their courses.

With regard to NSSE data aggregated from surveys in 2002, 2005, 2007, and 2011 for both first-year and senior students, we are making moderate progress in enhancing students' deep learning skills, particularly in the areas of analysis, integration, and application during the college experience ([NSSE Deep Learning Items Report for 2002-2011](#)). However, there is little change between first-year and senior students in reflective learning. Further, results show that deep learning skills have improved more among first-year students over the past decade than among seniors. Along with the Wabash and program learning outcomes data, we are examining the implications of NSSE results for making curricular improvements in programs that focus on these skills. We are pleased to note that our students report experiencing a high level of enriching educational experiences (e.g., internships, community service, independent study, capstone experiences, etc.) across their college experience at levels that exceed our peer institutions ([NSSE 2011 Benchmark Comparison Report](#)). Our recently created Office of Experiential Learning and Community Engagement will serve to increase these learning opportunities for our students.

General Education

The responsibility for ensuring the assessment of the General Education program currently lies in the intersection of the academic programs offering general education courses, the University College and General Education (UCGE) Committee, the Subcommittee for the Assessment of General Education (SAGE), LOOC and SLOAA. Since 2006, SAGE has taken full responsibility for doing this work ([General Education 2011-2012 Assessment Report](#)) which has become increasingly challenging since the Academic Plan called for a renewed general education program which, "...assures relevance in preparing students for the future..." In 2009, a strategic decision was made to transition to a new general education curriculum, so an [assessment project](#) undertaken by SAGE in 2008 was discontinued due to the anticipated redesign of the program by 2013. The revision of the program began with the introduction of a three-year pilot initiative, Grand Challenge (GCH) courses, which were instituted in fall 2009. This program aligns with the Academic Plan, and calls on experienced faculty to collaborate and develop creative interdisciplinary courses that focus on real-world issues of global concern. Assessment was built into the program to measure student learning through the achievement of general education and GCH outcomes as evidenced in student work, student experience surveys, and faculty focus groups and surveys. These assessments indicated that students in these courses felt more personally connected to their instructors and to their fellow students; had increased interest in the "grand challenges" addressed in the courses; and would recommend the course experience to incoming students. Students also recommended improvements in integrating the interdisciplinary aspects of the experience. The [review of assignments](#) and student work revealed that assignments were creative, challenging, and problem-focused and, importantly for first-year student learning, provided a high degree of scaffolding to build student competency and confidence in doing the work.

Many improvements were made during the second year of the GCH pilot program as a result of the analysis of the multiple sources of feedback, including the development of a faculty mentoring program and designing workshops on learning assessment, pedagogy, scaffolding assignments, and rubric development. The same sources of evidence have informed changes for the third year of the pilot program which ends in the 2012-2013 academic year, and is providing helpful insights for the development of the new general education program. Meanwhile, our students continue participating in the existing general education program, and assessment remains a priority to ensure continued program effectiveness. To that end, SAGE has recommended focusing short-term assessment on broad college competencies that will continue to be addressed in the new program (e.g., writing, communication, quantitative literacy). Work

has begun to develop common rubrics for use across disciplines to provide a meaningful contribution to the development of the new general education program.

Davis Grant Initiatives

The Davis Educational Foundation Grant awarded to URI in 2010 supports investments in faculty development based on evidence provided by student learning outcomes assessment, the scholarship of teaching and learning, and efforts to promote faculty-student engagement. Assessment has led to targeted faculty development initiatives in alternative instructional techniques, modifications to curriculum and prerequisites, innovation in methods of course delivery, and other changes believed to improve student learning and success. [Examples](#) of programs that have participated in these efforts include Writing and Rhetoric, Public Relations, and Gender and Women's Studies, among others. On May 2, 2012, an [Assessment Showcase](#) was held to celebrate grant-funded assessment work at the undergraduate level. The grant is concluding its second year, and the results of various initiatives have already been used to guide changes in programs (including the Grand Challenge program described above) and create workshops on topics of curricular redesign, instructional design, and pedagogy to help faculty increase the degree to which students are exposed to high impact practices that enhance learning. One example has been the development of an Online Faculty Fellows Program that was offered in summer 2011 and again in expanded form in summer 2012. The goal of the initiative was to create a community of practitioners to support online learning pedagogy, innovation, and future mentoring efforts to expand online learning programs. Assessment of this program is currently underway and results will be used to develop faculty training programs as well as student orientation programs for effective online learning. Implications for policy and practice for distance learning at URI will also be informed by what we learn from these experiences.

3. *Appraisal and Projection*: *What is the institution's own evaluation of its success in the selected area(s)? What plans does the institution have for further work in the area(s) selected or in any of the three areas above?*

Multiple sources of funding are used to build capacity in student learning outcomes assessment, support faculty engagement, and foster faculty development. Internal and external funds have been used for faculty stipends, conference and webinar sponsorship (e.g., AAC&U, NEASC, NEEAN, SAKAI, ELI, AAEEBL), topical workshops on general education assessment and graduate assessment and planning, the development of evaluation tools, and the promotion of initiatives in the Scholarship of Teaching and Learning (SoTL). Mini-grant funding for graduate, undergraduate and general education assessment has exceeded \$75,000 since 2007. Although financial support has increased, and faculty increasingly value assessment, a level of concern still exists among faculty regarding the value of this work to the institution. For many, workload issues pose barriers to greater participation in program assessment, and even the most dedicated faculty feel conflicted with regard to the institutional value of this work compared to that of other teaching, research, and service performance expectations. Faculty time is continually stretched, and a clearer message about the professional value of this work needs to be communicated. As the benefits of assessment grow, so should the value placed on the time it takes to engage in quality assessment. Some departments have already begun leading this charge by providing course release, sharing work in committees, or by explicitly requiring assessment efforts for advancement within the department. In addition, measuring the progress of program level assessment is included in the metrics for evaluating progress on the Academic Plan.

We continue to face a real challenge of organizing and disseminating data to colleges and faculty. The data need to be meaningfully and reliably interpreted and presented in ways that faculty will find useful and will benefit their understanding and application, and from which they can make

improvements to increase student achievement. We also need to find effective ways to share assessment methods and results across departments to identify areas of strengths and weaknesses in student learning at the institutional level, develop best practices in assessment, design relevant faculty development programs to build competency in assessment practice, and further strengthen the commitment to assessment and focus on student learning.

Specifically, the following initiatives are being considered in advancing future progress in student learning outcomes assessment:

- Assessment will continue to need institutional resource allocation (financial, technological and instructional) where indicated to drive data analyses and effect program improvement.
- Learning outcomes will become a tangible part of the student experience as they proceed through courses and programs. As a result, students will be able to monitor their attainment of learning goals and be confident in demonstrating achievement.
- Programs with varied modes of course delivery (e.g., online, face-to-face and blended courses) will develop an assessment focus to ensure levels of learning regardless of delivery modality.
- Revisions in the general education program are being driven by a consideration of a coherent and measurable set of eleven expected learning outcomes that are consistent with the National Leadership Council for Liberal Education and America's Promise (LEAP), including cross-disciplinary knowledge, skill competencies, personal and social responsibilities, and the application of knowledge to solve complex problems
- The culture of assessment will be broadened and deepened through targeted faculty development and training initiatives. At the program and institutional level, the University has the traction necessary to continue to grow and develop in assessment. In 2009, a [Survey of Department Chairs](#) revealed that, overall, chairs acknowledge and support the value of continuous programmatic student learning outcomes assessment within their departments. This survey will be repeated in fall 2012 and we expect to see improvements since many faculty now articulate a greater respect for and understanding of assessment and are actively responding to their data.
- A process for sharing, analyzing and making sense of data with colleges, deans, programs, chairs, directors and faculty will be developed to build capacity in responding to results and making data-based changes. Data inform institutional effectiveness and guide responses, and it is imperative to continue to explore effective methods of their dissemination and use.
- Reporting for academic (including certificate) and nonacademic program assessment will be further integrated to provide a comprehensive source of the effect of all institutional programs, practices and conditions on student success and to better define student engagement. Using predominantly indirect methods, the nonacademic areas continually assess their ability to understand and satisfy student needs and expectations, and respond by making adjustments to improve their services. These departments and divisions play vital roles in fostering student skills and attributes that correlate with student engagement and success. Resource allocation for assessment should include these areas as well.
- A faculty liaison should be identified at each college to facilitate communication about learning outcomes assessment.

The responsibility for monitoring all programs, internally and externally, through student learning outcomes assessment and academic program review, is shared by multiple constituencies committed to providing a high quality educational experience for URI students. Assessment of student learning is an important criterion that contributes to an academic program's overall value, success, and relevance. In combination with feedback from students

and employers, these processes provide a roadmap for continuous improvement and evidence-based change which should enable URI to fulfill its goals and attain a culture of achievement.

6c. Measures of Student Success, Including Retention and Graduation (Students, 6.5– 6.9).

Description: What is the institution doing in the area(s) selected for discussion?

The University continues to grow robust data sets that include admission application information, student performance and success data from eCampus/PeopleSoft, exit survey data from when students leave, Mapworks data, financial aid information from the FAFSA, and information from housing and residential life. The first challenge in creating meaningful measures of student success was to create and integrate data sets that did not formally exist. The second, and bigger challenge, has been to decide how to use this wealth of information. To accomplish this, the University created a retention committee of over 15 members representing various constituents of the University who exam these data to discover patterns of relationships that may yield insight into the development of effective measures of student success and strategies that will positively impact those measures. The committee meets several times a semester and is comprised of members from academic and student affairs, and includes faculty, staff, advisors, and administrators.

In addition to the creation of robust data sets, for years the University has undertaken a variety of services and programs to foster student success and persistence. Under the leadership of [University College](#), the academic home to all first year students, the University has continued to enhance its mandatory first-year seminars (URI 101) for students. These seminars, coupled with learning communities, and in many cases living-learning communities, exist to provide a nurturing, supportive transition for new students. In 2009, the University implemented [MAP-works](#) (“Making Achievement Possible”), an early intervention system for first-year students that allows faculty and staff to identify at-risk students early in the term and develop appropriate interventions to positively impact student success and retention. MAP-works research on student success has found that student connectedness, including early student involvement and connection to peers and faculty, have a strong impact on social and academic integration, commitment to and satisfaction with the university, and persistence. MAP-works, which began collecting university data in 1988, has also found that in aggregate, these are the best predictors of retention and GPA.

URI MAP-works data show that commitment to the University, peer connections, and academic self-efficacy are predictive of satisfaction with the University. Therefore, fostering the growth of these specific components of satisfaction with the University, and monitoring their progress, is important. It is especially encouraging that students at URI reported more favorably on peer connections and commitment to the University, compared to averages reported by other institutions participating in MAP-works. URI has collected MapWorks data for three years, each time through three phases (early October, late November, mid March) to compare student persistence and satisfaction. While we have found MapWorks to be predictive of retention, our most salient use of this intervention has been the one-on-one connections facilitated through using MapWorks. All students in the first year seminar, URI 101, complete this assessment, which they then discuss with their URI 101 instructor, and whenever possible, with their academic advisor, increasing their connection with faculty resources at the university.

In January 2011 representatives from all colleges, as well as Enrollment Services, the College of Continuing Education, the International Engineering Program, Student Affairs, and Student Senate met to consider a comprehensive plan for academic advising for all undergraduate

students, from admission to graduation. The group addressed many factors that affect advising excellence, and agreed to explore best practices for advising in University College and in each of the degree-granting colleges. Recommendations include having a shared understanding of the role and definition of effective academic advising, practices that maximize current resources and requests for additional resources, policies around recognition and reward for effective advising (letters of appointment, tenure and promotion process, considerations for sabbatical), and enhanced training in and assessment of advising practices. Subcommittees of faculty, administrators and students were assigned to make recommendations regarding advising philosophy, structure, and assessment; best practices; advising communications; technology; and training. Finally, each degree-granting college developed templates of advising practices and analyzed advising costs, which were shared amongst each other for comparison. The final report will include recommendations related to how to best communicate information about the major, to assigning, assessing, training, and rewarding advisors.

The [Academic Enhancement Center](#) (AEC) provides free tutoring for specific subjects and classes, as well as for general learning skills and strategies. Tutoring is done by a trained team of advanced undergraduate students and by professional learning specialists. In addition, the AEC offers Supplemental Instruction, which provides course-specific study sessions facilitated by staff who attend the class, then meet weekly with students to review key concepts in the course and practice applying them. The AEC also provides a variety of workshops on topics such as time management, test taking, memorizing, critical thinking, note taking, procrastination, and more, all of which can be scheduled or created upon request. The AEC is promoted as an ideal study center, offering comfortable spaces for study or homework, alone or with a group. Perhaps most important is the support for academic counseling that the Center offers, helping students to learn the full range of skills and strategies needed to assess academic strengths and weaknesses and to set achievable goals.

The University has identified a series of first-year courses that are vital to student success and persistence, yet have low successful completion rates among students. These courses, labeled “gateway” courses, are taken in the first year, are required for many academic majors, serve as academic prerequisites for major courses, and have high percentages of students earning grades of D or lower. The courses identified as gateway courses for URI include biology, anatomy, chemistry, math (including pre-calculus, calculus, and business math), economics, psychology, and physics. Low performance in these courses often results in students needing to repeat courses, and thus increasing their time to graduation, or results in students becoming disillusioned with their potential major choices and major migration.

These data were presented to the Provost and Council of Deans for review and discussion, and a Gateway Committee was formed. The Gateway Committee is comprised of academic deans from the colleges of Engineering, Arts & Sciences, Environment and Life Sciences, the Director of the Academic Enhancement Center, the chair of the Math department, and the Vice Provost for Enrollment Management. With support of the Provost, the Gateway Committee reviewed the data and created a request for proposals to enhance student success in gateway courses. The Gateway RFP was launched in fall 2011. Thirteen proposals were submitted, and five were funded at a total of almost \$50,000. Faculty who were funded in this initiative are beginning work on these courses in summer 2012 and will continue to develop and integrate strategies into the curriculum through the 2012-13 academic year.

In addition to the Gateway RFP, the Academic Enhancement Center has continued to bolster its efforts to help students through tutoring and supplemental instruction. Currently, supplemental instruction exists in the following areas: all sections of BIO 101, 121; CHM 101,103,112,124;

MTH 111, 141, 142; PHY 203. In 2011-12, supplemental instruction leaders met with 1,912 students who participated a total of 9753 times, similar to the 2010-2011 data. Despite our success, we note that this program suffers, particularly in Math and Physics, from insufficient resources. We need to be able to place a supplemental instruction leader in each course section, since not doing so seriously weakens our outreach efforts and results in far too few students attending. In addition to our traditional supplemental instruction offerings, various departments around the university cover tutoring and supplemental instruction efforts, such as Business (BUS 111) and general math (MTH 107). Ideally, the more supplemental instruction is integrated as a holistic effort, with instructors and leaders working closely together, the better the efforts and results will be. In addition to the AEC, we provide four walk-in centers (biology, math, chemistry, physics) that focus on the STEM disciplines and relevant gateway courses.

This comprehensive work with gateway courses includes involvement of leadership at the University, college and departmental levels. With the creation of new and enhanced data sets that combine data from undergraduate admissions with course data, the University now has the opportunity to use this information to begin to understand student success in these vital courses and its possible relation to retention and graduation.

In fall 2011, the University discovered that it had lost over 300 students from the prior spring 2011 semester who had earned 75 or more credits at the University. Upon further discovery, the University realized that in the past ten years, over 2600 students had left the University after earning 75 or more credits. The discovery of these data led to the creation of a small team who developed a pilot program dubbed “Finish What You Started” to create strategies that might help these former students complete their degrees.

The pilot program included two components. The first component involved the development of a data set which included the names of the 2600+ students, their academic program information, credits earned, GPA, financial aid data, outstanding balances (if applicable), and other pertinent information. These data were merged with Clearinghouse data to see if students had earned degrees from other institutions. The second component included a pilot outreach program to approximately 300 students who had left the University with 75 or more credits. The group chosen included students who left with 75+ earned credits, were in good academic standing, had a zero balance, and were in academic programs that were offered at both the Kingston and Providence campuses. The latter component was launched in late fall 2011. A website was launched www.uri.edu/finish and a letter was sent on behalf of the Provost to the 300 targeted students. In addition, the team took part in a webinar hosted by two model programs from the University of New Mexico and the University of North Carolina.

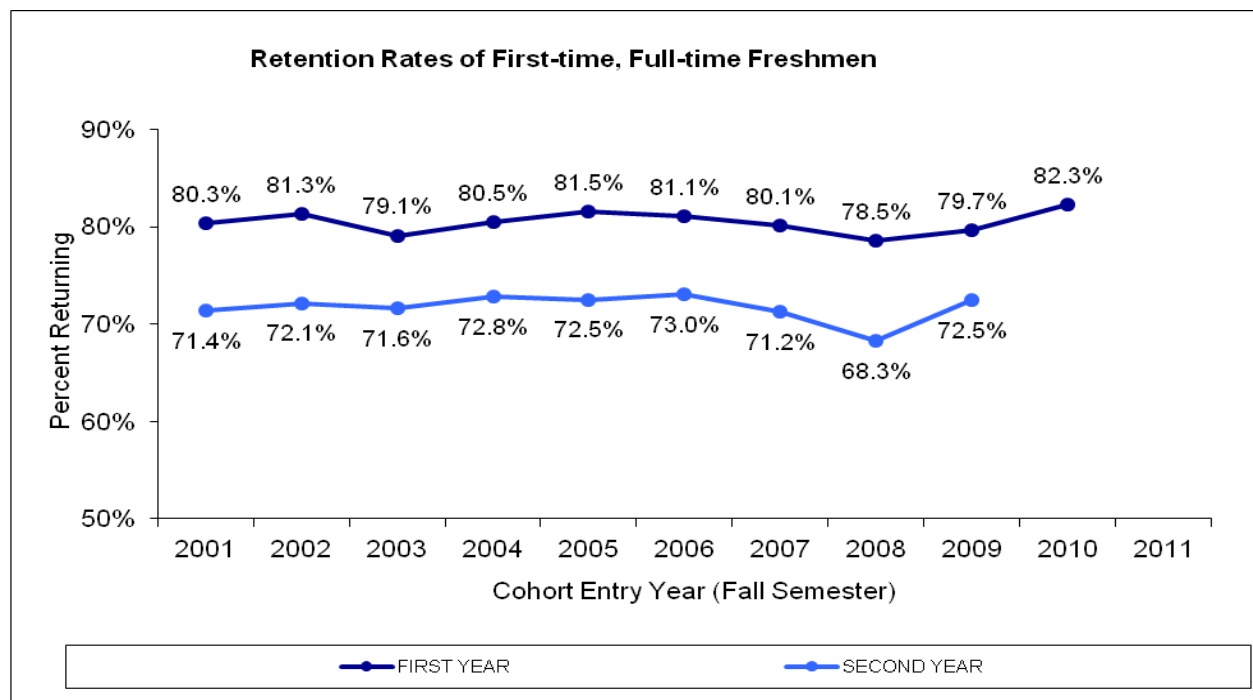
Various media outlets became interested in the program, including the *Providence Journal*, *Reuters* and *USA Today*. The University received over 90 inquiries from students, or their family members, seeking ways to complete degrees. Thirty students re-enrolled in the University for spring 2012. Approximately 12 students responded to the initial mailing, while the others resulted from the media interest surrounding the small pilot.

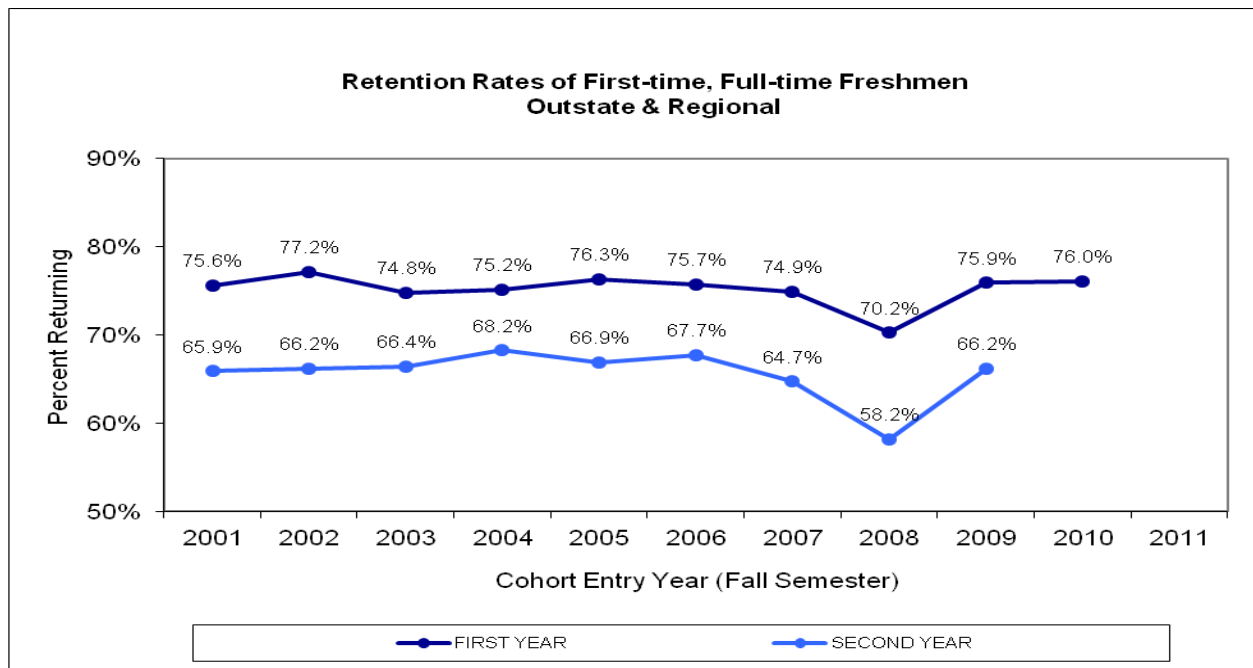
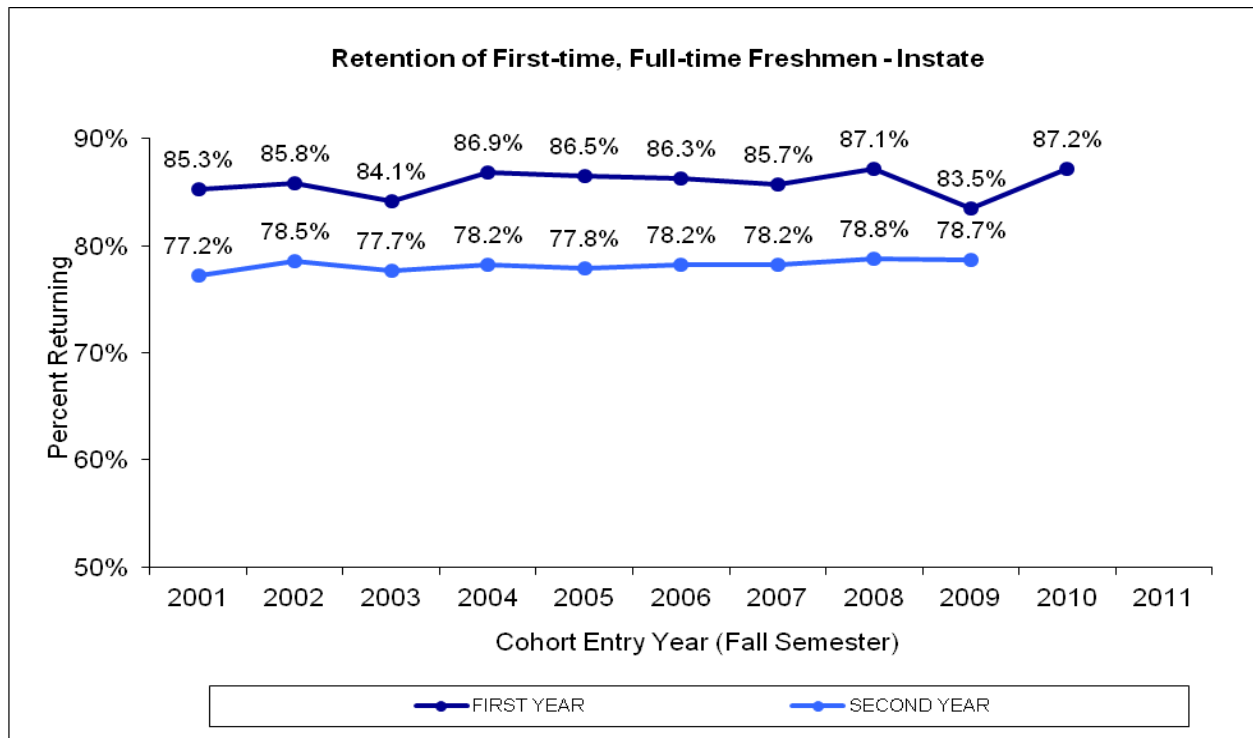
The University has launched a marketing campaign in summer 2012 for outreach to additional students and families in Rhode Island. This campaign includes letters, billboards, radio and other print advertising. Further challenges are expected, including how to work with students who are in collections or owe the University money and do not have the ability to pay. The energy and excitement around this newly developed program should benefit the State, University, and individuals looking to finish the higher education journey they started.

Over the past several years, the University has undertaken a variety of efforts to enhance graduation rates. These include streamlining the curriculum, reducing the number of credits required to graduate to 120 credits when possible, creating as mentioned previously, comprehensive advising plans for students and focusing on gateway courses that impede student success in the first years of the college experience, marketing to students the importance of earning 30-credits per year, and most recently, changing the drop-add policy (described under Standard 4: The Academic Program).

Findings: What has the institution learned in the area(s) identified and how has it used or will it use the results for improvement of the academic program and services for students? How will the findings be used in internal and external communication?

As shown in the following figures, the overall first-year retention at the University is 82.3%, the highest it has been in the past ten years. In-state first-year retention is 87.2%, and out-of-state first-year retention is 76%. Both in and out-of-state retention have seen gains in recent years. The overall second-year retention is 72.5%, the second highest it has been in 10 years, with second year in-state retention at 78.7% and out-of-state retention at 66.2%.



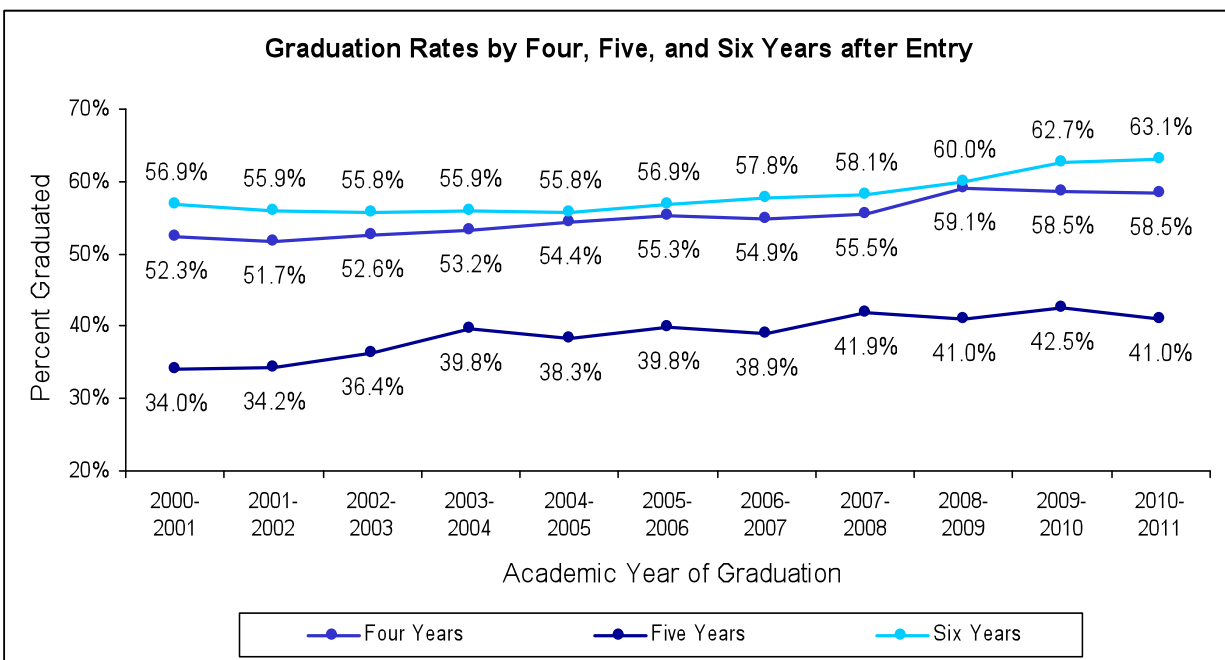


For many years, there was a common belief that students left the University because of a lack of social activities to participate in near campus, and that high-achieving students left to attend more prestigious schools. With a lack of data, these anecdotal thoughts permeated the community. The retention committee undertook a series of analyses to determine why students left and if and where they later enrolled. The University looked at three main data sources to determine why students were leaving. The first source, the University's exit survey, is administered through Peoplesoft/eCampus and asks a variety of questions related to reasons why students leave (academic, social, financial, personal). The results of this survey show that overall cost and financial aid were the main factors why students were leaving. These findings were further tested by examining the correlation between discount rate (institutional aid/cost of

attendance) and student retention. Students with a low discount rate were more likely to leave. In fact, students with a discount rate of under 12% were leaving the University at significant rates: 40-50% dependent upon the year. Finally, to further triangulate these results, the University examined where students enrolled after leaving the University. Out-of-state students who left the University were not enrolled in elite, private schools but rather enrolled at their home state public institutions.

As described in the Special Emphasis section of this report, in fall 2010, the University launched a pilot program to see if the retention of students with a low discount rate could be enhanced by increasing their financial support. Students in this category were awarded additional aid for spring 2011, with the promise of keeping this additional aid in subsequent years provided that their need profile was consistent. As stated previously, students with a 12% or lower discount rate were leaving the University at rates of 40+%. One year after launching this pilot program, the students who received additional aid mid-year were retained at an 80% rate – a dramatic increase from the previous year.

As noted in the following figure, the University’s six-year graduation rate is at all-time high. The 63.1% reflects an unprecedented 6.4% increase over the past five years. These graduation numbers do not include transfer students, who represent over 20% of the graduating class each year. As graduation rates are level or declining slightly at the national level, the University is pleased to see significant rises. Under-represented student groups have also seen an important increase of over 12% since 2007.



Appraisal and Projection: What is the institution’s own evaluation of its success in the selected area(s)? What plans does the institution have for further work in the area(s) selected or in any of the three areas above?

The University is pleased with its increased efforts and success in retaining and graduating students. It has taken steps through strategically using financial aid to implementing MAP-works to identify early challenges, then to connect these challenges with advisors and support

services, and endeavor to provide students needed assistance. Expanding the membership in the retention committee has been beneficial, as it has led to robust discussions on student success and persistence amongst the various divisions and colleges of the University. Colleges and departments are beginning to use the data of the committee to understand retention and student success from a college and departmental level.

With respect to graduation, the work of the University's Advising Steering and Gateway Course Committees are essential to further enhancing graduation rates. Enhanced graduation audits and degree progress completion status reports are areas identified as essential tools to help students and advisors understand the journey from enrollment to graduation. Over the years, the University has recognized the growing number of transfer students, and has developed a robust transfer articulation agreement with our main feeder institutions. While not calculated in current graduation numbers, the University needs to determine ways to add transfer students into the graduation metrics. Finally, the Finish What You Started Program's successful pilot launch is expected to grow into a full-scale program designed to help those who did not yet earn their degree. Finally, the University will continue to collect and analyze its data with regards to retention and graduation rates, expanding its pilot programs and learning from these initial positive results.

7. PLANS

Synthesis as Context for the Future

The University of Rhode Island has undergone substantial strategically driven change since the 2007 comprehensive accreditation review. A cultural and attitudinal context for change and collective commitment to advancing the University is prevalent. This provides a solid foundation and momentum for achieving the strategic goals established in the University's Academic Plan, which includes the President's Transformational Goals. The ideas and directions articulated in the Plan are meant to guide institutional effort and investments, create focus on critical priorities, and inspire us to move forward with confidence and enthusiasm. Critical to the work of University planning and strategic change has been an increasingly important shift to institutional self-sufficiency and the recognition that quality is the most important value on which to build our future. As such, the University community is actively, collectively, and strategically defining the future of the institution rather than allowing the future to be imposed through external entities or to evolve in a reactionary mode.

The following three areas of cultural transformation have been particularly critical to the institution and, if sustained, will provide context for our further advancement:

Recognition and full understanding of the implications that URI is a tuition-dependent institution. Approximately 8% of the University's budget is derived from the state appropriation. This is not a recent phenomenon at URI, but rather a decline in state funding that has evolved over the past decade. While we will continue efforts to enhance or, at least, maintain state funding, our shift toward recognizing that tuition is the institution's primary revenue stream has led to transformational efforts in admissions, financial aid, and adding value to the URI student academic and co-curricular experience. Prominent is a shared institutional focus and commitment to student learning and the student experience, as well as an emphasis on developing synergies between teaching and research. The subtle, but critical, shift in culture is allowing URI to gain self-sufficiency, improve quality, and enhance revenue. The focus on enrollment management has led to dramatic increases in applications, out-of state student yield,

strategic deployment of financial aid, including meeting a greater percentage of unmet need, strategic management of tuition increases, and the highest enrollment, retention, and graduation rates in the University's history during the past few years. At the same time, academic quality and student diversity have also been enhanced.

Recognition that shared governance means shared responsibility for the health and vitality of the institution. The development and implementation of the Academic Plan has involved a series of joint efforts involving the administration and faculty with meaningful input from students and staff. Academic resource investments are clearly connected to strategic priorities and processes and are derived from college budget requests that emphasize input from faculty, jointly appointed committees, and discussion involving the leadership of the Faculty Senate. Resource allocations support strategic priorities outlined in the Academic Plan and, as such, ensure that the budget is a visible manifestation of the Plan. In addition to the obvious benefits with regard to academic planning and strategy, the joint investment of effort and commitment of resources has engaged the community collectively in determining and developing the University's future. As a result, the context of shared governance has become one of shared responsibility to ensure a vibrant and vital institution for students, faculty, and staff. Engaging the community collectively in determining and developing the University's future has increasingly become an important value. It will continue to be transformative in engaging and empowering the community to advance the University's position in the highly competitive higher education marketplace. In particular, the leadership of the Faculty Senate deserves substantial credit for embracing the faculty role in transformational change and actively participating, as the elected and representative body of the faculty, in all aspects of the development and implementation of the Academic Plan. In addition, the new Joint Committee on Academic Planning has been charged with the responsibility of leading and coordinating academic change. As a result, productive curriculum reform has been initiated and continues, meaningful academic program review is underway, academic policies have been upgraded, faculty service has been highlighted, and dramatic improvements in academic advising and experiential learning have been embraced. Both students and faculty have benefited from these efforts.

Embracing transparency with regard to information, budgeting, and decision-making. In recent years, URI has consciously moved to an open system with regard to management and dissemination of data, information, finances, and decisions. All academic unit performance data, task force and *ad hoc* committee reports, and academic unit resource allocations are shared broadly and/or posted for the University community to view, digest, and, as necessary, question. Similarly, the Strategic Budget and Planning Council (SBPC) has played a key role in the transparency of the University's budget, specifically related to the process, outcomes, and implications with regard to both challenges and opportunities. The SBPC also recommends financial policy as needed and appropriate, and recently has developed policies and procedures to ensure the strategic use of fund balance and capital investments to advance the University in appropriate ways. All SBPC meetings are open and all minutes and recommendations are posted. Transparency with regard to information sharing and budget decisions and impacts has benefited the institution in multiple ways. Most importantly, however, transparency in budget process, outcomes, and implications with regard to both challenges and opportunities has created a better university-wide understanding of resource issues. Transparency has created a degree of "buy in" that has enabled the University to move forward on many fronts, such as revamping the overhead distribution scheme, analyzing administrative processes, emphasizing reallocation as the initial approach to meeting program needs, and ensuring all institutional investments are strategic.

Significant Issues and Initiatives for the Next Five Years

Given the dynamic and competitive nature of the higher education marketplace and our own self-imposed strategic Academic Plan for the future of the University, the work of institutional change and continuous engagement will continue at The University of Rhode Island over the next five years. The following is a brief description of significant issues, each of which represents both a challenge and opportunity, that the University expects to be addressing in the short-term future:

- **Financial aid** – Recognizing that financial aid is among our most important and powerful enrollment management tools, the University has already dramatically modified its financial aid allocation procedures by adopting a strategic net revenue model for allocating aid to students. By increasing our average tuition discount, we have enhanced yield of out-of-state students, academic quality, and net revenue. However, financial aid is also the fastest growing component of the URI budget. URI allocated approximately \$80 million in FY2012. Until our discount rate reaches equilibrium in FY2015 (i.e., aid freed up by graduating students is similar to aid required to bring in a class), we will need to continue to invest in financial aid and to strategically deploy the aid to ensure student access and positive net revenue. We are prepared for this. The challenge is not so much related to the need for further investment, but rather the disproportionate share of financial aid necessary to support athletics, diversity programs, graduate tuition waivers, and other legislatively or contract mandated waivers. These important student categories collectively represent about 44% of our aid investment (~\$35 million) in FY2012, but serve approximately 18% of our students. As such, only about 56% of our merit and need-based financial aid investment is available to serve the needs of the remaining 82% of our students. It is the latter population of students that generates the revenue stream needed to operate the institution. This challenge of competing institutional priorities will continue to require thoughtful analysis and delicate investment to ensure we are able to meet the full array of enrollment and student profile goals, while protecting the primary revenue stream of the institution. Financial aid will remain a high priority for URI for years to come.
- **Development/fund-raising** – The URI Foundation serves as the fund raising and endowment management arm of the University and has done good work on behalf of the University. Recently, Mr. Michael Smith was appointed President of the Foundation and the Alumni Association was formally transferred from within the University to the URI Foundation. These are exciting and important changes that will stimulate new opportunities to enhance our fund-raising efforts and success. While there are many critical fund-raising priorities, a focus on student support is especially critical in the current higher education financial climate. Through private fund-raising the University hopes to make significant gains in two particular student-focused areas: Scholarships/Fellowships and support for a Student Experiential Learning Fund. The latter would provide support for students involved in community based learning, international learning experiences, internships, and/or project-based learning. This funding would augment the existing University investment in undergraduate research and the Graduate Enhancement Fund. Robust and regular private revenue streams focused on student access and adding value to the student learning experience are critical to the University's future and to student success.
- **Governance structure and a new state-wide Board of Education** – At the end of the spring 2012 legislative session, the General Assembly voted to form a single Board of Education (effective January 2013) as the key element of The Rhode Island Board of Education Act and to eliminate both the Board of Governors for Higher Education and the Board of Regents (the Board for Elementary and Secondary Education). The Office

of Higher Education is also slated to be eliminated in its current form in July 2014. Few details were presented or exist at this time. The stated driver for this change was to ensure that higher education is coordinated with elementary and secondary education programs so that the skills gap following high school can be eliminated and to ensure the State is competitive in building its future workforce. The language states “to ensure a world class education for all students, a single Board of Education will serve to ensure that all students may achieve educational excellence.” An Executive Committee of Education will also be formed, which will be made up of the Presidents of URI, Rhode Island College, and the Community College of Rhode Island, and the Commissioner of Higher Education. The Executive Committee will make recommendations to the Board with regard to issues addressing the future needs of public education. The Executive Committee will also serve as a mechanism to ensure URI has a voice in the process. Clearly, the formation and actual role of the new Board is an issue that will garner our serious attention over the next year or more. Because of the different issues in higher education compared to primary and secondary education and the order of magnitude difference in state investment, URI and higher education are certainly wary of this change, but also recognize that the details have not been presented. As such, the implications for URI and higher education more broadly are unclear at this time.

- **Online and technology-based learning** -- The University is developing its human, technological, and pedagogical infrastructure to strategically participate in the development and delivery of online learning and to use technology as a vibrant pedagogical tool to engage students in active learning. In recent years, we have created an Office of Online Teaching and Learning and an Online Faculty Fellows Program aimed at developing faculty skills in designing and delivering courses in online and blended formats. In hiring a Director of Learning, Assessment, and Online Education, we specifically blended the online functions with assessment functions to ensure our web-based course delivery is focused on learning outcomes rather than simply delivery. In addition, the University recently invested more than \$1 million in classroom teaching technology creating state-of-the-art technology in most classrooms. An instructional technology program assists faculty in incorporating technology into their classroom pedagogy. The number of online and web facilitated courses has increased dramatically over the past few years. URI is also actively engaged in defining its strategic niche in the world of online and technology-based learning and we will continue refining and developing initiatives over the next five years. URI has also led the effort to form the RI Online Pathways Initiative, which is a partnership among URI, Rhode Island College, and the Community College of Rhode Island. At this time, we envision articulation of a strategic technology teaching plan, which will likely include focused expansion of our efforts in five distinct areas:
 - Hybrid/blended and technology-based courses – aimed largely at our traditional and matriculated students; courses delivered in these formats have been preferred by our students.
 - Post-baccalaureate certificates – aimed largely at under-employed adults who are currently not enrolled at URI; these predominantly online certificates will be designed for individuals and organizations seeking knowledge and/or skill enhancement related to career advancement.
 - Selected graduate programs – we hope to expand enrollment in certain graduate programs that currently serve largely part-time students by shifting the programs to a predominantly online format. Market analysis is underway and program development will need to follow.

- Degree completion initiatives – recent analyses at URI have shown a disturbing trend of an increasing number of students who “step out” after completing most of their credits and then never return. To counter this trend, URI developed an initiative entitled “Finish What You Started” in January 2012 that offers academic, career, and financial support for students to return and finish their degree. This program, which has already engaged many former students, will incorporate online courses as appropriate to encourage degree completion.
 - Strategic expansion of summer online courses – our recent analyses have shown that many out-of-state URI (and in-state students as well) students take summer courses from local institutions near their home to “catch up” on missed requirements or to make up credits. Given our competitive summer tuition, there may be an opportunity for us to ramp up our summer online programs to better accommodate these students.
 - Massive open online courses (MOOC’s) – While URI does not envision becoming a major contributor to MOOC’s, we nevertheless are committed to carefully analyzing the opportunities, challenges, and implications inherent in this rapidly expanding mode of student learning and defining our niche in this quickly evolving market.
- **J-term** – URI is exploring the creation of a January term, referred to as J-term, during winter break that would include credit-bearing courses or experiences for students at reduced tuition in comparison with the academic year. The focus would be on travel and experiential learning courses and other courses that would not replace or compete with standard academic year offerings. The availability of the J-term is expected to serve academic needs, interests, and convenience of students, enhance graduation rates, make better use of campus infrastructure, and provide an additional revenue stream to the institution. The concept is being developed by a joint committee of the faculty, the Provost Office, and the Registrar with consistent input and recommendations from the Faculty Senate Executive Committee.
- **Advancing community, equity, and diversity** – Both the Academic Plan and the President’s goals have emphasized the University’s commitment to building the foundation for a strong and vibrant community that exemplifies diversity, respect for difference, and the need for understanding diverse voices and experiences. In order to advance such an agenda, the University has re-organized its existing diversity programs under the leadership of a new Associate Vice President of Community, Equity, and Diversity, who will serve as the institution’s Chief Diversity Officer (CDO). The new CDO will begin her tenure at URI in fall 2012. We expect to be developing a comprehensive agenda for advancing diversity at URI that will include diversifying students, staff, and faculty, improving campus climate, and incorporating diversity learning in the curriculum.
- **Advancing a global agenda** – A prominent goal in the Academic Plan relates to internationalizing the University and student experience. This includes the expansion of global research and learning-based partnerships, globalization of the curriculum, study abroad for URI students, international travel courses, and expanding the international student population at URI. This work is already underway and progress has been realized. URI has partnered with Associates for Cultural Exchange (A.C.E.), who has established a non-credit English as a Second Language (ESL) program for academically qualified international students who have been conditionally accepted to URI. A pilot version of that program was initiated in January 2012, which will be expanded in fall 2012. We have also established a partnership with the European Commission (EC) and are working closely with the new Roosevelt International Academy. In addition, URI has established

a Special Assistant to the Provost for Global Strategy and Partnerships and a Global Steering Committee to guide our global partnerships, recruitment strategies, and curriculum development. A new residence hall, including a global lounge, will open in fall 2012 and campus-wide strategies are being implemented to ensure that the University is welcoming to all cultures and conveys the intentions of a global university. While there is much work to do, there also appears to be institution-wide enthusiasm and support for this agenda.

- **Curriculum and pedagogical enhancement, including General Education revisions –** The URI faculty are continuing to explore and implement improvements in curriculum and educational delivery to ensure clear learning outcomes and assessment for all programs and new modes of educational delivery that engage students, especially with regard to experiential learning and using technology to create active learning. Every undergraduate program has completed their learning outcomes and assessment plans and are working on improvements. The Graduate School also is engaging each graduate program in assessment. Substantial progress has been made in this regard and the work will continue. An Academic Advising Task Force will very shortly (fall 2012) be submitting their recommendations with regard to improving advising from freshman year through graduation. Already they have made recommendations with regard to streamlining and improving degree audit procedures and we have funded a new position to carry out these duties. Central to our efforts to advance the curriculum and student learning is the revision of the general education program. Such a revision was a prominent recommendation of the faculty in the Academic Summit that helped shape the Academic Plan and also is a critical goal of the Academic Plan. The General Education committee has been working for a few years on a new, modernized version of general education that is modeled after many of the recommendations of the Liberal Education and America's Progress (LEAP) initiative. Considerable progress has been made and the General Education Committee has held several forums with faculty and student groups and presented draft versions for discussion to the Faculty Senate. The expectation is that a new general education curriculum will be formally presented to the Faculty Senate during the upcoming academic year.

The University of Rhode Island has embraced its role as a learning-centered research university with a commitment to our students and to the citizens of Rhode Island. A strong and vibrant strategic plan, new initiatives, a focus on student learning and success and faculty development, and significant enhancement of our research, community engagement, and economic impact enterprises have characterized the past five years. As an institution, the work of transformational change and program enhancement has become part of our culture and we remain committed to continued efforts to ensure that URI remains a vital, open, respectful, diverse, and productive community of learners, scholars, and engaged citizens.

8. Appendices

- a. Affirmation of Compliance with Federal Regulations Relating to Title IX
- b. Audited Financial Statements for 2011
- c. Auditor's Management Letter: not available
- d. Interim Report Forms with required attachments
 - 1. Mission Statement
 - 2. Organizational Chart
- e. Student Achievement and Success Forms
 - 1. S Series
 - 2. E Series
- f. Appendix F: Distance Education Programs Form
- g. Appendix G: Update on Physical Resource Projects

Appendix A
Affirmation of Compliance with Federal Regulations Relating to Title IX



**NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES
COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION**

209 Burlington Road, Bedford, MA 01730

Voice: (781) 271-0022

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Web: <http://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.)

URL	http://www.uri.edu/facsen/8.30-8.46.html
Print Publications	University Manual
Self-study/Fifth-year report Page Reference	pp. 22-23

- 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* 4.44 and 10.5.)

URL	http://www.uri.edu/transfer/credits and http://www.uri.edu/facsen/APPENDIX_F.html and http://www.uri.edu/gsadmis/graduate_manual/index.html and http://www.uri.edu/catalog/catalogpdf/index.html
Print Publications	University Manual; Graduate Student Manual; URI Catalog;
Self-study/Fifth-year Report Page Reference	p. 23

- 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* 6.18, 10.5, and 11.8.)

URL	http://www.uri.edu/judicial/Student%20Handbook/discipline.html and http://www.uri.edu/gsadmis/graduate_manual/index.html and http://www.uri.edu/catalog/catalogpdf/index.html and http://www.uri.edu/facsen/8.20-8.27.html
Print Publications	URI Student Handbook; Graduate Student Manual; URI Catalog; University Manual
Self-study/Fifth-year Report Page Reference	p. 29

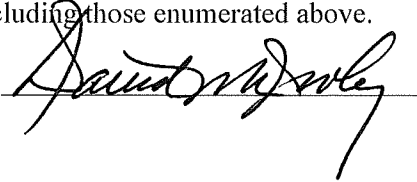
- 4. Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the 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* 4.42.)

Method(s) used for verification	Use of secure, password-protected learning management system (Sakai)
Self-study/Fifth-year Report Page Reference	p.21

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.)

URL	
Print Publications	
Self-study Page Reference	

The undersigned affirms that The University of Rhode Island meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer: 

Date: 8/14/12

Appendix B

Audited Financial Statements for 2011

UNIVERSITY OF RHODE ISLAND
**(a Component Unit of the State of Rhode Island and
Providence Plantations)**

FINANCIAL STATEMENTS

JUNE 30, 2011 and 2010

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Financial Statements

June 30, 2011 and 2010

C O N T E N T S

Independent Auditors' Report	1-2
Management's Discussion and Analysis (Unaudited)	3-23
Financial Statements:	
Statements of Net Assets	24
Statements of Revenues and Expenses	25
Statements of Cash Flows	26
Notes to the Financial Statements	27-67
 Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with <i>Government Auditing Standards</i>	 68-69



INDEPENDENT AUDITORS' REPORT

To the Board of Governors for Higher Education
State of Rhode Island and Providence Plantations

We have audited the accompanying statements of net assets of the University of Rhode Island (the "University") (a component unit of the State of Rhode Island and Providence Plantations) as of June 30, 2011 and 2010, and the related statements of revenues, expenses, and changes in net assets and cash flows for the years then ended. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audits. We did not audit the financial statements of the University of Rhode Island Foundation and the Alumni Association of the University of Rhode Island as of June 30, 2011 and 2010 as discussed in Note 1. The financial statements of these component units were audited by other auditors whose reports thereon have been furnished to us, and our opinion, insofar as it relates to the amounts included for the entities not audited by us included in the discretely presented component units of the University, is based solely upon the report of the other auditors.

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 audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the University of Rhode Island as of June 30, 2011 and June 30, 2010, and the respective changes in financial position and cash flows for the years then ended, in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 30, 2011 on our consideration of the University of Rhode Island's internal control over financial reporting and on tests of its compliance with certain provisions of laws, regulations, contracts and grants, 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 the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be read in conjunction with this report in considering the results of our audit.

The Management's Discussion and Analysis (MD&A) is not a required part of the financial statements, but is supplementary information required by the Governmental Accounting Standards Board. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the supplementary information. However, we did not audit the information and express no opinion on it.

O'Connor & Drew, P.C.

Certified Public Accountants

September 30, 2011

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited)

June 30, 2011 and 2010

Introduction

The following management's discussion and analysis (MD&A) provides management's view of the financial position of the University of Rhode Island (the University) as of June 30, 2011 and the results of operations for the year then ended, with selected comparative information for the years ended June 30, 2010 and 2009. The purpose of the MD&A is to assist readers in understanding the accompanying financial statements by providing an objective and understandable analysis of the University's financial activities based on currently known facts, decisions, and conditions. This analysis has been prepared by management, which is responsible for the completeness and fairness of the information contained therein. The MD&A consists of highly summarized information, and it should be read in conjunction with the University's financial statements and notes thereto that follow this section.

The University is the only publicly supported research institution in the State of Rhode Island (the State) and is charged with providing state residents an opportunity for undergraduate and graduate studies at a Land Grant, Urban Grant and Sea Grant research university. As such, the University receives federal funding for land and sea research. The University had its beginning as the State Agricultural School chartered in 1888. The Morrill Act of 1862 provided the framework within which the school became the State's land-grant institution, and in 1892 the school became the Rhode Island College of Agriculture and Mechanic Arts. In 1909, the name of the University was changed to Rhode Island State College, and the program of study was revised and expanded. In 1951, the University became known as the University of Rhode Island by an act of the State's General Assembly. The Board of Governors for Higher Education became the governing body for the University in 1981.

The mission of the University is to be committed to enriching the lives of its students through its land, sea and urban grant traditions. Students, faculty, staff and alumni are united in one common purpose; to learn and lead together. The University values (1) creativity and scholarship, (2) diversity, fairness and respect, (3) engaged learning and civic involvement, and (4) intellectual and ethical leadership. The University's Transformation Goals for the 21st Century are: (1) create a 21st century 24/7 learning environment, (2) increase the magnitude, prominence, and impact of research, scholarship and creative work, (3) internationalize and globalize the University, and (4) build a community at the University that values and embraces equity and diversity.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Introduction - Continued

The University has a combined enrollment of 16,294 students and offers undergraduate and graduate degree programs through the doctoral level. The University has over 100 majors in seven degree - granting colleges. Its main campus is located in Kingston, Rhode Island, 30 miles south of Providence in the northeastern metropolitan corridor between New York and Boston. In addition to the Kingston Campus, the University has three other campuses - the 165-acre Narragansett Bay Campus, which is the site of the Graduate School of Oceanography; the Alan Shawn Feinstein College of Continuing Education located in downtown Providence; and the W. Alton Jones Campus located in the western section of the State, 20 miles from Kingston. The 2,300 acres of woods, fields, streams and ponds of W. Alton Jones Campus is the site of the environmental education research programs and contains conference facilities for both public and private use.

Financial Highlights

The University's financial position for the year ended June 30, 2011 shows an increase in net assets before capital appropriations and gifts of \$11.04 million, compared with fiscal year 2010 of \$6.12 million and fiscal year 2009 of \$2.16 million. The increase of \$4.92 million in fiscal year 2011 compared to fiscal year 2010 was due to the reversal of the Other Post Employment Benefit (OPEB) Obligation in the amount of \$4.10 million. In prior years, the University contributed to the State and Board OPEB plan, which consistent with GASB 45 provisions, was administered as an agent multiple employer plan because no separate legal trust had been created. The transition by the State of its OPEB plan in fiscal 2011 to an OPEB Trust resulted in the Plans being redefined as a cost sharing multiple employer plan. In accordance with the requirements of GASB 45, the University's net OPEB obligation recorded in previous years has been reduced to zero.

UNIVERSITY OF RHODE ISLAND

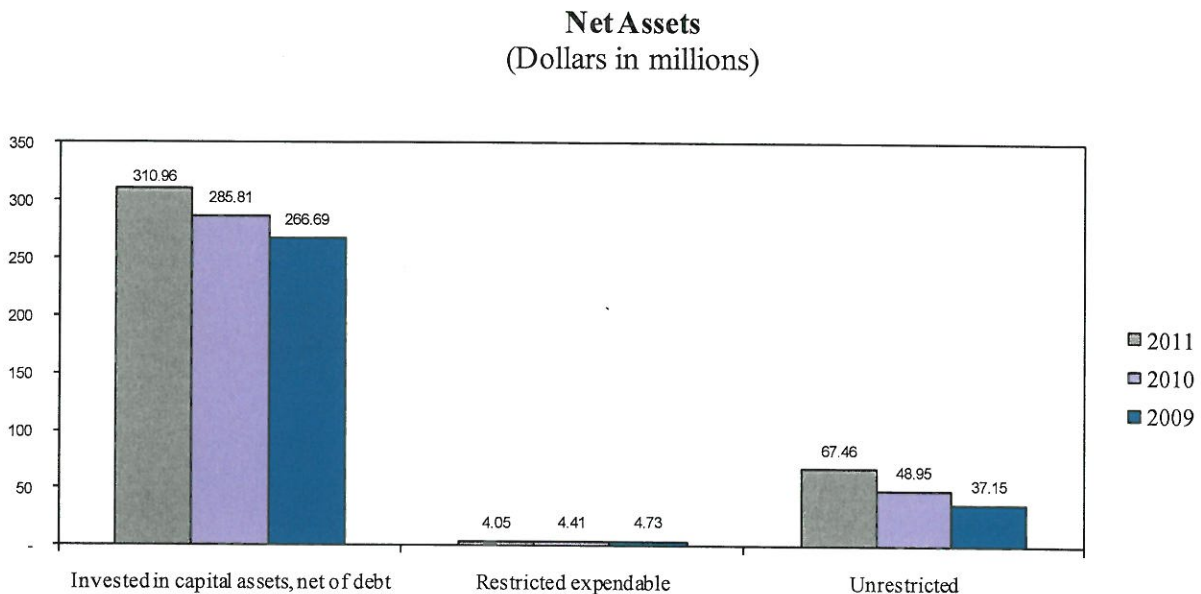
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Financial Highlights - Continued

The following chart displays the components of the University's net assets for the fiscal years ended June 30, 2011, 2010, and 2009.



On June 30, 2011, 2010, and 2009, the University's total assets of \$720.25 million, \$688.54 million, and \$603.14 million, exceeded its total liabilities of \$337.78 million, \$349.37 million, and \$294.57 million resulting in net assets of \$382.47 million, \$339.17 million, and \$308.57 million, respectively. The resulting net assets are summarized in the following categories (dollars in millions):

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Invested in capital assets, net of related debt	\$ 310.96	285.81	266.69
Restricted expendable	4.05	4.41	4.73
Unrestricted	67.46	48.95	37.15
Total net assets	<u>\$ 382.47</u>	<u>339.17</u>	<u>308.57</u>

UNIVERSITY OF RHODE ISLAND

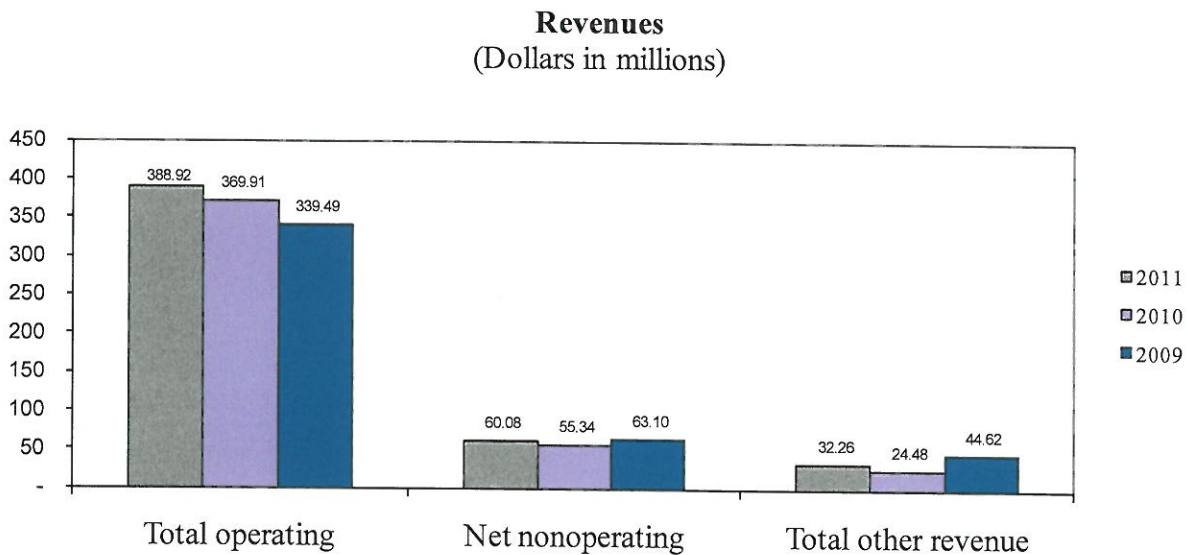
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Financial Highlights - Continued

The following chart provides a graphical breakdown of total revenues by category for the fiscal years ending June 30, 2011, 2010, and 2009:



Overview of the Financial Statements

The University's financial statements have two primary components: 1) the financial statements and 2) the notes to the financial statements. Additionally, the financial statements focus on the University as a whole, rather than upon individual funds or activities.

The University of Rhode Island Foundation (the Foundation) and the University of Rhode Island Alumni Association (the Alumni Association) are legally separate tax-exempt component units of the University of Rhode Island. The Foundation and the Alumni Association act primarily as fund-raising organizations to supplement the resources that are available to the University in support of its programs. The Boards of the Foundation and the Alumni Association are self-perpetuating and primarily consist of graduates and friends of the University. Although the University does not control the timing or the amount of receipts from the Foundation and the Alumni Association, the majority of resources received or held by the Foundation and the Alumni Association are restricted to the activities of the University by the donors. Because these resources held by the Foundation and the Alumni Association can only be used by or are for the benefit of the University, the Foundation and the Alumni Association are considered component units of the University and are discretely presented in the University's financial statements.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Overview of the Financial Statements - Continued

Management's Discussion and Analysis is required to focus on the University, and not on its component units.

The Financial Statements

The financial statements are designed to provide readers with a broad overview of the University's finances and are comprised of three basic statements.

The *Statements of Net Assets* presents information on all of the University's assets and liabilities, with the difference between the two reported as net assets. Over time, increases or decreases in net assets may serve as a useful indicator of whether the financial position of the University is improving or deteriorating.

The *Statements of Revenues and Expenses, and Changes in Net Assets* presents information showing how the University's net assets changed during the most recent fiscal year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of related cash flows. Thus, revenues and expenses are reported in this statement for some items that will result in cash flows only in future fiscal periods (e.g. the payment for accrued compensated absences, or the receipt of amounts due from students and others for services rendered).

The *Statements of Cash Flows* is reported on the direct method. The direct method of cash flow reporting portrays net cash flows from operations as major classes of operating receipts (e.g. tuition and fees) and disbursements (e.g. cash paid to employees for services).

The financial statements can be found on pages 24 to 26 of this report.

The University reports its operations as a business-type activity using the economic measurement focus and full accrual basis of accounting. As a component unit of the State of Rhode Island and Providence Plantations, the results of the University's operations, its net assets and cash flows are also summarized in the State's Comprehensive Annual Financial Report derived from its government-wide financial statements.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Notes to the Financial Statements

The notes provide additional information that is essential to a full understanding of the data provided in the financial statements. They also provide information regarding both the accounting policies and procedures the University has adopted as well as additional detail of certain amounts contained in the financial statements. The notes to the financial statements can be found on pages 27 to 67 of this report.

Financial Analysis

As mentioned earlier, net assets may serve over time as a useful indicator of the University's financial position. In the case of the University, total assets exceeded total liabilities by \$382.47 million, \$339.17 million, and \$308.57 million at the close of fiscal years 2011, 2010, and 2009, respectively.

The University's condensed statement of net assets is presented below (dollars in millions).

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Current assets	\$ 125.44	117.73	99.57
Noncurrent assets	594.81	570.81	503.57
Total assets	\$ 720.25	688.54	603.14
Current liabilities	51.85	52.28	50.66
Noncurrent liabilities	285.93	297.09	243.91
Total liabilities	\$ 337.78	349.37	294.57
Net assets:			
Invested in capital assets, net of related debt	\$ 310.96	285.81	266.69
Restricted, expendable	4.05	4.41	4.73
Unrestricted	67.46	48.95	37.15
Total net assets	\$ 382.47	339.17	308.57

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Financial Analysis - Continued

By far the largest portion of the University's net assets, \$310.96 million, \$285.81 million, and \$266.69 million as of June 30, 2011, 2010, and 2009, respectively, reflects its investment in capital assets (such as land, buildings, machinery, and equipment), net of any related outstanding debts, used to acquire, construct, improve, or rehabilitate those assets. This represents approximately 81%, 85%, and 86% net assets, respectively. The University uses these capital assets to provide services to students, faculty and administration; consequently, these assets are not available for future spending. Although the University's investment in its capital assets is reported net of related debt, it should be noted that the resources needed to repay this debt must be provided from other sources, since the capital assets themselves cannot be used to liquidate the related debt. Financing for certain capital projects is also provided by the issuance of revenue bonds by the Rhode Island Health and Educational Building Corporation, a quasi-public state agency. In addition to the debts noted above, which are reflected in the University's financial statements, the State of Rhode Island regularly provides financing for certain capital projects through the issuance of general obligation bonds and capital appropriations from the Rhode Island Capital Plan Fund. Borrowings by the State are not reflected in these financial statements.

The restricted expendable net assets consist of resources that are subject to external restrictions on how they must be used, and they represent approximately 1%, 1%, and 2% of the University's net assets at June 30, 2011, 2010, and 2009, respectively.

Net assets that are not subject to restrictions imposed by creditors, grantors, contributors, laws, regulations or enabling legislation are classified as unrestricted net assets. As of June 30, 2011, 2010, and 2009, the University's unrestricted net assets represent 18%, 14%, and 12%, respectively, of the net assets. At year end, these net assets are designated or committed for goods and services that have not yet been received, working capital for auxiliary enterprise and departmental activities, payment of annual debt service, capital improvements, equipment replacement, scholarships and new faculty startup costs, including lab renovation and matching funds.

The University's current assets include cash and cash equivalents, cash held by the State Treasurer, accounts receivable, inventories, and prepayments, while current liabilities consist of accounts payable and accrued expenses, deferred revenues, funds held for others, and the current portion of compensated absences and current portion of long-term debts. Compensated absences represent accumulated vacation, sick leave and deferred compensation that will be used or paid in future years. The current ratio (current assets divided by current liabilities), which measures the University's liquidity, remains positive: 2.42 to 1, 2.25 to 1 and 1.97 to 1 as of June 30, 2011, 2010, and 2009, respectively.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Financial Analysis - Continued

One of the components of the University's noncurrent assets are the funds on deposit with the bond trustee totaling \$74.90 million, \$83.33 million and \$31.54 million as of June 30, 2011, 2010, and 2009, respectively. The majority of the bond proceeds were from the 2010 A Bonds for \$13.73 million for the repaving and reconstruction of major parking facilities and 2010 B bonds for \$42.70 million for the construction of a new residence hall and demolition of the Terrance Apartments.

During fiscal years 2011, 2010, and 2009, the University's net assets increased by \$43.30 million, \$30.60 million, and \$46.78 million, respectively, which is largely due to capital and private funds received. The University closed fiscal years 2011, 2010, and 2009 with positive unrestricted net assets of \$67.46 million, \$48.95 million, and \$37.15 million, respectively.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Financial Analysis - Continued

The University's condensed statements of revenues, expenses and, changes in net assets are presented below (dollars in millions).

	2011	2010	2009
Operating revenues:			
Tuition and fees, net of tuition waivers and remissions	\$ 234.95	226.57	214.59
Operating grants and contributions	107.32	97.24	80.90
Other sources	46.65	46.10	44.00
Total operating revenues	388.92	369.91	339.49
Operating expenses:			
Salaries and benefits	265.22	259.19	250.20
Operating expenses	64.36	62.08	53.64
Scholarships, grants and contracts	22.11	13.73	12.72
Auxiliaries	62.90	61.52	62.75
Depreciation and amortization	23.37	22.61	21.12
Total operating expenses	437.96	419.13	400.43
Net operating loss	(49.04)	(49.22)	(60.94)
Nonoperating revenues (expenses):			
State appropriation	56.62	56.78	62.32
Net investment income	0.49	0.51	1.35
Private gifts	7.43	6.82	8.37
Reversal of OPEB Obligation	4.10	-	-
Interest expense	(8.56)	(8.77)	(8.94)
Total nonoperating revenues	60.08	55.34	63.10
Income before other revenues, expenses, gains or losses	11.04	6.12	2.16
Capital appropriations	7.99	4.70	12.25
State contributed capital	23.07	18.30	30.28
Capital gifts	1.20	1.48	2.09
Increase in net assets	43.30	30.60	46.78
Net assets – beginning of year	339.17	308.57	261.79
Net assets – ending of year	\$ 382.47	339.17	308.57

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Operating Revenues

The total operating revenues increased by \$19.01 million or 5.1% in fiscal 2011, compared to increase of \$30.42 million or 9% in fiscal 2010 and \$23.41 million or 7.4% in fiscal 2009. This increase is largely attributable to the tuition and fee rate increase as well as the increase in enrollment. Fiscal year 2011 instate tuition and fees increased by 9.34% and outstate increase 4.44%

Tuition and fees received by the University included the following (dollars in millions):

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Tuition	\$ 223.98	213.80	197.63
Student service fees	16.82	14.75	13.57
Health service fees	6.07	5.82	5.40
Housing fees	30.62	29.36	27.83
Dining service fees	17.84	17.65	17.20
Miscellaneous student fees	2.63	2.60	2.16
Total	<u>297.96</u>	<u>283.98</u>	<u>263.79</u>
Tuition waived or remitted	<u>(63.01)</u>	<u>(57.41)</u>	<u>(49.20)</u>
Net	<u>\$ 234.95</u>	<u>226.57</u>	<u>214.59</u>

UNIVERSITY OF RHODE ISLAND

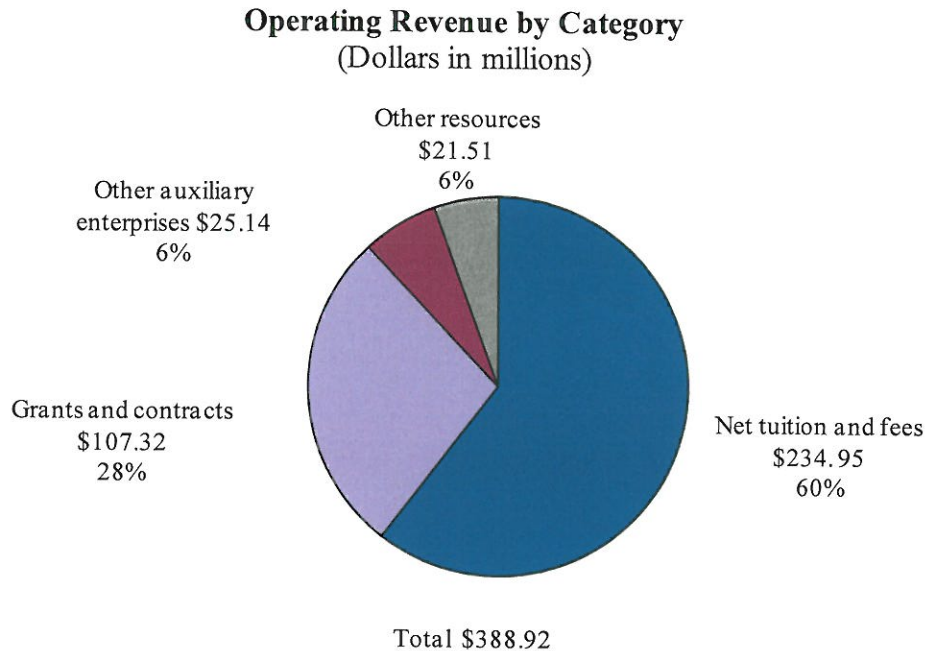
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Operating Revenues - Continued

The following provides a graphical breakdown of operating revenues by category for the year ended June 30, 2011.



During fiscal years ended June 30, 2011, 2010, and 2009, the revenues from grants and contracts contributed 28%, 26%, and 24% respectively, of the total operating revenues.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

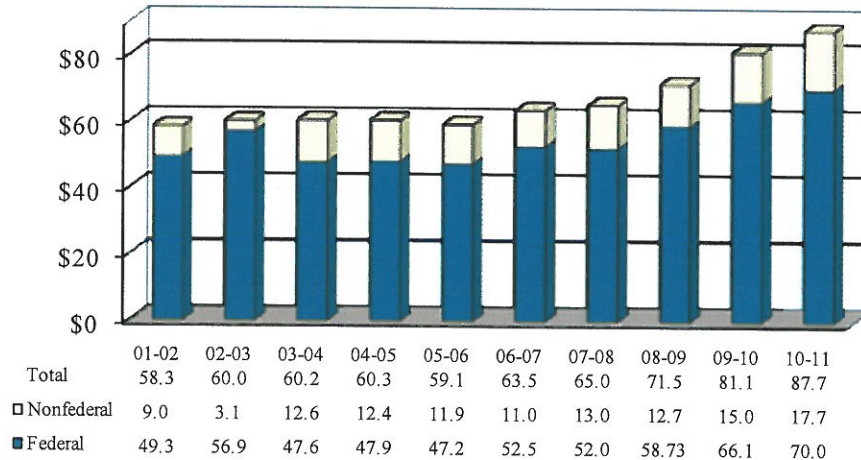
Grant and Contract Revenue

The recognition of revenue from grants and contracts is deferred until services have been performed to fulfill the requirements of the grants and contracts. Hence, awards received are not reflected in the statements of net assets.

The bar chart below shows a steady growth in the amount of grants and contracts awarded to the University during the last ten years, from a total of \$58.3 million in 2002 to \$87.7 million in 2011 or a 50% increase. This positive development is a reflection of the University's vision to pursue research and to enhance creative and entrepreneurial activities on campus.

Awards for Competitive Sponsored Programs

(Dollars in millions)



UNIVERSITY OF RHODE ISLAND

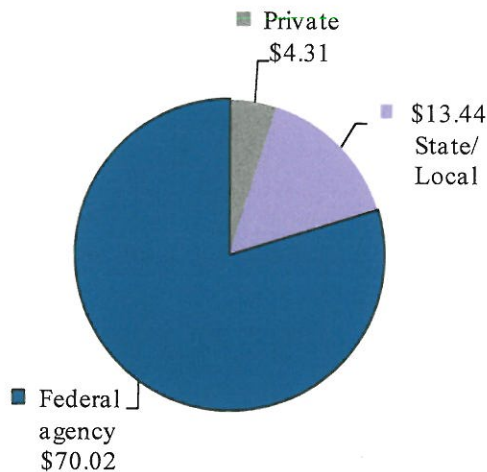
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Grant and Contract Revenue - Continued

The following summary shows the breakdown of federal awards received from sponsoring agencies during fiscal 2011, with a pie chart for federal and nonfederal awards (dollars in millions).



<u>Agency</u>	<u>Award</u>
National Science Foundation	\$17.74
Department of Health and Human Services	18.79
Department of Defense	7.88
Agency for International Development	6.25
Department of Agriculture	6.23
National Oceanic and Atmospheric Admin	5.61
Other agencies	4.35
Department of Education	1.25
Department of Interior	1.14
National Aeronautic and Space Admin.	<u>0.78</u>
Federal agency	70.02
State/Local	13.44
Private	<u>4.31</u>
Total	<u>\$87.77</u>

Operating Expenses

The operating expenses for fiscal years 2011, 2010, and 2009 totaled \$437.96 million, \$419.13 million, and \$400.43 million, respectively, an increase of \$18.83 compared to a increase of \$18.70 million and to a decrease \$3.08 million or 4.49%, 4.67% and (0.76)% over those of fiscal years 2011, 2010, and 2009. The increase in fiscal year 2011 operating expense is a result of an increase in scholarships in the amount of \$8.38 million. The University increased the amount of scholarships in 2011 to attract talented students by giving out additional Pell, University Fund, Centennial Fund and the Harge Memorial Scholarships as well as increasing support for graduate assistantships.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

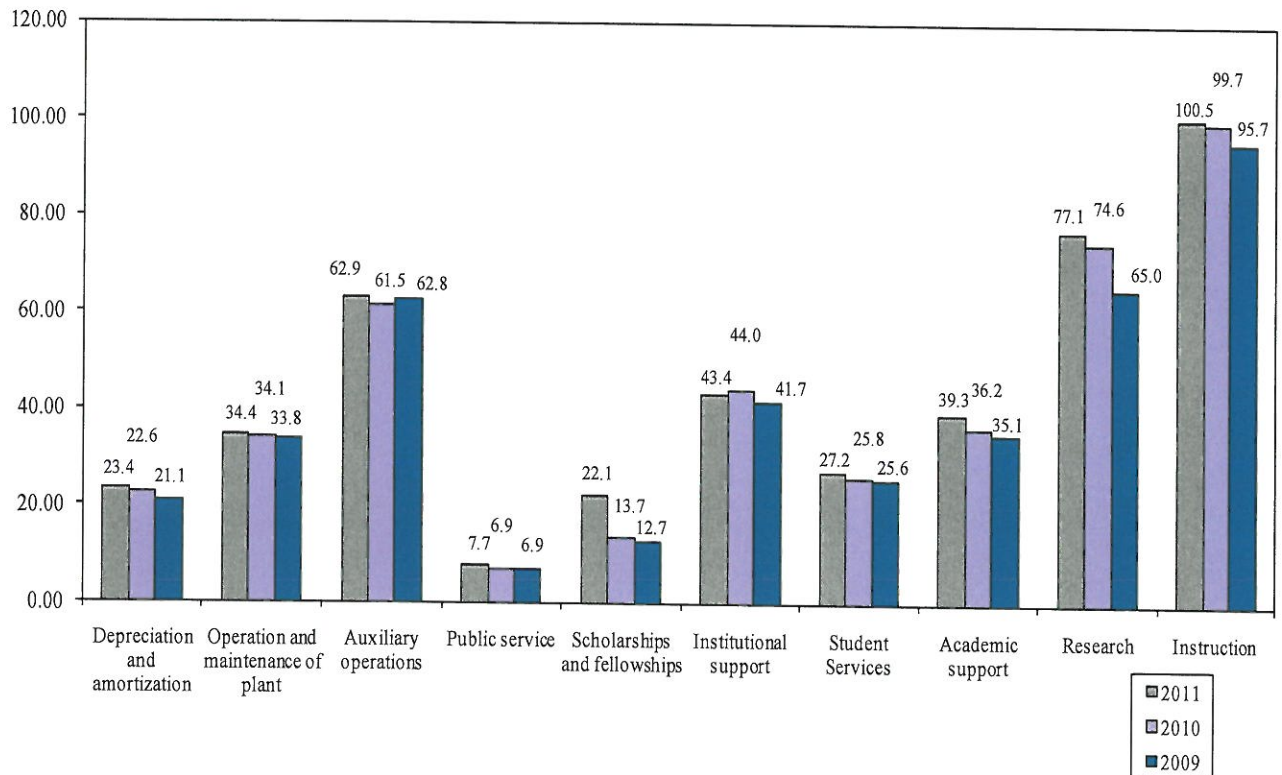
Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Operating Expenses - Continued

The bar chart below illustrates the University's operating expenses by function for the fiscal years ended June 30, 2011, 2010, and 2009, excluding scholarship allowances applied against tuition and fee revenues.

Operating Expenses by Function
(Dollars in millions)



UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Operating Expenses - Continued

The following summary shows where major grant and contract expenditures, including indirect cost charges, occurred during 2011, 2010 and 2009 (dollars in millions):

Agency	Amount		
	2011	2010	2009
Department of Health and Human Services	\$ 18.79	9.08	13.08
National Science Foundation	17.74	17.59	15.56
Department of Defense	7.88	5.70	6.34
Agency for International Development	6.25	4.69	2.84
Department of Agriculture	6.23	3.24	6.14
National Oceanic and Atmospheric Administration	5.61	-	-
Department of Education	1.25	1.12	1.75
Department of Interior	1.14	0.69	0.91
National Aeronautic and Space Administration	0.78	0.56	0.67
Environmental Protection Agency	0.71	-	-
Department of Commerce	-	6.97	6.84

Nonoperating Revenues and Expenses

The State's unrestricted appropriation is the largest component of the University's nonoperating revenues. The amount requested for fiscal 2011 was \$62.69 million. However, the amount appropriated by the State was \$56.62 million resulting in an appropriation for fiscal 2011 that was \$6.07 million less than the amount requested. Although the budget request for fiscal 2011 did not fully meet the real needs of the University, it was able to maintain a balanced budget and an acceptable level of quality in carrying out the University's mission as it currently exists.

In 2011 there was a reversal of the OPEB obligation from prior years due to the State establishing a trust fund. This amounted to an increase of \$4.1 million in net nonoperating revenues.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Nonoperating Revenues and Expenses - Continued

The University has a long tradition of using the state appropriation to support its operating expenses. During fiscal years 2011, 2010, and 2009, the University received state appropriations of \$56.62 million, \$56.78 million, and \$62.32 million, respectively, which combined with operating revenue, was sufficient to cover operating expenses in excess of \$7.58 million in fiscal 2011, \$7.56 million in fiscal 2010, and \$1.38 million in fiscal 2009, as the schedule below indicates. As the state appropriation has declined and operating expenses have remained steady, the student tuition and fees have played an increasingly important role in funding (54% in fiscal years 2011, 2010 and 2009) the University's operations (dollars in millions).

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Net student fees	\$ 234.95	226.57	214.59
Other operating revenue	153.97	143.34	124.90
Operating expenses	<u>(437.96)</u>	<u>(419.13)</u>	<u>(400.43)</u>
Operating loss	(49.04)	(49.22)	(60.94)
State direct appropriations	56.62	56.78	62.32
Net income (loss) after state appropriation	\$ <u><u>7.58</u></u>	<u><u>7.56</u></u>	<u><u>1.38</u></u>

Investment income was down by \$17,552 or 3.4% in fiscal year 2011 due to the declining short-term rates of return and funds available for investment during the year.

UNIVERSITY OF RHODE ISLAND

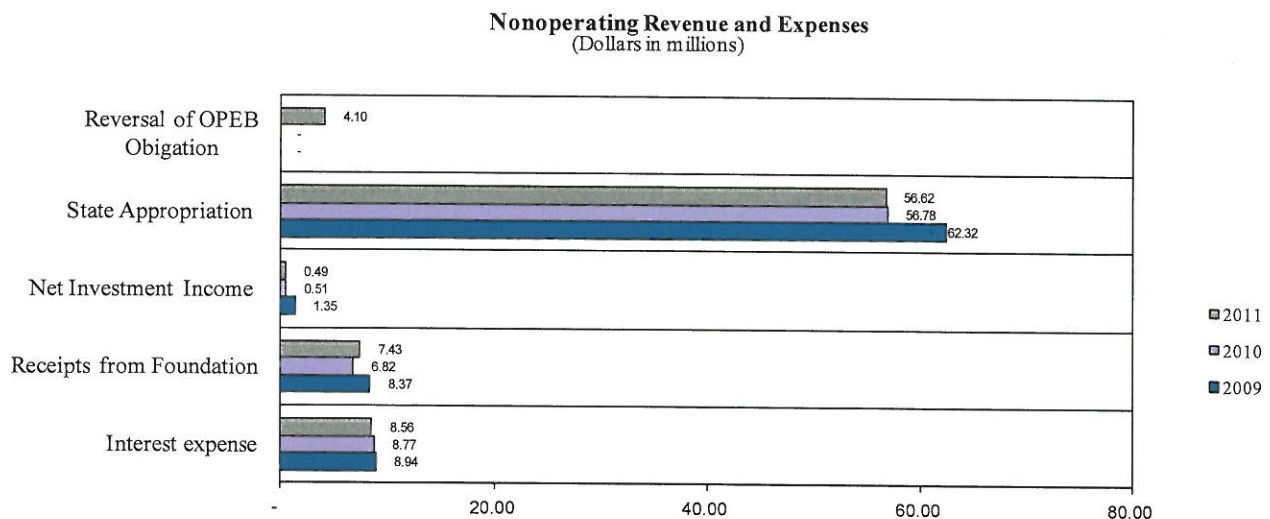
(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Nonoperating Revenues and Expenses - Continued

The following chart provides a graphical breakdown of the University's nonoperating revenues and expenses.



Capital Assets and Debt Administration

Capital Plan

The University generally has funded its capital plans through a combination of funds received from University operations, bonds issued by the Rhode Island Health and Educational Building Corporation, state appropriations, general obligation bonds, federal appropriations, and private fund raising. The execution of the University's capital improvement plan is contingent upon approval from the State and sufficient funding.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Capital Assets and Debt Administration - Continued

Capital Plan - Continued

The Board of Governors for Higher Education submits a running five-fiscal-year capital improvement plan to the General Assembly and State Executive each year. The plan for the proposed capital projects for the entire system of public higher education in Rhode Island includes the University. The plan for the period fiscal year 2012-2016 for the University totals \$811.65 million, and it includes all continuing and planned projects, whether funded or not. This plan forms the basis for discussions on funding the various projects from all available funding sources.

Capital Assets

The University's investment in capital assets as of June 30, 2011, 2010, and 2009 net of accumulated depreciation, amounts to \$497.61 million, \$464.45 million, and \$449.15 million, respectively. This investment in capital assets includes land, buildings (including improvements), and furnishings and equipment (including capital leases). Capital assets increased during fiscal 2011 by \$33.16 million, \$15.30 million during fiscal 2010, and \$31.37 million during fiscal 2009. Legal title to all land and real estate assets is vested in the Rhode Island Board of Governors for Higher Education or the State of Rhode Island. A summary of net capital asset balances as of June 30, 2011, 2010, and 2009 is presented below (dollars in millions).

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Land and improvements	\$ 36.11	32.91	33.02
Major capital additions to building and improvements	378.56	381.97	385.04
Furnishings and equipment	25.64	23.97	19.69
Construction in progress	57.30	25.60	11.40
Total	\$ <u>497.61</u>	<u>464.45</u>	<u>449.15</u>

Major capital additions in fiscal 2011 included Fire Safety upgrades (\$5.8 million). In addition, construction in progress included the Pharmacy Building (\$21.2 million) and Hillside Residence Hall (\$7.1 million).

Additional information about the University's capital assets can be found in note 6 to the financial statements.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Capital Assets and Debt Administration - Continued

Debt

As of June 30, 2011, 2010 and 2009, the University had \$263.85 million, \$271.57 million, and \$220.78 million respectively, in outstanding debt, a decrease of \$7.2 million, as compared to an increase of \$50.79 million, and 26.72 million in 2011, 2010, and 2009, respectively. The table below summarizes the types of debt instruments (dollars in millions).

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Loans payable	\$ 1.57	1.96	1.72
Capital lease obligations	9.76	10.93	11.31
Revenue bonds	<u>252.52</u>	<u>258.68</u>	<u>207.75</u>
Total	<u>\$ 263.85</u>	<u>271.57</u>	<u>220.78</u>

The University has no independent bonding authority. All revenue bonds must be approved by and arranged through the Rhode Island Board of Governors for Higher Education. Debt related to revenue bonds is reported on the University's financial statements. Debt related to general obligations bonds is reflected on the state of Rhode Island's financial statements. Both Moody's and Standard and Poor's rating services have given the Board of Governors for Higher Education general revenue bonds a rating of AAA. The State of Rhode Island general obligation bonds are rated by Moody's at Aa3, Fitch's at AA, and Standard and Poor's at AA.

More detailed information about the University's long-term liabilities is presented in note 7 to the financial statements.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Economic Factors that Will Affect the Future

The seasonally adjusted unemployment rate for the State of Rhode Island, from which the University draws a majority of its students, decreased from 12% in June of 2010 to 10.8% in June of 2011, according to the U.S. Bureau of Labor Statistics. This compares to a steady rate of 9.2% in June 2011 and 9.5% in 2010 on a national level. Historically, in times of economic slowdowns, public colleges/universities have experienced increases in their enrollment as unemployed and underemployed workers seek to update and upgrade their skills. The University cannot predict the extent to which enrollment may vary in this current environment.

To support their strategic priorities in this financially challenging environment, the University and the Board of Governors for Higher Education took the following actions:

- Fiscal 2011 tuition and fees were increased by 9.3% for in-state undergraduate students, 8.8% for in-state graduate students and 4.4% for all out-of-state students.
- Fiscal 2010 tuition and fees were increased by 9.8% for in-state undergraduate students, 9.5% for in-state graduate students and 5.05% for all out-of-state students.
- Fiscal 2009 and 2008 tuition and fees were increased by 6% for in-state students and 7.5% for out-of-state students and all graduate students.
- All discretionary expenses were closely reviewed by senior management.
- Developed an energy performance contract to use energy savings to pay for necessary equipment and facility upgrades with no negative impact on current operating budgets.

Despite the reductions in state direct appropriations per student in past years, the University's current financial and capital plans indicate that the infusion of additional financial resources from the foregoing Board and management actions will enable it to maintain its present level of services at all campuses.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Management's Discussion and Analysis (Unaudited) - Continued

June 30, 2011 and 2010

Economic Factors that Will Affect the Future - Continued

In accordance with its strategic plan, the University continues to increase its enrollment gradually each year, consistent with its efforts to effectively manage student housing and class enrollment. The University has also attempted to maintain affordability by limiting the size of tuition and fee increases. Based on in-state undergraduate mandatory tuition and fees during the 2010-2011 academic year, the University ranks the lowest among the six New England public flagship universities.

Fiscal Planning

The University will continue to control expenses in accordance with available resources and established priorities by increasing resources through retention programs as well as increasing efficiencies throughout the organization. The Academic Investment and Improvement Model along with other financial and program assessment tools continue to be utilized to balance mission and resources.

Requests for Information

This financial report is designed to provide a general overview of the 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: Mr. Robert Weygand, Vice President for Administration and Finance, University of Rhode Island, Carlotti Administration Building, Room 108, 75 Lower College Road, Kingston, RI 02881.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Statements of Net Assets

June 30, 2011 and 2010

	<u>Assets</u>			
	2011 University of Rhode Island	2010 University of Rhode Island	2011 Component units	2010 Component units
Current Assets:				
Cash and equivalents (Note 2)	\$ 88,765,569	\$ 86,796,830	\$ 6,370,239	\$ 6,471,395
Cash held by State Treasurer (Note 3)	1,740,753	1,272,564	-	-
Accounts receivable, net (Note 4)	31,623,511	27,168,663	356,551	451,808
Current portion of pledges receivable	-	-	2,053,204	3,859,493
Current portion of notes receivable	-	-	285,044	173,308
Inventory and other current assets	<u>3,307,937</u>	<u>2,485,547</u>	<u>524,870</u>	<u>506,393</u>
Total Current Assets	<u>125,437,770</u>	<u>117,723,604</u>	<u>9,589,908</u>	<u>11,462,397</u>
Noncurrent Assets:				
Cash and equivalents – restricted (Note 2)	56,837	172,375	-	-
Funds on deposit with bond trustee	74,901,145	83,330,567	-	-
Investments (Note 2)	-	-	122,075,834	99,917,161
Pledges receivable	-	-	2,805,941	8,128,254
Loans receivable, net (Note 5)	13,375,477	13,431,270	-	32,038
Charitable remainder trusts	-	-	668,794	477,525
Other deferred assets (Note 6)	8,876,347	9,428,587	-	-
Capital assets, net of accumulated depreciation (Note 6)	<u>497,606,240</u>	<u>464,451,067</u>	<u>1,828,773</u>	<u>1,909,174</u>
Total Noncurrent Assets	<u>594,816,046</u>	<u>570,813,866</u>	<u>127,379,342</u>	<u>110,464,152</u>
Total Assets	<u>\$ 720,253,816</u>	<u>\$ 688,537,470</u>	<u>\$ 136,969,250</u>	<u>\$ 121,926,549</u>
	<u>Liabilities and Net Assets</u>			
Current Liabilities:				
Accounts payable and accrued liabilities	\$ 26,383,823	\$ 26,652,725	\$ 763,050	\$ 779,221
Compensated absences (Note 7)	1,204,108	1,449,422	-	-
Funds held for others	844,738	1,656,533	-	-
Deferred revenues	15,266,518	14,806,008	11,927	10,259
Current portion of capital lease obligations (Note 7)	1,187,847	1,171,392	-	-
Current portion of bonds and loans payable (Note 7)	6,965,910	6,547,676	-	-
Current portion of gift annuity payable	-	-	120,000	132,300
Total Current Liabilities	<u>51,852,944</u>	<u>52,283,756</u>	<u>894,977</u>	<u>921,780</u>
Noncurrent Liabilities:				
Compensated absences (Note 7)	18,191,303	17,156,074	-	-
Due to State of Rhode Island - OPEB (Note 14)	-	2,217,612	-	-
Net OPEB obligation (Note 14)	-	1,886,783	-	-
Capital lease obligations (Note 7)	8,569,511	9,757,358	-	-
Bonds and loans payable (Note 7)	247,126,292	254,092,201	-	-
Gift annuity payable	-	-	749,374	750,993
Grant refundable (Note 5)	<u>12,043,235</u>	<u>11,974,010</u>	<u>-</u>	<u>-</u>
Total Noncurrent Liabilities	<u>285,930,341</u>	<u>297,084,038</u>	<u>749,374</u>	<u>750,993</u>
Total Liabilities	<u>337,783,285</u>	<u>349,367,794</u>	<u>1,644,351</u>	<u>1,672,773</u>
Net Assets:				
Invested in capital assets, net of related debt	310,959,608	285,814,792	1,828,773	1,909,174
Restricted:				
Expendable (Note 8)	4,055,103	4,409,685	46,075,892	34,372,306
Nonexpendable	-	-	79,323,121	75,913,531
Unrestricted (Note 9)	<u>67,455,820</u>	<u>48,945,199</u>	<u>8,097,113</u>	<u>8,058,765</u>
Total Net Assets	<u>\$ 382,470,531</u>	<u>\$ 339,169,676</u>	<u>\$ 135,324,899</u>	<u>\$ 120,253,776</u>

See accompanying notes to the financial statements.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Statements of Revenues, Expenses, and Changes in Net Assets

For the years ended June 30, 2011 and 2010

	<u>2011</u> <u>University of</u> <u>Rhode Island</u>	<u>2010</u> <u>University of</u> <u>Rhode Island</u>	<u>2011</u> <u>Component</u> <u>units</u>	<u>2010</u> <u>Component</u> <u>units</u>
Operating Revenues:				
Tuition and fees	\$ 232,624,551	\$ 222,080,112	\$ -	\$ -
Residence, dining, student union, and health fees	65,338,595	61,907,510	-	-
Less scholarship allowances	<u>(63,010,039)</u>	<u>(57,414,173)</u>	<u>-</u>	<u>-</u>
Net Student Fees	234,953,107	226,573,449	-	-
Federal, State, local, and private grants and contracts	107,316,122	97,242,311	-	-
Other auxiliary enterprises	25,137,887	23,820,232	-	-
Other sources	<u>21,509,492</u>	<u>22,275,308</u>	<u>3,497,683</u>	<u>3,598,018</u>
Total Operating Revenues	388,916,608	369,911,300	3,497,683	3,598,018
Operating Expenses (Note 11):				
Instruction	100,458,281	99,672,098	-	-
Research	77,112,974	74,605,002	-	-
Academic support	39,316,486	36,194,546	-	-
Student services	27,198,873	25,796,085	1,798,947	2,148,234
Scholarships and fellowships	22,111,643	13,733,146	-	-
Public service	7,660,305	6,909,772	-	-
Operation and maintenance of plant	34,425,970	34,068,135	391,676	119,654
Depreciation and amortization	23,366,089	22,607,253	81,309	85,765
Institutional support	43,410,183	44,024,225	5,184,979	5,524,529
Auxiliary operations	<u>62,898,767</u>	<u>61,518,315</u>	<u>-</u>	<u>-</u>
Total Operating Expenses	437,959,571	419,128,577	7,456,911	7,878,182
Net Operating Loss	(49,042,963)	(49,217,277)	(3,959,228)	(4,280,164)
Nonoperating Revenues (Expenses):				
State appropriation (Note 12)	56,618,919	56,784,303	-	-
Net investment income (loss)	492,897	510,449	978,833	20,421,275
Endowment income (loss)	-	-	12,159,286	12,228,073
Private gifts and contributions	-	-	9,788,366	13,462,018
Payments between the University and component units	7,436,104	6,811,860	(7,643,733)	(8,232,195)
Additions to permanent endowments	-	-	3,682,545	(1,861,702)
Miscellaneous receipts	-	-	1,264,044	1,335,894
Interest expense	(8,559,269)	(8,771,678)	-	-
Reversal of OPEB obligation (Note 14)	<u>4,095,553</u>	<u>-</u>	<u>-</u>	<u>-</u>
Net Nonoperating Revenues (Expenses)	60,084,204	55,334,934	20,229,341	37,353,363
Increase in Net Assets Before Other Revenues	11,041,241	6,117,657	16,270,113	33,073,199
Other Revenues:				
Capital appropriations (Note 12)	31,060,624	23,004,416	-	-
Capital gifts	<u>1,198,990</u>	<u>1,480,206</u>	<u>(1,198,990)</u>	<u>(1,480,206)</u>
Increase in Net Assets	43,300,855	30,602,279	15,071,123	31,592,993
Net Assets, Beginning of the Year	<u>339,169,676</u>	<u>308,567,397</u>	<u>120,253,776</u>	<u>88,660,783</u>
Net Assets, End of Year	\$ 382,470,531	\$ 339,169,676	\$ 135,324,899	\$ 120,253,776

See accompanying notes to the financial statements.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Statements of Cash Flows

For the years ended June 30, 2011 and 2010

	<u>2011</u> <u>University of</u> <u>Rhode Island</u>	<u>2010</u> <u>University of</u> <u>Rhode Island</u>
Cash Flows From Operating Activities:		
Tuition and fees	\$ 236,038,402	\$ 225,748,185
Grants and contracts	102,651,720	96,176,615
Payments to suppliers	(123,138,297)	(118,093,696)
Payments to employees	(262,891,336)	(254,991,896)
Payments for scholarships, fellowships, and sponsored programs	(29,119,082)	(20,949,008)
Auxiliary enterprises	25,031,289	23,647,795
Other receipts	<u>21,579,733</u>	<u>24,048,651</u>
Net Cash Applied to Operating Activities	<u>(29,847,571)</u>	<u>(24,413,354)</u>
Cash Flows from Noncapital Financing Activities:		
State appropriations	56,618,919	56,784,303
Gifts from component units	7,436,104	6,811,860
Funds held for others	<u>(811,793)</u>	<u>630,326</u>
Net Cash Provided by Non Capital Financing Activities	<u>63,243,230</u>	<u>64,226,489</u>
Cash Flows from Capital and Related Financing Activities:		
Proceeds from capital debt	-	56,903,596
Capital appropriations	31,060,624	23,004,416
Capital gifts	1,198,990	1,480,206
Purchase of capital assets	(56,105,834)	(37,268,184)
Principal paid on capital debt and leases	(7,719,067)	(7,170,130)
Interest paid on capital debt and leases	(8,431,301)	(8,280,080)
Deposit with trustee	<u>8,429,422</u>	<u>(51,794,632)</u>
Net Cash Used in Capital and Related Financing Activities	<u>(31,567,166)</u>	<u>(23,124,808)</u>
Cash Flows from Investing Activity:		
Interest on investments	<u>492,897</u>	<u>510,449</u>
Net Cash Provided by Investing Activity	<u>492,897</u>	<u>510,449</u>
Net Increase in Cash and Cash Equivalents	<u>2,321,390</u>	<u>17,198,776</u>
Cash and Cash Equivalents, Beginning of the Year	<u>88,241,769</u>	<u>71,042,993</u>
Cash and Cash Equivalents, End of the Year	<u>\$ 90,563,159</u>	<u>\$ 88,241,769</u>
Reconciliation of Net Operating Loss to Net Cash Applied to Operating Activities:		
Net operating loss	\$ (49,042,963)	\$ (49,217,277)
Adjustments to reconcile net operating loss to net cash used in operating activities:		
Depreciation and amortization	23,366,089	22,607,253
Bad debts	341,088	1,223,001
Changes in assets and liabilities:		
Accounts receivable	(4,795,936)	(3,348,055)
Inventory and other current assets	(822,390)	898,250
Loans receivable	55,793	(51,966)
Accounts payable and accrued liabilities	(268,902)	(1,930,493)
Deferred revenues	460,510	1,914,173
Compensated absences	789,915	1,391,686
Other post employment benefits (OPEB)	-	2,031,532
Refundable grant	<u>69,225</u>	<u>68,542</u>
Net Cash Applied to Operating Activities	<u>\$ (29,847,571)</u>	<u>\$ (24,413,354)</u>
Supplemental Disclosure of Cash Flows Information:		
New capital leases	<u>\$ -</u>	<u>\$ 675,345</u>
Reversal of OPEB obligation	<u>\$ 4,095,553</u>	<u>\$ -</u>

See accompanying notes to the financial statements.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements

June 30, 2011 and 2010

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

Organization

The University of Rhode Island (the "University") is a State Land-Sea-and-Urban-Grant University. Chartered in 1951, the University offers undergraduate and graduate degree programs of study and also confers doctoral degrees. The University has three campuses throughout Rhode Island in addition to the main campus located in Kingston. The University is accredited by the New England Association of Schools and Colleges. In addition, certain courses and programs of study have been approved by national accrediting agencies. The University is supported by the State of Rhode Island, as part of the system of public higher education that includes the Community College of Rhode Island (CCRI) and Rhode Island College (RIC). Matriculation agreements exist between the schools for student transfer within the system.

The University, a component unit of the State of Rhode Island and Providence Plantations, is governed by the Rhode Island Board of Governors for Higher Education (the Board), a body politic and corporate established under Chapter 59 of Title 16 of the General Laws of Rhode Island. The Board consists of public members appointed by the Governor, as well as the Chair of the Board of Regents for Elementary and Secondary Education.

The Rhode Island Office of Higher Education, which operates under the direction of the Commissioner of Higher Education, is the administrative and research arm of the Rhode Island Board of Governors for Higher Education. The Board of Governors is not a department of state government but an independent public corporation vested with the responsibility of providing oversight for the system of public education in Rhode Island. This system consists of four entities: the University of Rhode Island, Rhode Island College, the Community College of Rhode Island and the Rhode Island Office of Higher Education.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

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 U.S. generally accepted accounting principles as prescribed by the Governmental Accounting Standards Board (GASB). 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 revenues as soon as all eligibility requirements have been met. The University has determined that it functions as a Business Type Activity, as defined by GASB. The effect of interfund activity has been eliminated from these financial statements.

The University's policies for defining operating activities in the statements of revenues, expenses, and changes in net assets are 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 nonoperating activities. These nonoperating activities include the University's operating and capital appropriations from the State of Rhode Island, net investment income, gifts, and interest expense.

The University has elected not to adopt Accounting Standards Codification issued by the Financial Accounting Standards Board (FASB) after November 30, 1989.

The accompanying statements of revenues, expenses, and changes in net assets demonstrate 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.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Basis of Presentation - Continued

The University of Rhode Island Foundation (the "Foundation") and the Alumni Association of the University of Rhode Island (the "Alumni Association") are legally separate tax-exempt component units of the University. The Foundation and the Alumni Association act primarily as fund-raising organizations to supplement the resources that are available to the University in support of its programs. The Boards of the Foundation and the Alumni Association are self-perpetuating and primarily consist of graduates and friends of the University. Although the University does not control the timing or the amount of receipts from the Foundation and the Alumni Association, the majority of resources received or held by the Foundation and the Alumni Association are restricted to the activities of the University by the donors. Because these resources held by the Foundation and the Alumni Association can only be used by or are for the benefit of the University, the Foundation and the Alumni Association are considered component units of the University and are discretely presented in the University's financial statements.

During the years ended June 30, 2011 and 2010, the Foundation distributed \$8,635,094, and \$8,292,066, respectively, to the University for both restricted and unrestricted purposes. The Foundation currently operates on a March 31 year-end. As a result, amounts shown on the Statement of Activities as paid out to the University by the Foundation, may not agree with the amounts received by the University. The Foundation's financial statements indicate that it distributed \$8,842,723 and \$9,712,401 in fiscal 2011 and 2010, respectively, to the University. The difference of \$207,629 in 2011 and \$1,420,335 in 2010 represents timing differences in reimbursement and funding of various expenses in auxiliary enterprise operations, academic support and operation and maintenance of plant.

During the years ended June 30, 2011 and 2010, the Alumni Association distributed \$1,798,947 and \$2,184,234, respectively, to the University for Scholarships and Athletic Club Expenses.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 1 - Summary of Significant Accounting Policies - Continued

Basis of Presentation - Continued

The Foundation and the Alumni Associations are private not for profit organizations that reports under FASB standards, including ASC 958-205, *Presentation of Financial Statements for Not-for-Profit Entities*, and ASC 958-605, *Revenue Recognition for Not-for-Profit Entities*. Accordingly, certain revenue recognition criteria and presentation features are different from GASB revenue recognition criteria and presentation features. No modifications have been made to the Foundation and the Alumni Association's financial information in the University's financial reporting entity for these differences.

The condensed statements of net assets of the Foundation as of March 31 and the Alumni Association as of June 30 are as follows:

	2011		
	Foundation	Alumni Association	Total
Current assets	\$ 8,854,292	\$ 735,616	\$ 9,589,908
Noncurrent assets	123,199,049	4,180,293	127,379,342
Total assets	132,053,341	4,915,909	136,969,250
Current liabilities	358,862	536,115	894,977
Noncurrent liabilities	749,374	-	749,374
Total liabilities	1,108,236	536,115	1,644,351
Net assets:			
Invested in capital assets, net of related debt	1,828,773	-	1,828,773
Restricted:			
Expendable	45,066,506	1,009,386	46,075,892
Nonexpendable	79,323,121	-	79,323,121
Unrestricted	4,726,705	3,370,408	8,097,113
Total net assets	\$ 130,945,105	\$ 4,379,794	\$ 135,324,899

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Basis of Presentation - Continued

	2010		
	Foundation	Alumni Association	Total
Current assets	\$ 10,880,382	\$ 582,015	\$ 11,462,397
Noncurrent assets	107,126,930	3,337,222	110,464,152
Total assets	<u>118,007,312</u>	<u>3,919,237</u>	<u>121,926,549</u>
Current liabilities	423,530	498,250	921,780
Noncurrent liabilities	750,993	-	750,993
Total liabilities	<u>1,174,523</u>	<u>498,250</u>	<u>1,672,773</u>
Net assets:			
Invested in capital assets, net of related debt	1,909,174	-	1,909,174
Restricted:			
Expendable	33,639,569	732,737	34,372,306
Nonexpendable	75,913,531	-	75,913,531
Unrestricted	5,370,515	2,688,250	8,058,765
Total net assets	<u>\$ 116,832,789</u>	<u>\$ 3,420,987</u>	<u>\$ 120,253,776</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 1 - Summary of Significant Accounting Policies - Continued

Basis of Presentation - Continued

The condensed statements of revenues, expenses and changes in net assets of the Foundation for the years ended March 31 and the Alumni Association for the years ended June 30 are as follows:

	2011		
	Foundation	Alumni Association	Component Units
Operating Revenues:			
Other sources	\$ -	\$ 3,497,683	\$ 3,497,683
Operating Expenses:			
Operation and maintenance of plant	-	391,676	391,676
Depreciation and amortization	81,309	-	81,309
Student Services	-	1,798,947	1,798,947
Institutional support	3,252,053	1,932,926	5,184,979
Total Operating Expenses	3,333,362	4,123,549	7,456,911
Net Operating Income (Loss)	(3,333,362)	(625,866)	(3,959,228)
Nonoperating Revenues (Expenses):			
Net investment income (loss)	351,895	626,938	978,833
Endowment income	12,159,286	-	12,159,286
Private gifts	8,830,631	957,735	9,788,366
Gifts to the University	(7,643,733)	-	(7,643,733)
Additions to permanent endowments	3,682,545	-	3,682,545
Miscellaneous receipts	1,264,044	-	1,264,044
Net Nonoperating Revenues	18,644,668	1,584,673	20,229,341
Increase Before Capital Gifts	15,311,306	958,807	16,270,113
Capital Gifts	(1,198,990)		(1,198,990)
Increase (Decrease) in Net Assets	14,112,316	958,807	15,071,123
Net Assets, at Beginning of Year	116,832,789	3,420,987	120,253,776
Net Assets, at End of Year	\$ 130,945,105	\$ 4,379,794	\$ 135,324,899

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 1 - Summary of Significant Accounting Policies - Continued

Basis of Presentation - Continued

	2010		
	Foundation	Alumni Association	Component Units
Operating Revenues:			
Other sources	\$ -	\$ 3,598,018	\$ 3,598,018
Operating Expenses:			
Operation and maintenance of plant	-	119,654	119,654
Depreciation and amortization	85,765	-	85,765
Student Services	-	2,148,234	2,148,234
Institutional support	3,441,806	2,082,723	5,524,529
Total Operating Expenses	<u>3,527,571</u>	<u>4,350,611</u>	<u>7,878,182</u>
Net Operating Income (Loss)	<u>(3,527,571)</u>	<u>(752,593)</u>	<u>(4,280,164)</u>
Nonoperating Revenues (Expenses):			
Net investment income (loss)	20,164,362	256,913	20,421,275
Endowment income	12,228,073	-	12,228,073
Private gifts	12,642,772	819,246	13,462,018
Gifts to the University	(8,232,195)	-	(8,232,195)
Additions to permanent endowments	(1,861,702)	-	(1,861,702)
Miscellaneous receipts	1,335,894	-	1,335,894
Net Nonoperating Revenues	<u>36,277,204</u>	<u>1,076,159</u>	<u>37,353,363</u>
Increase Before Capital Gifts	32,749,633	323,566	33,073,199
Capital Gifts	(1,480,206)		(1,480,206)
Increase (Decrease) in Net Assets	31,269,427	323,566	31,592,993
Net Assets, at Beginning of Year	85,563,362	3,097,421	88,660,783
Net Assets, at End of Year	<u>\$ 116,832,789</u>	<u>\$ 3,420,987</u>	<u>\$ 120,253,776</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Basis of Presentation - Continued

Complete financial statements for the Foundation can be obtained from 79 Upper College Road, Kingston, RI 02881 and for the Alumni Association can be obtained from Alumni Relations, Room 105, 73 Upper College Road, Kingston, RI 02881.

Net Assets

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

Invested in Capital Assets, Net of Related Debt: Capital assets, net of accumulated depreciation and of outstanding principal balances of debt attributable to the acquisition, construction, repair, or improvement of those assets.

Restricted – Nonexpendable: Net assets subject to externally imposed conditions that the University must maintain them in perpetuity.

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

Unrestricted: All other categories of net assets. Unrestricted net assets may be designated by the University.

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

Cash and Equivalents

Cash and equivalents consist entirely of highly liquid financial instruments with an original maturity date of three months or less.

Inventories

Inventories are stated at the lower of cost (first-in, first-out, and retail inventory method) or market, and consist primarily of bookstore, dining, health, and residential life services items.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Capital Assets

Real estate assets, including improvements, are generally stated at cost. Furnishings and equipment 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 Rhode Island Board of Governors for Higher Education's capitalization policy, all land is capitalized, regardless of value. Vehicles, equipment, computer software for internal use, and works of art and historical treasures with a unit cost of \$5,000 or more are capitalized. Building, leasehold, and infrastructure improvements with a unit cost of \$50,000 or more are capitalized. Interest costs on debt related to capital assets are capitalized during the construction period and then depreciated over the life of the asset. 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 5 to 50 years. The costs of normal maintenance and repairs that do not add to the value of the asset or materially extend assets lives are not capitalized.

Compensated Absences and Salary Reduction Plan

University employees are granted vacation and sick leave in varying amounts. The University is committed to separate union contracts which contain different policies for the employees covered under the specific contract. In the event of termination, an employee is paid for those accumulated vacation and sick days allowable under the union contract or in the case of nonunion personnel, according to State or University policy.

Amounts of vested and accumulated vacation and sick leave are reported as accrued compensation and benefits. Amounts are determined based upon the personal service rates in effect as of the balance sheet date. No liability is recorded for nonvesting accumulating rights to receive vacation and sick pay benefits.

Included in this category are amounts related to Salary Reduction Plans adopted during fiscal years 1991, 1992 and 1993 that can be distributed in the form of paid leave, payment at the time of employee separation from the University or to an employee's estate.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Post Employment Benefits

GASBS 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other than Pensions* requires governments to account for other postemployment benefits (OPEB) on the accrual basis, rather than pay as you go (cash basis). Furthermore the determination of the OPEB liability is dependent upon the type of plan in which the employer participates. As described elsewhere in these financial statements, prior to the 2011 fiscal year the University participated in plans classified as an agent multiple employer plan which requires that each participating employer have an actuarially prepared annual required contribution (ARC) and fund the plan accordingly. The ARC represented a level of funding that was projected to cover normal costs each year and amortize any unfunded actuarial liabilities over a maximum of thirty years.

Effective July 1, 2011, the State of Rhode Island established an independent corporation titled the OPEB Board, to manage OPEB benefits for all state government employers. A separate legal OPEB entity classified as a cost sharing multiple employer, as established by the State, assesses annually a contractual obligation based on the plan's parameters to each participating employer.

To the extent the employer does not pay the entire ARC or contractual obligation, they will have an OPEB related liability. However, in the case of a cost-sharing plan, the ultimate responsibility for OPEB liabilities remains with the OPEB entity.

Health Insurance

The State offers one state paid health plan to each of its participating agencies, including the University. The premiums for these plans are divided among the agencies based upon the number of eligible employees. All employees share in healthcare costs. The costs are automatically deducted through the payroll system on a bi-weekly basis. Employee co-pays ranged from 10% to 25% of healthcare premiums. Amounts paid by the University for the 2011 and 2010 healthcare premiums amounted to \$33,459,498 and \$30,927,382, respectively. Employee contributions for the 2011 and 2010 were \$4,483,409 and \$3,631,380, respectively.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Assessed Fringe Benefit Administrative Fund

In July 2000, the State established the Assessed Fringe Benefit Administrative Fund. This fund is used to make all payments relating to workers' compensation charges, unemployment payments, and payments to employees for unused vacation and sick leave at the time of retirement or termination from State service. The State funds this account by assessing a charge against the biweekly payrolls of all State agencies, including the University. The fringe benefit assessment rate for fiscal 2011 and 2010 was 4.85% and 4.2%, respectively. The assessed fringe benefit cost for the University was \$5,754,554 for fiscal year 2011 and \$5,193,425 for fiscal year 2010.

Student Deposits and Unearned Revenue

Student deposits and advance payments received for tuition and fees for the following academic year are recorded as deferred revenue in current year and recorded as earned revenue in the following year.

Student Fees

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

Tax Status

The University is a component unit of the State of Rhode Island and Providence Plantations and is therefore generally exempt from income taxes under Section 115 of the Internal Revenue Code.

Use of Estimates

The presentation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Risk Management

The University is exposed to various risks of loss related to general liability, property and casualty, workers' compensation, unemployment, and employee health and life insurance claims.

The University is insured for general liability with policy limits of \$1 million per claim and \$3 million in the aggregate with a \$25,000 deductible. Coverage under the General Liability Policy extends to faculty, staff, students, and volunteers acting within scope of their duties on behalf of the University. Employed health care providers, are covered under an institutional medical malpractice policy excluding physicians who have separate coverage. This policy does not apply to actions relating to federal/civil rights, eminent domain, and breach of contract. Such claims are insured under a separate policy with limits of \$4 million per claim and \$4 million for the annual aggregate with a \$150,000 deductible. Crime coverage for University employees is carried with a limit of \$25 million and a deductible of \$75,000. The University also maintains an excess liability insurance policy with a limit of \$25 million.

Buildings and contents are insured against fire, theft, and natural disaster to the extent that losses exceed \$100,000 per incident and do not exceed \$500 million. A separate inland marine policy insures specifically listed property items such as computer equipment, valuable papers, fine arts, contractor's equipment, and miscellaneous property at various limits of insurance and deductibles. The University also maintains Hull and Property & Indemnity coverage on a specific schedule of watercraft. This policy has a \$300,000 policy limit with a \$1,000 deductible over which there is an excess coverage bringing the limit to \$1 million. A separate policy insures the University's 184-foot research vessel. The amount of settlements have not exceeded insurance coverage in each of the years ended June 30, 2011, 2010 and 2009.

All vehicles are owned by the State, which insures them for liability through an outside carrier. The policy is a loss retrospective program where premiums can be adjusted for claims incurred. Worker's compensation, unemployment, and employee health and life insurance claims are self-insured and managed by the State of Rhode Island.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

Reclassifications

Certain amounts in the 2010 financial statements have been reclassified to conform to the 2011 presentation.

New Government Accounting Pronouncements

GASB 54, *Fund Balance Reporting and Governmental Fund Type Definitions*, is required for periods beginning after June 15, 2010 (fiscal year end June 2011). This Statement establishes fund balance classifications that comprise a hierarchy based primarily on the extent to which a government is bound to observe constraints imposed upon the use of resources reported in governmental funds. The initial distinction that it makes is identifying amounts that are considered non-spendable. It also provides for additional classification as restricted, committed, assigned and unassigned based on the relative strength of the constraints that control how specific amounts can be spent. Implementing this Statement had no impact on the financial statements.

GASB 60, *Accounting and Financial Reporting for Service Concession Arrangements*, effective for periods beginning after December 15, 2011, establishes accounting requirements for arrangements between a transferor and operator in which (a) the transferor conveys to the operator the right and related obligation to provide services through the use of infrastructure or other public asset in exchange for significant consideration and (b) the operator collects and is compensated by fees from third parties. This statement applies only to arrangements meeting specific criteria determining whether a transferor retains control over the public asset.

Management has not completed its review of the affects of implementation on the financial statements.

GASB 61, *The Financial Reporting Entity: Omnibus an Amendment of GASB Statements 14 and 34*, effective for periods beginning after June 15, 2012, modifies certain requirements for inclusion of component units in the financial reporting entity. Management of the University does not expect implementation to affect the financial statements.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

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

New Government Accounting Pronouncements - Continued

GASB 63, *Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*, effective for periods beginning after December 15, 2011, provides financial reporting guidance. Deferred outflows are the consumption of net assets and deferred inflows are the acquisition of net assets, applicable to future reporting periods. Net position is identified by Concepts Statement No. 4 as the residual of all other elements presented in a statement of financial position and requires the incorporation of deferred outflows and inflows into the required components of the residual measure and renaming that measure, known as net assets, as net position. Management is in the process of reviewing this statement and its potential affect upon their financial reporting upon but does not expect any material impact.

GASB 64, *Derivative Instruments: Application of Hedge Accounting Termination Provisions – an amendment of GASB Statement 53*, effective for periods beginning after June 15, 2011 provides clarification whether an effective hedging relationship continues after the replacement of the swap counterparty or swap counterparty's credit support provider and establishes criteria order to continue or discontinue hedge accounting and the resulting effects of recognition of the deferred outflows or inflows of resources as a component of investment income. Management expects this statement to have no affect on the financial statements.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 2 - **Cash and Cash Equivalents and Investments**

Cash and Equivalents

The University's policy is in accordance with Chapter 35-10.1 of the Rhode Island General Laws dealing with the Public Finance which states that any depository institutions holding public deposits shall insure or pledge eligible collateral equal to one hundred percent (100%) with any time deposit with maturities greater than sixty (60) days. If any depository institution does not meet its minimum capital standards as prescribed by its federal regulator they shall insure or pledge eligible collateral equal to one hundred percent (100%) of all public deposits.

The University does not have a policy for custodial credit risk associated with deposits.

At June 30, 2011 and 2010, the carrying amount of the University's cash deposits was \$88,822,406 and \$86,969,205 and the bank balance was \$94,248,168 and \$92,110,404, respectively. Deposits are exposed to custodial credit risk if they are not covered by depository insurance and the deposits are:

- a) Uncollateralized
- b) Collateralized with securities held by the pledging financial institution, or
- c) Collateralized with securities held by the pledging financial institution's trust department or agent but not in the depositor-government's name.

Of the bank balance \$11,243,564 and \$5,853,454 was covered by federal depository insurance and \$75,421,535 and \$83,514,316 was collateralized with securities held by the pledging financial institution, in the University's name as of June 30, 2011 and June 30, 2010, respectively. The remaining amount, \$7,583,069 for 2011 compared to \$2,742,634 in 2010 was uninsured and uncollateralized. The insured balance reflects FDIC insurance and guarantee programs in effect during 2011 and 2010. None of the University's cash deposits were required to be collateralized by law since the deposits are not time deposits.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 2 - Cash and Cash Equivalents and Investments – Continued

Funds on Deposit with Bond Trustee

The deposit with bond trustee is invested in money market funds with First American Treasury Obligation Fund. These funds are uninsured and fully collateralized with securities held by the pledging financial institution's trust department or agent as of June 30, 2011 and June 30, 2010, respectively.

Investments

The Rhode Island Board of Governors for Higher Education has a policy stressing preservation of principal and limiting deposits to federally insured and other financially secured accounts. The University predominantly invests in short to medium term cash and similar vehicles.

The Foundation investments at March 31, 2011 and 2010 and the Alumni Association investments at June 30, 2011 and 2010 are reported at fair market value and are composed of the following:

	2011		
	Foundation	Alumni Association	Total
Common stocks	\$ 6,583,702	\$ 2,791,523	\$ 9,375,225
Fixed Income	4,821,164		4,821,164
Government securities	28,882,082	-	28,882,082
Emerging Markets Equities	5,062,774	-	5,062,774
Domestic Equities	15,373,617	-	15,373,617
Marketable Alternatives	41,009,816	-	41,009,816
Corporate Bonds	-	1,222,827	1,222,827
REITS	1,602,129	-	1,602,129
Mutual Funds	14,726,200	-	14,726,200
	\$ 118,061,484	\$ 4,014,350	\$ 122,075,834

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 2 - **Cash and Cash Equivalents and Investments - Continued**

Investments - Continued

	2010		
	Foundation	Alumni Association	Total
	Common stocks	\$ 29,513,572	\$ 1,997,594
Limited partnerships and limited liability companies	19,709,375	-	19,709,375
Government securities	18,590,503	-	18,590,503
Hedge funds	17,392,916	-	17,392,916
Corporate bonds	10,190,855	1,278,778	11,469,633
REITS	945,757	-	945,757
Mutual Funds	297,811	-	297,811
	\$ 96,640,789	\$ 3,276,372	\$ 99,917,161

Promulgations of the Financial Accounting Standards Board have established a framework for measuring fair value of the investments, which provides a hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. Please refer to the financial statements of the respective component unit for more information regarding the investments.

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

Accounts payable, accrued salaries and capital costs incurred but not reimbursed by the State to be funded from state-appropriated funds totaled \$1,740,753 and \$1,272,564 at June 30, 2011 and 2010, 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 utilized to pay for such liabilities.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 4 - Accounts Receivable

Accounts receivable, which are anticipated to be collected within one year, include the following at June 30:

	<u>2011</u>	<u>2010</u>
Student accounts receivable	\$ 10,814,004	\$ 11,177,304
Grants receivable	4,876,131	5,812,398
Unbilled grants receivables	15,654,239	10,260,083
Other receivables	6,711,631	6,010,284
	<u>38,056,005</u>	<u>33,260,069</u>
Less allowance for doubtful accounts	(6,432,494)	(6,091,406)
	<u>\$ 31,623,511</u>	<u>\$ 27,168,663</u>

Note 5 - Loans Receivable and Grant Refundable

The University participates in the Federal Perkins Loan, Nursing Loan, and Health Profession Loan Programs. These programs are funded through a combination of federal and institutional resources. The portion of these programs that has been funded with federal funds is ultimately refundable to the U.S. government upon the termination of the University's participation in the programs.

Loans receivable include the following at June 30:

	<u>2011</u>	<u>2010</u>
Perkins loans	\$ 9,782,813	\$ 10,112,996
Nursing loans	1,474,759	1,294,314
Health profession loans	1,863,868	1,811,192
Other	665,461	622,070
	<u>13,786,901</u>	<u>13,840,572</u>
Less allowance for doubtful accounts	(411,424)	(409,302)
	<u>\$13,375,477</u>	<u>\$ 13,431,270</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 6 - Capital Assets

Capital assets of the University consist of the following at June 30, 2011:

	Estimated lives (in years)	2011				Ending balance
		Beginning balance	Additions	Reductions	Reclassifi- cations	
Capital assets not depreciated:						
Land	-	\$ 2,105,076	\$ -	\$ -	\$ -	\$ 2,105,076
Construction in progress	-	<u>25,596,247</u>	<u>50,072,637</u>	-	<u>(18,364,677)</u>	<u>57,304,207</u>
Total not depreciated		<u>27,701,323</u>	<u>50,072,637</u>	-	<u>(18,364,677)</u>	<u>59,409,283</u>
Capital assets depreciated:						
Land improvements	15-25	46,994,781	-	-	5,266,558	52,261,339
Buildings, including improvements	10-50	561,296,609	-	(563,525)	13,098,119	573,831,203
Furnishings and equipment (including cost of capital leases)	5-15	<u>81,101,979</u>	<u>6,118,674</u>	<u>(1,771,951)</u>	-	<u>85,448,702</u>
Total depreciated		<u>689,393,369</u>	<u>6,118,674</u>	<u>(2,335,476)</u>	<u>18,364,677</u>	<u>711,541,244</u>
Less accumulated depreciation:						
Land improvements		16,188,923	2,071,778	-	-	18,260,701
Building, including improvements		<u>179,329,053</u>	<u>16,471,062</u>	<u>(528,303)</u>	-	<u>195,271,812</u>
Furnishings and equipment		<u>57,125,649</u>	<u>4,356,490</u>	<u>(1,670,365)</u>	-	<u>59,811,774</u>
Total accumulated depreciation		<u>252,643,625</u>	<u>22,899,330</u>	<u>(2,198,668)</u>	-	<u>273,344,287</u>
Capital assets, net		<u>\$ 464,451,067</u>	<u>\$ 33,291,981</u>	<u>\$ (136,808)</u>	<u>\$ -</u>	<u>\$ 497,606,240</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 6 - Capital Assets - Continued

Capital assets of the University consist of the following at June 30, 2010:

	Estimated lives (in years)	2010				
		Beginning balance	Additions	Reductions	Reclassifi- cations	Ending balance
Capital assets not depreciated:						
Land	-	\$ 2,105,076	\$ -	\$ -	\$ -	\$ 2,105,076
Construction in progress	-	11,397,643	30,795,423	-	(16,596,819)	25,596,247
Total not depreciated		13,502,719	30,795,423	-	(16,596,819)	27,701,323
Capital assets depreciated:						
Land improvements	15-25	45,196,428	-	-	1,798,353	46,994,781
Buildings, including improvements	10-50	551,816,784	-	(4,188,368)	13,668,193	561,296,609
Furnishings and equipment (including cost of capital leases)	5-15	74,097,150	7,148,105	(1,273,549)	1,130,273	81,101,979
Total depreciated		671,110,362	7,148,105	(5,461,917)	16,596,819	689,393,369
Less accumulated depreciation:						
Land improvements		14,284,206	1,904,717	-	-	16,188,923
Building, including improvements		166,774,119	16,367,529	(3,812,595)	-	179,329,053
Furnishings and equipment		54,405,346	3,878,028	(1,157,725)	-	57,125,649
Total accumulated depreciation		235,463,671	22,150,274	(4,970,320)	-	252,643,625
Capital assets, net		\$ 449,149,410	\$ 15,793,254	\$ (491,597)	\$ -	\$ 464,451,067

Other Deferred Assets

Other deferred assets of \$8,876,347 and \$9,428,587 at June 30, 2011 and 2010, respectively, consist of deferred financing fees, which are amortized by the straight-line method over the life of the respective bonds. Accumulated amortization was \$2,366,624 and \$1,899,865 as of June 30, 2011 and 2010, respectively. Amortization expense for the years ended June 30, 2011 and 2010 was \$466,759 and \$456,979, respectively.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - Long-Term Liabilities

Long-term liabilities consist of the following at June 30:

	2011				
	Beginning balance	Additions	Reductions	Ending balance	Current portion
Leases and bonds payable:					
Lease obligations	\$ 10,928,750	\$ -	\$ 1,171,392	\$ 9,757,358	\$ 1,187,847
Revenue bonds payable	258,677,108	-	6,160,302	252,516,806	6,715,620
Loans payable	1,962,769	-	387,373	1,575,396	250,290
Total leases and bonds payable	<u>271,568,627</u>	<u>-</u>	<u>7,719,067</u>	<u>263,849,560</u>	<u>8,153,757</u>
Other long-term liabilities:					
Other Post Employment Benefits	4,104,395	-	4,104,395	-	-
Compensated absences	18,605,496	1,459,973	670,058	19,395,411	1,204,108
Total Other long- term Liabilities	<u>22,709,891</u>	<u>1,459,973</u>	<u>4,774,453</u>	<u>19,395,411</u>	<u>1,204,108</u>
 Total long-term Liabilities	 <u>\$ 294,278,518</u>	 <u>\$ 1,459,973</u>	 <u>\$ 12,493,520</u>	 <u>\$ 283,244,971</u>	 <u>\$ 9,357,865</u>
	2010				
	Beginning balance	Additions	Reductions	Ending balance	Current portion
Leases and bonds payable:					
Lease obligations	\$ 11,310,139	\$ 675,345	\$ 1,056,734	\$ 10,928,750	\$ 1,171,392
Revenue bonds payable	207,745,225	56,420,000	5,488,117	258,677,108	6,160,303
Loans payable	1,719,814	868,235	625,280	1,962,769	387,373
Total leases and bonds payable	<u>220,775,178</u>	<u>57,963,580</u>	<u>7,170,131</u>	<u>271,568,627</u>	<u>7,719,068</u>
Other long-term liabilities:					
Other Post Employment Benefits	2,072,863	2,031,532	-	4,104,395	-
Compensated absences	17,213,810	1,739,679	347,993	18,605,496	1,449,422
Total Other long- term Liabilities	<u>19,286,673</u>	<u>3,771,211</u>	<u>347,993</u>	<u>22,709,891</u>	<u>1,449,422</u>
 Total long-term Liabilities	 <u>\$ 240,061,851</u>	 <u>\$ 61,734,791</u>	 <u>\$ 7,518,124</u>	 <u>\$ 294,278,518</u>	 <u>\$ 9,168,490</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - Long-Term Liabilities - Continued

Bonds Payable

The revenue bonds payable totaling \$252,516,806 and \$258,677,108 as of June 30, respectively, consist of the following:

	<u>2011</u>	<u>2010</u>
1997 Series Higher Education Revenue Bonds - Univeristy of Rhode Island Issue, 4% to 5.3%, due semiannually through 2023	\$ 1,385,000	\$ 1,460,000
Series 2002 University of Rhode Island Educational and General Revenue Issue, 3% to 5.0%, due semiannually through 2022	5,930,000	6,300,000
Series 2003 A University of Rhode Island Educational and General Revenue Issue, 2% to 5%, due semiannually through 2013	1,140,000	1,490,000
Series 2003 B Facility Revenue Refunding Bonds, Auxiliary Enterprise Revenue Issue, 2% to 5%, due semiannually through 2023	9,529,242	10,083,340
Series 2003 C Facility Revenue Refunding Bonds, Educational and General Revenue Issue, 2% to 5%, due semiannually through 2023	6,297,564	6,663,768
Series 2004 A University of Rhode Island Auxiliary Enterprise Revenue Issue, 2.5% to 5.5%, due semiannually through 2024	28,325,000	29,790,000
Series 2005 A University of Rhode Island Educational and General Revenue Issue, 3% to 4.25%, due semiannually through 2020	1,985,000	2,145,000
Series 2005 B University of Rhode Island Educational and General Revenue Issue, 3% to 4.25%, due semiannually through 2025	1,620,000	1,700,000
Series 2005 C University of Rhode Island Auxiliary Enterprise Revenue Issue, 3% to 4.625%, due semiannually through 2025	12,530,000	12,815,000
Series 2005 D University of Rhode Island Auxiliary Enterprise Revenue Refunding Issue, 3% to 4.25%, due semiannually through 2029	17,720,000	18,340,000
Series 2005 F University of Rhode Island Educational and General Revenue Issue, 3% to 4.50%, due semiannually through 2025	2,655,000	2,785,000
Series 2005 G University of Rhode Island Educational and General Revenue Refunding Issue, 4% to 5%, due semiannually through 2030	40,990,000	42,230,000
Series 2008 A University of Rhode Island Auxiliary Enterprise Revenue Refunding Issue, 6.25% to 6.50%, due semiannually through 2034	34,105,000	34,105,000
Series 2008 B University of Rhode Island Auxiliary Enterprise Revenue Issue, 8%, due semiannually through 2024	3,830,000	3,830,000
Series 2009 A University of Rhode Island Educational and General Revenue Issue, 3.4% to 4.75%, due semiannually through 2034	10,280,000	10,315,000
Series 2009 B University of Rhode Island Auxiliary Revenue Issue, 3% to 5.25%, due semiannually through 2029	17,775,000	18,205,000
Series 2010 A University of Rhode Island Educational and General Revenue Issue, 3% to 5%, due semiannually through 2041	13,725,000	13,725,000
Series 2010 B University of Rhode Island Auxiliary Enterprise Revenue Issue, 3% to 5%, due semiannually through 2041	42,695,000	42,695,000
	<u>\$ 252,516,806</u>	<u>\$ 258,677,108</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - **Long-Term Liabilities - Continued**

Bonds Payable - Continued

The bonds issued by the Rhode Island Health and Education Building Corporation (the "Corporation") are special limited obligations of the Board of Governors acting on behalf of the University. The refunding and general and educational bonds are secured by all available revenues of the Board of Governors derived by the University and State appropriations for the University. The auxiliary enterprise revenue bonds are secured by all auxiliary enterprise revenue of the University.

On September 1, 1997, the Corporation issued the \$2,125,000 University of Rhode Island Educational and General Revenue Issue, Series 1997 Bonds. The proceeds of the Series 1997 Bonds, including accrued interest to the date of delivery, were used for the construction of an addition of the University's Social Science Center and for the renovations to the University's Multicultural Center.

On November 15, 2002, the Corporation issued the \$7,975,000 University of Rhode Island Educational and General Reserve Issue, Series 2002 Bonds. The proceeds of these bonds were used to finance the construction and equipping of 1,000 parking spaces, transit shelters, parking meters, and shuttle services.

On May 1, 2003, the Corporation issued the University of Rhode Island Educational and General Revenue Issue, Series 2003 A Bonds, par amount \$3,100,000. The proceeds of the Series 2003 A Bonds were used for the construction, equipping and furnishing of the Alumni Center, which provides meeting and reception space as well as office suites for staff members serving the University of Rhode Island Alumni Association and the Division of University Advancement.

On July 17, 2003, the Corporation issued the Auxiliary Enterprise Revenue Issue, Series 2003 B Bonds, par amount \$20,785,000 and the Educational and General Revenue Issue, Series 2003 C Bonds, par amount \$13,165,000. The proceeds of these bonds were used to defease the outstanding obligations of the University relative to the previous Series A and Series B issues of 1993.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - **Long-Term Liabilities - Continued**

Bonds Payable - Continued

In December 2004, the Corporation issued the University of Rhode Island Auxiliary Enterprise Revenue Issue, Series 2004 A, Fixed Rate Revenue Bonds with a par amount of \$33,935,000 and the University of Rhode Island Auxiliary Enterprise Revenue Issue, Series 2004 B, Variable Rate Revenue Bonds with a par amount of \$33,000,000. The proceeds of the 2004 Bonds were used for the construction of a 440-bed apartment unit and a 360-suite-style residence hall.

On April 1, 2005, the Corporation issued the University of Rhode Island Educational and General Revenue Issue, Series 2005 A Bonds, par amount \$2,740,000. The proceeds were used to construct the second level of an existing facility, Surge Modular Building I, located at 210 Flag Road on the Kingston Campus.

On June 30, 2005, the Corporation issued the University of Rhode Island Educational and General Revenue Issue, Series 2005 B, with a par amount of \$2,000,000. The proceeds were used for the construction and rebuilding of parking facilities, roadways, sidewalks, curbing, drainage and landscape amenities on the Kingston Campus.

On October 14, 2005, the Corporation issued the University of Rhode Island Auxiliary Enterprise Revenue Issue, Series 2005 C Bonds with a par amount of \$13,840,000. The proceeds of the 2005 C Bonds were used for the demolition and construction of a two story dining hall. The Corporation also issued the University of Rhode Island Educational and General Revenue Issue, Series 2005 F Bonds with a par amount of \$3,245,000. The proceeds of the 2005 F Bonds were used to acquire and demolish the former Delta Chi House.

On October 14, 2005, the Corporation issued the University of Rhode Island Auxiliary Enterprise Revenue Refunding Issue, Series 2005 D Bonds with a par amount of \$19,625,000. The proceeds of the 2005 D Bonds were used to advance refund the outstanding Series 1999 A principal of \$18,020,000. The Corporation also issued the University of Rhode Island Educational and General Revenue Refunding Issue, Series 2005 G Bonds with a par amount of \$44,805,000. The proceeds of the 2005 G Bonds were used to advance refund the outstanding Series 1999 B principal of \$3,430,000 and Series 2000 B principal of \$39,290,000.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - Long-Term Liabilities - Continued

Bonds Payable - Continued

On November 14, 2008, the Corporation issued \$34,105,000 of Series 2008 A the University of Rhode Island Auxiliary Enterprise Revenue Issue. These bonds were used to refund the \$33,000,000 outstanding from Series 2004 B Bonds. The proceeds from the issuance were deposited into the Series 2004 B Redemption Account and were used to pay principal and interest on the Series 2004 B Bonds through their redemption date, at a price of 100%. The Corporation also issued the University of Rhode Island Auxiliary Enterprise Revenue Issue Series 2008 B, par amount of \$3,830,000 to pay expenses relating to the 2004 B swap termination. The refunding resulted in a difference between the reacquisition price and the net carrying amount of the old debt of \$1,105,000. This difference, reported in the accompanying financial statements as an increase in bonds payable and is being amortized through the year 2034. There was an economic gain (difference between the present value of the old and new debt service payments) of approximately \$2,617,133.

On June 18, 2009, the Corporation issued the University of Rhode Island Educational and General Revenue Issue, Series 2009 A with a par amount of \$10,315,000. The proceeds of the Series 2009 A Bonds will be used to finance site and utility infrastructure relating the "North District" of the Kingston Campus. The Corporation also issued the University of Rhode Island Auxiliary Enterprise Revenue Issue, Series 2009 B with a par amount of \$18,205,000. The proceeds of the Series 2009 B bonds will be used to finance fire protection and life safety improvements.

On February 17, 2010, the Corporation issued the University of Rhode Island Educational and General Revenue Issue, Series 2010 A with a par amount of \$13,725,000. The proceeds of the Series 2010 A Bonds will be used to repave and reconstruct major parking facilities, internal roadways and walkways across three of its four campuses.

On May 27, 2010, the Corporation issued the University of Rhode Island Educational and General Revenue Issue, Series 2010 B with a par amount of \$42,695,000. The proceeds of the Series 2010 B Bond will be used for the design, construction, equipping and furnishing of a new multi-story residence hall and demolition of the present Terrace Apartments.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - Long-Term Liabilities - Continued

Bonds Payable - Continued

Principal and interest on bonds payable for the next five years and in subsequent five-year periods are as follows:

	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
Year ending June 30:			
2012	\$ 6,715,620	\$ 12,158,485	\$ 18,874,105
2013	7,657,806	11,903,027	19,560,833
2014	7,938,123	11,620,966	19,559,089
2015	8,235,469	11,322,006	19,557,475
2016	8,564,930	10,990,820	19,555,750
2017-2021	48,952,874	48,833,823	97,786,697
2022-2026	59,961,984	35,717,014	95,678,998
2027-2031	60,015,000	20,130,494	80,145,494
2032-2036	31,705,000	7,274,463	38,979,463
2037-2041	12,770,000	1,660,000	14,430,000
	<u>\$ 252,516,806</u>	<u>\$ 171,611,098</u>	<u>\$ 424,127,904</u>

Interest costs on all debt for the years ended June 30, 2011 and 2010 were \$12,283,921 and \$10,651,122, respectively. Of these amounts, \$3,724,652 and \$1,879,444 were capitalized in 2011 and 2010, respectively.

Loans Payable

The University has a loan of \$1,075,000 payable to the Estate of Alice P Tibbits for the Flagg Road land purchase. The loan is payable in annual installments ranging from \$140,000 to \$107,000 that includes interest at 6.0% through 2013.

The University also obtained a loan from Rhode Island Health & Educational Building Corporation, in May 2006 in the amount of \$800,000 for financing the acquisition and renovations of the Chi Phi fraternity house for use as student housing for the International Engineering Program. The loan is payable in monthly installments of \$8,387 that includes interest at 4.75% commencing May 20, 2006 through April 20, 2016.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - **Long-Term Liabilities - Continued**

Loans Payable - Continued

The University had a \$200,000 loan from the University of Rhode Island Foundation to finance certain renovations to the conference and camping facilities located at the W. Alton Jones Campus. The loan bears 6.5% interest, and requires principal and interest payable semiannually through fiscal 2011.

The University obtained a loan from the Rhode Island Alpha Chapter of Sigma Alpha Epsilon fraternity, in November 2009 for the amount of \$850,000 for the financing of the acquisition and renovations of Sigma Alpha Epsilon fraternity house for the use as student housing for the International Engineering Program. The loan is payable in monthly installments of \$7,173 that includes interest at 6.0% commencing October 15, 2009 through September 15, 2024.

Principal and interest of loans payable are as follows:

	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
Year ending June 30:			
2012	\$ 250,290	\$ 85,690	\$ 335,980
2013	254,630	72,098	326,728
2014	236,297	57,731	294,028
2015	142,220	44,507	186,727
2016	132,946	37,007	169,953
2017-2021	305,433	124,934	430,367
2022-2025	253,580	26,159	279,739
	<u>\$ 1,575,396</u>	<u>\$ 448,126</u>	<u>\$ 2,023,522</u>

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - **Long-Term Liabilities - Continued**

Lease Obligations

On May 21, 1998, the Board and the University (individually and collectively called "University") entered into a Development and a Steam Service Agreement with ERI Services, Inc. (the "Seller") a Delaware corporation. Noresco, LLC, (a subsidiary) was the Seller's contract service provider. Under this agreement, the Seller is required to deliver and the University is required to purchase certain quantities of acceptable steam required by the University in connection with its operation. The Seller's commitment for steam service to the University is for a duration of 20 years from the initial delivery date. On December 30, 2005, Noresco was sold by ERI (including the University's contract) to a fund managed by GFI Energy Ventures, LLC, a California corporation.

The Seller is responsible for the costs of operating this facility and for making such additional repairs to the steam/condensate distribution system as directed by the University at a cost of up to \$1.5 million.

The Seller is required to supply the University with 320,000,000 pounds of steam annually until 2019. If the Seller is unable to supply this requirement, the University may purchase steam in excess of that produced by the Seller from any other source. Additionally, the Seller cannot sell steam produced at the facility to any party other than the University without prior consent from the University. Each year, the actual consumption of steam is recorded and a year-end adjustment is effectuated to assure that all operation and maintenance costs are addressed.

The monthly charges for services under the contract consist of a capacity charge and a variable charge for acceptable steam delivered. For contract years 1 through 20, the capacity charge is fixed at \$108,000 per month. The variable charge for the same period is calculated as the sum of commodity charges for gas and fuel oil consumed at the plant plus gas transportation and delivery charge, including operation and maintenance charge for acceptable steam delivered per thousand pounds. The O & M charge is adjusted for the current consumer price index.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - **Long-Term Liabilities - Continued**

Lease Obligations - Continued

On May 15, 1999, the Rhode Island Economic Development Corporation (EDC) issued the \$16,395,000 Rhode Island Economic Development Corporation Revenue Bonds (University of Rhode Island Steam Facility Project) Series 1999 and made the proceeds available to ERI to fund the construction of the steam plant. On June 3, 1999, the University, ERI, EDC, and Bank of New York, as Trustee, entered into a Consent, Amendment, and Assignment Agreement to ensure the continued payment of the capacity charge. The agreement requires the University to include in each annual budget a specific line item request for the capacity charge. This includes a specific reference to the capacity charge as the source of payment of the debt service on the Rhode Island Economic Development Corporation Revenue Bonds (University of Rhode Island Steam Facility Project) Series 1999. During the term of the Indenture Agreement covering this bond issue, the University is obligated to make payments of the capacity charge directly to the Trustee.

The University accounted for the amounts due under the above steam agreement as a capital lease and recorded the steam plant at \$16,395,000, the present value of the minimum lease payments.

On January 29, 2010, the University entered into a lease-purchase agreement with Lighthouse Computer Services, Inc (the vendor) for an IBM Tape Drive. Under the terms of the agreement the vendor is authorized to assign its right to payments, which commence on April 1, 2010 until March 1, 2014 or for 3 years, the estimated life of the tape drive. The agreement also provides the University with the option to purchase the central server at the end of the lease term for \$1. The University accounted for this lease as a capital lease and recorded the tape drive at \$436,525, the present value of minimum lease payments.

The University also entered into a lease-purchase agreement with Lighthouse Computer Services, Inc (the vendor) for an IBM Central Server. Under the terms of the agreement the vendor is authorized to assign its right to payments, which commence on February 1, 2010 until January 1, 2014 or for 4 years, the estimated life of the central server. The agreement also provides the University with the option to purchase the central server at the end of the lease term for \$1. The University accounted for this lease as a capital lease and recorded the central server at \$238,820, the present value of minimum lease payments.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 7 - Long-Term Liabilities - Continued

Lease Obligations - Continued

The following schedule summarizes future minimum payments under all non-cancelable leases at June 30, 2011:

	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
Year ending June 30:			
2012	\$ 1,187,847	\$ 458,742	\$ 1,646,589
2013	1,049,647	405,205	1,454,852
2014	954,864	353,225	1,308,089
2015	965,000	300,104	1,265,104
2016	1,015,000	250,396	1,265,396
2017-2020	4,585,000	453,271	5,038,271
	<u>\$ 9,757,358</u>	<u>\$ 2,220,943</u>	<u>\$ 11,978,301</u>

Note 8 - Restricted Net Assets

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 composed of the following at June 30:

	<u>2011</u>	<u>2010</u>
Restricted – expendable:		
Student Loans	\$ 3,179,883	\$ 3,207,609
Capital programs	875,220	1,202,076
	<u>\$ 4,055,103</u>	<u>\$ 4,409,685</u>

Note 9 - Unrestricted Net Assets

The University's unrestricted net assets at June 30 represent goods and services that have not yet been received and normal working capital balances maintained for auxiliary enterprise and departmental activities.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 10 - **Contingencies**

Environmental Remediation

Hazardous waste found at a former drum storage site on property owned by the University polluted the ground and water in the area. The University entered into a "Consent Decree" agreement with the United States District Court on behalf of the US Environmental Protection Agency (EPA), the US Justice Department, and the Rhode Island Department of Environmental Management (RIDEM) on July 2, 2008 with regards to the West Kingston Town Dump/URI Disposal Area Superfund Site. A cap was placed to cover the URI disposal area site and parties are now monitoring the ground water over an extend period of time through a system of monitoring wells. The University shares fiscal responsibility with two other parties, the towns of South Kingstown and Narragansett. The University has an accrued liability of \$1 million relating to the remediation project, operation and maintenance costs, and site reviews.

Other

Various lawsuits are pending or threatened against the University that arose from 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.

At June 30, 2011 and 2010, the University is a guarantor of loans to fraternities and sororities in the amount of \$285,561 and \$300,000, respectively.

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 expenditures 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.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 11 - Operating Expenses

The University's operating expenses, as presented on a natural classification basis, as follows for the year ended June 30:

	2011	2010
Compensation and benefits	\$ 265,221,982	\$ 259,188,249
Supplies and services	120,252,418	116,384,067
Depreciation and amortization	23,366,089	22,607,253
Scholarships and fellowships	29,119,082	20,949,008
	\$ 437,959,571	\$ 419,128,577

Note 12 - State Appropriation

Direct Appropriations

Pursuant to the Rhode Island General Law 16-59-9, the legislative-enacted budget reflects the budget passed by the General Assembly and signed by the Governor as well as any subsequent re-appropriations. The Board reviews and approves the unrestricted and restricted budgets and makes recommendations to the Governor and General Assembly for revisions to the current year's budget and the ensuing year's budget for the University, RIC, CCRI, and the Office of Higher Education.

The original and supplemental budget requests to the Governor and General Assembly are acted upon by a vote of the Board. As part of the University's annual budget process for unrestricted and restricted funds, the Board allocates specific amounts in the budget which are allocated for the following categories: (1) salaries and wages; (2) operating expenditures; and (3) outlays for personnel costs, utilities, repairs, capital, and student aid, as well as the overall budget allocation.

State Capital Plan Funds

The Rhode Island Capital Plan Fund was modeled on a financial technique originating in the State of Delaware. In fiscal year 2011 the State reserved 2.6% of its general revenues to fund a Budget Reserve and Cash Stabilization Fund. If the fund reaches a maximum threshold (4.2% of total resources in fiscal year 2011), the excess revenues are transferred to a Capital Plan Fund. This Capital Plan Fund is used for capital expenditures and for debt reduction. The technique is a "pay-as-you-go" process that avoids increasing the state's debt burden. Higher education has received off-budget allocations through this program since fiscal 1995.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 12 - **State Appropriation - Continued**

State Capital Plan Funds-Continued

The University's State Capital Plan Allocations are composed of the following for the years ended June 30:

	2011	2010
Asset Protection	\$ 5,327,980	\$ 4,431,294
New Chemistry Building	2,189,438	226,190
Superfund Remediation Site	-	46,911
Nursing & Assoc Health Building	149,533	-
Biotechnology Center	320,165	-
	\$ 7,987,116	\$ 4,704,395

State Contributed Capital

In November 1998, the Rhode Island voters approved the issuance of \$21.0 million General Obligation Bonds for higher education facilities. The bond provided the University with \$10.0 million for the renovations of Lippitt and Independence Hall. From the proceeds of these general obligation bonds issues, the University spent \$21,000 and \$130,000 on the renovations of these two buildings at the Kingston Campus during fiscal years 2011 and 2010, respectively.

In November 2004, Rhode Island voters approved the issuance of \$114 million General Obligation Bonds to fund improvements for higher education facilities. The bonds provide the University with \$20 million to complete the residence hall renovation project initiated in 1999, \$14 million for the construction of an Ocean Exploration and Research Center and rehabilitate the Pell Marine Science Library, and \$50 million for the construction of the Center for Biotechnology and Life Sciences. During fiscal years 2011 and 2010, the University spent \$123,000 and \$2.52 million, respectively.

In November 2006, the Rhode Island voters approved the issuance of \$65 million General Obligations Bonds for higher education facilities. The bond provides funding for the construction of the College of Pharmacy Building. During fiscal years 2011 and 2010 the University spent \$21.1 million and \$9.5 million, respectively.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 12 - **State Appropriation - Continued**

State Contributed Capital - Continued

In 2008 the University participated with the State Department of Administration in a request for proposal process to enter into an energy performance contract with an energy service company to make improvements to existing equipment and install new equipment that will conserve energy and water. In the contract there is a provision of a guarantee on energy savings from the improvements. Depending on the nature of improvements the contract period can range from 5 to 12 years. During the fiscal years 2011 and 2010 the University spent \$620,000 and \$4.0 million, respectively.

In 2008 the University received an Information Technology certificate of participation funding to improve the state's technology infrastructure and to outfit classrooms to assist teachers in improving their skills in the use of information technology. During fiscal years 2011 and 2010 the University has spent \$1.2 million and \$1.3 million.

The expenditures funded from the proceeds of the above-mentioned general obligation bonds and capitalized as fixed assets during fiscal years 2011 and 2010 totaled \$23.1 million and \$18.3 million, respectively.

The University's State appropriations are composed of the following for the years ended June 30:

		<u>2011</u>		<u>2010</u>
Direct Appropriations	\$	56,618,919	\$	56,784,303
State Capital Plan Funds		7,987,116		4,704,395
State Contributed Capital		<u>23,073,508</u>		<u>18,300,021</u>
		<u>87,679,543</u>		<u>79,788,719</u>

In accordance with Rhode Island State law, unexpended capital plan appropriations lapse after June 30th of the fiscal year in which appropriated. However, such funds may be re-appropriated in the subsequent fiscal year.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 13 - **Pension and Retirement Plans**

Certain employees of the University, (principally faculty and administrative personnel) are covered by individual annuity contracts under a defined contribution retirement plan, Alternate Retirement Plan, established by the Rhode Island Board of Governors (Board) which is also responsible for amending it. Eligible employees who have reached the age of 30, and who have two (2) years of service are required to participate in either the Teachers' Insurance and Annuity Association (TIAA), the Metropolitan Life Insurance Company or Variable Annuity Life Insurance Company retirement plan. The Board establishes and amends contribution rates. Eligible employees must contribute at least 5% of their gross biweekly earnings. These contributions may be made on a pre-tax basis. The University contributes 9% of the employee's gross biweekly earnings. Total expenditures by the University for such 403(b) annuity contracts amounted to \$9,650,577 and \$9,539,596 during 2011 and 2010, respectively. The employee contribution amounted to \$5,361,430 and \$5,294,775 during 2011 and 2010, respectively.

Other employees of the University (principally civil service personnel) participate in the Employees' Retirement System of the State of Rhode Island (System), a multiple-employer, cost-sharing, public employee retirement system. The plan provides retirement and disability benefits, annual cost-of-living adjustments, and death benefits to plan members and beneficiaries. The level of benefits provided to state employees is established by Chapter 36-10 of the General Laws which is subject to amendment by the general assembly. The System issues a publicly available financial report that includes financial statements and required supplementary information for plans administered by the system. The report may be obtained by writing to the Employees' Retirement System, 40 Fountain Street, Providence, RI 02903. The payroll expense of University employees covered by the system was \$35,731,660 and \$34,934,301 for the years ended June 30, 2011 and 2010, respectively. The University's total payroll expense for the years ended June 30, 2011 and 2010 was \$195,825,068 and \$193,366,522, respectively.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 13 - **Pension and Retirement Plan – Continued**

Employer and employee required contributions to the System are established by the State of Rhode Island and are based on percentages established by the State of Rhode Island and are based on percentages of covered employees' gross salaries, which are calculated annually by the fund's actuaries. Covered employees in the System were required to contribute 8.75% of salaries paid while the University was required to pay 20.78% and an average of 22.46% of salaries paid for the years ending June 30, 2011 and 2010, respectively. Employees contributed \$3,126,520 and \$3,056,751, and \$3,089,429, respectively, and the University's contribution to the System for the years ended June 30, 2011, 2010, and 2009 were \$7,425,039 and \$5,069,043, and \$7,460,529, respectively, representing 100% of the required contribution.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 14 - **Other Post Employment Benefits**

Rhode Island Retiree Health Care Benefit Plan

Plan Description

The University of Rhode Island contributes (for certain employees) to the State Employees' defined benefit post-employment health care plan, a cost sharing multiple employer plan administered through the Rhode Island State Employees' and Electing Teachers OPEB System (OPEB System). The State of Rhode Island OPEB Board (Board) was authorized, created and established under Chapter 36-12.1 of the RI General Laws. The Board was established to independently hold and administer, in trust, the funds of the OPEB system. The plan provides medical benefits to certain retired employees of participating employers including the University of Rhode Island.

Pursuant to legislation enacted by the General Assembly, a trust was established in fiscal year 2011 to accumulate assets and pay benefits and other costs associated with the system.

Beginning with the fiscal year ended June 30, 2011, the OPEB system will issue a stand-alone financial report. A copy will be available at the web site of the Office of Accounts & Control-
<http://controller.admin.ri.gov/Financial%20Reports/index.php>.

RIGL Sections 36-12.1, 36-12-2.2, and 36-12-4 govern the provisions of the OPEB System. The contribution requirements of plan members, the State, and other participating employers are established and may be amended by the General Assembly. Active employees make no contribution to the OPEB plan. Employees who retired after October 1, 2008 must contribute 20% of the annual estimated benefit cost (working rate) or annual premium for Medicare supplemental coverage. Employees retiring before October 1, 2008 have varying co-pay percentages ranging from 0% to 50% based on age and years of service at retirement. Further information about the contributions of plan members can be found in the financial report of the OPEB System.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 14 - **Other Post Employment Benefits – Continued**

Rhode Island Retiree Health Care Benefit Plan – Continued

Funding Policy

Effective in fiscal year 2011, all participating employers are required by law to fund the actuarially required contribution (ARC) which for fiscal year 2011 was 6.74% of covered payroll. The ARC represents a level of funding that, if paid on an ongoing basis, is projected to cover normal costs each year and amortize any unfunded actuarial liabilities (or funding excess) over a period not to exceed thirty years. The University of Rhode Island contribution to the plan for the year ended June 30, 2011 was \$2,420,050. Prior to the creation of the OPEB trust in fiscal year 2011, the contributions to the plan were made on a pay as you go basis. For fiscal year 2010, the annual required contribution (ARC), as a percentage of covered payroll, for participating component units was the same for all active plan members, 9.21% of covered payroll. The University actually contributed 5.62% of annual covered payroll for fiscal 2010 or \$1,966,149.

In prior years, the University of Rhode Island contributed to the State Employees' OPEB plan, which consistent with GASB 45 provisions, was administered as an agent multiple employer plan because no separate legal trust had been created. The transition by the State of its OPEB plan in fiscal 2011 to an OPEB Trust resulted in the State Employees' Plan being redefined as a cost sharing multiple employer plan. In accordance with the requirements of GASB 45, the component unit's net OPEB obligation recorded in previous years has been reduced to zero.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 14 - **Other Post Employment Benefits – Continued**

Rhode Island Board of Governors for Higher Education Health Care Insurance Retirement Program

Plan Description

The University contributes (for certain employees) to the Rhode Island Board of Governors for Higher Education (Board) health care insurance retirement program (Plan), medical coverage only, for eligible employees who participate in the Board's Alternate Retirement Plan (ARP) and per union contracts. The Board established a defined benefit healthcare plan effective July 1, 1998 for Office of Higher Education, University of Rhode Island (URI), Rhode Island College (RIC) and Community College of Rhode Island (CCRI). Pursuant to legislation enacted by the General Assembly, a trust was established in fiscal year 2011 to accumulate assets and pay benefits and other costs associated with the system. Upon creation of the trust in fiscal year 2011, the Board's ARP is considered a cost-sharing multiple employer plan. Rhode Island State law established the "Rhode Island State Employees' and Electing Teachers OPEB System" (OPEB system), as defined in G.L. 36-12.1-5, which will be managed by an OPEB Board for the purpose of providing and administering OPEB Benefits for retired employees of the State, includes the Board Plan.

The State of Rhode Island OPEB Board (Board) was authorized, created and established under Chapter 36-12.1 of the RI General Laws. The Board was established to independently hold and administer, in trust, the funds of the OPEB system. The plan provides medical benefits to certain retired employees of participating employers including University of Rhode Island.

Beginning with the fiscal year ended June 30, 2011, the OPEB system will issue a stand-alone financial report. A copy will be available at the web site of the State of Rhode Island Office of Accounts & Control-
<http://controller.admin.ri.gov/Financial%20Reports/index.php>.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 14 - **Other Post Employment Benefits – Continued**

Rhode Island Board of Governors for Higher Education Health Care Insurance Retirement Program - Continued

Funding Policy

RIGL Sections 36-12.1, 36-12-2.2, and 36-12-4 govern the provisions of the OPEB System. The contribution requirements of plan members and the University are established and may be amended by the Board. Effective in fiscal year 2011, all participating employers are required by law to fund the actuarially required contribution (ARC) which for fiscal year 2011 was 2.69% of payroll covered by the Board Plan. Active employees contribute 0.9% of payroll to the OPEB plan. Retired employees have varying co-pay percentages ranging from 0% to 50% based on age and years of service at retirement. Further information about the contributions of plan members can be found in the financial report of the OPEB System.

The University of Rhode Island contribution to the plan for the year ended June 30, 2011 was \$1,137,007 and active employees contributed 0.9% of covered payroll, \$380,411. For fiscal year 2010, University of Rhode Island contribution to the plan was \$886,361 and active employees contributed 0.9% of covered payroll, \$374,069. In Fiscal 2010 the annual required contribution (ARC) , which was actuarially determined was \$1,664,701. The University actually contributed 5.62% of annual covered payroll for fiscal 2010 or \$1,966,149. In prior years, the University of Rhode Island contributed to the State Employees' OPEB plan, which consistent with GASB 45 provisions, was administered as an agent multiple employer plan because no separate legal trust had been created. The transition by the State of its OPEB plan in fiscal 2011 to an OPEB Trust resulted in the State Employees' Plan being redefined as a cost sharing multiple employer plan. In accordance with the requirements of GASB 45, the component unit's net OPEB obligation recorded in previous years has been reduced to zero.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Financial Statements - continued

June 30, 2011 and 2010

Note 15 - **Joint Venture**

Municipal joint ventures pool resources to share the costs, risks, and rewards of providing services to their participants, the general public, or others. The University, in coordination with the Towns of South Kingstown and Narragansett, shares in the maintenance costs of the regional waste water system, which was constructed during the late 1970's. Each is responsible for its share of the net capital and administrative costs of the project. The University's fiscal 2011 and 2010 share of capital expenditures amounted to \$84,712 and \$75,709, respectively.

In addition to capital costs, the University is responsible for its proportionate share of the total operating costs of the regional waste water system. Its share of the operating costs is in proportion to its share of the total flow into the common facilities as determined by metering devices and a predetermined percentage of operating costs of certain other facilities. The University's share of operating costs amounted to \$650,714 in 2011 and \$626,876 in 2010. Financial information may be obtained at the Town of South Kingstown, 180 High Street, Wakefield, Rhode Island 02879.

Note 16 - **Pass Through Grants**

The University distributed \$103,534,565 and \$101,554,731 during fiscal 2011 and 2010, 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.



**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 Governors for Higher Education
State of Rhode Island and Providence Plantations

We have audited the financial statements of the University of Rhode Island (the "University") as of and for the year ended June 30, 2011, and have issued our report thereon dated September 30, 2011, which included a reference to the report of the other auditors who audited the discretely presented component units. We conducted our audit 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.

Our consideration of internal control over financial reporting and our test of compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters did not include the discretely presented component units audited by the other auditors referred to in the previous paragraph. The findings, if any, of the other auditors are not included herein.

Internal Control Over Financial Reporting

Management of the University is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the University of Rhode Island's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion of the effectiveness of the University of Rhode Island's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over financial reporting.

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 combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the University's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University of Rhode Island's financial statements are free of 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 audit 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*.

We noted certain matters that we reported to management of the University in a separate letter dated September 30, 2011.

This report is intended solely for the information and use of the Board of Governors for Higher Education, management of the University of Rhode Island, the Office of the Rhode Island Auditor General, federal awarding agencies and pass through agencies, and is not intended to be and should not be used by anyone other than these specified parties.

O'Connor & Drew, P.C.

Certified Public Accountants

September 30, 2011

UNIVERSITY OF RHODE ISLAND

**(a Component Unit of the State of Rhode Island and
Providence Plantations)**

**INDEPENDENT AUDITORS' REPORTS AS
REQUIRED BY OFFICE OF MANAGEMENT AND
BUDGET (OMB) CIRCULAR A-133 AND
GOVERNMENT AUDITING STANDARDS AND
RELATED INFORMATION**

JUNE 30, 2011

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Independent Auditors' Reports as Required by Office of Management and Budget (OMB) Circular A-133 and *Government Auditing Standards* and Related Information

June 30, 2011

CONTENTS

Independent Auditors' Report on Compliance with Requirements That Could Have a Direct and Material Effect on Each Major Program and on Internal Control over Compliance and Schedule of Expenditures of Federal Awards in Accordance with OMB Circular A-133	1-3
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 <i>Government Auditing Standards</i>	4-5
Schedule of Current Year Findings and Questioned Costs	6-10
Schedule of Expenditures of Federal Awards	11-17
Notes to the Schedule of Expenditures of Federal Awards	18



Independent Auditors' Report on Compliance with Requirements That Could Have a Direct and Material Effect on Each Major Program and on Internal Control Over Compliance and Schedule of Expenditures of Federal Awards in Accordance with OMB Circular A-133

The Board of Governors for Higher Education
State of Rhode Island and Providence Plantations

Compliance

We have audited the University of Rhode Island's (a component unit of the State of Rhode Island and Providence Plantations) compliance with the types of compliance requirements described in the "U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement" that could have a direct and material effect on each of its major Federal programs for the year ended June 30, 2011. The University of Rhode Island's major Federal programs are identified in the Summary of Auditor's Results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts and grants applicable to each of its major Federal programs is the responsibility of the University of Rhode Island's management. Our responsibility is to express an opinion on the University of Rhode Island's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, "Audits of States, Local Governments, and Non-profit Organizations." Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on major Federal programs have occurred. An audit includes examining, on a test basis, evidence about the University of Rhode Island's compliance with those requirements and performing such other procedures, as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the University of Rhode Island's compliance with those requirements.

In our opinion, the University of Rhode Island complied, in all material respects, with the requirements referred to above that could have a direct and material effect on each of its major programs for the year ended June 30, 2011. However, the results of our auditing procedures disclosed one instance of noncompliance with those requirements, which are required to be reported in accordance with OMB Circular A-133 and which is described in the accompanying schedule of findings and questioned costs as item 2011-1.

Internal Control Over Compliance

Management of University of Rhode Island is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered University of Rhode Island's internal control over compliance with the requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the University of Rhode Island's internal control over compliance.

A deficiency in internal control over compliance 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, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance 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 deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above. However, we identified one deficiency in internal control over compliance that we consider to be a significant deficiency as described in the accompanying schedule of findings and questioned costs as item 2011-1. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Schedule of Expenditures of Federal Awards

We have audited the financial statements of the University of Rhode Island as of and for the year ended June 30, 2011, and have issued our report thereon dated September 30, 2011, which contained an unqualified opinion on those financial statements. Our audit was performed for the purpose of forming an opinion on the financial statements taken as a whole. The accompanying schedule of expenditures of Federal awards is presented for the purposes of additional analysis as required by U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying

accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the basic financial statements taken as a whole.

This report is intended solely for the information and use of the Board of Governors for Higher Education, management of the University of Rhode Island, the State of Rhode Island Auditor General's Office, Rhode Island Department of Administration, Federal awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

O'Connor & Drew, P.C.

Certified Public Accountants

November 30, 2011

(except for the Schedule of Federal Awards, which is dated September 30, 2011)



**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 Governors for Higher Education
State of Rhode Island and Providence Plantations

We have audited the financial statements of the University of Rhode Island (the "University") (a component unit of the State of Rhode Island and Providence Plantations) as of and for the year ended June 30, 2011, and have issued our report thereon dated September 30, 2011, which included a reference to the report of the other auditor who audited the discretely presented component unit. We conducted our audit 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. Other auditors audited the financial statements of the University of Rhode Island Foundation, as described in our report on the University's financial statements.

This report does not include the results of the other auditors' testing of controls over financial reporting or compliance and other matters that are reported on separately by those auditors.

Internal Control Over Financial Reporting

Management of the University is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the University's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing an opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over financial reporting.

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 misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such 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.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in the internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we considered to be material weaknesses, as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free of 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 audit 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*.

We noted certain matters that we reported to management of the University in a separate letter dated September 30, 2011.

This report is intended solely for the information and use of the Board of Governors for Higher Education and management of University of Rhode Island, the Rhode Island Auditor General, Rhode Island Department of Administration, and federal awarding agencies and pass-through entities, and is not intended to be, and should not be, used by anyone other than these specified parties.

O'Connell & Drew, P.C.

Certified Public Accountants

September 30, 2011

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Current Year Findings and Questioned Costs

June 30, 2011

Summary of Auditors' Results

Financial Statements

Type of auditors' report issued:	Unqualified
Internal control over financial reporting:	
• Material weakness(es) identified?	No
• Significant deficiency(ies) identified that are not considered to be material weaknesses?	None reported
Noncompliance material to the financial statements noted?	No

Federal Award

Internal control over major programs:	
• Material weakness(es) identified?	No
• Significant deficiency(ies) identified that are not considered to be material weaknesses?	Yes
Type of auditors' report issued on compliance For major programs:	Unqualified
Any audit findings disclosed that are required to be reported in accordance with section 510(a) of OMB Circular A-133?	Yes

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Current Year Findings and Questioned Costs - Continued

June 30, 2011

Major programs of University of Rhode Island include:

<u>Grantor/pass-through grantor/program title</u>	<u>CFDA Number</u>
Student Financial Assistance Cluster:	
Federal Supplemental Education Opportunity Grant Program	84.007
Federal Work Study Program	84.033
Federal Perkins Loan Program	84.038
Federal Pell Grant Program	84.063
Federal Direct Student Loans (Note 2)	84.268
Academic Competitiveness Grants	84.375
National Science and Mathematics Access to Retain Talent Grant	84.376
Health Professional Student Loan Program	93.342
Nursing Student Loan Program	93.364
Research and Development Cluster	Various

The dollar threshold to distinguish between Type A and Type B programs is \$17,000,000.

The University does not qualify as a low-risk auditee.

UNIVERSITY OF RHODE ISLAND

(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Current Year Findings and Questioned Costs - Continued

June 30, 2011

Finding number: 2011-1
Federal agency: U.S. Department of Health and Human Services
Programs: Research and Development Cluster
CFDA #'s: 93.701
Award year: 2011

Condition

Recipients who provide American Recovery and Reinvestment Act (ARRA) funds to subrecipients must provide the Federal award number, CFDA number, and amount of ARRA funds at the time of subaward and disbursement. Although the University provided the above required information to the subrecipients who received ARRA funds at the time of subaward, the University did not furnish that information at the time of disbursement for one of the subrecipients who received Recovery Act funds during fiscal year 2011. The total amount of the ARRA funds provided to the subrecipient during fiscal year 2011 was \$101,914.

Criteria

According to 2 C.F.R. Section 176.210(c):

Recipients agree to separately identify to each subrecipient, and document at the time of subaward and at the time of disbursement of funds, the Federal award number, CFDA number and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to subrecipients shall distinguish the subawards of incremental Recovery Act funds from regular subawards under the existing programs.

Cause/Effect

The cause of this condition has been attributed to the University not having a proper policy to ensure that the information is supplied to the subrecipients at the time of disbursement. As a result, the subrecipients did not receive the required information at the time of disbursement.

Recommendation

We recommend that management of the University implement policies and procedures to ensure that the proper information is supplied to subrecipients.

Questioned Costs

N/A

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Current Year Findings and Questioned Costs - Continued

June 30, 2011

Views of Responsible Officials

The University issues a separate subaward contract with a purchase order to subrecipients of ARRA funded projects. The contract outlines the required information: Federal award number, CFDA number and amount of Recovery Act funds. The subrecipient invoice is required to reference the subaward contract and purchase order number. The University accounts payable check stub references the vendor's invoice number and invoice amount.

In FY2011, the University implemented a procedure to manually send a separate remit with each ARRA award disbursement which included the required information: Federal award number, CFDA number and amount of Recovery Act funds. The University sent separate remit to the majority of ARRA subrecipients such as University and subrecipients paid by ACH. However, not all subrecipients received a separate remit with payment. In FY2012 for each ARRA subrecipients payment, URI will enter the required information in a description field in PeopleSoft which will print on the check stub.

Contact Person

Sharon Bell, Controller

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Current Year Findings and Questioned Costs - Continued

June 30, 2011

Previous Year Findings and Questioned Costs Relating to Federal Awards

Finding number:	2010-1
Federal agency:	U.S. Department of Health and Human Services
Programs:	Research and Development Cluster
CFDA #'s:	93.701
Award year:	2010

Auditor's current year comment

This finding was not corrected. See current year description of finding 2011-1.

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<u>Student Financial Assistance Cluster:</u>		
<i>U.S. Department of Education:</i>		
Federal Supplemental Educational Opportunity Grants	84.007	\$ 1,385,261
Federal Work-Study Program	84.033	823,614
Federal Perkins Loan Program-Federal Capital Contributions	84.038	607,574
Federal Pell Grant Program	84.063	16,347,415
Federal Direct Student Loans	84.268	103,543,565
Academic Competitiveness Grant	84.375	586,232
National Science and Mathematics Access to Retain Talent (SMART) Grants	84.376	195,818
Teacher Education Assistance for College and Higher Education (TEACH) Grants	84.379	24,000
<i>U.S. Department of Health and Human Services:</i>		
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students	93.342	285,000
Nursing Student Loans	93.364	<u>374,781</u>
Total Student Financial Assistance Cluster		<u>124,173,260</u>
<u>Research and Development Cluster:</u>		
<i>U.S. Department of Agriculture:</i>		
Department of Agriculture with No CFDA	10.000	47,079
Agricultural Research - Basic and Applied Research	10.001	8,077
Plant and Animal Disease, Pest Control, and Animal Care	10.025	19,238
Grants for Agricultural Research, Special Research Grants	10.200	343,190
Grants for Agricultural Research-Competitive Research Grants	10.206	318,933
Food and Agricultural Sciences National Needs Graduate Fellowship Grants	10.210	74,795
Integrated Programs	10.303	1,476,280
International Science and Education Grants	10.305	48,308
Agriculture and Food Research Initiative	10.310	255,465
Crop Insurance Education in Targeted States	10.458	151,591
Cooperative Extension Service	10.500	271,694
Forestry Research	10.652	21,616
Soil and Water Conservation	10.902	53,758
Soil Survey	10.903	33,334
Environmental Quality Incentives Program	10.912	64,741
<i>Formula Funds:</i>		
Payments to Agricultural Experiment Stations Under the Hatch Act	10.203	2,623,608
<i>Passed Through Subcontracts:</i>		
Grants for Agricultural Research - Competitive Research Grants	10.206	20,132
Sustainable Agricultural Research and Education	10.215	98,202
1890 Institution Capacity Building Grants	10.216	422
Integrated Programs	10.303	29,160
Homeland Security Agricultural	10.304	26,304
Agriculture and Food Research Initiative	10.310	28,643
Cooperative Extension Service	10.500	170,667
Soil and Water Conservation	10.902	(1,400)
<i>Passed Through Subcontracts, American Recovery and Reinvestment Act (ARRA):</i>		
Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF)	10.315	493
<i>Passed Through Other State Agencies:</i>		
Specialty Crop Block Grant Program	10.169	27,782
Grants for Agricultural Research, Special Research Grants	10.200	53,368
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program	10.561	<u>983,564</u>
Total U.S. Department of Agriculture		<u>7,249,044</u>

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<i>U.S. Department of Commerce:</i>		
Department of Commerce with No CFDA	11.000	372,399
Economic Development-Support for Planning Organizations	11.302	183,353
Sea Grant Support	11.417	2,654,325
Coastal Zone Management Estuarine Research Reserves	11.420	37,649
Fisheries Development / Utilization Research / Development Grants / Cooperative Agreements Program	11.427	98,059
Climate and Atmospheric Research	11.431	307,645
National Oceanic and Atmospheric Administration	11.432	32,639
Marine Fisheries Initiative	11.433	159,920
Cooperative Science and Education Program	11.455	7,636
Special Oceanic and Atmospheric Projects	11.460	30,169
Unallied Science Program	11.472	480,769
Center for Sponsored Coastal Ocean Research Coastal Ocean Program	11.478	352,814
Congressionally-Identified Projects	11.617	228,329
<i>American Recovery and Reinvestment Act (ARRA):</i>		
State Broadband Data and Development Grant Program	11.558	40,961
<i>Passed Through Subcontracts:</i>		
Department of Commerce with No CFDA	11.000	16,042
Economic Adjustment Assistance	11.307	13,051
Sea Grant Support	11.417	90,043
Coastal Zone Management Administrative Awards	11.419	46,052
Climate and Atmospheric Research	11.431	237,238
National Oceanic and Atmospheric Administration	11.432	28,557
Weather and Air Quality Research	11.459	115,396
Habitat Conservation	11.463	13,493
Meteorologic and Hydrologic Modernization Development	11.467	154,457
Unallied Science Program	11.472	74,208
Coastal Services Center	11.473	103,044
Center for Sponsored Coastal Ocean Research Coastal Ocean Program	11.478	245,844
<i>Passed Through Other State Agencies:</i>		
Sea Grant Support	11.417	48,786
Coastal Zone Management Estuarine Research Reserves	11.420	<u>3,603</u>
Total U.S. Department of Commerce		<u>6,176,481</u>
<i>U.S. Department of Defense:</i>		
Department of Defense with No CFDA	12.000	12,916
Basic and Applied Scientific Research	12.300	2,972,287
Military Medical Research and Development	12.420	169,767
Air Force Defense Research Sciences Program	12.800	678,004
<i>Passed Through Subcontracts:</i>		
Department of Defense with No CFDA	12.000	314,711
Basic and Applied Scientific Research	12.300	1,532,145
Military Medical Research and Development	12.420	25,263
Basic Scientific Research	12.431	256,310
Air Force Defense Research Sciences Program	12.800	287,758
<i>Passed Through Subcontracts, American Recovery and Reinvestment Act (ARRA):</i>		
Air Force Defense Research Sciences Program	12.800	<u>8,586</u>
Total U.S. Department of Defense		<u>6,257,747</u>

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<i>U.S. Department of Interior:</i>		
Department of Interior with No CFDA	15.000	840,531
Fish, Wildlife and Plant Conservation Resource Management	15.231	890
Fish and Wildlife Management Assistance	15.608	54,416
Coastal Program	15.630	34,832
Assistance to State Water Resources Research Institutes	15.805	94,343
U.S. Geological Survey-Research and Data Collection	15.808	38,919
Department of Interior National Park Service	15.944	159
Passed Through Subcontracts:		
Department of Interior with No CFDA	15.000	65,950
Coastal Impact Assistance Program	15.426	22,191
Passed Through Other State Agencies:		
State Wildlife Grants	15.634	<u>47,253</u>
Total U.S. Department of Interior		<u>1,199,484</u>
<i>U.S. Department of Justice:</i>		
Department of Justice with No CFDA	16.000	318,742
National Institute of Justice W.E.B. DuBois Fellowship Program	16.566	162,988
Public Safety Partnership and Community Policing Grants	16.710	104,799
Passed Through Subcontracts, American Recovery and Reinvestment Act (ARRA):		
Edward Byrne Memorial Justice Assistance Grant Program	16.738	36,171
Passed Through Other State Agencies:		
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	8,345
Paul Coverdell Forensic Sciences Improvement Grant Program	16.742	<u>20,872</u>
Total U.S. Department of Justice		<u>651,917</u>
<i>U.S. Department of State:</i>		
Passed Through Subcontracts:		
Professional and Cultural Exchange Programs-Citizen Exchanges	19.415	<u>24,862</u>
Total U.S. Department of State		<u>24,862</u>
<i>U.S. Department of Transportation:</i>		
Highway Research and Development Program	20.200	7,989
Highway Training and Education	20.215	8,092
University Transportation Centers	20.760	534,198
Passed Through Subcontracts:		
Highway Research and Development Program	20.200	45,273
Highway Planning and Construction	20.205	66,999
University Transportation Centers Program	20.701	105,609
University Transportation Centers	20.760	4,473
Passed Through Other State Agencies:		
Highway Research and Development Program	20.200	197,243
Highway Planning and Construction	20.205	52,033
Highway Training and Education	20.215	130,874
State Planning and Research	20.515	56,665
Minimum Penalties for Repeat Offenders for Driving While Intoxicated	20.608	<u>49,243</u>
Total U.S. Department of Transportation		<u>1,258,691</u>

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<i>National Aeronautics & Space Administration:</i>		
NASA with No CFDA	43.000	314,903
Aerospace Education Services Program	43.001	13,511
Technology Transfer	43.002	341,183
Passed Through Subcontracts:		
NASA with No CFDA	43.000	95,322
Aerospace Education Services Program	43.001	6,367
Technology Transfer	43.002	<u>27,996</u>
Total National Aeronautics & Space Administration		<u>799,282</u>
<i>National Endowment for the Humanities:</i>		
Passed Through Subcontracts:		
Promotion of the Humanities-Division of Preservation and Access	45.149	<u>(808)</u>
Total National Foundation on the Arts and the Humanities		<u>(808)</u>
<i>National Science Foundation:</i>		
National Science Foundation with No CFDA	47.000	194,351
Engineering Grants	47.041	733,401
Mathematical and Physical Sciences	47.049	116,579
Geosciences	47.050	6,828,580
Computer and Information Science and Engineering	47.070	167,768
Biological Sciences	47.074	363,743
Social, Behavioral, and Economic Sciences	47.075	63,266
Education and Human Resources	47.076	4,710,536
Polar Programs	47.078	296,637
International Science and Engineering (OISE)	47.079	318,129
American Recovery and Reinvestment Act (ARRA):		
Trans-NSF Recovery Act Research Support	47.082	2,986,521
Passed Through Subcontracts:		
Engineering Grants	47.041	53,459
Geosciences	47.050	672,885
Biological Sciences	47.074	32,913
Education and Human Resources	47.076	<u>203,649</u>
Total National Science Foundation		<u>17,742,417</u>
<i>U.S. Department of Veteran Affairs:</i>		
Veterans Rehabilitation-Alcohol and Drug Dependence	64.019	<u>30,421</u>
Total Department of Veteran Affairs		<u>30,421</u>
<i>Environmental Protection Agency:</i>		
Environmental Protection Agency with No CFDA	66.000	(1)
National Estuary Program	66.456	299,927
Great Lakes Program	66.469	60,674
Science To Achieve Results (STAR) Research Program	66.509	1,009
Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development	66.510	87,125
Science To Achieve Results	66.514	12,896
Pollution Prevention Grants Program	66.708	87,998
Passed Through Subcontracts:		
Environmental Protection Agency with No CFDA	66.000	101,451
Climate Showcase Communities Grant Program	66.041	51,040
Pollution Prevention Grants Program	66.708	6,764

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<i>Environmental Protection Agency (continued):</i>		
Passed Through Other State Agencies:		
Water Pollution Control State, Interstate, and Tribal Program Support	66.419	92,859
Beach Monitoring and Notification Program Implementation Grants	66.472	34,638
Environmental Policy and State Innovation Grants	66.940	<u>15,080</u>
Total Environmental Protection Agency		<u>851,460</u>
<i>U.S. Nuclear Regulatory Commission:</i>		
U.S. Nuclear Regulatory Commission Nuclear Education Grant Program	77.006	110,402
U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program	77.008	<u>32,500</u>
Total U.S. Nuclear Regulatory Commission		<u>142,902</u>
<i>U.S. Department of Energy:</i>		
Office Science Financial Assistance Programs	81.049	351,079
Defense Nuclear Nonproliferation Research	81.113	192,530
Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance	81.117	659,213
Passed Through Subcontracts:		
US Department of Energy with No CFDA	81.000	127,422
Renewable Energy Research and Development	81.087	207,363
National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program	81.123	76,666
Passed Through Subcontracts, American Recovery and Reinvestment Act (ARRA):		
State Energy Program	81.041	1,329,522
Renewable Energy Research and Development	81.087	<u>22,620</u>
Total U.S. Department of Energy		<u>2,966,415</u>
<i>U.S. Department of Education:</i>		
Undergraduate International Studies and Foreign Language Programs	84.016	103,661
Safe and Drug-Free Schools and Communities - National Programs	84.184	92,138
Education Technology State Grants	84.318	368,991
Teacher Quality Partnership Grants	84.336	1,024,662
Passed Through Subcontracts:		
Magnet Schools Assistance	84.165	11,811
Education Research, Development and Dissemination	84.305	30,796
Passed Through Subcontracts, American Recovery and Reinvestment Act (ARRA):		
Educational Technology State Grants	84.318	82,144
State Fiscal Stabilization Fund	84.394	3,662,906
Passed Through Other State Agencies:		
Special Education - Grants to States	84.027	88,222
Special Education-Grants for Infants and Families	84.181	<u>82,431</u>
Total U.S. Department of Education		<u>5,547,762</u>

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<i>U.S. Department of Health and Human Services:</i>		
Department of Health and Human Services with No CFDA	93.000	1,437
Environmental Health	93.113	556,449
Biometry and Risk Estimation	93.115	15,512
NIEHS Superfund Hazardous Substances Basic Research and Education	93.143	197,653
Mental Health Research Grants	93.242	78,526
Alcohol National Research Service Award	93.272	28,043
Drug Abuse and Addiction Research Programs	93.279	2,583,766
Advanced Education Nursing Traineeships	93.358	38,705
Nursing Research	93.361	901,199
National Center for Research Resources	93.389	4,461,287
Academic Res Enhancement Award	93.390	7,491
Cancer Cause and Prevention Research	93.393	673,823
Cancer Detection and Diagnosis Research	93.394	982,022
Cancer Biology Research	93.396	306,453
Developmental Disabilities Basic Support and Advocacy Grants	93.630	461,619
Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities	93.768	522,578
Cardiovascular Diseases Research	93.837	192,994
Blood Diseases and Resources Research	93.839	28,455
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	285,948
Allergy, Immunology and Transplantation Research	93.855	2,753,401
Biomedical Research and Research Training	93.859	193,340
Child Health and Human Development Extramural Research	93.865	58,830
Health Care and Other Facilities	93.887	359,661
Geriatric Education Centers	93.969	442,138
<i>American Recovery and Reinvestment Act (ARRA):</i>		
Trans-NIH Recovery Act Research Support	93.701	1,649,093
Allergy, Immunology and Transplantation Research	93.855	35,894
<i>Passed Through Subcontracts:</i>		
Area Health Education Centers Point of Service Maintenance and Enhancement Awards	93.107	257,835
Oral Diseases and Disorders Research	93.121	29,498
Human Genome Research	93.172	9,317
Research on Healthcare Costs, Quality and Outcomes	93.226	16,492
Alcohol Research Programs	93.273	676
Drug Abuse and Addiction Research Programs	93.279	128,856
Cancer Detection and Diagnosis Research	93.394	83,118
Cardiovascular Diseases Research	93.837	153,483
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	124,804
Allergy, Immunology and Transplantation Research	93.855	171,447
Biomedical Research and Research Training	93.859	17,162
Child Health and Human Development Extramural Research	93.865	19,795
Aging Research	93.866	11,483
<i>Passed Through Subcontracts, American Recovery and Reinvestment Act (ARRA):</i>		
Trans-NIH Recovery Act Research Support	93.701	147,796
<i>Passed Through Other State Agencies:</i>		
Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services	93.043	39,972
Substance Abuse and Mental Health Services Projects of Regional and National Significance	93.243	59,983
Family Support Payments to States-Assistance Payments	93.560	<u>(1,802)</u>
Total U.S. Department of Health and Human Services		<u>19,086,232</u>

University of Rhode Island
(A Component Unit of the State of Rhode Island and Providence Plantations)

Schedule of Expenditures of Federal Awards
Year ended June 30, 2011

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>CFDA Number</u>	<u>Federal Expenditures</u>
<i>Corporation for National and Community Service:</i>		
Passed Through Other State Agencies:		
AmeriCorps	94.006	<u>95,877</u>
Total Corporation for National and Community Service		<u>95,877</u>
<i>Department of Homeland Security:</i>		
Centers for Homeland Security	97.061	1,562,660
Homeland Security Advanced Research Projects Agency	97.065	59,037
Homeland Security Grant Program	97.067	47,034
Competitive Training Grants	97.068	221,109
Passed Through Subcontracts:		
Centers for Homeland Security	97.061	100,717
Homeland Security Advanced Research Projects Agency	97.065	(122)
Passed Through Other State Agencies:		
Homeland Security Grant Program	97.067	<u>4,974</u>
Total U.S. Department of Homeland Security		<u>1,995,409</u>
<i>Agency for International Development:</i>		
Agency for International Development with No CFDA	98.000	259,777
USAID Foreign Assistance for Programs Overseas	98.001	5,626,185
Passed Through Subcontracts:		
USAID Foreign Assistance for Programs Overseas	98.001	<u>341,157</u>
Total Agency for International Development		<u>6,227,119</u>
Total Research and Development Cluster		<u>78,302,714</u>
Total Expenditures of Federal Awards		<u>\$ 202,475,974</u>

See accompanying notes to schedule of expenditure of Federal awards.

UNIVERSITY OF RHODE ISLAND
(a Component Unit of the State of Rhode Island and Providence Plantations)

Notes to the Schedule of Expenditures of Federal Awards

June 30, 2011

Note 1 - **Basis of Presentation**

The accompanying schedule of expenditures of federal awards (the "Schedule") includes the federal grant activities of University of Rhode Island (the "University") (a component unit of the State of Rhode Island and Providence Plantations) and is presented on the accrual basis of accounting.

For purposes of the Schedule, federal awards include all grants, contracts, and similar agreements entered into directly between the University, agencies, departments of the federal government, and all subawards to the University by nonfederal organizations pursuant to federal grants, contracts, and similar agreements.

Note 2 - **Federal Direct Student Loans Program**

The University disbursed \$103,543,565 of loans under the Federal Direct Student Loans program which includes Stafford Subsidized and Unsubsidized Loans and Parents' Loans. It is not practical to determine the balances of loans outstanding to students of the University under this program as of June 30, 2011. The University is responsible for the performance of certain administrative duties and, accordingly, these loans are not included in the University's financial statements.

Note 3 - **Federal Perkins, Health Professional Student and Nursing Student Loan Programs**

During the year ended June 30, 2011, \$607,574 in loans were advanced under the Federal Perkins Loan Program, \$285,000, in loans were advanced under the Health Professional Student Loan Program and \$374,781 were advanced under the Nursing Loan Program. As of June 30, 2011 loan balances receivable under the Perkins, Health Professional Student and Nursing Loan Programs were \$9,781,563, \$1,863,868 and \$1,474,759, respectively.

Appendix C

Auditor's Management Letter: not available

Appendix D

Interim Report Forms with required attachments:

Mission Statement
Organizational Chart

INTERIM REPORT FORMS GENERAL INFORMATION

Institution Name: University of Rhode Island

OPE ID: ? 003414-00

		Annual Audit	
		Certified:	
		Yes/No	Qualified Unqualified
Financial Results for Year Ending:	? 06/30		
Most Recent Year	? 2011	Yes	Unqualified
1 Year Prior	2010	Yes	Unqualified
2 Years Prior	2009	Yes	Unqualified

Fiscal Year Ends on: 06/30 (month/day)

Budget / Plans

Current Year	2012
Next Year	2013

Contact Person: ? Gary Boden

Title: Senior Information Technologist

Telephone No: 401-874-4465

E-mail address: gboden@uri.edu

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	URL	Date Approved by the Governing Board
Institutional Mission Statement	http://www.uri.edu/home/about/mission.htm	01/23/2006

1.1

Standard 2: Planning and Evaluation

PLANS	Year of Completion		Effective Dates	URL
	?	?		
Strategic Plans				
Current Strategic Plan	2009	?	2010-2015	http://www.uri.edu/provost/planning/planningadditionalinfo.html
Next Strategic Plan	?	?		link to draft, if available
Other institution-wide plans				
Master plan	?	?		http://www.uri.edu/provost/planning/planningadditionalinfo.html
Academic plan	2009	?	2010-2015	http://www.uri.edu/provost/document/s/academic_plan_handbook.pdf
Financial plan	2011	?	2012-2014	http://www.uri.edu/administration/Documents/2012-2014StrategicPlanAdministrationandFinance.pdf
Technology plan	?	?		http://www.uri.edu/provost/document/s/Information_Technology_Services_strategic_plan.pdf
Enrollment plan	2010	?	2010-2015	
Development plan	?	?		
<i>(Add rows for additional institution-wide plans, as needed.)</i>				

EVALUATION

Academic program review

Program review system (colleges and departments). System last updated:	2012	URL
Program review schedule (e.g. every 5 years)		http://www.uri.edu/facsen/CHAPTE_R_509.html
	Every 6 years with annual and biennial data collection	

2.1

Standard 3: Organization and Governance

Please attach to this form:

- 1) A copy of the institution's organization chart(s).
<http://www.uri.edu/budget/assets/FY11%20Allocation%20-%20Org%20Chart.pdf>

If there is a "related 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 related entity

URL of documentation of relationship

RI Board of Governors for Higher Education
http://www.ribghe.org

Governing Board

By-laws

Board members' names and affiliations

URL
http://www.ribghe.org/polman.htm
http://www.ribghe.org/members.htm

3.1

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

Campuses, Branches, Locations, and Modalities Currently in Operation (See definitions, below)

(Insert additional rows as appropriate.)

	City	State or Country	Date Initiated	Enrollment*
<input checked="" type="checkbox"/> Main campus	Kingston	RI	1892	19,257
<input checked="" type="checkbox"/> Other principal campuses				
<input checked="" type="checkbox"/> Branch campuses				
<input checked="" type="checkbox"/> Other instructional locations	Providence	RI	1942	--
	Narragansett	RI	1961	--

Distance Learning, e-learning	Date Initiated	Enrollment*
First on-line course	2007	3354
First program 50% or more on-line	2007	*digital forensics Graduate certificate in digital forensics
First program 100% on-line	2007	Graduate certificate in digital forensics

<input checked="" type="checkbox"/> Distance Learning, other Modality	Date Initiated	Enrollment*
n/a		

<input checked="" type="checkbox"/> Correspondence Education	Date Initiated	Enrollment*
n/a		

<input type="checkbox"/> Low-Residency Programs Program Name	Date Initiated	Enrollment*
n/a		

Definitions

Main campus: primary campus, including the principal office of the chief executive officer.

Other principal campus: a campus away from the main campus that either houses a portion or portions of the institution's academic program (e.g., the medical school) or a permanent location offering 100% of the degree requirements of one or more of the academic programs offered on the main campus and otherwise meets the definition of the branch campus (below).

Branch campus (federal definition): a location of an institution that is geographically apart and independent of the main campus which meets all of the following criteria: a) offers 50% or more of an academic program leading to a degree, certificate, or other recognized credential, or at which a degree may be completed; b) is permanent in nature; c) has its own faculty and administrative or supervisory organization; d) has its own budgetary and hiring authority.

Instructional location: a location away from the main campus where 50% or more of a degree or Title-IV eligible certificate can be completed.

Distance Learning, e-learning: A degree or Title-IV eligible certificate for which 50% or more of the courses can be completed entirely on-line.

Distance Learning, other: A degree or Title IV certificate in which 50% or more of the courses can be completed entirely through a distance learning modality other than e-learning.

Correspondence Education (federal definition): Education provided through one or more courses by an institution under which the institution provides instructional materials, by mail or electronic transmission, including examinations on the materials, to students who are separated from the instructor. Interaction between the instructor and the student is limited, is not regular and substantive, and is primarily initiated by the student. Correspondence courses are typically self-paced. Correspondence education is not distance education.

* Report here the annual unduplicated headcount for the most recently completed year.

1. Unduplicated headcount for Summer 2011, Fall 2011, and Spring 2012 terms.
2. University data systems do not attach students to a campus.

**Standard 4: The Academic Program
(Summary - 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 FTE
Main Campus FTE	0	12,233	1,094	780	20	0	443	14,570
Other Campus FTE								0
Branches FTE								0
Other Locations FTE								0
Overseas Locations FTE								0
On-Line FTE								0
Correspondence FTE								0
Low-Residency Programs FTE								0
Total FTE	0	12,233	1,094	780	20	0	443	14,570
Unduplicated Headcount Total	0	13,093	1,316	747	50	0	513	15,719
Degrees Awarded, Most Recent Year	0	2,614	577	104	8	0	117	3,420

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

Student Type/ Location & Modality	Non-Matriculated Students	Visiting Students	Title IV-Eligible Certificates: Students Seeking Certificates
Main Campus FTE			
Other Campus FTE			
Branches FTE			
Other Locations FTE			
Overscas Locations FTE			
On-Line FTE			
Correspondence FTE			
Low-Residency Programs FTE			
Total FTE	216	40	
Unduplicated Headcount			
Total	694	44	
Certificates Awarded, Most Recent Year	n.a.	n.a.	

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.

Additional Notes:

Current year data as of October 15, 2011 for fall enrollment.
 FTE is defined as enrolled credits divided by standard full-time load (15 credits for Bachelor's, Certificate, Clinical Doctorates, Non-degree, and Visiting; 9 credits for Master's and Doctorate).
 Degree awarded for academic Year 2011-12 combine conferrals from Aug and Dec 2011 and May 2012.
 Number includes dual degrees and is not a headcount.
 Awarded certificates are not currently tracked in the central data system.

Standard 4: The Academic Program
Headcount by UNDERGRADUATE Program Type

	3 Years Prior (FY 2009)	2 Years Prior (FY2010)	1 Year Prior (FY 2011)	Current Year* (FY 2012)	Next Year Forward (goal) (FY 2013)
For Fall Term, as of Census Date Certificate	0	0	0	0	0
Associate	0	0	0	0	0
Baccalaureate	12,701	13,128	12,942	13,093	13,117
Total Undergraduate	12,701	13,128	12,942	13,093	13,117

4.2

Standard 4: The Academic Program
Headcount by GRADUATE Program Type

	3 Years Prior (FY 2009)	2 Years Prior (FY2010)	1 Year Prior (FY 2011)	Current Year* (FY 2012)	Next Year Forward (goal) (FY 2013)
For Fall Term, as of Census Date					
Master's	1,258	1,292	1,378	1,316	1,350
Doctorate	633	637	654	650	650
Doctorate - Professional Practice	576	603	629	660	672
Other (Post-baccalaureate Certificate)	90	93	110	105	105
Total Graduate	2,557	2,625	2,771	2,731	2,777

4.3

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



	3 Years Prior (FY 2009)	2 Years Prior (FY2010)	1 Year Prior (FY 2011)	Current Year* (FY 2012)	Next Year Forward (goal) (FY 2013)
Undergraduate	179,191	190,074	188,929	190,485	190,834
Graduate	17,603	18,379	19,125	18,580	18,893

*"Current Year" refers to the year in which the interim report is submitted to the Commission.

4.4

Additional Notes:

All data as of October 15th each year.

Credit data represent only the fall semester of each academic year.

**Standard 5: Faculty
(Rank, Fall Term)¹**

?

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year*		Next Year Forward (goal)	
	(FY 2009)		(FY 2010)		(FY 2011)		(FY 2012)		(FY 2013)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Number of Faculty										
Professor	327	8	330	10	318	10	307	9	310	9
Associate	141	1	153	2	159	-	166	1	165	-
Assistant	145	-	131	-	125	-	128	-	140	-
Instructor	78	-	82	-	94	-	101	-	100	-
Other	-	99	-	111	-	108	-	107	-	105
Total	691	108	696	123	696	118	702	117	715	114

5.1

(Appointments, Tenure, Departures, and Retirements, Full Academic Year)

	3 Years Prior		2 Years Prior		1 Year Prior		Current Year		Next Year Forward (goal)	
	(FY 2009)		(FY 2010)		(FY 2011)		(FY 2012)		(FY 2013)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
# of Faculty Appointed	44	115	28	104	34	107	51	105	20	105
# of Faculty in Tenured Positions	442	9	456	12	451	10	439	10	454	9
# of Faculty Departing	49	69	15	115	16	104	22	107	20	105
# of Faculty Retiring	40	0	5	0	20	0	16	0	2	0

*"Current Year" refers to the year in which the interim report is submitted to the Commission.

5.3

Additional Notes:

1. Data are for full year.
2. Part-time faculty are reported as FTEs where one FTE represents the equivalent of teaching eight course sections (in 3-credit courses) per year.

**Standard 6: Students
(Admissions, Fall Term)**

P

Credit Seeking Students Only - Including Continuing Education

	3 Years Prior (FY 2009)	2 Years Prior (FY 2010)	1 Year Prior (FY 2011)	Current Year* (FY 2012)	Next Year Forward (goal) (FY 2013)
Freshmen - Undergraduate					
Completed Applications	15,926	16,168	19,460	20,027	20,626
Applications Accepted	12,994	13,484	15,299	15,426	16,070
Applicants Enrolled	3,128	3,087	2,863	3,103	3,065
% Accepted of Applied	81.6%	83.4%	78.6%	77.0%	77.9%
% Enrolled of Accepted	24.1%	22.9%	18.7%	20.1%	19.1%
Percent Change Year over Year					
Completed Applications	-	1.5%	20.4%	2.9%	3.0%
Applications Accepted	-	3.8%	13.5%	0.8%	4.2%
Applicants Enrolled	-	-1.3%	-7.3%	8.4%	-1.2%
Average of Statistical Indicator of Aptitude of Enrollees: (Define Below)					
SAT Critical Reading + Mathematics	1077	1078	1072	1087	1085
Transfers - Undergraduate					
Completed Applications	1,514	1,653	1,407	1,661	1,301
Applications Accepted	976	1,224	887	865	775
Applications Enrolled	518	627	618	433	500
% Accepted of Applied	64.5%	74.0%	63.0%	52.1%	59.6%
% Enrolled of Accepted	53.1%	51.2%	69.7%	50.1%	64.5%
Master's Degree					
Completed Applications	1,145	1,150	1,484	1,467	1,519
Applications Accepted	595	652	687	643	685
Applications Enrolled	372	409	456	408	482
% Accepted of Applied	52.0%	56.7%	46.3%	43.8%	45.1%
% Enrolled of Accepted	62.5%	62.7%	66.4%	63.5%	70.4%
First Professional Degree - All Programs					
Completed Applications	1,153	950	1,136	1,131	1,087
Applications Accepted	195	292	263	290	315
Applications Enrolled	86	130	96	131	139
% Accepted of Applied	16.9%	30.7%	23.2%	25.6%	29.0%
% Enrolled of Accepted	44.1%	44.5%	36.5%	45.2%	44.1%
Doctoral Degree					
Completed Applications	795	786	889	914	940
Applications Accepted	199	204	207	199	234
Applications Enrolled	92	89	100	85	146
% Accepted of Applied	25.0%	26.0%	23.3%	21.8%	24.9%
% Enrolled of Accepted	46.2%	43.6%	48.3%	42.7%	62.4%

*"Current Year" refers to the year in which the interim report is submitted to the Commission.

Additional Notes:

1. Applicants enrolled are both full-time and part-time as of October 15th (line 12).
2. SAT composite scores exclude students accepted into Special Programs for Talent Development (line 22).
With SPTD students included scores are 1044 for FY09, 1046 for FY10, 1044 for FY11, and 1061 for FY12.
3. First Professional Degree (line 38) now is classified as Doctoral Degree - Professional Practice (Pharmacy PMD), but historically have been admitted like undergraduates and are included here in the Freshmen data (lines 10 - 12) as well as being shown separately in lines 38-43.
4. Applicant data for FY2013 is as of July 9, 2012 and show with enrollment goals for the fall term.

**Standard 6: Students
(Enrollment, Fall Census Date)**

P

Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior (FY 2009)	2 Years Prior (FY 2010)	1 Year Prior (FY 2011)	Current Year* (FY 2012)	Next Year Forward (goal) (FY 2013)
UNDERGRADUATE						
First Year	Full-Time Headcount	P 4,008	4,060	3,771	3,957	3,960
	Part-Time Headcount	P 169	158	131	153	150
	Total Headcount	4,177	4,218	3,902	4,110	4,110
	Total FTE	P 4,070.1	4,174.5	3,877.7	4,123.2	4,000.0
Second Year	Full-Time Headcount	2,892	2,813	2,913	2,768	2,850
	Part-Time Headcount	233	214	232	187	190
	Total Headcount	3,125	3,027	3,145	2,955	3,040
	Total FTE	2,920.1	2,856.1	2,989.6	2,848.9	2,980.0
Third Year	Full-Time Headcount	2,364	2,615	2,539	2,727	2,690
	Part-Time Headcount	340	306	306	328	320
	Total Headcount	2,704	2,921	2,845	3,055	3,010
	Total FTE	2,487.2	2,739.5	2,666.9	2,873.3	2,850.0
Fourth Year	Full-Time Headcount	2,040	2,355	2,370	2,284	2,280
	Part-Time Headcount	654	607	680	689	670
	Total Headcount	2,694	2,962	3,050	2,973	2,950
	Total FTE	2,260.9	2,565.1	2,613.9	2,517.7	2,561.0
Unclassified	Full-Time Headcount	P 88	92	87	86	87
	Part-Time Headcount	233	241	227	281	270
	Total Headcount	321	333	314	367	357
	Total FTE	138.4	137.8	143.4	146.0	145.0
Total Undergraduate Students						
	Full-Time Headcount	11,392	11,935	11,680	11,822	11,867
	Part-Time Headcount	1,629	1,526	1,576	1,638	1,600
	Total Headcount	13,021	13,461	13,256	13,460	13,467
	Total FTE	11,876.7	12,473.0	12,291.5	12,509.1	12,510.0
	% Change FTE Undergraduate	na	5.0%	-1.5%	1.8%	0.0%
GRADUATE						
	Full-Time Headcount	P 1,584	1,663	1,782	1,799	1,887
	Part-Time Headcount	P 1,528	1,501	1,424	1,303	1,135
	Total Headcount	3,112	3,164	3,206	3,102	3,022
	Total FTE	P 2,428.6	2,563.0	2,715.9	2,656.0	2,470.0
	% Change FTE Graduate	na	5.5%	6.0%	-2.2%	-7.0%
GRAND TOTAL						
	Grand Total Headcount	16,133	16,625	16,462	16,562	16,489
	Grand Total FTE	14,305.3	15,036.0	15,007.4	15,165.1	14,980.0
	% Change Grand Total FTE	na	5.1%	-0.2%	1.1%	-1.2%

*"Current Year" refers to the year in which the interim report is submitted to the Commission.

Additional Notes:

1. Graduate includes Pharmacy-PMD and post-baccalaureate certificate and non-degree students.
2. Undergraduate FTE equals total enrolled credits divided by 15; Graduate FTE equals total enrolled credits divided by 9 except for Pharmacy-PMD credits which are divided by 15.
3. All data as of October 15th each year.

**Standard 6: Students
(Financial Aid, Debt, and Developmental Courses)**

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

<http://www.uri.edu/admission/>

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Budget*	Next Year Forward (goal)
(FY 2009)	(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)

? Student Financial Aid

Total Federal Aid	\$53,891	\$69,389	\$71,268	\$70,437	\$70,500
Grants	\$10,087	\$14,618	\$16,521	\$16,058	16,000
Loans	\$42,427	\$52,928	\$53,198	\$52,868	52,900
Work Study	\$1,377	\$1,843	\$1,549	\$1,511	1,520
Total State Aid	\$2,897	\$2,920	\$3,115	\$2,487	2,300
Total Institutional Aid	\$41,273	\$45,208	\$53,746	\$60,351	\$67,200
Grants	\$41,231	\$45,189	\$53,707	\$60,341	67,000
Loans	\$42	\$19	\$39	\$10	200
Total Private Aid	\$28,514	\$20,546	\$18,276	\$18,607	\$18,900
Grants	\$2,669	\$2,841	\$3,046	\$3,089	3,100
Loans	\$25,845	\$17,705	\$15,230	\$15,518	15,800
Parent Loans	\$27,388	\$40,070	\$40,046	\$34,080	

Student Debt

Percent of students graduating with debt**

Undergraduates	73%	73%	73%	n/a	n/a
Graduates	n/a	n/a	n/a	n/a	n/a

For students with debt:

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

Undergraduates	\$22,750	\$22,750	\$25,973	n/a	n/a
Graduates	n/a	n/a	n/a	n/a	n/a

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

Undergraduates	n/a	n/a	n/a	n/a	n/a
Graduate Students	n/a	n/a	n/a	n/a	n/a

Cohort Default Rate

	4%	n/a	n/a	n/a	n/a
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Percent of First-year students in Developmental Courses***

English as a Second/Other Language					
English (reading, writing, communication skills)					
Math	3.2%	3.3%	2.2%	2.4%	2.4%
Other					

**"Current Budget" refers to the year in which the interim report is submitted to the Commission.

**All students who graduated should be included in this calculation.

*** Courses for which no credit toward a degree is granted.

Additional Notes:

1. Student financial aid for all undergraduates.
2. Federal loan aid does not include Parent Loans (line 13).
3. Student debt data (lines 25 - 36) are available only for students who began as first-time undergraduates.
4. Default rate data source: Federal Student Aid Programs website <http://www2.ed.gov/offices/OSFAP/defaultmanagement/cdr.htm>
5. MTH010 and MTH099 enrollments (line 41).

Standard 9: Financial Resources
(Statement of Financial Position/Statement of Net Assets)

FISCAL YEAR ENDS month & day: (06/30)		Restated	1 Year Prior	Most Recent Year	Percent Change	
		Years Prior (FY 2009)	(FY 2010)		yrs-1 yr prior	1 yr-most recent
ASSETS						
	CASH AND SHORT TERM INVESTMENTS	\$69,574,823	\$86,969,205	\$88,822,406	25.0%	2.1%
	CASH HELD BY STATE TREASURER	\$1,569,220	\$1,272,564	\$1,740,753	-18.9%	36.8%
	DEPOSITS HELD BY STATE TREASURER	\$0	\$0	\$0	-	-
	ACCOUNTS RECEIVABLE, NET	\$25,043,609	\$27,168,663	\$31,623,511	8.5%	16.4%
	CONTRIBUTIONS RECEIVABLE, NET	\$0	\$0	\$0	-	-
	INVENTORY AND PREPAID EXPENSES	\$3,383,797	\$2,485,547	\$3,307,937	-26.5%	33.1%
	LONG-TERM INVESTMENTS	\$0	\$0	\$0	-	-
	LOANS TO STUDENTS	\$13,379,303	\$13,431,270	\$13,375,477	0.4%	-0.4%
	FUNDS HELD UNDER BOND AGREEMENT	\$31,535,935	\$83,330,567	\$74,901,145	164.2%	-10.1%
	PROPERTY, PLANT AND EQUIPMENT, NET	\$449,149,410	\$464,451,067	\$497,606,240	3.4%	7.1%
	OTHER ASSETS	\$9,500,927	\$9,428,587	\$8,876,347	-0.8%	-5.9%
	TOTAL ASSETS	\$603,137,024	\$688,537,470	\$720,253,816	14.2%	4.6%
LIABILITIES						
	ACCOUNTS PAYABLE AND ACCRUED LIABILITIES	\$28,583,218	\$26,652,725	\$26,383,823	-6.8%	-1.0%
	DEFERRED REVENUE & REFUNDABLE ADVANCES	\$12,891,835	\$14,806,008	\$15,266,518	14.8%	3.1%
	DUE TO STATE	\$1,065,470	\$2,217,612	\$0	108.1%	-100.0%
	DUE TO AFFILIATES	\$0	\$0	\$0	-	-
	ANNUITY AND LIFE INCOME OBLIGATIONS	\$0	\$0	\$0	-	-
	AMOUNTS HELD ON BEHALF OF OTHERS	\$1,026,205	\$1,656,533	\$844,738	61.4%	-49.0%
	LONG TERM DEBT	\$220,775,178	\$271,568,627	\$263,849,560	23.0%	-2.8%
	REFUNDABLE GOVERNMENT ADVANCES	\$11,905,468	\$11,974,010	\$12,043,235	0.6%	0.6%
	OTHER LONG-TERM LIABILITIES	\$18,322,253	\$20,492,279	\$19,395,411	11.8%	-5.4%
	TOTAL LIABILITIES	\$294,569,627	\$349,367,794	\$337,783,285	18.6%	-3.3%
NET ASSETS						
UNRESTRICTED NET ASSETS						
	INSTITUTIONAL	\$37,146,694	\$48,945,199	\$67,455,820	31.8%	37.8%
	FOUNDATION				-	-
	TOTAL	\$37,146,694	\$48,945,199	\$67,455,820	31.8%	37.8%
TEMPORARILY RESTRICTED NET ASSETS						
	INSTITUTIONAL	\$266,694,628	\$285,814,792	\$310,959,608	7.2%	8.8%
	FOUNDATION				-	-
	TOTAL	\$266,694,628	\$285,814,792	\$310,959,608	7.2%	8.8%
PERMANENTLY RESTRICTED NET ASSETS						
	INSTITUTIONAL	\$4,726,075	\$4,409,685	\$4,055,103	-6.7%	-8.0%
	FOUNDATION				-	-
	TOTAL	\$4,726,075	\$4,409,685	\$4,055,103	-6.7%	-8.0%
	TOTAL NET ASSETS	\$308,567,397	\$339,169,676	\$382,470,531	9.9%	12.8%
	TOTAL LIABILITIES AND NET ASSETS	\$603,137,024	\$688,537,470	\$720,253,816	14.2%	4.6%

Standard 9: Financial Resources
(Statement of Revenues and Expenses)

FISCAL YEAR ENDS month & day: (06/30)		Restated Years Prior (FY2009)	3 2 Years Prior (FY2010)	Most Recently Completed Year (FY 2011)	Current Budget* (FY 2012)	Next Year Forward (FY 2013)
OPERATING REVENUES						
P	TUITION & FEES	\$205,232,428	\$222,080,112	\$232,624,551		
P	ROOM AND BOARD	\$58,562,267	\$61,907,510	\$65,338,595		
P	LESS: FINANCIAL AID	(\$49,205,565)	(\$57,414,173)	(\$63,010,039)		
	NET STUDENT FEES	\$214,589,130	\$226,573,449	\$234,953,107	\$0	\$0
P	GOVERNMENT GRANTS & CONTRACTS	\$80,899,598	\$97,242,311	\$107,316,122		
P	PRIVATE GIFTS, GRANTS & CONTRACTS					
P	OTHER AUXILIARY ENTERPRISES	\$24,506,889	\$23,820,232	\$25,137,887		
	ENDOWMENT INCOME USED IN OPERATIONS	\$8,375,009	\$6,811,860	\$7,436,104		
P	OTHER REVENUE (specify):	\$19,492,673	\$22,275,308	\$21,509,492		
	OTHER REVENUE (specify):					
	NET ASSETS RELEASED FROM RESTRICTIONS					
	TOTAL OPERATING REVENUES	\$347,863,299	\$376,723,160	\$396,352,712	\$0	\$0
OPERATING EXPENSES						
P	INSTRUCTION	\$95,711,496	\$99,672,098	\$100,458,281		
P	RESEARCH	\$65,013,694	\$74,605,002	\$77,112,974		
P	PUBLIC SERVICE	\$6,904,056	\$6,909,772	\$7,660,305		
P	ACADEMIC SUPPORT	\$35,081,587	\$36,194,546	\$39,316,486		
P	STUDENT SERVICES	\$25,625,021	\$25,796,085	\$27,198,873		
P	INSTITUTIONAL SUPPORT	\$41,702,952	\$44,024,225	\$43,410,183		
	FUNDRAISING AND ALUMNI RELATIONS					
P	OPERATION, MAINTENANCE OF PLANT (if not allocated)	\$33,800,454	\$34,068,135	\$34,425,970		
P	SCHOLARSHIPS & FELLOWSHIPS (Cash refunded by public institutions)	\$12,720,947	\$13,733,146	\$22,111,643		
P	AUXILIARY ENTERPRISES	\$62,754,938	\$61,518,315	\$62,898,767		
P	DEPRECIATION (if not allocated)	\$21,115,299	\$22,607,253	\$23,366,089		
P	OTHER EXPENSES (specify):					
	OTHER EXPENSES (specify):					
	TOTAL OPERATING EXPENDITURES	\$400,430,444	\$419,128,577	\$437,959,571	\$0	\$0
	CHANGE IN NET ASSETS FROM OPERATIONS	(\$52,567,145)	(\$42,405,417)	(\$41,606,859)	\$0	\$0
NON OPERATING REVENUES						
P	STATE APPROPRIATIONS (NET)	\$62,319,257	\$56,784,303	\$56,618,919		
P	INVESTMENT RETURN	\$1,348,031	\$510,449	\$492,897		
P	INTEREST EXPENSE (public institutions)	(\$8,936,396)	(\$8,771,678)	(\$8,559,269)		
	GIFTS, BEQUESTS & CONTRIBUTIONS NOT USED IN OPERATIONS	\$2,084,620	\$1,480,206	\$1,198,990		
P	OTHER (specify):			\$4,095,553		
	OTHER (specify):					
	OTHER (specify):					
	NET NON OPERATING REVENUES	\$56,815,512	\$50,003,280	\$53,847,090	\$0	\$0
	INCOME BEFORE OTHER REVENUES EXPENSES, GAINS, OR LOSSES	\$4,248,367	\$7,597,863	\$12,240,231	\$0	\$0
P	CAPITAL APPROPRIATIONS (public institutions)	\$42,524,913	\$23,004,416	\$31,060,624		
P	OTHER					
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$46,773,280	\$30,602,279	\$43,300,855	\$0	\$0

*"Current Budget" refers to the year in which the interim report is submitted to the Commission.
July, 2011

**Standard 9: Financial Resources
(Statement of Debt)**

FISCAL YEAR ENDS month & day (/)	Restated Years Prior (FY2009)	3 2 Years Prior (FY2010)	Most Recently Completed Year (FY 2011)	Current Budget* (FY 2012)	Next Year Forward (FY 2013)
DEBT					
BEGINNING BALANCE	\$194,060,898	\$220,775,178	\$271,568,627	\$263,849,560	\$272,003,317
ADDITIONS	\$66,553,915	\$57,963,580	\$0	\$0	\$0
REDUCTIONS	(\$39,839,635)	(\$7,170,131)	(\$7,719,067)	\$8,153,757	\$8,962,083
ENDING BALANCE	\$220,775,178	\$271,568,627	\$263,849,560	\$272,003,317	\$280,965,400
INTEREST PAID DURING FISCAL YEAR	\$8,936,396	\$8,771,678	\$8,559,269	\$12,702,912	\$12,380,330
CURRENT PORTION	\$7,084,847	\$7,719,068	\$8,153,757	\$8,962,083	\$9,129,284
BOND RATING					
DEBT COVENANTS (PLEASE DESCRIBE):	<p>The University has no independent bonding authority. All revenue bonds must be approved by and arranged through the Rhode Island Board of Governors for Higher Education. Debt related to revenue bonds is reported on the University's financial statements (see Appendix B). Through FY 2011, both Moody's and Standard and Poor's rating services have given the Board of Governors for Higher Education general revenue bonds a rating of AAA. The State of Rhode Island general obligation bonds are rated by Moody's at Aa3, Fitch's at AA, and Standard and Poor's at AA. As of June 30, 2012, the Board of Governors for Higher Education general revenue bonds are rated by Moody's as Aa3 and Baa2 on insured bonds, A1 on uninsured bonds and Standard and Poor's rating services have given rates of AA- and BBB on insured bonds, A+ on uninsured bonds.</p>				

*"Current Budget" refers to the year in which the interim report is submitted to the Commission.

**Standard 9: Financial Resources
(Supplemental Data)**

FISCAL YEAR ENDS month & day (/)		Restated Years Prior (FY2009)	2 Years Prior (FY2010)	Most Recently Completed Year (FY 2011)	Current Budget* (FY 2012)	Next Year Forward (FY 2013)
	NET ASSETS					
	NET ASSETS BEGINNING OF YEAR	\$261,794,117	\$308,567,397	\$339,169,676	\$382,470,531	
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$46,773,280	\$30,602,279	\$43,300,855		
	NET ASSETS END OF YEAR	\$308,567,397	\$339,169,676	\$382,470,531	\$382,470,531	\$0
	FINANCIAL AID					
	SOURCE OF FUNDS					
	UNRESTRICTED INSTITUTIONAL	\$49,312,833	\$54,923,846	\$64,885,984		
	FEDERAL, STATE & PRIVATE GRANTS	\$10,288,469	\$15,291,558	\$18,538,726		
	RESTRICTED FUNDS	\$2,325,210	\$931,915	\$1,696,972		
	TOTAL	\$61,926,512	\$71,147,319	\$85,121,682	\$0	\$0
	% DISCOUNT OF TUITION & FEES	24.0%	25.0%	26.0%		
	% UNRESTRICTED DISCOUNT	24.0%	25.0%	26.0%		
	PLEASE INDICATE YOUR INSTITUTION'S ENDOWMENT SPENDING POLICY:					

*"Current Budget" refers to the year in which the interim report is submitted to the Commission.

Standard 10: Public Disclosure

Information	Web Addresses	Print Publications	Additional web addresses
How can inquiries be made about the institution? Where can questions be addressed?	http://www.uri.edu/home/dir/contact.html	University Catalog, University directory	http://www.uri.edu/admission/
Notice of availability of publications and of audited financial statement or fair summary	http://www.uri.edu/controller/financial_reporting.html		http://www.uri.edu/judicial/Student_Handbook/html/Start.html
Institutional catalog	http://www.uri.edu/catalog/	University Catalog	http://www.uri.edu/facsen/CHAPTER_6.html
Obligations and responsibilities of students and the institution	http://www.uri.edu/catalog/catalog.html	University Catalog, Student handbook	http://www.uri.edu/facsen/CHAPTER_6.html
Information on admission and attendance	http://www.uri.edu/admission/	University Catalog, Admission brochures	
Institutional mission and objectives	http://www.uri.edu/home/about/mission.html	University Catalog, Admission brochures, Student handbook, promotional brochures, Academic Plan	
Expected educational outcomes	http://www.uri.edu/assessment/index.html	University Catalog, Admission and promotional brochures	
Status as public or independent institution, status as not-for-profit or for-profit; religious affiliation	http://www.uri.edu/home/about/history_timeline.html		
Requirements, procedures and policies re: admissions	http://www.uri.edu/admission/transferrequirements.html	University Catalog, Admission	
Requirements, procedures and policies re: transfer credit		University Catalog, Admission	http://www.uri.edu/facsen/APPENDIX_F.html
A list of institutions with which the institution has an articulation agreement			
Student fees, charges and refund policies	http://www.uri.edu/es/academicinfo/acadyear/tuition.html	University Catalog, Admission brochures	
Rules and regulations for student conduct	http://www.uri.edu/judicial/	University Catalog, Student handbook	
Procedures for student appeals and complaints	http://www.uri.edu/judicial/Student%20Handbook/discipline.html	Student Handbook; Graduate Student Manual; University Manual	http://www.uri.edu/gsadmis/graduate_manual/appendix_a.html#A23
Other information re: attending or withdrawing from the institution	http://www.uri.edu/res/student/enroll/leaveofAbsence.html	University Catalog	
Academic programs	http://www.uri.edu/home/academics/departments.html	University Catalog, Admission and promotional brochures, University directory	http://www.uri.edu/catalog/
Courses currently offered	http://www.uri.edu/home/students/course.html	University Catalog	
Other available educational opportunities	http://www.uri.edu/home/students/special.html	University Catalog, Admission and promotional brochures	http://www.uri.edu/admission/newenglandprog.html
Other academic policies and procedures	http://www.uri.edu/facsen/CHAPTER_8.html	University Catalog, Student handbook	http://www.uri.edu/catalog/
Requirements for degrees and other forms of academic recognition	http://www.uri.edu/catalog/catalog.html	University Catalog, Admission brochures	http://www.uri.edu/home/academics/departments.html

Standard 10: Public Disclosure

List of current faculty, indicating department or program affiliation, distinguishing between full- and part-time, showing degrees held and institutions granting them	http://www.uri.edu/catalog/catalog.html#directories.html	University Catalog	
Names and positions of administrative officers	http://www.uri.edu/catalog/catalog.html#directories.html http://www.uri.edu/catalog/catalog.html#senioradministration	University Catalog, University directory	http://www.uri.edu/home/dir/ad_min_dir.html
Names, principal affiliations of governing board members	http://www.ribghe.org/members.html	University Catalog, University directory	http://www.uri.edu/catalog/catalog.html#directories.html
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	http://www.uri.edu/home/campus/	University Catalog	http://www.uri.edu/home/students/special.html
Programs, courses, services, and personnel not available in any given academic year.	Departmental web sites.		http://www.uri.edu/international/
Size and characteristics of the student body	http://www.uri.edu/ir/uriinfobank/facts.html	University Catalog, brochures	
Description of the campus setting	http://www.uri.edu/home/campus/	University Catalog, brochures	http://www.uri.edu/catalog/catalog.html#theuniversity.html
Availability of academic and other support services	http://www.uri.edu/studentaffairs/resources.html	University Catalog, brochures, University directory	http://www.uri.edu/univcol/
Range of co-curricular and non-academic opportunities available to students	http://www.uri.edu/studentaffairs/involvement.html	University Catalog, brochures, University directory	http://www.uri.edu/studentlife/
Institutional learning and physical resources from which a student can reasonably be expected to benefit	http://www.uri.edu/catalog/catalog.html#in	University Catalog, brochures	http://www.uri.edu/home/athletics/
Institutional goals for students' education	http://www.uri.edu/assessment/index.html	University Catalog, Academic Plan	http://www.uri.edu/catalog/
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.uri.edu/ir/uriinfobank/index.html	Alumni publication(s), news reports, brochures	http://www.uri.edu/ir/uriinfobank/common.html
Total cost of education, including availability of financial aid and typical length of study	http://www.uri.edu/es/ http://www.uri.edu/ir/uriinfobank/common.html	Catalog, brochures	http://www.uri.edu/catalog/catalog.html#enrollmentservices.html
Expected amount of student debt upon graduation	http://www.uri.edu/catalog/catalog.html#theuniversity.html	Common Data Set H5	
Statement about accreditation		Catalog, University directory, brochures	

Standard 11: Integrity

Last Updated	URL Where Policy is Posted	Responsible Office or Committee	Others
2010	www.uri.edu/judicial/Student%20Handbook	Office of Student Life	http://www.uri.edu/faesen/APPE/NDIXH.pdf
2011	www.uri.edu/research/iro/commercialization	Division of Research and Economic Development	
1999	www.uri.edu/faesen/%20395-1.html	Council for Research	
2000	www.uri.edu/es/forms/pdf/faculty/ferpa	Enrollment Services	
2010	www.uri.edu/judicial/Student%20Handbook	Office of Student Life	
2003	www.uri.edu/affirmative_action/univ_polic	Office of Affirmative Action, Equal Opportunity, and Diversity	
2011	www.uri.edu/psa/psa_memorandums.html	Professional Staff Association (PSA)	
2001	www.uri.edu/faesen/CH16.pdf	AAUP	

Policies

Academy honesty

Intellectual property rights

Conflict of interest

Privacy rights

Fairness for students

Fairness for faculty

Fairness for staff

Academic freedom

Other _____

Other _____

Non-discrimination policies

Recruitment and admissions

Employment

Evaluation

Disciplinary action

Advancement

Other _____

Resolution of grievances

Students

Faculty

Staff

Other _____

Other

URI Cornerstones

Transformational Goals

Academic Plan (Coal V)

University of Rhode Island Mission

The University of Rhode Island is the State's public learner-centered research university. We are a community joined in a common quest for knowledge. The University is committed to enriching the lives of its students through its land, sea, and urban grant traditions. URI is the only public institution in Rhode Island offering undergraduate, graduate, and professional students the distinctive educational opportunities of a major research university. Our undergraduate, graduate, and professional education, research, and outreach serve Rhode Island and beyond. Students, faculty, staff, and alumni are united in one common purpose: to learn and lead together. Embracing Rhode Island's heritage of independent thought, we value:

- Creativity and Scholarship
- Diversity, Fairness, and Respect
- Engaged Learning and Civic Involvement
- Intellectual and Ethical Leadership

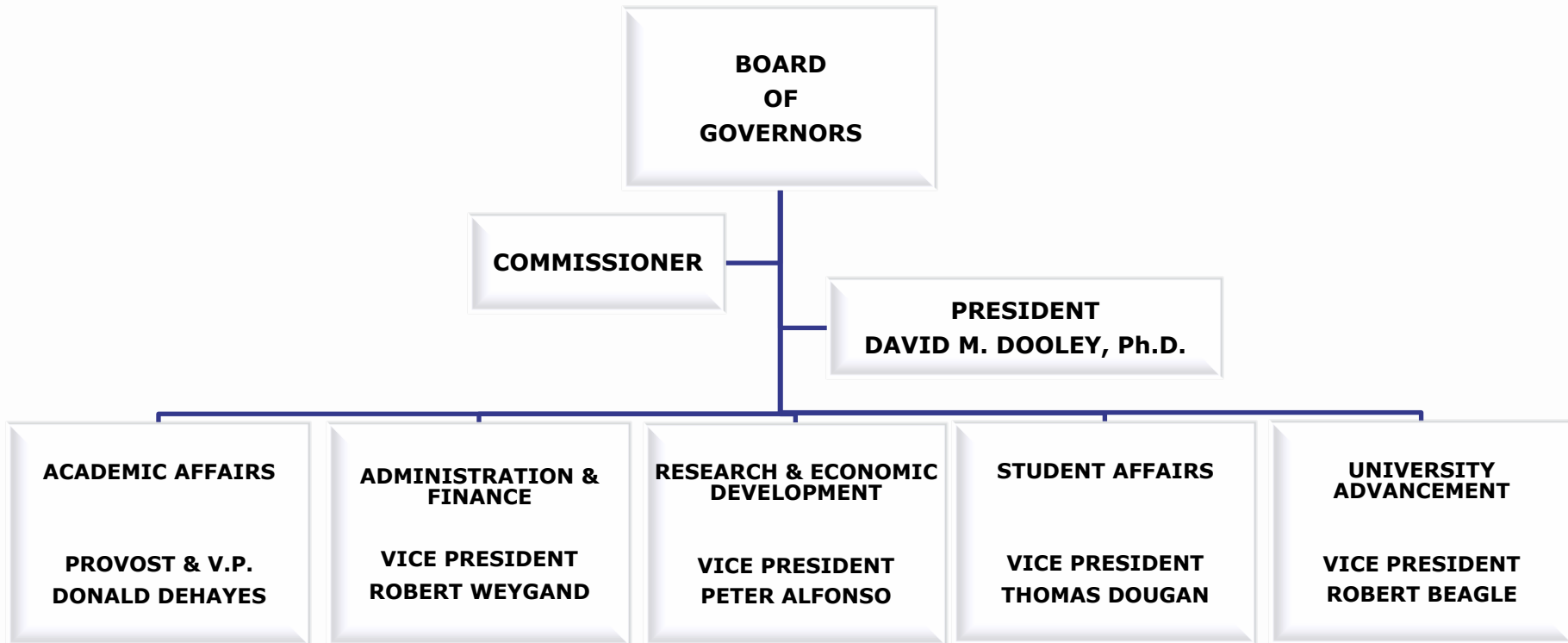
Endorsed by the URI Faculty Senate October 20, 2005; Approved by the President November 1, 2005; Approved by the Board of Governors for Higher Education January 23, 2006

FY12 ALLOCATION ORGANIZATIONAL CHART

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FY12 ALLOCATION ORGANIZATIONAL CHART



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GENERAL COUNSEL
L. SACCOCCIO

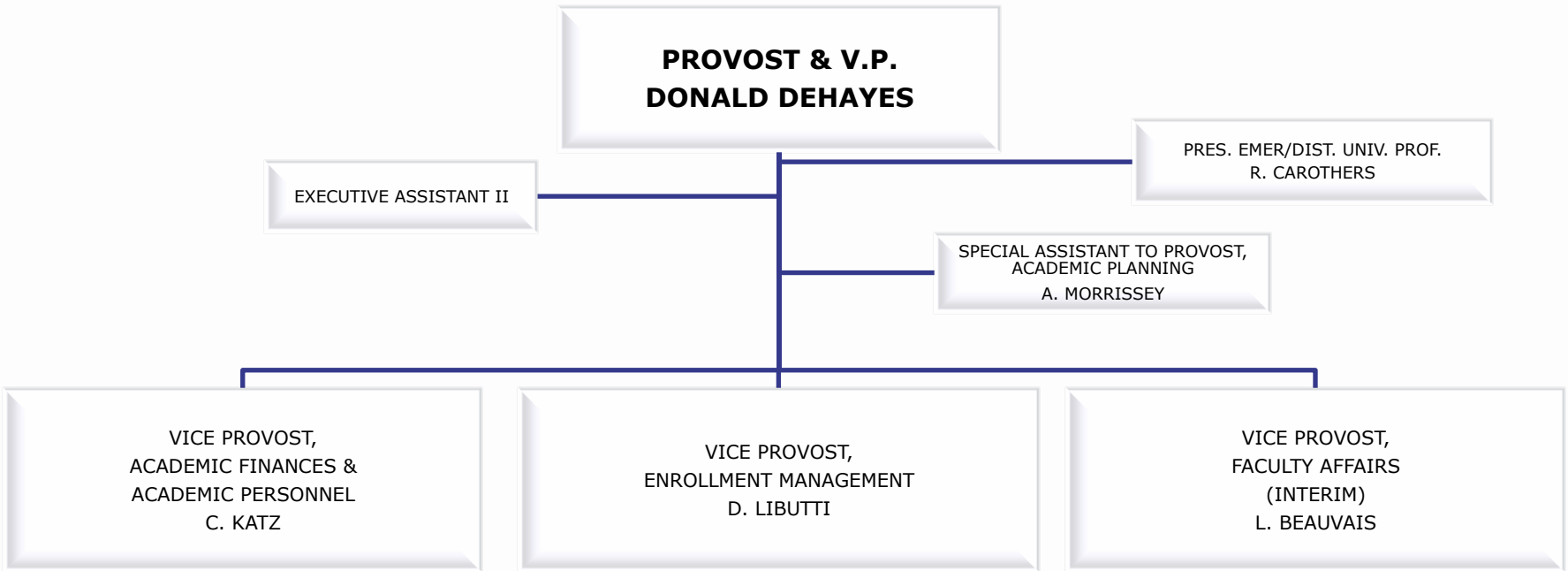
NCAA COMPLIANCE
ASSOC. DIRECTOR
P. KASSABIAN

** dotted line report to
V.P. Student Affairs*

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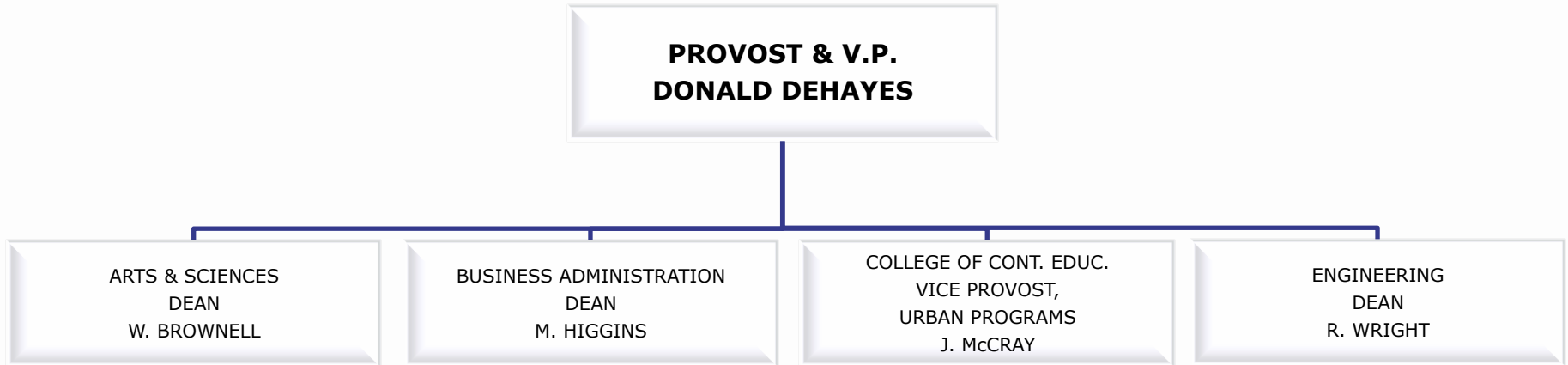
ACADEMIC AFFAIRS



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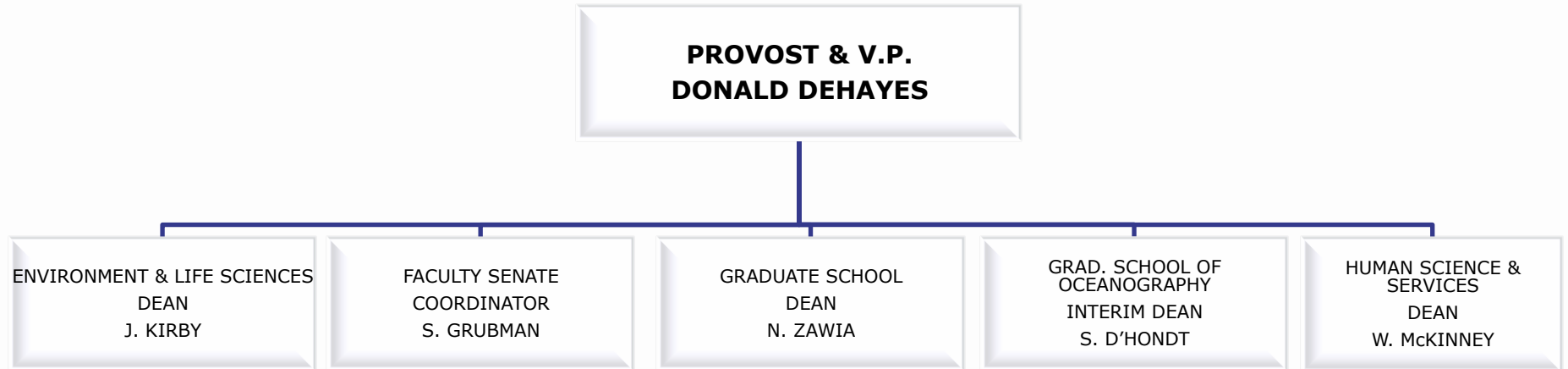
ACADEMIC AFFAIRS (continued)



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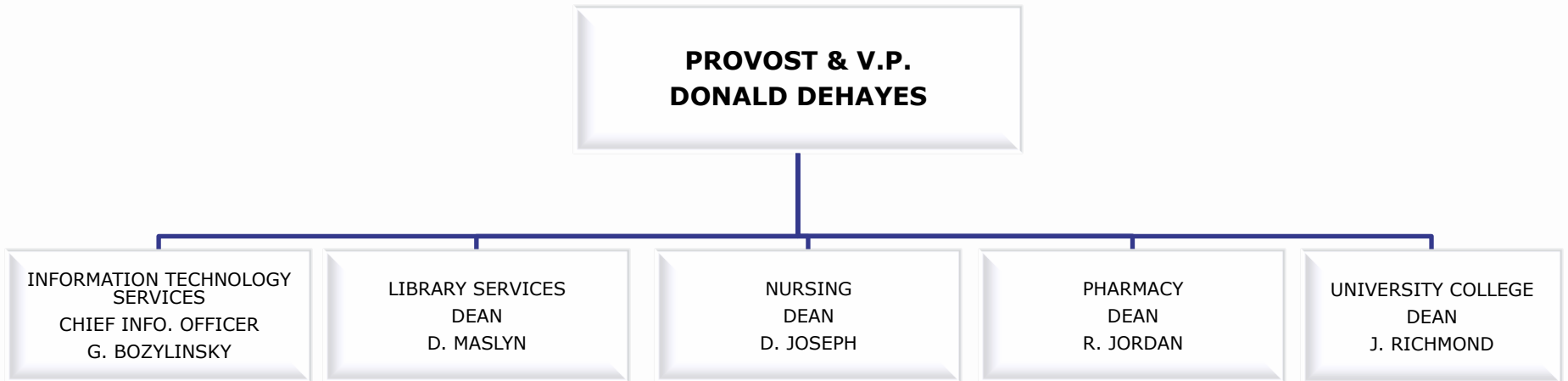
ACADEMIC AFFAIRS (continued)



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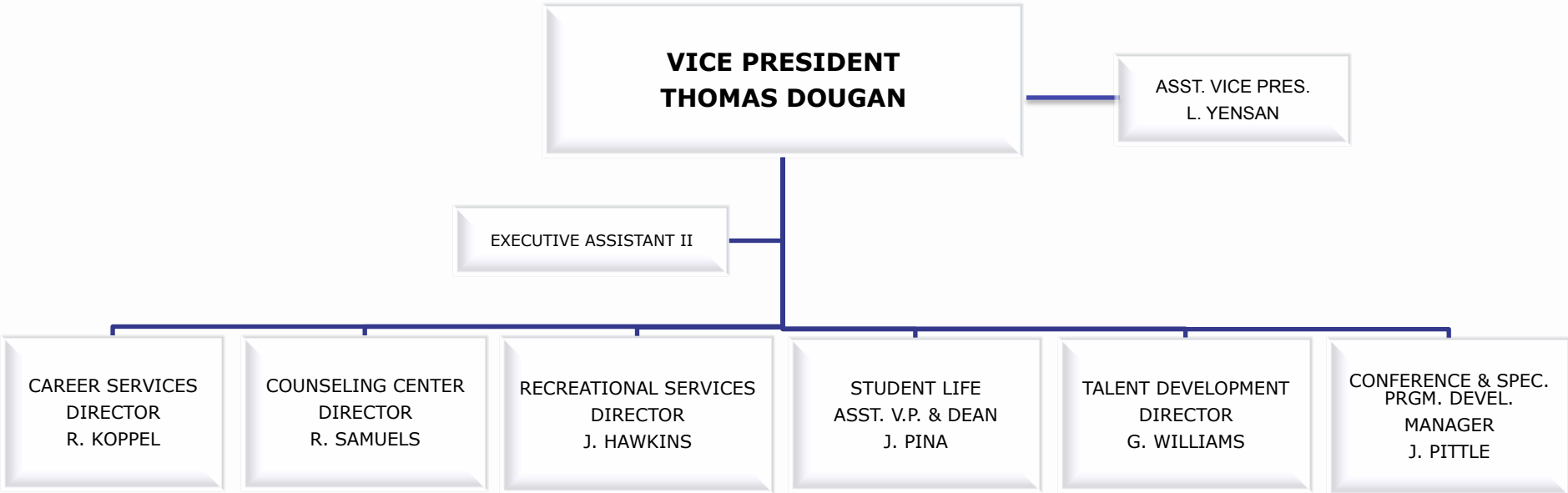
ACADEMIC AFFAIRS (continued)



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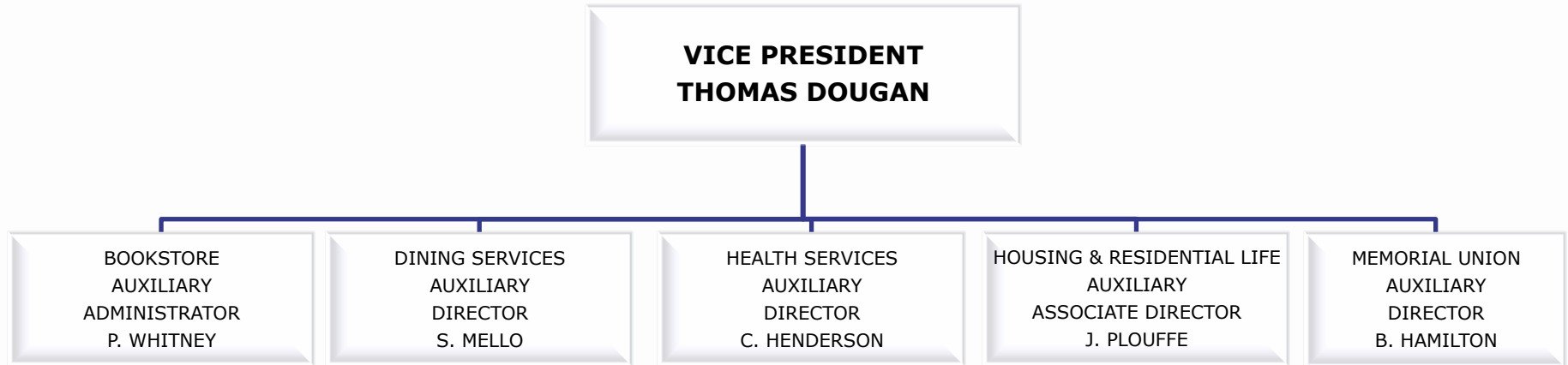
STUDENT AFFAIRS



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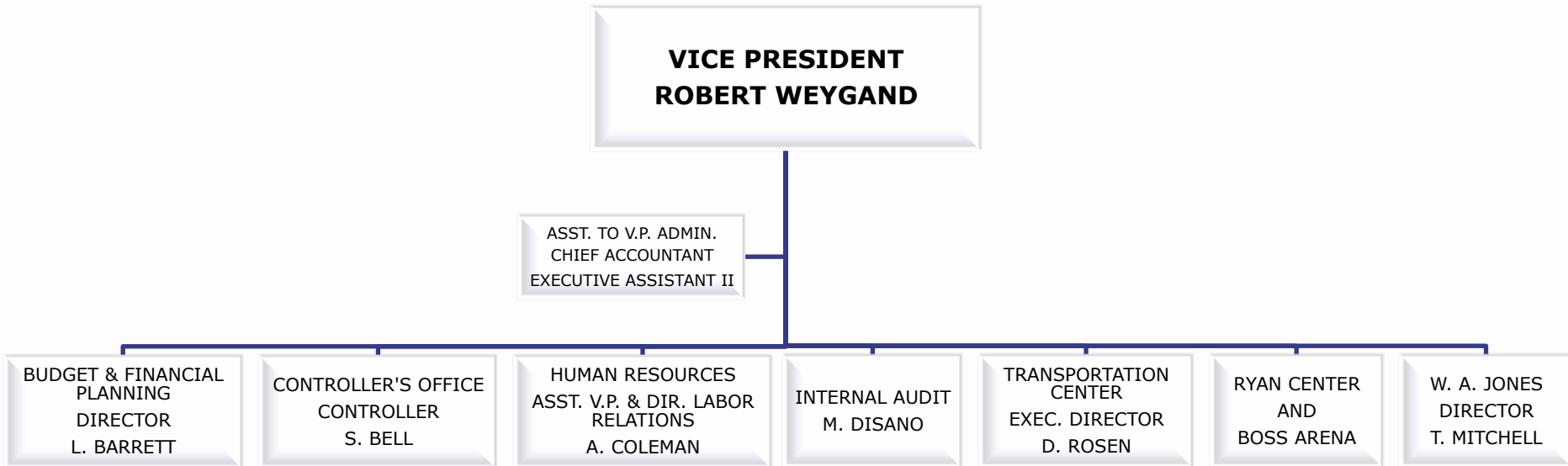
STUDENT AFFAIRS (continued)



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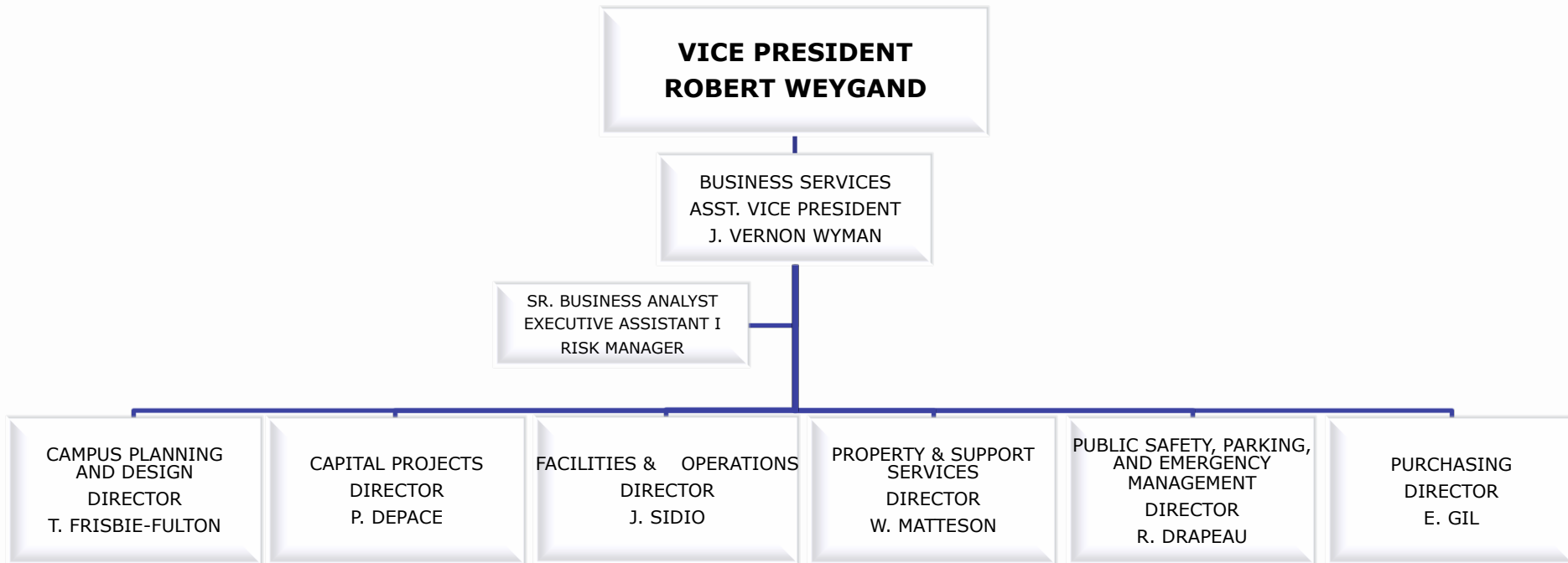
ADMINISTRATION & FINANCE



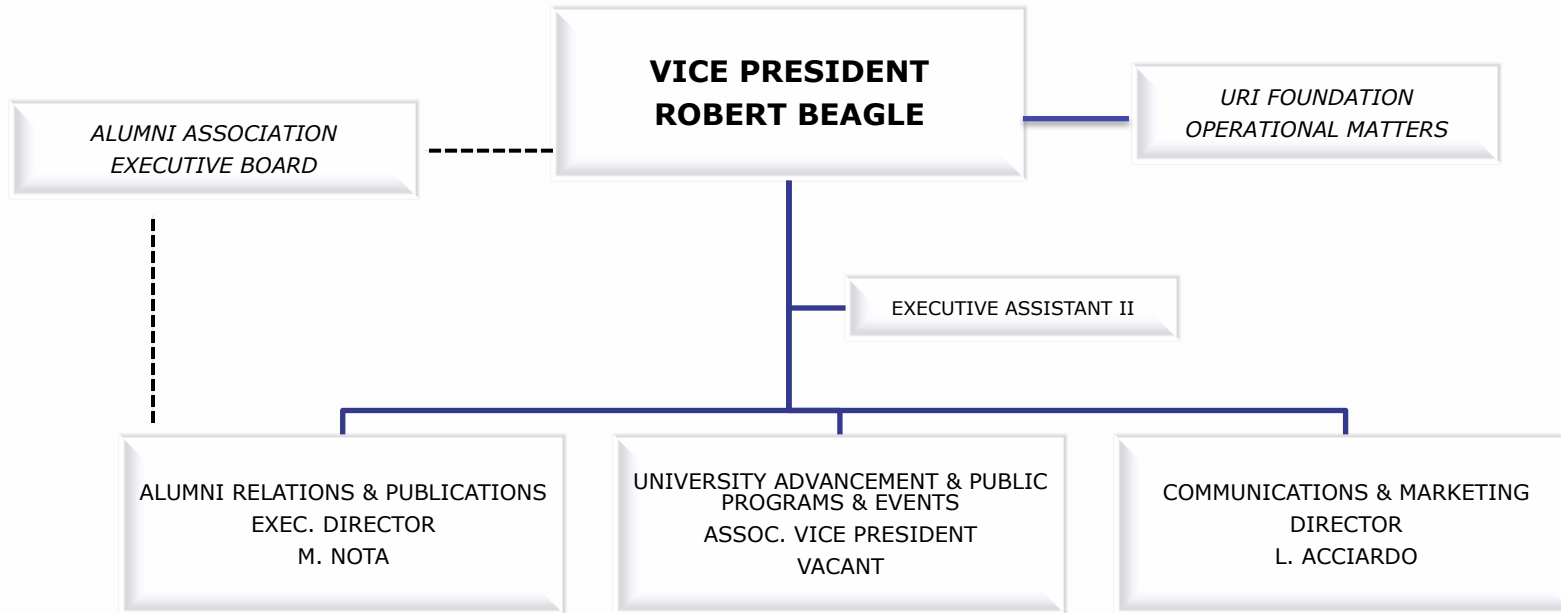
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ADMINISTRATION & FINANCE (continued)



UNIVERSITY ADVANCEMENT

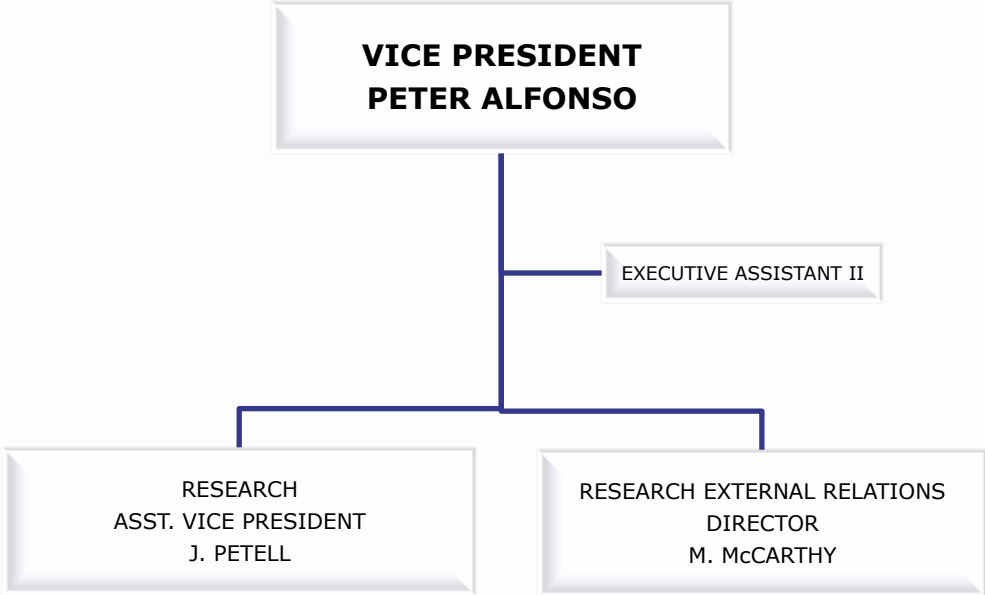


* dotted line report to President

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RESEARCH & ECONOMIC DEVELOPMENT



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Appendix E

Student Achievement and Success Forms:

S Series

E Series

S3 University of Rhode Island Graduate Accredited Programs

Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
	Exam	2 Years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year	
State Licensure Passage Rates *						
College of Arts & Sciences						
1	Library & Information Science MSLIS	N/A				
2	Music Performance MM					
3	Music Education MM	NCATE – National Teacher Standards				
4	Clinical Psychology PhD	Various states (0/6)	1 student currently pursuing licensure (N = 6)	0% (licensure requires at least 2 years post-grad supervision hours) (N = 6)	0% (licensure requires two years post-grad supervision) (N=3)	Not program goal (see institutional notes of explanation)
5	School Psychology MS PhD					
College of Business						
6	Accounting MS					
7	Business Administration PhD					
8	Master of Business Administration MBA					
College of the Environment and Life Sciences						
9	Medical Laboratory Science – Cytotechnology option MS					
10	Nutrition & Dietetics Internship MSDI					
College of Human Sciences and Services						
11	Education MA					
12	Special Education MA					
13	Doctor of Physical Therapy DPT					
14	Couples & Family Therapy MS					
15	Speech-Language Pathology MS	N/A				
College of Nursing						
16	Nursing MS	Graduate students are already registered nurses				
National Licensure Passage Rates *						
College of Arts & Sciences						
1	Library & Information Science MSLIS	N/A				
2	Music Performance MM					

3	Music Education MM					
		Examination for Professional Practice of Psychology (0/6)	To date, one student currently pursuing licensure, score not yet available (N = 6)	0% (licensure requires 2 years post-grad supervision hours)	0% (licensure requires two years post-grad supervision)	Not program goal (see institutional notes of explanation)
4	Clinical Psychology PhD					
5	School Psychology MS PhD					

Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES

	Exam	2 Years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year
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National Licensure Passage Rates *

College of Business						
6	Accounting MS	CPA: audit CPA: Business & Env CPA: Financial Report. CPA: Business Reg.	61% 55% 52% 41%	42% 52% 53% 49%	Not Available " " "	Increase by 5% " " "
7	Business Administration PhD	NA				
8	Master of Business Administration MBA	NA				
College of the Environment and Life Sciences						
9	Medical Laboratory Science – Cytotechnology option MS	Board of Certification	100%	100%	80%	100%
10	Nutrition & Dietetics Internship MSDI	Registration Examinations for Dietitians	70%	100%	100%	85%
College of Human Sciences and Services						
11	Education MA	ETS PRAXIS	100%	100%	100%	100%
12	Doctor of Physical Therapy DPT	National Physical Therapy Exam NPTE	22/22 100%	25/25 100%	33/33 100%	34/34 100%
13	Couples & Family Therapy MS					
14	Speech-Language Pathology MS	PRAXIS Exam	92%	100%	100%	100%
College of Nursing						
15	Nursing MS	ANCC Nurse Educator Nurse Administrator	100% 0/3 100%	100% 0/1 10/11	100% 0/5 0/3	100% 100% 100%

Job Placement Rates **

	Program	2 years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year	Goal 2 Years Forward
College of Arts & Sciences						
1	Library & Information Science MSLIS	N/A				
2	Music Performance MM					
3	Music Education MM					
4	Clinical Psychology PhD	100% (N = 6)	100% (N = 6)	100% (N = 3)	100%	100%

5	School Psychology MS PhD					
College of Business						
6	Accounting MS	94%	89%	91%	Maintain above 90%	Maintain above 90%
7	Business Administration PhD	100%	100%	100%	Maintain above 90%	Maintain above 90%
8	Master of Business Administration MBA	47%	57%	40%	Increase by 5%	Increase by 5%
College of the Environment and Life Sciences						

Job Placement Rates **

	Program	2 years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year	Goal 2 Years Forward
9	Medical Laboratory Science – Cytotechnology option MS	88%	100%	60%	80%	100%
10	Nutrition & Dietetics Internship MSDI	90%	100%	100%	70%	70%
College of Human Sciences and Services						
11	Education MA	No data available				
12	Doctor of Physical Therapy DPT					
13	Couples & Family Therapy MS					
14	Speech-Language Pathology MS	100%	100%	100%	100%	100%
College of Nursing						
15	Nursing MS	100%	100%	100%	100%	100%

* For each licensure exam, give the name of the exam above along with the number of students for whom scores are available and the total number of students eligible to take the examination (e.g. National Podiatric Examination, 12/14). In following columns, report the passage rates for students for whom scores are available, along with the institution's goals for succeeding years.

** For each major for which the institution tracks job placement rates, list the degree and major, and the time period following graduation for which the institution is reporting placement success (e.g., Mechanical Engineer, B.S., six months). In the following columns, report the percent of graduates who have jobs in their fields within the specified time.

Institutional Notes of Explanation

Accounting	Pass rates data on CPA exam does not make it possible to identify graduates of Master of Science in Accounting program from undergraduates in Accounting.
Clinical Psychology	Licensure is not a key outcome indicator as our program allows for the training of research scientists as well as practitioners. Our program has a licensure rate of 83.3% in the past 10 years.
Education	Pass rates data on CPA exam does not make it possible to identify graduates of Master of Science in Accounting program from undergraduates in Accounting.
Nursing	Nurse practitioners and clinical nurse specialists must pass a national certification exam in order to practice as advanced practice nurses. For each Masters specialty, the certification organization is named below the bolded role. The certification exam for Nurse Educator and Nursing Administration is optional. The GNP option is suspended. It will be transitioned to an Adult-Gerontology Nurse Practitioner option in response to national ANCC changes and the certification exam.

	10 of 11 were graduates of the Miriam Hospital ADM/CNL program. The Clinical Nurse Leader is a clinical expert at the bedside and certification is optional through ANCC Commission on Nurse Certification
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S3 University of Rhode Island Undergraduate Accredited Programs

Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
	Exam	2 Years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year	
State Licensure Passage Rates *						
College of Arts & Sciences						
1	Chemistry BA, BS					
2	Chemistry & Forensic Chemistry BS					
3	Music BM	*not tracked				
College of Business						
4	Business BS					
College Engineering						
5	Biomedical Engineering BS	*2012 accreditation				
6	Chemical Engineering BS	*not tracked				
7	Civil Engineering BS					
8	Computer Engineering BS					
9	Electrical Engineering BS					
10	Industrial & System Engineering BS					
11	Mechanical Engineering BS					
12	Ocean Engineering BS	*not tracked				
College of the Environment and Life Sciences						
13	Landscape Architecture BLA	LARE*	*Licensure exam has a 2 year experience prerequisite			
14	Nutrition & Dietetics BS	n/a				
15	Medical Laboratory Science BS					
College of Human Sciences and Services						
16	Education BA	Rhode Island State Licensure Exam	100%	100%	100%	
College of Nursing						
17	Nursing BS	NCLEX – RN Licensure Exam	May 2010 86%	Dec 2010 89%	May 2011 95%	
College of Pharmacy						
18	Pharmacy PharmD					
National Licensure Passage Rates *						
College of Arts & Sciences						
1	Chemistry BA, BS					
2	Chemistry & Forensic Chemistry BS					

3	Music BM					
Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
	Exam	2 Years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year	
National Licensure Passage Rates *						
College of Business						
4	Business BS					
College Engineering						
5	Biomedical Engineering BS	*2012 accreditation				
6	Chemical Engineering BS	*not tracked				
7	Civil Engineering BS					
8	Computer Engineering BS					
9	Electrical Engineering BS					
10	Industrial & System Engineering BS					
11	Mechanical Engineering BS					
12	Ocean Engineering BS	*not tracked				
College of the Environment and Life Sciences						
13	Landscape Architecture BS	CLARB*	*Scores of testing results are not available			
14	Nutrition & Dietetics BS	Registration Examination for Dietitians	86%	82%	86%	80%
15	Medical Lab Science BS	ASCP BOC	94%	100%	87%	100%
College of Human Sciences and Services						
16	Education BA					
College of Nursing						
17	Nursing BS					
College of Nursing						
18	Pharmacy PharmD	NAPLEX	98%	95%	100%	100%
Job Placement Rates **						
College of Arts & Sciences						
1	Chemistry BA, BS					
2	Chemistry & Forensic Chemistry BS					
3	Music BM	*not tracked				
College of Business						
4	Business BS					
College Engineering						
5	Biomedical Engineering BS	*2012 accreditation				
6	Chemical Engineering BS	*not tracked				
7	Civil Engineering BS					
8	Computer Engineering BS					

9	Electrical Engineering BS					
Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
			2 Years Prior	1 Year Prior	Most Recent Year (2011)	Goal for Next Year
Job Placement Rates *						
10	Industrial & System Engineering BS					
11	Mechanical Engineering BS					
12	Ocean Engineering BS	*not tracked				
College of the Environment and Life Sciences						
13	Landscape Architecture BLA		10/17 1 in grad school	15/20 2 in grad school	10/12 1 in grad school	
14	Nutrition & Dietetics BS	1 yr following graduation	90%	83%	96%	80%
15	Medical Laboratory Science BS	BS, w/in 6 mo. of graduation	100%	100%	100%	100%
College of Human Sciences and Services						
16	Education BA					
College of Nursing						
17	Nursing BS		May 2010 – not analyzed	Dec 2010 94%	May 2011 95%	
College of Pharmacy						
18	Pharmacy PharmD		98%	100%	99%	100%
Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES – CON'T						
* For each licensure exam, give the name of the exam above along with the number of students for whom scores are available and the total number of students eligible to take the examination (e.g. National Podiatric Examination, 12/14). In following columns, report the passage rates for students for whom scores are available, along with the institution's goals for succeeding years.						
** For each major for which the institution tracks job placement rates, list the degree and major, and the time period following graduation for which the institution is reporting placement success (e.g., Mechanical Engineer, B.S., six months). In the following columns, report the percent of graduates who have jobs in their fields within the specified time.						
Institutional Notes of Explanation						
a	Education: Title II data is the official data used for licensure pass rates by the State of Rhode Island. 2010-2011 Title II data is currently being compiled for reporting in the spring 2012. Provided numbers are confident estimates, but not officially recognized until Spring 2012.					
b	Nursing: 100% of generic graduates (not those who already had RN licensure and enrolled solely to earn their BS degree) are eligible to take the exam. Unfortunately only the scores of those who take the exam in RI are available to URI. Nursing: Tracking of employment is via informal reporting, end-of-program (EOP) survey, and post-graduation survey. Generally, most seniors report having started jobs within a month or so of receiving their RN license and the post-graduation surveys support this. Graduates usually have to wait about 3 months after graduation to take the NCLEX-RN exam and be notified of their licensure status. Some employers start employment on conditional status, and others prefer to have the new graduate wait until results of licensure are known. Accurate data on employment has been difficult for the CON to obtain due to a poor response rate to surveys by our graduates.					

Institutional Notes of Explanation Con't	
c	<p>Pharmacy: The Multistate jurisprudence law exam is both a national and state exam. We are reporting the results of those students who took this exam to qualify for RI licensure.</p> <p>Pharmacy: We'd like to point out that this is the first time in our history where 100% of graduates have passed the NAPLEX licensing exams. We are very proud of this accomplishment.</p>
d.	<p>Nutrition & Dietetics: The national credentialing exam is used for state licensure.</p> <p>Nutrition & Dietetics: First-time pass rate for the 5-year periods ending in 2008, 2009, and 2010. The value provided is the number of students passing the exam out of the total number of students taking the exam. URI pass rate exceeded the national average in each time period.</p> <p>Nutrition & Dietetics: Dietetic students attend a one-year internship following graduation from URI. Internship programs may be linked with graduate programs. Students not attending an internship or graduate program are likely to work. Data comes from a survey question asking students 'what they have been doing since graduation' and the answers include attending internships, attending graduate programs, working in the nutrition field, and working in a non-nutrition field one year following graduation. The wording of the question allows for multiple responses. Data presented is the number of responses for attending an internship, attending graduate school, and working in a nutrition field from the total of all responses.</p>
e.	<p>Landscape Architecture: A survey was sent to alumni from the class of 2011 through the class of 2006.</p>

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

Program & Link to Outcomes	Other than GPA, what data/evidence are used to determine that graduates have achieved stated outcomes for the degree?	Who interprets the evidence?	How are the findings used?	Type of Change (Pedagogical, Curricular, Assessment Process)
Clinical Psychology	Written comps (methods questions), publications, presentations, course exams, annual student evaluation rubric.	Data were entered from student vitas and evaluation rubrics into Filemaker (relational database) and analyzed by the program director. Percentages of students "meeting the standard" (operationalized on evaluation rubric) were calculated from evaluation rubrics where appropriate.	Several efforts (e.g., use of written comps to generate manuscripts) are underway in order to increase the number of student publications. The program will reassess for efficacy of strategies in two years, and will consider use of a Graduate Student Research Proposal Evaluation rubric.	Assessment Process, Pedagogical
Communication Studies	M.A. Thesis defense, student portfolios, teaching observations.	The Graduate School Assessment Team developed a rubric. Committee members within the program read the thesis and participated in the defense using the rubric. Director of Graduate Student instructors reviewed the portfolio and observed student teaching, applied appropriate rubrics, evaluated student performance, and recommended improvements.	The portfolio process and expectations will be more clearly articulated. For example, Section I of the portfolio will follow the Eastern Communication Association (ECA) guidelines for submission, students must submit section I to the ECA conference, and Section II and III of the portfolio will be refined.	Pedagogical

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

Program & Link to Outcomes	Other than GPA, what data/evidence are used to determine that graduates have achieved stated outcomes for the degree?	Who interprets the evidence?	How are the findings used?	Type of Change (Pedagogical, Curricular, Assessment Process)
Couples & Family Therapy http://www.uri.edu/hss/hdf/cft_outcomes.html	Supervisor Practicum/Internship, Evaluation rubric.	The supervisor scored rubric rating from novice to expert on 5 professional practice criteria.	This is a very small pilot sample. This is the first use of this new evaluation rubric and we are still establishing rater reliability. Focus group with all supervisors is planned for fall to gather input on the utility of the rubric. No programmatic conclusions from this data can be presently drawn. Our next steps are to track the development of clinical skills that coincide with the clinical sequence of the curriculum.	Assessment Process
English – Writing & Rhetoric http://www.uri.edu/artsci/writing/grad/doctoraloutcomes.shtml	For all outcomes assessed in this cycle, we gathered every comprehensive exam taken since we implemented a new "cohort" system in Fall 2008. This encompassed 11 students, and netted a total of 53 artifacts for our study. We included both initial exams and re-takes. All identifying markers were removed, but our Graduate Director retained a key in case we needed to drill down further.	Our Assessment Committee invited the department's Graduate Committee to join us in the rating and analysis of these artifacts. The evaluation was conducted by 3 tenure-track faculty and 3 graduate students for 7 raters total. As a committee, we developed a holistic rubric with a 1-3 scale. We then normed our responses using sample artifacts. After norming, each rater received a packet with a rating sheet, a revised rubric, and artifacts for rating. Each artifact was read by 3 raters. More than a 1 point discrepancy of rating was found in only 7 of the 53 artifacts. The results were collated, and the committee then met to interpret and discuss them.	Deeper coursework and varied opportunities to link theory and practice. WRT 524 is now on a regular every-other-spring rotation, and it is now a required course for doctoral students as of Fall 2012. However, one course alone is clearly not enough. The committee very strongly recommends that the department consider offering a new open-ended topics course focused on the scholarship of practice, WRT 646, every fall. The committee also recommends that WRT 999 be made a more substantial course, with a more scholarly basis, and it should carry 3 credits.	Curricular, Pedagogical
English Literature	Direct evidence included research papers written by PhD students in graduate seminars. Indirect evidence included faculty holistic evaluations of the papers they scored for assessments.	Program-approved rubric with criteria that differentiates level of achievement, and faculty holistic evaluations. 15 faculty members in	The formal research paper will be now be required of English PhD students in all graduate seminars, with the exception of the required ENG 510/511 and ENG 514 and	Assessment Process, Curricular, Pedagogical

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

Program & Link to Outcomes	Other than GPA, what data/evidence are used to determine that graduates have achieved stated outcomes for the degree?	Who interprets the evidence?	How are the findings used?	Type of Change (Pedagogical, Curricular, Assessment Process)
		English participated in assessing the evidence and making recommendations. Each faculty member assessed 2 papers (Avg. 30-40 pages). Evidence was interpreted by the Program Director.	creative writing seminars. We will explore the desirability of requiring an abstract and/or annotated bibliography of the formal research paper in graduate seminars, and discuss creating an electronic archive of "model" work that students could consult. The rubric will be revised to better reflect expected level of achievement at the coursework stage, and then will be made available to students. Representative sample of seminar papers written in AY13- 14 will be assessed with revised rubric.	
Mechanical, Industrial & Systems Engineering	Graduate core course student evaluations, thesis proposal evaluations.	A core course student evaluation was completed by the instructor at the end of the course. Department faculty conducted three independent/blind thesis proposal reviews.	Due to limited data, no program changes are planned at this time. More department faculty communication on the new assessment activities are needed. Further refinement of a student self-assessment form. Plans to create an advisor assessment form.	Assessment Process
School Psychology http://www.uri.edu/artsci/psy/school_forms_programhandbook	Report delayed – August 2012.			

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

Program & Link to Outcomes	Other than GPA, what data/evidence are used to determine that graduates have achieved stated outcomes for the degree?	What is the Process? Who interprets the evidence?	How are the findings used? What changes have been made based on the findings?	Type of Change (Pedagogical, Curricular, Assessment Process)
General Education http://www.uri.edu/assessment/uri/outcomes/general/General%20Education.html	Application form and syllabus, final syllabi and written plan for integration with WRT/COM course, faculty focus groups convened in late fall 2010, student, sample of student work on course assignments.	SAGE members, with substantial help from the Office of Student Learning Outcome Assessment and Accreditation, assembled results from each of the selected data collection methods. When information was in the form of objective indicators (checked boxes, numerical ratings) these were tallied. When data involved judgments from qualitative sources (focus groups, review of student assignments), subgroups of SAGE were convened to conduct content analyses. Data interpretation was conducted through small group discussions followed by SAGE committee reviews of proposed conclusions.	Changes in instructor preparation: Use of faculty peer mentors to provide guidance to new GCI instructors. Workshop design for mentors and instructors. Added materials to support proposal preparation. New emphasis on clear assessment expectations. Changes in the structure of the GCI Program: More clarity in the meaning of "interdisciplinarity." Careful attention to how two-course teams would be structured and the messages that would be given about shared responsibility and respect. More extensive opportunities for teams to meet and work together built into the training. Mentor retreat in January 2011 was used to clarify the objectives for the Grand Challenge Initiative. Changes in assessment: Added early fall workshop to re-emphasize assessment expectations and reinforce alignment of learning outcome objectives with assignment structure and rubrics. Revised instructions for the end-of-semester assignment sample. Added items for the student survey, covering student perceptions of the cognitive learning outcomes. Recognition of the Grand Challenge learning objectives as relevant for the future of the general education program.	Pedagogical, Curricular, Assessment Process
College of Arts and Sciences				
Africana Studies BA http://www.uri.edu/artsci/afr/outcomes.html	Final Research Assignment In the final research paper, students were instructed to identify and define a research problem or issue that emerged from analyzing one of the oral history interviews, on the Civil Rights Movement, found in the digital archives at the University of Southern Mississippi.	Instructor employed a 6-point rubric system to evaluate the extent to which students properly identified and defined a research problem or issue that emerged from analyzing one of the oral history interviews; reviewed by faculty member and instructor.	More time will be spent helping students develop information literacy skills and interact with library faculty when doing a research project. The final research assignment will provide an opportunity to assess the effects of this change in the next round.	Pedagogical
Anthropology BA http://www.uri.edu/artsci/soc/studentlearningoutcomes.html	n/a (curriculum being re-designed)	We came to a collective decision to address this issue by scraping all of the courses in our curricula and re-designing our offerings using progressive attention to the learning outcomes as a guide for both the new courses and the new sequence of courses. We also used this process to address some other curricular issues most of which involved insufficient staffing.	The results of this process were two entirely new curricula, one in sociology and one in anthropology. The assessment "highlight" of each curriculum is the inclusion of a portfolio course in which students will assemble a variety of products (written work, multi-media presentations, etc.) produced throughout their undergraduate careers as the basis for our assessment of student learning outcomes. They also will have a sophisticated product to demonstrate to graduate schools or potential employers what they know and are able to do.	Curricular
Art History BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/art_history/	See Art Studio (one report submitted)			

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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outcomes.html				
Art Studio BA, BFA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/art_studio/outcomes.html	Junior review conducted in an exhibition setting; portfolio appraisal of all students' choice of best works completed sophomore/junior semesters.	Faculty use a common rubric. Junior review coordinator aggregates scores.	Structural changes: strongly indicate to all BFA/BA candidates the importance of junior review; make junior review awareness a part of advising; reinforce learning outcomes in Freshman Foundation Program, sophomore/junior course offerings, new faculty training, and studio faculty orientation. After structural changes are implemented, the dept. plans to require junior review, appoint a new Jr. Review coordinator, make the review a portfolio review only, and divide up the review so faculty are not responsible for reviewing all portfolios.	Assessment Process, Curricular
Chemistry BA, BS (see also E1b) http://www.chm.uri.edu/courses/ChemistryOutcomesAssessment.pdf	Final lab reports, written in class. Research report based on the independent study results from the semester. Power Point presentation of the final report. Final lab report based on individual student projects.	The Assessment Rubrics were used by the Evaluation Committee. Discussed at a faculty meeting.	In future semesters all students will be required to use the Template for Papers or Communications required by the American Chemical Society journals to improve written communication.	Pedagogical
Chinese BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/chinese/Chinese.html	New program – report due 2014.			
Classical Studies BA http://www.uri.edu/artsci/ml/classics/requirements.html	Survey of graduating seniors; daily assessment in class of breadth of knowledge; review of individual student's array of coursework; performance on upper level assignments (papers, examinations).	Classics faculty will produce rubrics and surveys for analysis of data.	Increased focus on skills. Change of introductory textbook. Increased coaching and training of adjunct faculty. Two new prose courses offered and two previous courses reoffered. Present indications are that the new text is effective and enhancing student success. Improvement in student success indicates that the changes implemented are moderately effective and should be continued and enhanced for the next round of assessment, especially at the lower and intermediate levels of language learning.	Curricular, Assessment Process
Communication Studies BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/communication/outcomes.html	A review team used semester research project papers as well as two sequential assignments from COM381. Internship performance was assessed.	The Review team selected 10 each of the 2 assignments and drew a quasi-random sample of 30 final project papers. A rubric was applied. Site supervisors completed mid-semester evaluation of interns. Director of Internships completed final assessment and reports.	Some changes were effective, more data must be sampled. COM/Speech Lab is effective and should be continued. Instructor and admins will be urged to expand the # core courses to 4- credit design. Redesign and development of a school-based internship program. Adding additional data sources, sampling entry and midterm performances to benchmark, adding students self-reports from exit surveys. Adding a communications lab.	Curricular Assessment Process
Computer Science BA, BS http://www.cs.uri.edu/academics/learning-outcomes/	Student presentation.	There were at least two committee members viewing each student presentation. Each committee member gave a score on the rubric.	Continue the assessment of Outcome 3. We will complete the Employer/Advisor Survey that we will use to assess Outcomes 7, 9 and 11. In parallel with this program assessment, the Computer Science B.S. program will be undergoing a curricular review.	Curricular, Assessment Process

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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Economics BA, BS http://www.uri.edu/artsci/ecn/Evaluation.html	A sample of 13 "thought papers" from ECN 305.	Thought papers were examined by a four-member team of faculty. Each member of the review team used a four-part rubric to evaluate the work on three-point scale (unacceptable, meets standards, exceeds standards).	We plan on reemphasizing differences between economic systems in both our principles of economics courses and in the Competing Traditions course itself. In addition, however, we are expanding our assessment program. This will involve new rubrics, more courses in the assessment process, and a much larger sample size of students.	Pedagogical, Assessment process
English BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/english/outcomes.html	A review of syllabi. Student research papers from introductory to senior level seminars were collected. Assignments and presentations were collected and reviewed.	Reviewed by the assessment committee.	The shift to a 4-credit design has increased opportunities for depth and breadth of study and for students to develop critical writing design. The English dept will continue to review syllabi. English 202 was removed and subsumed into English 201 to accommodate the new 4-credit design.	Curricular
Film Media BA http://www.uri.edu/artsci/film/learningoutcomes.html	Oral presentations, varied course assignments, research papers, written and oral course work.	Speaking rubric, reading rubric, writing rubric, film culture rubric. Film media faculty interpret evidence.	Faculty will video tape student presentations in FLM 495. At least 3 FLM faculty will review the tapes. To further ensure all students become proficient in specifically reading, applying the reading, and writing about film, we will offer a course on reading and writing about film as a topic.	Assessment Process, Curricular
French BA http://www.uri.edu/artsci/ml/french/outcomes	French faculty's plan in 2010 was to again score a series of final papers from the two capstone senior courses with 3 raters. A 21-item survey was sent to all 26 graduating French majors via Survey Monkey asking them to self assess on all of the program's student learning outcomes.	Professors would rate oral samples from 2 capstone courses independently and then share and compare our ratings. We would seek reliability in our understanding of our student learning outcomes and we would seek evidence from these samples that learning outcomes were being adequately achieved in this area. First, the French faculty team reviewed the rubric for evaluating the written reports. They agreed that the rubric could remain unchanged. Three raters then independently scored a stratified sample of 6 final papers [total of 18 ratings] from two capstone courses to compare for reliability of rating. The 3 raters then compared their assessments of each of the 9 components and determined whether the 80% proposed success rate	The first recommendation for curricular change is to include instruction at the earlier composition courses about how students can rate the quality of sources when researching a topic. The second recommendation for curricular change is to increase a focus on these 3 areas of weakness during the capstone courses themselves. The third recommendation is to expand the successful French Language Coach program in order to increase one-on-one assistance to French students on these areas. The first recommendation for curricular change is to refocus the syllabi to include more explicit work on pronunciation instruction. The second recommendation is to seek ways to enlist the help of native speakers on campus (e.g., exchange students) for more focused speaking activities for French majors.	Curricular, Pedagogical

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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German BA http://www.uri.edu/artsci/ml/german/major.html	No report received.	was achieved.		
History BA http://www.uri.edu/artsci/his/outcomes.html	Students participate in a two-semester capstone sequence of courses resulting in a senior thesis.	An assessment committee composed of professors (six) teaching the capstone sequence during the year met to read and evaluate senior theses with regard to meeting the standards.	The history department approved a plan that requires students in all 300 level courses to have the opportunity to interpret multiple primary sources on one topic. We propose to incorporate a new recommendation that at the 300 level students should read scholarly articles for the structure of the argument rather than for information.	Pedagogical
Italian BA http://www.uri.edu/artsci/ml/italian/programs.html	<p>ORAL PROFICIENCY: We utilized the list of questions we devised in 2008 to ask individual students in a 10-minute interview with Prof. La Luna and Prof. Sama. These are questions about students' experiences at URI, ITL courses they especially enjoyed, their plans for the future, and their opinion about a current event in the world.</p> <p>LISTENING COMPREHENSION: We continued to utilize the exercise we created in 2008. Students go on-line (with a password from the Language Lab) to view a podcast of an episode of a current Italian TV show: Un posto al sole, a very popular contemporary show somewhat similar to Friends. Students answer comprehension questions and complete a cloze exercise.</p> <p>READING COMPREHENSION: We continued to utilize a challenging article from a major Italian daily newspaper (La Repubblica); students answer a series of multiple choice questions to test reading comprehension. We provide students with a short list of vocabulary for the exercise.</p> <p>WRITING ASSESSMENT: We continued to implement our writing assessment process (which includes assessment of the cultural competency inherent in this exercise). We chose a selection of sample papers/exams/analytical writing exercises done by 15 outgoing seniors in 300-400 level courses, including Directed Studies.</p>	<p>ORAL PROFICIENCY: We used the grading rubric designed for this exercise which we had already modified somewhat over the course of the first two assessment cycles.</p> <p>LISTENING COMPREHENSION: Professors Sama and La Luna utilize a grading rubric to assess their outcomes.</p> <p>READING COMPREHENSION: We created a formal grading rubric.</p> <p>WRITING ASSESSMENT: We decided that creating a uniform grading rubric for papers in Italian was not practical for our assessment of student learning outcomes. Prof. La Luna and I discuss and compare samples of student's written work from our advanced courses.</p>	<p>RECOMMENDATIONS.</p> <ol style="list-style-type: none"> 1. Making the assessment exercises available on line. We hope that this will streamline the assessment process, reduce the annual and time-consuming preparation of packets for students, and encourage higher student participation. Another option could be to use recorded 'oral quizzes' from course work. 2. Student participation. Overall goal: inform and equip students early. 3. Improve clarity of Reading Comprehension questions. <p>OVERALL PROGRAMMATIC EFFORTS</p> <ol style="list-style-type: none"> 1. Italian Language Coach. Starting in the academic year 2010-2011, in collaboration with the Academic Enhancement Center, Prof. Sama established the practice of training and working with an Italian Language Coach for two of her courses: ITL 205 and ITL 206. 2. Conversation Hour. Inviting students themselves to become stewards of the program. A small group of students has now volunteered to take the lead in fostering the Italian conversation hour and with faculty guidance. 	Assessment Process, Pedagogical, Curricular

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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Journalism BA http://www.uri.edu/artsci/jor/outcomes.htm	The final exam in Journalism 220 "Media Writing", The quality of their work is judged in several areas including language usage, clarity, completeness of the story, proper structure of the story and application of other skills taught and learned during the semester.	A standardized grading rubric is used in each section. Each instructor in each section graded the final exams using the standard grading rubric. The Department Chair reviewed the final exams, Cumulative grade points from both portions of the exam were combined for an overall score, but also examined separately to determine if there were any particular weaknesses in student learning masked by combined scores.	Department faculty have been meeting since early last summer to consider some revisions to the curriculum. The department is attending to stricter adherence to a common syllabus in the course and is emphasizing a common grading procedure. Assessment of changes in teaching emphasis, grading and curriculum will take place each semester. Consideration is being given to formulating a new course for PR majors	Curricular, Pedagogical
Mathematics BA, BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/math/outcomes.html	Examined multiple outcomes using course grades from multiple level courses and placement exams looking for patterns correlating to success.	Committee examined and analyzed the various results to develop a variety of interventions	Multiple changes made including added course sections; created online support course to scaffold students toward higher levels of achievement; implemented program of using TA's for real-time tutoring; coordinated with Physics to create a linked course experience to support science students motivation on math; altered curriculum to improve assignments.	Curricular, Pedagogical
Music BA http://www.uri.edu/artsci/mus/pdfs/BAComps.pdf	Overall Applied Lessons MUS 110 – MUS 410; Voice Juries; Portfolios	The Music Department has begun the process of electronic grading submission for all performance jury grading. Currently voice and jazz performance juries and portfolio grading systems have been digitized.	As of Fall 2010 the music department changed this policy. There are now two music advisors that have divided the duties according to music degree programs. The anticipated results will be higher retention and more four-year graduation rates. The scheduling and sequence of all Music Methods classes has been revised to better serve and prepare the music student for the advanced content area intensive courses. Revising the music program curriculum for better oversight and evaluation/assessment of our music students. An exit jury will be required of all music students using the criteria of a similar nature with the expectations for a graduating Senior 400 level. Prerequisites for all courses are being addressed, along with advising expectations to help the student navigate through the music curriculum in four years. An educational sequence that is driven by thorough and logical preparation to and for each area of expertise is the overall goal of the UCAS committee.	Curricular, Pedagogical, Assessment Process
Music Composition BM http://www.uri.edu/artsci/mus/pdfs/BMComps.pdf	See Music BA (one report submitted)			
Philosophy BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/philosophy/outcomes.html	Dedicated in-class and at-home essay, quizzes examining technical mastery.	The dept. assessment committee read late-stage quiz and assessed success in meeting outcome criterion. Assessment team read final exam essay and	Within a completely restructured Philosophy major curriculum, an entire course - <i>What is Philosophy?</i> – will be devoted to outcome 2. The Philosophy program is transitioning to four-credit courses. Promote deliberate departmental focus on early development of	Curricular, Pedagogical, Assessment Process

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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		assessed success in meeting outcome criterion. In a few isolated cases team compared performance on similar essay from previous exam to assess either improvement or successful mastery at an earlier stage.	outcome 3 through new, thematically-focused introductory courses as well as in the new major course <i>What is Philosophy?</i> Provide faculty with peer-to-peer pedagogical support for creation of teaching tools and assessment rubrics related to this skill.	
Physics BA, BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/physics/outcomes.html	No report received.			
Physics and Physical Oceanography BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/physical_oceanography/outcomes.html	See above (usually one report submitted on behalf of both programs)			
Political Science BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/political_science/outcomes.html	Midterm exam, essay section of final exam; research paper, capstone research project	Aggregate baseline data was collected on overall performance (grades) in order to gauge if student learning outcomes were being met.	The development and adaptation of a 400 level capstone template identifying subcategories of student learning outcomes will be finalized and implemented in Spring 2012. Student learning outcomes will be measured in the execution and completion of a semester long project specific to the course and area of study.	Assessment process, Curricular
Psychology BA, BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/psychology/outcomes.html	Multiple choice measure, final lab reports.	Rubric developed to evaluate critical thinking skills relevant to preparing lab reports, reports independently rated by two raters.	Objective measures suggest that pedagogical changes had produced a higher level of competence. Course instructors will revise curriculum to focus more specifically on critical thinking.	Curricular, Pedagogical
Public Relations BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/public_relations/outcomes.html	Portfolio writing assignments, and critical analysis of an ad campaign.	Rubrics designed for each assignment were used to assess the work.	Integrate literacy workshop and support services from Academic Enhancement Center.	Curricular
Sociology BA, BS http://www.uri.edu/artsci/soc/studentlearningoutcomes.htm	Program is being redesigned.	Program decided to address this issue by re-designing courses attending to the learning outcomes as a guide for both the new courses and the new sequence of courses. We also used this Process to address some other curricular issues most of which involved insufficient staffing.	The results of this Process were two entirely new curricula, one in sociology and one in anthropology. The assessment "highlight" of each curriculum is the inclusion of a portfolio course in which students will assemble a variety of products (written work, multi-media presentations, etc.) produced throughout their undergraduate careers as the basis for our assessment of student learning outcomes. They also will have a sophisticated product to demonstrate to graduate schools or potential employers what they know and are able to do.	Curricular

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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Spanish BA http://www.uri.edu/artsci/ml/spanish/requirements.html	Report due date extended: December 2012.			
Theatre BFA http://www.uri.edu/artsci/the/outcomes.html	Direct Evidence: Students were required to create a presentational portfolio of items developed during class-time. Indirect Evidence: Through interaction with previous graduates and guest speakers, students participated in focus groups and self reflective discussions that resulted in written materials.	Rubrics were used for the scoring of student work and eventual presentation of materials specific to their field of study. Professors evaluated and interpreted the evidence.	One change we continue to explore each semester is the roster of Professional, Guest Artist and Recent Graduate Speakers. We are hoping to explore some off-site opportunities in the upcoming semesters.	Curricular
Women's Studies BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/arts_sciences/majors/women's_studies/outcomes.html	Revised essay and final project of capstone class; exit survey.	Three faculty members assess with criteria with 10-point scale.	More focused classroom time on analytical reading.	Pedagogical
Writing and Rhetoric BA http://www.uri.edu/artsci/writing/geneducation.shtm#learningoutcomes	Reflective essays.	25 full-time, graduate, and part time instructors.	Possible changes include: Expand and improve teacher training program (WRT 999). Reconsider textbook. Revamp the 100 level curriculum. Professional development. Revisit whether selected 300-level courses should remain Gen Ed, or if they should have pre-requisites. Consider multiple credit options for more depth. Revisit standard syllabi-104/106- to see if they are emphasizing a quantity of papers rather than allowing the time to teach each one in more depth.	Curricular, Pedagogical
College of Environmental and Life Sciences				
Animal Science and Technology BS http://cels.uri.edu/favs/FAVS_uGrad.aspx#AVS	Survey of graduating seniors' confidence in knowledge and ability. Exit exams taken by seniors. Performance at NESA Northeast Animal Science Competition.	Faculty graded their respective sections; interpretation by department chair. External experts serve as judges.	Have changed some course content; have proposed new courses (approval pending); will consider making some courses mandatory. We recommend assessing progress via embedded questions on exams, either in addition to or in place of a terminal exam. We recommend involving more faculty in preparing students for NESA.	Curricular, Pedagogical, Assessment Process
Aquaculture and Fisheries Technology BS http://cels.uri.edu/favs/FAVS_uGrad.aspx#AFS	Program is being redefined.			
Biological Sciences BS http://www.uri.edu/assessment/uri/outcomes/U	Sections of lab reports written up as homework. Lab practical	Lab instructors (TAs) apply rubric. Results reviewed with Laboratory Coordinator.	Lab report exercise will be further changed to focus on learning outcomes. New focus has students writing more scientific abstracts	Pedagogical

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

Program & Link to Outcomes	Other than GPA, what data/evidence are used to determine that graduates have achieved stated outcomes for the degree?	What is the Process? Who interprets the evidence?	How are the findings used? What changes have been made based on the findings?	Type of Change (Pedagogical, Curricular, Assessment Process)
ndergraduate/alpha.html			and results sections of reports. Expanded introductory material, including presentations in complex lab sessions.	
Biology BA http://www.uri.edu/assessment/uri/outcomes/Undergraduate/cels/majors/biology/outcomes.html	See Biological Sciences BS.			
Marine Biology BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/alpha.html	See Biological Sciences BS.			
Environmental Horticulture and Turfgrass Management BS http://cels.uri.edu/pls/pls_ugrad.aspx	GCSAA Exam, RIH Exam, Capstone class, group projects and student presentations, summer internship mentor reports.	Faculty members, panels of industry practitioners and faculty from multiple institutions across the country.	Instituted 2 seminar classes. Improving internship quality.	Curricular
Environmental & Natural Resource Economics BS http://cels.uri.edu/enre/uGradOutcome.aspx	Results of two assessment exams, one covering 100/200 level coursework, one near the end of program.	Written examinations evaluated by department chair.	Expand coverage of Learning outcomes and topic areas on the exams. Provide more balanced coverage of topics.	Pedagogical
Environmental Science and Management BS http://nrs.uri.edu/docs/undergrad/ESM_Exp_Outcomes_2010.pdf	No report received.			
Geology and Geological Oceanography BS http://cels.uri.edu/geo/GEO_ugrad.aspx	Written assessment at the beginning of GEO 103. Also used is the institution of exclusively based problem-based learning (PBL) in sophomore class; revisiting approach in later (senior-level) classes (GEO 450; 483). Students, organized in groups, received a series of problems, graded in difficulty, through the semester, which they were to solve. The work products are 5 synthesis papers and 6 125-minute talks.	In GEO 204, the class became exclusively PBL, with explicit rubrics. Students worked in effectively self-reliant teams. The efficacy of these methods was then assessed by examination questions in GEO 450, written to reveal analytical skills presumably obtained in GEO 204.	Restructure and redesign the problem sets; vary the work products expected; instructor needs to be more involved in day-to-day development of solutions to the problems; partner with an instructor in the Department of Writing and Rhetoric to optimize best practices for writing instruction.	Pedagogical
Marine Affairs BA, BS http://www.uri.edu/assessment/uri/outcomes/Undergraduate/cels/majors/marine_affairs/outcomes.html	Exam in capstone course.	Corrected by a professor.	Replace exam and focus on in-class assignments that test the students' ability to integrate knowledge.	Pedagogical

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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Cell and Molecular Biology BS http://cels.uri.edu/cmb/CMB_Outcome.aspx	Performance based on assessment of lab skills and bacteria identification. Two laboratory practical exams during the semester. Post-grad employment/grad school acceptance data.	Course instructor and department chair evaluate results.	A study guide was created for future use.	Pedagogical
Wildlife and Conservation Biology BS http://nrs.uri.edu/docs/undergrad/WCB_Exp_Outcomes_2010.pdf	No report received.			
Feinstein College of Continuing Education				
Bachelor of Interdisciplinary Studies BIS http://www.uri.edu/prov/bis/BISoutcomes.html	Final research papers from one of the senior interdisciplinary seminars. Student peer ratings from Book Groups in the Social Science Seminar offered.	Search papers were assessed using The VALUE rubric "Integrated Learning." Two faculty who teach one of the other interdisciplinary seminars assessed the papers and interpreted the evidence. Book Club Peer Ratings were collected in class, using a rubric to assess how well each peer member participated in the groups' class presentations. Each member also did a self-assessment.	Work with the seminar instructors to ensure that assignments more closely reflect the collaborative learning goal of the BIS program. Use these two additional classes to make decisions about revising the VALUE rubric for use in the BIS program as the assessment of the Collaborative Learning BIS program goal. Use the data from the 3 seminars in the design of learning goals in the BIS seminars at all levels. Use the data to also make decisions about revising the Collaborative Learning BIS program goal. There would be value interviewing and providing more specific examples for the students of what is meant by each element in the rubrics enhancing the validity of the assessment tool.	Curricular, Assessment Process
College of Human Sciences and Services				
Communicative Disorders BS http://www.uri.edu/hss/cmd/programs.html	The course instructor evaluates student participation in (1) an annual, national colloquium series on communication disorders sponsored by CMD, (2) case presentations of individuals with communication disorders, and (3) small group activities.	Rubrics regarding faculty expectations for student writing will be developed in the fall of 2012 and the spring of 2013. Student performance will then be analyzed by faculty with respect to the rubric starting in the spring or fall of 2013. During the 2012-2013 academic year, outcome measures for experiential learning impact will be developed and outcomes evaluated.	At present, CMD students are only required to take 1 writing course to satisfy their General Education Requirement for Communication. In the 2012-2013 academic year, we will require an additional writing course of all our majors. A new system of audio-visual recording that makes use of Internet technology will make it easier for students to garner observational hours. This system should be operation during the 2012-2013 academic year and outcome data can then be collected.	Curricular
Health Studies BS http://www.uri.edu/hss/health/outcomes.html	New program – report due 2014.			
Human Development and Family Studies	Capstone portfolios, alumni surveys, supervisor evaluation.	Instructors and field placement supervisors use a common evaluation	Consider changing 1 credit seminar to 3 credit capstone seminar. Continue to work with field instructors and modify assessment	Curricular, Assessment

E1A: INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

University of Rhode Island

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http://www.uri.edu/hss/hdf/outcomes.html		rubric.	measures. Reduce number of learning outcomes from 6 to 4. Revise writing rubric. Refine and coordinate supervisor rubrics for early and senior field experience. Revise course objectives. Implement writing mentor program.	Process
Kinesiology http://www.uri.edu/hss/physical_education/learning_outcomes.html	Capstone class, internship and internship seminar.	Course instructors, department chair, site supervisors.	Added strength training class. Added a biochemistry course. Curricular changes to 2012-2013 year.	Curricular
Textile Marketing http://www.uri.edu/assessment/uri/outcomes/Undergraduate/hss/majors/textile/outcomes.html	Redefining program – report due 2014.			
Textiles, Fashion Merchandizing and Design http://www.uri.edu/hss/tmd/TMD%20Outcomes.html	Survey administered to freshman in URI 101 and seniors in TMD 433 as “pre” and “post” query of learning outcomes.	A Sakai site was set up with a dropbox for each of the selected students, and the appropriate assessment from key courses (using the curriculum map) was uploaded by faculty. The transcripts of the selected students were also reviewed and a spreadsheet was generated to list their grades in all TMD courses.	Our curriculum map and outcomes are overly complex and need some simplification to allow for meaningful assessment of the broad range of students that are enrolled in the program. We await software implementation that will make the assembling of portfolios more direct. We will continue to collect work from the previously identified courses, but a limited set of courses will be examined in more detail over the 2011-2012 academic year.	Curricular, Assessment Process
College of Pharmacy				
Pharmaceutical Sciences http://www.uri.edu/pharmacy/programs/bsps/bpslearninggoals.shtml	New program – report due 2013.			

E1B: INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

University of Rhode Island Graduate Accredited Programs

Program	Professional, Specialized, State, or programmatic accreditations currently held by the institution (by agency or program name)	Date of most recent accreditation action by each agency listed	Summary (“bullet points”) of key issues for continuing accreditation identified in accreditation action letter or report	Key performance indicators as required by agency or selected by program (licensure board, or bar pass rates; employment rates, etc.)	Date and nature of next scheduled review
College of Arts and Sciences					
Library & Information Science MSLIS	American Library Association ALA National Council for Accreditation of Teacher Education (NCATE) and American Association of School Librarians SPA	2010 2007	Financial sustainability: large number of courses taught; faculty small at 7 members; use of same faculty/student ratio in determining undergraduate and graduate program needs; heavy teaching load “inhibits faculty research and innovation”, aging facilities “National Recognition.” “The program is meeting the needs of New England Region by offering the program at various sites and via the web. The program report is excellent.” The program has an excellent relationship with both the Graduate School of Library and Information Studies and the School of Education. The program coordinator is actively involved with the university’s Council of Teacher Education. There are clinical experiences at both the beginning and the conclusion of the program of studies. The program is integrated with various Rhode Island Department of Education teacher preparation, themes, frameworks, evaluations, etc. The program uses a variety of assessment tools to integrate with ALA/AASL standards. These assessments are clear and tailored to demonstrate compliance with these standards. There is an adequate and diverse faculty which is active in the professional community. Assessment rubrics are well designed and clear. The program has a very well planned practicum.”	Mission, goals, & objectives; Curriculum; Faculty; Students; Finance and governance; Facilities “In general the program meets each standard in a variety of ways and courses. This is one of their strengths” Every standard designated “Met” with no conditions or recommendations. Assessments used include Licensure Exam for RIDE pass rate for PRAXIS II PLT; GSLIS Comprehensive Exam Pass Rate; Site Evaluations from Practicum; E-Portfolio rubric scores posted to TrueOutcomes with documents as evidence of mastery of 5 roles of the school librarian and 11 RIPTS. “Program is nationally recognized.” “To retain recognition, another program report must be submitted before that review.”	Full Review 2017 2012
Music Performance MM	NCATE – National Teacher Standards	2005		2015	
Music Education MM	NCATE – National Teacher Standards	2005		2015	

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Clinical Psychology PhD	American Psychological Association	2011; Reaccredited for 7 years	Efforts to retain diverse faculty.	<ul style="list-style-type: none"> • Employment rates • Indicators required by accrediting agency are dependent upon program’s individualized goals, objectives, and competencies 	Self-study due in 2017; Next site visit 2018
School Psychology MS, PhD	Report delayed – August 2012.				
College of Business					
Accounting MS	The Association to Advance Collegiate Business School	Fall 2008	<ol style="list-style-type: none"> 1. Faculty research standards require review and strengthening. 2. Succession planning to ensure College is adequately staffed 3. Continued cycles of Assurance of Learning. 	Selected by Program: Employment Rates CPA Exam	October, 2013
Business Administration PhD	The Association to Advance Collegiate Business School	Fall 2008	<ol style="list-style-type: none"> 1. Faculty research standards require review and strengthening. 2. Succession planning to ensure College is adequately staffed 3. Continued cycles of Assurance of Learning. 	Selected by Program: Employment Rates CPA Exam	October, 2013
Masters of Business Administration MBA	The Association to Advance Collegiate Business School	Fall 2008	<ol style="list-style-type: none"> 1. Faculty research standards require review and strengthening. 2. Succession planning to ensure College is adequately staffed 3. Continued cycles of Assurance of Learning. 	Selected by Program: Employment Rates CPA Exam	October, 2013
College of the Environment and Life Sciences					
Medical Laboratory Science – Cytotechnology option MS	Commission on Accreditation of Allied Health Education Programs	2009	Adequate resources: faculty equipment, updated library, space, finances, etc	Employment, Board of Certification pass rate, retention rate, employer and employee surveys	July 2016
Nutrition & Dietetics Internship MSDI	Accreditation Council for Education and Nutrition (formerly Commission on Accreditation for	2011	1. Program planning and outcomes assessment.	Evidence that data are being collected and assessed on an ongoing systematic basis	Site Visit 2021

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	Dietetics Education)		2. Dietetic registration examination first-time pass rate below the 80% standard. Ongoing curricular improvement.	and strengths and limitations identified through the assessment process. The trend in the first time pass rate since the plan has been implemented, actual changes made and implemented to the curriculum, policies and procedures, and progress on assessment of the student learning outcomes. The program needs to identify the strengths and areas for improvement based on the data collected from the student learning outcomes and the curriculum assessment process.	
College of Human Sciences and Services					
Education MA Elementary Education (MA & MATCP) Secondary Education (MA & MATCP) Reading Specialist MA Special Education Elementary (MA) Special Education Secondary (MA) HDF (TCP)* Library Media (TCP)* Music MM (TCP)* School Psychology (MS & PhD)* Speech Language Pathology (MS)* Education (PhD) <i>*These programs are not part of the Education MA, but are accredited by the same accrediting bodies for their education components.</i>	NCATE Rhode Island Program Approval (RIPA) Specialized Program Accreditation (SPA) (ACEI) <ul style="list-style-type: none"> • NCTE- English • NCTM – Math • NCSS – Social Studies • NSTA – Science • ACTFL – Foreign Language • ASHA 	2008-2012	<u>Standard 4 Diversity:</u> Candidates have limited opportunities to interact with faculty from diverse populations. (Initial and Advanced programs) <u>Standard 4 Diversity:</u> Candidates have limited opportunities to interact with peers from diverse racial and ethnic groups. (Initial and Advanced programs) <u>Standard 6 Unit Governance and Resources:</u> The unit does not have sufficient administrative and support staff to ensure the effective and efficient operation of programs for the preparation of educators.	NCATE: Standard 1: Candidate Knowledge, Skills, and Professional Dispositions Standard 2: Assessment System and Unit Evaluation Standard 3: Field Experiences and Clinical Practice Standard 4: Diversity Standard 5: Faculty Qualifications, Performance, and Development Standard 6: Unit Governance and Resources	2012-2021
Doctor of Physical Therapy DPT	Commission on Accreditation in Physical Therapy Education (CAPTE)	April 26, 2006	At the time of the self-study and visit, the visit team indicated problems with the performance of the Academic Coordinator for Clinical Education (ACCE). All issues were resolved when that person resigned and a new ACCE was hired. We then received full	Pass Rate for Licensure Exam (National Physical Therapy Exam) Employment Rate All students will demonstrate entry-level competence in all practice expectations	2016

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University of Rhode Island Graduate Accredited Programs

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			accreditation for 10 years		
Couples & Family Therapy MS	Commission on Accreditation for Marriage and Family Therapy Education (COAMFTE)	2006	None.	AMFTRB National exam pass rate >70% Advertised length of completion (2yrs) graduation rate > 50% Maximum length of completion (5yrs) graduation rate >65%	Self-study submitted 1/5/2012. Site visit scheduled for 11/2013.
Speech – Language Pathology MS	Council on Academic Accreditation-Audiology and Speech Pathology (CAA)	5/2005; Annual re-accreditation Report due 2/1 each year	Development of accurate and current web site including performance indicators, documentation of student progress, better faculty meeting documentation and evidence of programmatic decision making (e.g., curriculum change)	Graduation rates, employment rates, rates of passage of the Praxis exam	2/2013
College of Nursing					
Nursing MS	State Accreditation: Rhode Island Board of Nursing Registration and Nurse Education National Accreditation: Commission of Collegiate Nursing Education (CCNE)	State: 2006 National: October 2006	State Accreditation: All criteria met National Accreditation: "All accreditation standards met; no compliance concerns with respect to key elements."	State Accreditation: State approval is based on the outcome of CCNE program evaluation and follows the same timeline and review. National Accreditation: CCNE requires that a program demonstrate the incorporation of knowledge and skills identified in <i>The Essentials of Masters Education in Nursing</i> . This includes attention to graduation rates, certification pass rates, and job placement.	National: Full Accreditation 2016 State: 2016

E1B: INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

University of Rhode Island Undergraduate Accredited Programs

Program	Professional, Specialized, State, or programmatic accreditations currently held by the institution (by agency or program name)	Date of most recent accreditation action by each agency listed	Summary (“bullet points”) of key issues for continuing accreditation identified in accreditation action letter or report	Key performance indicators as required by agency or selected by program (licensure board, or bar pass rates; employment rates, etc.)	Date and nature of next scheduled review
College of Arts and Sciences					
Chemistry BA, BS Chemistry & Forensic Chemistry BS	American Chemical Society (ACS). The ACS Committee on Professional Training (CPT) is the accrediting body for Chemistry degrees.	2006			2016
Music Education BM	NASM National Association of School of Music RIDE – RI Teacher Standards NCATE – National Teacher Standards	2006 2006 2005	<ol style="list-style-type: none"> 1. No continuing faculty member whose expertise is vocal arts. The voice area is the largest performance area in size. Currently, there are two lecturers teaching voice. 2. Safe and secure storage for student and departmental instruments and equipment. 3. Concert Hall needs renovation to meet safety and professional standards. 4. Music area needs expansion and renovation. Problems include no elevators to upper levels, inadequate acoustical treatment between rooms, not enough teaching and rehearsal space for size of dept, very little storage space... 5. Selected curricular, policy and procedural issues within the department (no faculty handbook, better mentoring system for graduate assistants, etc) 	None at this time.	2016 National Accreditation-music program is reviewed. 2012 State Review of BM in Music Ed. Program K-12 2015 National Review of School of Education
College of Business					
Business BS	AACSB, The Association to Advance Collegiate Schools of Business	Jan 2009	Additional cycles of Assurance of Learning; academically Qualified definition strengthened; strategic planning for retirement	None	2012-2013 Self-Study 2013-2014 Site Visit
College of Engineering					
Biomedical Engineering BS	ABET, Inc	2006	*will be accredited in 2012		
Chemical Engineering BS	ABET, Inc	2006	None	Assessment of Program Educational Objectives and Student Outcomes	Fall 2012

E1B: INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

University of Rhode Island Undergraduate Accredited Programs

Program	Professional, Specialized, State, or programmatic accreditations currently held by the institution (by agency or program name)	Date of most recent accreditation action by each agency listed	Summary (“bullet points”) of key issues for continuing accreditation identified in accreditation action letter or report	Key performance indicators as required by agency or selected by program (licensure board, or bar pass rates; employment rates, etc.)	Date and nature of next scheduled review
Civil Engineering BS	ABET, Inc	2006	*report due 6/12		
Computer Engineering BS	ABET, Inc	October 2006	No deficiencies or weaknesses or concerns reported	N/A	October 2012
Electrical Engineering BS	ABET, Inc	2006	No deficiencies or weaknesses or concerns reported	N/A	2012
Industrial & Systems Engineering BS	ABET, Inc	2006	*report due 6/12		
Mechanical Engineering BS	ABET, Inc	2006	*report due 6/12		
Ocean Engineering BS	ABET, Inc	2006	None	Assessment of specific program educational objectives and student outcomes	Fall 2012
College of Environmental and Life Sciences					
Landscape Architecture BLA	LAAB Landscape Architecture Accreditation Board	March 2010	Stronger objectives, more planning and administration time for Chair, change in student to faculty ratio, increase diversity	http://www.asla.org/AccreditationLAAB.aspx	Fall 2015
Medical Laboratory Science BS	NAACLS National Accrediting Agency for Clinical Laboratory Sciences	2009	No areas of concern	http://www.naacls.org/approval/ca/standards.asp	2012
Nutrition & Dietetics BS	Commission on Accreditation for Dietetics Education, American Dietetics Association	2011	None	Passing rate on national credentialing examination (5yr average >80%)	2016 -Paper Review 2021 –Site Visit
College of Human Sciences and Services					
Education BA	NCATE National Council for the Accreditation of Teacher Education programs	2008	More diversity among faculty and students, more full time faculty, more administrative support,	http://www.ncate.org/public/standards.asp	2012

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University of Rhode Island Undergraduate Accredited Programs

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College of Nursing					
Nursing BS	CCNE Commission on Collegiate Nursing Education Rhode Island Board of Nurse Registration and Nurse Education	2006	All accreditation standards met	NCLEX-RN, licensure pass rates and job placement	2016
College of Pharmacy					
Pharmacy Pharm D	ACPE Accreditation Council for Pharmacy Education	2011	No areas of concern	NAPLEX	2015

Appendix F

Distance Education Programs Form

CIHE DATA FORMS FOR REPORT ON DISTANCE EDUCATION PROGRAMS

INSTITUTION:

TABLE 1. Program and Certificate Description

Note: For Enrollment and other data, use data from current or most recently completed semester for which data are available.

Programs and Certificates in which 50% or more of the credit may be completed entirely on-line

Program or Certificate Name	Level of Degree (A, B, M, D) or Certificate (C)	Initiation Date (First Enrollment) (Year Only)	Number of Required Credits	No. of Credits Which May be Completed On-Line
Graduate Certificate in Digital Forensics	C	2007	15	15
Master in Library & Information Studies	M	1967*	36	Up to 36

Insert additional rows for more programs, if needed.

**Program has gradually offered online courses so that about one-third are fully online.*

CIHE DATA FORMS FOR REPORT ON DISTANCE EDUCATION PROGRAMS

INSTITUTION:

TABLE 2. Students

Note: For Enrollment and other data, use data from current or most recently completed semester for which data are available.

Programs and Certificates in which 50% or more of the credit may be completed entirely on-line

Program or Certificate Name	Matriculated Students	Degree or Certificate Completers to Date	Total Number of Students Taking Courses on Ground*	In-State Students Taking Courses On-Line	Out-of-State Students Taking Courses On-Line	Students Based in Other Countries Taking Courses	Total Number of Students Taking Courses On-Line
Graduate Certificate in Digital Forensics	33	28**	0	36	20	1	57
			246 "seats" filled spring 2012: 101 in 100% or nearly 100% online classes, 69 in blended classes, 44 in f2f classes, and 32 in practica & directed studies				
Masters in Library and Information Studies	134	2840 alums on 2011 mailing list; program dates to 1960s; adoption of online delivery gradual		50	50	1	101
							0
							0
							0
							0
							0
							0
							0
							0
TOTAL	167			86	70	2	158

Insert additional rows for more programs, if needed.

** The program started tracking completions in 2010 so these numbers are the number of graduates from Su'10 and Su'11

Scroll down to next table

CIHE DATA FORMS FOR REPORT ON DISTANCE EDUCATION PROGRAMS

INSTITUTION:

TABLE 3. Faculty

Note: For Enrollment and other data, use data from current or most recently completed semester for which data are available.

Programs and Certificates in which 50% or more of the credit may be completed entirely on-line

Program or Certificate Name	Faculty Teaching in The Program (Headcount)				FTE Faculty in Program	Number with Highest Degree	
	Faculty Employed Full Time at The Institution		Faculty Employed PT at The Institution	Total Faculty in Program		Ph.D or Equivalent	Masters or Equivalent
	FT in Program	PT in Program					
Graduate Certificate in Digital Forensics		1	2	3	2	1	2
				0			
Masters in Library and Information Studies	4	8		12	5	5	8
				0			
				0			
				0			
				0			
				0			
				0			
				0			
				0			
				0			
				0			
				0			
TOTAL	4	9	2	15	7	6	10

Insert additional rows for more programs, if needed.

Scroll down to next table

CIHE DATA FORMS FOR REPORT ON DISTANCE EDUCATION PROGRAMS

INSTITUTION:

TABLE 4. Course enrollments and completions

Note: For Enrollment and other data, use data from current or most recently completed semester for which data are available.

Programs and Certificates in which 50% or more of the credit may be completed entirely on-line

Courses Offered On-Line	Fall	Spring	Year Total*	Fall	Spring	Year Total*	Fall	Spring	Year Total*
	2011	2012							
Graduate Certificate in Digital Forensics									
Undergraduate									
Total Number of courses	1	1	3						
Total on-line enrollments	13	9	22						
On-line course completions	10	8	18						
Graduate									
Total Number of courses	1	1	2						
Total on-line enrollments	22	22	44						
On-line course completions	22	19	41						
Masters in Library and Information Studies									
Graduate									
Total Number of courses (100% online only)	10	6	20						
Total on-line enrollments	174	101	335						
On-line course completions	166	94	318						
TOTAL									
Total Number of courses	12	8	25	0	0	0	0	0	0
Total on-line enrollments	209	132	401	0	0	0	0	0	0
On-line course completions	198	121	377	0	0	0	0	0	0

* For year total, include all offerings, including Fall and Spring terms, short-terms, summer, and non-term-based offerings

Appendix G

Update on Physical Resource Projects

UPDATE ON PHYSICAL RESOURCE PROJECTS

Major projects completed since 2007

IEP Expansion. The University purchased the only remaining fraternity house on Upper College Road to expand the International Engineering Program (IEP). The renovations were completed in 2007. The renovated building, named for donor Texas Instruments, expands the Heidi Kirk Duffy International Engineering Center. The project meets the growing demand for the combined residential/academic program experience that IEP has successfully promoted and managed. To relocate the fraternity that previously occupied the house, the University provided a building site at 11 Fraternity Circle with assistance for site improvements necessary to make the site buildable. Total Project Cost: \$1.8 million.

HOPE Commons. In 2007, the University completed construction of the new Hope Commons Dining Hall, a 47,000 sq. ft. facility featuring a 718-seat dining hall, late night café, and retail market. The new facility received LEED Silver certification. Hope Commons is the first new dining hall on campus in 45 years and replaces the original Hope Dining Hall, built in 1957. Total Project Cost: \$23 million.

Eddy, Garrahy & Wiley Residence Halls. To meet demand for on campus housing, the University opened three new residence halls in 2006 and 2007 with 508 beds in apartment-style units and 292 beds in suite-style units. Each building features a centrally located, grand lounge. These buildings were the first new residence halls built at URI since 1971. Total Project Cost: \$74 million.

Lippitt Hall Renovation. Lippitt Hall, a 36,852 sq. ft. granite block, three-story building with a slate roof, was constructed in 1897 as a dining hall and gymnasium facility. The Lippitt Hall renovation project included slate roof repair, stone re-pointing, window and door replacements, plumbing and HVAC upgrades, accessibility requirements, and restoration of unique architectural features, both interior and exterior. The restored building houses the Mathematics Department and the Honors Program and was completed in 2008. Total Project Cost: \$8.8 million.

The Center for Biotechnology and Life Sciences. This 140,000 square-foot facility houses modern teaching laboratories, cutting edge research laboratories, high-tech facilities for DNA sequencing and analysis, faculty offices, a 100-seat classroom, and a two-story, 300-seat auditorium, all to meet the needs of URI's growing environmental biotechnology, life and health sciences programs. The Center features a dramatic four-story atrium that connects the research wing with the teaching wing, a rooftop patio, an open stairway that suggests the DNA double-helix, and interior spaces designed to encourage interaction among faculty and students. The building was awarded LEED (Leadership in Energy and Environmental Design) Silver certification after its completion in 2009. Total Project Cost: \$59.7 million.

Ocean Science Exploration Center. In 2009, the University opened the Ocean Science and Exploration Center, a new gateway building at its Narragansett Bay Campus. This state-of-the-art, LEED Silver facility will enable the University to remain one of the nation's most prestigious centers of oceanographic research, exploration and education. The new building houses the Pell Marine Science Library and the Inner Space Center, with real-time video and data connections to research vessels. Other building features include exhibit areas, a broadcast facility, administrative offices, research spaces, a café, reading rooms, meeting rooms, an outdoor function space, and a campus computer center. Total Project Cost: \$15 million.

Major projects On-going since 2007.

Butterfield Dining Addition -This project involves renovations and additions to the Butterfield Hall Dining facility to accommodate an increase in student population from the Hillside Residence Hall. As one of the two dining halls operated by the URI Dining Services the facility currently seats approximately 400 in a series of large tables that, while efficient, does not foster the sense of community that a mixed seating arrangement would allow. The project has been conceived as a 5,900 square foot addition along Butterfield Road as well as a remodeling of the 9,750 square foot existing facility. The addition will increase seating by approximately 200 seats and improve waiting and other diner amenities. The renovation will update and increase the efficiency of the existing serving and seating area. In addition the project includes a 1,500 square foot second floor addition and 950 square foot renovations to the Butterfield Residence Hall common areas, which improve the lounge and Living and Learning community within Butterfield Hall. An architect has been assigned and is underway.

Hillside Residence Hall. Hillside Residence Hall is scheduled to open for the 2012-2013 academic year. The new 429-bed facility will be the most energy efficient residential complex on campus, designed to create a more vital campus community through the development of energetic and connected neighborhoods. The 112,500 sq. ft. building features a vegetated roof and solar hot water panels. Hillside Residence Hall will house freshmen and sophomores, and will replace the four-building, 54-bed Terrace Apartments formerly located on Baird Hill Road south and west of the Memorial Union. Total Project Cost: \$45.8 million.

College of Pharmacy Building. Construction of a 150,000-sq.-ft. building to house the College of Pharmacy is near completion. The building will house teaching laboratories and classrooms, research laboratories, faculty and administrative offices, a model retail pharmacy, a cGMP (pharmaceutical production) facility, and outreach programs. The structure is located near the new Center for Biotechnology and Life Sciences, the proposed Chemistry Building, the Nursing School, the Center for Integrative Learning and Technology and the Kingston Coastal Institute, promoting a synergy of activities to enhance the health and environmental sciences focus of the area. Total Project Cost: \$75.2 million.

Energy Conservation/Performance Contracting Phase II. The University entered into an Energy Performance Contract (EPC) with Noresco, an Energy Service Company (ESCO) to purchase energy and water saving improvements in buildings and infrastructure, where the basis for payments is the performance level guaranteed in the contract. Performance contracting is structured so that the cost of implementing the Energy Conservation Measures (ECM) is recovered from cost avoidance achieved by the performance of those measures. The scope of work to be accomplished under the Phase II program includes continuation of lighting fixture replacements and motion sensor installations; window replacements; attic insulation and weatherization; heating, ventilation, and air conditioning improvements; the conversion of electrical heat to gas operation on the Narragansett Bay Campus; and the installation of energy management control systems at various buildings across the University. Current Project Funding: \$5.4 million.

North District Infrastructure. This project provides site-related infrastructure and equipment for new construction projects in URI's "North District" of life science buildings, including the Center for Biotechnology and Life Sciences (CBLS), the College of Pharmacy Building (COP), and new Chemistry Building. Included in the infrastructure work are utility connections and equipment, drainage systems, walkways and parking areas, landscaping, and demolition work. Equipment includes telephone/data hardware, security systems, laboratory equipment, and

furniture and fixtures. Work completed to-date includes 1) construction of a new electrical substation with upgraded feeder and distribution lines, 2) steam line, water and wastewater service line work, and 3) re-grading of Greenhouse Road. Site specific infrastructure and equipment work for CBLS and COP is largely complete. Additional work will be coordinated with the construction of the new Chemistry Building, scheduled to begin in 2012. Total Project Cost: \$10.3 million.

Repaving and Road Construction. The project involves a third phase of the University's progressive efforts to improve circulation by repaving and reconstructing major parking facilities, internal roadways, and walkways across three of its four Campuses. Highlights of this phase include design and construction of 1) an extension of Baird Hill Road and connection to Fraternity Circle, 2) a 1,300 foot connector road between the northwestern bend in Plains Road and the western end of Flagg Road, 3) commuter parking adjacent to the connector road, and 4) new culverts at four road crossings of Whitehorn Brook to improve the drainage of storm water from the Kingston Campus. The two new roadways, to be completed in 2012 and 2013, respectively, are consistent with the Kingston Campus Master Plan. The new pervious surface commuter parking on the periphery supports landscape projects that “green” the campus core for pedestrians. The new culverts completed in 2011 have improved the drainage of storm water. Total Project Cost: \$13.7 million.