



## Board of Trustees

2:00 PM

June 20, 2019

President's Boardroom, Horace Mann Center

- 
- |   |                           |
|---|---------------------------|
| <b>1. Call to Order</b>   | Board Chair Kevin Queenin |
| <b>2. Approval of Minutes</b><br>April 24, 2019<br>May 15, 2019 | Board Chair Kevin Queenin |
| <b>3. General Announcements</b>                                 | Board Chair Kevin Queenin |
| <b>4. President's Report</b>                                    | Dr. Ramon S. Torrecilha   |

### Finance and Capital Assets Committee

Committee Chair Edward Sullivan

- |  |  |
|--|--|
| <b>5. Items for Information</b>  |  |
| <b>6. Items for Action</b>   |  |
| a. Motion – FY20 Operating Budget  |  |
| b. Motion – Capital Projects   |  |
| c. Motion – FY20 Sponsorships  |  |
| d. Motion – Vehicle Lease/Purchase Program                                       |  |
| e. Motion – Fixed Assets, Capitalization, and Inventory<br>Control Policy (0601) |  |
| f. Motion – Investment Advisor   |  |
| g. Motion – Voluntary Separation Incentive Plan                                  |  |
| h. Motion – Emergency Notification System (3030)                                 |  |
| i. Motion – Emergency Response and Preparedness<br>Authorization (3040)          |  |

### Academic and Student Affairs Committee

Committee Chair Robert Martin

- |                                 |  |
|---------------------------------|--|
| <b>7. Items for Information</b> |  |
|---------------------------------|--|

**Advancement and Enrollment Management Committee**

Committee Chair Madeline Landrau

**8. Items for Information**

- a. Marts and Lundy Fundraising Counsel Presentation

Kathy Howrigan, Senior Consultant  
and Principal

**Audit Committee**

Committee Chair Lydia Martinez-Alvarez

**9. Items for Information**

**10. Items for Action**

- a. Motion – Audit Committee Charter Policy (0460)
- b. Motion – Westfield State University Reporting Violation of Laws, Rules or Regulations (Whistleblower) Policy (0440)

**Governance and Nomination Committee**

Committee Chair Steven Marcus

**11. Items for Information**

**12. Items for Action**

- a. Motion – Election of Board of Trustees Officers for 2019-2020

**Item for Discussion**

Board Chair Kevin Queenin

- a. Response to MSCA statement presented to the Board of Trustees on April 24, 2019

**Attachments:**

- a. Minutes of April 24, 2019
- b. Minutes of May 15, 2019

**Finance and Capital Assets Committee:**

- c. Motion – FY20 Operating Budget
- d. Motion – Capital Projects
- e. Motion – FY20 Sponsorships
- f. Motion – Vehicle Lease/Purchase Program
- g. Motion – Fixed Assets, Capitalization, and Inventory Control Policy (0601)
- h. Motion – Investment Advisor
- i. Motion – Voluntary Separation Incentive Plan
- j. Motion – Emergency Notification System (3030)
- k. Motion – Emergency Response and Preparedness Authorization (3040)

**Audit Committee:**

- l. Motion – Audit Committee Charter Policy (0460)
- m. Motion – Westfield State University Reporting Violation of Laws, Rules, or Regulations (Whistleblower ) Policy (0440)

**Governance and Nomination Committee:**

- n. Motion – Election of Board of Trustees Officers for 2019-2020



**BOARD OF TRUSTEES**  
**Minutes**

President’s Boardroom, Horace Mann Center  
April 24, 2019

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**MEMBERS PRESENT:** Chair Kevin Queenin, Vice Chair Linda Slakey, Secretary Madeline Landrau, Terrell Hill, Robert Magovern, Robert Martin, Lydia Martinez-Alvarez (joined the meeting at 3:11 PM), Edward Sullivan and Cameron Swan.

**MEMBERS EXCUSED:** James Hagan and Steven Marcus.

Dr. Ramon S. Torrecilha, President of Westfield State University, was also present.

The meeting was called to order at 2:15 PM by Chair Queenin, who announced that some of the agenda items would be moved around to accommodate the Union members and students present.

**MOTION** made by Trustee Magovern, seconded by Trustee Landrau, to approve the minutes of the February 7, 2019 Board of Trustees meeting. **Trustee Sullivan abstained from voting and the Motion passed unanimously.**

**MOTION** made by Trustee Swan, seconded by Trustee Sullivan, to approve the minutes of the April 2, 2019 Special Board of Trustees meeting. **Motion passed unanimously.**

**MOTION** made by Trustee Martin, seconded by Trustee Magovern, to designate Board Chair Kevin Queenin to review and approve the executive session portion of the minutes of the Special Board of Trustees meeting on April 2, 2019. **Motion passed unanimously.**

Chair Queenin recognized Academic and Student Affairs Committee Chair Martin who stated that the committee approved unanimously the recommendation for those candidates that were brought for tenure and promotion. He mentioned the rigorous evaluation process for tenure which lasts a whole year, and thanked the chairs of academic departments, the faculty serving on evaluation committees, and the deans and committees on the tenure on promotion process. Dr. Diane Prusank, Provost and Vice President of Academic Affairs, brought forward candidates for tenure and tenure with automatic promotion, recognizing them and giving examples of their teaching and service to the University.

**MOTION** made by Trustee Martin, seconded by Trustee Hill, to approve the granting of tenure, effective September 1, 2019, to:

- |                    |                          |
|--------------------|--------------------------|
| Dr. Andrew Hafner  | Education                |
| Dr. Jennifer Hixon | Health Sciences          |
| Dr. Rebecca Morris | Economics and Management |
| Dr. Alice Perry    | Criminal Justice         |
| Dr. Jamie Rivera   | Nursing                  |

To approve the granting of tenure with automatic promotion, effective September 1, 2019, to:

Dr. Felicia Barber	Music
Dr. Steve Bou ghosn	Computer and Information Science
Ms. Rebecca Brody	Library
Dr. Brian Chen	English
Dr. Robin White	Biology

**Motion passed unanimously.**

Chair Queenin asked that anyone planning to record the meeting to please acknowledge. Student Marcus DiBacco stated that the students' presentations would be recorded for the benefit of their parents.

Dr. Prusank continued by bringing forward candidates for promotion, recognizing them and giving examples of their teaching and service to the University. Trustee Martin recognized the serious work that is represented through the evaluations and portfolios, showing the commitment the faculty has to teaching. The candidates are consistently being teacher scholars and good institutional citizens, which is reflected in the classrooms.

**MOTION** made by Trustee Martin, seconded by Trustee Magovern, to approve the granting of promotion to the rank of Professor, effective September 1, 2019, to:

Dr. Joseph Camilleri	Psychology
Dr. Stephanie Grimaldi	Education
Dr. Sonya Lawson	Music
Dr. Jorge Reyes	Psychology
Dr. Sophia Sarigianides	English
Mr. David Shapleigh	Art
Dr. Tarin Weiss	Chemical and Physical Sciences

To approve the granting of promotion to the rank of Associate Professor, effective September 1, 2019, to:

Dr. Heather Brown	Political Science
Dr. Joan Kuhnly	Nursing
Dr. Hugo Viera	Language and Culture Studies

**Motion passed unanimously.**

Chair Queenin also thanked the faculty members for making a difference in the students' lives. He acknowledged Professors Dr. C. Margot Hennessy, Dr. Claudia Ciano-Boyce, and Dr. Kimberly Tobin, as well as President Torrecilha and the Board of Trustees, especially Trustees Martin and Sullivan. Representatives from the Board of Trustees have had three meetings with representatives from the Massachusetts State College Association (MSCA) Westfield chapter and have met numerous times with President Torrecilha to work on issues raised by the MSCA leadership. The Board of Trustees acknowledges its responsibility in improving communication with faculty, staff, students and administrators, and the next agenda item is a presentation by the MSCA leadership, which the Board hopes will improve communication.

Professor Rebecca Olander, a member of the Executive Council of MSCA, thanked students for coming and acknowledged colleagues being recognized for tenure and promotion. Professor Olander then read a statement from the local MSCA chapter, which asked six questions for consideration and response by the Board of Trustees at a later date. Chair Queenin stated that the Trustees will review the questions and

determine how to respond.

Trustee Martin stated that a significant part of the committee meeting was focused on a discussion of the Westfield State Experience and how to enhance student engagement. Ms. Susan LaMontagne, Interim Vice President of Student Affairs, introduced the following students, who have taken part in the Westfield State Experience. Trustee Martinez-Alvarez joined the meeting at 3:11 PM.

It was announced that this portion of the meeting would be video recorded. Caitlyn Hurley, a senior Communications major, stated that she has created and owned her experience at Westfield State and has a passion for student conduct and working in higher education. Zuleyka Contreras-Joubert, a Business major, stated that business school is no longer her plan as she found passion for higher education here at Westfield State and is planning to work in that field. Giana Dean is a senior majoring in Criminal Justice, looking for employment in the cybersecurity field. She also received the 29 Who Shine award. Being a student ambassador made her reflect on what type of leader she wanted to become. All three students commented on how their Westfield State Experience included clubs, committees, activities, and mentors which helped them gain the knowledge and skills to succeed.

The meeting moved to agenda item Parenzo Hall Architect Presentation and the design team from Miller Dyer Spears (MDS) was introduced, as well as Ms. Mila Mendoza from the Division of Capital Asset Management and Maintenance (DCAMM). Mr. James Loftus, principal in charge at MDS, gave the firm's background and showed the presentation given to the Design Selection Board (DSB) for the Parenzo project , highlighting certain threads and showing how they will communicate with the campus community.

The meeting moved to the President's Report. President Torrecilha stated that he enjoyed hearing the presentations from the students on their experiences. He shared postgraduate outcomes and the intentionality of our outcomes so students can transition into the labor force or graduate school. A survey of 2017 graduates showed a 30% return, which was compiled into the Class of 2017 Postgraduate Report, which will continue to be used to market Westfield State.

Trustee Magovern left the meeting at 3:56 and returned at 3:57 PM.

Chair Queenin recognized Finance and Capital Assets Committee Chair Sullivan, who recognized Trustees Queenin, Swan and Marcus, as well as Stephen Taksar, Vice President for Administration and Finance, for their work on the Investment subcommittee, and stated there was one item for action.

**MOTION** made by Trustee Sullivan, seconded by Trustee Swan, to engage the services of Vanguard in accordance with the Investment Management Services RFP (2019-004). **Motion passed unanimously.**

Chair Queenin recognized Advancement and Enrollment Management Committee Chair Landrau who highlighted the committee meeting conversations surrounding the funnel reports, financial aid consulting firm, five-year projections, Advancement Dashboard, Interfaith breakfast, fundraising counsel, and *Pathways to Excellence*.

Chair Queenin recognized Audit Committee Chair Martinez-Alvarez who said stated the committee discussed the Associate Director of Risk Management position and plans to schedule another meeting to spend more time focusing on that job description and the Whistleblower policy.

**MOTION** made by Trustee Martinez-Alvarez, seconded by Trustee Slakey, to engage the accounting firm of O'Connor and Drew, P.C. for FY19 audit services. **Motion passed unanimously.**

Chair Queenin recognized Governance and Nominating Committee Vice Chair Hill who stated the committee had discussions about new Trustee orientation and suggestions on information to add to the orientation process.

Discussion turned to moving forward in discussions with the MSCA Union representatives and the need to narrow down specifics to work on. The Board's responsibility now is to respond to the questions posed by the MSCA, giving specificity with actions. Trustee representatives have met with the President and Cabinet to have a cohesive discussion of how to fix issues identified by the MSCA and move on. Fundamentally there is a misunderstanding about shared governance. The Board's next step is to answer the six questions posed by the Union.

There being no further business, **MOTION** made by Trustee Magovern, seconded by Trustee Martinez-Alvarez, to adjourn. **Motion passed unanimously.**

Meeting adjourned at 4:27 PM.

Attachments presented at this meeting:

- a. Minutes of February 7, 2019
- b. Minutes of April 2, 2019
- c. Handout: MSCA Statement to the Westfield Board of Trustees 4/24/2019

Academic and Student Affairs Committee:

- d. Motion – Tenure
- e. Motion – Promotion

Finance and Capital Assets Committee:

- f. Motion – Investment Advisor

Audit Committee:

- g. Motion – Audit Firm Selection

**Secretary's Certificate**

I hereby certify that the foregoing is a true and correct copy of the approved minutes of the Westfield State University Board of Trustees meeting held on April 24, 2019.

\_\_\_\_\_  
Madeline Landrau, Secretary

\_\_\_\_\_  
Date



**BOARD OF TRUSTEES**

**Special Meeting**

**Minutes**

President’s Boardroom, Horace Mann Center

May 15, 2019

**MEMBERS PRESENT:** Chair Kevin Queenin, Robert Magovern, Robert Martin, Lydia Martinez-Alvarez, Edward Sullivan and Cameron Swan.

**MEMBERS PARTICIPATING REMOTELY:** Vice Chair Slakey and Secretary Landrau.

**MEMBERS EXCUSED:** Trustees Hagan, Hill and Marcus.

Dr. Ramon S. Torrecilha, President of Westfield State University, was also present.

The meeting was called to order at 4:05 PM by Chair Queenin, who stated that Trustees Landrau and Slakey were participating remotely and that all votes would be by roll call.

Chair Queenin stated that he received a complaint by email on April 27, 2019, which needed to be reviewed by the Board within 14 business days. The complaint alleges that the email dated March 8 , 2019, which was sent on behalf of the Chair of the Board, was said to have been reviewed by the Board, but there had not been a Board meeting at which there could be a deliberation. The complaint also alleges that the email dated April 17, 2019, sent on behalf of the Board of Trustees, also expressed an opinion of the board that had not been discussed in an open meeting.

The law requires that the Board reply to the complaint, or delegate the authority to reply to the complaint to another. Chair Queenin would like the Board to delegate authority to reply to the complaint to Rubin and Rudman, LLP.

**MOTION** made by Trustee Martin, seconded by Trustee Sullivan, to delegate to Rubin and Rudman LLP the task of responding to the April 27, 2019 Open Meeting Law Complaint.

**ROLL CALL VOTE** taken:

Kevin Queenin	Yes	Edward Sullivan	Yes
Robert Magovern	Yes	Cameron Swan	Yes
Robert Martin	Yes	Linda Slakey	Yes
Lydia Martinez-Alvarez	Yes	Madeline Landrau	Yes

**Motion passed unanimously.**

Rubin and Rudman advised Chair Queenin to read the email which the assistant to the Board was instructed to send to Board members on April 14, 2019. Chair Queenin read the April 14 email with the attached draft letter into the meeting record to rectify any error made when the assistant sent these documents to the Board.

Through its assistant, the Board endeavored to comply with Open Meeting Laws. As seen in the April 14 email, it was believed that an e-mail exchange between Trustees would violate the law. However, sending a single opinion to a quorum of the Board violated the law, even if no Trustee replied.

Chair Queenin stated he regretted the error and it will not happen again. He said he believes the Board and its staff are due for a refresher on the Open Meeting Law, which will be arranged.

Chair Queenin also read the email which was sent on March 8, 2019, on behalf of the Board of Trustees.

It was asked what the actual error was and Chair Queenin responded that the email sent to the Board on April 14 asked them to review the draft letter and to respond directly to him. He then arranged to have the letter sent out to the campus community without having an open meeting to discuss the contents of the letter. When any opinions are reviewed or discussed, they need to be vetted in an open meeting.

It was questioned whether there is a similar restriction on the Union. The Union does not have open meetings, so there is no Open Meeting Law requirements for their meetings.

There being no further business, **MOTION** made by Trustee Magovern, seconded by Trustee Landrau, to adjourn.

**ROLL CALL VOTE** taken:

Kevin Queenin	Yes	Edward Sullivan	Yes
Robert Magovern	Yes	Cameron Swan	Yes
Robert Martin	Yes	Linda Slakey	Yes
Lydia Martinez-Alvarez	Yes	Madeline Landrau	Yes

**Motion passed unanimously.**

Meeting adjourned at 4:25 PM.

Attachments presented at this meeting:

- a. Open Meeting Law Complaint dated April 27, 2019
- b. Email of March 8, 2019
- c. Email of April 14, 2019
- d. Email of April 17, 2019

**Secretary's Certificate**

I hereby certify that the foregoing is a true and correct copy of the approved minutes of the Westfield State University Board of Trustees meeting held on May 15, 2019.

\_\_\_\_\_  
Madeline Landrau, Secretary

\_\_\_\_\_  
Date



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To approve the FY20 Operating Budget as presented and to authorize the President to make budget adjustments to these funds.

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Kevin R. Queenin

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Date

**Westfield State University**  
Finance and Capital Assets Committee

**FY20 Budget Narrative**

June 20, 2019

**OVERVIEW**

The campus has developed the FY20 budget based on board approved parameters, models/fees and priorities as defined in the new strategic plan. The overall proposed budget is aligned to these budget drivers and campus priorities.

In FY20, it is expected that several external factors will place financial pressure on the campus:

- 1) Collective bargaining impacts are not fully funded by state appropriation.
- 2) Enrollment projections are on a downward trend as demographics shift resulting in fewer high school graduates, particularly in New England.
- 3) The Residential Life budget, excluding Lansdowne, is projecting an \$800K loss due to lower projected occupancy rates and increasing annual debt service.
- 4) Dining Services is also impacted by the enrollment trend and is responding with cost reduction strategies that will be challenging to maintain long-term.

The campus is responding to these issues by diligently exploring several options to support financial stability while working to prevent these pressures from impacting cost of attendance for our students. The campus is leveraging anticipated FY19 one-time funding in an effort to advance certain aspects of the strategic plan and capital projects. This alleviated pressure on the FY20 budget and supports investment in high impact initiatives. The campus also recognizes the impact of financial growth in CGCE programs through an increase in enrollment in the RN-to-BSN, MSW, and PA programs. When compared to our peer institutions, our campus has successfully managed the declining enrollment, mainly due to conservative financial planning and prudent budget management.

**ENROLLMENT**

FY19 enrollment was budgeted at 4,350 students, however, preliminary results reflect an undergraduate enrollment decrease of approximately 109 students (headcount). Following the declining enrollment trend, FY20 projections have shifted from 4,300 to 4,223, a decrease of approximately 77 students. The previous fall entering class was projected to be 1,440 students; 1,100 new entering students and 340 transfer students. FY20 entering class is expected to be comprised of 1,065 new entering students and 325 transfer students for a total of 1,390 students. While current deposits are tracking slightly higher than last year, the campus is assuming the budgeted entering class of 1,390 will be met.

## **CAMPUS STRATEGY TO BALANCE BUDGET**

The revenue impact of lower enrollment in FY20 is a shortfall of approximately \$830K, creating a structural budget deficit.

The campus employed the following strategies to balance the budget:

- 1) Reduce base funding by \$500K in the Strategic Plan, leaving \$500K in the budget.
- 2) A \$100K reduction to capital plan funding.
- 3) Assume salary savings of \$130K.
- 4) An additional \$50K in net contribution from CGCE.
- 5) Non-personnel operating budget reductions of approximately \$50K.

While the base funding for the strategic plan is decreasing in next year's budget, the campus increased support for the strategic plan in FY19 by reallocating \$203K in one time funding. It is critical that the campus maintain some level of investment in strategic priorities to advance institutional goals.

## **REVENUES**

Revenues are projected to increase by 3% or \$3.7M over last year's budget mainly due to an increase in state appropriation of \$2M, fee increases of \$1.9M, and grant revenue of \$483K, offset by a \$700K reduction in residence and dining fees due to lower occupancy and participation rates. The campus is also expecting approximately \$300K of additional investment income which was offset by additional scholarship allowance.

Board approved fee increases for undergraduate and CGCE have been integrated in the budget (refer to *Schedule of Annual Tuition and Fees – Approved and Final 2-7-19*). Total cost of attendance for an in-state on campus residential student would be 3.5% or \$741 and 4% or \$420 for a commuter student. This increase does not change Westfield's relative "sticker price" compared to other Massachusetts state universities.

- Residential Life rent revenue is expected to remain relatively flat due to a decrease in occupancy rates offset by a 3% increase in room rates.
- Dining Services revenue is projected to decline by 4% or approximately \$445K due to the decline in occupancy in housing which requires a meal plan, coupled with an increase in transfer students not living on campus.
- CGCE revenue is increasing by approximately \$1.1M or approximately 10% over last year's budget for a total of \$12.1M mainly due to growth in enrollment in the RN-to-BSN, MSW and PA programs.

## **EXPENSES**

Operating expenses are increasing by \$5.5M or roughly 5% over FY19 as a result of the following:

- Compensation and fringe rate expenses totaling \$3.5M over FY19 due to an overall salary increase for the campus of 2% for all employees plus the fringe impact. The fringe rate increased from 36.6% to 37.99% mainly due to a payroll tax increase.
- Operating budgets increased by \$375K mainly due to anticipating a 2% collective bargaining increase for adjuncts for FY18 – FY20.
- Strategic investments was reduced from \$1.2M in FY19 to \$500K next year. The campus has increased one time funding in FY19 by \$203K.
- As anticipated, the MSCBA assessment for Residence Life increased by \$900K.

While expenses exceed revenues by \$3M, it is important to note the following:

- 1) Capital rollover funds represents approximately \$1.5M due to several projects that are expected to remain incomplete by year-end including camera installation, several DCAMM funded projects, paving, and drainage.
- 2) Operating contingency of \$1.3M is built into the expense category and is a combination of true contingency which includes \$650K in operating contingency for the campus and projected surplus of \$518K in CGCE. The contingency is used to hedge against an unplanned tuition shortfall or one-time unplanned expenses which are necessary to fund.
- 3) Potential planned use of reserves is mainly in residential life, grants, and athletics.

### **COLLEGE OF GRADUATE AND CONTINUING EDUCATION (CGCE)**

FY20 revenue of \$12.1M which represents an increase of 11%, or approximately \$1.2M when compared to prior year based on projected credits counts at the FY20 tuition rate and increased enrollment rates in the RN-to-BSN, MSW and PA programs. All other programs are expected to experience either flat or moderate growth. Expenses are increasing mainly due to program expansion as well as compensation increases related to collective bargaining and the addition of two new positions; one employee to support expansion of the Westfield Promise and one student support staff member.

Non-credit programs administered by CGCE are represented within the Other Trust Fund category in the *Detailed Budget by Trust Fund* summary document. Non-credit is projecting a surplus of \$78K which is also identified as an operating contingency.

### **AUXILIARIES (RESIDENTIAL LIFE AND DINING SERVICES)**

- Residential Life – Rates are increasing by 3% in FY20 while occupancy rates are projected to decline in FY20 to an average of 89%. In FY20, Residential Life will be required to utilize reserves in order to balance its budget mainly due to an expected increase in the U-Hall debt service of approximately \$900K offset by \$100K in additional summer conference revenue related to securing a new police academy contract. Residential Life is assessing ways to balance its budget in the long term as declining enrollment and a

competitive off-campus housing market are expected to further cause financial limitations.

- **Dining Services** - Despite a 3% increase to the average meal plan, revenue is expected to be 4% lower than prior year mainly due to lower on campus housing occupancy. For instance, revenue was projected at \$11.1M in FY19 and \$10.6M in FY20, a drop of approximately \$500K. Budget adjustments have been made to produce a balanced budget and Dining Services remains committed in FY20 to a \$2.4M university assessment. Renovation of the Wilson Café (predominately used by commuters) is targeted as a priority capital improvement project for Dining Services, however, it's expected that the project will begin at the end of FY20 and carry into FY21.

**CAPITAL BUDGET**

The capital budget is projected to be approximately \$4.4M, which is higher than FY19 mainly due to the addition of \$340K in Dining Services renovation projects as well as a slight increase in capital rollover funding, offset by a \$100K campus cost reduction in support of solving the structural deficit. Capital rollover funding is assumed to be approximately \$1.5M with several ongoing projects not yet completed due to delayed funding for DCAMM critical repair projects. The projected capital budget excludes funding for the renovation of Parenzo Hall as our portion will be funded from cash reserves.

Major capital investments include:

- Several deferred maintenance projects as partially funded by DCAMM - \$700K.
- Classroom technology - \$400K.
- Campus camera installation - \$131K.
- IT infrastructure and lifecycle investments - \$300K.

DCAMM revised its allocation of emergency funding and deferred maintenance funding in FY19 and moved toward a five year annual allocation plan to provide each campus with matching funds for projects. The campus is required to use the Sightlines data as benchmarks for approved projects and related funding. Due to this change, the campus is able to anticipate funding amounts as well as plan multi-year projects. A snapshot of the five year funding arrangement is provided below:

**DCAMM Funds + University Matching = \$9,496,980 over 5 Years**

	68%	32%	
	DCAMM	WSU	Total
FY19 Year 1	1,112,073	528,907	\$ 1,640,980
FY20 Year 2	1,457,029	692,971	\$ 2,150,000
FY21 Year 3	1,670,501	794,499	\$ 2,465,000
FY22 Year 4	1,251,012	594,988	\$ 1,846,000
FY23 Year 5	945,375	449,625	\$ 1,395,000
<b>Total Funding</b>	<b>6,435,990</b>	<b>3,060,990</b>	<b>9,496,980</b>

## **PLANNED USE OF RESERVES**

Planned use of reserves is an estimate based on the assumption that reserves will be needed next year. For FY20, the estimated amount is \$1.5M mainly due to a deficit in Residential Life of approximately \$800K. Residential Life has accumulated reserves which can be used to support its operation. Other requests for use of reserves include approximately \$600K from across various campus groups including Athletics, CURCA, Counseling Center, and SGA Fundraising.

## **STRATEGIC PLAN INVESTMENT**

Overall the campus has allocated \$788K in strategic plan funding. Due to anticipated budget favorability in FY19, the campus was able to advance \$203K of funding for the plan in support of one-time high impact investments. The campus has allocated \$585K for strategic plan funding in FY20 in support of the following goals: 1) student experience; 2) enrollment; 3) culture; and 4) institutional resources. The following themes were viewed as high priority to the campus: core curriculum, academic programs, student support, enrollment, retention, diversity, optimizing resources, and investing in technology solutions (refer to attached summary *FY19 & FY20 Strategic Plan Cabinet Funding Recommendations*).

## **SUMMARY**

The campus has carefully evaluated the balance between affordability, enrollment, and strategic investments. The highest priorities in FY20 are going to be: 1) creating financial stability through enhanced planning; 2) developing ways to attract and retain students; and 3) investing in the strategic plan which will position the campus to be an institution of choice in a highly competitive market. It is expected that enrollment will continue to decline through FY23 and level off in FY24.

**Westfield State University**  
**FY20 Campus Budget**  
**Final Budget as of 6/20/19**

	<b>FY20 Budget</b>	<b>FY19 Budget</b>	<b>\$ Change</b>	<b>% Change</b>
<b><u>Revenue</u></b>				
Scholarship Allowance	(10,610,448)	(10,310,448)	(300,000)	3%
Tuition and Fees	59,002,807	57,114,036	1,888,771	3%
Federal Grants and Contracts	9,271,568	8,958,252	313,316	3%
State Grants and Contracts	2,585,000	2,515,000	70,000	3%
Private Grants and Contracts	478,000	378,000	100,000	26%
Residence Fees	19,411,659	19,634,195	(222,536)	-1%
Dining Fees	10,636,124	11,082,010	(445,886)	-4%
Other Operating Revenues	2,255,890	2,389,680	(133,790)	-6%
Commissions	550,000	545,500	4,500	1%
State General Appropriations	29,463,260	27,364,967	2,098,293	8%
Foundation Support	430,000	425,000	5,000	1%
Investment Income	677,400	370,000	307,400	83%
<b>Total Revenue</b>	<b>124,151,260</b>	<b>120,466,192</b>	<b>3,685,068</b>	<b>3%</b>
<b><u>Expenses</u></b>				
Personnel	54,766,124	51,929,167	2,836,957	5%
Fringe Benefits	10,527,350	9,804,671	722,679	7%
Operations	31,342,404	30,967,990	374,414	1%
Strategic Investments	500,000	1,200,000	(700,000)	-58%
Utilities	4,541,635	4,512,929	28,706	1%
Debt Payments	2,465,435	2,447,335	18,100	1%
Operating Contingency	1,309,799	980,952	328,847	34%
Capital Projects	4,592,092	4,020,677	571,415	14%
Scholarships	4,270,134	3,867,872	402,262	10%
Transfers	-	-	-	-
MSCBA Assessment	12,897,864	11,996,343	901,521	8%
<b>Total Expense and Transfers</b>	<b>127,212,838</b>	<b>121,727,936</b>	<b>5,484,902</b>	<b>5%</b>
<b>Net Revenue over Expense</b>	<b>(3,061,579)</b>	<b>(1,261,744)</b>	<b>(1,799,835)</b>	<b>143%</b>
Planned Use of Reserves	1,529,486	261,744	1,267,742	484%
Capital Rollover	1,532,092	1,000,000	532,092	53%
	<b>3,061,579</b>	<b>1,261,744</b>	<b>1,799,835</b>	<b>143%</b>
<b>Net Surplus/(Loss)</b>	-	-	-	-

**Westfield State University**  
**FY20 Detailed Budget by Trust Fund**  
**Final Budget as of 6/20/19**

	Operating Budget	Grants	Capital Project Fund	CGCE	Residential Life	Dining Services	Other Trust Funds	FY20 Budget All Funds	Notes
<b>Revenue</b>									
Scholarship Allowance		(10,610,448)						(10,610,448)	
Tuition and Fees	46,660,681			12,142,126			200,000	59,002,807	
Federal Grants and Contracts		9,271,568						9,271,568	
State Grants and Contracts		2,585,000						2,585,000	
Private Grants and Contracts		200,000					278,000	478,000	
Residence Fees					19,411,659			19,411,659	
Dining Fees						10,636,124		10,636,124	
Other Operating Revenues	952,760				325,000		978,130	2,255,890	(1)
Commissions	438,000				112,000			550,000	
State General Appropriations	29,463,260							29,463,260	
Foundation Support	430,000							430,000	
Investment Income	677,400							677,400	
<b>Total Revenue</b>	<b>78,622,101</b>	<b>1,446,120</b>	<b>-</b>	<b>12,142,126</b>	<b>19,848,659</b>	<b>10,636,124</b>	<b>1,456,130</b>	<b>124,151,260</b>	
<b>Expenses</b>									
Personnel	46,458,638	275,000		3,425,727	2,324,842	2,230,751	51,166	54,766,124	
Fringe Benefits	7,380,589	105,508		1,373,379	808,928	835,089	23,857	10,527,350	
Operations	16,840,616	741,112		4,309,581	3,042,853	4,750,111	1,658,131	31,342,404	(2)
Strategic Investments	500,000							500,000	
Utilities	2,899,330				1,642,305			4,541,635	
Debt Payments	2,152,431					313,004		2,465,435	
Operating Contingency	650,000			501,998		79,771	78,031	1,309,799	
Capital Projects			4,432,092			160,000		4,592,092	
Scholarships	3,438,875	324,500		65,000	350,169	26,590	65,000	4,270,134	
Transfers	(1,679,473)	133,573	(2,900,000)	2,466,441	(421,349)	2,400,808		-	(3)
MSCBA Assessment					12,897,864			12,897,864	
<b>Total Expense and transfers</b>	<b>78,641,007</b>	<b>1,579,693</b>	<b>1,532,092</b>	<b>12,142,126</b>	<b>20,645,612</b>	<b>10,796,124</b>	<b>1,876,184</b>	<b>127,212,838</b>	
Net Revenue over Expense	(18,906)	(133,573)	(1,532,092)	-	(796,953)	(160,000)	(420,054)	(3,061,579)	
Planned Use of Reserves	18,906	133,573			796,953	160,000	420,054	1,529,486	
Capital Rollover			1,532,092					1,532,092	
Total Reserves	18,906	133,573	1,532,092	-	796,953	160,000	420,054	3,061,579	
Net Surplus/(Loss)	-	-	-	-	-	-	-	-	

**Notes:**

1. Other Operating Revenues consist of parking revenues, application fees, phone fee, non-credit program revenue and other miscellaneous fees
2. Includes \$250k for contractual increases and health and safety priorities.
3. Transfers represent the movement of cash from one trust fund to another (for example, dining services will transfer \$2.4m to the University's Operating Budget).
4. Planned Use of Reserves may require immaterial adjustments due to year end account validation.

**WESTFIELD STATE UNIVERSITY**  
**Schedule of Annual Tuition and Fees**  
**FY19 - FY20 Comparison**

**Final Approved as of June 20, 2019**

	FY19	FY20	\$	%
	Approved	Preliminary	Change	Change
<b>TUITION:</b>				
<b>√ Resident</b>	970	970	-	0.0%
Proximity	1,455	1,455	-	0.0%
Non-Resident & Foreign	7,050	7,050	-	0.0%
<b>MANDATORY FEES:</b>				
Student Activity	123	123	-	0.0%
General Fee*	8,506	8,926	420	4.9%
Capital Improvement Fee	100	100	-	0.0%
Technology Fee	730	730	-	0.0%
<b>√ Total Mandatory Fees</b>	<b>9,459</b>	<b>9,879</b>	<b>420</b>	<b>4.4%</b>
<b>Total In-State Tuition/Fees</b>	<b>10,429</b>	<b>10,849</b>	<b>420</b>	<b>4.0%</b>
<b>ROOM:</b>				
Apartments	8,610	8,860	250	2.9%
<b>√ Dormitories</b>	<b>6,660</b>	<b>6,850</b>	<b>190</b>	<b>2.9%</b>
New Dorm (single)	9,910	10,200	290	2.9%
New Dorm (double)	8,710	8,960	250	2.9%
University Hall (single)	9,380	9,650	270	2.9%
University Hall (double)	8,170	8,400	230	2.8%
Lansdowne (one bedroom - premium)	9,460	9,744	284	3.0%
Lansdowne (two bedroom)	8,480	8,734	254	3.0%
<b>BOARD:</b>				
Unlimited Meal Plan (NEW)	4,243	4,371	128	3.0%
On the Go Meal Plan (commuters/apt. residents only)(NEW)	1,409	1,451	42	3.0%
<b>√ 14-Meal Plan (DC Basic Plan)</b>	<b>4,010</b>	<b>4,131</b>	<b>121</b>	<b>3.0%</b>
<b>Total Residential Cost of Attendance</b>	<b>21,099</b>	<b>21,840</b>	<b>741</b>	<b>3.5%</b>
<b>OTHER FEES:</b>				
Student Teaching (practicum) Fee	250	250	-	0.0%
Nursing Fee	1,158	1,194	36	3.1%
Late Registration Fee	25	25	-	0.0%
Late Payment Fee	100	100	-	0.0%
Bad Check Fee	25	25	-	0.0%
Reinstatement Fee	50	50	-	0.0%
ID Card Replacement Fee	30	30	-	0.0%
Parking	100	100	-	0.0%
Parking-DGCE	60	60	-	0.0%
<b>WAIVABLE FEES:</b>				
Student Health Insurance	2,985	3,444	459	15.4%
Wellness Center	185	185	-	0.0%
Lifetime Owls (opt in fee)	75	75	-	0.0%

√ Average student annual cost is calculated using the gray shaded areas.

Westfield State University  
 FY19 & FY20 Strategic Plan  
 Cabinet Funding Recommendations

FY19							
Goal	Initiative	Action Item	Lead Implementor	Lead Assessor	Division	FY19 1-Time Funding	Notes / Expense Type
1 - Student Experience	Student Support / Success	Orientation Software	WSE working committee Orientation Coordinator	Orientation Coordinator	SA	26,000	Orientation software
2 - Enrollment	Retention	Blackbaud Software	Lisa McMahon, Director Institutional Advancement	Erica Broman	IA	12,000	Utilize Blackbaud/Academic Works Software to cultivate donors and increase endowed scholarships
4 - Institutional Resources	Diversify and expand revenue sources	IA Consultant	Erica Broman	Erica Broman	IA	50,000	Feasibility study to assess institutional capacity for comprehensive campaign
4 - Institutional Resources	Diversify and expand revenue sources	Pathways/Data Cleaning	Erica Broman	Erica Broman	IA	35,000	Data Accuracy and Increased Data Capture
4 - Institutional Resources	Upgrading Technology	Ely Network	Alan Blair	Steve Taksar	A&F	80,000	Network Upgrades
<b>Total FY19</b>						<b>203,000</b>	

FY20							
Goal	Initiative	Action Item	Lead Implementor	Lead Assessor	Division	FY20	Notes
1 - Student Experience	Core Curriculum	Core Reform	Dean of Undergraduate Studies	Provost	AA	33,000	
1 - Student Experience	Academic Programs	Program Dev./Lab Techs	College Deans	Provost	AA	41,000	Program Growth is accelerated
1 - Student Experience	Student Support / Success	Multiple Initiatives	Dean of Faculty and Dean of Students	Provost	AA	51,000	Ready Education Campus App and First Year Read
2 - Enrollment	Enrollment	Financial Aid	EM Team	EM Team	EM	60,000	Financial Aid increase
2 - Enrollment	Enrollment	Financial Aid Position	Director of Athletics, Dick Lenfest	Director of Athletics, Dick Lenfest, and VP EM, Dan Forster	EM	46,000	Engage Campus in Recruitment: Athletics Recruiter to focus on recruitment, retention, mentoring and support of coordinating a total program of Student-Athlete recruitment. NCAA Grant
2 - Enrollment	Retention	Westfield State Experience - Multiple Initiatives			SA	19,000	
3 - Culture	Diversity & Inclusion	Investigator / Restructure	Diversity Officer	AVPHR/Chief of Staff	A&F	100,000	Additional roles, duties, and responsibilities taken on by HR Staff as well as the Office of Diversity
3 - Culture	Diversity & Inclusion	Diversity Op Budget	Diversity Officer	AVPHR/Chief of Staff	A&F	20,000	Diversity Office Operating Budget
3 - Culture	Employer of Choice	OnBoarding	AVP HR	VPAF	A&F	4,000	
3 - Culture	Employer of Choice	Food Campus Events	Director of Dining Services	Chief of Staff	A&F	17,000	Build Community through support for Holiday Lunch, Convocation BBQ, Homecoming & Family Weekend.
3 - Culture	Employer of Choice	Campus Culture	AVP HR, Jalisa Williams	VPAF/Chief of Staff: Steve Taksar / Susan Leggett	A&F	30,000	
4 - Institutional Resources	Optimize use of current resources	Budget Software	Maria Feuerstein	Steve Taksar	A&F	40,000	
4 - Institutional Resources	Optimize use of current resources	Innovation Fund	Director of Budget	VPAF	A&F	20,000	Special Innovation Fund
4 - Institutional Resources	Upgrading Technology	Digital Inst Repository	ITS / AIS	VPAF / Provost	A&F	11,000	The digital Institutional Repository will serve as a platform for public academic and archival documents of the university. It will include the University Archives, student capstone, research projects, and theses, faculty works, and learning objects.
4 - Institutional Resources	Upgrading Technology	Event calendar	ITS / AIS	VPAF / Provost	A&F	-	
4 - Institutional Resources	Upgrading Technology	Camera Maintenance Phase 2	Alan Blair	Steve Taksar	A&F	8,000	
<b>Total FY20</b>						<b>500,000</b>	

*Transfer to FY20 Due to Timing Issues; Swap timing to Advance Fund Academic Affairs Purchases*

Goal	Initiative	Action Item	Lead Implementor	Lead Assessor	Division	FY20	Notes
3 - Culture	Employer of Choice	Campus Culture	Susan Leggett	Susan Leggett	A&F	10,000	Campus Climate Workforce Survey
4 - Institutional Resources	Optimize use of current resources	Budget Software	Maria Feuerstein	Steve Taksar	A&F	75,000	Improve Financial Planning through modernization, automation, and predictive modeling; Improve transparency through robust reporting capabilities
<b>Total Transfer to FY20</b>						<b>85,000</b>	



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To approve FY20 capital projects, as presented in the FY20 Capital Projects Summary Plan.

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Kevin R. Queenin

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Date

**Westfield State University  
FY20 Capital Funding Plan**

	Deferred Maintenance	Campus	Funding Source		Dining Funded from Use of Reserves	Total	Comment
			DCAMM	MSCBA			
<b>Physical Plant Projects</b>							
1. Deferred Maintenance	Y	692,971	2,468,804	686,429		3,848,204	
2. Dower A/C	Y	48,500				48,500	
3. Academic Space Renovations	Y	137,800				137,800	Wilson, Math Tutoring Center, Dower
4. Freight Elevator Cab & Jack Upgrade	Y	75,000				75,000	Dining Commons
5. Infrastructure Repairs/Maintenance	Y	225,000				225,000	
6. Wilson Café Renovation					145,000	145,000	Includes \$20k for Catering Office Renovations
7. Critical Repair Contingency		151,886				151,886	
Sub-total		1,331,157	2,468,804	686,429	145,000	4,631,390	
<b>Information Technology</b>							
1. Classroom technology		368,200				368,200	
2. Life Cycle Computers - Labs		139,050				139,050	
3. Life Cycle - faculty/staff		127,050				127,050	
4. Ely Network Upgrade		220,000				220,000	
5. Banner Portal		175,000				175,000	
6. Budget and Financial Planning Software		75,000				75,000	
Sub-total		1,104,300	-	-	-	1,104,300	
<b>Other Projects</b>							
1. Fitness Center Equipment		53,532				53,532	
2. Furniture Upgrades / Space Improvements	Y	172,564				172,564	
3. Vehicle Leases - Enterprise		221,054				221,054	Refer to Lease/Purchase Motor Vehicle List
4. Athletic Dept Equipment		13,393				13,393	Fitness and training equipment
5. TV Upgrade w/ Text N' Tell Installation					15,000	15,000	
6. Replacement of Lock System		4,000				4,000	
Sub-total		464,543	-	-	15,000	479,543	
<b>Total</b>		<b>2,900,000</b>	<b>2,468,804</b>	<b>686,429</b>	<b>160,000</b>	<b>6,215,233</b>	
<b>Projects Funded via Rollover</b>							
Rollover Facility Projects		612,738				612,738	Master Plan, Paving & Drainage, Camera Installation
Rollover for DCAMM Projects		481,205				481,205	Multiple Deferred Maintenance Projects
Rollover for IT Projects		261,522				261,522	Banner Project & IT Server Replacements
Rollover for Dining Services					176,627	176,627	Wilson Café Renovations
Sub-total		1,355,465	-	-	176,627	1,532,092	
<b>Grand Total</b>		<b>4,255,465</b>	<b>2,468,804</b>	<b>686,429</b>	<b>336,627</b>	<b>7,747,325</b>	

Notes:



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To authorize the University to spend up to \$30,000 in FY20 on sponsorship and/or attendance at community events, consistent with University guidelines for the expenditure of such funds. The University will report all expenditures made under this umbrella approval no later than the June 2020 meeting of the Board of Trustees.

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Kevin R. Queenin

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Date



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To approve the FY20 expenditures for the vehicle lease/purchase program, as presented.

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Kevin R. Queenin

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Date

**Westfield State University**  
**FY20 Budget**  
**Leases and Motor Vehicle Purchases**

<b>Vehicle Summary</b>	<b>Quantity</b>	<b>Cost/ Month</b>	<b>Annual Cost</b>
<b>Existing Lease Commitments:</b>			
Facilities, Public Safety, Media Services, Mail			
Services, Catering	22	\$ 648	\$ 171,000
Program Service fee			\$ 5,342
<b>Total</b>			<b>\$ 176,342</b>
<b>New Lease Commentments FY20:</b>			
Ford Transit 250(Plumber)	1	\$ 564	\$ 6,768
Ford Transit 250(Carpenter)	2	\$ 569	\$ 13,656
Ford F350 dump w/plow/sander(Grounds)	2	\$ 1,012	\$ 24,288
<b>Total</b>			<b>\$ 44,712</b>
<b>FY20 Total Lease Expense</b>			<b>\$ 221,054</b>

**FY20 New Purchases**

2019 Police Cruiser	\$ 41,000
<i>(Funded via Parking Fines &amp; Other Revenue)</i>	



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To approve and adopt the updated Westfield State University policy on Fixed Assets, Capitalization, and Inventory Control (0601), as presented, to be effective July 1, 2019.

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Kevin R. Queenin, Chair

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Date

## Recommendation to Increase Capitalization Threshold

June 2017

Beginning in FY18, the campus is proposing to increase the asset capitalization threshold from \$1,000 to \$10,000 reaching the \$50,000 threshold in 5 years. The impact of this change does not affect the overall budget; it is a year-end financial statement impact. By raising the threshold, we will effectively be expensing more costs in the year they are purchased rather than spreading the cost over multiple years via depreciation. The capitalization threshold of the Commonwealth of Massachusetts is currently \$50,000 and has been for several years. All of our sister state universities use the \$50,000 threshold. This transition will result in the following estimated increase in the average yearly expenditures, moving from the balance sheet to the Statement of Revenues, Expenses, and Changes in Net Position (income statement):

<b>Model: 5-year shift</b>	<b>FY2018</b>	<b>FY2019</b>	<b>FY2020</b>	<b>FY2021</b>	<b>FY2022</b>	<b>FY2023</b>
New Non-Capitalized Expense	\$593,000	580,000	490,000	391,000	277,000	220,000
Annual Threshold	\$10,000	\$17,500	\$25,000	\$40,000	\$50,000	\$50,000

The recommended model proved to be the least impactful of the multiple scenarios analyzed. Over the next several years, we will finish depreciating previously purchased items and expense new items in the year purchased. Over time, older items will finish depreciating and the impact to the income statement diminishes.

This approach is being recommended by the Vice President for Administration and Finance and was approved by the President. Additionally, our audit firm recommends moving to the \$50,000 level as soon as is practical. The Fixed Assets Policy will be changed annually to reflect the new capitalization schedule.

# Westfield State University

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## FIXED ASSETS, CAPITALIZATION, AND INVENTORY CONTROL

### PURPOSE

The purpose of this policy is to ensure that Westfield State University complies with state laws; communicates expectations; and encourages ethical practices, socially responsible behavior, and fiscal responsibility regarding the university's fixed assets.

### POLICY

Accurate records must be created and maintained for each fixed asset with a value of \$1,000 or more and an expected useful life longer than one year, in line with the Comptroller's Fixed Assets Acquisition policy. An asset's value is determined by the cost to acquire the new asset and place it into service. This amount includes freight and installation less any rebates, refunds, or credits. Additionally, all technology devices capable of storing personally identifiable information, as well as all firearms are added to the fixed assets inventory system regardless of cost.

All fixed assets must be physically inventoried at least once during each fiscal year in accordance with the Comptroller's Fixed Assets Accounting and Management policy. Any changes to fixed asset records, including but not limited to location and custodian, must be immediately reported to the Inventory Control office in order to comply with Comptroller policy on annual inventory.

All assets, regardless of the funding source used to purchase them, remain the property of the university for their entire lives and may only be disposed of by the university.

### CAPITALIZATION

All non-collection items with a unit cost of ~~\$25,000~~ ~~17,500~~ or greater are capitalized. Library materials are generally expensed during the year. University capital assets, with the exception of land and construction in progress, are depreciated on a straight-line basis over their estimated useful lives, which can range from three to 40 years. The cost of maintenance and repairs that do not either add to the value of the asset or materially extend the asset's life are not capitalized.

**Commented [SSC1]:** Incremental increase per fiscal year to eventually get to \$50,000 threshold used by Commonwealth and all sister state institutions.

### RESPONSIBILITIES AND ENFORCEMENT

Employees are considered the official custodians of all assets assigned to them and bear the ultimate responsibility regarding the welfare of those assets. All assets are

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restricted to use for official University business. For assets in use by multiple employees, this responsibility lies with the department head. Assets cannot be assigned to non-benefitted employees or students.

It is the responsibility of each custodian to report all asset status changes which they execute. Status change events are described in Section D of Procedures. Information must be reported to the Inventory Control Office within 7 days.

Human Resources and Division Vice Presidents are responsible for consistent enforcement of this policy. Failure to comply with this policy may result in disciplinary action up to and including suspension, termination, or legal action.

At the close of each fiscal year, the Financial Accounting office will provide to the Board of Trustees a progress report of the annual physical inventory conducted at each department.

## PROCEDURES

### A. ANNUAL PHYSICAL INVENTORY

A physical inventory of all fixed assets must be taken annually in every department. The Inventory Manager will keep a log of each department's inventory including the date the inventory was taken and the signature of the respective department head/designee. This log will be regularly shared with Human Resources, Division Vice Presidents, and other necessary personnel.

- a. The Inventory Control Office will arrange to visit each department. The department head/designee must make all assets centrally located and easily accessible. A hand-held scanner will be used to scan the barcode of each room/area and all associated fixed assets. The scanned information will be used to generate a report which indicates all information regarding the assets which were scanned as well as any assets which were not located.
- b. The department is provided a copy of the report. If there are any assets which were not scanned the department has fourteen (14) days to locate the items or provide an explanation by completing Inventory Control forms indicating special circumstances (such as items being out for repair, relocated elsewhere, etc.) A meeting between the Inventory Manager and the department head will be held to review the reconciled report and rescan any previously un-scanned assets.

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- c. Assets which are still not scanned are classified as “missing” and will be reported to the Division Vice President as well as the Vice President for Administration and Finance.
- d. After an additional fourteen (14) days, any remaining items classified as “missing” will be forwarded to the Vice President for Administration and Finance who, at his/her discretion, may freeze departmental funds, open purchase orders, and online ordering privileges, as well as taking additional appropriate action.

## B. ACQUISITION

1. Requisitions must be entered in Banner by the department funding the acquisition. Items categorized as fixed assets must be line item specific and charged to the correct account code. The requisition must also include information relating to the cost of freight, installation, and/or expected rebates.
2. Assets to be traded in must be identified by their barcode number during the requisition process, as approval is required from the Commonwealth of Massachusetts' Operational Services Division (OSD). Their approval must then be forwarded to the Inventory Control office.
3. The invoice for the asset will be paid by the line item and that information is captured and sent to the fixed assets inventory system. Any subsequent rebates, refunds, or credits must be subtracted from the total cost.
4. When an asset is acquired by lease purchase it is barcoded and entered in the fixed assets system at inception of the lease. The asset “cost” is the outright purchase amount plus costs of putting the asset into use (e.g. freight and installation). Since there is no Banner-generated notice to Inventory Control of these acquisitions, the Procurement office must immediately notify Inventory Control and Financial Accounting of all pertinent information.
5. Equipment may not be purchased with a P-Card (see Policy 0560: *Procurement Card Use and Process*).
6. Equipment may not be purchased with personal funds and qualify for reimbursement (see Policy 0300: *University Business Expenses and Petty Cash Funds*).

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## C. RECEIPT AND RELOCATION

1. All equipment deliveries must check in at Central Receiving before being delivered elsewhere on campus. Departments ordering equipment are responsible for notifying their vendors of this requirement. Central Receiving will notify Inventory Control of all equipment deliveries, who will then schedule time for barcoding. Departments ordering equipment which will be delivered AND installed by the vendor must give significant advanced notice to the Inventory Control office. Ordering departments and Central Receiving must share in the responsibility of unboxing items for barcoding by the Inventory Control office.
2. Technology, Media, Facilities, and any staff receiving assets must notify Inventory Control when new equipment is ready to be tagged, have serial numbers recorded, and linked to the barcode and location. They must also provide a copy of the packing slip as it contains the serial numbers for verification. Assets are not permitted to be deployed until they are barcoded.
3. Technology, Media, Facilities, and any staff moving assets are required to promptly report location information for all assets they deploy, relocate, or retrieve to the Inventory Control office. Technology and Media staff are issued hand-held scanners to easily and efficiently report frequent asset movements.

## D. INVENTORY CONTROL

1. Certain assets cannot have a barcode physically attached due to the type of item, including but not limited to non-physical items such as software and items with a lack of a physical surface where a barcode can be adhered. In cases such as these the item is assigned a sequential asset tag number in the inventory system. All items of this nature must have a department code and location assigned to the inventory record. These items will be reviewed annually to ensure that they are still in use or if disposal is necessary.
2. Computing devices make up a significant portion of the University's fixed assets. They are capable of storing information of a confidential, sensitive, and/or personally identifiable nature. These assets must have a custodian assigned if use is restricted to a single employee. Additionally, device names within their operating system must include the device's University inventory control barcode number to allow identification on the University's internal computer network. Custodians must exercise due care in the use of University computing devices, adhering to this policy as well as all applicable Information Technology policies and procedures.

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3. In order to maintain proper control of fixed assets, all changes must be communicated promptly to the Inventory Control office and other departments where applicable. The **Inventory Control – Action Report Form**, located on the myWestfield Documents site under Administration and Finance, is used to transmit the necessary information. The following points describe actions which necessitate the use of this form.
  - a. **Off-campus use** – It is assumed that all mobile computing devices will be taken off-campus on an occasional or more frequent basis for the purpose of conducting University business. Every employee must bring all University equipment in their possession to the campus at least once annually for verification and physical inventory, as required by the Comptroller's Fixed Assets Accounting and Management policy.
  - b. **Loss or theft** – As soon as an asset is lost or stolen its custodian must notify the offices of Inventory Control, Public Safety, Financial Accounting, the Information Security Officer, and the appropriate Division Vice President. An investigation will be conducted by Public Safety and further action may be taken. Refer to Policy 0490: *Unaccounted for Variances, Losses, Shortage, or Theft of Funds or Property Reporting*. If an employee is found to be negligent in the care and custody of a University asset, they will be subject to discipline and restitution as described in the Responsibilities and Enforcement section and as allowed by law.
  - c. **Equipment Relocation** – Any time that an asset is moved from its documented location, the new location information must be submitted so that electronic records can be updated accordingly, as required by the Comptroller's Fixed Assets Accounting and Management policy.
  - d. **Exchange/Repair** – Any time an asset is exchanged or returned to the vendor/repair facility. In the case of exchange, the Inventory Control Office must be contacted to set up a time when the new asset can be inventoried. In the case of repair, a copy of any pertinent paperwork must be sent to the Inventory Control Office when the asset has been returned to campus.
  - e. **Employee Departure** – When the Human Resources Office becomes aware of a benefitted employee's resignation, retirement, or termination, they will forward their departure form to that employee's supervisor. Included in this process will be confirmation of all assets and return of all off-campus equipment to the proper department (Technology, Media, or Facilities).

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## E. SURPLUS PROPERTY

1. If a department no longer has use for University equipment in their possession, they must submit a request to surplus that item using the Inventory Control form. Upon receipt Inventory Control staff will schedule time to view the asset, confirm its status. The department is responsible for submitting a request to Central Receiving staff to remove the equipment.
2. Assets that are of no use to the university but are not worthless may be transferred to another State agency, Massachusetts municipality, or non-profit firm, or they may be sold at public auction. This process is outlined and governed by OSD and must be completed at no cost to the university.
3. Technology, Media, and Facilities are the only departments authorized to dismantle assets for parts salvage.
4. The Chief Information Security Officer (CISO) governs the process for destroying or otherwise sanitizing data storage contained within technology equipment.

## REVIEW

This policy shall be reviewed annually by the Associate Vice President of Finance.



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To engage the services of Eaton Vance in accordance with the Investment Management Services RFP (2019-004), rescinding the April 24, 2019 motion approved by the Board of Trustees engaging the services of Vanguard.

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Kevin R. Queenin

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Date

## MEMORANDUM

Date: June 2, 2019

To: Stephen Taksar, Vice President, Administration and Finance

From: Gary Duggan, Director of Procurement and Administrative Services

Subject: Contract Negotiations with Vanguard

In November of 2018, Westfield State University issued a Request For Proposals for Investment Management Services. When all of the responses to this RFP were evaluated, Vanguard was select as the vendor that would provide the best overall value to the University.

During this past week I have been working with Gary Folk from the Vanguard Institutional Investor Group to establish a contract for these services. Mr. Folk sent me the Vanguard contract documents which I reviewed. After reviewing these documents, I identified several changes that need to be made to these documents before we could sign a contract with Vanguard. I have listed these changes below and identified the changes we agreed to make to the contract documents and which issues we could not resolve.

### **Contract Changes That We Agreed to Make**

- **Term of Contract** – Mr. Folk agreed to change the term of the contract from an evergreen clause to the terms in our RFP which are 3 years with 2 annual renewals at the discretion of the University.

**Indemnification Clause** - We agreed to remove the indemnification clause in section 13 D in their Discretionary Investment Management Agreement.

### **Contract Issues That Can't Be Resolved**

- **Governing Law** - Vanguard uses Pennsylvania and New York law as the governing law in their agreements. They will only agree to use one of these two states.
- **Arbitration** - I asked if we could remove arbitration from the contract and resolve any disputes in courts of law. I was told that Vanguard will not agree to make this change to the contract.

The most significant issue that we couldn't resolve is the governing law of the contract. Massachusetts General Laws Chapter 180A, Section 4, Delegation of Management and Investment of an Institutional Fund, Item D states "By accepting delegation of a management or investment function from an institution that is subject to the laws of the commonwealth, an agent submits to the jurisdiction of the courts of the commonwealth in all proceedings arising from or related to the delegation or the performance of the delegated function." This law requires the University to have Massachusetts law as the governing law for these services. Since Vanguard refuses to accept Massachusetts law

as the governing law for our contract, we will have to move to the next highest rated vendor that submitted a response to this RFP which is Eaton Vance. We will not face this governing law issue with Eaton Vance because they already agreed to Massachusetts law in their response to the RFP.

Please have the University Board of Directors rescind their vote for Vanguard to provide these services and vote to establish a contract with Eaton Vance.

Let me know if you have any questions regarding the information contained in this memorandum.

Regards,

Gary



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To support the development of a voluntary separation incentive plan for Westfield State University, based on the recently approved Salem State University plan.

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Kevin R. Queenin, Chair

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Date



## **Board of Trustees**

June 20, 2019

### **MOTION**

To amend the Emergency Notification System (Policy 3030) as presented.

Kevin R. Queenin, Chair

Date

# Westfield State University

Policy concerning:

Section Public Safety

Number 3030

Page 1 of 4

APPROVED: April 2013

REVIEWED: ~~July 2017~~ June 2019

## EMERGENCY NOTIFICATION SYSTEM ~~POLICY~~

### PURPOSE

The purpose of this policy is to authorize and outline the University's emergency notification systems and procedures in place to respond to a critical incident affecting the health and safety of the campus community.

This policy complies with the Emergency Notification requirements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, as amended by the Higher Education Opportunity Amendments of 2008 and applicable Department of Education regulations.

### DEFINITIONS

**Critical Incident**: Any situation that represents a significant emergency or dangerous situation affecting the health and/or safety of the University community. Typically, a critical incident will tax or overwhelm the normal operating systems of the University and cause a disruption to the continuity of the University's day to day operations.

**Emergency Notification System**: Multi-modal forms of communication that allow approved University personnel to communicate information to the rest of the University in the event of a critical incident. Emergency notifications shall be sent via e-mail, text messaging, sirens, telephone calls, and/or oral and written communications.

### POLICY

#### A. Description of Emergency Notification Systems Utilized by the University

- 1 **RAVE Electronic Messages** – The RAVE system sends messages to faculty, staff and students who have signed up to receive them. Individuals may sign up for these notifications through the University's main website link entitled "**Emergency Notification System**". An e-mail reminder shall be sent each semester **by the Director of Emergency Preparedness and Response** to the campus community reminding them of this option. Messages are sent ~~either~~ via text, e-mail, and/or cell phone. Public Safety is authorized to send all

# Westfield State University

Policy concerning:

Section Public Safety

Number 3030

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APPROVED: April 2013

REVIEWED: ~~July 2017~~ June 2019

messages that are sent through this system at the request of Public Safety command staff, the Director of Emergency Preparedness and Response, or the Emergency Response Team (ERT) when Public Safety command staff ~~is not~~un-available.

- 2 Emergency Alarm/Voice Command System – This system provides external notification to the campus via the sounding of sirens followed by voice instructions. Speakers have been installed outside campus buildings for the system to serve outdoor areas. This system shall be upgraded as renovations occur to include connection to internal fire alarm systems in each building which will allow for internal sirens and voice commands. Public Safety is authorized to send all messages utilizing this system at the request of Public Safety command staff, the Director of Emergency Preparedness and Response, or ERT when Public Safety command staff is unavailable.
- 3 Traditional Telephone and Staff Communications – The University will continue to rely on traditional office, building, and staff communications including telephone, ~~verbal communication, and~~ e-mail, and verbal communication. Unless otherwise instructed for reasons of privacy, all University employees are authorized and expected to communicate emergencies to others around them upon notification of a critical incident.
- 4 Written Postings/University Website – Written postings and flyers as well as updates on the University website will be made consistent with instructions from the Office of Public Safety/ERT. Written postings or updates to the website may be done by ERT members ~~of the ERT~~ and/or designees.

## B. Authorized Staff Responsible for Notifications

1. Authorization for the content and release of emergency information utilizing any of the emergency response systems described in this policy lies with the Director of Emergency Preparedness and Response, Emergency Response Team and/or the command staff of Public Safety. Public Safety shall develop a wide range of template messages in order to modify and release messages efficiently. –In those cases where there is no predetermined template message in the system, the individual issuing the alert will develop/send the most succinct message to convey the appropriate information to the University community.
2. ERT members/designees will update website and may post paper flyers and emergency notifications around campus as needed.

## C. Content and Delivery of Message

1. The first emergency message is intended to ALERT the community or appropriate segment of the campus community of the dangerous condition and the actions they should take to be safe. Messages distributed in this phase of the rapidly unfolding critical incident will generally be concise and direct. Example: *“The campus is experiencing a major power outage affecting the following buildings, Brown, Red, White and Yellow Halls. All occupants of these buildings should immediately evacuate and meet at the designated building rally point.”*
2. The second emergency message (sent as needed) is intended to inform the community or appropriate segment of the campus community about additional details regarding the critical situation. This message is generally distributed once first responders and the emergency operations center have additional information. Example: *“The power outage affecting Brown, Red, White, and Yellow Halls was caused by a cut power line. WG&E are responding along with facilities personnel to repair the damage. We expect the outage will last until 2PM. Refer to the University homepage for additional information or dial 413-572-5262.”*
3. The third message (sent as needed) is generally distributed once the situation is nearly or completely resolved. The purpose of this message is to reassure the community that the University has restored or is working to restore normal operations.- It may also be used to provide additional resource information Example: *“The power in Brown, Red, White and Yellow Halls has been restored. If you are continuing to experience individual outages in your residence hall room, please contact your RD.”*

## D. Testing of University Emergency Notification Systems

Tests of each University emergency notification system will be ~~done twice annually~~ ~~completed bi-annually,~~ ~~generally once per semester.~~ Tests will be coordinated through the Office of Public Safety and the ~~Emergency Response Team~~ Director of Emergency Preparedness and Response. Tests ~~of the system~~ will be documented and maintained by the Office of Public Safety.

# Westfield State University

Policy concerning:

Section Public Safety

Number 3030

Page 4 of 4

APPROVED: April 2013

REVIEWED: ~~July 2017~~ June 2019

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## REVIEW

The ultimate authority for this policy as well as any emergency preparedness and response lies with the President of the University. Review of this policy and its supporting documents will be done ~~annually every three years~~ by the Director of Emergency Preparedness and Response and the Emergency Response Team ~~Managers~~.

## EMERGENCY NOTIFICATION SYSTEM

### PURPOSE

The purpose of this policy is to authorize and outline the University's emergency notification systems and procedures in place to respond to a critical incident affecting the health and safety of the campus community.

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# Westfield State University

Policy concerning:

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Number 3030

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APPROVED: April 2013

REVIEWED: June 2019

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# Westfield State University

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Number 3030

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APPROVED: April 2013

REVIEWED: June 2019

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## D. Testing of University Emergency Notification Systems

Tests of each University emergency notification system will be completed bi-annually. Tests will be coordinated through the Office of Public Safety and the Director of Emergency Preparedness and Response. Tests will be documented and maintained by the Office of Public Safety.

## REVIEW

The ultimate authority for this policy as well as any emergency preparedness and response lies with the President of the University. Review of this policy and its supporting documents will be done every three years by the Director of Emergency Preparedness and Response and the Emergency Response Team.



## **Board of Trustees**

June 20, 2019

### **MOTION**

To amend the Emergency Response and Preparedness Authorization (Policy 3040) as presented

Kevin R. Queenin, Chair

Date

## EMERGENCY RESPONSE AND PREPAREDNESS AUTHORIZATION

### PURPOSE

To define the various campus teams who are authorized to prepare for, evaluate and respond to critical or potentially critical and threatening incidents that occur on or at university grounds or events or significantly impact campus operations.

### BACKGROUND

The University's emergency response and preparedness teams include two separate groups with distinctive but related responsibilities. These teams are the Emergency Response Team (ERT) and the Student Threat Assessment Team (STAT). Combining the expertise of key campus units, the University's crisis response teams meet regularly to coordinate responses to students at risk or potential risk for danger and to manage critical or potentially critical incidents on the campus.

### POLICY

#### A. University Emergency Response Team (ERT)

1. The University Emergency Response Team (ERT) under the guidance of the Director of Emergency Preparedness and Response is authorized to provide overall management of any campus-wide emergency. The ERT initiates and implements the Emergency Response Plan providing overall coordination of emergency operations and communications before, during and after an emergency has occurred. The ERT is also responsible for planning and implementing regular training and practice drills of the University's Emergency Response Plan.
2. Members of the ERT include representatives from all divisions of the campus with leadership roles assigned to senior managers in Public Safety, Facilities and Operations, Student Affairs, Academic Affairs, Residential Life, Public Affairs, Finance and Administration, Community Relations, and the President's Office. ERT Managers meet monthly bi-weekly to plan and review policies and procedures and evaluate the effectiveness of emergency response services. The entire ERT meets each semester for review and training.
3. Members of the ERT are called upon to respond as necessary during campus emergencies and follow the protocols outlined within the Emergency Response Plan as directed by designated managers. All

# Westfield State University

Policy concerning:

Section Public Safety

Number 3040

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APPROVED: April 2013

REVIEWED: ~~July 2017~~ June 2019

ERT members are authorized to make decisions and carry out the procedures described within the plan.

## B. University Student Threat Assessment Team (STAT)

1. The University Student Threat Assessment Team (STAT) is authorized to receive and review reports of potentially threatening, violent, or alarming behaviors exhibited by any student at the University. STAT has the authority to call upon additional resources as needed to evaluate the potential risks and coordinate an action plan for dealing with reported individuals who may be dangerous or threatening to the campus community.

STAT has full authority to act on behalf of the University and shall report actions to the University President through the Vice President for Student Affairs.

2. The Assistant Vice President for Human Resources may work closely with STAT in evaluating and responding to similar reports relative to potentially dangerous or threatening employees. Ultimately, the Assistant Vice President for Human Resources has the authority to intervene with employees pursuant to negotiated union agreements.
3. All members of the university community are expected to report threatening or potentially threatening student behaviors to STAT by contacting the Dean of Students (Chair, STAT) or by reporting to campus departments including Academic Affairs, Student Affairs, Public Safety, or Residential Life. Behaviors that should be reported include, but are not limited to:

- explicit verbal or written threats<sup>17</sup>
- violent writings, drawings or other forms of expression<sup>17</sup>
- behaviors that are disruptive and cause fear in others<sup>17</sup>
- suicide risk or risk of other life threatening behaviors<sup>17</sup> or
- expressed plans for violence.

## REVIEW

The ultimate authority for this policy as well as any emergency preparedness and response lies with the President of the University. Review of this policy and its supporting documents will be done annually every three years by the Director of Emergency Preparedness and Response and members of the Emergency Response Team Managers.

## EMERGENCY RESPONSE AND PREPAREDNESS AUTHORIZATION

### PURPOSE

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  - explicit verbal or written threats;
  - violent writings, drawings or other forms of expression;
  - behaviors that are disruptive and cause fear in others;
  - suicide risk or risk of other life threatening behaviors; or
  - expressed plans for violence.

## REVIEW

The ultimate authority for this policy as well as any emergency preparedness and response lies with the President of the University. Review of this policy and its supporting documents will be done every three years by the Director of Emergency Preparedness and Response and members of the Emergency Response Team.



# Campaigns 101

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Kathy Howrigan  
Senior Consultant & Principal

Myrna Ghorayeb  
Associate Consultant

# Definition of a Campaign

A campaign is defined as a fundraising program with a specific goal for identified objectives conducted within a specific timeframe.

## **The University campaign is:**

- Special (over and above ongoing fundraising)
- Highly intensive (requiring more time, energy and resources than ongoing fundraising)
- Multi-year (usually, depending on goals)
- **Strategic (Funding goals framed by vision)**

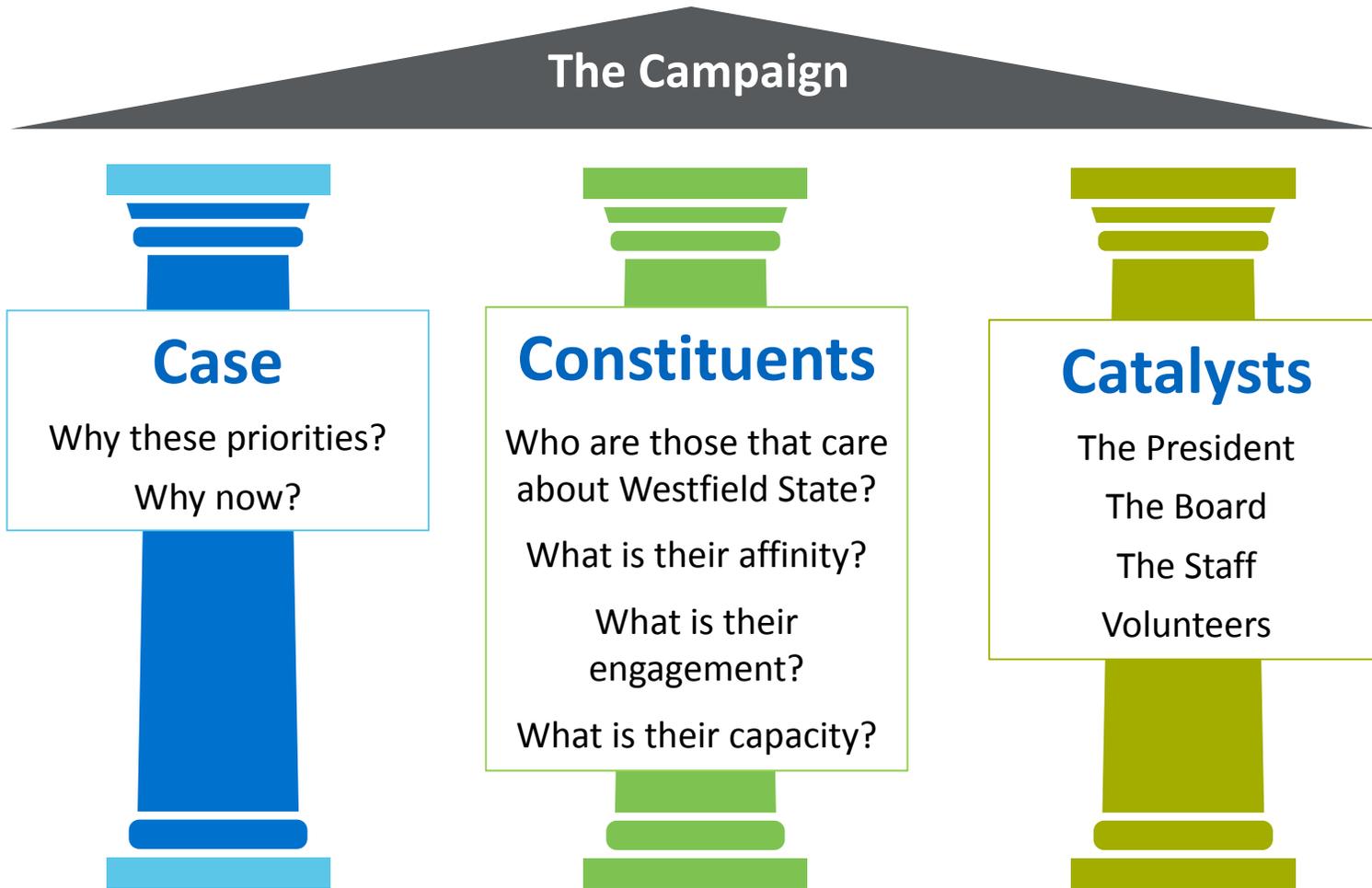
# Benefits of a Campaign

- Provides a structure for fundraising
- Provides a “sense of urgency”
- Provides opportunities for engagement to a group of valued volunteers
- Positions Westfield State soundly in the market
- Provides endless opportunities to talk about Westfield State’s vision

# Types of Campaigns

- Capital
- Endowment
- Operating support
- Comprehensive

# 3 Pillars to Campaign Success



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# Preparing for Campaign Success

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# Phases of a Campaign

- **Phase 1 – Pre-Planning**
- Phase 2 – Silent Phase Leadership or Nucleus
- Phase 3 – Public or Community
- Phase 4 – Post-campaign assessment

# Phase I – Pre-Planning

Institutional Vision & Direction

Now thru  
Sept. 2019

Internal Readiness (Benchmarking,  
Assessment, *Capacity/Yield Analysis*)

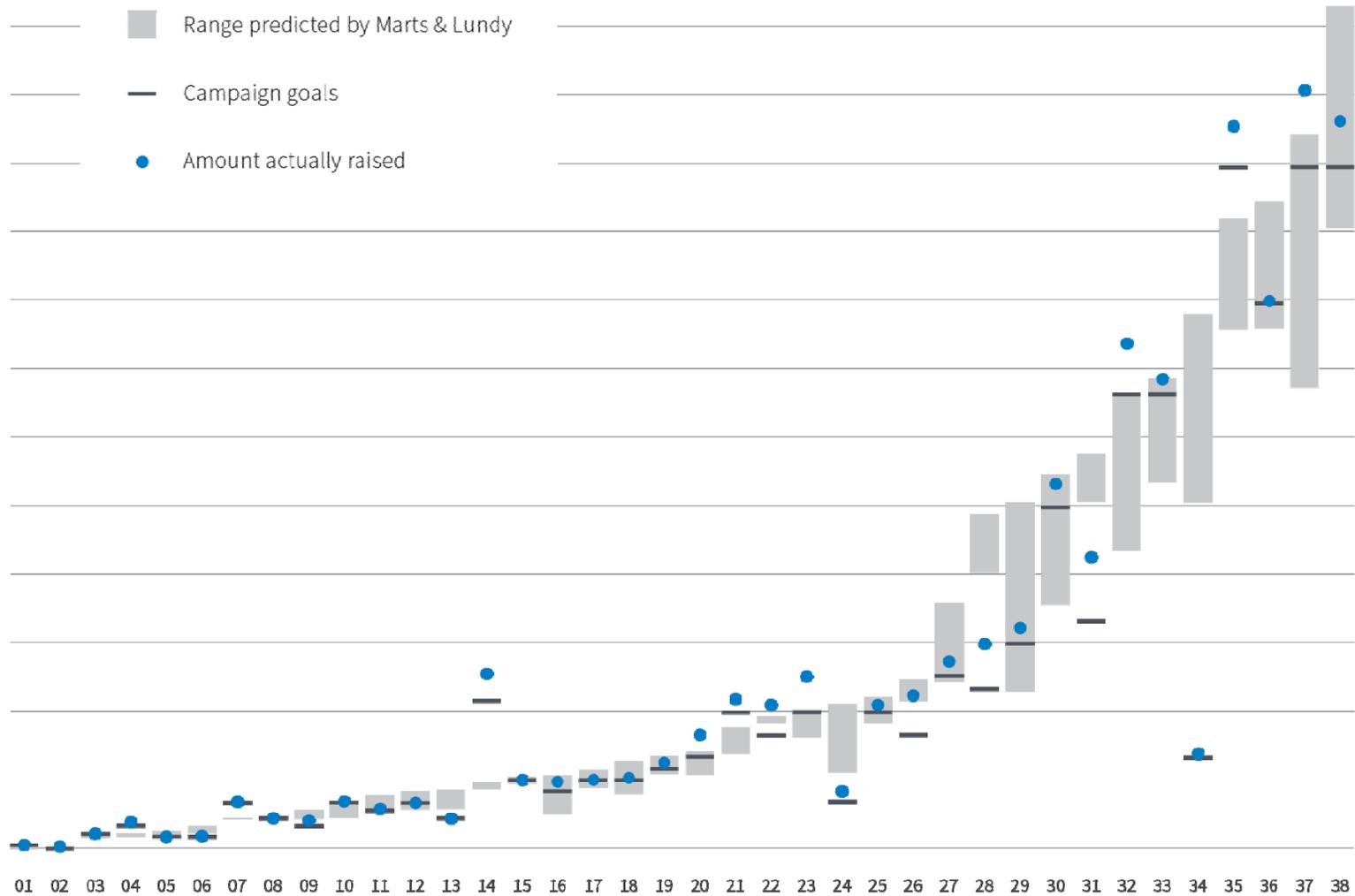
Now thru  
Sept. 2019

External Testing  
(Case, Interviews, Survey)

Sept. thru  
Feb. 2020

Campaign

# Significance of the Capacity Analysis



# Campaign Success

**Westfield State will intentionally be “building the plane while flying it.”**



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# Roles & Responsibilities

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# The Role of Trustees & Foundation Board

- Approve the campaign; Understand mission and strategic priorities
- Ensure appropriate staffing and funding
- 100% participation of both boards is critical
- Lead the way in giving; Make Westfield State a top philanthropic priority
- Identify, introduce potential prospects
- Play some kind of a role:
  - - identify, introduce, cultivate, engage, solicit, steward

# The Role of the President

- Visionary
- Public face of the campaign throughout
  - 30-50% of time in first 18-24 months
- Main spokesperson and communicator
- Often primary solicitor of most top gifts
- Encourages faculty/staff buy-in
- Chief steward
- Include Vice President of Advancement in all administrative and board meetings
- Support Advancement team and volunteer leaders

# The Role of Advancement

- 100% Focus - Lead, guide, support, inspire staff
- Plan, prioritize and then execute efficiently and effectively
- Work in partnership with:
  - President
  - Board of Trustees & Foundation Board members
  - Campaign volunteers
  - Campus Partners
- Manage portfolios of 125 or more prospects to cultivate, solicit, and steward their gifts
- Deliver stories and connect to University in ways that resonate and inspire their philanthropy
- Communicate throughout the campaign

# The Role of Campus Community

- Understand mission and strategic priorities
- Aim for 100% Participation
- Network, identify, introduce potential prospects
- Promote the campaign
- Thank donors
- Play *some* kind of a role:
  - identify, introduce, cultivate, engage, solicit, steward

Tell stories and describe impact

# How do we know when we are ready for prime time?

- The case is inspiring and clear
- Sufficient donors are engaged
- You have a sense of capacity
- The volunteer leadership is in place
- The President recognizes his role
- The staff and systems are in place

# Phase I – Pre-Planning

Institutional Vision & Direction

Now thru  
Sept. 2019

Internal Readiness (Benchmarking,  
Assessment, *Capacity/Yield Analysis*)

Now thru  
Sept. 2019

External Testing  
(Case, Interviews, Survey)

Sept. thru  
Feb. 2020

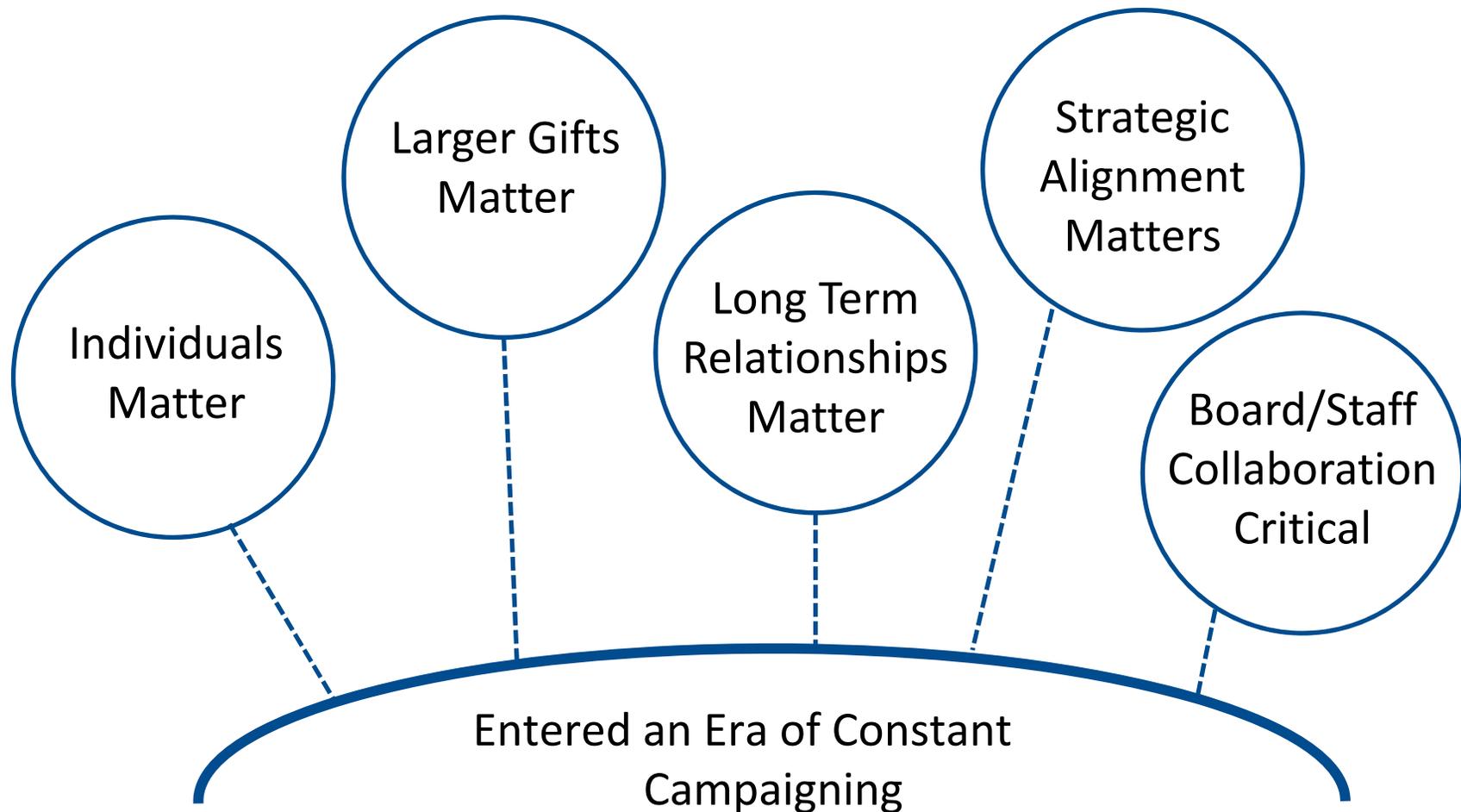
Campaign

# Discussion and Questions

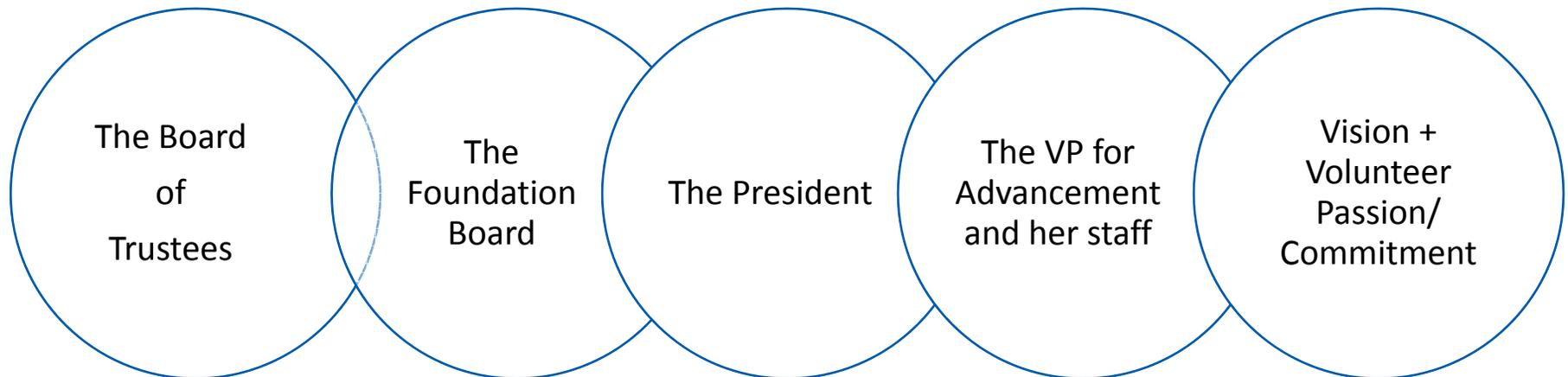
THANK YOU!

**Marts&Lundy**

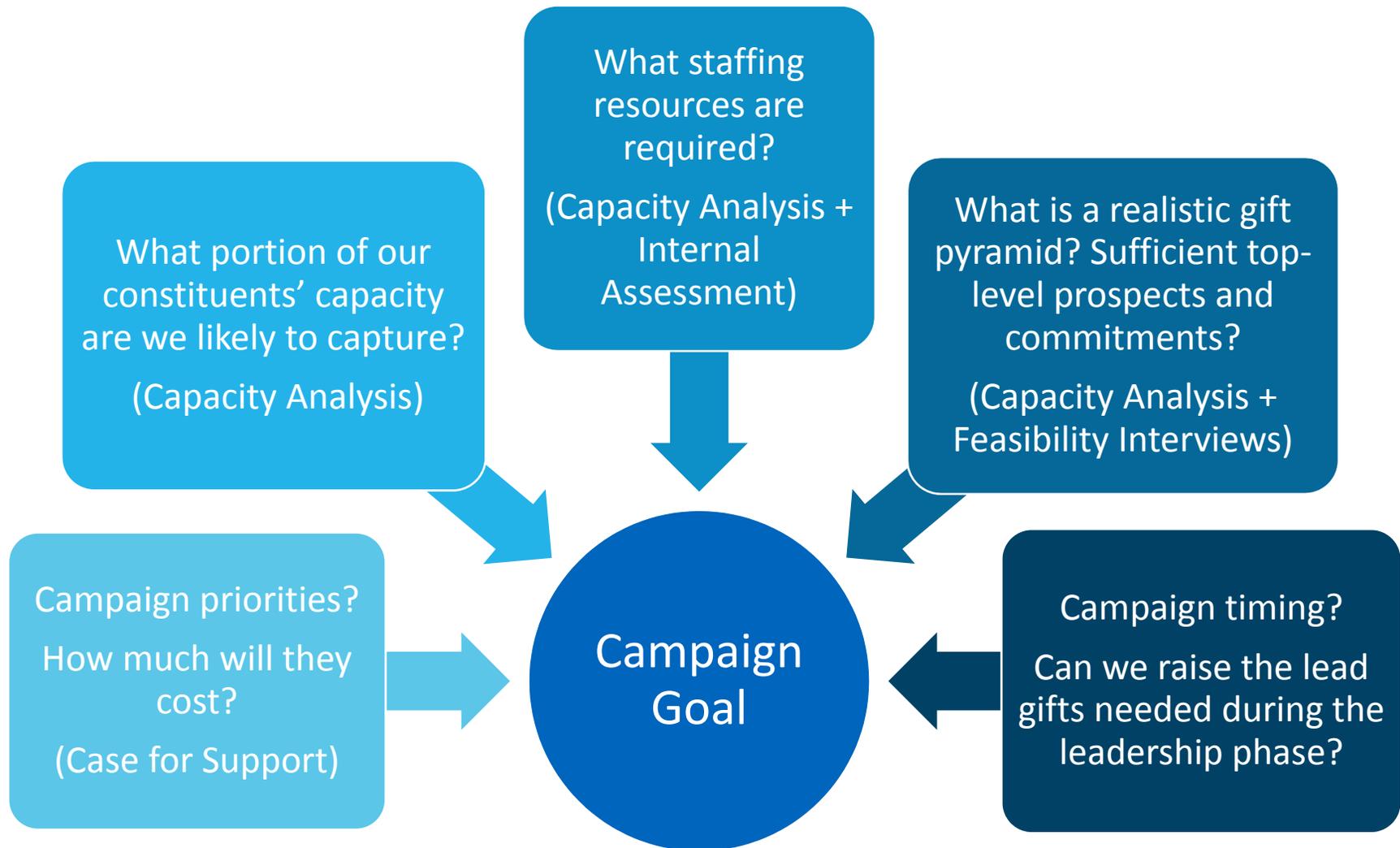
# Changing Rules for Campaigns



# Premium Partnership



# Determining Campaign Goal





## **Board of Trustees**

June 20, 2019

### **MOTION**

To approve and adopt the updated Westfield State University Audit Committee Charter, as presented, and to update the Audit Committee Charter Policy (0460) accordingly.

Kevin R. Queenin, Chair

Date

## AUDIT COMMITTEE OF THE BOARD OF TRUSTEES OF WESTFIELD STATE UNIVERSITY CHARTER

### I. STATEMENT OF POLICY

The primary function of the Audit Committee of Westfield State University (the "University") is to oversee the accounting and financial reporting processes of the University, audits of the University's financial statements, reports and records, and risk management systems. In addition, the Audit Committee must provide assistance to the University's Board of Trustees (the "Board") in fulfilling its responsibilities to the University's students, parents, faculty, donors and staff as to the University's accounting, auditing and reporting practices and controls. In so doing, it is the responsibility of the Audit Committee to maintain free and open means of communication among the Board, independent auditors, internal auditors and members of the senior administration of the University.

### II. COMPOSITION OF THE AUDIT COMMITTEE

Per Westfield State University Board of Trustee By-laws, Section 7.A., the Audit Committee shall consist of at least three voting trustees; provided however, that no more than one committee member may also be a member of the Finance and Capital Assets Committee. In no case may a trustee serve on the committee for more than three consecutive years.

The Audit Committee chairperson shall be appointed by the Chairman of the Board and confirmed by the majority vote of the Board members. If an Audit Committee chairperson is not designated or present at a meeting, the members of the Audit Committee may designate a chairperson by a majority vote of the Audit Committee membership.

### III. MEETINGS

The Audit Committee shall meet at least four (4) times a year or more frequently as circumstances require. The Audit Committee shall maintain minutes of each meeting of the Audit Committee and shall report the significant actions of the Audit Committee to the Board, with such recommendations as the Audit Committee deems appropriate.

### IV. RESPONSIBILITIES AND DUTIES OF THE AUDIT COMMITTEE

The primary duties and responsibilities of the Audit Committee are to oversee and

# Westfield State University

Policy concerning:

Section Administrative

number 0460

page 2 of 4

APPROVED: December 2014  
2019

REVIEWED: April-2018June

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monitor the University's financial reporting process, internal controls and risk management systems and review and evaluate the performance of the University's independent auditors, ~~and internal auditing staff.~~ The Audit Committee will also evaluate the performance of the unit's internal auditing staff as it directly relates to internal audit functions. In fulfilling these duties and responsibilities, the Audit Committee shall take the following actions, in addition to performing such functions as may be assigned by law or regulation, or the Board:

1. The Audit Committee shall review and reassess this Charter annually and recommend any proposed changes to the Board for approval.
2. The Audit Committee shall be directly responsible for the appointment, compensation, retention and oversight of the work of any independent auditor engaged (including resolution of disagreements between administration and the auditor regarding financial reporting) for the purpose of preparing or issuing an audit report or performing other audit, review or attest services for the University. The independent auditor must report directly to the Audit Committee.
3. The Audit Committee shall act as a liaison with University administration and staff and the independent external auditor to develop an annual audit plan and schedule.
4. The Audit Committee, in its capacity as a committee of the Board, shall determine, and the University shall provide, providing the Board has approved the expenditure of funds for such engagements, funding for payment of: (i) compensation to any registered public accounting firm engaged for the purpose of preparing or issuing an audit report or performing other audit, review or attest services for the University; (ii) compensation to any advisers, including, without limitation, an independent financial expert, employed by the Audit Committee, and as permitted by this Charter; and (iii) ordinary and reasonable administrative expenses of the Audit Committee that are necessary or appropriate in carrying out its duties.
5. As part of the audit process, the Audit Committee shall meet with the independent auditors to discuss and determine the scope of the audit. The Audit Committee shall determine that the independent audit team engaged to perform the external audit consists of competent, experienced, auditing professionals.
6. The Audit Committee shall require the independent auditors to submit, on an annual basis, a formal written statement setting forth all relationships

# Westfield State University

Policy concerning:

Section Administrative

number 0460

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2019

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between the independent auditors and the University that may affect the objectivity and independence of the independent auditors, consistent with Independence Standards Board Standard No. 1, and the Audit Committee shall actively engage in a dialogue with the independent auditors with respect to any disclosed relationships or services that may impact the objectivity and independence of the independent auditors. The Audit Committee shall take, or recommend that the full Board take, appropriate action to ensure the independence of the independent auditors.

7. The Audit Committee shall require the independent auditors to advise the University of any fact or circumstance that might adversely affect the outside auditors' independence or judgment with respect to the University under applicable auditing standards, including any significant changes to the University's accounting principles and any items required to be communicated by the independent auditor under prevailing audit standards.
8. The Audit Committee shall require the independent auditors to advise the University if it becomes aware that any officer or employee of the University, or its direct or indirect subsidiaries or affiliates, is related to a partner, employee or other representative of the independent auditors, to the extent that such relationship might adversely affect the University under applicable auditing standards.
9. Upon the completion of the annual audit, the Audit Committee shall review the audit findings, including any comments or recommendations of the independent auditors, with the entire Board and obtain the approval of such report from the Board. The Audit Committee shall report to the Board on any issues which may be unresolved.
10. The Audit Committee shall review the regulations and current audit trends and requirements and recommend appropriate policy and practice applications to University administration.
11. The Audit Committee shall meet at least annually with the University's internal auditor to assure itself that the University has a strong internal auditing function by reviewing the internal audit program and assessing (grading) risk areas along with a proper control environment that promotes accuracy and efficiency in the University's operations.
12. The Audit Committee shall receive reports from the University's internal auditor, which include a summary of findings from completed internal audits

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and a progress report on the internal audit plan, together with explanations for any deviations from the original plan.

13. The Audit Committee shall review the internal audit function of the University, including the independence and authority of its reporting obligations, the proposed audit plans for the coming year and the coordination of such plans with the independent auditors.
14. The Audit Committee shall recommend, with consultation from the University's leadership, the appointment, replacement, reassignment or dismissal of the University's internal auditor as may be warranted.
15. The Audit Committee shall determine, with consultation from the University's leadership, whether the internal audit function may be performed by a staff internal auditor or may be outsourced to a third party, as deemed appropriate.
16. The Audit Committee shall consider and review with the University's administration and the internal auditor: (a) significant findings during the year and management's responses thereto, including the status of previous audit recommendations, (b) any difficulties encountered in the course of their audits, including any restrictions on the scope of activities or access to required information, (c) any changes required in the planned scope of the internal audit plan; and (d) the internal auditing department budget and staffing.
17. The Audit Committee shall investigate or consider such other matters within the scope of its responsibilities and duties as the Audit Committee may, in its discretion, determine to be advisable. The Audit Committee shall have the authority to engage independent counsel and other advisers or experts, as it deems necessary to carry out its duties.
18. The Audit Committee shall prepare any report required by any governmental body or to the public, if any, as required by laws of the Commonwealth of Massachusetts and any/all regulations promulgated thereunder.
19. The Audit Committee shall establish procedures for the confidential, anonymous submission by University staff and administration of concerns regarding questionable accounting or auditing matters.
20. The Audit Committee shall at all times cooperate with all state auditors and provide any/all reports, statements, minutes and other related documents as may be required by such auditors.

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## REVIEW

This policy shall be reviewed every three years~~annually~~ by the Board of Trustees Audit Committee Chair and the Vice President for Administration and Finance.



## **Board of Trustees**

June 20, 2019

### **MOTION**

To approve and adopt the updated Westfield State University Reporting Violations of Laws, Rules, or Regulations (Whistleblower) Policy (0440), as presented.

Kevin R. Queenin, Chair

Date

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## REPORTING VIOLATIONS OF LAWS, RULES OR REGULATIONS (WHISTLEBLOWER POLICY)

### PURPOSE

To protect individuals who report suspected improper activity in accordance with this policy against retaliation. In addition to this policy, employees shall be protected from retaliation in accordance with Massachusetts General Law Chapter 149, Section 185.

### INTRODUCTION

Westfield State University is committed to complying with all laws, rules and regulations that govern its operating practices. In that spirit, the University has established internal controls and procedures designed to prevent violations of law and applicable regulations. The University encourages all employees, students, volunteers, and vendors/contractors acting in good faith to report suspected improper activity. When the University becomes aware of potential violations, it has a responsibility to investigate such allegations promptly. Similarly, the University has a responsibility to assure that individuals who report what they reasonably believe are violations do not suffer retaliation.

The University's policy is designed to provide guidance to individuals for reporting suspected violations of law, rule or regulation promulgated pursuant to the law. This policy is not meant to abridge any processes or protections available to individuals under any collective bargaining agreement, federal or state law. This policy also does not replace the grievance processes provided in the respective collective bargaining agreements to investigate complaints regarding the terms and conditions of employment, or the affirmative action grievance process established to address alleged unlawful discrimination.

### DEFINITIONS

1. Employee - any individual who performs services for and under the direction of Westfield State University for wages.
2. Supervisor - any individual to whom the University has given authority to direct and control the work performance of an employee, or who has the authority to take corrective action regarding the violation of the law, rule or regulation of which the employee complains.
3. University Reporting Officer (URO) - the person designated by the Audit Committee Chair and the Vice President of Administration & Finance to serve as the official with responsibility for receiving reports of improper activities, as defined herein; the

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person designated to coordinate investigations of improper activities, as defined herein, on behalf of the Audit Committee Chair and the Vice President of Administration & Finance. The Associate Director of Risk Management serves as the URO.

4. Retaliatory Action - (a) adverse action or harassment of an individual; or (b) the discharge, suspension, or demotion of an employee, or any adverse employment action taken against an employee in the terms and conditions of employment.
5. Public Body - (a) the United States Congress, any state legislature, or any popularly elected local government body, or any member or employee thereof; (b) any federal, state, or local judiciary, or member or employee thereof; (c) any federal, state, or local regulatory, administrative or public agency or authority; (d) any federal, state, or local law enforcement agency, prosecutorial office, police or peace officer; or (e) any division, board, bureau, office, committee or commission of any public bodies described above.
6. Improper Activity - any activity by a University employee, volunteer, agent, or vendor/contractor which is a violation of federal, state, or local laws, rules, policies or regulations; is a serious violation of University policy; or uses University property, resources, or authority for personal gain or other non-University purpose except as provided under University policy.
7. False Allegation – Any employee or volunteer who knowingly or with reckless disregard for the truth gives false information or knowingly makes a false report of improper activity or a subsequent false report of retaliation shall be subject to disciplinary action, up to and including termination. Any student who makes false allegations in the non-employment setting shall be subject to student code of conduct for disposition. Allegations that are not substantiated yet are made in good faith are not subject to corrective action.

## REPORTING ALLEGATIONS OF SUSPECTED IMPROPER ACTIVITIES

1. Any individual may report a suspected improper activity. Individuals are encouraged to report improper activities in writing, although they may be made orally. Any such reports should be based on facts, rather than speculation, and should contain as much specific information as possible to allow for an effective investigation. The “Fraud, Waste & Abuse Report Form” is available on the University website in Word Document format and electronic format for anonymous submission directly to the URO.
2. Under normal circumstances, reports by employees of suspected improper activities should be made to the employee's immediate supervisor or to the appropriate administrator within the employee's department or division. In instances where there

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exists a potential conflict of interest or to ensure confidentiality, an individual may report suspected activity to a University administrator who has responsibility for, or oversight of, the unit in which the suspected activity occurred or to the URO. The URO's contact information is available on the University's Risk Management webpage.

When a report involves the activities of a senior officer or the URO, the report should be made directly to the President of the University. The President shall inform the Audit Committee Chair of any reports involving senior officers or the URO. All reports involving alleged improper activities by the President shall be reported to the Audit Committee Chair and the Chair of the Board of Trustees.

It is important that all faculty and staff, particularly those in a supervisory role, recognize that any complaint or allegation, formal or informal, may constitute a report of improper activity.

3. Administrators and supervisors who receive reports of alleged improper activity should report that information to their supervisor, appropriate administrative official or the URO as soon as practicable. In circumstances where the alleged improper activity is a minor violation of a rule or regulation it may be appropriate for the supervisor to investigate the alleged activity. When a supervisor is uncertain how the report should be investigated, the supervisor is encouraged to seek guidance and direction from supervisors, the URO and University administrators. When in doubt, supervisors receiving reports should err on the side of reporting to the URO or supervisor. Administrators and supervisors shall report to the URO any alleged improper activities which involve possible criminal acts, the misuse of University resources, or a significant threat to the health and safety of the University community.
4. Individuals are required to report alleged improper activities to the appropriate University official as described in the preceding sections 1, 2 and 3 prior to disclosing the matter to a public body, unless the individual is reasonably certain the activity is known to a supervisor and is an emergency, or the individual reasonably fears physical harm will result from disclosing the activity to a University official, or the disclosure is for the purpose of providing evidence of a crime. Such notice to the supervisor or appropriate University official must be made in writing prior to notification of a public body. In the event an individual does not comply with this section 4, the individual shall not be protected by this policy.
5. Several University departments, public safety and human resources for example, have responsibility for conducting investigations of improper activities. Based on the nature of the alleged improper activity, other departments may become involved in, or responsible for, an investigation. The URO shall consult with university departments as deemed appropriate and/or seek consultation with the Vice

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President for Administration and Finance to determine a department's role in the investigation. Reports involving the President shall be investigated by the Board of Trustees. All University employees are required to cooperate fully with any investigation into improper activities. The URO shall assure that appropriate University officials have been apprised of the allegations and the progress of the investigation. At the conclusion of the investigation the URO or the investigating officer may recommend corrective action and shall ensure that, where required, notification is provided to appropriate governmental bodies. All reports and final outcomes are submitted to the Audit Committee Chair and the Vice President for Administration & Finance and kept on file with the URO.

- If the employee assigned as the URO is unavailable to perform this function for an extended period of time (e.g., family or medical leave, leave of absence, vacancy), the Assistant Vice President of Human Resources will automatically fulfill this function unless otherwise determined by the Vice President of Administration and Finance and the Chair of the Audit Committee. The campus community will be notified and the risk management website will be updated within 2 business days if the URO is unavailable and the Assistant Vice President of Human Resources will temporarily fulfill this function.

## PROTECTION FROM RETALIATION/ADVERSE PERSONNEL ACTION

- Westfield State University is committed to protecting individuals from retaliation for having disclosed alleged improper activities. No retaliatory action may be taken against an individual who, consistent with this policy, reports improper activities or participates in an investigation of suspected improper activities. Further, no adverse personnel action may be taken with respect to any employee who objects to, or refuses to participate in any activity, policy or practice which the employee reasonably believes is in violation of a law, or a regulation promulgated pursuant to law, or which the employee reasonably believes poses a risk to public health, safety, or the environment.
- Whenever an individual believes that retaliatory action has been taken against the individual for one of the reasons stated in Section 1 above, the individual shall file a complaint with the URO. The complaint shall be filed in writing within 10 days of the date the alleged retaliation occurred. The URO shall meet with the individual within 10 days of receipt of the complaint, conduct such investigation as the URO deems appropriate, and whenever possible, render a decision in writing within 10 days of the meeting. The decision shall set forth a finding whether retaliation took place, and, if so, what remedy shall be undertaken. Any action or decision taken or made shall be reported to the Chair of the Audit Committee.
- Nothing in this policy shall be deemed to limit the rights, privileges or remedies of any individual under any federal or state law or regulation, or of any employee under

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any collective bargaining agreement.

## REVIEW

This policy shall be reviewed, at a minimum, every three years by the Audit Committee Chair in conjunction with the Vice President of Administration & Finance.



## **Board of Trustees**

June 20, 2019

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### **MOTION**

To elect the following slate of officers for the 2019-2020 academic year:

Kevin R. Queenin, Chair

Edward C. Sullivan, Vice Chair

Lydia E. Martinez-Alvarez, Secretary

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Kevin R. Queenin, Chair

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Date

## BOARD OF TRUSTEES

June 20, 2019

Dear MSCA Members,

At the Board of Trustees meeting on April 24, 2019, MSCA representatives presented orally and in writing a list of questions to the Board regarding concerns about campus leadership. At that same meeting, the Board agreed to provide a response to those questions.

As we have reflected on those questions and communicated with President of the MSCA local chapter Dr. Margot Hennessy, we are aware of the complexity of the issues presented. In the interest of developing a complete response for the MSCA, and for other interested constituents on campus, we have reached out to her to invite MSCA leadership to a series of meetings, each of which we hope would result in identification of areas of common understanding and areas of continued disagreement. These meetings would culminate in an open forum for campus in the fall.

We imagine these meetings to begin with a robust conversation about finance, since this is an area in which the union has expressed a need for greater understanding and clarity. The Board believes also that in subsequent meetings it would be useful to address shared governance. This is not only an area of concern expressed by the MSCA in their communications, but it is another area where a common understanding is essential in our work in the interest of student success. The Board Chair has reached out to Dr. Hennessy beginning in early May with the intention of setting up these meetings.

From our experiences, the meeting format provides for a more in depth response to the issues. We believe this approach will provide more opportunities for interaction and clarification than by presenting written positions to each other.

The work of campus change and campus success need to take place across all constituencies. Since the early March vote of no confidence, Trustees Kevin Queenin, Robert Martin, and Edward Sullivan have met with Dr. Hennessy, General Secretary of the MSCA local chapter Dr. Claudia Ciano-Boyce, and Dr. Kim Tobin to listen to concerns regarding campus leadership. Additionally, trustees have met with the President and his leadership team to discuss necessary action moving forward. Further, the President and cabinet continue their ongoing discussions on how to be more transparent and visible to faculty and all campus constituents.

At this critical time of transition in higher education and on our campus, we look forward to meeting with the union leadership, and then with you, to create additional opportunities for interaction, and to develop agreed upon actions.

Sincerely,

Board of Trustees

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