
University of Massachusetts

June 30, 2011 and 2010
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PART I
FINANCIAL STATEMENTS
Report of Independent Certified Public Accountants on
Financial Statements and Supplementary Schedule of
Expenditures of Federal Awards

Board of Trustees of the
University of Massachusetts

We have audited the accompanying financial statements of the business-type activities and the aggregate discretely presented component units of the University of Massachusetts (the “University”), an enterprise fund of the Commonwealth of Massachusetts, as of June 30, 2011 which collectively comprise the University’s basic financial statements as listed in the table of contents. These financial statements are the responsibility of the University’s management. Our responsibility is to express opinions on these financial statements based on our audit. The financial statements of the University as of and for the year ended June 30, 2010 were audited by other auditors. Those auditors expressed an unqualified opinion on those financial statements in their report dated December 16, 2010, except for Note 1 as to which is dated October 25, 2011.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America established by the American Institute of Certified Public Accountants and the standards applicable to financial audits contained in Government Auditing Standards, issued by Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. The financial statements of the University of Massachusetts Amherst Foundation, Worcester City Campus Corporation, the University of Massachusetts Foundation and the University of Massachusetts Dartmouth Foundation, Inc. were not audited in accordance with Government Auditing Standards. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University’s internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinions.

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the aggregate discretely presented component units of the University as of June 30, 2011, and the respective changes in financial position and cash flows, where applicable, thereof for the year then ended in conformity with accounting principles generally accepted in the United States of America.
Management's Discussion and Analysis, listed in the accompanying table of contents are not a required part of the basic financial statements but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the supplementary information. However, we did not audit the information and express no opinion on it.

In accordance with Government Auditing Standards, we have also issued our report dated December 15, 2011, on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion of the effectiveness of internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards and should be considered in assessing the results of our audit.

Our audit was conducted for the purpose of forming opinions on the basic financial statements taken as a whole. The accompanying Schedule of Federal Expenditures is presented for purposes of additional analysis as required by the U.S. Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated, in all material respects, in relation to the basic financial statements taken as a whole.

Grant Thornton LLP

Boston, Massachusetts
December 15, 2011
Introduction
This unaudited section of the University of Massachusetts (the "University") Annual Financial Report presents our discussion and analysis of the financial position and performance of the University and its component units during the fiscal year ended June 30, 2011 with comparative information as of June 30, 2010 and June 30, 2009. This discussion and analysis has been prepared by management along with the accompanying financial statements and related footnote disclosures and should be read in conjunction with, and is qualified in its entirety by, the financial statements and footnotes. The accompanying financial statements, footnotes and this discussion are the responsibility of management.

The University of Massachusetts is a state coeducational institution for higher education with separate campuses at Amherst, Boston, Dartmouth, Lowell and Worcester all located in the Commonwealth of Massachusetts (the "Commonwealth"). The University was established in 1863 in Amherst, under the provisions of the 1862 Morrill Land Grant Acts, as the Massachusetts Agricultural College. It became known as the Massachusetts State College in 1932 and in 1947 became the University of Massachusetts. The Boston campus was opened in 1965 and the Worcester campus, Medical School, was opened in 1970. The Lowell and Dartmouth campuses (previously the University of Lowell and Southeastern Massachusetts University, respectively) were made a part of the University by a legislative act of the Commonwealth, effective September 1, 1991.

The University’s mission is to provide an affordable and accessible education of high quality and to conduct programs of research and public service that advance knowledge and improve the lives of the people of the Commonwealth, the nation and the world. In the fall of 2010, the University enrolled approximately 58,564 full-time equivalent (“FTE”) students. The University is committed to providing, without discrimination, diverse program offerings to meet the needs of the whole of the state’s population. The University’s five campuses are geographically dispersed throughout Massachusetts and possess unique and complementary missions.

Financial Highlights
The University’s combined net assets increased $172.2 million from $1.97 billion in fiscal year 2010 to $2.14 billion in fiscal year 2011. Net Assets at June 30, 2009 were equal to $1.74 billion. The major components of the increase in fiscal year 2011 relate to investments in infrastructure and positive operating margins due primarily to greater student fee revenues associated with increased enrollment, cost reductions, strong market performance for the University’s investments, a large increase in federally-funded research, and one-time federal stabilization funds.

Using the Annual Financial Report
One of the most important questions asked about University finances is whether the University as a whole is better off or worse off as a result of the year’s activities. The key to understanding this question are the Statement of Net Assets, Statement of Revenues, Expenses and Changes in Net Assets and the Statement of Cash Flows. These statements present financial information in a form similar to that used by private sector companies. The University’s net assets (the difference between assets and liabilities) are one indicator of the University’s financial health. Over time, increases or decreases in net assets is one indicator of the improvement or erosion of an institution’s financial health when considered with non-financial facts such as enrollment levels, operating expenses, and the condition of the facilities.

The statement of net assets includes all assets and liabilities of the University. It is prepared under the accrual basis of accounting, whereby revenues and assets are recognized when the services are provided and expenses and liabilities are recognized when services are received, regardless of when cash is exchanged. Net assets are further broken down into three categories: Investment in capital assets, net of related debt, restricted and unrestricted. Invested in capital assets, net of related debt represents the historical cost of property and equipment, reduced by the balance of related debt outstanding and depreciation expense charged over the years. Net assets are reported as restricted when constraints are imposed by third parties, such as donors, or enabling legislation. Restricted net assets are either non-expendable, as in the case of endowment gifts to be held in perpetuity, or expendable, as in the case of funds to be spent on scholarships and research. All other assets are unrestricted; however, they may be committed for use under contract or designation by the Board of Trustees.

The statement of revenues, expenses and changes in net assets presents the revenues earned or received and expenses incurred during the year. Activities are reported as either operating or non-operating. Operating revenues and expenses include tuition and fees, grant and contract activity, auxiliary enterprises and activity for the general operations of the institution not including appropriations from state and federal sources. Non-operating revenues and expenses include appropriations, capital grants and contracts, endowment, gifts, investment income, and non-operating federal grants (Pell Grants). All things being equal, a public University’s dependency on state aid. Pell grants, and gifts will result in operating deficits. That is because the prescribed financial reporting model classifies state appropriations, Pell grants, and gifts as non-operating revenues. The utilization of long-lived assets, referred to as capital assets, is reflected in the financial statements as depreciation expense, which amortizes the cost of a capital asset over its expected useful life.

Another important factor to consider when evaluating financial viability is the University’s ability to meet financial obligations as they mature. The statement of cash flows presents information related to cash inflows and outflows summarized by operating, capital and non-capital, financing and investing activities.

The footnotes provide additional information that is essential to understanding the information provided in the external financial statements.
Reporting Entity

The financial statements report information about the University as a whole using accounting methods similar to those used by private-sector companies. The financial statements of the University are separated between University (including its blended component units) and its discretely presented Component Unit activities. The University's discretely presented Component Units (or Related Organizations) are the University of Massachusetts Foundation, Inc., and the University of Massachusetts Dartmouth Foundation, Inc.

Condensed Financial Information

<table>
<thead>
<tr>
<th>University of Massachusetts</th>
<th>Condensed Statement of Net Assets</th>
<th>As of June 30, 2011, 2010 and 2009</th>
<th>(in thousands of dollars)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>University</td>
<td>University</td>
<td>FY10-11 Change</td>
</tr>
<tr>
<td>ASSETS Current</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assets Noncurrent</td>
<td>$581,207</td>
<td>$554,377</td>
<td>$26,830</td>
</tr>
<tr>
<td>Assets</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment In Plant Net of Accumulated Depreciation</td>
<td>2,582,651</td>
<td>2,324,392</td>
<td>258,259</td>
</tr>
<tr>
<td>All other noncurrent assets</td>
<td>1,802,508</td>
<td>1,478,628</td>
<td>323,880</td>
</tr>
<tr>
<td>Total Assets</td>
<td>$5,026,366</td>
<td>$4,355,397</td>
<td>$670,969</td>
</tr>
<tr>
<td>LIABILITIES Current</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Liabilities Noncurrent</td>
<td>$609,291</td>
<td>$584,562</td>
<td>$24,729</td>
</tr>
<tr>
<td>Liabilities</td>
<td>2,275,885</td>
<td>1,801,682</td>
<td>474,203</td>
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<tr>
<td>Total Liabilities</td>
<td>$2,884,976</td>
<td>$2,386,244</td>
<td>$498,732</td>
</tr>
<tr>
<td>NET ASSETS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Invested in Capital Assets Net of Related Debt</td>
<td>$1,283,868</td>
<td>$1,133,264</td>
<td>$150,604</td>
</tr>
<tr>
<td>Restricted</td>
<td></td>
<td></td>
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<tr>
<td>Nonexpendable</td>
<td>17,112</td>
<td>16,699</td>
<td>413</td>
</tr>
<tr>
<td>Expendable</td>
<td>184,908</td>
<td>218,517</td>
<td>(33,608)</td>
</tr>
<tr>
<td>Unrestricted</td>
<td>655,481</td>
<td>600,473</td>
<td>55,008</td>
</tr>
<tr>
<td>Total Net Assets</td>
<td>$2,141,390</td>
<td>$1,969,150</td>
<td>$172,237</td>
</tr>
</tbody>
</table>

University of Massachusetts
Condensed Statement of Net Assets for Related Organizations
As of June 30, 2011, 2010 and 2009
(in thousands of dollars)

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations</th>
<th>University Related Organizations</th>
<th>FY10-11 Change</th>
<th>University Related Organizations</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASSETS Current</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assets Noncurrent</td>
<td>$5,222</td>
<td>$4,562</td>
<td>$660</td>
<td>$9,081</td>
</tr>
<tr>
<td>Assets</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment In Plant Net of Accumulated Depreciation</td>
<td>9,019</td>
<td>1,699</td>
<td>7,320</td>
<td>950</td>
</tr>
<tr>
<td>All other noncurrent assets</td>
<td>355,378</td>
<td>308,057</td>
<td>47,321</td>
<td>257,720</td>
</tr>
<tr>
<td>Total Assets</td>
<td>$369,519</td>
<td>$314,318</td>
<td>$55,301</td>
<td>$267,751</td>
</tr>
<tr>
<td>LIABILITIES Current</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Liabilities Noncurrent</td>
<td>$15,785</td>
<td>$16,063</td>
<td>($278)</td>
<td>$7,955</td>
</tr>
<tr>
<td>Liabilities</td>
<td>3,413</td>
<td>3,664</td>
<td>(251)</td>
<td>3,025</td>
</tr>
<tr>
<td>Total Liabilities</td>
<td>$19,198</td>
<td>$19,727</td>
<td>($529)</td>
<td>$10,980</td>
</tr>
<tr>
<td>NET ASSETS</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Invested in Capital Assets Net of Related Debt</td>
<td>$9,020</td>
<td>$1,699</td>
<td>$7,321</td>
<td>$950</td>
</tr>
<tr>
<td>Restricted</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Nonexpendable</td>
<td>254,625</td>
<td>240,595</td>
<td>14,030</td>
<td>225,549</td>
</tr>
<tr>
<td>Expendable</td>
<td>73,995</td>
<td>48,127</td>
<td>25,868</td>
<td>41,033</td>
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<tr>
<td>Unrestricted</td>
<td>12,781</td>
<td>4,170</td>
<td>8,611</td>
<td>(10,761)</td>
</tr>
<tr>
<td>Total Net Assets</td>
<td>$350,421</td>
<td>$294,591</td>
<td>$55,830</td>
<td>$256,771</td>
</tr>
</tbody>
</table>

At June 30, 2011, total University assets were $5.03 billion, an increase of $671.0 million over the $4.36 billion in assets recorded for fiscal year 2010. The increase can be attributed to increases in cash and securities held by Trustees of $355.2 million largely due to a bond issue completed in November 2010, in which proceeds have not yet been spent on capital projects. In addition, there were increases in both short and long-term investments and investment in plant assets. The University's largest asset continues to be its net investment in its physical plant of $2.58 billion at June 30, 2011 ($2.32 billion in fiscal year 2010 and $2.07 billion in fiscal year 2009).
University liabilities totaled $2.88 billion at June 30, 2011, an increase of $498.7 million over fiscal year 2010. Long-term liabilities represent 79% of the total liabilities which primarily consist of bonds payable amounting to $2.12 billion at June 30, 2011.

The University’s current assets as of June 30, 2011 of $581.2 million were below the current liabilities of $509.3 million, as the current ratio was 0.95 dollars in assets to every one-dollar in liabilities. June 30, 2010 current assets of $554.3 million were below current liabilities of $584.6 million, resulting in a current ratio of 0.95. June 30, 2009 current assets of $461.6 million were below current liabilities of $514.7 million, resulting in a current ratio of 0.90.

The unrestricted and restricted expendable net assets totaled $840.4 million in fiscal year 2011, which represents 30.1% of total operating expenditures of $2.79 billion. The unrestricted and restricted expendable net assets totaled $819.0 million in fiscal year 2010, which represents 31.6% of total operating expenditures of $2.59 billion. The unrestricted and restricted expendable net assets totaled $654.7 million in fiscal year 2009, which represents 26.8% of total operating expenditures of $2.45 billion.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(in thousands of dollars)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>University</td>
<td>University</td>
</tr>
<tr>
<td></td>
<td>June 30, 2011</td>
<td>June 30, 2010</td>
</tr>
<tr>
<td>Operating Revenues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees (net of scholarship allowances of $178,678 at June 30, 2011, $177,850 at June 30, 2010, and $126,779 at June 30, 2009.)</td>
<td>597,200</td>
<td>552,419</td>
</tr>
<tr>
<td>Grants and Contracts</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>543,727</td>
<td>504,114</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>272,020</td>
<td>257,852</td>
</tr>
<tr>
<td>Other Operating Revenues</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>816,186</td>
<td>739,403</td>
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<tr>
<td>Total Operating Revenues</td>
<td>2,229,113</td>
<td>2,063,788</td>
</tr>
<tr>
<td>Operating Expenses</td>
<td>2,788,734</td>
<td>2,588,548</td>
</tr>
<tr>
<td>Operating Loss</td>
<td>(559,671)</td>
<td>(534,760)</td>
</tr>
<tr>
<td>Nonoperating Revenues / (Expenses)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Federal Appropriations</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5,826</td>
<td>5,922</td>
</tr>
<tr>
<td>State Appropriations</td>
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<tr>
<td></td>
<td>505,799</td>
<td>415,889</td>
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<td>State Appropriations - Federal Stimulus Funds</td>
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<td>150,639</td>
</tr>
<tr>
<td>Interest on Indebtedness Other</td>
<td>(64,124)</td>
<td>(49,110)</td>
</tr>
<tr>
<td>Nonoperating Income</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>119,709</td>
<td>103,917</td>
</tr>
<tr>
<td>Nonoperating Federal Grants*</td>
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</tr>
<tr>
<td></td>
<td>70,643</td>
<td>60,324</td>
</tr>
<tr>
<td>Net Nonoperating Revenues</td>
<td>675,750</td>
<td>687,578</td>
</tr>
<tr>
<td>Income Before Other Revenues, Expenses, Gains or Losses</td>
<td>116,079</td>
<td>152,818</td>
</tr>
<tr>
<td>Capital Appropriations, Grants and Other Sources</td>
<td>62,824</td>
<td>77,426</td>
</tr>
<tr>
<td>Disposal of Plant Facilities</td>
<td>(10,682)</td>
<td>(12,125)</td>
</tr>
<tr>
<td>Other Additions / (Deductions)</td>
<td>4,018</td>
<td>9,729</td>
</tr>
<tr>
<td>Total Other Revenues, Expenses, Gains, and Losses</td>
<td>56,158</td>
<td>75,030</td>
</tr>
<tr>
<td>Total Increase in Net Assets</td>
<td>172,237</td>
<td>227,848</td>
</tr>
<tr>
<td>Net Assets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Net Assets at Beginning of Year</td>
<td>1,959,153</td>
<td>1,741,305</td>
</tr>
<tr>
<td>Net Assets at End of Year</td>
<td>2,141,390</td>
<td>1,969,153</td>
</tr>
</tbody>
</table>

*Starting in fiscal year 2010, federal Pell Grants are reported as Nonoperating Federal Grants rather than being included in the Operating Grants and Contracts section.
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Expenses</td>
<td>$12,107</td>
<td>$11,198</td>
<td>$909</td>
<td>$14,007</td>
</tr>
<tr>
<td>Operating Loss</td>
<td>(12,107)</td>
<td>(11,198)</td>
<td>909</td>
<td>(14,007)</td>
</tr>
<tr>
<td>Nonoperating Revenues</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Nonoperating Income</td>
<td>52,571</td>
<td>31,148</td>
<td>21,423</td>
<td>(31,621)</td>
</tr>
<tr>
<td>Net Nonoperating Revenues</td>
<td>52,571</td>
<td>31,148</td>
<td>21,423</td>
<td>(31,621)</td>
</tr>
<tr>
<td>Gain / (Loss) Before Other Revenues, Expenses, Gains or Losses</td>
<td>40,464</td>
<td>19,950</td>
<td>20,514</td>
<td>(45,628)</td>
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<tr>
<td>Additions to Permanent Endowments</td>
<td>15,195</td>
<td>13,003</td>
<td>2,192</td>
<td>12,892</td>
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<tr>
<td>Other</td>
<td>171</td>
<td>4,867</td>
<td>(4,696)</td>
<td>(8,423)</td>
</tr>
<tr>
<td>Total Other Revenues, Expenses, Gains, and Losses</td>
<td>15,366</td>
<td>17,870</td>
<td>(2,504)</td>
<td>4,469</td>
</tr>
<tr>
<td>Total increase/(decrease) in Net Assets</td>
<td>55,830</td>
<td>37,820</td>
<td>18,010</td>
<td>(41,159)</td>
</tr>
<tr>
<td>Net Assets</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Net Assets at Beginning of Year</td>
<td>294,591</td>
<td>258,771</td>
<td>37,820</td>
<td>297,930</td>
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<tr>
<td>Net Assets at End of Year</td>
<td>$350,421</td>
<td>$294,591</td>
<td>$55,830</td>
<td>$256,771</td>
</tr>
</tbody>
</table>

| Sources of Operating Revenues*, Fiscal Year 2009 to Fiscal Year 2011 |
|-----------------------------|-----------------------------------------------|
| June 30, 2009               | $489.2                                        |
| June 30, 2010               | $553.4                                        |
| June 30, 2011               | $597.2                                        |
| Tuition and Fees (net of scholarship allowances) | $597.8                                        |
| Grants and Contracts        | $543.7                                        |
| Auxiliary Enterprises       | $257.8                                        |
| Other Operating Revenues    | $725.7                                        |

*The decrease in Grants and Contracts Revenue depicted from FY2009 to FY2010 in not due to declining activity, rather it is caused by a reporting change that now classifies Pell Grant revenue as nonoperating.

Total operating revenues for fiscal year 2011 were $2.23 billion. This represents a $175.3 million increase over the $2.05 billion in operating revenues in fiscal year 2010. Total operating revenues for fiscal year 2009 were $1.97 billion. The most significant sources of operating revenue for the University are tuition and fees, grants and contracts, auxiliary services and public service activities at the Worcester Medical School campus categorized in the chart above as "Other Operating Revenues". While not classified on the financial statements as operating revenue, state appropriations serve as a primary source for funding the core mission of the University. State appropriation revenue, described in detail in a section below, is used almost exclusively to fund payroll for University employees. The chart above displays operating revenues by source for the University in fiscal years 2011, 2010, and 2009.
Operating Expenses by Category, Fiscal Year 2009 to Fiscal Year 2011

In fiscal year 2011, operating expenditures, including depreciation and amortization of $159.9 million, totaled $2.79 billion. Of this total, $1.22 billion or 44% was used to support the academic core activities of the University, including $420.0 million in research. In fiscal year 2010, operating expenditures totaled $2.59 billion. Operating expenditures were $2.45 billion in fiscal year 2009. The chart above displays fiscal year 2011, 2010, and 2009 operating spending.

Public Service Activities

Public Service Activities consist largely of sales and services provided to third parties by the UMass Medical School campus under its Commonwealth Medicine (CWM) programs, which provide public consulting and services in health care financing, administration and policy to federal, state and local agencies and not-for-profit health and policy organizations. Included in this category of activities are Commonwealth Medicine revenues of $345.7 million, $361.4 million and $336.7 million for the years ended June 30, 2011, 2010 and 2009, respectively. Included in expenditures are Commonwealth Medicine expenditures of $315.6 million, $300.4 million and $309.7 million for the years ended June 30, 2011, 2010 and 2009, respectively.

In addition to CWM activities, Public Service Activities also includes payments received by the Medical School for educational services it provides to its clinical affiliate UMass Memorial as required by the enabling legislation enacted by the Commonwealth in 1997. Educational services revenues included in public service revenues were $200.2 million, $125.9 million and $128.5 million for the years ended June 30, 2011, 2010, and 2009, respectively. Finally, Public Service Activity expenditures also include payments made to the Commonwealth of Massachusetts of $177.0 million, $52.0 million and $73.4 million for the years ended June 30, 2011, 2010 and 2009, respectively, pursuant to requirements of legislation enacted by the State Legislature of Massachusetts.

State Appropriations

In fiscal year 2011, state appropriations, not including federal stimulus funding, represent approximately 17% of all operating and non-operating revenues. The level of state support is a key factor influencing the University’s overall financial condition. Although the state appropriation is unrestricted revenue, nearly 100% of the state appropriation supports payroll and benefits for University employees.

The net state appropriation for the University increased by $89.9 million from fiscal year 2010, however this was offset by the $112.7 million decrease in federal stimulus funding from $150.6 million in fiscal year 2010 to $37.9 million in fiscal year 2011.

The combined financial statements for the years ended June 30, 2011 and 2010 record as tuition revenue approximately $49.7 million and $49.1 million, respectively, of tuition the University remits to the State Treasurer’s Office for the general fund of the Commonwealth of Massachusetts. Unless otherwise permitted by the Massachusetts Legislature, the University is required to remit tuition revenue received to the Commonwealth. Therefore, the University collects student tuition on behalf of the Commonwealth and remits it to the Commonwealth’s General Fund. There is no direct connection between the amount of tuition revenues collected by the University and the amount of state funds appropriated in any given year. In fiscal year 2004, a pilot program authorized by the Commonwealth enabled the Amherst campus to retain tuition for out-of-state students. This pilot program was extended indefinitely for the Amherst Campus in fiscal year 2005 and starting in fiscal year 2012 all of the University’s campuses are authorized to retain tuition from non-resident students. The amount of tuition retained by the University during 2011, 2010, and 2009 was $34.8 million, $31.5 million and $32.3 million, respectively.
The following table details the Commonwealth operating appropriations received by the University for fiscal years ending June 30, 2011, 2010 and 2009 (in thousands).

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<thead>
<tr>
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<tbody>
<tr>
<td>Gross Commonwealth Appropriations</td>
<td>$408,019</td>
<td>$386,339</td>
<td>$467,030</td>
</tr>
<tr>
<td><strong>Plus: Fringe Benefits</strong>*</td>
<td>147,511</td>
<td>108,034</td>
<td>120,264</td>
</tr>
<tr>
<td></td>
<td>$555,530</td>
<td>$464,973</td>
<td>$587,294</td>
</tr>
<tr>
<td>Less: Tuition Remitted</td>
<td>($49,731)</td>
<td>($49,084)</td>
<td>($47,107)</td>
</tr>
<tr>
<td><strong>Net Commonwealth Support</strong></td>
<td><strong>$505,799</strong></td>
<td><strong>$415,889</strong></td>
<td><strong>$540,187</strong></td>
</tr>
</tbody>
</table>

*The Commonwealth pays the fringe benefit cost for University employees paid from Commonwealth operating appropriations. Therefore, such fringe benefit support is added to the "State Appropriations" financial statement line item as presented in the above table. The University pays the Commonwealth for the fringe benefit cost of the employees paid from funding sources other than Commonwealth operating appropriations.

**It should be highlighted that in fiscal years 2010 and 2011 the Commonwealth distributed federal stimulus funding to the University in addition to the state appropriations. The $150.6 million provided in FY2010 and the $37.9 million provided in FY2011 are not included in the table.

Capital Appropriations from the Commonwealth
The University faces a financial challenge to maintain and upgrade its capital assets including its infrastructure, buildings and grounds. In order to have a successful capital program, the University must rely on a combination of revenue sources to fund its investment in capital improvements, including appropriations provided by the Commonwealth of Massachusetts. In fiscal year 2011, the $28.1 million of capital appropriations provided to the University were $0.5 million less than the capital appropriations provided in fiscal year 2010. Fiscal year 2009 capital appropriations totaled $27.5 million. The University projects that the level of capital appropriations from the Commonwealth will grow significantly in future years as major construction projects managed by the Commonwealth’s construction agency are underway at all five of the University’s campuses.

Grant and Contract Revenue
Collectively, the University’s Amherst Campus and Medical School in Worcester account for approximately 77% of University grant and contract activity. These two campuses have been the primary catalyst in the University’s research funding growth in recent years, however, the Boston, Dartmouth, and Lowell campuses continue to experience growth in sponsored research activity. The decline illustrated in the table below from FY2009 to FY2010 is not due to declining activity, rather it is due to a reporting change implemented in FY2010 that now classifies federal Pell Grant revenue as nonoperating.

The following table details the University’s grant and contract revenues (in thousands) for the fiscal years ended June 30, 2011, 2010, and 2009:

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Federal Grants and Contracts</td>
<td>$371,426</td>
<td>$333,538</td>
<td>$324,100</td>
</tr>
<tr>
<td>State Grants and Contracts</td>
<td>62,597</td>
<td>64,328</td>
<td>77,115</td>
</tr>
<tr>
<td>Local Grants and Contracts</td>
<td>937</td>
<td>1,880</td>
<td>2,149</td>
</tr>
<tr>
<td>Private Grants and Contracts</td>
<td>107,767</td>
<td>104,388</td>
<td>104,389</td>
</tr>
<tr>
<td><strong>Total Grants and Contracts</strong></td>
<td><strong>$543,727</strong></td>
<td><strong>$504,114</strong></td>
<td><strong>$507,783</strong></td>
</tr>
</tbody>
</table>

Discretely Presented Component Units
University of Massachusetts Foundation, Inc.
The combined University and Foundation endowment has increased to approximately $517.7 million at June 30, 2011 up from $459.8 million at June 30, 2010 which was up from $372.6 million at June 30, 2009.

The Foundation utilizes the pooled investment concept whereby all invested funds are in one investment pool, except for investments of certain funds that are otherwise restricted. Pooled investment funds will receive an annual distribution of 4% to 6% of the endowment fund’s average market value for the preceding twelve quarters on a one-year lag and three-year share average. The Foundation revised its policy during the fiscal year 2011 and it will go into effect for the fiscal year 2012 distribution. The new policy is an annual distribution of 4% of the endowment fund’s average market value for the preceding twelve quarters on a one year lag. Only quarters with funds on deposit shall be included in the average. In addition, a prudence rule will be utilized limiting spending from a particular endowment fund to no lower than 93% of its book value. The actual spending rate approved was 4% for 2010 (distributed in 2011). The Board of Directors of the Foundation approved an exception to the spending policy due to the significant decrease in market performance of fiscal year 2009. The actual spending rate approved was 1.5% of the fiscal year 2009 ending fair value. Future utilization of gains is dependent on market performance.

The total investment returns of the Foundation for fiscal year 2011, including realized and unrealized investment activity was a net gain of approximately $93.3 million as compared to a net gain of $66.3 million in fiscal year 2010 and a net loss of approximately $55.2 million in 2009.

University of Massachusetts Dartmouth Foundation, Inc.
Total marketable securities for the Dartmouth Foundation were $40.4 million at June 30, 2011, up from $32.3 million at June 30, 2010, and up from $28.4 million in fiscal year 2009, which are held by the University of Massachusetts Foundation, Inc. The increase was primarily due to new favorable market conditions and gifts. The Dartmouth Foundation total investment returns
for fiscal year 2011, including realized and unrealized investment activity, was a net gain of approximately $4.2 million as compared to a net gain of $2.6 million in 2010 and a net loss of $3.7 million in 2009.

**Tuition and Fees**

The University strives to provide students with the opportunity to obtain a quality education. Future University enrollments may be affected by a number of factors, including any material increase in tuition and other mandatory charges and any material decrease in Commonwealth appropriations. In fiscal year 2004, the University established the practice of limiting the annual increases in total mandatory student charges (tuition and mandatory fees) for resident undergraduate students to rate increases of no greater than the rate of inflation. However, with state appropriations declining by $188.3 million over the two-year span from fiscal year 2008 to fiscal year 2010, the University's Board approved a $1,500 increase for academic year 2009-2010 in total mandatory student charges for resident undergraduate students. Due to the receipt of $150.6 million of federal stimulus funds in fiscal year 2010, a rebate of $1,100 was provided to resident undergraduate students who had initially paid the $1,500 increase for academic year 2009-2010. Due to the fact that the full $1,500 increase approved for the 2009-2010 academic year stayed in effect for the 2010-2011 academic year, the University's Board decided that this impact effect served as a significant increase over the prior year student charge level and voted in June 2010 to keep mandatory student charges at the current approved level. The University's Board of Trustees voted on June 8, 2011 to increase mandatory student charges by 7.5% for resident undergraduate students for the 2011-2012 academic year.

**Enrollment**

Except for the Medical School, which admits only Massachusetts residents (as required by Massachusetts Session Laws, 1987, Chapter 199, Section 99), admission to the University is open to residents of the Commonwealth and non-residents on a competitive basis. In the fall 2010 semester, Massachusetts residents accounted for approximately 86% and 58% of the University's total undergraduate and graduate enrollment, respectively. Total enrollment in the fall of 2010 was 58,564 FTE (68,315 headcount students). Enrollments at the University have shown significant increases over the last five years (47,874 FTE in fall 2005). The enrollment changes are consistent with the University's efforts to increase its reach across the Commonwealth and to recruit non-resident students.

The average Scholastic Aptitude Test ("SAT") scores for entering University freshmen ranged from 1042 to 1167 at the University's campuses in the fall of 2010. The 2010 national average SAT composite score was 1017.

**Degrees Awarded**

The University awards four levels of degrees, including associate, bachelors, masters and doctoral/professional degrees. A total of 13,803 degrees were awarded in the 2009-2010 academic year: 247 associate degrees, 9,363 bachelor degrees, 3,641 master degrees, 407 doctoral degrees and 147 MD degrees.

**Bonds Payable**

As of June 30, 2011, the University had outstanding bonds of approximately $2.31 billion representing $1.95 billion of University of Massachusetts Building Authority bonds (the "Building Authority Bonds"), $61.1 million of University of Massachusetts bonds financed through the Massachusetts Health and Educational Facilities Authority which has subsequently been merged into MassDevelopment (the "UMass HEFA Bonds"), and $300.9 million of bonds financed through the Worcester City Campus Corporation (the "WCCC Bonds"). Bonds payable is the University's largest liability at June 30, 2011. Projects initially financed by the Building Authority Bonds consisted primarily of dormitories, apartments, dining commons, athletic and multi-purpose facilities and parking garages at the University campuses. The Building Authority's active projects include dormitory rehabilitations, renovation of general education buildings, and construction of academic and science facilities. The proceeds from the UMass HEFA Bonds were used to create a revolving loan program and to fund the construction of two new campus centers at the Boston and Lowell campuses (funded jointly with the Commonwealth).

In fiscal year 2011, the Building Authority issued bonds in the amount of $552.3 million through three Series:

- The Building Authority issued Series 2010-1 bonds in the amount of $119.0 million, Series 2010-2 Build America bonds in the amount of $430.3 million, and Series 2010-3 bonds in the amount of $3.0 million for various construction and renovation projects at the Amherst, Boston, Dartmouth, and Lowell campuses.
- In fiscal year 2011, the Building Authority refunded two outstanding variable-rate demand bond series that had been issued in 2008. These bonds were being supported by two liquidity agreements with Bank of America that were set to expire on June 10, 2011. The refunding was completed in order to replace the expiring agreements. The Bank of America liquidity support was replaced with a Wells Fargo liquidity facility, Series 2011-1 for $135.0 million and Citibank Window Bonds, Series 2011-2 for $101.7 million. The 2011-1 Bonds were used to redeem the 2008-3 Bonds, and the 2011-2 bonds were used to redeem the 2009-4 Bonds.

In fiscal year 2010, the Building Authority issued bonds in the amount of $548.3 million through three Series:

- The Building Authority issued Series 2009-1 bonds in the amount of $247.8 million for various construction and renovation projects at the Amherst, Boston, Dartmouth, Lowell, and Medical School campuses and for the construction of the Edward M. Kennedy Institute for the United States Senate on the Boston Campus.
- The Building Authority issued Series 2009-2 Build America bonds in the amount of $271.9 million for various construction and renovation projects at the Amherst, Boston, Lowell, and Medical School campuses.
- The Building Authority issued Series 2009-3 bonds in the amount of $28.6 million for construction and renovation projects at the Medical School campus.
Capitalize Lease Obligations

At June 30, 2011, the University had capital lease obligations with remaining principal payments of approximately $17.6 million which is a $5.5 million decrease from the remaining principal payments of $23.1 million at June 30, 2010. At June 30, 2009, the University had capital lease obligations with remaining principal payments of approximately $34.3 million. The capital leases primarily consist of telecommunications, software and co-generation systems, and campus energy conversions. The decrease in obligations is due to scheduled debt service payments.

University Rating

The University is relying on a carefully planned and executed debt strategy to support master and strategic planning at the campuses and for the University as a whole. The University recently received a credit rating upgrade with bonds issued by the University of Massachusetts and the University of Massachusetts Building Authority are now “AA-” as rated by Fitch IBCA and Standard & Poor’s and “Aa2” as rated by Moody’s Investors Service.

Limitations on Additional Indebtedness

The University may, without limit, issue additional indebtedness or request the Building Authority to issue additional indebtedness on behalf of the University so long as such indebtedness is payable from all available funds of the University. However, the University may request that the Building Authority issue additional indebtedness not payable from all available funds of the University provided that the additional indebtedness is secured by certain pledged revenues and the maximum annual debt service on all revenue indebtedness does not exceed 10% of the University’s available revenues.

The Building Authority is authorized by its enabling act to issue bonds with the unconditional guarantee of the Commonwealth of Massachusetts for the punctual payment of the interest and principal payments on the guaranteed bonds. The full faith and credit of the Commonwealth are pledged for the performance of its guarantee. The enabling act, as amended, presently limits to $200 million the total principal amount of notes and bonds of the Building Authority that may be Commonwealth guaranteed and outstanding at any one time. The amount of bond obligation guaranteed by the Commonwealth at June 30, 2011 and 2010 was $138.5 million and $144.7 million, respectively.

Capital Plan

In September 2011, the University Trustees approved a $3.12 billion five-year (fiscal years 2012-2016) update to its capital plan to be financed from all available funding including projects already in process as well as new projects. The University generally has funded its capital plans through a combination of funding received from University operations, bonds issued by the Building Authority, MassDevelopment (formerly Massachusetts Health and Educational Facilities Authority) financing, Commonwealth appropriations, and private fund raising. The execution of the University’s capital plan is contingent upon sufficient funding from the Commonwealth.

The University’s five-year capital plan for fiscal years 2012-2016 includes both new projects and major projects that were previously approved by the University Trustees in prior-year capital plans. The major projects in the five-year capital plan and their estimated total project cost include:

Amherst Campus
- study and construction of student-housing of up to 1,500 beds for $178.5 million
- construction of the New Laboratory Science Building for approximately $156.5 million
- construction of a Life Sciences Research Facility for $95.0 million
- construction of an academic classroom building for approximately $85.0 million
- replacement of Bartlett Hall for $50.0 million
- construction of a Physical Sciences Building for $80.0 million
- renovations to the Morrill Science Complex totaling approximately $51.3 million
- repairs to the Lederle Graduate Research Complex for $41.3 million
- upgrades to residential housing sprinkler systems for $32.0 million
- improvements of McGuirk Stadium for $30.0 million
- renovations to increase capacity at the Worcester Dining Commons for $20.0 million
- facility demolitions for $12.8 million
- renovations of Machmer Hall for $12.6 million

Boston Campus
- construction of the Integrated Science Complex for $152.0 million
- roadway and utility relocations for $133.9 million in a move to restructure the entire campus
- renovations of existing campus buildings to address deferred maintenance for $75.0 million
- construction of a Living/Learning Center for $88.0 million
- construction of a 1,200 vehicle parking garage to meet current demand for approximately $35.0 million
- construction of two new academic building for a total of $200.0 million
- construction of a trigeneration facility for $25.0 million

Dartmouth Campus
- construction of a new academic building in order to consolidate operations and create more academic space for approximately $55.0 million
- construction of a Biomanufacturing Building for approximately $26.0 million
- extensive library renovations to address deferred maintenance and to improve services for approximately $46.0 million
- an energy/water conservation project for $34.0 million
- acquisition of the Advanced Technology Manufacturing Center for $11.4 million
- construction or renovation of a marine fisheries research building for 48.0 million
- expansion of the Charlton College of Business for $15.0 million

**Lowell Campus**
- construction of the Emerging Technology Innovation Center for approximately $72.2 million
- construction of Health and Social Sciences Building on the South Campus for $40.0 million
- reconfiguration of the North Campus science and engineering space for approximately $70.0 million
- acquisition of several properties neighboring the Campus for $10.0 million
- construction of two parking garages to increase capacity for approximately $40.0 million
- renovation of the newly acquired University Crossing Complex for $91.4 million to create administration services, student housing, and a bookstore
- renewal of Coburn Hall for $19.0 million
- energy conservation projects and power plant improvements for approximately $30.0 million

**Worcester Campus**
- construction of a new science facility to support new programs in stem cell research, RNAI therapies, and gene silencing for approximately $350.0 million
- expansion of the existing power plant to improve efficiency and meet the energy requirements of the growing Campus for approximately $50.0 million
- HVAC upgrades and replacements for approximately $30.1 million
- construction of a parking garage to meet increased demand for $40.0 million

Beginning in the late 1990s, the University enhanced its program to address deferred maintenance needs at its campuses. As a result, the University has made investments to repair and renovate facilities at the University’s campuses through the use of operational funds, campus borrowing, and state support.

**Factors Impacting Future Periods**

After seven years at the helm of the University, during which there was significant growth in enrollment, research funding, and capital investment, President Wilson announced that he was stepping down at the conclusion of fiscal year 2011. A 23-member committee, comprised of faculty, trustees, alumni, students, academic leaders and community leaders, initiated a wide-ranging, national search to find the best person to lead the University System. On January 13, 2011, Robert L. Caret was elected President of the University.

President Caret assumes the presidency of the University of Massachusetts after completing highly successful presidencies at San Jose State University and Towson University. President Caret presided over periods of significant growth at both universities. His presidency at Towson University in Maryland lasted for eight years where he also served as a faculty member, dean, executive vice president and provost during his more than 25-year tenure at the university. He also served for eight years as the President of San Jose State University in California. He received his PhD in organic chemistry from the University of New Hampshire in 1974 and his Bachelor of Science degree in chemistry and mathematics from Suffolk University in 1969.

There are a number of issues of University-wide importance that directly impact the financial operations of the University. Many of these issues such as improving academic quality and financial performance, investing in capital assets, expanding fundraising capacity, and measuring performance are ongoing activities of continuous importance to the Board of Trustees and University leadership that impact the financial and budget planning each year. The level of state support, the impact of collectively bargained wage increases, and the ability of student-fee supported activities to meet inflationary pressures determine the limits of program expansion, new initiatives and strategic investments, as well as the ability of the University to meet its core mission and ongoing operational needs.

Despite challenging economic times in the Commonwealth and throughout the World, the University of Massachusetts continues to focus on improving its competitive position. To meet increased student demand, boost academic credentials, and improve campus infrastructure, the University acquired several strategic properties in fiscal years 2010 and 2011:

- On February 2, 2010, the Massachusetts Board of Higher Education issued approval for UMass Dartmouth to offer the juris doctorate (J.D.) degree and establish the first public law school in the Commonwealth. On November 18, 2010, the Foundation completed the acquisition of the building and land at 333 Faunce Corner Road, Dartmouth, MA, from the Board of Trustees of Southern New England School of Law. This acquisition marks the culmination of the gift of the assets of Southern New England School of Law to the University of Massachusetts Foundation, Inc. and the University of Massachusetts Dartmouth. On July 1, 2010, the University of Massachusetts Dartmouth began operation of the law school, now known as UMass Law School at Dartmouth. The focus of the law school will be public-service, with a curriculum concentrating on civil and human rights, legal support for businesses, economic justice, and community law. The operating plan for the new law school calls for increasing enrollment, recruiting faculty, and improving assets in order to prepare the school for accreditation from the American Bar Association.

- Also in February 2010, the Lowell campus accepted the transfer of the 6,500-seat Tsongas Arena from the City of Lowell. The renamed Tsongas Center at UMass Lowell will host hockey games, concerts, functions, school events and other community activities.

- In May 2010, the University’s Boston Campus finalized the purchase of the former site of the Bayside Exposition Center, which is located less than one mile from the main campus. This acquisition adds 20 acres of waterfront property to the Campus and includes 1,500 parking spaces.
Most recently, the University's Lowell Campus purchased the former Saint Joseph's Hospital in Lowell in January 2011. The property consists of six buildings totaling 300,000 square feet located within walking distance of University's North, South, and East campuses in Lowell. To be known as University Crossing, the property will offer an important connection point and will provide much needed space for the growing Lowell Campus.

Despite these successful acquisitions, the ability to address priority capital needs and requirements for deferred maintenance, technology, repairs and adaptation, and selected new construction projects is one of the largest challenges facing the University. The commitment of operating funds for servicing debt and/or funding capital expenditures has an ongoing impact on the overall financial picture of the University. In order to support the University's capital plan, the University of Massachusetts Building Authority completed a bond issuance in October 2009 to fund approximately $512.5 million of renovations, new construction, and deferred maintenance projects at the Amherst, Boston, Dartmouth, Lowell, and Worcester campuses. In November 2010, the Building Authority issued an additional $552.3 million in bonds to fund a number of new construction and renovation projects across the University.

The University, as well as Legislative and Executive Leadership in the Commonwealth, understand that the despite the significant level of capital activity being financed through University debt, a much higher level of state support needs to be dedicated to higher education facilities. As such, the Massachusetts Legislature passed a higher education bond bill in August 2008 that was filed by Governor Patrick. The Higher Education Improvement Act authorized $2.2 billion for capital improvement spending over the next ten years at community colleges, state colleges, and the University. More than $1 billion of these funds are directed to University projects exclusively. Although the financial challenges faced by the Commonwealth have slowed the pace of this funding, the capital investment plan released in October 2010 by the Commonwealth’s Executive Office for Administration and Finance maintains the commitment to fund $1 billion of capital activity at the University over the ten-year period from FY09-18.

In addition, a major state effort to assist the Commonwealth in increasing its competitive position in the Life Sciences Industry was signed into law by the Governor on June 16, 2008. The $1 billion Life Sciences Industry Investment Act authorized $500 million of capital funding over ten years. It is anticipated that some portion of this funding, possibly as much as $242 million, will be used to support facility improvements at the University. $90 million has already been dedicated to partially fund a major research complex at the University's Medical School in Worcester. Additional funding is anticipated to fund a $5 million research facility at the Amherst Campus and significant capital investments in collaborative facilities and programs involving the Boston, Dartmouth, and Lowell campuses. In addition to capital funding, the life sciences initiative provides a number of opportunities for the University to participate in the planning and program implementation of this important economic development effort.

This focus on the development of life sciences research and business in the Commonwealth dovetails with the fact that the University of Massachusetts Medical School's (UMMS) Craig C. Mello, PhD, and his colleague Andrew Fire, PhD, of Stanford University, were awarded the 2006 Nobel Prize in Physiology or Medicine for their discoveries related to ribonucleic acid (RNA). The findings of Drs. Mello and Fire demonstrated that a particular form of RNA, the cellular material responsible for the transmission of genetic information, can silence (RNAi process) targeted genes. Due to these findings, companies worldwide at the forefront of pharmaceutical innovation have purchased licenses to RNAi technology, co-owned by the UMMS, to aid in their development of treatments for disease. In addition, UMMS researchers are using RNAi technology to speed investigation into a variety of diseases. The work of Dr. Mello has not only produced revenue streams for the University and aided the work of his fellow researchers, but it has also enhanced the overall view of the University of Massachusetts. This recognition highlights the strength of UMMS research and can enhance the overall reputation of the entire University.

The University's Boston Campus is situated on a peninsula in Boston Harbor which is also home to the John F. Kennedy Presidential Library and the Massachusetts State Archives and Commonwealth Museum. Plans are now underway to develop, adjacent to the campus, the Edward M. Kennedy Institute for the United States Senate. The Institute will include a new building focusing on political studies, training sessions for students and politicians, and historical records. Once established, the Institute is likely to add significant prominence to the Boston Campus and the University.

In recent years the University's UMassOnline program has shown significant growth in enrollments, course offerings and revenue generation benefitting the campuses and raising the profile of the University throughout this important sector of the higher education market. For fiscal year 2011, UMassOnline achieved a 15% increase in revenue and a 12% increase in enrollment. Compared to the previous year, revenues increased from approximately $56.2 million to $65.2 million.

The University has recently launched a coordinated effort in international activities to develop partnerships and programs to bring faculty, visiting scholars and students from other countries to the University; to integrate study abroad opportunities into the undergraduate and graduate curriculum; and to encourage faculty to engage in research, teaching and service activities around the world.

In keeping with the University's mission to remain accessible, leadership followed a strategy beginning in 2004 which limited the annual increases for mandatory student charges to levels below the estimated current inflation rate. The University believed that this "at or below inflation" approach for student charge increases would provide reasonable stability and predictability for students, their families, and institutional planners. The University was able to maintain these limits on its student charge increases through fiscal year 2009 due to stable support from the Commonwealth. On October 15, 2008, faced with a large state budget deficit, Governor Patrick implemented a fiscal action plan to close the gap that included more than $1 billion in immediate cuts and spending controls across state government. As part of this action plan, the administration reduced the University's fiscal year 2009 state appropriation by 5%, or approximately $24.5 million. As the state and national economy continued to deteriorate, the administration reduced the University's fiscal year state appropriation by an additional $2.8 million in January 2009.
In response to these mid-year reductions and the anticipated further reduction of the state appropriation for fiscal year 2010, the University departed from its five-year practice of limiting student charge increases to at or below the rate of inflation. For fiscal year 2010, the University Trustees approved a mandatory student charge increase of up to $1,500 for in-state undergraduate students. The approved increase included specific language that authorized rebates of the charge increases based upon the level of federal support provided by The American Recovery and Reinvestment Act of 2009 (“ARRA”).

The Commonwealth’s budget for fiscal year 2010 approved on June 29, 2009 reduced the University’s state appropriation by $33.5 million in comparison to the final fiscal year 2009 state appropriation after the reductions made in October 2008 and January 2009. The fiscal year 2010 state budget also eliminated $10.2 million of line item funding specific to the University.

To protect the University from the full impact of the budget reductions made in fiscal year 2009 and fiscal year 2010, the Commonwealth’s Executive Office of Education distributed to the University in September 2009, $118.6 million of the federal education stabilization funds available to the Commonwealth from ARRA. In October 2009, in response to lower state revenue projections, the state rescinded an additional $32.0 million from the University’s state appropriation. The Commonwealth’s Executive Office of Education replaced this lost appropriation with an equal amount of ARRA education stabilization funds. The receipt of this federal revenue allowed the University to remain consistent with the Board of Trustee vote on student charges taken on February 27, 2009 and offer a partial rebate of the $1,500 student charge increase.

The fiscal year 2011 budget approved by the Legislature and signed by the Governor on June 30, 2010 included a base state appropriation of approximately $424.1 million for the University; an increase in the base state appropriation of approximately $44.2 million in comparison to fiscal year 2010. In addition, $4.4 million of line item funding specific to the University that was not funded in fiscal year 2010 was restored for fiscal year 2011. The University received an additional $5.5 million from the Commonwealth to support the fiscal year 2011 cost of collective bargaining agreements. Subsequent to the finalization of the Commonwealth’s fiscal year 2011 budget, federal legislation was passed that authorized approximately $200 million for protecting education jobs in the Commonwealth. With the receipt of this funding, the Commonwealth’s Executive Office of Education distributed $37.8 million of ARRA funds to the University for fiscal year 2011.

The Commonwealth’s budget for fiscal year 2012 signed by Governor Patrick included a base state appropriation for the University of approximately $418 million for the current fiscal year. While this appears to be a $6.0 million decline from fiscal year 2011, the Governor’s budget is actually proposing level funding. This is due to the fact that the Legislature passed a bill that will allow the University’s Boston, Dartmouth, Lowell, and Worcester campuses to retain tuition collected from non-resident students beginning in fiscal year 2012. The amount of non-resident tuition estimated to be collected by these four campuses totals $11.6 million in the initial year. Prior to the legislation, the approximately $11.6 million of non-resident tuition would have been remitted to the Commonwealth. Therefore, the $418 million base state appropriation approved for fiscal year 2012 is equal to the $424.0 million fiscal year 2011 base state appropriation plus a continuation of the $5.5 million of collective bargaining support initially provided in fiscal year 2011 less the $11.6 million of tuition revenue to be retained by the four campuses.

In addition to the level funding of the base state appropriation, the Commonwealth’s fiscal year 2012 budget includes $6.4 million of line item funding specific to the University. However, this positive support is offset by the fact that the University does not anticipate receiving any ARRA stimulus funds in fiscal year 2012. As a result of the anticipated flat state support, the elimination of the federal stimulus funding, and the expectation that the Commonwealth will not be providing support for the fiscal year 2012 costs of the collective bargaining contracts signed in fiscal year 2011, the University’s Board of Trustees voted on June 8, 2011 to increase mandatory student charges by 7.5% for resident undergraduate students for the 2011-2012 academic year.

Contacting the University

This financial report is designed to provide the University, the Commonwealth, the public and other interested parties with an overview of the financial results of the University and an explanation of the University’s financial condition. If you have any questions about this report or require additional information, you can contact the University by calling the Assistant Vice President and University Controller, Christine Wilda, at (774) 455-7549 or by email at cwilda@umassp.edu.
University of Massachusetts  
Consolidated Statements of Net Assets  
As of June 30, 2011 and 2010  
(in thousands of dollars)

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations</th>
<th>University Related Organizations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSETS</strong></td>
<td><strong>June 30, 2011</strong></td>
<td><strong>June 30, 2010</strong></td>
</tr>
<tr>
<td><strong>Current Assets</strong></td>
<td>$56,751</td>
<td>$31,926</td>
</tr>
<tr>
<td>Cash and Cash Equivalents</td>
<td>13,895</td>
<td>13,736</td>
</tr>
<tr>
<td>Cash Held By State Treasurer</td>
<td>224,309</td>
<td>223,267</td>
</tr>
<tr>
<td>Accounts, Grants and Loans Receivable, net</td>
<td>6,071 $4,582</td>
<td>7,219 $3,758</td>
</tr>
<tr>
<td>Pledges Receivable, net</td>
<td>233,392</td>
<td>230,121</td>
</tr>
<tr>
<td>Short Term Investments</td>
<td>22,588</td>
<td>13,218</td>
</tr>
<tr>
<td>Inventories, net</td>
<td>10,644</td>
<td>14,562</td>
</tr>
<tr>
<td>Accounts Receivable UMass Memorial, net</td>
<td>51 632</td>
<td>625 739</td>
</tr>
<tr>
<td>Due From Related Organizations</td>
<td>13,486</td>
<td>19,703</td>
</tr>
<tr>
<td>Other Assets</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Current Assets</strong></td>
<td>581,207 5,222</td>
<td>554,377 4,562</td>
</tr>
</tbody>
</table>

|                  | University Related Organizations | University Related Organizations |
| **Noncurrent Assets** |                                  |                                  |
| Cash and Cash Equivalents | 5,793 684                        | 2,423 3,611                      |
| Cash Held By State Treasurer | 1,170,175                        | 814,903                          |
| Cash and Securities Held By Trustees | 39,162                           | 36,429                           |
| Pledges Receivable, net | 1,180 5,798 1,061                 | 6,121                             |
| Investments       | 596,838 348,791                   | 538,138 297,055                  |
| Other Assets      | 29,850 105                       | 19,641 1,270                     |
| Deferred Outflows of Resources | 19,510                           | 64,033                           |
| Investment In Plant Net of Accumulated Depreciation | 2,582,651 9,019                  | 2,324,392 1,699                  |
| **Total Noncurrent Assets** | 4,446,159 364,397                | 3,801,020 309,756                |
| **Total Assets**   | **$5,026,366** $369,519          | **$4,355,397** $314,318          |

|                  | University Related Organizations | University Related Organizations |
| **LIABILITIES**   |                                  |                                  |
| **Current Liabilities** |                                  |                                  |
| Accounts Payable | $126,532 $61                     | $118,424 $106                    |
| Accrued Salaries and Wages | 81,075                           | 74,554                           |
| Accrued Compensated Absences | 72,753                           | 70,035                           |
| Accrued Workers' Compensation | 3,726                            | 3,210                            |
| Accrued Interest Payable | 20,681                            | 16,847                           |
| Bonds Payable      | 180,952                           | 194,900                          |
| Capital Lease Obligations | 5,473                            | 5,962                            |
| Notes Payable      |                                  |                                  |
| Assets Held on behalf of Others | 11,458                            | 9,990                            |
| Accounts Payable UMass Memorial | 16,422                            | 4,037                            |
| Due To Related Organizations | 632 51                           | 739 625                          |
| Deferred Revenues and Credits | 46,705 4,215                      | 36,880 5,340                     |
| Advances and Deposits | 6,994                            | 6,434                            |
| Other Liabilities | 39,346                            | 52,740                           |
| **Total Current Liabilities** | 609,291 15,785                   | 584,562 16,063                   |

|                  | University Related Organizations | University Related Organizations |
| **Noncurrent Liabilities** |                                  |                                  |
| Accrued Compensated Absences | 26,541                            | 25,843                           |
| Accrued Workers' Compensation | 9,821                            | 10,688                           |
| Arbitrage Robate Payable | 14                               | 551                              |
| Bonds Payable      | 2,122,233                        | 1,632,209                        |
| Capital Lease Obligations | 12,116                            | 17,177                           |
| Notes Payable      |                                  |                                  |
| Derivative Instruments, Interest Rate Swaps | 51,342                            | 64,033                           |
| Deferred Revenues and Credits | 20,060                            | 23,567                           |
| Advances and Deposits | 26,688                            | 26,507                           |
| Other Liabilities | 6,850 3,413                      | 1,107 3,046                      |
| **Total Noncurrent Liabilities** | 2,275,685 3,413                  | 1,801,882 3,664                  |
| **Total Liabilities**   | **$2,884,976** $19,198          | **$2,386,244** $19,727          |

|                  | University Related Organizations | University Related Organizations |
| **Net Assets**:   |                                  |                                  |
| Invested in Capital Assets Net of Related Debt | $1,283,888 $9,020             | $1,133,264 $1,699               |
| Restricted       |                                  |                                  |
| Nonexpendable    | 17,112                           | 16,899                           |
| Expendable       | 184,909 254,625                  | 218,517 240,595                  |
| Term Investments | 73,595                            | 48,127                           |
| Unrestricted     | 655,481 12,781                   | 600,473 4,170                    |
| **Total Net Assets** | $2,141,390 $350,421            | $1,969,153 $294,591             |

The accompanying notes are an integral part of the financial statements.
## University of Massachusetts
### Consolidated Statements of Revenues, Expenses, and Changes in Net Assets
#### For The Years Ended June 30, 2011 and 2010
(in thousands of dollars)

### REVENUES

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations June 30, 2011</th>
<th>University Related Organizations June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Revenues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition and Fees (net of scholarship allowances of $178,876 at June 30, 2011 and $177,850 at June 30, 2010)</td>
<td>$597,200</td>
<td>$552,419</td>
</tr>
<tr>
<td>Federal Grants and Contracts</td>
<td>371,426</td>
<td>333,538</td>
</tr>
<tr>
<td>State Grants and Contracts</td>
<td>62,697</td>
<td>64,328</td>
</tr>
<tr>
<td>Local Grants and Contracts</td>
<td>1,037</td>
<td>1,880</td>
</tr>
<tr>
<td>Private Grants and Contracts</td>
<td>107,767</td>
<td>104,366</td>
</tr>
<tr>
<td>Sales and Service, Educational</td>
<td>18,011</td>
<td>17,530</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td>272,020</td>
<td>257,852</td>
</tr>
<tr>
<td>Other Operating Revenues:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sales and Service, Independent Operations</td>
<td>52,619</td>
<td>50,442</td>
</tr>
<tr>
<td>Sales and Service, Public Service Activities</td>
<td>670,557</td>
<td>596,976</td>
</tr>
<tr>
<td>Other</td>
<td>74,979</td>
<td>74,455</td>
</tr>
<tr>
<td><strong>Total Operating Revenues</strong></td>
<td>2,229,113</td>
<td>2,063,788</td>
</tr>
</tbody>
</table>

### EXPENSES Operating Expenses Educational and General

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations June 30, 2011</th>
<th>University Related Organizations June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>596,341</td>
<td>555,833</td>
</tr>
<tr>
<td>Research</td>
<td>419,990</td>
<td>403,217</td>
</tr>
<tr>
<td>Public Service</td>
<td>66,548</td>
<td>$11,551</td>
</tr>
<tr>
<td>Academic Support</td>
<td>133,253</td>
<td>124,126</td>
</tr>
<tr>
<td>Student Services</td>
<td>98,361</td>
<td>88,985</td>
</tr>
<tr>
<td>Institutional Support</td>
<td>184,505</td>
<td>156,845</td>
</tr>
<tr>
<td>Operation and Maintenance of Plant</td>
<td>202,950</td>
<td>200,761</td>
</tr>
<tr>
<td>Depreciation and Amortization</td>
<td>159,854</td>
<td>127,746</td>
</tr>
<tr>
<td>Scholarships and Fellowships</td>
<td>41,238</td>
<td>429</td>
</tr>
<tr>
<td><strong>Auxiliary Enterprises</strong></td>
<td>216,852</td>
<td>204,004</td>
</tr>
<tr>
<td><strong>Other Expenditures</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Independent Operations</td>
<td>41,911</td>
<td>58,437</td>
</tr>
<tr>
<td>Public Service Activities</td>
<td>626,981</td>
<td>538,880</td>
</tr>
<tr>
<td><strong>Total Operating Expenses</strong></td>
<td>2,788,784</td>
<td>12,107</td>
</tr>
<tr>
<td><strong>Operating Loss</strong></td>
<td>(559,671)</td>
<td>(12,107)</td>
</tr>
</tbody>
</table>

### NONOPERATING REVENUES/(EXPENSES)

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations June 30, 2011</th>
<th>University Related Organizations June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Appropriations</td>
<td>5,828</td>
<td>5,822</td>
</tr>
<tr>
<td>State Appropriations</td>
<td>505,799</td>
<td>415,809</td>
</tr>
<tr>
<td>State Appropriations - Federal Stimulus funds</td>
<td>37,897</td>
<td>150,639</td>
</tr>
<tr>
<td>Gifts</td>
<td>26,504</td>
<td>21,832</td>
</tr>
<tr>
<td>Investment Income</td>
<td>77,773</td>
<td>29,725</td>
</tr>
<tr>
<td>Endowment Income</td>
<td>10,207</td>
<td>1,214</td>
</tr>
<tr>
<td>Interest on Indebtedness</td>
<td>(94,124)</td>
<td>(49,113)</td>
</tr>
<tr>
<td>Nonoperating Federal Grants</td>
<td>70,643</td>
<td>80,324</td>
</tr>
<tr>
<td>Other Nonoperating Income</td>
<td>5,225</td>
<td>3,868</td>
</tr>
<tr>
<td><strong>Net Nonoperating Revenues</strong></td>
<td>675,570</td>
<td>52,617</td>
</tr>
<tr>
<td><strong>Income Before Other Revenues, Expenses, Gains, and Losses</strong></td>
<td>116,079</td>
<td>40,464</td>
</tr>
<tr>
<td><strong>Operating Loss</strong></td>
<td>(559,671)</td>
<td>(12,107)</td>
</tr>
</tbody>
</table>

### OTHER REVENUES, EXPENSES, GAINS, AND LOSSES

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations June 30, 2011</th>
<th>University Related Organizations June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Appropriations</td>
<td>28,109</td>
<td>28,035</td>
</tr>
<tr>
<td>Capital Grants and Contracts</td>
<td>30,354</td>
<td>18,981</td>
</tr>
<tr>
<td>Additions to Permanent Endowments</td>
<td>15,165</td>
<td>13,003</td>
</tr>
<tr>
<td>Net Amounts Earned/Received on Behalf of Others</td>
<td>(1,397)</td>
<td>10</td>
</tr>
<tr>
<td>Capital Contribution</td>
<td>4,381</td>
<td>1,666</td>
</tr>
<tr>
<td>Disposal of Plant Facilities</td>
<td>(10,682)</td>
<td>(12,125)</td>
</tr>
<tr>
<td>Gain from Sale of Discontinued Operations</td>
<td>9,655</td>
<td>9,729</td>
</tr>
<tr>
<td>Other Additions/Deductions</td>
<td>(5,639)</td>
<td>(99)</td>
</tr>
<tr>
<td><strong>Total Other Revenues, Expenses, Gains, and Losses</strong></td>
<td>56,158</td>
<td>15,366</td>
</tr>
<tr>
<td><strong>Total Increase in Net Assets</strong></td>
<td>172,237</td>
<td>55,830</td>
</tr>
</tbody>
</table>

### NET ASSETS

<table>
<thead>
<tr>
<th></th>
<th>University Related Organizations June 30, 2011</th>
<th>University Related Organizations June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net Assets at Beginning Year</td>
<td>1,969,153</td>
<td>294,591</td>
</tr>
<tr>
<td>Net Assets at End of Year</td>
<td>$2,141,380</td>
<td>$350,421</td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of the financial statements.
### CASH FLOWS FROM OPERATING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition and Fees Grants and Contracts</td>
<td>$668,202</td>
<td>$628,382</td>
</tr>
<tr>
<td>Payments to Suppliers</td>
<td>(1,261,310)</td>
<td>(1,207,325)</td>
</tr>
<tr>
<td>Payments to Employees</td>
<td>(1,168,247)</td>
<td>(1,122,648)</td>
</tr>
<tr>
<td>Payments for Benefits</td>
<td>(295,311)</td>
<td>(255,321)</td>
</tr>
<tr>
<td>Payments for Scholarships and Fellowships</td>
<td>(41,232)</td>
<td>(34,476)</td>
</tr>
<tr>
<td>Loans Issued to Students and Employees</td>
<td>(4,409)</td>
<td>(5,156)</td>
</tr>
<tr>
<td>Collections of Loans to Students and Employees</td>
<td>5,439</td>
<td>4,116</td>
</tr>
<tr>
<td>Auxiliary Enterprises Receipts</td>
<td>263,276</td>
<td>262,234</td>
</tr>
<tr>
<td>Sales and Service, Educational</td>
<td>15,899</td>
<td>17,022</td>
</tr>
<tr>
<td>Sales and Service, Independent Operations</td>
<td>75,050</td>
<td>59,910</td>
</tr>
<tr>
<td>Sales and Service, Public Service Activities</td>
<td>741,461</td>
<td>641,008</td>
</tr>
<tr>
<td><strong>Net Cash Used for Operating Activities</strong></td>
<td>(399,200)</td>
<td>(427,457)</td>
</tr>
</tbody>
</table>

### CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Appropriations</td>
<td>582,533</td>
<td>479,282</td>
</tr>
<tr>
<td>State Appropriations - Federal Stimulus Funds</td>
<td>37,697</td>
<td>150,639</td>
</tr>
<tr>
<td>Tuition Remitted to the State</td>
<td>(49,731)</td>
<td>(49,064)</td>
</tr>
<tr>
<td>Federal Appropriations</td>
<td>5,826</td>
<td>5,922</td>
</tr>
<tr>
<td>Gifts and Grants for Other Than Capital Purposes</td>
<td>22,376</td>
<td>20,179</td>
</tr>
<tr>
<td>Nonoperating Federal Grants</td>
<td>70,643</td>
<td>60,324</td>
</tr>
<tr>
<td>Student Organization Agency Transactions</td>
<td>303</td>
<td>330</td>
</tr>
<tr>
<td><strong>Net Cash Provided by Noncapital Financing Activities</strong></td>
<td>659,847</td>
<td>667,592</td>
</tr>
</tbody>
</table>

### CASH FLOWS FROM CAPITAL FINANCING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proceeds from Capital Debt</td>
<td>539,012</td>
<td>565,457</td>
</tr>
<tr>
<td>Bond Issuance Costs Paid</td>
<td>(10,971)</td>
<td>(589)</td>
</tr>
<tr>
<td>Capital Appropriations</td>
<td>21,822</td>
<td>28,245</td>
</tr>
<tr>
<td>Capital Grants and Contracts</td>
<td>30,068</td>
<td>13,924</td>
</tr>
<tr>
<td>Purchases of Capital Assets and Construction</td>
<td>(221,979)</td>
<td>(135,656)</td>
</tr>
<tr>
<td>Principal Paid on Capital Debt and Leases</td>
<td>(62,239)</td>
<td>(84,549)</td>
</tr>
<tr>
<td>Interest Paid on Capital Debt and Leases</td>
<td>(53,469)</td>
<td>(52,096)</td>
</tr>
<tr>
<td>Use of Debt Proceeds on Deposit with Trustees</td>
<td>(148,802)</td>
<td>(214,479)</td>
</tr>
<tr>
<td><strong>Net Cash Provided by Capital Financing Activities</strong></td>
<td>93,673</td>
<td>120,266</td>
</tr>
</tbody>
</table>

### CASH FLOWS FROM INVESTING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proceeds from Sales and Maturities of Investments</td>
<td>1,026,009</td>
<td>625,378</td>
</tr>
<tr>
<td>Interest on Investments</td>
<td>20,839</td>
<td>21,482</td>
</tr>
<tr>
<td>Purchase of Investments</td>
<td>(1,029,342)</td>
<td>(975,219)</td>
</tr>
<tr>
<td><strong>Net Cash Provided By/(Used for) Investing Activities</strong></td>
<td>19,306</td>
<td>(28,356)</td>
</tr>
</tbody>
</table>

### NET INCREASE IN CASH AND CASH EQUIVALENTS

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash and Cash Equivalents - Beginning of the Year</td>
<td>862,988</td>
<td>530,843</td>
</tr>
<tr>
<td>Cash and Cash Equivalents - End of Year</td>
<td>$1,246,614</td>
<td>$862,988</td>
</tr>
</tbody>
</table>

### RECONCILIATION OF OPERATING LOSS TO NET CASH USED BY OPERATING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Loss</td>
<td>($559,671)</td>
<td>($534,760)</td>
</tr>
<tr>
<td>Adjustments to reconcile loss to not cash used by Operating Activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depreciation and Amortization Expense</td>
<td>159,854</td>
<td>155,746</td>
</tr>
<tr>
<td>Changes in Assets and Liabilities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Receivables, net</td>
<td>(2,746)</td>
<td>(29,730)</td>
</tr>
<tr>
<td>Inventories</td>
<td>(9,370)</td>
<td>615</td>
</tr>
<tr>
<td>Due to/from Related Organizations</td>
<td>467</td>
<td>843</td>
</tr>
<tr>
<td>Accounts Receivable/Payable UMass Memorial</td>
<td>16,283</td>
<td>1,649</td>
</tr>
<tr>
<td>Other Assets</td>
<td>753</td>
<td>37</td>
</tr>
<tr>
<td>Accounts Payable (non-capital)</td>
<td>(11,551)</td>
<td>12,320</td>
</tr>
<tr>
<td>Accrued Liabilities</td>
<td>9,586</td>
<td>6,409</td>
</tr>
<tr>
<td>Deferred Revenue</td>
<td>6,338</td>
<td>(11,546)</td>
</tr>
<tr>
<td>Advances and Deposits</td>
<td>741</td>
<td>(695)</td>
</tr>
<tr>
<td>Other Liabilities</td>
<td>(9,884)</td>
<td>(28,345)</td>
</tr>
<tr>
<td><strong>Net Cash Used for Operating Activities</strong></td>
<td>($399,200)</td>
<td>($427,457)</td>
</tr>
</tbody>
</table>

### SUPPLEMENTAL DISCLOSURE OF NONCASH ACTIVITIES:

<table>
<thead>
<tr>
<th>Description</th>
<th>University June 30, 2011</th>
<th>University June 30, 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assets acquired and included in accounts payable and other liabilities</td>
<td>$502,091</td>
<td>$42,069</td>
</tr>
<tr>
<td>Loss on disposal of capital assets</td>
<td>(10,932)</td>
<td>(12,672)</td>
</tr>
<tr>
<td>Securities lending activity</td>
<td>(2,664)</td>
<td>(13,024)</td>
</tr>
<tr>
<td>Unrealized gains on investments</td>
<td>48,823</td>
<td>41,687</td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of the financial statements.
1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

ORGANIZATION

The financial statements herein present the financial position, results of operations, changes in net assets, and cash flows of the University of Massachusetts ("University"), a federal land grant institution. The financial statements of the University include the Amherst, Boston, Dartmouth, Lowell and Worcester Medical School campuses, and the Central Administration office of the University, Worcester City Campus Corporation ("WCCC"), the University of Massachusetts Amherst Foundation ("UMass Amherst Foundation"), as well as the University of Massachusetts Building Authority ("Building Authority").

The Building Authority is a public instrumentality of the Commonwealth created by Chapter 773 of the Acts of 1960, whose purpose is to provide dormitories, dining commons, and other buildings and structures for use by the University. WCCC, of which Public Sector Partners, Inc. ("PSP" See Note 6) is a subsidiary, is a tax exempt organization founded to support research and real property activities for the University. The UMass Amherst Foundation was established in 2003 as a tax exempt organization founded to foster and promote the growth, progress, and general welfare of the University. These component units are included in the financial statements of the University because of the significance and exclusivity of their financial relationships with the University.

The University Related Organizations’ column in the accompanying financial statements includes the financial information of the University’s discretely presented component units. The University of Massachusetts Foundation, Inc. ("Foundation") and the University of Massachusetts Dartmouth Foundation, Inc. ("the Dartmouth Foundation") are related tax exempt organizations founded to foster and promote the growth, progress and general welfare of the University, and are reported in a separate column to emphasize that they are Massachusetts not-for-profit organizations legally separate from the University. These component units are included as part of the University’s financial statements because of the nature and significance of their financial relationship with the University. The financial statement presentation of the discretely presented component units has been reclassified to conform to the University presentation. The financial reports of all above mentioned component units are available upon request from the University.

The University is an enterprise fund of the Commonwealth of Massachusetts. The financial balances and activities included in these financial statements are, therefore, also included in the Commonwealth’s comprehensive annual financial report.

BASIS OF PRESENTATION

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America as prescribed by the Governmental Accounting Standards Board ("GASB") using the economic resources measurement focus and the accrual basis of accounting. These financial statements are reported on a consolidated basis, and all intra-University transactions are eliminated. In accordance with GASB Statement No. 20, the University follows all applicable GASB pronouncements. In addition, the University applies all applicable Financial Accounting Standards Board ("FASB") pronouncements issued on or before November 30, 1989, unless those pronouncements conflict with or contradict GASB pronouncements. The University has elected not to apply FASB pronouncements issued after November 30, 1989.

Operating revenues consist of tuition and fees, grants and contracts, sales and services of educational activities (including royalties from licensing agreements) and auxiliary enterprise revenues. Operating expenses include salaries, wages, fringe benefits, utilities, subcontracts on grants and contracts, supplies and services, and depreciation and amortization. All other revenues and expenses of the University are reported as non-operating revenues and expenses including state general appropriations, federal appropriations, non-capital gifts, short term investment income, endowment income used in operations, interest expense, and capital additions and deductions. Other Revenues, Expenses, Gains and Losses represent all capital items, other changes in long term plant, and endowment net assets. Revenues are recognized when earned and expenses are recognized when incurred with the exception of revenue earned on certain public service activities (see Note 5). Restricted grant revenue is recognized only when all eligibility requirements have been met, that is to the extent grant revenues are expended or in the case of fixed price contracts, when the contract terms are met or completed. Contributions, including unconditional promises to give (pledges) for non-endowment or non-capital purposes, are recognized as revenues in the period received. Promises of additions to non-expendable endowments are not recognized until cash or other assets are received. Conditional promises to give are not recognized until they become unconditional, that is when the conditions on which they depend are substantially met. The University applies restricted net assets first when an expense or outlay is incurred for purposes for which both restricted and unrestricted net assets are available.

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America requires management to make estimates and judgments that affect the reported amounts of assets and liabilities, and disclosures of contingencies at the date of the financial statements and revenues and expenditures recognized during the reporting period. Significant estimates include the accrual for employee compensated absences, the accrual for workers’ compensation liability, the allowance for doubtful accounts, valuation of certain investments, and best estimates of selling price associated with certain multiple element arrangements. Actual results could differ from those estimates.
The University reports its financial statements as a "business-type activity" ("BTA") under GASB Statement No. 35, *Basic Financial Statements – and Management’s Discussion and Analysis – for Public Colleges and Universities* ("GASB 35"). BTAs are defined as those that are financed in whole or in part by fees charged to external parties for goods or services.

In order to ensure observance of limitations and restrictions placed on the use of available resources, the accounts of the University are maintained internally in accordance with the principles of "fund accounting". This is the procedure by which resources for various purposes are maintained in separate funds in accordance with the activities or objectives specified. GASB 35 requires that external financial statements to be reported on a consolidated basis and establishes standards for external financial reporting by public colleges and universities that resources be classified into the following net asset categories:

- **Invested in capital assets, net of related debt**: Capital assets, at historical cost, or fair market value on date of gift, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction or improvement of those assets.

- **Restricted Nonexpendable**: Net assets subject to externally imposed stipulations that they be maintained permanently by the University.

- **Restricted Expendable**: Net assets whose use by the University is subject to externally imposed stipulations. Such assets include restricted grants and contracts, the accumulated net gains/losses on true endowment funds, as well as restricted funds loaned to students, restricted gifts and endowment income, and other similar restricted funds.

- **Unrestricted**: Net assets that are not subject to externally imposed stipulations. Substantially all unrestricted net assets are designated to support academic, research, auxiliary enterprises or unrestricted funds functioning as endowments, or are committed to capital construction projects.

Revenues are reported net of discounts and allowances. As a result, student financial aid expenditures are reported as an allowance against tuition and fees revenue while stipends and other payments made directly to students are recorded as scholarship and fellowship expenditures on the statements of revenues, expenses, and other changes to net assets, and included in supplies and services on the statements of cash flows. Discounts and allowances for tuition and fees and auxiliary enterprises are calculated using the Alternate Method.

**NEW ACCOUNTING PRONOUNCEMENTS**

- **GASB Statement No. 51, Accounting and Financial Reporting for Intangible Assets** - This standard was issued in June 2007 and is effective for financial statements for periods beginning after June 15, 2009 (fiscal 2010 for the University). This standard requires that all intangible assets not specifically excluded by its scope provisions be classified as capital assets. Accordingly, existing authoritative guidance related to the accounting and financial reporting for capital assets should be applied to these intangible assets, as applicable. The adoption of GASB Statement No. 51 did not have an effect on the financial statements in fiscal year 2010 or 2011.

- **GASB Statement No. 53, Accounting and Financial Reporting for Derivative Instruments** - This standard was issued in June 2008 and is effective for periods beginning after June 15, 2009 (fiscal 2010 for the University). This standard requires that for potential hedging derivative instruments existing prior to the fiscal period during which this Statement is implemented, the evaluation of effectiveness should be performed as of the end of the current period. If determined to be effective, hedging derivative instruments are reported as if they were effective from their inception. If determined to be ineffective, the potential hedging derivative instrument is then evaluated as of the end of the prior reporting period. The implementation guide on the standard was issued by the GASB in April 2009. At June 30, 2011 and 2010, the University has recorded the fair value of $19.5 million and $64.0 million, respectively, of the Series 2008-1, 2008-A, and 2006-1 Interest Rate Swap agreements which were determined to be effective derivative hedging instruments at both June 30, 2011 and 2010.

**CLASSIFICATION OF ASSETS AND LIABILITIES**

The University presents current and non-current assets and liabilities in the statements of net assets. Assets and liabilities are considered current if they mature in one year or less, or are expected to be received, used, or paid within one year or less. Investments with a maturity of greater than one year and balances that have externally imposed restrictions as to use are considered non-current. Cash Held by State Treasurer includes balances with restrictions as to use and balances that may be rolled forward for use toward the restricted purposes in future years, and such balances are classified as non-current. Cash held by trustees is presented based upon its expected period of use and to the restrictions imposed on the balances by external parties.

**CASH AND CASH EQUIVALENTS AND INVESTMENTS**

Cash and cash equivalents consist primarily of petty cash, demand deposit accounts, money market accounts, and savings accounts, with a maturity of three months or less when purchased.

Investments are reported at their respective fair values. Short-term investments consist of deposits with original maturities of less than one year and are available for current use. Securities received as a gift are recorded at estimated fair value at the date of the gift.

Private equities and certain other non-marketable securities held by the Foundation are valued using current estimates in fair value by management based on information provided by the general partner or investment manager for the respective securities. The Foundation believes that the carrying amount of these investments are a reasonable estimate of fair value, however,
their estimated value is subject to uncertainty and therefore may differ from the value that would have been used had a ready market for such investment existed. Venture capital investments represent initial investments made to certain funds and are reported at cost until distributions are made from the funds or until market values are reported on the funds.

Investment securities are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the accompanying financial statement.

Investment income includes dividends and interest income and is recognized on the accrual basis. In computing realized gains and losses, cost is determined on a specific identification basis.

RESTRICTED GRANTS AND CONTRACTS
The University receives monies from federal and state government agencies under grants and contracts for research and other activities including medical service reimbursements. The University records the recovery of indirect costs applicable to research programs, and other activities which provide for the full or partial reimbursement of such costs, as revenue. Recovery of indirect costs for the years ended June 30, 2011 and 2010 was $125.9 million and $113.2 million, respectively, and is a component of grants and contracts revenue. The costs, both direct and indirect, charged to these grants and contracts are subject to audit by the granting agency. The University believes that any audit adjustments would not have a material effect on the University’s financial statements.

PLEDGES AND ENDOWMENT SPENDING
Pledges for non-endowment purposes are presented net of amounts deemed uncollectible, and after discounting to the present value of the expected future cash flows. Because of uncertainties with regard to whether they are realizable, bequests and intentions and other conditional promises are not recognized as assets until the specified conditions are met.

The Foundation utilizes the pooled investment concept whereby all invested funds are in one investment pool, except for investments of certain funds that are otherwise restricted. Pooled investment funds will receive an annual distribution of 4% to 6% of the endowment fund’s average market value for the preceding twelve quarters on a one-year lag and three-year share average. The Foundation revised its policy during the fiscal year and it will go into effect for the fiscal year 2012 distribution. The new policy is an annual distribution of 4% of the endowment fund’s average market value for the preceding twelve quarters on a one year lag. Only quarters with funds on deposit shall be included in the average. In addition, a prudence rule will be utilized limiting spending from a particular endowment fund to no lower than 93% of its book value. The actual spending rate approved was 4% for 2010. The Board of Directors of the Foundation approved an exception to the spending policy due to the significant decrease in market performance of fiscal year 2009. The actual spending rate approved was 1.5% of the fiscal year 2009 ending fair value. Future utilization of gains is dependent on market performance. Deficiencies for donor-restricted endowment funds, resulting from declines in market value would be offset by an allocation from unrestricted net assets to temporarily restricted net assets, and would be recorded in realized and unrealized gains (losses) on sale of investments. The Foundation believes that, if applicable, these adjustments would be temporary and will not require permanent funding. In fiscal years 2011 and 2010, the deficiencies were $0.4 million and $4.1 million, respectively.

INVENTORIES
The University’s inventories consist of books, general merchandise, central stores, vaccines, and operating supplies which are carried at the lower of cost (first-in, first-out and average cost methods) or market.

INVESTMENT IN PLANT
Capital assets are stated at cost or fair value upon receipt as a gift. Net interest costs incurred during the construction period for major capital projects are added to the cost of the asset. Repairs and maintenance costs are expensed as incurred, whereas major improvements that extend the estimated useful lives of the assets are capitalized as additions to property and equipment. Depreciation of capital assets is provided on a straight-line basis over the estimated useful lives of the respective assets. The University records a full year of depreciation in the year of acquisition. Land is not depreciated. The University does not capitalize works of art or historical treasures.

Following is the range of useful lives for the University’s depreciable assets:

<table>
<thead>
<tr>
<th>Asset Type</th>
<th>Useful Life</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings</td>
<td>20-50 years</td>
</tr>
<tr>
<td>Building Improvements</td>
<td>5-20 years</td>
</tr>
<tr>
<td>Equipment and Furniture</td>
<td>3-15 years</td>
</tr>
<tr>
<td>Software</td>
<td>5 years</td>
</tr>
<tr>
<td>Library Books</td>
<td>15 years</td>
</tr>
<tr>
<td>Land Improvements</td>
<td>20 years</td>
</tr>
</tbody>
</table>

COMPENSATED ABSENCES
Employees earn the right to be compensated during absences for annual vacation leave and sick leave. The accompanying statements of net assets reflects an accrual for the amounts earned and ultimately payable for such benefits as of the end of the fiscal year. The accrual equates to the entire amount of vacation time earned and an actuarially determined liability for the sick leave component of compensated absences. Employees are only entitled to 20% of their sick leave balance upon retirement. The actuarial calculation utilized the probability of retirement for this estimated accrual.
Deferred revenue consists of amounts billed or received in advance of the University providing goods or services. Deferred revenue is recognized as revenue as expenses are incurred and therefore earned.

Advances and Deposits

Advances from the U.S. Government for Federal Perkins Loans to students are reported as part of advances and deposits. Future loans to students are made available only from repayments of outstanding principal amounts plus accumulated interest received thereon.

Tuition and State Appropriations

The accompanying financial statements for the years ended June 30, 2011 and 2010 record as tuition revenue approximately $49.7 million and $49.1 million, respectively, of tuition received by the University and remitted to the State Treasurer’s Office for the general fund of the Commonwealth of Massachusetts. During fiscal year 2004, the Amherst campus was granted authority to retain tuition for out of state students as part of a pilot program authorized by the Commonwealth. This pilot program was extended indefinitely in 2005. This program has been approved effective 2012 for the remaining campuses. The amount of tuition retained by the University during 2011 and 2010 was $34.6 million and $31.5 million, respectively. The recorded amount of State Appropriations received by the University has been reduced by a corresponding amount of tuition remitted as shown below (in thousands):

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gross Commonwealth Appropriations</td>
<td>$408,019</td>
<td>$356,339</td>
</tr>
<tr>
<td>Plus: Fringe Benefits</td>
<td>147,511</td>
<td>108,634</td>
</tr>
<tr>
<td>Less: Tuition Remitted</td>
<td>(555,530)</td>
<td>(464,973)</td>
</tr>
<tr>
<td>State Appropriations, Net</td>
<td>(49,731)</td>
<td>(49,084)</td>
</tr>
<tr>
<td></td>
<td>$505,799</td>
<td>$415,869</td>
</tr>
</tbody>
</table>

As part of the fiscal year 2010 budget process, the University received a budget from the Commonwealth that was $95.7 million less than the previous year. In order to address this significant decrease in funding, Governor Deval Patrick awarded $150.6 million in Education Stabilization Funds to the University. These funds originated from the passage of the American Recovery and Reinvestment Act (“ARRA”) of 2009 and were utilized for educational and general expenditures in order to mitigate the need to raise tuition and fees for in-state residents and to modernize, renovate, or repair facilities. Fringe benefits for payroll at the rate of 26.42% were funded by the University as charged to these funds amounting to $14.4 million in 2010. A rebate of $34.9 million in student fees was issued during 2010 as a result of being awarded these ARRA funds subsequent to an approved fee increase being charged to students. The rebate is shown as a discount to tuition and fees in the financial statements. In fiscal year 2011, the University’s prior year budget cut was partially restored with an increase of $44.5 million. Additionally, the state awarded $37.9 million in State Fiscal Stabilization funds (“SFSF”) to the University. Fringe benefits for payroll at the rate of 31.82% were funded by the University as charged to these funds.

Auxiliary Enterprises

Auxiliary Enterprise revenue of $272.0 million and $257.9 million for the years ended June 30, 2011 and 2010 respectively are stated net of room and board charge allowances of $1.7 million and $1.5 million, respectively.

Other Operating Revenues and Expenditures, Sales and Services, Public Service Activities

Public Service Activities consist largely of sales and services provided to third parties by the UMass Medical School campus under its Commonwealth Medicine (“CWM”) programs, which provide public consulting and services in health care financing, administration and policy to federal, state and local agencies and not-for-profit health and policy organizations. Included in this category of activities are Commonwealth Medicine revenues of $345.7 million and $361.4 million for the years ended June 30, 2011 and 2010, respectively. Included in expenditures are Commonwealth Medicine expenditures of $316.5 million and $330.4 million for the years ended June 30, 2011 and 2010, respectively.

In addition to CWM activities, Public Service Activities also includes payments received by the Medical School for educational services it provides to its clinical affiliate UMass Memorial as required by the enabling legislation enacted by the Commonwealth in 1997. Educational services revenues included in public service revenues were $200.2 million and $125.9 million for the years ended June 30, 2011, and 2010, respectively. Finally, Public Service Activity expenditures also include payments made to the Commonwealth of Massachusetts of $177.0 million and $92.0 million for the years ended June 30, 2011 and 2010, respectively, pursuant to requirements of legislation enacted by the State Legislature of Massachusetts.

Fringe Benefits for Current Employees and Post Employment Obligations – Pension and Non-Pension

The University participates in the Commonwealth’s Fringe Benefit programs, including active employee and post-employment health insurance, unemployment, pension, and workers’ compensation benefits. Health insurance and pension costs for active employees and retirees are paid through a fringe benefit rate charged to the University by the Commonwealth and currently the liability is borne by the Commonwealth. Consequently, no amounts have been reported by the University under GASB Statement No. 45. ‘Workers’ compensation costs are assessed separately based on actual University experience.

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

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

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

The GIC is a quasi-independent state agency governed by an eleven-member body ("the Commission") appointed by the Governor. The GIC is located administratively within the Executive Office of Administration and Finance, and is responsible for providing health insurance and other benefits to the Commonwealth’s employees and retirees and their survivors and dependents. During the fiscal years that ended on June 30, 2011 and June 30, 2010, respectively, the GIC provided health insurance for its members through indemnity, PPO, and HMO plans. The GIC also administered carve-outs for the pharmacy benefit and mental health and substance abuse benefits for certain of its health plans. In addition to health insurance, the GIC sponsors life insurance, long-term disability insurance (for active employees only), dental and vision coverage for employees not covered by collective bargaining, a retiree discount vision plan and retiree dental plan, and finally, a pre-tax health care spending account and dependent care assistance program (for active employees only).

Pursuant to the provisions of Paragraph (e), Section 5 of Chapter 163 of the Acts of 1997 and consistent with the September 22, 1992 Memorandum of Understanding between the Commonwealth of Massachusetts Executive Office of Administration and Finance and the University of Massachusetts, the University’s Worcester Medical School campus has assumed the obligation for the cost of fringe benefits provided by the Commonwealth to University employees (other than those employees paid from state appropriated funds) for all periods on or after July 1, 1989. The University determines the actual costs for the health insurance benefits and actuarily calculates the incurred service costs for pensions and retiree health insurance.

INCOME TAX STATUS
The University of Massachusetts and University of Massachusetts Building Authority are agencies of the Commonwealth of Massachusetts and are exempt from Federal income tax under Section 115(a) of the Internal Revenue Code. The Worcester City Campus Corporation, Public Sector Partners, Inc. and the University Related Organizations are 501(c)(3) organizations and are exempt from Federal income tax under the Internal Revenue Code and similar state provisions. Accordingly, no provision for income taxes has been recorded in the accompanying financial statements.

COMPARATIVE INFORMATION AND RECLASSIFICATIONS
The University’s financial statements include prior year comparative information. Certain prior year amounts have been reclassified to conform with the current year presentation. During 2011, the University determined that it incorrectly reported fiscal year 2010 which resulted in an increase to Tuition and Fee revenue by $13.1 million, increase to Auxiliary Enterprises revenue by $4.5 million, decrease to State Appropriation Revenue by $13.1 million, increase of $3.9 million in Sales & Service and Other Operating Revenues and increase to expenses by $8.7 million. Furthermore, the University has moved $60.3 million from Operating to Non-operating Revenue for Non-operating Federal Grants including PELL. These reclassifications, revised classification and adjustments have no effect on total net assets at June 30, 2010.

2. CASH AND CASH EQUIVALENTS AND INVESTMENTS
The University’s investments are made in accordance with the Investment Policy and Guidelines Statement Operating Cash Portfolio adopted in May 2005 and later amended in June 2009 by the Board of Trustees (the Investment Policy) and the Statement of Investment and Spending Policies of the University of Massachusetts Foundation, Inc. The goals of these documents are to preserve capital, provide liquidity, and generate investment income. The University of Massachusetts has statutory authority under Massachusetts General Laws Chapter 75 to collect, manage and disburse trust funds of the University.

Investments are reported at their respective fair values. The values of publicly traded fixed income and equity securities are based upon quoted market prices at the close of business on the last day of the fiscal year. Private equities and certain other non-marketable securities are valued using current estimates in fair value by management based on information provided by the general partner or investment manager for the respective securities. Investments in units of non-publicly traded pooled funds are valued at the unit value determined by the fund’s administrator based on quoted market prices of the underlying investments. Private equities and other non-marketable securities represent approximately 21.6% and 18.4% of the Universities investments at June 30, 2011 and 2010, respectively.

Custodial Credit Risk - Custodial Credit Risk is the risk that, in the event of a failure of the counterparty, the University would not be able to recover the value of its deposits, investments or collateral securities that were in the possession of an outside party. The University does not have a formal policy for custodial credit risk. Deposits are exposed to custodial risk if they are uninsured and uncollateralized. Investments securities are exposed to custodial credit risk if they are uninsured or not registered in the name of the University and are held by either the counterparty or the counterparty’s trust department or agent but not in the University’s name.
As of June 30, 2011 and 2010, all cash and investment accounts were held on behalf of the University by the Trustees, in the Trustee’s name.

The University maintains depository, payroll, disbursement, receipt, and imprest accounts. In addition to bank account deposits, the University held money market instruments which are classified as investments. Interest bearing and money market accounts carry Federal Deposit Insurance Corporation (FDIC) insurance up to $250,000 per account; non-interest bearing accounts are fully insured through December 31, 2013. None of the accounts are collateralized above the FDIC insured amounts. The University also invested in individual CD’s and BNY Mellon’s CDARS program. These funds are invested in individual certificates of deposit in $250,000 increments and are therefore fully insured by the FDIC. At June 30, 2011 and 2010, the carrying amounts, bank balances and FDIC insured amounts are as follows (in thousands):

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th></th>
<th></th>
<th>2010</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Book Balance</td>
<td>Bank Balance</td>
<td>FDIC Insured</td>
<td>Book Balance</td>
<td>Bank Balance</td>
<td>FDIC Insured</td>
</tr>
<tr>
<td>Depository Accounts</td>
<td>37,400</td>
<td>55,400</td>
<td>54,800</td>
<td>12,900</td>
<td>33,100</td>
<td>32,700</td>
</tr>
<tr>
<td>Certificates of Deposit</td>
<td>40,650</td>
<td>40,650</td>
<td>40,650</td>
<td>20,500</td>
<td>20,500</td>
<td>20,500</td>
</tr>
<tr>
<td>Money Market</td>
<td>186,730</td>
<td>186,730</td>
<td>1,500</td>
<td>192,100</td>
<td>192,100</td>
<td>1,500</td>
</tr>
<tr>
<td>Total</td>
<td>264,780</td>
<td>282,780</td>
<td>99,950</td>
<td>225,500</td>
<td>245,700</td>
<td>54,700</td>
</tr>
</tbody>
</table>

At June 30, 2011 the University held a carrying and fair market value of $632.0 million in non-money market investments compared to a carrying and fair market value of $553.3 million at June 30, 2010. In the event of negligence due to the University’s custodian and/or investment manager(s), it is expected that investment balances of $632.0 million and $553.3 million at June 30, 2011 and 2010, respectively, would be fully recovered. However, these amounts are subject to both interest rate risk and credit risk.

**Concentration of Credit Risk** - Concentration of Credit Risk is assumed to arise when the amount of investments that the University has with one issuer exceeds 5% or more of the total value of the University’s investments. The University does not have a formal policy for custodial credit risk.

As of June 30, 2011 and June 30, 2010, respectively, there is no portion of the University portfolio, excluding U. S. Government guaranteed obligations, which exceed 5% of the portfolio.

**Credit Risk** - Credit risk is the risk that the University will lose money because of the default of the security issuer or investment counterparty. The University’s Investment Policy and Guidelines Statement allows each Portfolio Manager full discretion within the parameters of the investment guidelines specific to that manager.

The table below shows the fair value (in thousands) and average credit quality of the fixed income component of the University’s investment portfolio as of June 30, 2011 and 2010, respectively:

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>June 30, 2011 Fair Value</th>
<th>Average Credit Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Duration</td>
<td>$283,212</td>
<td>AAA</td>
</tr>
<tr>
<td>Intermediate Duration</td>
<td>270,530</td>
<td>A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>June 30, 2010 Fair Value</th>
<th>Average Credit Quality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Duration</td>
<td>$305,247</td>
<td>AAA</td>
</tr>
<tr>
<td>Intermediate Duration</td>
<td>241,252</td>
<td>A</td>
</tr>
</tbody>
</table>

The table below shows the fair value (in thousands) by credit quality of the rated debt investments component of the University’s investment portfolio as of June 30, 2011 and 2010, respectively:

<table>
<thead>
<tr>
<th></th>
<th>Fair Value</th>
<th>AAA</th>
<th>AA</th>
<th>A</th>
<th>BBB</th>
<th>BB</th>
<th>B</th>
<th>&lt;B</th>
<th>Unrated</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. Agencies</td>
<td>$34,325</td>
<td>1,012</td>
<td>531</td>
<td>843</td>
<td>904</td>
<td>152</td>
<td>282</td>
<td>19,098</td>
<td></td>
</tr>
<tr>
<td>U.S. Government</td>
<td>11,172</td>
<td>2,566</td>
<td>141</td>
<td>449</td>
<td>94</td>
<td>12</td>
<td>830</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foreign Gov't Bonds</td>
<td>2,753</td>
<td>1,195</td>
<td>10,533</td>
<td>35,762</td>
<td>21,173</td>
<td>6,716</td>
<td>3,669</td>
<td>14,857</td>
<td></td>
</tr>
<tr>
<td>Corporate Debt</td>
<td>135,746</td>
<td>32,440</td>
<td>10,533</td>
<td>35,762</td>
<td>21,173</td>
<td>6,716</td>
<td>3,669</td>
<td>14,857</td>
<td></td>
</tr>
<tr>
<td>Bond Mutual Funds</td>
<td>110,469</td>
<td>21,756</td>
<td>7,395</td>
<td>14,275</td>
<td>15,973</td>
<td>1,657</td>
<td>891</td>
<td>550</td>
<td></td>
</tr>
<tr>
<td>Money Market Funds</td>
<td>239,276</td>
<td>238,305</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>971</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$533,742</strong></td>
<td><strong>296,343</strong></td>
<td><strong>10,923</strong></td>
<td><strong>51,021</strong></td>
<td><strong>41,999</strong></td>
<td><strong>9,503</strong></td>
<td><strong>7,512</strong></td>
<td><strong>4,329</strong></td>
<td><strong>102,013</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Fair Value</th>
<th>AAA</th>
<th>AA</th>
<th>A</th>
<th>BBB</th>
<th>BB</th>
<th>B</th>
<th>&lt;B</th>
<th>Unrated</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. Agencies</td>
<td>$11,903</td>
<td>277</td>
<td>-</td>
<td>322</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>6</td>
<td>11,290</td>
</tr>
<tr>
<td>U.S. Government</td>
<td>26,957</td>
<td>9,624</td>
<td>163</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>17,580</td>
</tr>
<tr>
<td>Corporate Debt</td>
<td>227,644</td>
<td>66,251</td>
<td>94,079</td>
<td>18,197</td>
<td>6,752</td>
<td>6,751</td>
<td>3,901</td>
<td>6,751</td>
<td></td>
</tr>
<tr>
<td>Money Market Funds</td>
<td>279,991</td>
<td>231,994</td>
<td>1458</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>279,991</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$548,609</strong></td>
<td><strong>284,434</strong></td>
<td><strong>68,424</strong></td>
<td><strong>94,079</strong></td>
<td><strong>18,197</strong></td>
<td><strong>6,752</strong></td>
<td><strong>6,751</strong></td>
<td><strong>3,901</strong></td>
<td><strong>82,175</strong></td>
</tr>
</tbody>
</table>

22
**Interest Rate Risk** - Interest rate risk is the risk that changes in interest rates will adversely affect the fair market value of an investment. The Investment Policy establishes targets for the preferred duration of the fixed income component of the investment portfolio by asset class by limiting investments through targeted allocations to different asset classes.

The table below shows the allocation for each asset class and the fair value (in thousands) for each as of June 30, 2011 and 2010, respectively:

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>6/30/11 Allocation</th>
<th>6/30/11 Fair Value</th>
<th>6/30/10 Allocation</th>
<th>6/30/10 Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Duration</td>
<td>32%</td>
<td>$263,212</td>
<td>38%</td>
<td>$292,084</td>
</tr>
<tr>
<td>Intermediate Duration</td>
<td>33%</td>
<td>$270,530</td>
<td>33%</td>
<td>$254,415</td>
</tr>
<tr>
<td>Alternative Assets</td>
<td>21%</td>
<td>$179,027</td>
<td>18%</td>
<td>$141,244</td>
</tr>
<tr>
<td>Equities</td>
<td>12%</td>
<td>$100,570</td>
<td>10%</td>
<td>$72,363</td>
</tr>
<tr>
<td>Commodities</td>
<td>2%</td>
<td>14,791</td>
<td>1%</td>
<td>8,153</td>
</tr>
<tr>
<td>Real Estate</td>
<td>0%</td>
<td>2,100</td>
<td>0%</td>
<td>-</td>
</tr>
</tbody>
</table>

**Investments - 2011**

*(in thousands)*

<table>
<thead>
<tr>
<th>Debt Securities</th>
<th>Fair Value</th>
<th>Less than 1</th>
<th>1 to 5</th>
<th>6 to 10</th>
<th>More than 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Agencies</td>
<td>$29,980</td>
<td>$9,968</td>
<td>$2,468</td>
<td>$1,198</td>
<td>$16,352</td>
</tr>
<tr>
<td>US Government</td>
<td>11,172</td>
<td>836</td>
<td>6,551</td>
<td>3,476</td>
<td>309</td>
</tr>
<tr>
<td>Foreign Gov't Bonds</td>
<td>2,753</td>
<td>836</td>
<td>373</td>
<td>2,380</td>
<td>-</td>
</tr>
<tr>
<td>Corporate Debt</td>
<td>135,746</td>
<td>2,254</td>
<td>57,256</td>
<td>26,862</td>
<td>43,574</td>
</tr>
<tr>
<td>Bond Mutual Funds</td>
<td>110,469</td>
<td>4,878</td>
<td>53,820</td>
<td>41,892</td>
<td>9,879</td>
</tr>
<tr>
<td>Municipal/Public Bonds</td>
<td>4,340</td>
<td>-</td>
<td>612</td>
<td>663</td>
<td>3,065</td>
</tr>
<tr>
<td>Money Market Mutual Funds</td>
<td>239,276</td>
<td>239,276</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Sub Total Debt</strong></td>
<td>$533,742</td>
<td>$263,212</td>
<td>$121,080</td>
<td>$76,271</td>
<td>$73,179</td>
</tr>
<tr>
<td><strong>Other Investments</strong></td>
<td>$179,027</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alternative Assets</td>
<td>49,558</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equity Securities-Intern</td>
<td>51,012</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equity Securities-Domest</td>
<td>14,791</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commodities</td>
<td>2,100</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td>$830,230</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Investments - 2010**

*(in thousands)*

<table>
<thead>
<tr>
<th>Debt Securities</th>
<th>Fair Value</th>
<th>Less than 1</th>
<th>1 to 5</th>
<th>6 to 10</th>
<th>More than 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Agencies</td>
<td>$11,304</td>
<td>-</td>
<td>$1,043</td>
<td>$1,502</td>
<td>$8,759</td>
</tr>
<tr>
<td>US Government</td>
<td>26,957</td>
<td>3,995</td>
<td>13,165</td>
<td>8,540</td>
<td>1,256</td>
</tr>
<tr>
<td>Corporate Debt</td>
<td>227,648</td>
<td>7,776</td>
<td>127,840</td>
<td>64,024</td>
<td>28,008</td>
</tr>
<tr>
<td>Municipal/Public Bonds</td>
<td>509</td>
<td>279</td>
<td>329</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Money Market Mutual Funds</td>
<td>279,391</td>
<td>280,033</td>
<td>(11)</td>
<td>(61)</td>
<td>30</td>
</tr>
<tr>
<td><strong>Sub Total Debt</strong></td>
<td>$546,499</td>
<td>$292,084</td>
<td>$142,357</td>
<td>$74,005</td>
<td>$38,053</td>
</tr>
<tr>
<td><strong>Other Investments</strong></td>
<td>$141,244</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alternative Assets</td>
<td>37,812</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equity Securities-Intern</td>
<td>34,751</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equity Securities-Domest</td>
<td>8,153</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commodities</td>
<td>2,100</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td>$782,259</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Securities Lending:** The University no longer participates in a securities lending program. The University exited this program in September 2010.

3. **CASH HELD BY STATE TREASURER**

Accounts payable, accrued salaries and outlays for future capital projects to be funded from state-appropriated funds totaled approximately $19.7 million at June 30, 2011 and $16.2 million at June 30, 2010. The University has recorded a comparable dollar amount of cash held by the State Treasurer for the benefit of the University, which will be subsequently utilized to pay for such liabilities. The cash is held in the State Treasurer’s pooled cash account. The Commonwealth requires all bank deposits in excess of insurance coverage by the Federal Deposit Insurance Corporation (FDIC) to be collateralized with a perfected pledge of eligible collateral. Eligible collateral must be pledged in an amount equal to 102% of the amount of the deposits that exceed FDIC insurance. Sufficient collateral to cover total Commonwealth deposits in excess of the FDIC insured amount must be pledged and held in safekeeping by a custodian that is approved by and under the control of the Treasurer and Receiver – General.
4. CASH AND SECURITIES HELD BY TRUSTEES

Cash and securities held by trustees primarily consist of unspent bond proceeds, amounts held for the future payment of debt service on such borrowings and designated funds. At June 30, 2011 and June 30, 2010 there are investments of $2.0 million and $3.4 million, respectively, available from Master Lease agreements entered into by the University for capital asset purchases at the Amherst and Boston campuses. Additionally, there is $11.0 million and $8.3 million, respectively, available from the Revolving Loan Fund established with 2000 Series A bond proceeds issued to acquire and implement enterprise resource planning technology along with other projects (see Note 8) and $1.154 billion and $0.796 billion, respectively, held by trustees related to the Building Authority. This includes designated funds awarded by the Commonwealth of Massachusetts for capital projects which are held in trust by the Building Authority. At June 30, 2011 and 2010, the amount of designated funds were $3.8 million and $23.2 million, respectively. In addition, at June 30, 2011 and 2010, $3.4 million and $6.9 million, respectively were available to be used by WCCC for capital construction purposes.

Pursuant to Trust Agreements between the Building Authority and its bond trustees, all funds deposited with those trustees (approximately $1.157 billion at June 30, 2011 and $0.796 billion at June 30, 2010) shall be continuously maintained for the benefit of the Building Authority and Registered owners of the Bonds. All investments shall be (a) held with a bank or trust company approved by the Trustees and the Building Authority as custodians, or (b) in such other manner as may be required or permitted by applicable state and Federal laws and regulations. Investments shall consist of (a) direct obligations of, or obligations which are unconditionally guaranteed by, the United States of America, or any other agency or corporation which has been created pursuant to an act of Congress of the United States as an agency or instrumentality thereof; or (b) other marketable securities eligible as collateral for the deposit of trust funds under regulations of the Comptroller of the Currency having a market value not less than the amount of such deposit. Direct obligations of, or obligations which are unconditionally guaranteed by, the United States of America or any other agency or corporation which has been created pursuant to an act of Congress of the United States as an agency or instrumentality thereof may be subject to repurchase upon demand by the owner pursuant to a repurchase agreement with a bank or trust company.

Cash Deposits – Custodial Credit Risk

The Building Authority holds a majority of its cash and cash equivalents in high quality money market mutual funds that invest in securities that are permitted investments under the Building Authority’s Enabling Act or in money market mutual funds that have been specifically permitted by state legislation. The Building Authority's cash and cash equivalents held by Trustees consist of the following as of June 30, 2011 and 2010 (in thousands):

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>2011</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully insured bank accounts</td>
<td>$70</td>
<td>$24</td>
</tr>
<tr>
<td>Permitted money market accounts (MMA)</td>
<td>$506,074</td>
<td>$361,257</td>
</tr>
<tr>
<td></td>
<td>$506,144</td>
<td>$361,281</td>
</tr>
</tbody>
</table>

Custodial credit risk is the risk that, in the event of a bank failure, the Building Authority will not be able to recover its deposits or will not be able to recover collateral securities that are in the possession of an outside party. The Building Authority does not have a deposit policy for custodial credit risk. As of June 30, 2011 and 2010, the Building Authority’s cash deposits of $0.7 million and $0.2 million, respectively, were not subject to custodial credit risk as they were fully insured. For purposes of disclosure under GASB Statement No. 40, Deposit and Investment Risk Disclosures, money market accounts investing in debt securities are considered investments and therefore, are included in the investment disclosures that follow.

Investments

As of June 30, 2011 (in thousands):

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>Fair Value</th>
<th>Less than 1</th>
<th>1 to 5</th>
<th>6 to 10</th>
<th>More than 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Debt Securities</td>
<td>$71</td>
<td>$71</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>US Treasuries</td>
<td>642,201</td>
<td>103,037</td>
<td>519,235</td>
<td>19,930</td>
<td>-</td>
</tr>
<tr>
<td>US Agencies</td>
<td>5,318</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>5,318</td>
</tr>
<tr>
<td>Repurchase Agreements</td>
<td>506,074</td>
<td>506,074</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>MMA</td>
<td>$1,153,664</td>
<td>$609,182</td>
<td>$519,235</td>
<td>$25,248</td>
<td>-</td>
</tr>
<tr>
<td>Other Investments: Worcester City Campus Corp</td>
<td>$3,416</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Revolving Loan</td>
<td>10,997</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Master Leases</td>
<td>2,037</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total</td>
<td>$1,170,104</td>
<td>$609,182</td>
<td>$519,235</td>
<td>$25,248</td>
<td>-</td>
</tr>
</tbody>
</table>

As of June 30, 2010 (in thousands):

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>Fair Value</th>
<th>Less than 1</th>
<th>1 to 5</th>
<th>6 to 10</th>
<th>More than 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Debt Securities</td>
<td>$429,700</td>
<td>$199,678</td>
<td>$230,022</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>US Agencies</td>
<td>5,318</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>5,318</td>
</tr>
<tr>
<td>Repurchase Agreements</td>
<td>361,257</td>
<td>361,257</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>MMA</td>
<td>$796,275</td>
<td>$550,935</td>
<td>$230,022</td>
<td>$</td>
<td>-</td>
</tr>
<tr>
<td>Other Investments: Worcester City Campus Corp</td>
<td>$6,027</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Revolving Loan</td>
<td>8,284</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Master Leases</td>
<td>3,394</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total</td>
<td>$814,880</td>
<td>$550,935</td>
<td>$230,022</td>
<td>$</td>
<td>$3,394</td>
</tr>
</tbody>
</table>
Because money market funds are highly liquid, they are presented as investments with maturities of less than one year.

**Interest Rate Risk** The Building Authority does not have a formal investment policy that limits investment maturities as a means of managing its exposure to fair value losses arising from increasing interest rates. Generally, the Building Authority holds its investments until maturity.

**Credit Risk** Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. The risk is measured by the assignment of a rating by a nationally recognized statistical rating organization.

The Enabling Act specifies the permitted investments of the Building Authority. These permitted investments include direct obligations of or obligations which are unconditionally guaranteed by the United States of America (Treasuries), obligations of an agency or organization created pursuant to an act of Congress of the United States as an agency or instrumentality thereof (Agencies), time deposits or certificates of deposits fully secured by Treasuries or Agencies, and Treasuries and Agencies subject to repurchase agreements. Other legislation allows the Building Authority to invest in the Massachusetts Municipal Depository Trust (MMDT), a money market account sponsored by the Treasurer of the Commonwealth and managed by Fidelity Investments. Additionally, the Building Authority’s Bond Trustee invests some of the Building Authority’s funds in money market accounts that are permitted and are collateralized by Treasuries.

No credit risk disclosures are required under GASB 40 related to the Building Authority’s investment in Treasuries. The Building Authority’s investments in Agencies are rated at the highest level by Standard & Poor’s Rating Services and Moody’s Investors Service, Inc. The Building Authority’s investments in repurchase agreements are fully collateralized by Treasuries and Agencies but are not themselves rated. The MMDT is unrated.

**Custodial Credit Risk** Custodial credit risk for investments is the risk that, in the event of the failure of the counterparty to a transaction, a government will not be able to recover the value of investment or collateral securities that are in the possession of an outside party. The Building Authority’s Enabling Act does not contain legal or policy requirements that would limit the exposure to custodial credit risk except that interest-bearing time deposits or certificates of deposit of banking institutions or trust companies must be continuously and fully secured by Treasuries or Agencies.

Custodial credit risk generally applies only to direct investments in marketable securities. Custodial credit risk does not apply to indirect investment in securities through the use of mutual funds or government investment pools (such as MMDT). Direct investments in marketable securities are held by the Building Authority’s Bond Trustee as the Building Authority’s agent. In accordance with the Building Authority’s repurchase agreements, collateral for the agreements is held in segregated accounts with market values between 100% and 105% of the repurchase price, depending on the type of asset used as security and the specific repurchase agreement.

**Concentrations of Credit Risk** The Building Authority places no limit on the amount it may invest in any one issuer. As of June 30, 2011 the Building Authority had 16.1% of its investments with the Federal Home Loan Mortgage Corporation, 16.1% of its investments with the Federal Home Loan Bank and 21.6% of its investments with the Federal National Mortgage Association. As of June 30, 2010 the Building Authority had 13.5% of its investments with the Federal Home Loan Mortgage Corporation, 15.4% of its investments with the Federal Home Loan Bank and 25.4% of its investments with the Federal National Mortgage Association.

### 5. ACCOUNTS, GRANTS AND LOANS RECEIVABLE

Accounts, grants and loans receivable at June 30 consist of the following (in thousands):

<table>
<thead>
<tr>
<th>University:</th>
<th>2011</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students Accounts Receivable</td>
<td>$41,534</td>
<td>$37,349</td>
</tr>
<tr>
<td>Less allowance for uncollectible accounts</td>
<td>(15,303)</td>
<td>(13,688)</td>
</tr>
<tr>
<td>Grants and Contracts Receivable</td>
<td>81,391</td>
<td>79,140</td>
</tr>
<tr>
<td>Less allowance for uncollectible accounts</td>
<td>(3,223)</td>
<td>(2,181)</td>
</tr>
<tr>
<td>Students Loans Receivable</td>
<td>41,822</td>
<td>43,025</td>
</tr>
<tr>
<td>Less allowance for uncollectible accounts</td>
<td>(258)</td>
<td>(2,270)</td>
</tr>
<tr>
<td>Commonwealth Medicine</td>
<td>64,599</td>
<td>67,317</td>
</tr>
<tr>
<td>Less allowance for uncollectible accounts</td>
<td>(947)</td>
<td>(1,104)</td>
</tr>
<tr>
<td>Other</td>
<td>63,652</td>
<td>66,213</td>
</tr>
<tr>
<td>Less allowance for uncollectible accounts</td>
<td>55,218</td>
<td>53,870</td>
</tr>
<tr>
<td>Less current portion, net</td>
<td>(1,362)</td>
<td>(1,762)</td>
</tr>
<tr>
<td>Total, net</td>
<td>53,856</td>
<td>52,108</td>
</tr>
<tr>
<td>Less current portion, net</td>
<td>$263,471</td>
<td>$259,696</td>
</tr>
<tr>
<td>Long-term, net</td>
<td>(224,309)</td>
<td>(223,267)</td>
</tr>
<tr>
<td></td>
<td>$39,162</td>
<td>$36,429</td>
</tr>
</tbody>
</table>
UMASS MEMORIAL

Effective March 31, 1998, the former University of Massachusetts Clinical Services Division (which was comprised of the University of Massachusetts Medical School Teaching Hospital Trust Fund, University of Massachusetts Medical School - Group Practice Plan, and the University of Massachusetts Medical Center Self Insurance Trust), was merged into a separate Massachusetts not-for-profit corporation named UMass Memorial Health Care, Inc. ("UMass Memorial"). UMass Memorial, a separate entity, is not under the control of the University, and therefore is not a component of these financial statements. In connection with the merger of UMass Memorial and the former Clinical Services Division of the University in 1998, the University and UMass Memorial have the following ongoing agreements:

- UMass Memorial has been granted the right to occupy portions of the University's Worcester Medical School campus for a period of 99 years and UMass Memorial has agreed to share responsibility for various capital and operating expenses relating to the occupied premises. UMass Memorial has also agreed to contribute to capital improvements to shared facilities.

- UMass Memorial has agreed to make certain payments to the University and its related organizations, including: 1) an annual fee of $12.0 million (plus an inflation adjustment), for 99 years as long as the University continues to operate a medical school; and 2) a percentage of net operating income of UMass Memorial based on an agreed upon formula which revenue is recognized by the University when the amounts are agreed.

The University is reimbursed by, and reimburses UMass Memorial for shared services, cross-funded employees, and other agreed upon activities provided and purchased. For the years ended June 30, 2011 and 2010, the reimbursement for services provided to UMass Memorial were $127.0 million and $124.1 million, respectively. Included in these amounts is payroll paid by the University on behalf of UMass Memorial in an agency capacity in the amount of $80.9 million and $77.3 million for fiscal years 2011 and 2010, respectively. At June 30, 2011 and 2010, the University has recorded a net receivable in the amount of $10.7 million and $14.6 million, respectively from UMass Memorial consisting of $9.0 million and $8.1 million, respectively, in payroll and related fringe charges and $0.5 million and $2.2 million, respectively related to capital projects at the Medical School. The University has recorded a payable at June 30, 2011 of $16.4 million primarily consisting of a prepayment for educational services, capital projects and cross-funded payroll. At June 30, 2010, the University had a payable of $4.0 million for amounts due to UMass Memorial for capital projects and cross-funded payroll. The 2011 payable of $16.4 million includes $12.0 million representing the negotiated amount under the agreed upon formula noted above.

6. RELATED ORGANIZATIONS

Related party activity with the Foundation includes loan and lease agreements, and investments of the University's endowment assets and Intermediate Term Investment Fund (ITIF) with the Foundation. As of June 30, 2011, the net assets of the Foundation included as related organizations in the combined financial statements of the University are $360.0 million, of which $338.9 million are restricted funds and $21.1 million are unrestricted funds. During the fiscal year ended June 30, 2011, the University received approximately $18.2 million from the Foundation, and disbursed approximately $8.3 million to the Foundation of which none related to the establishment of quasi-endowment. At June 30, 2011, the University's investments include $212.7 million of endowment funds held in a custodial relationship at the Foundation, and $245.5 million in ITIF.

As of June 30, 2010, the net assets of the Foundation included as related organizations in the combined financial statements of the University are $307.0 million, of which $301.4 million are restricted funds and $5.6 million are unrestricted funds. During the fiscal year ended June 30, 2010, the University received approximately $20.9 million from the Foundation, and disbursed approximately $11.9 million to the Foundation of which $7.3 million was for the establishment of quasi-endowment. At June 30, 2010, the University's investments include $187.5 million of endowment funds held in a custodial relationship at the Foundation, and $223.9 million in ITIF.

The University leases office space from the Foundation for an annual rent of approximately $0.5 million.

During 2001, the Worcester Medical School and UMass Memorial Health Ventures, Inc. formed Public Sector Partners ("PSP"). PSP is a Massachusetts not-for-profit corporation organized to provide administrative support to agencies of state and local governments that provide health care and health related services to recipients under the auspices of government sponsored and funded health care programs and initiatives. MedMetrics Health Partners, Inc. (MHP), a wholly owned subsidiary of PSP, was created by and is an affiliate of PSP. During the year ended June 30, 2011, MHP determined that it did not qualify as a Section 501(c)(4) not-for-profit pharmacy benefit management company, and rescinded its related application to the IRS. The majority of the net assets of MHP were sold to a third party on April 11, 2011, and the remainder of MHP assets were transferred to PSP. The net assets sold consisted primarily of accounts receivable, restricted cash and other assets. The buyer also assumed certain accounts payable and accrued liabilities. In 2011, PSP received $12.7 million in consideration from the sale and recognized a gain on the sale of the net assets of $9.7 million.

On October 1, 2008, the board of trustees of Public Sector Partners, Inc. ("PSP") a Massachusetts corporation formed under M.G.L. c. 180, which are comprised equally of representation from the UMass Medical School and UMass Memorial Health Ventures, Inc. (a subsidiary of UMass Memorial) voted to amend the bylaws of PSP naming Worcester City Campus Corporation (WCCC) to be the sole member of the Corporation. There was no monetary value give for the transaction and it was accounted for using the "pooling of interests" method as described by APB 16: Business Combinations.

The Building Authority and the Commonwealth have entered into various lease agreements under which the Commonwealth leases to the Building Authority certain property for nominal amounts.
In August 2005, the Building Authority executed a contract with UMass Management, LLC, a wholly owned subsidiary of ClubCorp USA, Inc., to provide management services for The University of Massachusetts Club ("the Club"), a private social club for alumni and friends of the University. Under the contract, the Authority is responsible for approving the budgets and operating plans of the Club as presented by the Manager. The Building Authority is responsible for any shortfall in the operating budget and will benefit from any operating profits. The contract calls for a minimum management fee payable to the Manager of $0.2 million or four percent of the operating revenues, as defined by the contract, whichever is greater. Additionally, the Manager receives a percentage of the Club initiation fees and 25 percent of operating profits, as defined by the contract. The contract term is 10 years and can be terminated by the Building Authority after 3 years if the Building Authority decides to close the Club for a minimum of 18 months. The Building Authority is the tenant on the sublease for the Club space and the lease does not terminate should the Building Authority close the Club. As of June 30, 2011 and 2010, the Authority had provided operating support for the Club of approximately $0.7 million and $0.2 million, respectively.

7. INVESTMENT IN PLANT
Investment in plant activity for the year ended June 30, 2011 is comprised of the following (in thousands):

<table>
<thead>
<tr>
<th>University:</th>
<th>Beginning Balance</th>
<th>Additions/Adjustments</th>
<th>Retirements/Adjustments</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings and Improvements</td>
<td>$2,885,304</td>
<td>$242,806</td>
<td>$(1,261)</td>
<td>$3,126,849</td>
</tr>
<tr>
<td>Equipment and Furniture</td>
<td>601,564</td>
<td>35,349</td>
<td>(22,288)</td>
<td>614,625</td>
</tr>
<tr>
<td>Software</td>
<td>128,331</td>
<td>4,933</td>
<td></td>
<td>133,264</td>
</tr>
<tr>
<td>Library Books</td>
<td>109,968</td>
<td>8,932</td>
<td>(8,477)</td>
<td>110,423</td>
</tr>
<tr>
<td>Accumulated Depreciation</td>
<td>3,725,167</td>
<td>292,020</td>
<td>(32,026)</td>
<td>3,985,161</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>(1,731,042)</td>
<td>(158,831)</td>
<td>21,094</td>
<td>(1,868,779)</td>
</tr>
<tr>
<td>Land</td>
<td>1,994,125</td>
<td>133,189</td>
<td>(10,932)</td>
<td>2,116,382</td>
</tr>
<tr>
<td>Construction in Progress</td>
<td>52,989</td>
<td>3,567</td>
<td></td>
<td>56,556</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>277,278</td>
<td>277,562</td>
<td>(145,127)</td>
<td>409,213</td>
</tr>
<tr>
<td>Total</td>
<td>$2,324,392</td>
<td>$414,318</td>
<td>($156,059)</td>
<td>$2,582,651</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>University Related Organizations:</th>
<th>Beginning Balance</th>
<th>Additions/Adjustments</th>
<th>Retirements/Adjustments</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings and Improvements</td>
<td>$1,119</td>
<td>7,398</td>
<td>($575)</td>
<td>7,942</td>
</tr>
<tr>
<td>Equipment and Furniture</td>
<td>172</td>
<td>7,398</td>
<td>172</td>
<td>172</td>
</tr>
<tr>
<td>Accumulated Depreciation</td>
<td>1,291</td>
<td>7,272</td>
<td>(552)</td>
<td>7,659</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>(352)</td>
<td>(126)</td>
<td>23</td>
<td>(455)</td>
</tr>
<tr>
<td>Land</td>
<td>939</td>
<td>800</td>
<td>(200)</td>
<td>1,360</td>
</tr>
<tr>
<td>Total</td>
<td>$1,699</td>
<td>8,072</td>
<td>($752)</td>
<td>$9,019</td>
</tr>
</tbody>
</table>

Investment in plant activity for the year ended June 30, 2010 is comprised of the following (in thousands):

<table>
<thead>
<tr>
<th>University:</th>
<th>Beginning Balance</th>
<th>Additions/Adjustments</th>
<th>Retirements/Adjustments</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings and Improvements</td>
<td>$2,586,338</td>
<td>$303,716</td>
<td>($4,750)</td>
<td>$2,885,304</td>
</tr>
<tr>
<td>Equipment and Furniture</td>
<td>585,049</td>
<td>40,840</td>
<td>(24,325)</td>
<td>601,564</td>
</tr>
<tr>
<td>Software</td>
<td>119,596</td>
<td>8,735</td>
<td></td>
<td>128,331</td>
</tr>
<tr>
<td>Library Books</td>
<td>104,324</td>
<td>13,446</td>
<td>(7,802)</td>
<td>109,968</td>
</tr>
<tr>
<td>Accumulated Depreciation</td>
<td>3,395,307</td>
<td>366,737</td>
<td>(36,877)</td>
<td>3,725,167</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>(1,602,389)</td>
<td>(154,507)</td>
<td>25,854</td>
<td>(1,731,042)</td>
</tr>
<tr>
<td>Land</td>
<td>1,792,918</td>
<td>212,230</td>
<td>(11,023)</td>
<td>1,994,125</td>
</tr>
<tr>
<td>Construction in Progress</td>
<td>34,398</td>
<td>20,240</td>
<td>(1,649)</td>
<td>52,989</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>241,169</td>
<td>205,439</td>
<td>(169,330)</td>
<td>277,278</td>
</tr>
<tr>
<td>Total</td>
<td>$2,068,485</td>
<td>$437,909</td>
<td>($182,002)</td>
<td>$2,324,392</td>
</tr>
</tbody>
</table>
### University Related Organizations:

<table>
<thead>
<tr>
<th></th>
<th>Beginning Balance</th>
<th>Additions/ Adjustments</th>
<th>Retirements/ Adjustments</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings and Improvements</td>
<td>$594</td>
<td>$525</td>
<td>-</td>
<td>$1,119</td>
</tr>
<tr>
<td>Equipment and Furniture</td>
<td>120</td>
<td>52</td>
<td>-</td>
<td>172</td>
</tr>
<tr>
<td>Accumulated Depreciation</td>
<td>714 (324)</td>
<td>577 (28)</td>
<td>-</td>
<td>1,291 (352)</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>390</td>
<td>549</td>
<td>-</td>
<td>939</td>
</tr>
<tr>
<td>Land</td>
<td>560</td>
<td>200</td>
<td>-</td>
<td>760</td>
</tr>
<tr>
<td>Total</td>
<td>$950</td>
<td>$749</td>
<td>-</td>
<td>$1,699</td>
</tr>
</tbody>
</table>

At June 30, 2011 and 2010, investment in plant included capital lease assets of approximately $85.0 million and $84.6 million, respectively, net of accumulated depreciation on capital lease assets of approximately $70.0 million and $65.7 million, respectively (see Note 9). The University had a capital contribution of $4.4 million during 2011 mostly due to a gift and $29.8 million during 2010 as a result of acquiring assets below fair value.

The University has capitalized interest on borrowings, net of interest earned on related debt reserve funds, during the construction period of major capital projects. Capitalized interest is added to the cost of the underlying assets being constructed, and is amortized over the useful lives of the assets. For the years ended June 30, 2011 and 2010, the University capitalized net interest costs of $35.2 million and $23.6 million respectively.

### 8. BONDS PAYABLE

Amounts outstanding at June 30, 2011 are as follows (in thousands):

<table>
<thead>
<tr>
<th>Issue Borrowing</th>
<th>Original Borrowing</th>
<th>Maturity Date</th>
<th>Interest Rate</th>
<th>Amount Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Massachusetts Building Authority:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2000-A</td>
<td>$46,980</td>
<td>2011</td>
<td>4.75%</td>
<td>$1,645</td>
</tr>
<tr>
<td>Series 2003-1</td>
<td>137,970</td>
<td>2014</td>
<td>3.625-5.25%</td>
<td>23,045</td>
</tr>
<tr>
<td>Series 2004-A</td>
<td>96,025</td>
<td>2015</td>
<td>4.0-4.5%</td>
<td>10,735</td>
</tr>
<tr>
<td>Series 2004-I</td>
<td>183,965</td>
<td>2016</td>
<td>4.0-5.375%</td>
<td>39,935</td>
</tr>
<tr>
<td>Series 2005-I</td>
<td>25,595</td>
<td>2016</td>
<td>5.0%</td>
<td>12,745</td>
</tr>
<tr>
<td>Series 2005-2</td>
<td>212,550</td>
<td>2025</td>
<td>4.0-5.25%</td>
<td>197,825</td>
</tr>
<tr>
<td>Series 2006-2</td>
<td>21,240</td>
<td>2014</td>
<td>5.43-5.49%</td>
<td>7,860</td>
</tr>
<tr>
<td>Series 2008-A</td>
<td>26,580</td>
<td>2038</td>
<td>variable</td>
<td>24,435</td>
</tr>
<tr>
<td>Series 2008-1</td>
<td>232,545</td>
<td>2038</td>
<td>variable</td>
<td>215,120</td>
</tr>
<tr>
<td>Series 2008-2</td>
<td>120,560</td>
<td>2038</td>
<td>4.0-5.0%</td>
<td>113,105</td>
</tr>
<tr>
<td>Series 2008-3</td>
<td>138,635</td>
<td>2034</td>
<td>variable</td>
<td>-</td>
</tr>
<tr>
<td>Series 2008-4</td>
<td>104,000</td>
<td>2034</td>
<td>variable</td>
<td>-</td>
</tr>
<tr>
<td>Series 2009-1</td>
<td>247,810</td>
<td>2039</td>
<td>3.0-5.0%</td>
<td>240,120</td>
</tr>
<tr>
<td>Series 2009-2</td>
<td>271,855</td>
<td>2039</td>
<td>6.423-6.573%</td>
<td>271,855</td>
</tr>
<tr>
<td>Series 2009-3</td>
<td>28,570</td>
<td>2039</td>
<td>5.283-6.173%</td>
<td>28,570</td>
</tr>
<tr>
<td>Series 2010-1</td>
<td>118,985</td>
<td>2020</td>
<td>2.5-5.0%</td>
<td>118,985</td>
</tr>
<tr>
<td>Series 2010-2</td>
<td>430,320</td>
<td>2040</td>
<td>3.8-5.45%</td>
<td>430,320</td>
</tr>
<tr>
<td>Series 2010-3</td>
<td>3,005</td>
<td>2040</td>
<td>6%</td>
<td>3,005</td>
</tr>
<tr>
<td>Series 2011-1</td>
<td>135,040</td>
<td>2034</td>
<td>variable</td>
<td>135,040</td>
</tr>
<tr>
<td>Series 2011-2</td>
<td>101,700</td>
<td>2034</td>
<td>variable</td>
<td>101,700</td>
</tr>
</tbody>
</table>

| University of Massachusetts HEFA: |                |               |               |                     |
| 2000 Series A    | $20,000         | 2030          | variable      | 20,000             |
| 2001 Series B    | 11,970          | 2031          | 4.35-5.25%    | 280                |
| 2002 Series C    | 35,000          | 2034          | 4.1-5.125%    | 30,660             |
| 2007 Series D    | 10,435          | 2031          | 3.5-4.25%     | 10,140             |

| WCCC HEFA:       |                |               |               |                     |
| Series 2001-B    | $52,020         | 2023          | 4.45-5.125%   | 12,545             |
| Series 2005-D    | 99,325          | 2029          | 3.0-5.25%     | 87,800             |
| Series 2007-E    | 118,750         | 2036          | 3.5-5.0%      | 112,295            |
| Series 2007-F    | 101,745         | 2036          | 4.0-5.0%      | 92,165             |

| Clean Renewable Energy Bonds |          |               |               |                     |
|                            | $1,625   | 2027          | 3.5%          | 1,530              |

**TOTAL:** $2,311,185
Bonds payable activity for the year ended June 30, 2011 is summarized as follows (in thousands):

<table>
<thead>
<tr>
<th>University of Massachusetts Building Authority:</th>
<th>Beginning Balance</th>
<th>Additions</th>
<th>Retirements</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Series 2000-1</td>
<td>1,155</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2000-2</td>
<td>5,680</td>
<td>(4,035)</td>
<td></td>
<td>$1,645</td>
</tr>
<tr>
<td>Series 2003-1</td>
<td>28,205</td>
<td>(5,160)</td>
<td></td>
<td>23,045</td>
</tr>
<tr>
<td>Series 2004-A</td>
<td>12,630</td>
<td>(1,895)</td>
<td></td>
<td>10,735</td>
</tr>
<tr>
<td>Series 2004-1</td>
<td>45,960</td>
<td>(6,025)</td>
<td></td>
<td>39,935</td>
</tr>
<tr>
<td>Series 2005-1</td>
<td>14,945</td>
<td>(2,200)</td>
<td></td>
<td>12,745</td>
</tr>
<tr>
<td>Series 2005-2</td>
<td>200,040</td>
<td>(2,215)</td>
<td></td>
<td>197,825</td>
</tr>
<tr>
<td>Series 2006-2</td>
<td>10,825</td>
<td>(2,965)</td>
<td></td>
<td>7,860</td>
</tr>
<tr>
<td>Series 2008-A</td>
<td>25,215</td>
<td></td>
<td></td>
<td>24,435</td>
</tr>
<tr>
<td>Series 2008-1</td>
<td>221,475</td>
<td>(6,355)</td>
<td></td>
<td>215,120</td>
</tr>
<tr>
<td>Series 2008-2</td>
<td>115,370</td>
<td>(2,265)</td>
<td></td>
<td>113,105</td>
</tr>
<tr>
<td>Series 2008-3</td>
<td>136,275</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2008-4</td>
<td>102,495</td>
<td>(102,495)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2009-1</td>
<td>244,410</td>
<td>(4,290)</td>
<td></td>
<td>240,120</td>
</tr>
<tr>
<td>Series 2009-2</td>
<td>271,855</td>
<td></td>
<td></td>
<td>271,855</td>
</tr>
<tr>
<td>Series 2009-3</td>
<td>28,570</td>
<td></td>
<td></td>
<td>28,570</td>
</tr>
<tr>
<td>Series 2010-1</td>
<td></td>
<td></td>
<td></td>
<td>$118,985</td>
</tr>
<tr>
<td>Series 2010-2</td>
<td></td>
<td>430,320</td>
<td></td>
<td>430,320</td>
</tr>
<tr>
<td>Series 2010-3</td>
<td></td>
<td>3,005</td>
<td></td>
<td>3,005</td>
</tr>
<tr>
<td>Series 2011-1</td>
<td></td>
<td>135,040</td>
<td></td>
<td>135,040</td>
</tr>
<tr>
<td>Series 2011-2</td>
<td></td>
<td>101,700</td>
<td></td>
<td>101,700</td>
</tr>
<tr>
<td>Revolving Line of Credit</td>
<td>401</td>
<td>(401)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plus: unamortized bond premium</td>
<td>29,787</td>
<td>21,177</td>
<td>(6,933)</td>
<td>44,031</td>
</tr>
<tr>
<td>Less: deferred loss on refunding</td>
<td>(42,048)</td>
<td></td>
<td>1,939</td>
<td>(72,376)</td>
</tr>
<tr>
<td>Subtotal</td>
<td>$1,456,460</td>
<td>777,960</td>
<td>(286,720)</td>
<td>1,947,700</td>
</tr>
</tbody>
</table>

UMass HEFA:

| 2000 Series A                                | 20,000            |           |             | 20,000         |
| 2001 Series B                                | 546               |           |             | 280            |
| 2002 Series C                                | 31,345            |           |             | 30,660         |
| 2007 Series D                                | 10,190            |           |             | 10,140         |
| Subtotal                                     | 62,081            |           | (1,001)     | 61,080         |

WCCC HEFA:

| WCCC 2001 Series B                           | 13,700            |           |             | 12,545         |
| WCCC 2005 Series D                           | 90,575            |           |             | 87,800         |
| WCCC 2007 Series E                           | 114,000           |           |             | 112,295        |
| WCCC 2007 Series F                           | 94,530            |           |             | 92,165         |
| Plus: unamortized bond premium               | 9,029             |           | (391)       | 8,638          |
| Less: deferred loss on refunding             | (13,266)          |           | 698         | (12,568)       |
| Subtotal                                     | 308,568           |           | (7,693)     | 300,875        |

Clean Renewable Energy Bonds

| Total                                         | 1,625             |           | (95)       | 1,530          |

Total $1,827,109 $779,585 (295,509) 2,311,185

Maturities and interest, which is estimated using rates in effect at June 30, 2011, on bonds payable for the next five fiscal years and in subsequent five-year periods are as follows (in thousands):

<table>
<thead>
<tr>
<th>Principal</th>
<th>Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>$67,686</td>
</tr>
<tr>
<td>2013</td>
<td>70,665</td>
</tr>
<tr>
<td>2014</td>
<td>77,696</td>
</tr>
<tr>
<td>2015</td>
<td>77,651</td>
</tr>
<tr>
<td>2016</td>
<td>79,605</td>
</tr>
<tr>
<td>2017-2021</td>
<td>442,693</td>
</tr>
<tr>
<td>2022-2026</td>
<td>464,633</td>
</tr>
<tr>
<td>2027-2031</td>
<td>479,926</td>
</tr>
<tr>
<td>2032-2036</td>
<td>351,295</td>
</tr>
<tr>
<td>2037-2041</td>
<td>231,610</td>
</tr>
<tr>
<td>Total</td>
<td>$2,343,460</td>
</tr>
<tr>
<td></td>
<td>$1,357,591</td>
</tr>
</tbody>
</table>
Bonds payable activity for the year ended June 30, 2010 is summarized as follows (in thousands):

<table>
<thead>
<tr>
<th>University of Massachusetts Building Authority:</th>
<th>Beginning Balance</th>
<th>Additions</th>
<th>Retirements</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Series 2000-A</td>
<td>$4,715</td>
<td>($1,500)</td>
<td></td>
<td>$3,215</td>
</tr>
<tr>
<td>Series 2000-1</td>
<td>2,250</td>
<td>(1,095)</td>
<td>1,155</td>
<td></td>
</tr>
<tr>
<td>Series 2000-2</td>
<td>11,090</td>
<td>(5,410)</td>
<td>5,680</td>
<td></td>
</tr>
<tr>
<td>Series 2003-1</td>
<td>33,180</td>
<td>(4,975)</td>
<td>28,205</td>
<td></td>
</tr>
<tr>
<td>Series 2004-A</td>
<td>14,455</td>
<td>(1,825)</td>
<td>12,630</td>
<td></td>
</tr>
<tr>
<td>Series 2004-1</td>
<td>51,725</td>
<td>(5,765)</td>
<td>45,960</td>
<td></td>
</tr>
<tr>
<td>Series 2005-1</td>
<td>17,035</td>
<td>(2,090)</td>
<td>14,945</td>
<td></td>
</tr>
<tr>
<td>Series 2005-2</td>
<td>202,165</td>
<td>(2,125)</td>
<td>200,040</td>
<td></td>
</tr>
<tr>
<td>Series 2006-2</td>
<td>13,640</td>
<td>(2,815)</td>
<td>10,825</td>
<td></td>
</tr>
<tr>
<td>Series 2008-A</td>
<td>25,910</td>
<td>(695)</td>
<td>25,215</td>
<td></td>
</tr>
<tr>
<td>Series 2008-1</td>
<td>227,120</td>
<td>(5,645)</td>
<td>221,475</td>
<td></td>
</tr>
<tr>
<td>Series 2008-2</td>
<td>117,550</td>
<td>(2,180)</td>
<td>115,370</td>
<td></td>
</tr>
<tr>
<td>Series 2008-3</td>
<td>137,475</td>
<td>(1,200)</td>
<td>136,275</td>
<td></td>
</tr>
<tr>
<td>Series 2008-4</td>
<td>103,260</td>
<td>(765)</td>
<td>102,495</td>
<td></td>
</tr>
<tr>
<td>Series 2009-1</td>
<td></td>
<td>$247,810</td>
<td></td>
<td>244,410</td>
</tr>
<tr>
<td>Series 2009-2</td>
<td>271,855</td>
<td>(3,400)</td>
<td>268,455</td>
<td></td>
</tr>
<tr>
<td>Series 2009-3</td>
<td>28,570</td>
<td></td>
<td>28,570</td>
<td></td>
</tr>
<tr>
<td>Revolving Line of Credit</td>
<td>16,823</td>
<td>201</td>
<td>(16,623)</td>
<td>401</td>
</tr>
<tr>
<td>Plus: unamortized bond premium</td>
<td>19,414</td>
<td>14,164</td>
<td>(3,791)</td>
<td>29,787</td>
</tr>
<tr>
<td>Less: deferred loss on refunding</td>
<td>(42,779)</td>
<td>730</td>
<td>(42,049)</td>
<td></td>
</tr>
<tr>
<td>Subtotal</td>
<td>955,028</td>
<td>562,600</td>
<td>(61,169)</td>
<td>1,456,459</td>
</tr>
</tbody>
</table>

| UMass HEFA:                                    |                   |           |             |                |
| 2000 Series A                                 | 20,000            |           | 20,000      |                |
| 2001 Series B                                 | 801               | (255)     | 546         |                |
| 2002 Series C                                 | 32,005            | (660)     | 31,345      |                |
| 2007 Series D                                 | 10,235            | (45)      | 10,190      |                |
| Subtotal                                      | 63,041            | (960)     | 62,081      |                |

| WCCC HEFA:                                    |                   |           |             |                |
| WCCC 2001 Series B                            | 14,810            | (1,110)   | 13,700      |                |
| WCCC 2005 Series D                            | 93,230            | (2,655)   | 90,575      |                |
| WCCC 2007 Series E                            | 115,640           | (1,640)   | 114,000     |                |
| WCCC 2007 Series F                            | 96,805            | (2,275)   | 94,530      |                |
| Plus: unamortized bond premium                 | 9,419             | (390)     | 9,029       |                |
| Less: deferred loss on refunding               | (13,963)          | 698       | (13,265)    |                |
| Subtotal                                      | 315,941           | (7,372)   | 308,569     |                |

| Total                                         | $1,334,010        | $562,600   | ($69,501)   | $1,827,109     |

University of Massachusetts Building Authority

The bond agreements related to the Building Authority bonds generally provide that the net revenues of the Building Authority are pledged as collateral on the bonds and also provide for the establishment of bond reserve funds, bond funds, and maintenance reserve funds.

The University is obligated under its contracts for financial assistance, management and services with the Building Authority to collect rates, rents, fees and other charges with respect to such facilities sufficient to pay principal and interest on the Building Authority's bonds and certain other costs such as insurance on such facilities.

Pursuant to the authority given by the Building Authority's enabling act, the Commonwealth, acting by and through the Trustees of the University, has guaranteed the payment of principal of and interest on the Building Authority's bonds. (The guarantee is a general obligation of the Commonwealth to which the full faith and credit of the Commonwealth are pledged. As is generally the case with other general obligations of the Commonwealth, funds with which to honor the guarantee, should it be called upon, will be provided by Commonwealth appropriation). The Building Authority's enabling act provides that the outstanding principal amount of notes and bonds of the Building Authority guaranteed by the Commonwealth cannot exceed $200.0 million. The Building Authority issued bonds are all Commonwealth guaranteed with the exception of Series 2000-2, Series 2003-1, Series 2004-1, Series 2005-1, Series 2005-2, Series 2006-2 (federally taxable), Series 2008-1, Series 2008-2, Series 2009-1, Series 2009-2 (federally taxable), Series 2009-3 (federally taxable), Series 2010-1, Series 2010-2(federally taxable), Series 2010-3 (federally taxable) and Series 2011-1.

When the Building Authority no longer has any bonds outstanding, its properties revert to the Commonwealth, and all its funds (other than funds pledged to bondholders) are required to be paid into the Treasury of the Commonwealth.
Variable Rate Bonds  The 2008-1 bonds are supported with an irrevocable direct pay letter of credit (the Lloyds LOC) issued by Lloyds TSB Bank plc (Lloyds). The Lloyds LOC, upon presentation of required documentation, will pay the Bond Trustee the amount necessary to pay the principal and accrued interest on the bonds. The Lloyds LOC expires in 2013 and may be extended at the option of Lloyds. Under the terms of the Lloyds LOC, the Authority is required to pay Lloyds in quarterly installments a facility fee in the amount of 26.5 basis points (or higher, under certain circumstances) of the commitment amount. Fees accrued by the Building Authority in connection with the Lloyds LOC totaled $0.6 million for the years ended June 30, 2011 and 2010.

The 2008-A bonds are supported by a standby bond purchase agreement with Bank of America, N.A. (BofA) which requires BofA to purchase bonds tendered and not remarketed in an amount not to exceed the principal on the bonds plus accrued interest up to 184 days at an annual interest rate not to exceed 12 percent. Under this agreement, the Building Authority is required to pay BofA in quarterly installments a facility fee in the amount of 12 basis points of the initial commitment. The initial commitment under the agreement was set at $28.0 million and is subject to adjustment from time to time in accordance with the provisions of the agreement. The agreement expires in 2013 and may be extended at the option of the BofA. Fees accrued by the Building Authority in connection with the standby bond purchase agreement totaled $37,600 and $31,000 for the years ended June 30, 2011 and 2010, respectively.

The 2008-3 bonds were supported with an irrevocable direct pay letter of credit (the BofA LOC) issued by Bank of America NA (BofA). The BofA LOC, upon presentation of required documentation, would have paid the Bond Trustee the amount necessary to pay the principal and accrued interest on the bonds. The BofA LOC expired in 2011 and could have been extended at the option of BofA. Under the terms of the BofA LOC, the Building Authority was required to pay BofA in quarterly installments a facility fee in the amount of 55 basis points (or higher, under certain circumstances) of the commitment amount. Fees accrued by the Building Authority in connection with the BofA LOC totaled $8.0 million for the years ended June 30, 2011 and 2010. The BofA LOC terminated when the 2008-3 bonds were refunded in June of 2011.

The 2008-4 bonds were supported by a standby bond purchase agreement with Bank of America, N.A. (BofA) which required BofA to purchase bonds tendered and not remarketed in an amount not to exceed the principal on the bonds plus accrued interest up to 184 days at an annual interest rate not to exceed 12%. Under this agreement, the Building Authority was required to pay BofA in quarterly installments a facility fee in the amount of 35 basis points of the initial commitment. The initial commitment under the agreement was set at $110.0 million and was subject to adjustment from time to time in accordance with the provisions of the agreement. The agreement expired in 2011 and could have been extended at the option of the BofA. Fees accrued by the Building Authority in connection with the standby bond purchase agreement totaled $4.0 million for the years ended June 30, 2011 and 2010. The agreement terminated when the 2008-4 bonds were refunded in June of 2011.

The 2011-1 bonds are supported by a standby bond purchase agreement with Wells Fargo Bank, N.A. (Wells) which requires Wells to purchase bonds tendered and not remarketed in an amount not to exceed the principal on the bonds plus accrued interest up to 185 days at an annual interest rate not to exceed 12 percent. Under this agreement, the Building Authority is required to pay Wells in quarterly installments a facility fee in the amount of 40 basis points (or higher, under certain circumstances) of the initial commitment. The initial commitment under the agreement was set at $135.0 million and is subject to adjustment from time to time in accordance with the provisions of the agreement. The agreement expires in 2014 and may be extended at the option of the Wells. Fees accrued by the Building Authority in connection with the standby bond purchase agreement totaled $33,400 for the year ended June 30, 2011.

Window Bonds  In fiscal year 2011, the Building Authority issued its 2011-2 bonds in a variable rate Window Bond mode. As with the Building Authority’s other variable rate bonds, the Window Bondholders can tender the bonds at any time. But unlike the Building Authority’s other variable rate bonds, where the bondholders will receive payment on any tendered bonds 7 days from the tender, Window Bondholders are not required to receive funds for the tender until after a 30 day remarketing period and an additional 180 day funding window period. Due to this 210 day funding period, the Building Authority is not required to obtain any type of liquidity support for the 2011-2 bonds and the bonds are considered supported with self-liquidity. Window Bondholders receive an interest rate on the Window Bonds at a fixed spread over the Securities Industry and Financial Markets Association Municipal Swap Index™ (SIFMA). The initial spread to the SIFMA index is 9 basis points (.09%).

Bond Refundings  In fiscal year 2011, the Building Authority advanced refunded the 2008-3 and 2008-4 series bonds with its 2011-1 and 2011-2 series bonds. Accordingly, the Building Authority deposited into trust accounts funds sufficient to provide for all future debt service payments on the refunded bonds. Assets held in the trust accounts had an aggregate market value of approximately $236.1 million as of June 30, 2011. The unpaid principal amount of the refunded bonds totaled $236.7 million as of June 30, 2011.

In previous fiscal years the Building Authority has advanced refunded various bonds by depositing into various trust accounts funds sufficient to provide for all future debt service payments on the refunded bonds until the bonds could be called. Assets held in the trust accounts for this purpose had an aggregate market value of approximately $316.7 million and $450.0 million as of June 30, 2011 and 2010, respectively. The unpaid principal amount of the refunded bonds totaled $294.3 million and $426.7 million as of June 30, 2011 and 2010, respectively.

These advanced refunded bonds are considered defeased and, accordingly, the liability for the bonds payable and the assets held to repay the debt have not been recorded in the University’s financial statements.

In connection with the Building Authority’s prior advanced refundings, the Building Authority recorded a difference between the reacquisition price and the net carrying amount of the old debt of approximately $45.5 million. This difference is being reported as a reduction from bonds payable and will be amortized as an increase in interest expense over the original life of the refunded bonds. The
refundings reduced the Building Authority’s debt service payments in future years by approximately $26.2 million and resulted in an economic gain (the present value of the savings) of approximately $16.0 million.

**Bond Premium, Issuance Expenses and Deferred Amount on Refundings.** In connection with the Building Authority’s bond issues, the Building Authority received premiums at issuance totaling approximately $67.3 million. The Building Authority will amortize the premiums received as a reduction in interest expense over the life of the respective bond issue.

In connection with the Building Authority’s bonds issues, the Building Authority incurred certain issuance costs associated with the bond offerings totaling approximately $24.0 million. These issuance costs have been capitalized by the University and will be amortized over the life of the respective bond issue.

**Pledged Revenues.** Pursuant to the projects administered by the University of Massachusetts Building Authority, the Authority sets fees, rents, rates and other charges for the use of the projects in an amount for each fiscal year that produces revenues in excess of the amounts needed in such fiscal year for debt service on the related bonds, required contributions to the related Section 10 Reserve Fund, expenses for the Bond trustee and any escrow agent. Such excess revenues are held by the University for the account of and on behalf of the Authority. Total applicable pledged revenues were $68.5 million for 2011 and $64.0 million for 2010.

**Interest Rate Swaps.** The Building Authority uses derivative instruments to attempt to manage the cash flow impact of interest rate changes on its cash flows and net assets. The Building Authority utilizes financial derivative instruments to attempt to mitigate its exposure to certain market risks associated with operations and does not use derivative instruments for trading or speculative purposes.

The Building Authority’s contracts are evaluated pursuant to GASB Statement No. 53, *Accounting and Financial Reporting for Derivative Instruments* (GASB Statement No. 53) to determine whether they meet the definition of derivative instruments, and if so, whether they effectively hedge the expected cash flows associated with interest rate risk exposures.

The Building Authority applies hedge accounting for derivative instruments that are deemed effective hedges and under GASB Statement No. 53 are referred to as hedging derivative instruments. Under hedge accounting, changes in the fair value of a hedging derivative instrument is reported as a deferred inflow or deferred outflow on the Statement of Net Assets until the contract is settled or terminated.

All settlement payments or receipts for hedging derivative instruments are recorded as interest expense in the period settled.

The Building Authority’s hedging derivative instruments at June 30, 2011 are as follows (in thousands):

<table>
<thead>
<tr>
<th></th>
<th>Fair Value June 30, 2011</th>
<th>Net Change in Fair Value</th>
<th>Fair Value June 30, 2010</th>
<th>Type of Hedge</th>
<th>Financial Statement Classification for Changes in Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Series 2008-1 Swap</td>
<td>$(19,844)</td>
<td>5,839</td>
<td>$(25,675)</td>
<td>Cash Flow</td>
<td>Deferred outflow</td>
</tr>
<tr>
<td>Series 2008-A Swap</td>
<td>(2,318)</td>
<td>665</td>
<td>(2,983)</td>
<td>Cash Flow</td>
<td>Deferred outflow</td>
</tr>
<tr>
<td>Series 2006-1 Swap</td>
<td>(29,180)</td>
<td>6,195</td>
<td>(35,375)</td>
<td>Cash Flow</td>
<td>Deferred outflow</td>
</tr>
<tr>
<td>Total</td>
<td>$(51,342)</td>
<td>12,692</td>
<td>$(64,033)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The terms of the Building Authority’s financial derivative instruments that were outstanding at June 30, 2011 are summarized below (in thousands):

<table>
<thead>
<tr>
<th></th>
<th>Type</th>
<th>Effective Date</th>
<th>Termination Date</th>
<th>Rate Authority Pays</th>
<th>Authority Receives</th>
<th>Original Notional Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Series 2008-1 Swap</td>
<td>Synthetic Fixed</td>
<td>5/1/2008</td>
<td>5/1/2038</td>
<td>3.38%</td>
<td>70% of 1-Month LIBOR</td>
<td>$232,545</td>
</tr>
<tr>
<td>Series 2008-A Swap</td>
<td>Synthetic Fixed</td>
<td>5/1/2008</td>
<td>5/1/2038</td>
<td>3.37%</td>
<td>70% of 1-Month LIBOR</td>
<td>$226,580</td>
</tr>
<tr>
<td>Series 2006-1 Swap</td>
<td>Synthetic Fixed</td>
<td>4/20/2006</td>
<td>11/1/2034</td>
<td>3.48%</td>
<td>60% of 3-Month LIBOR + 18%</td>
<td>$243,830</td>
</tr>
</tbody>
</table>

**Fair Values.** The fair values of the swaps were estimated using the zero-coupon method. This method calculates the future net settlement payments required by the agreements, assuming the current forward rates implied by the yield curve correctly anticipate future spot interest rates. These payments are then discounted using the spot rate implied by the current yield curve for hypothetical zero-coupon bonds due on the date of each future net settlement on the agreements.

**Credit risk.** As of June 30, 2011, the Building Authority was not exposed to credit risk on the swaps with a $51.3 million in negative fair values. Since changes in interest rates affect the fair values of swap agreements, it is possible that the swap agreements with negative fair values become positive which would expose the Building Authority to credit risk. To mitigate the potential for credit risk, when a counterparty has a positive fair value and if the counterparty’s credit quality falls below A3/AA, the fair value of the swap will be fully collateralized by the counterparty with U.S. Government Securities or U.S. Government Agency Securities. Collateral posted by the counterparty will be held by a third-party custodian.

The credit ratings for the Building Authority’s counterparties at June 30, 2011 are as follows:

<table>
<thead>
<tr>
<th>Credit Ratings</th>
<th>Moody's</th>
<th>S &amp; P</th>
<th>Fitch</th>
</tr>
</thead>
<tbody>
<tr>
<td>UBS AG</td>
<td>Aa3</td>
<td>A+</td>
<td>A+</td>
</tr>
<tr>
<td>Deutsche Bank AG</td>
<td>Aa3</td>
<td>A+</td>
<td>AA-</td>
</tr>
<tr>
<td>Citi Bank NA</td>
<td>A1</td>
<td>A+</td>
<td>A+</td>
</tr>
</tbody>
</table>
Basis risk  The Building Authority is exposed to basis risk on its pay-fixed interest rate swaps because the variable-rate payment received by the Building Authority (a percent of LIBOR) on these hedging derivative instruments are based on indexes other than the actual interest rates the Building Authority pays on its hedged variable rate debt. Should the relationship between LIBOR and the actual variable rate interest payments on the bonds converge, the expected cost savings may not materialize. The terms of the related hedging fixed rate swap transactions are summarized in the chart above.

Termination risk  The Building Authority uses the International Swap Dealers Association Master Agreement (Master Agreement), which includes standard termination events, such as failure to pay and bankruptcy. The Schedule to the Master Agreement includes "additional termination events". The additional termination event provide that the swap may be terminated by the Building Authority if the counterparty's credit quality rating falls below certain levels or the counterparty fails to have a rating. Further, the swap may be terminated by the counterparties if the long-term, unsecured, unenhanced senior debt rating of any bonds issued by the Building Authority is withdrawn, suspended or fails below certain levels or the Building Authority fails to have a rating. The Building Authority or the counterparties may terminate the swaps if the other party fails to perform under the terms of the contract. The Building Authority may also terminate the swaps at its option. If the swap is terminated, the variable-rate bonds would no longer carry a synthetic fixed interest rate and the Building Authority's interest payment will be based solely upon the rate required by the related bond. When a termination event occurs, a mark-to-market (or fair market value) calculation is performed to determine whether the Building Authority is owned money or must pay money to close out a swap position. A negative fair value means the Building Authority would incur a loss and need to make a termination payment to settle the swap position. A positive fair value means the Building Authority would realize a gain and receive a termination payment to settle the swap position.

Contingencies  All of the Building Authority’s swaps include provisions that require the Building Authority to post collateral in the event its credit rating falls below certain levels. In the event the Building Authority is rated A2 by Moody’s Investors Service or A by Standard & Poor’s the Building Authority would need to post collateral equal to amounts above the fair value of its swaps in liability positions above $10.0 million. In the event the Building Authority is not rated or rated below A3 by Moody’s Investors Service or below A- by Standard & Poor’s the Building Authority must post collateral in the amount of the fair value of the swaps in liability positions. The collateral posted is in the form of cash, obligations guaranteed by the U.S. Treasury, or negotiable debt obligations issued by the Federal Home Loan Mortgage Association or the Federal National Mortgage Association. If the Building Authority does not post collateral, the derivative instrument may be terminated by the counterparty. The Building Authority’s credit rating is Aa2 from Moody’s Investors Service and AA from Fitch Ratings at June 30, 2011; therefore, no collateral has been posted.

Termination of Hedge Accounting  In June of 2011 the Building Authority undertook an advance refunding of the 2008-3 and 2008-4 variable rate bonds hedged by the Series 2006-1 Swap. As part of the refunding, the Series 2006-1 swap was re-assigned to a new underlying notional (the 2011-1 and 2011-2 Bonds) with identical terms. This refunding and reassignment effectively terminated the original hedge. At June 30, 2010, the Series 2006-1 Swap was considered a hedging derivative instrument. In accordance with GASB Statement No. 53, at the time of a termination event related to an advance refunding of the hedged debt, the balance of the amounts in deferred outflows is to be included in the net carrying amount of the refunded debt for the purposes of calculating the deferred loss on refunding. The balance of the deferred outflows that was included in the net carrying amount of the refunded debt at the time of the refunding was $22.2 million. The change in fair value of the Series 2006-1 Swap from the refunding date to June 30, 2011 is reported as a deferred outflow as the swap was determined to be effective at June 30, 2011.

Swap payments and associated debt  Using rates as of June 30, 2011, the debt service requirements of the variable-rate debt and net swap payments, assuming current interest rates remain the same for their term, were as follows. As rates vary, variable-rate bond interest payments and net swap payments will vary (in thousands).

<table>
<thead>
<tr>
<th>Fiscal Year Ending June 30</th>
<th>Principal</th>
<th>Interest</th>
<th>Interest Rate Swaps, Net Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>9,325</td>
<td>402</td>
<td>15,216</td>
</tr>
<tr>
<td>2013</td>
<td>9,680</td>
<td>395</td>
<td>14,971</td>
</tr>
<tr>
<td>2014</td>
<td>10,050</td>
<td>388</td>
<td>14,768</td>
</tr>
<tr>
<td>2015</td>
<td>10,430</td>
<td>381</td>
<td>14,251</td>
</tr>
<tr>
<td>2016</td>
<td>10,845</td>
<td>374</td>
<td>13,932</td>
</tr>
<tr>
<td>2017-2021</td>
<td>76,720</td>
<td>1,737</td>
<td>63,673</td>
</tr>
<tr>
<td>2022-2026</td>
<td>155,975</td>
<td>1,188</td>
<td>43,926</td>
</tr>
<tr>
<td>2027-2031</td>
<td>136,500</td>
<td>510</td>
<td>19,757</td>
</tr>
<tr>
<td>2032-2036</td>
<td>52,850</td>
<td>89</td>
<td>3,422</td>
</tr>
<tr>
<td>2037-2038</td>
<td>7,162</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$475,035</strong></td>
<td><strong>$5,455</strong></td>
<td><strong>$203,705</strong></td>
</tr>
</tbody>
</table>

The Building Authority maintains a Revolving Line of Credit (the Line) with BofA. The Line matures on the anniversary of the date of the agreement and can be extended or renewed at the option of the Bank. At the time of each draw on the Line the Building Authority must elect to have the interest on the draw calculated based on (a) a percentage of the one-month, two-month or three-month LIBOR rate (LIBOR Rate) plus a fixed rate or (b) the higher of 75% Federal Funds Rate plus 0.5% or 75% the Bank’s “prime rate” (Base Rate). Interest is due at the end of the one, two or three month period under a LIBOR Rate draw, the first business day of the calendar quarter for Base Rate draws or the Line's maturity date, whichever comes first. During the term of the Line the Building Authority can elect to have the interest charges incorporated into a subsequent draw. In November 2008 the Building Authority renewed the Line for an additional 12 months. At the time of the renewal the Line was increased to $35.0 million from $30.0 million the percentage of the various LIBOR rates was set at 77% with an additional rate of 0% and a fee was added equal to 0.08% of any unborrowed portion of the Line paid quarterly in arrears. In November 2008 the line was renewed again until January 2011 and decreased back to $30.0 million, the unborrowed fee was increased to 0.25% and the interest rate set at 65% of LIBOR plus 0.85%. In January of 2011 the Building Authority renewed the Line for an additional 12 months and reduced the maximum amount of the line to $20.0 million at that time. In
2011 and 2010 the Building Authority paid $0.06 million and $0.05 million, respectively, related to charges for the Line. As of June 30, 2010 and 2011 the Building Authority had $4.0 million and $0 outstanding under the Line, respectively. The interest terms on the draws made under the Line in fiscal 2011 were one-month LIBOR and the interest rates ranged from 1.015% to 1.076%. The interest terms on the draws made under the Line in fiscal 2010 were one-month LIBOR and the interest rates ranged from 0.187% to 1.078%.

MassDevelopment

Effective October 1, 2010, Massachusetts Health and Educational Facilities Authority ("MHEFA") was merged into the Massachusetts Development Finance Agency ("MassDevelopment"), a body politic and corporate and a public instrumentality of The Commonwealth of Massachusetts. As of such date, MHEFA has dissolved and all of its rights, powers and duties, and properties will be exercised and performed by MassDevelopment and any and all obligations and liabilities of MHEFA have become obligations and liabilities of MassDevelopment.

University of Massachusetts Series A, B, C, and D

The University through MassDevelopment has issued bonds in order to construct new student centers on the Boston and Lowell Campuses and to create a pool of funds to acquire telecommunications, electronic, computer, office, research, equipment and administrative systems and fund the related renovation costs and to refund previously issued bonds.

Variable Rate Debt In March 2000, the University issued $40.0 million of MHEFA Variable Rate Demand Revenue Bonds, University of Massachusetts Issue, Series A (the "Series A Bonds") to create a pool of funds from which the University could finance and refinance the acquisition of certain equipment and related renovation costs at the various University campuses on a revolving basis throughout the term of the Series A Bonds. On March 27, 2009 (the "Mandatory Purchase Date"), the Series A Bonds were subject to mandatory tender for purchase due to the expiration of the liquidity facility supporting the Series A Bonds and the conversion of the Series A Bonds from a weekly rate period to a long-term rate period. Only $20.0 million of the Series A Bonds was remarked on the Mandatory Purchase Date (the "Remarked Series A Bonds" and together with the Series A Bonds the "Bonds"). The initial long-term rate of 0.85% ended on March 31, 2010. The Remarked Series A Bonds were remarked again on April 1, 2010 and now bear interest at the long-term rate of 2.20%. The new long-term rate period will end on March 31, 2013 and the Remarked Series A Bonds will be subject to mandatory tender for purchase on April 1, 2013. The purchase price of the bonds will be paid from the remarketing of such bonds. However, if the remarketing proceeds are insufficient, the University will be obligated to purchase the bonds tendered, up to an aggregate principal amount of $20.0 million. The Remarked Series A Bonds will mature on November 1, 2030 and are subject to mandatory purchase prior to maturity as described above. Interest on the Remarked Series A Bonds in the new long-term rate period is payable on October 1 and April 1. The Remarked Series A Bonds are considered a reissuance for federal tax purposes. The Remarked Series A Bonds are not supported by any insurance policy, liquidity facility or other credit enhancement. The Remarked Series A Bonds are a general obligation of the University payable from all funds of the University permitted to be applied thereto. The University’s unrestricted net assets, previously referred to as the expendable fund balance, secure the obligations of the University with respect to the Remarked Series A Bonds. The University is required to certify annually that there are sufficient funds in the unrestricted net assets to cover the debt service on the Remarked Series A Bonds. Average interest rates on the Bonds during fiscal year 2011 and 2010 were approximately 2.20% and 1.19%, respectively. At June 30, 2011 and 2010, the outstanding principal balance on the Bonds is $20.0 million.

Debt covenants The University of Massachusetts Series A, B, C and D bonds include a covenant for the maintenance of a debt service fund as outlined in the related debt agreement. The University is required to make deposits in this debt service fund on or before the twenty-fifth day of each March and September.

Refundings In January 2007, the University issued $10.4 million of MHEFA Revenue Bonds, University of Massachusetts Issue Series D. The proceeds from this issuance were used to advance refund a portion of the Series B Bonds. At June 30, 2011 and 2010, the outstanding principal balance on the refunded Series B Bonds is $9.63 million and $9.63 million, respectively.

These advance refunded bonds are considered defeased and, accordingly, the liability for the bonds payable and the assets held to repay the debt have not been recorded in the University’s financial statements.

Worcester City Campus Corporation Series B, D, E and F

The Worcester City Campus Corporation (WCCC) through MassDevelopment has issued bonds to finance the construction or acquisition of the Lazzare Research Building, South Road parking garage, Ambulatory Care Center ("ACC"), UMassBiologics Laboratory Projects, Two Biotech Park, and to refund previously issued bonds.

The Worcester City Campus Corporation (WCCC) through MassDevelopment has issued bonds to finance the construction or acquisition of the Jamaica Plains Biolabs, Advanced Center for Clinical Education and Science ("ACCES"), Biologics Laboratory Phase II Project, Two Biotech Park, and to refund previously issued bonds.

Refundings In January 2007, WCCC issued $118.6 million of Series E bonds to provide for partial advanced refunding of the Series B Bonds. WCCC deposited $32.4 million of the proceeds to an irrevocable trust fund to provide for the future debt service payments of the refunded bonds. At June 30, 2011 and 2010, the outstanding principal balance on the refunded Series B Bonds is $30.8 million and $30.8 million, respectively.

In January 2007, WCCC issued $101.7 million of Series F bonds to advance refund the WCCC Series C Bonds. WCCC deposited $98.8 million of the proceeds to an irrevocable trust fund to provide for the future debt service payments of the refunded
bonds. At June 30, 2011 and 2010, the outstanding principal balance on the refunded Series C Bonds is $59.2 million and $60.7 million, respectively.

In April 2005, WCCC issued $99.3 million of MHEFA Revenue Bonds (the "WCCC D Bonds"). WCCC has deposited the proceeds to an irrevocable trust fund to provide for payment of the MHEFA Revenue Bonds, WCCC issue (University of Massachusetts Project) Series A (the "WCCC A Bonds" or the "refunded bonds"). At June 30, 2011 and 2010, the outstanding principal balance on the refunded WCCC Series A bonds is $82.3 million and $84.7 million, respectively.

These advanced refunded bonds are considered defeased and, accordingly, the liability for the bonds payable and the assets held to repay the debt have not been recorded in the University’s financial statements.

Pledged Revenues  WCCC is obligated under the terms of indebtedness to make debt service payments from revenues received from certain facility leases. Total applicable pledged revenues were $6.6 million for fiscal years 2011 and 2010, respectively.

Clean Renewable Energy Bonds

During 2011, the University entered into an Energy Services agreement for Solar Panel construction with the Commonwealth’s Division of Capital Asset Management and Century Bank and Trust Company. The financing arrangement includes $1.6 million in Clean Renewable Energy Bonds. At June 30, 2011, the outstanding obligation on these bonds is $1.5 million.

9. LEASES

The University leases certain equipment and facilities under operating leases with terms exceeding one year, which are cancelable at the University’s option with 30 days notice. The rent expense related to these operating leases amounted to approximately $16.8 million and $15.8 million for the years ended June 30, 2011 and 2010, respectively. The University also leases space to third party tenants. During 2011 and 2010, the amount reported as rental income was $12.6 million and $6.9 million, respectively. The master leases primarily consist of telecommunications, software, and co-generation systems.

The following presents a schedule of future minimum payments under capital and non-cancelable operating leases and a schedule of principal and interest payments on capital lease obligations for the next five years and in subsequent five-year periods for the University as of June 30, 2011 (in thousands):

<table>
<thead>
<tr>
<th>University Capital Leases</th>
<th>Operating Leases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master Leases</td>
<td>Other Leases</td>
</tr>
<tr>
<td>Year</td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td>$5,748</td>
</tr>
<tr>
<td>2013</td>
<td>5,748</td>
</tr>
<tr>
<td>2014</td>
<td>4,371</td>
</tr>
<tr>
<td>2015</td>
<td>2,186</td>
</tr>
<tr>
<td>2016 and thereafter</td>
<td>-</td>
</tr>
<tr>
<td>Total Payments</td>
<td>18,053</td>
</tr>
<tr>
<td>Less: Amount representing interest</td>
<td>(1,137)</td>
</tr>
<tr>
<td>Present Value of Minimum Lease Payme</td>
<td>$16,916</td>
</tr>
</tbody>
</table>

10. CAPITAL LEASES AND OTHER LONG-TERM LIABILITIES

During the year ended June 30, 2011 the following changes occurred in long-term liabilities as recorded in the statements of net assets (in thousands):

<table>
<thead>
<tr>
<th>Beginning Balance</th>
<th>Additions/Adjustments*</th>
<th>Reductions/Adjustments*</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>University: Capital lease obligations</td>
<td>$17,177</td>
<td>$412</td>
<td>($5,473)</td>
</tr>
<tr>
<td>Compensation expenses</td>
<td>25,843</td>
<td>698</td>
<td>-</td>
</tr>
<tr>
<td>Workers’ compensation</td>
<td>10,688</td>
<td>-</td>
<td>(867)</td>
</tr>
<tr>
<td>Deferred revenues and credits</td>
<td>23,567</td>
<td>9,474</td>
<td>(12,961)</td>
</tr>
<tr>
<td>Advances and deposits</td>
<td>26,507</td>
<td>603</td>
<td>(422)</td>
</tr>
<tr>
<td>Other Liabilities</td>
<td>1,107</td>
<td>6,564</td>
<td>(821)</td>
</tr>
<tr>
<td>University Related Organization: Other Liabilities</td>
<td>$3,046</td>
<td>$367</td>
<td>-</td>
</tr>
</tbody>
</table>

* Adjustments include changes in estimates
During the year ended June 30, 2010 the following changes occurred in long-term liabilities as recorded in the statement of net assets (in thousands):

<table>
<thead>
<tr>
<th></th>
<th>Beginning Balance</th>
<th>Additions/ Adjustments*</th>
<th>Reductions/ Adjustments*</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>University:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital lease obligations</td>
<td>22,870</td>
<td>297</td>
<td>(5,990)</td>
<td>17,177</td>
</tr>
<tr>
<td>Compensated absences</td>
<td>23,593</td>
<td>2,250</td>
<td>-</td>
<td>25,843</td>
</tr>
<tr>
<td>Workers' compensation</td>
<td>10,416</td>
<td>272</td>
<td>-</td>
<td>10,688</td>
</tr>
<tr>
<td>Deferred revenues and credits</td>
<td>23,668</td>
<td>12,604</td>
<td>(12,705)</td>
<td>23,567</td>
</tr>
<tr>
<td>Advances and deposits</td>
<td>26,782</td>
<td>124</td>
<td>(99)</td>
<td>26,507</td>
</tr>
<tr>
<td>Other Liabilities</td>
<td>3,301</td>
<td>-</td>
<td>(2,194)</td>
<td>1,107</td>
</tr>
<tr>
<td><strong>University Related Organization:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Liabilities</td>
<td>3,025</td>
<td>21</td>
<td>-</td>
<td>3,046</td>
</tr>
</tbody>
</table>

* Adjustments include changes in estimates

11. FRINGE BENEFITS
Expenditures for the years ended June 30, 2011 and 2010 include $262.3 million and $215.1 million, respectively, for the employer portion of fringe benefit costs (pension expense, health insurance for active employees and retirees, and unemployment) that was paid directly by the Commonwealth of Massachusetts. Of this amount, $110.9 million for 2011 and $92.0 million for 2010 was reimbursed to the Commonwealth and $151.5 million and $123.1 million respectively is included in revenue as state appropriations.

12. MEDICAL SCHOOL LEARNING CONTRACTS
The University’s Medical School enters into learning contracts with certain medical students. These contracts give students the option of deferring a portion of their tuition until after residency training, and canceling all or a portion of their tuition if they practice medicine in the Commonwealth for one year, or for students matriculating after 1990, two or four (depending on conditions) full years in primary care. The University does not record as revenue the portion of tuition deferred under these learning contracts until actual cash repayments are received. The cumulative amount granted under such learning contracts plus accrued interest totaled $61.4 million and $59.2 million at June 30, 2011 and 2010, respectively. Cumulative repayments totaled approximately $43.5 million and $40.6 million as of June 30, 2011 and 2010, respectively.

13. RETIREMENT PLANS
The Commonwealth of Massachusetts is statutorily responsible for the pension benefit of University employees who participate in the State Employees’ Retirement System (“SERS”). SERS, a single employer defined benefit public employee retirement system, is administered by the Massachusetts State Retirement Board and covers substantially all non-student employees. Massachusetts General Laws establish the benefit and contribution requirements. These requirements provide for a superannuation retirement allowance benefits up to a maximum of 80% of a member’s highest three-year average rate of regular compensation. Benefit payments are based upon a member’s age, length of creditable service, and group creditable service and group classification. The authority for amending these provisions rests with the Legislature. Members become vested after 10 years of creditable service. A superannuation retirement allowance may be received upon the completion of twenty years of service or upon reaching the age of 65 with 10 years of service. Normal retirement for most employees occurs at age 65; for certain hazardous duty and public safety positions, normal retirement is at age 55. Members contribute 5%, 7%, 8%, and 9% of regular compensation for hire dates prior to 1975, 1993, June 30, 1996 and after July 1, 1996, respectively. Employees hired after 1979 also contribute an additional 2% of regular compensation in excess of $30,000.

The University makes contributions on behalf of the employees through a fringe benefit charge assessed by the Commonwealth. Such pension expense amounted to approximately $34.0 million and $38.9 million for the years ended June 30, 2011 and 2010, respectively. Annual covered payroll approximated 74.7% and 75.4% for the years ended June 30, 2011 and 2010, respectively of annual total payroll for the University. SERS does not issue separate financial statements however, SERS financial information is contained in the Commonwealth Comprehensive Annual Financial Report and can be obtained by contacting the State Comptroller, One Ashburton Place, 9th Floor, Boston, MA 02108.

Non-vested faculty and certain other employees of the University can opt out of SERS and participate in a defined contribution plan, the Massachusetts Optional Retirement Plan (“ORP”) administered by the Commonwealth’s Department of Higher Education. At June 30, 2011 and 2010, there were approximately 3,574 and 1,787 University employees, respectively participating in ORP. Employees contribute at the same rate as members in SERS do and the Commonwealth matches 5% of employee contributions. The Commonwealth contributed $7.0 million and $6.6 million in 2011 and 2010, respectively. University employees contributed $16.4 million and $14.9 million in 2011 and 2010, respectively.

14. CONCENTRATION OF CREDIT RISK
The financial instrument that potentially subjects the University to concentrations of credit risk is the receivable from UMass Memorial which is uncollateralized. The receivable from UMass Memorial represents 3.9% and 5.3% of total accounts receivable for the University at June 30, 2011 and 2010, respectively. The University also had uncollateralized receivables from two other organizations comprising approximately 6.8% and 6.9% of the total outstanding receivables at June 30, 2011. The University also had receivables from two organizations comprising approximately 7.5% and 7.1% of the total outstanding receivables at June 30, 2010.
15. COMMITMENTS AND CONTINGENCIES

The Building Authority, University, and WCCC have outstanding purchase commitments under construction contracts and real estate agreements in amounts aggregating approximately $483.3 million and $336.4 million at June 30, 2011 and 2010, respectively. In connection with the investments in certain limited partnership agreements, the Foundation has an additional $10.2 million and $8.9 million in committed calls as of June 30, 2011 and 2010, respectively, which are scheduled to be funded over a number of years. The University has entered an Energy Performance Contract that is being managed by the Commonwealth’s Division of Capital Asset Management (DCAM) under its Clean Energy Investment Program. This project includes 32 energy conservation measures. The installation costs will be incurred over 2 phases with Phase 1 being approximately $18.0 million and Phase 2 being approximately $13.5 million. The term of these transactions is 20 years. The University has an obligation to the Commonwealth for Clean Energy Investment Program Funds used through June 30, 2011 in the amount of $6.0 million.

The University, as an agency of the Commonwealth, is self-insured for property loss exposure, subject to appropriation from the state legislature. However, properties owned by the University of Massachusetts Building Authority located on a campus of the University, such as the Mullins Center, dining commons, and most dormitories, are insured by the Building Authority. In addition, certain properties owned by other University Related Organizations and leased to the University are insured by the related organization. The University and its employees are protected against tort claims through sovereign immunity under Chapter 258 of the Massachusetts General Laws. The University maintains certain liability insurance policies, including Commercial General Liability, leased Automotive Liability, Directors and Officers and Comprehensive Crime policies. Employees of the University are covered for Worker’s Compensation protection under Chapter 152 of the Massachusetts General Laws. The University has recorded a liability for future expected costs of its workers’ compensation claims of approximately $13.5 million as of June 30, 2011 and $13.9 million as of June 30, 2010. Estimated future payments related to such costs have been discounted at a rate of 6%.

The University is a defendant in various lawsuits and is subject to various contractual matters; however, University management is of the opinion that the ultimate outcome of all litigation or potential contractual obligations will not have a material effect on the financial position, financial results or cash flows of the University.

From time to time the University and/or its affiliated organizations are subject to audits of programs that are funded through either federal and/or state agencies. The University is aware that the Office of the Inspector General for the U.S. Department of Health and Human Services performed an audit of Medicaid Supplemental Revenues ("MSR") received by UMass Memorial Medical Center (UMMMC), the final report for which was issued December 2009.

Portions of this report continue to be contested and the final outcome of this audit is currently unknown. Dependent on the final outcome, UMMMC may be required to repay any MSR received deemed to be disallowed as a result of the audit. Dependent on that outcome, the University, consistent with the Agreement for Medical Educational Services, made part of the Definitive Agreement between the University and UMMMC, and its subsequent amendments and the indemnification provisions in these Agreements, may be required to indemnify UMMMC. Although the final outcome of this audit is currently unknown, and management believes that as of the date of the financial statements it is not probable that a liability exists, management concludes it is reasonably possible that amounts could be repaid and that those amounts may be material to the Statement of Revenues, Expense and Changes in Net Assets and the Statement of Cash Flow in a future period.

16. SUBSEQUENT EVENT

The Building Authority plans to issue additional bonds to pay for the fit out of the upper two floors of the Albert Sherman Center. They plan to use a competitive "private placement". The maximum principal amount is $21.0 million which will cover project and issuance costs.

On November 15, 2011, the University refunded the remaining balance of its Series C bonds through the issuance of $30.0 million of Massachusetts Development Finance Agency Revenue Refunding Bonds, University of Massachusetts Issue, Series 2011, which are due serially through 2034 with fixed rates ranging from 2.5% to 4.0%. The University has deposited $30.6 million of the proceeds to an irrevocable trust fund to provide for payment of the University Series C Bonds. As a result of the defeasance, the University will reduce its aggregate debt service payments by approximately $4.8 million and achieve an economic gain (the difference between the present value of the old and new debt service payments) of $3.4 million.

On November 15, 2011, WCCC refunded the remaining balance of its Series B bonds through the issuance of $10.5 million Massachusetts Development Finance Agency Revenue Refunding Bonds, Worcester City Campus Corporation Issue (University of Massachusetts Project), Series 2011, which are due serially through 2023, with fixed rates ranging from 2.0% to 5.0%. As a result of the refunding, WCCC will reduce its aggregate debt service payments by approximately $2.0 million and achieve an economic gain (the difference between the present value of the old and new debt service payments) of $1.7 million. The Series B bonds are scheduled to be redeemed on December 15, 2011. The new bonds represent a transfer obligation of the University whereby, subject to the terms of the financing agreement, the University will be notified of WCCC’s failure to make any payments required by the trust agreement and the University will promptly transfer any amounts unpaid and due by WCCC under such agreement.
<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal Agency or Pass-Through Entity</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program or Cluster Title</td>
<td>Award Number</td>
<td></td>
</tr>
<tr>
<td><strong>Research and Development Cluster</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Department Of Agriculture</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Direct Programs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agricultural Research-Basic and Applied Research</td>
<td>10.001</td>
<td>$ 47,886</td>
</tr>
<tr>
<td>Plant and Animal Disease, Pest Control, and Animal Care</td>
<td>10.025</td>
<td>431,739</td>
</tr>
<tr>
<td>Farmers' Market Promotion Program</td>
<td>10.168</td>
<td>2,474</td>
</tr>
<tr>
<td>Grants for Agricultural Research, Special Research Grants</td>
<td>10.200</td>
<td>793,675</td>
</tr>
<tr>
<td>Payments to Agricultural Experiment Stations Under the Hatch Act</td>
<td>10.203</td>
<td>2,677,494</td>
</tr>
<tr>
<td>Grants for Agricultural Research-Competitive Research Grants</td>
<td>10.206</td>
<td>980,421</td>
</tr>
<tr>
<td>Food and Agricultural Sciences National Needs Graduate Fellowship Grants</td>
<td>10.210</td>
<td>66,903</td>
</tr>
<tr>
<td>Higher Education Multicultural Scholars Program</td>
<td>10.220</td>
<td>19,109</td>
</tr>
<tr>
<td>Agricultural and Rural Economic Research</td>
<td>10.250</td>
<td>46,293</td>
</tr>
<tr>
<td>Specialty Crop Research Initiative</td>
<td>10.309</td>
<td>3,913</td>
</tr>
<tr>
<td>Agriculture &amp; Food Research Initiative (AFRI)</td>
<td>10.310</td>
<td>899,982</td>
</tr>
<tr>
<td>Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers</td>
<td>10.443</td>
<td>131,987</td>
</tr>
<tr>
<td>Community Outreach and Assistance Partnership Program</td>
<td>10.455</td>
<td>68,004</td>
</tr>
<tr>
<td>Food Safety Cooperative Agreements</td>
<td>10.479</td>
<td>414,490</td>
</tr>
<tr>
<td>Forestry Research</td>
<td>10.652</td>
<td>518,167</td>
</tr>
<tr>
<td>Cooperative Forestry Assistance</td>
<td>10.664</td>
<td>429,345</td>
</tr>
<tr>
<td>Forest Stewardship Program</td>
<td>10.678</td>
<td>5,910</td>
</tr>
<tr>
<td>Forest Health Protection</td>
<td>10.680</td>
<td>122,915</td>
</tr>
<tr>
<td>Soil and Water Conservation</td>
<td>10.902</td>
<td>742</td>
</tr>
<tr>
<td>Soil Survey</td>
<td>10.903</td>
<td>8,193</td>
</tr>
<tr>
<td>Engineering Controls for Nanomaterial Handling</td>
<td>10. P.O. #254-2010-M-36639</td>
<td>26,740</td>
</tr>
<tr>
<td>USDA RESEARCH SERVICE 58-1230-8-443</td>
<td>10. RESEARCH SERVICE 58-1230-8-443</td>
<td>6,987</td>
</tr>
<tr>
<td><strong>Subtotal Direct Programs</strong></td>
<td></td>
<td>7,703,369</td>
</tr>
</tbody>
</table>

**Pass-Through Programs**

**AGILTRON, INC.**
Design and Characterization of Imaging Optics for a Terahertz Photomechanical Imager / Uncooled Photomechanical Terahertz Imagers
10. P.O. 728495 | 27,688

**BALL AEROSPACE & TECHNOLOGIES CORP.**
TO28 Subtask SOW: Visualization Theory Development
10. S10190C | 27,627

**CONNECTICUT AGRICULTURAL EXPERIMENT STATION**
Integrated Programs
10.303 CT AES & 2008-02965 | 10,283
Agriculture & Food Research Initiative (AFRI)
10.310 CAES-AC-2011-04 | 3,147

**CORNELL UNIVERSITY**
Grants for Agricultural Research, Special Research Grants
10.200 59257-9128 PRIME USDA NIFA | 8,675
Grants for Agricultural Research-Competitive Research Grants
10.206 55650-8867 PRIME USDA CSREES | 7,250
Sustainable Agriculture Research and Education
10.215 52676-8471 PRIME UVM FROM USDA | 12,513
Sustainable Agriculture Research and Education
10.215 60772-9332 PRIME NE SARE | 20,264
CORNELL 54039-8577 PRIME USDA
10. 54039-8577 PRIME USDA | 29,317

**DAIRY MANAGEMENT INC**
DAIRY MANAGEMENT PRIME USDA
10. DAIRY MANAGEMENT PRIME USDA | 3,042

**EXCELSIOR COLLEGE**
EXCELSIOR COLLEGE 2006-51160-03965 PRIME USDA
10. 2006-51160-03965 PRIME USDA | 22,475
### University of Massachusetts
#### Schedule of Federal Expenditures
#### Year Ended June 30, 2011

**Federal Grantor/Pass-Through Grantor**

<table>
<thead>
<tr>
<th>Program or Cluster Title</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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## University of Massachusetts
### Schedule of Federal Expenditures
#### Year Ended June 30, 2011

### Federal Grantor/Pass-Through Grantor
#### Program or Cluster Title

**Research and Development Cluster**

**Department Of Agriculture**

#### Pass-Through Programs

**UES INC**
- Measurement of Microwave-Frequency Responsive Fullerene Dielectric Metamaterials
  
  **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **PO# S-875-060-015**
  - 3,919

**UNIVERSITY OF CONNECTICUT**
- Grants for Agricultural Research, Special Research Grants
  - **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **PSA # 6887 PRIME NIFA**
  - 3,244
  - 10.200

**UNIVERSITY OF GEORGIA**
- Agriculture & Food Research Initiative (AFRI)
  
  **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **GEORGIA RC293-365/4692018 PRIME CSREES**
  - 53,593
  - 10.310

**UNIVERSITY OF MAINE**
- Sustainable Agriculture Research and Education
- Integrated Programs
  
  **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **UM-S749 PRIME NE SARE**
  - 30,347
  - 10.215

**UNIVERSITY OF MINNESOTA**
- Specialty Crop Research Initiative
  
  **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **MINNESOTA H001545602 PRIME NIFA**
  - 1,565
  - 10.309

**UNIVERSITY OF RHODE ISLAND**
- Sustainable Agriculture Research and Education
- Integrated Programs
  
  **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **082310/0002574 PRIME NE SARE**
  - 574
  - 10.215

**UNIVERSITY OF VERMONT**
- Sustainable Agriculture Research and Education
  
  **Federal Agency or Pass-Through Entity**
  - **Award Number**
  - **Expenditures**
  - **CFDA #**
  - **VERMONT LNEO7-257 PRIME USDA**
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  - 10.215

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**Total Department Of Agriculture**

| 8,952,830 | }

### Department Of Commerce

#### Direct Programs

**Economic Development-Support for Planning Organizations**
- **CFDA #**
- **11.302**
- **Expenditures**
- **12,167**

**Economic Development-Technical Assistance**
- **CFDA #**
- **11.303**
- **Expenditures**
- **164,583**

**Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program**
- **CFDA #**
- **11.427**
- **Expenditures**
- **296,675**

**Climate and Atmospheric Research**
- **CFDA #**
- **11.431**
- **Expenditures**
- **352,711**

**Unallied Management Projects**
- **CFDA #**
- **11.454**
- **Expenditures**
- **190,349**

**Cooperative Science and Education Program**
- **CFDA #**
- **11.455**
- **Expenditures**
- **20,634**

**Special Oceanic and Atmospheric Projects**
- **CFDA #**
- **11.460**
- **Expenditures**
- **229,759**

**Unallied Science Program**
- **CFDA #**
- **11.472**
- **Expenditures**
- **3,461,474**

**Center for Sponsored Coastal Ocean Research-Coastal Ocean Program**
- **CFDA #**
- **11.478**
- **Expenditures**
- **10,391**

**ARRA - Broadband Technology Opportunities Program**
- **CFDA #**
- **11.557**
- **Expenditures**
- **285,995**

**Measurement and Engineering Research and Standards**
- **CFDA #**
- **11.609**
- **Expenditures**
- **69,253**

**Energy Content of Tissue Samples from Marine Fishes**
- **CFDA #**
- **11. NFFM7230-10-13128**
- **Expenditures**
- **9,424**

**Histology & Otolith-Base Study of Black Sea Bass**
- **CFDA #**
- **11. NFFM7230-10-18306**
- **Expenditures**
- **26,056**
# Schedule of Federal Expenditures
## Year Ended June 30, 2011

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor Program or Cluster Title</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<td><strong>Research and Development Cluster</strong></td>
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# University of Massachusetts
## Schedule of Federal Expenditures
### Year Ended June 30, 2011

<table>
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<tr>
<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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### Department Of Defense
#### Direct Programs

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<th>Expenditures</th>
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<td>Ashumet Pond '09&amp;10</td>
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<td>Bioavailability Study of Nanoemulsion Formulations Containing Quercetin, Tyrosine</td>
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<td>Climate Change Education: Science, Solutions, and Education in an Age of Media</td>
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<td>Clinical Trial Studies on Quercetin in Healthy Human Subjects</td>
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<td>Design of novel flame retardant materials that operate through synergistic mechanisms</td>
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<td>Equator and High-Latitude Ionosphere-to-Magnetosphere Research</td>
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<td>NRL N00173-10-P-1551</td>
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<td>OP-GaP Templates by Wafer Fusion Method</td>
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<td>Reaction of Thiols with Metal Oxide Surfaces: Absorption, Encapsulation and Supramolecular Assembly</td>
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<td>RES- Measuring the Temporal Velocity Profile of a Projectile During Impact with Body Armor</td>
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<td>RES- Submillimeter-Wave Radar Signature Support</td>
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<td>Synthesis and characterization of polymeric borosiloxanes and cellulose-siloxane</td>
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<td>Smart photodetector and focal plane array with voltage-tunable multispectral polarimetric imaging and on-chip signal processing and control capabilities</td>
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<td>DARE MIGHTY THINGS, INC. 12Understanding the YIM Component of the National Guard Youth Challenge Program</td>
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<td>EIC LABS INC. A facile method for the large-scale production of metal-coated graphite microfibres</td>
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University of Massachusetts  
Schedule of Federal Expenditures  
Year Ended June 30, 2011

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<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<td><strong>Total Department Of Justice</strong></td>
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<td>Department Of Labor</td>
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<tr>
<td>Pass-Through Programs</td>
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<tr>
<td>RUTGERS UNIVERSITY</td>
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<tr>
<td>Disability Employment Policy Development</td>
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<td>135,044</td>
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</table>
### University of Massachusetts
**Schedule of Federal Expenditures**
Year Ended June 30, 2011

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal Agency or Pass-Through Entity</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Program or Cluster Title</strong></td>
<td><strong>CFDA #</strong></td>
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<tr>
<td><strong>Research and Development Cluster</strong></td>
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<td>Department Of Labor</td>
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<td><strong>Pass-Through Programs</strong></td>
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<td></td>
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<tr>
<td>RUTGERS UNIVERSITY</td>
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<td>Total Department Of Labor</td>
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<td>Department Of State</td>
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<td><strong>Pass-Through Programs</strong></td>
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<td><strong>Subtotal Pass-Through Programs</strong></td>
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<tr>
<td>Total Department Of State</td>
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<tr>
<td>Department Of Transportation</td>
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<tr>
<td><strong>Direct Programs</strong></td>
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<tr>
<td>Aviation Research Grants</td>
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<td>University Transportation Centers Program</td>
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<td><strong>Pass-Through Programs</strong></td>
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<td>20.761 CORNELL/52110-9259 PRIME DOT</td>
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<td>DUNLAP AND ASSOCIATES, INC.</td>
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<td>FAIRBANKS NORTH START BOROUGH PRIME USDOT</td>
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<td>FEDERAL AVIATION ADMINISTRATION FAA</td>
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<tr>
<td>Aviation Research Grants</td>
<td>20.234 ISAR10644000098UMA001</td>
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<td>Safety Data Improvement Program</td>
<td>20.234 MA RMV ISAR1064400098UMA001</td>
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<td>MA REGISTRY OF MOTOR VEHICLES</td>
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<td>State Planning and Research</td>
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<td>University Transportation Centers Program</td>
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<td>Evaluation of Modified Performance Grade Binders in Thin Lift Maintenance Mix</td>
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<tr>
<td>Maintenance Mixes and Reflective Crack Relief Layer Mix</td>
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### Federal Grantor/Pass-Through Grantor
**Program or Cluster Title**
- Research and Development Cluster
- **Department Of Transportation**

#### Pass-Through Programs

<table>
<thead>
<tr>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<tr>
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<td><strong>Subtotal Pass-Through Programs</strong></td>
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<td><strong>1,009,695</strong></td>
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</table>

### Total Department Of Transportation

|                      |                                                    | **1,771,732** |

### Library Of Congress

#### Direct Programs

|                      |                                                    | **552**      |

| Subtotal Direct Programs |                                                    | **552**      |

### Total Library Of Congress

|                      |                                                    | **552**      |

### National Aeronautics And Space Administration

#### Direct Programs

|                      |                                                    | **2,259,707** |

| Science               |                                                    | 2,132,208     |
| Aeronautics           |                                                    | 77,313        |
| Science, Recovery Act |                                                    | 50,186        |
| **Subtotal Direct Programs** |                                                    | **2,259,707** |

### Pass-Through Programs

- **BOSTON UNIVERSITY**
  - Interpreting the Ocean's Interior from Surface Data
  - The Cluster RAPID Investigation
  - 43. GC207978NGA
  - SubAward No. GC 203963 NGA
  - 43. 39,174
  - 38,350

- **CALIFORNIA INSTITUTE OF TECHNOLOGY**
  - Science
  - Science
  - Science
  - Science
  - A Complete Census of Start-Formation/AGN Activity in a z=0 14 Protocluster
  - A Deep PACS Survey of AKARI-Deep Field South: Revealing the Connection Between AG
  - CIT/JPL; RSA No. 1366741
  - CIT/JPL: 1316183
  - 43. CIT/JPL; RSA No. 1439075
  - 43. OGCA 109-1437
  - 43. 108-0446
  - 1,305
  - 20,699
  - 33,464

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**University of Massachusetts**  
**Schedule of Federal Expenditures**  
**Year Ended June 30, 2011**

### Federal Grantor/Pass-Through Grantor

**Program or Cluster Title**  
*Research and Development Cluster*  
*National Aeronautics And Space Administration*

#### Pass-Through Programs

**CALIFORNIA INSTITUTE OF TECHNOLOGY**  
- Dual-polarized C- and Ku-band measurements of Ocean Surface NRCS  
- Goods-H  
- Herschel M33 Extended Survey (HerMes)  
- Herschel Oxygen Project  
- Key Insights on Nearby Galaxies  
- Lonely Cores: Star Formation in Isolation  
- Packaging & Testing of Custom Cryogenic SiGe Amplifier and Readout Circuits  
- Starburst or AGN dominance in submm-luminous candidate AGN

**EIC LABS INC.**  
- Characterization of Lithium Battery Materials

**ELECTROCHEM INC**  
- Science

**ENERGY RESEARCH CONSULTANTS**  
- Modeling Multi Component Bubble Growth

**GEORGE MASON UNIVERSITY**  
- Science

**MASSACHUSETTS INSTITUTE OF TECHNOLOGY**  
- Science

**NANOTRONS CORPORATION**  
- Non-Catastrophic Nanocomposite Based Self-Healing Material for Multifunctional Composite  
- RES - Functionalized Graphene Sheets-Polymer Based Nanocomposite for Cryotanks

**NATIONAL SPACE BIOMEDICAL RESEARCH INST**  
- Science  
- Aeronautics

**NORTH CAROLINA STATE UNIVERSITY**  
- Geospatial synthesis of chromophoric dissolved organic matter distribution in the Gulf of Mexico for water clarity decision making

**OHIO STATE RESEARCH FOUNDATION**  
- Science

**OHIO STATE UNIVERSITY**  
- Aeronautics

**OMEGA OPTICS INC.**  
- A Fully Printed Flexible 4 BIT 2D (4X4) 16-Element Phased Array Antenna For Lunar

**REMOTE SENSING SOLUTIONS INC**  
- Dual-Frequency Dual-Polarized Antenna

**SMITHSONIAN ASTROPHYSICAL OBSERVATORY**  
- Science

<table>
<thead>
<tr>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>43.</td>
<td>CIT (JPL): 1424244</td>
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<td>CIT (JPL): 1369557</td>
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<td>CIT (JPL): 1369563</td>
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<td>CIT (JPL): 1369560 Mod#1</td>
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<td>CIT (JPL): 1373981</td>
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<td>Remote Sensing Solutions Inc.</td>
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<td>SMITHSONIAN: SP1-12003X</td>
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</table>
Federal Grantor/Pass-Through Grantor
Program or Cluster Title

Research and Development Cluster
National Aeronautics And Space Administration

Pass-Through Programs

<table>
<thead>
<tr>
<th>Federal Agency or Pass-Through Entity</th>
<th>Expenditures</th>
</tr>
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<tbody>
<tr>
<td>Smithsonian Astrophysical Observatory</td>
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<tr>
<td>X-Ray Binaries in a Nearby Starburst Galaxy: A New Lab For Astrophysics</td>
<td>13,290</td>
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<tr>
<td>Smithsonian Institution</td>
<td>17,024</td>
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<tr>
<td>Mapping and Mining Climate Discourse Online</td>
<td>17,024</td>
</tr>
<tr>
<td>Space Telescope Science Institute</td>
<td>95,711</td>
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<tr>
<td>Aeronautics</td>
<td>95,711</td>
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<tr>
<td>Aeronautics</td>
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<td>Aeronautics</td>
<td>95,711</td>
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<tr>
<td>Tufts University</td>
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<td>Science</td>
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<tr>
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<td>University of Maine</td>
<td>13,425</td>
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<tr>
<td>Predicting Right Whale Distributions from Space</td>
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<tr>
<td>Woods Hole Oceanographic Institution</td>
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<tr>
<td>Interpreting the Ocean's Interior from Surface Data</td>
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<tr>
<td>Subtotal Pass-Through Programs</td>
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<tr>
<td>Total National Aeronautics And Space Administration</td>
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National Endowment For The Arts

Direct Programs

<table>
<thead>
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<th>Expenditures</th>
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</thead>
<tbody>
<tr>
<td>Promotion of the Arts-Grants to Organizations and Individuals</td>
</tr>
<tr>
<td>Promotion of the Humanities-Division of Preservation and Access</td>
</tr>
<tr>
<td>Promotion of the Humanities-Professional Development</td>
</tr>
<tr>
<td>Promotion of the Humanities-Office of Digital Humanities</td>
</tr>
<tr>
<td>National Leadership Grants</td>
</tr>
<tr>
<td>Subtotal Direct Programs</td>
</tr>
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</table>

Pass-Through Programs

New England Foundation For The Arts

<table>
<thead>
<tr>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promotion of the Arts-Partnership Agreements</td>
</tr>
<tr>
<td>Promotion of the Arts-Partnership Agreements</td>
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<tr>
<td>Promotion of the Arts-Partnership Agreements</td>
</tr>
<tr>
<td>Promotion of the Arts-Partnership Agreements</td>
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</table>
### Federal Grantor/Pass-Through Grantor

#### Research and Development Cluster
**National Endowment For The Arts**

**Pass-Through Programs**

- **NEW ENGLAND FOUNDATION FOR THE ARTS**
  - Promotion of the Arts-Partnership Agreements
  - Subtotal Pass-Through Programs

<table>
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<th>Federal Agency or Pass-Through Entity Award Number</th>
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<td>30,570</td>
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**Total National Endowment For The Arts**

<table>
<thead>
<tr>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>289,753</td>
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</tbody>
</table>

#### National Science Foundation

**Direct Programs**

- Engineering Grants 47.041 13,512,887
- Mathematical and Physical Sciences 47.049 7,568,102
- Geosciences 47.050 2,709,636
- Computer and Information Science and Engineering 47.070 9,576,851
- Biological Sciences 47.074 3,709,823
- Social, Behavioral, and Economic Sciences 47.075 1,860,270
- Education and Human Resources 47.076 10,292,537
- Polar Programs 47.078 462,905
- International Science and Engineering (OISE) 47.079 83,501
- Office of CyberInfrastructure 47.080 126,253
- ARRA - Trans-NSF Recovery Act Research Support 47.082 5,630,741
- Decisions Models for Foreclosed Housing Acquisition and Redevelopment 47 SES-1024968 21,356
- IIPA Appointment as Program Director for NSF Fluid Dynamics Program 47 OGCA# 110-0159 258,284
- Intergovernmental Personnel Appointment (IPA) Earth Sciences 47 OGCA# 108-1637 35,353
- NATIONAL MEDIATION BOARD: NMB Online Dispute Resolution Support 47 PO 10W0089A OGCA 110-0655 11,001
- NSF Intergovernmental Personnel Agreement - Prof. Edwina Rissland 47 OGCA# 110-1899 225,382

**Subtotal Direct Programs**

<table>
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<th>Expenditures</th>
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<td>56,084,882</td>
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</table>

#### Pass-Through Programs

- **APPLIED NANOFEMTO TECHNOLOGIES LLC**
  - Developing Coupled Quantum Dot Multi-Functional Materials for Optoelectronics Integrated Circuits (OEIC)

<table>
<thead>
<tr>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>11,660</td>
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</tbody>
</table>

- **BOSTON UNIVERSITY**
  - Engineering Grants 47.041 OGCA# 107-1541 162,171
  - Education and Human Resources 47.076 Subaward No. GC207626NGA 3,679
  - Education and Human Resources 47.076 Subaward No. GC208441NGA 8,735

- **BREWER SCIENCE INC**
  - Engineering Grants 47.041 STTR Dated 12/23/2009 132,276

- **BRISTOL COMMUNITY COLLEGE**
  - Computer and Information Science and Engineering 47.070 NSF-01 17,288
  - Computer and Information Science and Engineering 47.070 NSF-UMD-1101 90

- **COLUMBIA UNIVERSITY**
  - Mathematical and Physical Sciences 47.049 18 (Acct.# 5-24324) 180,940
  - ARRA - Trans-NSF Recovery Act Research Support 47.082 ARRA 1(5-24795) PRIME NSF 42,100

- **COMPUTING RESEARCH ASSOCIATION**
  - Computer and Information Science and Engineering 47.070 OGCA# 111-0535 92,324
## Federal Grantor/Pass-Through Grantor

### Program or Cluster Title
Research and Development Cluster

#### National Science Foundation

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<tr>
<td><strong>Pass-Through Programs</strong></td>
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<td>OGCA# 110-0162</td>
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<td><strong>Targeted Watersheds Grants</strong></td>
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<td><strong>ARRA PVPC 09-13</strong></td>
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<td><strong>4587</strong></td>
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<td><strong>Subtotal Environmental Protection Agency</strong></td>
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<td>Federal Grantor/Pass-Through Grantor Program or Cluster Title</td>
<td>Federal Agency or Pass-Through Entity</td>
<td>Expenditures</td>
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<td>U. S. Nuclear Regulatory Commission Nuclear Education Grant Program</td>
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**Total Nuclear Regulatory Commission**

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**Pass-Through Programs**

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<td>ARRA - Beta-Decay Studies of Neutron-Rich Fission Products for Advanced Fuel Cycle Applications</td>
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<td>ARRAS Subcontract No. 0F-33621</td>
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| Battelle Energy Alliance, LLC (BEA) Nuclear Energy Research, Development and Demonstration | 81.121 | Contract# 00085928 / DE-AC07-05ID14517 | 39,129 |


| Brookhaven National Laboratory Nuclear Energy Research, Development and Demonstration | 81.121 | | 202,921 |
| Energy Physics Fellow Program - Professor David Kaw | 81. | 110-1305 | 36,296 |


<p>| Department Of Energy Resources ARRA - Office of Science Financial Assistance Program | 81.049 | | 342,109 |
| State Energy Program Special Projects | 81.119 | MA ENERGY CTENE10002011ENEP01UMAS0000930 0 PRIME DOE | 42,700 |
| MA CT-ENE-2008-ENE-P01 UMAMHH 7060 | 81. | MA CT-ENE-2008-ENE-P01 UMAMHH 7060 | 12,254 |</p>
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<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<td><strong>Pass-Through Programs</strong></td>
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<td>Characterization of Geochemical, Isotopic and Micorbial Factors with Natural Gas</td>
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<td>CALIFORNIA</td>
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<td>LDRD: Rapid Exploitation and Analysis of Documents (READ)</td>
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<td>NATIONAL CENTER FOR MANUFACTURING SCIENTIFIC COMMISSION</td>
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<td>PACIFIC NORTHWEST NATIONAL</td>
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<td>LABORATORY</td>
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<td>RADIATION MONITORING DEVICES, INC.</td>
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<td>New Detector for Gamma-Ray and Neutron Studies</td>
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<td>UT-BATTELLE LLC</td>
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<td>High Performance Computing using Many-Core Processors</td>
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<td>WOODS HOLE OCEANOGRAPHIC INSTITUTION</td>
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<td>The Effect of Tidal Power Generation on Sediment Transport in Muskeget Channel</td>
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Subtotal Pass-Through Programs

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Total Department Of Energy

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<th>Expenditures</th>
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</table>
## University of Massachusetts
### Schedule of Federal Expenditures
#### Year Ended June 30, 2011

### Federal Grantor/Pass-Through Grantor
#### Program or Cluster Title

**Research and Development Cluster**

**Department Of Education**

#### Direct Programs

<table>
<thead>
<tr>
<th>Program Description</th>
<th>CFDA #</th>
<th>Award Number</th>
<th>Expenditures</th>
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<td>Safe and Drug-Free Schools and Communities-National Programs</td>
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<td>Gaining Early Awareness and Readiness for Undergraduate Programs</td>
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#### Pass-Through Programs

**AMHERST COLLEGE**

- International Research and Studies: 84.017 OGCA# 109-1571
  - Expenditures: 21,974

**ANDOVER PUBLIC SCHOOLS**

- Fund for the Improvement of Education: 84.215 Contract U215X070224
  - Expenditures: 80,447

**BILLERICA PUBLIC SCHOOLS**

- Fund for the Improvement of Education: 84.215 4215X00465
  - Expenditures: 147,520

**BOSTON UNIVERSITY**

- Mathematics and Science Partnerships: 84.366 Subcontract No. GC207572NGC
  - Expenditures: 5,205
- Mathematics and Science Partnerships: 84.366 Subcontract No. GC208444NGA
  - Expenditures: 448
- Improving Teacher Quality State Grants: 84.367 GC 201971 NGC
  - Expenditures: 42,051

**FEDERATION F/CHILDREN WITH SPECIAL NEEDS**

- Research in Special Education: 84.324 Subcontract with A.P.P.L.E.
  - Expenditures: 4,895

**INSTITUTE OF EDUCATION SCIENCES**

- Education Research, Development and Dissemination: 84.305 OGCA# 109-0558
  - Expenditures: 576,019

**MA DEPARTMENT OF EDUCATION**

- Adult Education- Basic Grants to States: 84.002 DOE 82300UMASSAMHERSTMAPT Year 4 of 5-FY 2011
  - Expenditures: 363,656
- DOE MMSP Grantees: 84.000 FUND CODE #150
  - Expenditures: 40,483

**MA DEPARTMENT OF HIGHER EDUCATION**

- Improving Teacher Quality State Grants: 84.367 ISA dated 3-5-08
  - Expenditures: 52,306

**MA DEPT OF ELEMENTARY & SECONDARY ED**

- Special Education - State Personnel Development: 84.323 FY11 Focus Academy Evaluation
  - Expenditures: 69,373
- Special Education-Studies and Evaluations: 84.329 FH323A070026 203A-1
  - Expenditures: 3,916
- Mathematics and Science Partnerships: 84.366 150-001-0-1260-K
  - Expenditures: 832

**NATIONAL WRITING PROJECT**

- National Writing Project: 84.928A 03-MA04
  - Expenditures: 43,894

**TOWN OF DARTMOUTH**

- Evaluation of the Implementation of the SLC Program at Dartmouth HS: 84.000000000006033
  - Expenditures: 22,494
# University of Massachusetts
## Schedule of Federal Expenditures
### Year Ended June 30, 2011

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<tr>
<td>Department Of Education</td>
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<td>UNIVERSITY OF MINNESOTA</td>
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<td><strong>Pass-Through Programs</strong></td>
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<td><strong>Total National Archives And Records Administration</strong></td>
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<td>Department Of Health And Human Services</td>
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<td>Mental Health Research Career/Scientist Development Awards</td>
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62
### Federal Grantor/Pass-Through Grantor

**Program or Cluster Title**: Research and Development Cluster  
**Department Of Health And Human Services**  
**Direct Programs**

<table>
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<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
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**Research and Development Cluster**
**Department Of Health And Human Services**

**Direct Programs**
- Medical Library Assistance
- Grants for Training in Primary Care Medicine and Dentistry
- Physician Assistant Training in Primary Care
- Health Care and Other Facilities
- Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease
- Special Projects of National Significance
- International Research and Research Training
- Chemical Exposure Assessment Consultant for IBM-Endicott Retrospective Cohort Study
- CIIR Industrial Membership
- Economic Evaluation of Interventions to Prevent Manual Material Handling Injuries
- Graduate and Undergraduate Student Support to Collect, Assay Blood, Saliva and...
- Informed Consent Project
- National Network of Libraries of Medicine (NNLM)
- NIH: HHSN271200900640P
- NIH: HHSN275200900451P
- Support of International Conference Green Remediation June 15-17 2010 Umass Amherst
- Topic Modeling Analysis of NIH Grant Proposals

**Subtotal Direct Programs**

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**Pass-Through Programs**

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- Shared Decision Making

**AFSCME TRAINING & EDUCATION INSTITUTE**
- NEIHS Superfund Hazardous Substances-Basic Research and Education

**AMERICAN ACADEMY OF PEDIATRICS**
- Maternal and Child Health Federal Consolidated Programs

**AMERICAN COLLEGE OF RADIOLOGY**
- Cancer Cause and Prevention Research

**ARBOVIRUS LAB NYS DOH/GRIFFIN LAB**
- Allergy, Immunology and Transplantation Research

**ASSOC OF UNIV CENTERS ON DISABILITIES**
- Centers for Disease Control and Prevention-Investigations and Technical Assistance
- Enhancement Focal Areas for ThinkCollege ADD

**ASSOCIATION OF AMERICAN MEDICAL COLLEGES**
- Centers for Disease Control and Prevention-Investigations and Technical Assistance

**BAYLOR COLLEGE OF MEDICINE**
- Allergy, Immunology and Transplantation Research
- Allergy, Immunology and Transplantation Research
- Allergy, Immunology and Transplantation Research

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### Program or Cluster Title
### Research and Development Cluster
#### Department Of Health And Human Services

## Pass-Through Programs
### MASSACHUSETTS LEAGUE OF COMMUNITY HEALTH
- ARRA - AIDS Education and Training Centers  
  CFDA # 93.145  
  Award Number ARRA_AHEC_HIISH250200000043C  
  Expenditures 14,682
- ARRA - Trans - NIH Recovery Act Research Support  
  CFDA # 93.701  
  Award Number ARRA_MLCHC/HHS250200000043C  
  Expenditures 6,161
- ARRA - Trans - NIH Recovery Act Research Support  
  CFDA # 93.701  
  Award Number ARRA_MLCHC/HHS250200000043C  
  Expenditures 16,722
- ARRA - Trans - NIH Recovery Act Research Support  
  CFDA # 93.701  
  Award Number ARRA_AHEC_HHSH260200000043C  
  Expenditures 5,153

### MDB, INC.
- Workshop on Alternatives Assessment Methods  
  CFDA # 93.  
  Award Number Check # 1961  
  Expenditures 8,762

### MEDICAL COLLEGE OF WISCONSIN
- Cardiovascular Diseases Research  
  CFDA # 93.837  
  Award Number MCW/SR01HL095410/CT1000085/PO: 1253933  
  Expenditures 1,002

### MEDMINDER SYSTEM INC
- Cardiovascular Diseases Research  
  CFDA # 93.837  
  Award Number 1R43HL07395-01A1  
  Expenditures 51,538

### MICHIGAN STATE UNIVERSITY
- Mental Health Research Grants  
  CFDA # 93.242  
  Award Number MSU/NIH 2 R01 MH053433-11A1  
  Expenditures 6,815

### MICROBIOTIX
- Allergy, Immunology and Transplantation Research  
  CFDA # 93.855  
  Award Number Microbiotix Inc/ R43 AI081399-02  
  Expenditures 79,525
- Allergy, Immunology and Transplantation Research  
  CFDA # 93.855  
  Award Number Sub-Microbiotix  
  Expenditures 48,627

### MOLECULAR TARGETING TECHNOLOGIES, INC.
- Biomedical Research and Research Training  
  CFDA # 93.859  
  Award Number MTTI/R43 GM093417-01  
  Expenditures 55,402

### MONTACHUSETT OPPORTUNITY COUNCIL, INC.
- Family Planning-Service Delivery Improvement Research Grants  
  CFDA # 93.974  
  Award Number MOA Dated 2/9/2009  
  Expenditures 2,070

### MONTCLAIR STATE UNIVERSITY
- ARRA - Trans - NIH Recovery Act Research Support  
  CFDA # 93.701  
  Award Number 1R15HD055680-01A1-A  
  Expenditures 4,711

### MONTEFIORRE MEDICAL CENTER, HEALTH AGENCY
- Environmental Health  
  CFDA # 93.113  
  Award Number MONTEFIORRE PRIME NIH  
  Expenditures 2,021

### MOUNT SINAI MEDICAL CENTER
- Occupational Safety and Health Program  
  CFDA # 93.262  
  Award Number Subaward# 0254-5415-4609  
  Expenditures 64,920

### MOUNT SINAI SCHOOL OF MEDICINE
- Cardiovascular Diseases Research  
  CFDA # 93.837  
  Award Number MSSM/HL071988-01A1  
  Expenditures 2,803
- Extramural Research Programs in the Neurosciences and Neurological Disorders  
  CFDA # 93.853  
  Award Number MT SINA/CombiRx-Phase III  
  Expenditures 1,253

### NATIONAL BUREAU OF ECONOMIC RESEARCH
- Human Health Studies-Applied Research and Development  
  CFDA # 93.206  
  Award Number R21 AG027421 (33-4097-00-0-80-147-7700)  
  Expenditures 941
- Aging Research  
  CFDA # 93.866  
  Award Number NBER/P01 AG031098  
  Expenditures 442,672
- Cancer Treatment Research  
  CFDA # 93.395  
  Award Number NCCF/CA98534-09  
  Expenditures 30,240
- Cancer Treatment Research  
  CFDA # 93.395  
  Award Number NCCF/U10CA98534-07/Sub #19675  
  Expenditures 68,573

### NATIONAL INSTITUTES OF HEALTH
- Mental Health Research Grants  
  CFDA # 93.242  
  Award Number 1 R01 MH074589-01A2  
  Expenditures 392,930

### NATL ASSOC OF STATE MENTAL HLTH PROG DIR
- Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)  
  CFDA # 93.104  
  Award Number NASMHPD/HHSS28300001T  
  Expenditures 113,933

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### Federal Grantor/Pass-Through Grantor

#### Program or Cluster Title

**Research and Development Cluster**

#### Department Of Health And Human Services

**Pass-Through Programs**

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**Program or Cluster Title**

#### Research and Development Cluster
**Department Of Health And Human Services**

#### Pass-Through Programs
- **TRUDEAU INSTITUTE**
  - ARRA - Trans - NIH Recovery Act Research Support
    - CFDA # 93.701
    - U.S. Department of Health and Human Services
    - Expenditures $503,180
- **TUFTS UNIVERSITY**
  - Diabetes, Digestive and Kidney Diseases Extramural Research
    - CFDA # 93.847
    - Expenditures $114,266
  - Biomedical Research and Research Training
    - CFDA # 93.859
    - Expenditures $15,911
- **U.S. DEPT OF HEALTH AND HUMAN SERVICES**
  - Alcohol Research Programs
    - CFDA # 93.273
    - Expenditures $2,495
- **UNIVERSITY OF ALABAMA**
  - Oral Diseases and Disorders Research
    - CFDA # 93.121
    - Expenditures $75,030
  - Research on Healthcare Costs, Quality and Outcomes
    - CFDA # 93.226
    - Expenditures $31,868
  - Research on Healthcare Costs, Quality and Outcomes
    - CFDA # 93.226
    - Expenditures $4,317
  - Cancer Cause and Prevention Research
    - CFDA # 93.393
    - Expenditures $20,631
  - Cardiovascular Diseases Research
    - CFDA # 93.837
    - Expenditures $101,951
  - Aging Research
    - CFDA # 93.866
    - Expenditures $81,298
  - SPRINT Study
    - CFDA # 93.
    - Expenditures $14,000
- **UNIVERSITY OF CALIFORNIA**
  - Research on Healthcare Costs, Quality and Outcomes
    - CFDA # 93.226
    - Expenditures $12,552
  - Drug Abuse and Addiction Research Programs
    - CFDA # 93.279
    - Expenditures $90,906
  - ARRA - Trans - NIH Recovery Act Research Support
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  - ARRA - Trans - NIH Recovery Act Research Support
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    - Expenditures $178,463
  - Biomedical Research and Research Training
    - CFDA # 93.859
    - Expenditures $23,078
  - Aging Research
    - CFDA # 93.866
    - Expenditures $80,082
- **UNIVERSITY OF CALIFORNIA IRVINE**
  - Mental Health Research Grants
    - CFDA # 93.242
    - Expenditures $5,259
- **UNIVERSITY OF CALIFORNIA REGENTS**
  - Extramural Research Programs in the Neurosciences and Neurological Disorders
    - CFDA # 93.853
    - Expenditures $189
  - Allergy, Immunology and Transplantation Research
    - CFDA # 93.855
    - Expenditures $26,402
  - Aging Research
    - CFDA # 93.866
    - Expenditures $4,465
- **UNIVERSITY OF CHICAGO**
  - Allergy, Immunology and Transplantation Research
    - CFDA # 93.855
    - Expenditures $217,956
- **UNIVERSITY OF COLORADO**
  - Allergy, Immunology and Transplantation Research
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    - Expenditures $12,788
- **UNIVERSITY OF CONNECTICUT**
  - Centers for Disease Control and Prevention-Investigations and Technical Assistance
    - CFDA # 93.283
    - Expenditures $29,277
- **UNIVERSITY OF FLORIDA**
  - Cardiovascular Diseases Research
    - CFDA # 93.837
    - Expenditures $441,451
  - Diabetes, Digestive and Kidney Diseases Extramural Research
    - CFDA # 93.847
    - Expenditures $84,812
- **UNIVERSITY OF GEORGIA RESEARCH FDN INC**
  - Injury Prevention and Control Research and State and Community Based Programs
    - CFDA # 93.136
    - Expenditures $19,954
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# University of Massachusetts
**Schedule of Federal Expenditures**
**Year Ended June 30, 2011**

## Federal Grantor/Pass-Through Grantor
**Program or Cluster Title**

### Research and Development Cluster
**United States Agency For International Development**

**Direct Programs**

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**Total United States Agency For International Development**

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**Total Research and Development Cluster**

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## Student Financial Assistance Cluster

**Department Of Education**

**Direct Programs**

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**Total Department Of Education**

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## Department Of Health And Human Services

**Direct Programs**

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### University of Massachusetts
### Schedule of Federal Expenditures
### Year Ended June 30, 2011

#### Federal Grantor/Pass-Through Grantor

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<tr>
<th>Program or Cluster Title</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
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#### Department Of Housing And Urban Development

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**Program or Cluster Title**

#### Other Federal Assistance

**Department Of Education**

**Direct Programs**

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<td>Education Research, Development and Dissemination</td>
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<td>864,960</td>
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<td>Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities</td>
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<td>Transition to Teaching</td>
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<td>Early Reading First</td>
<td>84.359</td>
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<td>1,283,455</td>
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<td>Transition Programs for Students with Intellectual Disabilities into Higher Education</td>
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<td>93,567</td>
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**Subtotal Direct Programs**

**Total Direct Programs Expenditures:** 7,757,662

#### Pass-Through Programs

**ASSOCIATION OF TECHNOLOGY ACT PROGRAMS**

- Assistive Technology
  - CFDA # 84.224, Award Number ATAP
  - Expenditures 12,410

**BROCKTON PUBLIC SCHOOLS**

- Fund for the Improvement of Education
  - CFDA # 84.215, Award Number Q215M090034
  - Expenditures 14,112

**CHILDREN'S HOSPITAL**

- National Institute on Disability and Rehabilitation Research
  - CFDA # 84.133, Award Number PO # 0000148008
  - Expenditures 159,725

**CITY OF CHELSEA**

- Early Reading First
  - CFDA # 84.359, Award Number Contract# 2011-109 / Chelsea
    - Expenditures 23,704
  - Early Reading First
    - CFDA # 84.359, Award Number PO 00003717-00
    - Expenditures 26,322

**GREAT SCHOOLS PARTNERSHIP**

- Fund for the Improvement of Education
  - CFDA # 84.215, Award Number GSP10-01-07
  - Expenditures 64,156

**HAMPDEN-WILBRAHAM REGIONAL SCH. DISTRICT**

- Safe and Drug-Free Schools and Communities-National Programs
  - CFDA # 84.184, Award Number Q164L090445
  - Expenditures 55,678

**HAMPShIRE EDUCATIONAL COLLABORATIVE**

- Transition to Teaching
  - CFDA # 84.350, Award Number HECTTLT 2007
  - Expenditures 1,432

**MA DEPARTMENT OF EDUCATION**

- Adult Education- Basic Grants to States
  - CFDA # 84.002, Award Number 340-003-1255-L
  - Expenditures 400,249

**MA DEPT OF ELEMENTARY & SECONDARY ED**

- Adult Education- Basic Grants to States
  - CFDA # 84.002, Award Number 669-002-1-1255-L
  - Expenditures 8,714

- Adult Education- Basic Grants to States
  - CFDA # 84.002, Award Number ABE 343-004-0-1261-K
  - Expenditures 9,172

- Adult Education- Basic Grants to States
  - CFDA # 84.002, Award Number 343-005-1-1261-L
  - Expenditures 11,515

- Adult Education- Basic Grants to States
  - CFDA # 84.002, Award Number 340-005-0-1255-A
  - Expenditures 77,560

- Special Education - State Personnel Development
  - CFDA # 84.323, Award Number FY11 Mass Focus Academy
  - Expenditures 249,940

- Reading First State Grants
  - CFDA # 84.357, Award Number CT-DOE-104600UMASSDONAHUE10
  - Expenditures 118,209

- ARRA - High School Graduation Initiative
  - CFDA # 84.360, Award Number FS360A1069 / ISA Acct # 7048-1500 (79SU)
  - Expenditures 23,012

- Mathematics and Science Partnerships
  - CFDA # 84.366, Award Number CT DOE 10CT4700 UMASS DONA ISA
  - Expenditures 10,640

- Mathematics and Science Partnerships
  - CFDA # 84.368, Award Number CT DOE124700UMASSDONISA341
  - Expenditures 18,291

84
## University of Massachusetts
### Schedule of Federal Expenditures
#### Year Ended June 30, 2011

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<tr>
<th>Federal Grantor/Pass-Through Grantor</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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**Total Department Of Education**

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85
**Federal Grantor/Pass-Through Grantor Program or Cluster Title**

**Federal CFDA #** | **Federal Agency or Pass-Through Entity Award Number** | **Expenditures**
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93. | HHSP23320100015YC | 1,280,790
93. | ORDER NO 269-MM-813503 | 2,420

**Subtotal Direct Programs**

**Pass-Through Programs**

**Autism NOW**


**BAYSTATE MEDICAL CENTER, INC.**

Substance Abuse and Mental Health Services-Projects of Regional and National Significance 93.243 FED768-09083 26,556

**BROCKTON NEIGHBORHOOD HEALTH CENTER**

Community Services Block Grant-Discretionary Awards 93.570 90EE0909 7,841

**CHILDREN'S HOSPITAL**

Maternal and Child Health Federal Consolidated Programs 93.110 2 T73 MC00020-15-00 124,873

**GANDARA MENTAL HEALTH**

Substance Abuse and Mental Health Services-Projects of Regional and National Significance 93.243 1H79TI019769-01 44,791

**JOHN SNOW, INC.**

Health Education Training Centers Continuing Educational Support for Health Professionals Serving in Underserved Communities 93.189 Midwifery Care in New England 4,964

**MA DEPARTMENT OF PUBLIC HEALTH**

Centers for Disease Control and Prevention-Investigations and Technical Assistance 93.283 5U58DP000821-04 121,224

Centers for Disease Control and Prevention-Investigations and Technical Assistance 93.283 5U58DP000821-03 2,093

**ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program**

Maternal and Child Health Services Block Grant to the States 93.994 INTF7900MM3701516150 223,250

Maternal and Child Health Services Block Grant to the States 93.994 MA DPH/MTCP Analysis - FY11 98,390

Maternal and Child Health Services Block Grant to the States 93.994 MA DPH/Mass Care FY11 79,202

**MA DEVELOPMENTAL DISABILITIES COUNCIL**

Developmental Disabilities Basic Support and Advocacy Grants 93.830 09.CR.G 22,154

Developmental Disabilities Basic Support and Advocacy Grants 93.830 09.CS.N 11,465

**MASS EXECUTIVE OFFICE OF ELDER AFFAIRS**

Special Programs for the Aging-Title IV-and Title II-Discretionary Projects 93.084 Fed: 90CT0172/01 State: CT ELD91101185SUMS000000 18,325

**RIVER VALLEY COUNSELING CENTER INC**

Substance Abuse and Mental Health Services-Projects of Regional and National Significance 93.243 River Valley 100107 70,380

**SANDIA NATIONAL LABS**

Portable Micellulic Platform for Bioterrorism Diagnostics 93. 1126249 126,887

**SEVEN HILLS FOUNDATION**

Substance Abuse and Mental Health Services-Projects of Regional and National Significance 93.243 CSAP 15401 50,389

**STATE OF CONNECTICUT**

Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities 93.768 PS 10DDSO1830T 346,302
# University of Massachusetts
## Schedule of Federal Expenditures
### Year Ended June 30, 2011

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor Program or Cluster Title</th>
<th>Federal CFDA #</th>
<th>Federal Agency or Pass-Through Entity Award Number</th>
<th>Expenditures</th>
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<tr>
<td><strong>Other Federal Assistance</strong></td>
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<tr>
<td><strong>Department Of Health And Human Services</strong></td>
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<tr>
<td><strong>Pass-Through Programs</strong></td>
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<td>TUFTS UNIVERSITY</td>
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<td>Volunteers in Service to America</td>
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<td>USAID Development Partnerships for University Cooperation and Development</td>
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<td><strong>Subtotal Direct Programs</strong></td>
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### Federal Grantor/Pass-Through Grantor

#### Program or Cluster Title
- **United States Agency For International Development**
  - **Pass-Through Programs**
    - HIGHER EDUCATION FOR DEVELOPMENT
      - USAID Development Partnerships for University Cooperation and Development
      - **CFDA #** 98.012 521-A-00-07-00006-00
      - **Expenditures** 40,752
  - **Subtotal Pass-Through Programs**
  - **Total United States Agency For International Development**
  - **Total Other Federal Assistance**
    - **Federal Agency or Pass-Through Entity Award Number**
    - **Expenditures**
      - 425,407
      - 27,480,413

#### SNAP Cluster

##### Department Of Agriculture
- **Pass-Through Programs**
  - MA DEPT OF TRANSITIONAL ASSISTANCE
    - Supplemental Nutrition Assistance Program
      - **CFDA #** 10.551 WEL FSNE 1391 UMS 10 A
      - **Expenditures** 671,226
    - Supplemental Nutrition Assistance Program
      - **CFDA #** 10.551 CT WEL 4400 3064 UMS 11 B
      - **Expenditures** 1,896,960
  - **Subtotal Pass-Through Programs**
  - **Total Department Of Agriculture**
  - **Total SNAP Cluster**
    - 2,570,186

#### Child Nutrition Cluster

##### Department Of Agriculture
- **Pass-Through Programs**
  - MA DEPT OF ELEMENTARY & SECONDARY ED
    - Summer Food Service Program for Children
      - **CFDA #** 03-072-SF-136
      - **Expenditures** 10,379
  - **Subtotal Pass-Through Programs**
  - **Total Department Of Agriculture**
  - **Total Child Nutrition Cluster**
    - 10,379

#### CDBG - State-Administered CDBG Cluster

##### Department Of Housing And Urban Development
- **Pass-Through Programs**
  - CHESTER TOWN OF
    - Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii
      - **CFDA #** 14.228 OGCA 110-1165 Grant 00622
      - **Expenditures** 29,558
  - CITY OF NEW BEDFORD
    - ARRA - Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded)
      - **CFDA #** 14.255 DPS-10-28
      - **Expenditures** 6,272
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<td>LOI 06-26-09</td>
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### University of Massachusetts
**Schedule of Federal Expenditures**
**Year Ended June 30, 2011**

#### Federal Grantor/Pass-Through Grantor
**Program or Cluster Title**

**Employment Service Cluster**

**Department Of Labor**

**Pass-Through Programs**
- BROCKTON AREA PRIVATE INDUST COUNCIL I
  - Local Veterans' Employment Representative Program
    - [Federal CFDA #](#) 17.804
    - [Federal Agency or Pass-Through Entity Award Number](#) 10SFC10
    - [Expenditures](#) 5,380
- **Subtotal Pass-Through Programs**
  - [Total Department Of Labor](#) 434,000

**Total Employment Service Cluster**

**WIA Cluster**

**Department Of Labor**

**Pass-Through Programs**
- BRISTOL COMMUNITY COLLEGE
  - ARRA - WIA Dislocated Workers
    - 17.260
    - 6565
    - 49,195
- BROCKTON AREA PRIVATE INDUST COUNCIL I
  - ARRA - WIA Adult Program
    - 17.258
    - LOI BAPIC 04-02-09
    - 167,044
  - [WIA Adult Program](#)
    - 17.258
    - Adult LOI 6-10-10
    - 373,414
  - [WIA Adult Program](#)
    - 17.258
    - LOI 08-26-09
    - 72,808
  - [ARRA - WIA Dislocated Workers](#)
    - 17.260
    - LOI BAPIC 4/2/09
    - 300,538
  - [WIA Dislocated Workers](#)
    - 17.260
    - LOI 06-26-09
    - 21,359
  - [WIA Dislocated Workers](#)
    - 17.260
    - 10SFC10
    - 8,500
  - [WIA Dislocated Workers](#)
    - 17.260
    - DW LOI 6-10-10
    - 471,899
- [COMMONWEALTH CORPORATION](#)
  - ARRA - WIA Adult Program
    - 17.258
    - #0732
    - 78,123
  - [ARRA - WIA Adult Program](#)
    - 17.258
    - ARRA COMM CORP #0707 PRIME
    - 163,907
  - [WIA Adult Program](#)
    - 17.258
    - 1700
    - 64,283
- [FLORIDA ATLANTIC UNIVERSITY](#)
  - WIA Adult Program
    - 17.258
    - CSR - URG48
    - 2,167
- [GREATER NB WORKFORCE INVESTMENT AREA](#)
  - WIA Youth Activities
    - 17.259
    - 5564
    - 30,460
- [PEABODY ESSEX MUSEUM](#)
  - WIA Dislocated Workers
    - 17.260
    - Peabody Essex Museum 08-15-03
    - 23,144
  - **Subtotal Pass-Through Programs**
    - [Total Department Of Labor](#) 1,826,842

**Total WIA Cluster**

**Highway Planning and Construction Cluster**

**Department Of Transportation**

**Pass-Through Programs**
- IBI GROUP
  - Highway Planning and Construction
    - 20.205
    - 5753
    - 1,477

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90
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<tr>
<td>Department Of Homeland Security</td>
<td>97.067</td>
<td>CTSHSPSHELTERXUMS10A</td>
<td>50,000</td>
</tr>
<tr>
<td>Pass-Through Programs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MA EXEC OFF OF PUBLIC SAFETY &amp; SECURITY Homeland Security Grant Program</td>
<td></td>
<td></td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Subtotal Pass-Through Programs</strong></td>
<td></td>
<td></td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Total Department Of Homeland Security</strong></td>
<td></td>
<td></td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Total Homeland Security Cluster</strong></td>
<td></td>
<td></td>
<td>50,000</td>
</tr>
<tr>
<td><strong>Total Federal Expenditures</strong></td>
<td></td>
<td></td>
<td><strong>$ 544,143,987</strong></td>
</tr>
</tbody>
</table>
1. Basis of Presentation

The accompanying schedule of expenditures of federal awards (the Schedule) presents the direct and indirect expenditures of federal financial assistance programs administered by the University of Massachusetts (the "University") an entity defined in the financial statements except that the federal financial assistance programs, if any, of the University of Massachusetts Amherst Foundation, the Worcester City Campus Corporation, the University of Massachusetts Foundation, Inc. and the University of Massachusetts Dartmouth Foundation, Inc., are not included. Accordingly, the accompanying Schedule presents the federal award expenditures administered by the University, as defined above, for the year ended June 30, 2011.

The amounts reported were obtained from the University's general ledger which is the source of the federal financial reports and is maintained on an accrual basis. The Schedule is also prepared on the accrual basis of accounting. The information in this Schedule is presented in accordance with OMB Circular A-133, Audits of States, Local governments and Non-Profit Organization. Therefore, some amounts presented in this Schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements. CFDA and pass-through numbers are presented when available.

2. Matching Costs

Matching costs, i.e., the nonfederal share of program costs, are not included in the accompanying Schedule.

3. Relationship to Federal Financial Reports

The regulations and guidelines governing preparation of federal financial reports do not always match the accounting principles used by the University to present amounts in the accompanying Schedule. Accordingly, the amounts reported in the federal financial reports do not necessarily agree with the amounts reported in the accompanying Schedule which is prepared on the basis, as explained in note 1.
4. Direct and Indirect Federal Award Expenditures

Federal award expenditures consist of direct and indirect costs which are commonly referred to as facilities and administrative (F&A) costs. Direct costs are those that can be readily identified with an individual federally sponsored project. The salary of a principal investigator of a sponsored research project and the materials consumed by the project are examples of direct costs.

Unlike direct costs, indirect costs cannot be readily identified with an individual federally sponsored project. Indirect costs are the costs of services and resources that benefit both sponsored and non-sponsored projects and activities. Indirect costs consist of expenses incurred for administration, library, plant maintenance, and building and equipment depreciation.

The University and federal agencies use an indirect cost rate to charge indirect costs to individual federally sponsored projects. The rate is a result of a number of complex cost allocation procedures that the University uses to allocate its indirect costs to both sponsored and non-sponsored activities. Rates are negotiated with and approved by the University's cognizant audit agency, the U.S. Department of Health and Human Services.

The on-campus facilities and administrative cost rate in place at each campus during the fiscal year ended June 30, 2011 was as follows:

<table>
<thead>
<tr>
<th>Campus</th>
<th>Rate</th>
<th>Basis</th>
<th>Rate Period – July 1 to June 30</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amherst</td>
<td>58.00%</td>
<td>Modified Total Direct costs</td>
<td>2010 through 2011</td>
</tr>
<tr>
<td>Boston</td>
<td>52.50%</td>
<td>Modified Total Direct costs</td>
<td>2009 through 2013</td>
</tr>
<tr>
<td>Dartmouth</td>
<td>56.00%</td>
<td>Direct salaries and wages</td>
<td>2010 through 2012</td>
</tr>
<tr>
<td>Lowell</td>
<td>51.00%</td>
<td>Modified Total Direct costs</td>
<td>2009 through 2012</td>
</tr>
<tr>
<td>Worcester</td>
<td>64.50%</td>
<td>Modified Total Direct costs</td>
<td>2010 through 2011</td>
</tr>
</tbody>
</table>

Other rates in place for University facilities and administrative cost recovery during fiscal year 2011 ranged from 19% to 66% of modified direct costs.
University of Massachusetts  
Notes to Schedule of Expenditures of Federal Awards  
June 30, 2011  

5. Federal Loan Programs

The following schedule presents new loans processed by the University for eligible students under federal student loan programs and federally guaranteed loan programs for the year ended June 30, 2011:

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Amount Disbursed</th>
<th>Amount Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>84.268</td>
<td>$296,299,171</td>
<td></td>
</tr>
<tr>
<td>84.268</td>
<td>42,639,309</td>
<td></td>
</tr>
</tbody>
</table>

William D. Ford Federal Direct Loan Programs:
- William D. Ford Loans
- Parent Loans for Undergraduate Students

Total William D. Ford Federal Direct Loan Program: $338,938,480

Other Loan Programs
- Perkins Loan
- Primary Care Loans
- Loans for Disadvantaged Students
- Nurse Faculty Loan Program
- Nurse Faculty Loan Program - ARRA
- Nursing Student Loans

Total Other Loan Programs: $4,472,162

Total Federal Loan Programs: $343,410,642

The Perkins Loans, Primary Care Loans, Loans for Disadvantaged Students, Nurse Faculty Loan Program and the Nursing Student Loans are administered directly by the University and balances and transactions are included in the University’s financial statements.

6. Federal Perkins Program

For the year ended June 30, 2011, the University received an administrative cost allowance totaling $609,903 for reimbursement of costs of administering the program. This administrative cost allowance has not been included on the accompanying Schedule.
7. Amounts Provided to Subrecipients

In OMB Circular A-133 § 105 subrecipients are defined as nonfederal entities that expend federal awards received from a pass through entity to carry out a federal program, but do not benefit from that program. In fiscal year 2011, the University passed through the following amounts to subrecipients:

<table>
<thead>
<tr>
<th>Research and Development</th>
<th>CFDA Number</th>
<th>Amounts Provided to Subrecipients</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants for Agricultural Research, Special Research Grants</td>
<td>10.200</td>
<td>297,825</td>
</tr>
<tr>
<td>Grants for Agricultural Research - Competitive Research Grants</td>
<td>10.206</td>
<td>297,585</td>
</tr>
<tr>
<td>Sustainable Agriculture Research and Education</td>
<td>10.215</td>
<td>13,750</td>
</tr>
<tr>
<td>Agricultural and Rural Economic Research</td>
<td>10.250</td>
<td>26,196</td>
</tr>
<tr>
<td>Agriculture &amp; Food Research Initiative (AFRI)</td>
<td>10.310</td>
<td>313,052</td>
</tr>
<tr>
<td>Forestry Research</td>
<td>10.652</td>
<td>35,211</td>
</tr>
<tr>
<td>Cooperative Forestry Assistance</td>
<td>10.664</td>
<td>31,228</td>
</tr>
<tr>
<td>Sea Grant Support</td>
<td>11.417</td>
<td>30,515</td>
</tr>
<tr>
<td>Climate and Atmospheric Research</td>
<td>11.431</td>
<td>26,449</td>
</tr>
<tr>
<td>Cooperative Science and Education Program</td>
<td>11.455</td>
<td>2,046</td>
</tr>
<tr>
<td>Unallied Science Program</td>
<td>11.472</td>
<td>46,115</td>
</tr>
<tr>
<td>ARRA - Broadband Technology Opportunities Program</td>
<td>11.557</td>
<td>62,194</td>
</tr>
<tr>
<td>Department of Defense Contracts</td>
<td>12.</td>
<td>9,248</td>
</tr>
<tr>
<td>Basic and Applied Scientific Research</td>
<td>12.300</td>
<td>45,274</td>
</tr>
<tr>
<td>Basic Scientific Research</td>
<td>12.431</td>
<td>825,095</td>
</tr>
<tr>
<td>Air Force Defense Research Sciences Program</td>
<td>12.800</td>
<td>265,231</td>
</tr>
<tr>
<td>Research and Technology Development</td>
<td>12.910</td>
<td>11,376</td>
</tr>
<tr>
<td>Department of the Interior Contracts</td>
<td>15.</td>
<td>74,578</td>
</tr>
<tr>
<td>Assistance to State Water Resources Research Institutes</td>
<td>15.805</td>
<td>5,664</td>
</tr>
<tr>
<td>National Cooperative Geologic Mapping Program</td>
<td>15.810</td>
<td>5,407</td>
</tr>
<tr>
<td>Missing Children's Assistance</td>
<td>16.543</td>
<td>25,174</td>
</tr>
<tr>
<td>Crime Victim Assistance/Discretionary Grants</td>
<td>16.582</td>
<td>23,836</td>
</tr>
<tr>
<td>Disability Employment Policy Development</td>
<td>17.720</td>
<td>156,152</td>
</tr>
<tr>
<td>University Transportation Centers Program</td>
<td>20.701</td>
<td>66,009</td>
</tr>
<tr>
<td>National Aeronautics and Space Administration Contracts</td>
<td>43.</td>
<td>6,000</td>
</tr>
<tr>
<td>Aerospace Education Services Program</td>
<td>43.001</td>
<td>170,367</td>
</tr>
<tr>
<td>Engineering Grants</td>
<td>47.041</td>
<td>2,770,544</td>
</tr>
<tr>
<td>Mathematical and Physical Sciences</td>
<td>47.049</td>
<td>382,877</td>
</tr>
<tr>
<td>Geosciences</td>
<td>47.050</td>
<td>49,176</td>
</tr>
<tr>
<td>Computer and Information Science and Engineering</td>
<td>47.070</td>
<td>568,945</td>
</tr>
<tr>
<td>Biological Sciences</td>
<td>47.074</td>
<td>335,102</td>
</tr>
<tr>
<td>Social, Behavioral, and Economic Sciences</td>
<td>47.075</td>
<td>110,018</td>
</tr>
<tr>
<td>Education and Human Resources</td>
<td>47.076</td>
<td>3,375,238</td>
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</tbody>
</table>

99
Research and Development Cluster, continued

<table>
<thead>
<tr>
<th>Program</th>
<th>Total 1</th>
<th>Total 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polar Programs</td>
<td>47,078</td>
<td>51,349</td>
</tr>
<tr>
<td>ARRA - Trans-NSF Recovery Act Research Support</td>
<td>47,082</td>
<td>31,730</td>
</tr>
<tr>
<td>Small Business Development Centers</td>
<td>59,037</td>
<td>1,322,803</td>
</tr>
<tr>
<td>Water Pollution Control State, Interstate, and Tribal Program Support</td>
<td>66,419</td>
<td>24,445</td>
</tr>
<tr>
<td>Science To Achieve Results (STAR) Research Program</td>
<td>66,509</td>
<td>170,307</td>
</tr>
<tr>
<td>Office of Science Financial Assistance Program</td>
<td>81,049</td>
<td>957,319</td>
</tr>
<tr>
<td>ARRA - Office of Science Financial Assistance Program</td>
<td>81,049</td>
<td>389,470</td>
</tr>
<tr>
<td>Renewable Energy Research and Development</td>
<td>81,087</td>
<td>452,594</td>
</tr>
<tr>
<td>ARRA - Advanced Research and Projects Agency - Energy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Financial Assistance Program</td>
<td>81,135</td>
<td>262,741</td>
</tr>
<tr>
<td>National Institute on Disability and Rehabilitation Research</td>
<td>84,133</td>
<td>560,385</td>
</tr>
<tr>
<td>Rehabilitation Services Demonstration and Training Programs</td>
<td>84,235</td>
<td>110,838</td>
</tr>
<tr>
<td>Rehabilitation Training - Continuing Education</td>
<td>84,264</td>
<td>389,974</td>
</tr>
<tr>
<td>Gaining Early Awareness and Readiness for Undergraduate Programs</td>
<td>84,334</td>
<td>34,476</td>
</tr>
<tr>
<td>Transition to Teaching</td>
<td>84,350</td>
<td>30,693</td>
</tr>
<tr>
<td>Mathematics and Science Partnerships</td>
<td>84,366</td>
<td>(3,428)</td>
</tr>
<tr>
<td>Improving Teacher Quality State Grants</td>
<td>84,367</td>
<td>10,000</td>
</tr>
<tr>
<td>Department of Health and Human Services Contracts</td>
<td>93.</td>
<td>4,480</td>
</tr>
<tr>
<td>Centers for Genomics and Public Health</td>
<td>93,063</td>
<td>140,187</td>
</tr>
<tr>
<td>Laboratory Leadership, Workforce Training and Management Development</td>
<td>93,065</td>
<td>98,546</td>
</tr>
<tr>
<td>Improving Public Health Laboratory Infrastructure</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Model State-Supported Area Health Education Centers</td>
<td>93,107</td>
<td>536,437</td>
</tr>
<tr>
<td>Maternal and Child Health Federal Consolidated Programs</td>
<td>93,110</td>
<td>524,416</td>
</tr>
<tr>
<td>Environmental Health</td>
<td>93,113</td>
<td>162,528</td>
</tr>
<tr>
<td>NIEHS Hazardous Waste Worker Health and Safety Training</td>
<td>93,142</td>
<td>387,792</td>
</tr>
<tr>
<td>AIDS Education and Training Centers</td>
<td>93,145</td>
<td>1,083,799</td>
</tr>
<tr>
<td>Human Genome Research</td>
<td>93,172</td>
<td>171,657</td>
</tr>
<tr>
<td>Research Related to Deafness and Communication Disorders</td>
<td>93,173</td>
<td>16,210</td>
</tr>
<tr>
<td>Research and Training in Complementary and Alternative Medicine</td>
<td>93,213</td>
<td>37,268</td>
</tr>
<tr>
<td>Research on Healthcare Costs, Quality and Outcomes</td>
<td>93,226</td>
<td>478,022</td>
</tr>
<tr>
<td>Mental Health Research Grants</td>
<td>93,242</td>
<td>2,282,232</td>
</tr>
<tr>
<td>Advanced Education Nursing Grant Program</td>
<td>93,247</td>
<td>60,199</td>
</tr>
<tr>
<td>Occupational Safety and Health Program</td>
<td>93,262</td>
<td>847,684</td>
</tr>
<tr>
<td>Drug Abuse and Addiction Research Programs</td>
<td>93,279</td>
<td>225,179</td>
</tr>
<tr>
<td>Centers for Disease Control and Prevention - Investigations and Technical Assistance</td>
<td>93,283</td>
<td>228,291</td>
</tr>
<tr>
<td>Discovery and Applied Research for Technological Innovations to Improve Human Health</td>
<td>93,286</td>
<td>98,381</td>
</tr>
</tbody>
</table>
### Research and Development Cluster, continued

<table>
<thead>
<tr>
<th>Program Description</th>
<th>Fiscal Year 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minority Health and Health Disparities Research</td>
<td>93.307 13,866</td>
</tr>
<tr>
<td>Trans-NIH Research Support</td>
<td>93.310 31,733</td>
</tr>
<tr>
<td>Nursing Research</td>
<td>93.361 26,086</td>
</tr>
<tr>
<td>National Center for Research Resources</td>
<td>93.389 112,401</td>
</tr>
<tr>
<td>Academic Research Enhancement Award</td>
<td>93.390 6,204</td>
</tr>
<tr>
<td>Cancer Cause and Prevention Research</td>
<td>93.393 1,313,843</td>
</tr>
<tr>
<td>Cancer Detection and Diagnosis Research</td>
<td>93.394 183,581</td>
</tr>
<tr>
<td>Cancer Treatment Research</td>
<td>93.395 343,729</td>
</tr>
<tr>
<td>Cancer Biology Research</td>
<td>93.396 275,453</td>
</tr>
<tr>
<td>State Planning and Establishment Grants for the Affordable Care Act (ACA)'s Exchanges</td>
<td>93.525 40,964</td>
</tr>
<tr>
<td>Developmental Disabilities Projects of National Significance</td>
<td>93.631 20,000</td>
</tr>
<tr>
<td>University Centers for Excellence in Developmental Disabilities Education, Research, and Service</td>
<td>93.632 431,484</td>
</tr>
<tr>
<td>ARRA - Trans - NIH Recovery Act Research Support</td>
<td>93.701 4,085,247</td>
</tr>
<tr>
<td>ARRA - Recovery Act Comparative Effectiveness Research - AHRQ</td>
<td>93.715 178,634</td>
</tr>
<tr>
<td>Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities</td>
<td>93.768 3,473,086</td>
</tr>
<tr>
<td>Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations</td>
<td>93.779 10,000</td>
</tr>
<tr>
<td>Cardiovascular Diseases Research</td>
<td>93.837 300,600</td>
</tr>
<tr>
<td>Lung Diseases Research</td>
<td>93.838 180,512</td>
</tr>
<tr>
<td>Blood Diseases and Resources Research</td>
<td>93.839 238,011</td>
</tr>
<tr>
<td>Arthritis, Musculoskeletal and Skin Diseases Research</td>
<td>93.846 1,418,382</td>
</tr>
<tr>
<td>Diabetes, Digestive and Kidney Diseases Extramural Research</td>
<td>93.847 747,487</td>
</tr>
<tr>
<td>Digestive Diseases and Nutrition Research</td>
<td>93.848 160,708</td>
</tr>
<tr>
<td>Kidney Diseases, Urology and Hematology Research</td>
<td>93.849 2,989</td>
</tr>
<tr>
<td>Extramural Research Programs in the Neurosciences and Neurological Disorders</td>
<td>93.853 1,281,794</td>
</tr>
<tr>
<td>Allergy, Immunology and Transplantation Research</td>
<td>93.855 5,605,583</td>
</tr>
<tr>
<td>Microbiology and Infectious Diseases Research</td>
<td>93.856 15,911</td>
</tr>
<tr>
<td>Biomedical Research and Research Training</td>
<td>93.859 1,350,843</td>
</tr>
<tr>
<td>Population Research</td>
<td>93.864 90,987</td>
</tr>
<tr>
<td>Child Health and Human Development Extramural Research</td>
<td>93.865 651,386</td>
</tr>
<tr>
<td>Aging Research</td>
<td>93.866 957,535</td>
</tr>
<tr>
<td>Vision Research</td>
<td>93.867 350</td>
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<tr>
<td>Medical Library Assistance</td>
<td>93.879 248,656</td>
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<tr>
<td>International Research and Research Training</td>
<td>93.989 40,921</td>
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<tr>
<td>Planning and Program Development Grants</td>
<td>94.007 286,585</td>
</tr>
<tr>
<td>Social Security - Work Incentives Planning and Assistance Program</td>
<td>96.008 99,130</td>
</tr>
<tr>
<td>Cluster</td>
<td>Code</td>
</tr>
<tr>
<td>---------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>United State Agency for International</td>
<td>98</td>
</tr>
<tr>
<td>Development Contracts</td>
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</tr>
<tr>
<td>Total Research and Development</td>
<td></td>
</tr>
<tr>
<td>SNAP Cluster</td>
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<tr>
<td>Supplemental Nutrition Assistance Program</td>
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<tr>
<td>Total SNAP Cluster</td>
<td></td>
</tr>
<tr>
<td>Lead Hazard Control Cluster</td>
<td></td>
</tr>
<tr>
<td>ARRA - Healthy Homes Demonstration Grants</td>
<td>14.908</td>
</tr>
<tr>
<td>(Recovery Act Funded)</td>
<td></td>
</tr>
<tr>
<td>Total Lead Hazard Control Cluster</td>
<td></td>
</tr>
<tr>
<td>WIA Cluster</td>
<td></td>
</tr>
<tr>
<td>ARRA - WIA Adult Program</td>
<td>17.258</td>
</tr>
<tr>
<td>Total WIA Cluster</td>
<td></td>
</tr>
<tr>
<td>CCDF Cluster</td>
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</tr>
<tr>
<td>ARRA Child Care and Development Block Grant</td>
<td>93.713</td>
</tr>
<tr>
<td>Total CCDF Cluster</td>
<td></td>
</tr>
<tr>
<td>Trio Cluster</td>
<td></td>
</tr>
<tr>
<td>TRIO - Upward Bound</td>
<td>84.047</td>
</tr>
<tr>
<td>Total Trio Cluster</td>
<td></td>
</tr>
<tr>
<td>Other Federal Assistance</td>
<td></td>
</tr>
<tr>
<td>Cooperative Extension Service</td>
<td>10.500</td>
</tr>
<tr>
<td>Department of Defense Contracts</td>
<td>12.</td>
</tr>
<tr>
<td>Lead-Based Paint Hazard Control in</td>
<td>14.900</td>
</tr>
<tr>
<td>Privately-Owned Housing</td>
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<tr>
<td>Department of the Interior Contracts</td>
<td>15.</td>
</tr>
<tr>
<td>Criminal and Juvenile Justice and</td>
<td>16.745</td>
</tr>
<tr>
<td>Mental Health Collaboration Program</td>
<td></td>
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<tr>
<td>Miscellaneous Department of Labor</td>
<td>17.</td>
</tr>
<tr>
<td>Professional Exchanges - Annual Open Grant</td>
<td>19.415</td>
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<tr>
<td>Highway Research and Development Program</td>
<td>20.200</td>
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<tr>
<td>Promotion of the Humanities - Professional</td>
<td>45.163</td>
</tr>
<tr>
<td>Development</td>
<td></td>
</tr>
<tr>
<td>Weatherization Assistance for Low-Income</td>
<td>81.042</td>
</tr>
<tr>
<td>Persons</td>
<td></td>
</tr>
<tr>
<td>Center for Regenerative Biomaterials</td>
<td>84.116</td>
</tr>
<tr>
<td>Education Research, Development and</td>
<td>84.305</td>
</tr>
<tr>
<td>Dissemination</td>
<td></td>
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<tr>
<td>Demonstration Projects to Ensure Students</td>
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</tr>
<tr>
<td>with Disabilities</td>
<td></td>
</tr>
<tr>
<td>Receive a Higher Education</td>
<td>84.349</td>
</tr>
<tr>
<td>Early Childhood Educator Professional</td>
<td>84.350</td>
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<tr>
<td>Development</td>
<td></td>
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</table>
Other Federal Assistance, continued

<table>
<thead>
<tr>
<th>Program</th>
<th>FY 2009</th>
<th>FY 2010</th>
</tr>
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<tbody>
<tr>
<td>Early Reading First</td>
<td>84.359</td>
<td>850,428</td>
</tr>
<tr>
<td>Compassion Capital Fund</td>
<td>93.009</td>
<td>95,643</td>
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<tr>
<td>Maternal and Child Health Federal Consolidated Programs</td>
<td>93.110</td>
<td>67,366</td>
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<tr>
<td>ARRA Equipment to Enhance Training for Health Professionals</td>
<td>93.411</td>
<td>213,706</td>
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<tr>
<td>Medicaid Infrastructure Grants To Support the Competitive Employment</td>
<td>93.768</td>
<td>6,712</td>
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<tr>
<td>of People with Disabilities</td>
<td></td>
<td></td>
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<tr>
<td>Health Careers Opportunity Program</td>
<td>93.822</td>
<td>253,049</td>
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<tr>
<td>Learn and Serve America - Higher Education</td>
<td>94.005</td>
<td>282,697</td>
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<tr>
<td>Planning and Program Development Grants</td>
<td>94.007</td>
<td>145,446</td>
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<tr>
<td>USAID Development Partnerships for University Cooperation and Development</td>
<td>98.012</td>
<td>2,990</td>
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<tr>
<td>Total Other Federal Assistance</td>
<td></td>
<td>5,022,454</td>
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</table>

Total Awards to Subrecipients $52,324,938
PART II

REPORTS ON INTERNAL CONTROL AND COMPLIANCE
Report of Independent Certified Public Accountants on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards

Board of Trustees of the University of Massachusetts:

We have audited the financial statements of the business-type activities and the aggregate discretely presented component units of the University of Massachusetts (the “University”) as of and for the year ended June 30, 2011, which collectively comprise the University’s basic financial statements, and have issued our report thereon dated December 15, 2011. We conducted our audit in accordance with auditing standards generally accepted in the United States of America established by the American Institute of Certified Public Accountants and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States. The financial statements of the University of Massachusetts Amherst Foundation, Worcester City Campus Corporation, the University of Massachusetts Foundation and the University of Massachusetts Dartmouth Foundation, Inc. were not audited in accordance with Government Auditing Standards.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered the University’s internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University’s internal control over financial reporting. Accordingly, we express no such opinion.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity’s financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control would not necessarily identify all deficiencies in internal control over financial reporting that might be material weaknesses. Given these limitations, during our audit, we did not identify any deficiencies in the University’s internal control over financial reporting that we consider to be material weaknesses. However, material weaknesses may exist that were not identified.
Compliance and Other Matters

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

We noted certain matters that we have reported to management of the University in a separate letter dated December 15, 2011.

This report is intended solely for the information and use of management, the Board of Trustees, federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

Grant Thornton LLP

Boston, Massachusetts
December 15, 2011
Board of Trustees of the
University of Massachusetts:

Compliance

We have audited the compliance of the University of Massachusetts (the “University”) with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2011. The University’s major federal programs are identified in the summary of auditors’ results section of the accompanying Schedule of Findings and Questioned Costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of the University’s management. Our responsibility is to express an opinion on the University’s compliance based on our audit.

As discussed in note (1) to the schedule of expenditures of federal awards, the University’s basic financial statements include the operations of certain entities whose federal awards are not included in the accompanying Schedule of Expenditures of Federal Awards for the year ended June 30, 2011. Our audit, described below, did not include the operations of the entities identified in note (1) as these entities conducted separate audits in accordance with OMB Circular A-133, if required.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America established by the American Institute of Certified Public Accountants, the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University’s compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the University’s compliance with those requirements.
In our opinion, the University complied, in all material respects, with the requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2011. However, the results of our audit procedures disclosed instances of noncompliance, described in the accompanying Schedule of Findings and Questioned Costs as items 11-01 through 11-5, that are required to be reported in accordance with OMB Circular A-133.

We did not audit the University's compliance with the requirements governing student loan repayment processing in accordance with the requirements of the Federal Perkins Loan program as described in the Compliance Supplement. Those requirements govern functions performed by Education Loan Servicing, LLC (d/b/a Campus Partners). Since we did not apply audit procedures to satisfy ourselves as to compliance with those requirements, the scope of our work was not sufficient to enable us to express, and we do not express, an opinion on compliance with those requirements. Campus Partners' compliance with the requirements governing the function that is performs for the University for the year ended June 30, 2011 was examined by other accountants in accordance with the U.S. Department of Education's Audit Guide, Audits of Federal Student Financial Assistance Programs at Participating Institutions and Institution Servicers. Based on our review of the service organization's accountants report, we have determined that all of the compliance requirements included in the Compliance Supplement that are applicable to the University's federal student assistance cluster are addressed in either our report or the report of the service organization's accountants. Further, based on our review of the service organization's accountants report, we have determined that it does not contain any findings of noncompliance that would have a direct and material effect on the University's federal student financial assistance cluster.

Internal Control Over Compliance

Management of the University is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the University's internal control over compliance with requirements that could have a direct and material effect on a major federal program as a basis for designing audit procedures for the purpose of expressing an opinion on compliance, but not for the purpose of expressing an opinion of the effectiveness of the University’s internal control over compliance. Accordingly, we express no such opinion.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control over compliance such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control would not necessarily identify all deficiencies in internal control over compliance that might be material weaknesses. Given these limitations, during our audit we did not identify any deficiencies in the University’s internal control that we consider to be a material weakness. However, material weaknesses may exist that were not identified.

Requirements governing student loan repayment processing in accordance with the requirements of the Federal Perkins Loan program as described in the Compliance Supplement are performed by Campus Partners. Internal control over compliance related to such functions for the year ended June 30, 2011 was reported on by other accountants in accordance with the U.S. Department of Education's Audit Guide, Audits of Federal Student Financial Assistance Programs at Participating Institutions and Institution Servicers. A copy of the service organization's accountants report has been furnished to us. However, the scope of our work did not extend to internal control maintained at Campus Partners.

We did not audit the University's written response to the matters described in the accompanying Schedule of Findings and Questioned Costs and accordingly, we express no opinion on it.
This report is intended solely for the information and use of management, the University's Board of Trustees, federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

Grant Thornton LLP
Boston, Massachusetts
December 15, 2011
PART III

SCHEDULE OF FINDINGS AND QUESTIONED COSTS
Section 1

Financial Statements

1. Type of auditor's report issued:

2. Internal control over financial reporting:
   a. Material weaknesses identified? No
   b. Significant deficiencies identified not considered to be material weaknesses? No
   c. Noncompliance material to the financial statements noted? No

Federal Awards

1. Internal control over major programs:
   a. Material weaknesses identified? No
   b. Significant deficiencies identified not considered to be material weaknesses? No

2. Type of auditor's report issued on compliance for major programs:

3. Any audit findings disclosed that are required to be reported in accordance with Section 510(a) of Circular A-133? Yes

4. Identification of major programs:

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Name of Federal Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cluster Program*</td>
<td>Research and Development</td>
</tr>
<tr>
<td>Cluster Program*</td>
<td>Student Financial Aid</td>
</tr>
<tr>
<td>Cluster Program*</td>
<td>TRIO</td>
</tr>
<tr>
<td>84.394, 84.397</td>
<td>State Stabilization Fund</td>
</tr>
<tr>
<td>10.500</td>
<td>Cooperative Extension Services</td>
</tr>
</tbody>
</table>

5. Dollar threshold used to distinguish between Type A and Type B programs: $3,000,000

6. Auditee qualified as a low-risk auditee? Yes

* See schedule of expenditures of federal awards for a complete listing of federal awards that comprise the respective the Student Financial Assistance, Research and Development, and TRIO clusters.
Section 2

Financial Statement Findings

There are no findings related to the audit of the University's financial statements that are required to be reported under auditing standards generally accepted in the United States of America and Government Auditing Standards.
Section 3

Federal Award Findings and Questioned Costs

11-1 (Worcester Campus)

Compliance Requirement: Reporting

<table>
<thead>
<tr>
<th>Federal Programs Involved</th>
<th>Federal CFDA</th>
<th>Award Number</th>
<th>Award Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Institute of Health</td>
<td>93.855</td>
<td>NIH 5 P01 AI034533-17</td>
<td>4/1/10-3/31/11</td>
</tr>
</tbody>
</table>

Criteria

Per CFR 92.40, “Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports.” For the “Flavivirus Infections: Pathogenesis and Prevention: Project 1” award referenced above, the institution is required to submit an annual progress report within 45 days of the next budget year start date.

Condition Found

Based on testing performed UMass Worcester did not submit the annual progress report for the award in a timely manner. The report should have been submitted on 2/15/2011 but was actually submitted on 2/23/2011.

Questioned Costs

We did not identify any questioned costs with this finding.

Cause

The late reporting was due to the lack of communication provided to the new Principal Investigator that took over the project.

Effect

The failure to meet the reporting deadline could impact future funding.

Recommendation

Management should make use of a tickler file to inform the Worcester team far in advance that a report is due and then again 15 days before the report is due in order to ensure that the team is aware of the upcoming report deadline. Also, Management should consider having a new Principal Investigator orientation where the research team can go over the requirements of the grant with the new Principal Investigator.

View of Responsible Officials and Planned Corrective Action

See the University’s views and corrective action plan.
11-2 (Boston Campus)

Compliance Requirement: Matching, Level of Effort and Earmarking

<table>
<thead>
<tr>
<th>Federal Programs Involved</th>
<th>Federal CFDA</th>
<th>Award Number</th>
<th>Award Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration for Children &amp; Families</td>
<td>93.632</td>
<td>90DD0658/03</td>
<td>10/1/08-9/21/11</td>
</tr>
</tbody>
</table>

Criteria

Per 45 CFR 74.23- Cost sharing or matching, awardees must meet the matching requirements set forth in the grant. For the “A Consortium on Postsecondary Education for Individuals with Developmental Disabilities” award referenced above the client is required to match 25.74% of the total allowable budget, totaling $277,000, for the award year.

Condition Found

We selected a total of 3 grants requiring cost sharing for testing at the Boston Campus for the research and development cluster.

Based on testing performed, the Boston campus did not match the annual requirement for one award. UMass Boston matched 22.22% of the total available budget, totaling $239,112, failing to meet the requirement by 3.52% or $37,888.

Questioned Costs

We did not identify any questioned costs with this finding.

Cause

The Principal Investigator did not monitor the cost share annually as the Principal Investigator viewed the grant as a five year grant and thought that the match had to be made by the end of the grant not at the end of each award year, which is required per the grant.

Effect

The required amount of matching funds was not obtained for this grant.

Recommendation

The Office of Research and Sponsored Programs should periodically request support for cost share amounts during each grant period to ensure that the project is on track for meeting its cost share requirements.

View of Responsible Officials and Planned Corrective Action

See the University’s views and corrective action plan.
University of Massachusetts  
Schedule of Findings and Questioned Costs  
For the year ended June 30, 2011

11-3 (Boston Campus)

Compliance Requirement: Reporting

<table>
<thead>
<tr>
<th>Federal Programs Involved</th>
<th>Federal CFDA</th>
<th>Award Number</th>
<th>Award Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration for Children and Families</td>
<td>93.632</td>
<td>90DD0658/03</td>
<td>10/1/08-9/21/11</td>
</tr>
</tbody>
</table>

Criteria

Per 45 CFR 92.40, “Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports…quarterly or semi-annual reports shall be due 30 days after the reporting period.” For the “A consortium on Postsecondary Education for individuals with Developmental Disabilities” award referenced above, the institution is required to submit a semi-annual financial report within thirty days of July 30, 2010 and January 30, 2011.

Condition Found

We selected a total of 9 reports for testing at the Boston Campus for the research and development cluster.

Based on testing performed, for one grant tested, the Boston Campus did not submit the July 30, 2010 or January 30, 2011 semi-annual financial report.

Questioned Costs

We did not identify any questioned costs with this finding.

Cause

The failure to fulfill the necessary reporting requirements was caused by a lack of communication between the Principal Investigator and the Office of Research and Sponsored Programs (ORSP) in conjunction with employee turnover in the ORSP department. As of result, the reporting requirements were not entered into the system and as such the system did not notify ORSP that a report was due.

Effect

The federal agency did not receive the required report in accordance with the requirement.

Recommendation

Management should ensure that the Principal Investigators are communicating all notifications from the agency to ORSP so that tracking of required reports are monitored.

View of Responsible Officials and Planned Corrective Action

See the University’s views and corrective action plan.
11-4 (Boston Campus)

Compliance Requirement: Special Tests and Provisions

<table>
<thead>
<tr>
<th>Federal Programs Involved</th>
<th>Federal CFDA</th>
<th>Award Number</th>
<th>Award Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Institutes of Health</td>
<td>93.701</td>
<td>NIH 5 1 RC1 MH088716-01</td>
<td>9/30/09-8/31/11</td>
</tr>
</tbody>
</table>

Criteria

Per NIH 8.2.1 Rights in Data, for each publication that results from NIH grant-supported research, grantees must include an acknowledgment of NIH grant support and a disclaimer stating the following:

For the “ARRA - Evaluating effectiveness of a statewide public mental health re-entry program” award referenced above, the institution is required to acknowledge the aid received from the National Institute of Health (NIH) in any publications that are issued.

Condition Found

We selected a total of 6 grants with publications for testing at the Boston Campus for the research and development cluster.

Based on testing performed, the Boston Campus did not reference funding from the NIH when publishing the article “Harmonizing Databases: Research notes on an Evaluation of a Public Mental Health Re-entry Program in Massachusetts” on the National Institute of Corrections website.

Questioned Costs

We did not identify any questioned costs with this finding.

Cause

The website editor removed reference of the NIH funding and the article was not reviewed in a timely manner by the Principal Investigator.

Effect

As a result, the required reference of the NIH funding was not included in the article.

Recommendation

Management should ensure that the Principal Investigators are reviewing final drafts of all publications before publication release and should view the publication after the release to ensure that edits were not made.

View of Responsible Officials and Planned Corrective Action

See the University’s views and corrective action plan.
11-5 (Boston Campus)

Compliance Requirement: Allowable Costs

<table>
<thead>
<tr>
<th>Federal Programs Involved</th>
<th>Federal CFDA</th>
<th>Award Number</th>
<th>Award Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>NIH: Minority Health and Health Disparities</td>
<td>93.307</td>
<td>5P20MD002290-04</td>
<td>6/1/10-5/31/11</td>
</tr>
</tbody>
</table>

Criteria

Per NIH 7.2 Cost Principles, “NIH grant awards provide for reimbursement of actual, allowable costs incurred and are subject to Federal cost principles.” All expenditures must be fully incurred in the period prior to being reimbursed by the sponsor.

Condition Found

We selected a total of 25 expenditures for testing at the Boston Campus for the research and development cluster.

Based on testing performed, for one item tested, the Boston Campus purchased $700 of cab vouchers for transportation purposes. As of the close of the budget year there was still $500 of cab vouchers that had not been used. As such the expenditure had not been incurred and was improperly reimbursed.

Questioned Costs

The questioned costs were $500 as they were not incurred.

Cause

The department purchased cab vouchers in advance in accordance with their sixth month plan however due to a personnel change during the second month the remainder of the vouchers were not used. The University did not have a review procedure in place to identify unused expenditures for reclassification.

Effect

As a result, costs were charged to the grant that were not actually incurred.

Recommendation

Management should put in place a review of any prepaid costs associated with federal funds to ensure that all associated costs were incurred on a timely basis.

View of Responsible Officials and Planned Corrective Action

See the University’s views and corrective action plan.
PART IV

2011 VIEWS OF RESPONSIBLE OFFICIALS AND PLANNED CORRECTIVE ACTION
University of Massachusetts
2011 Views of Responsible Officials and Planned Corrective Actions

OMB Circular A-133 Audit
Schedule of Findings and Questioned Costs
For the year ended June 30, 2011

(Reference Schedule of Findings and Questioned Costs for Complete Findings Narratives)

Compliance Requirement: Reporting

Worcester Campus

Finding No. 11-1

Currently, the Principal Investigator is notified via eRA Commons email sixty days in advance of the due date of an NIH progress report. Since the late submission was due to unusual circumstances, Management believes it is not necessary to materially modify the existing process. Management will continue to provide investigators and administrators training on using existing report tracking resources and will increase and standardize the frequency of monitoring of eRA Commons to ensure timely submission of progress reports.

Contact Person(s):

Diego Vazquez, Assistant Vice Provost, Research Funding Services (508) 856-5600
Sandra Flynn, Controller (508) 856-1507

Compliance Requirement: Matching, Level of Effort and Earmarking

Boston Campus

Finding No. 11-2

The Office of Research and Sponsored Programs (ORSP) reports cost share according to reporting requirements from sponsors. Principal Investigators provide ORSP with actual cost share expense information and supporting documentation each time there is a report due. ORSP and Principal Investigators review cost share balances and take action if cost share is not being met as proposed.

Due to the high volume and complexity of awards in the Institute for Community Inclusion (ICI), cost share review is done at the time of financial reporting only. The ICI will increase the frequency of cost share reviewing by:
1. Generating reports for Principal Investigators on a quarterly basis, regardless of the financial reporting frequency required by the sponsor. This will allow the department to ensure matching requirements are met on a timely basis.

2. Reviewing the cost share percentage for each employee who is matched on a federal project every time a new Personnel Action Form is completed. Principal Investigators will be notified about matching costs availability in order to meet the requirements of each federal grant.

In addition, ORSP will generate reminders for ICI prior to financial reporting, in an effort to evaluate cost share expense well in advance of reporting due dates.

**Contact Person(s):**

Paul M. Mullane, Deputy Director, ORSP  (617) 287-7879
Leanne Marden, Director of Fiscal Operations & Controller  (617) 287-5196

**Compliance Requirement: Reporting**

Boston Campus

**Finding No. 11-3**

The ORSP is responsible for submitting financial reports to sponsors with the frequency and detail specific to each award.

To manage this activity, ORSP has implemented the use of the Milestones Tool and Report in the PeopleSoft Finance System that records the type, frequency, due date, status and details of each financial report for each award. This tool serves as a reminder and a master list of all financial deliverables for all sponsored projects.

ORSP will develop a report to identify awards with no reporting milestones in the system in order to account for all financial deliverables, including those that may have not been communicated directly to ORSP.

ORSP will disseminate periodic emails to Principal Investigators and Departmental Business and Grants Managers reminding them of the importance of forwarding notifications from the sponsors to ORSP.

**Contact Person(s):**

Paul M. Mullane, Deputy Director, ORSP  (617) 287-7879
Leanne Marden, Director of Fiscal Operations & Controller  (617) 287-5196
Compliance Requirement: Special Tests and Provisions

Boston Campus

Finding No. 11-4

The Principal Investigator included complete grant information and acknowledged the aid received from the NIH in its article but the publisher excluded it prior to publication. Upon receiving the feedback from the auditors, the Principal Investigator contacted the publisher who has re-inserted the grant information and re-published the online research brief.

The Principal Investigator will review final drafts of all publications before the publication release, and will view the publication after the release to ensure that edits were not made.

ORSP will disseminate information on publications and copyrighting to Principal Investigators and departments by adding the following hyperlink to its Education and Training website, and at ORSP Principal Investigator Education and Training workshop sessions:

NIH 8.2.1 Rights in Data (Publication and Copyrighting)


Contact Person(s):

Paul M. Mullane, Deputy Director, ORSP (617) 287-7879
Leanne Marden, Director of Fiscal Operations & Controller (617) 287-5196

Compliance Requirement: Allowable Costs

Boston Campus

Finding No. 11-5

The Principal Investigator accurately estimated the cost of taxi fare to be used in the previous award year and due to unexpected circumstances the actual cost was less than estimated. The Principal Investigator estimates that the balance of the prepaid cost will be spent during the current award year. ORSP has initiated with the Principal Investigator and business manager the processes to reclassify the balance of the prepaid cost to an institutional fund. Once the balance is spent down it will be charged back to the grant.

Prepaid costs are very infrequent in sponsored projects. ORSP will address this infrequent occurrence within sponsored research training sessions and through educating Principal Investigators and business managers about applicable cost principles. Also, ORSP will disseminate information on applicable cost principles regarding the use of federal funds to Principal Investigators and departments by adding the following hyperlink to its Education and Training website: http://www.whitehouse.gov/omb/circulars_index.education/

Contact Person(s):

Paul M. Mullane, Deputy Director, ORSP (617) 287-7879
Leanne Marden, Director of Fiscal Operations & Controller (617) 287-5196
PART V
SUMMARY SCHEDULE OF PRIOR YEAR AUDIT FINDINGS
Finding No. 10-01: Compliance Requirements: Allowable Costs/Cost Principles

Dartmouth Campus

Original Response

While management acknowledges that written approval from the Principal Investigator (PI) was not obtained prior to the purchase, we have received an email from the PI stating that verbal approval was given to the administrative assistant along with signature, on the Procard statement, verifying the purchase. Reminders of written purchasing delegation are also included on the Office of Research Administration website.

Status

The UMass Board of Trustees Policy for the Development and Administration of Grants, Contracts and Cooperative Agreements For Sponsored Programs can be found on UMASSD.EDU.

Guidelines for processing expenditures are also located in the Grant Administration Guidelines on the Office of Research Administration website to provide guidance on sponsor acknowledgment.

Procedural changes were made in the review process to ensure that individuals approving expenditures had been properly authorized by the Principal Investigator. Reminders regarding signature approval were included in both Fall 2010 and Winter 2011 Office of Research Administration Newsletters.

Contact Person(s):
Joanne Zanella-Litke, Director, Office of Research Administration (508) 999-8942
Suzanne Audet, Controller (508) 999-8076

Finding No. 10-02: Compliance Requirements: Allowable Costs / Cost Principles

Worcester Campus

Original Response

It is the policy and practice of the campus to require PI, or appropriate designee, approval on all expenses charged to a sponsored project. In this circumstance, contemporaneous supporting documentation and email authorization from the Department Administrator exists, however the evidence of approval from the PI could not be located in the documentation and the Grant Accountant involved is no longer with the University and thus cannot confirm what was on hand at the time of the transaction. The PI confirmed the allowability of the charge and has subsequently provided his signature as evidence of approval. Due to the minimal value of the transaction and the circumstances regarding the misplaced documentation, Management believes it is not necessary to
modify its business process. Grant Accounting will continue to enforce its current policy requiring the approval of the PI on all sponsored project transactions.

**Status**

Grant Accounting continually discusses and publicizes, at all open forums and training sessions, the necessity for PI approval on all grant transactions. The Campus has a Research Administration Training Program attended by departmental staff that includes several courses with content covering the PI approval process. This training ensures that departmental staff and PIs are aware of the University policy.

**Contact Person(s):**
Amy Miarecki, Senior Director, Post Award Administration  
(508)856-5401  
Sandra Flynn, Controller  
(508)856-1507

**Finding No. 10-03: Compliance Requirements: Allowable Costs / Cost Principles: Cost Transfers**  
**Dartmouth Campus**

**Original Response**

While University procedures do not strictly prohibit cost transfers over 90 days, management has modified the cost transfer form to require further justification from the Principal Investigator prior to the processing of any late cost transfers. This justification should reduce late cost transfers.

**Status**

A new cost transfer form was developed and implemented with a section specifically dedicated to costs incurred greater than 90 days. This new form contains information that facilitates monitoring and ensures cost transfers are recorded within 90 days of the original transaction date.

**Contact Person(s):**
Joanne Zanella-Litke, Director, Office of Research Administration  
(508) 999-8942  
Suzanne Audet, Controller  
(508) 999-8076

**Finding No. 10-04: Compliance Requirements: Allowable Costs / Cost Principles: Cost Transfers**  
**Amherst Campus**

**Original Response**

The two cost transfers not processed within 90 days of the original transactions resulted from Procard transactions not reallocated during the allowable reallocation period. Both cost transfer forms included a justification for exceeding the 90 day limit in accordance with campus Policy on cost transfers over 90 days.

Management will continue to provide greater emphasis on cost transfers during the semi-annual grants post-award training series, and the required Procard training to make sure department end users understand the importance of reconciling grant expenses in a timelier manner. In addition, the
assistant controller or designee will review all cost transfers greater than 90 days to assess the reasonableness of the justification for late submission.

Status

Management continues to provide workshops and trainings to Principal Investigators and other staff members to emphasize the need to reconcile monthly grant reports more timely so as to reduce cost transfers over 90 days.

As a result of this continued emphasis and the Assistant Controller's review of every cost transfer over 90 days, we have fewer transfers over 90 days and better justification from departments on those approved.

Contact Person(s):
Sam Killings, Assistant Controller
Andrew Mangels, Controller

Finding No. 10-05: Compliance Requirements: Cash Management

Worcester Campus

Original Response

Less than 1% of the Medical School’s federal grants and contracts reimbursement requests are processed and billed outside of the centralized Grant Accounting Office, the above grant was one processed by the PI’s department. Management is conducting a review of all cash reimbursements processed and billed outside of Grant Accounting to evaluate the opportunity to enhance controls by centralizing the responsibilities. For the award in question, Grant Accounting will assume the monthly billing responsibilities. In cases where, for business reasons, processing and billing should not be centralized, controls will be developed and implemented to ensure review and reconciliation is done by Grant Accounting on a periodic basis.

Status

Grant Accounting has implemented a control to review cost reimbursable invoices processed by decentralized departments to ensure the expenditures invoiced and payments remitted are in accordance with the terms and conditions of the sponsor.

Contact Person(s):
Amy Miarecki, Senior Director, Post Award Administration
Sandra Flynn, Controller

Finding No. 10-06: Compliance Requirements: Period of Availability

Amherst Campus

Original Response

Management will work more closely with Principal Investigators to close expired grants timely to ensure charges are stopped timely after the award expiration date.
Management implemented an enhanced expired award close out procedure which allows the Controller's Office to stop all charges and inactivate expired awards within a reasonable time after the award end date.

Contact Person(s):
Sam Killings, Assistant Controller  (413) 545-0806
Andrew Mangels, Controller  (413) 545-1675

Finding No. 10-07: Compliance Requirements: Reporting Amherst Campus

Original Response

The Financial Status Reports (FSRs) were filed late because in the reconciliation process the principal investigators noted adjustments that were needed to accurately reflect grant expenditures. The grant accounting staff waited to file the FSRs until the expenses posted.

Management will continue to stress the importance of filing FSRs on time and will require the grant accounting staff to file FSRs with unliquidated obligation as provided by OMB to ensure FSRs are filed timely.

Status

To improve timely submission of FSRs, we continue to enforce the importance of timely financial reporting to sponsors in our workshops and training. In addition to the training, Management has implemented a process whereby research accountants work closely with the Principal Investigator and his/her staff to finalize charges within a reasonable time so they can submit the FSR's on time. Research Accountants send out expired account letters to Principal Investigators monthly and follow up with them 30 days after the award expires.

Contact Person(s):
Sam Killings, Assistant Controller  (413) 545-0806
Andrew Mangels, Controller  (413) 545-1675

Finding No. 10-08: Compliance Requirements: Publications Amherst Campus

Original Response

In the first publication the principal investigator acknowledged the correct sponsor but cited an earlier grant from that agency instead of the current grant. Both grants partially funded the research contributing to the publication. In the second publication the principal investigator acknowledged the sponsor who reviewed the publication before submission, and acknowledged an additional sponsor but did not specify the specific sponsor awards that contributed to the published research.

Management will continue to remind principal investigators of their responsibility to acknowledge all funding sources by name and award number in any publications.
Status

Management continues to remind Principal Investigators of their responsibility to acknowledge all funding sources in their publications. This is covered in our training and correspondence to Principal Investigators.

Contact Person(s):
Sam Killings, Assistant Controller          (413) 545-0806
Andrew Mangels, Controller               (413) 545-1675

Finding No. 10-09: Compliance Requirements: Publications
     Dartmouth Campus

Original Response

Management agrees that the sponsor was not acknowledged in the publications as required. A reminder of this required acknowledgment was included in the Office of Research Administration (ORA) newsletter which is distributed to deans, chairs, and faculty. The newsletter is also on the ORA website.

Status

A reminder about the federal publishing requirement and signature approval on expenditures was included in the Office of Research Administration Fall 2010 newsletter. It was repeated in the ORA Winter 2011 newsletter. Both newsletters are available on the University’s website, UMASSD.EDU.

A paragraph has been added to the Grant Administration Guidelines on the Office of Research Administration website to provide guidance on sponsor acknowledgment.

Contact Person(s):
Joanne Zanella-Litke, Director, Office of Research Administration  (508) 999-8942
Suzanne Audet, Controller                             (508) 999-8076

Finding No. 10-10: Compliance Requirements – Special Tests and Provisions – Eligibility
     Dartmouth Campus

Original Response

Management will randomly select a population of students to ensure the student’s cost of attendance and individual budget items are entered correctly.

Status

A control has been implemented whereby the Director of Financial Aid reviews student budgets, on a sample basis, to ensure they are accurate.
Return of Title IV Funds
Dartmouth Campus

Original Response

Management will obtain a weekly report of students needing a Return of Title IV Funds. The report will include the calculation and identifies the days since withdrawal was notified, to ensure timely completion and return of these funds.

Status

Title IV funds are now being returned to the Federal Government timely with the aid of a report, that is run weekly, and monitored by both the Director and Assistant Director of Financial Aid.

Contact Person(s):
Bruce Palmer, Financial Aid Director (508) 999-8634
Suzanne Audet, Controller (508) 999-8076

Student Status Changes
Amherst Campus

Original Response

Management is running a report to do error checking and follow-up on student status changes to compensate for staff reductions. The campus uses the date that a student is cleared for graduation as the basis for reporting to the clearinghouse. For students with administrative holds and other items requiring analysis, this date is often beyond the commencement date and causes a delay in reporting. The campus will need to evaluate the consequences of changing academic and administrative policies to comply with the regulation.

Status

Management runs the error checking report and follows up on all items captured in the report to ensure accurate and timely enrollment reporting. A firm deadline for graduation clearances was instituted, a new transmission to the National Student Clearinghouse for end of term withdrawals was initiated, and documentation was updated.

Contact Person(s):
John Lenzi, Registrar (413) 545-4630
Andrew Mangels, Controller (413) 545-1675
Student Status Changes
Lowell Campus

Original Response

The Registrar’s Office at the University of Massachusetts Lowell has changed the procedure for submitting reports to the National Clearinghouse (Clearinghouse). In the past the documents were processed in Shrewsbury and sent to Lowell for verification then returned back to Shrewsbury to be submitted to the Clearinghouse. We now generate the list in Lowell, review it in Lowell and send it to the clearinghouse from Lowell.

We have also changed the graduation dates for Summer and Fall. In the past students who completed degree requirements in the Summer did not graduate until October 15 and those who completed in the Fall graduated February 15th. Clearinghouse reports at the start of the Fall semester included summer graduates and the January clearinghouse reports included the December graduates as active students. We have moved the graduation date up to August for summer graduates and January 1 for Fall graduates. The graduate only lists will be generated earlier which should end any confusion.

Status

2011 summer degrees are posted before the First of Term (September 23, 2011) report is sent to the National Student Clearinghouse. The summer 2011 degree date was September 1, 2011. The Information Technology staff presents the First of Term report to the registrar. The registrar reviews the report. If the report is approved, the Registrar sends the report to the Clearinghouse.

Beginning December 2011, students will not be able to drop all their courses and withdraw from the University online. Students must inform the Registrar’s Office in person or by using the form located at the Registrar’s web site. The Registrar’s Office will then inform related offices, including National Student Loan Data System.

Contact Person(s):
Patricia Duff, Registrar (978) 934-2550
Steven O’Riordan, Associate Vice Chancellor (978) 934-3450

Student Status Changes
Dartmouth Campus

Original Response

Management will ensure that the appropriate exit date is recorded in the student system, in accordance with the academic calendar.

Status

Management reviewed and changed the process whereby the student status change date is now consistent between the Registrar’s Office, the Financial Aid Office and the Student Affairs Office.
Training was completed to ensure that appropriate dates are being used on all withdrawals to adhere to timely reporting requirements.

Contact Person(s):
Carnell Jones, Registrar (508) 999-8618
Suzanne Audet, Controller (508) 999-8076

Student Loan Repayments Funds
Amherst Campus

Original Response

The Amherst campus provides exit interview materials through interactive electronic means as required by the regulations for all withdrawn students. In addition, the withdrawal form indicates that a student with federal financial aid must contact the financial aid office to review the status of financial aid. Finally, the student loan office provides a letter to withdrawn students informing them of the need to complete the on-line exit interview. Due to staffing reductions and re-assignments, the student loan office provided the letters later than usual for approximately two months during the year. The office has instituted a new process to run withdrawal reports weekly to provide letters more timely. The language on the withdrawal form has been changed to more clearly indicate the need for Perkins loan borrowers to contact the student loan office as well.

Status

The Student Loan Office has written queries that are run on (at least) a bi-weekly basis. This eliminates our previous dependence on other offices for periodic updates of "walk-off" students. In addition, the transitional staff has now been fully trained and is aware of the importance of regular, periodic review of the files. The process for exit interviews for graduating students remains in compliance and no changes have been made to that process.

Contact Person(s):
Andrew Mangels, Controller (413) 545-1675
Thomas Mathers, Associate Controller & Bursar (413) 545-1675

Federal Work Study
Dartmouth Campus

Original Response

Management will communicate the importance of the adherence to record retention policies for all time keeping documentation.

Status

The On-Campus Supervisor Handbook includes a section Supervisor’s Rights and Responsibilities. The last bullet indicates that all timesheets must be maintained for seven years.
Ongoing communication to enforce the records retention policy is planned by means of supervisor training sessions planned for Fall 2011. A UMD Notify will also be sent to all employees, at the start of the semester, as a reminder.

**Contact Person(s):**
Bruce Palmer, Financial Aid Director  
Suzanne Audet, Controller  
(508) 999-8634  
(508) 999-8076