

**2019 Annual Report  
University of Southern Maine**

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*This report has been submitted.*

**Section 1: General Information and Institutional Catalog**

Institution Name: University of Southern Maine  
Street Address 1: P.O. Box 9300, 96 Falmouth Street  
Street Address 2:  
City: Portland  
State: ME  
Zip + 4: 04104-9300  
Main Phone Number: [1] 207-780-4141  
Main Fax Number: [1] 207-780-4933  
Country:  
Website Address: www.usm.maine.edu  
Control: Public  
Profit Status: Not-for-profit  
Notes:

**Information for dues invoice.**

Dues invoices from CIHE of NEASC are sent to your institution's Chief Executive Officer. If you want to have the invoice sent to someone other than the CEO, please provide that information below.

Invoice Name:  
Invoice Title:  
Invoice Street Address 1:  
Invoice Street Address 2:  
Invoice City:  
Invoice State:  
Invoice Zip:  
Invoice Country:

**Section 2: Key Contact Information**

**Chief Executive Officer**

Name: Dr. Glenn A. Cummings  
Title: President  
Street Address 1: P.O. Box 9300, 96 Falmouth Street  
Street Address 2:  
City: Portland  
State: ME  
Zip + 4: 04104-9300  
Country:  
E-Mail: president@usm.maine.edu  
Phone Number: [1] 207-780-4480  
Extension:  
Fax Number:  
Assistant Name: Julie Costanzo  
Assistant Phone Number: [1] 207-780-4480  
Assistant E-Mail: julie.costanzo@maine.edu

If there will be a change in your institution's Chief Executive Officer and the incoming CEO's contact information is available, please provide it below. If this information is not available at this time, please provide it when it is.

New CEO Name:

Title:

Email:

Effective Date of  
Appointment:

**Chief Academic Officer**

Name: Dr. Jeannine Diddle Uzzi

Title: Provost

Street Address 1: P.O. Box 9300, 96 Falmouth Street

Street Address 2:

City: Portland

State: ME

Zip + 4: 04104-9300

Country:

E-Mail: jeannine.uzzi@maine.edu

Phone Number: [1] 207-780-4485

Extension:

Fax Number:

If there will be a change in your institution's Chief Academic Officer (CAO) and the incoming CAO's contact information is available, please provide it below. If this information is not available at this time, please provide it when it is.

New CAO Name:

Title:

Email:

Effective Date of  
Appointment:

**Accreditation Liaison Officer**

Name: Currently in search

Title: Vice Provost for Mission and Accreditation

Street Address 1: P.O. Box 9300, 96 Falmouth St.

Street Address 2:

City: Portland

State: ME

Zip + 4: 04104-9300

Country:

E-Mail:

Phone Number: [1] 207-780-4485

Extension:

Fax Number:

If there will be a change in your institution's Accreditation Liaison Officer (ALO) and the incoming ALO's contact information is available, please provide it below. If this information is not available at this time, please provide it when it is.

New ALO Name:

Title:

Email:

Effective Date of  
Appointment:

**Chief Financial Officer (CFO)**

Name: Mr. Alexander Porteous

Title: Chief Business Officer

Street Address 1: P.O. Box 9300, 96 Falmouth St.

Street Address 2:

City: Portland

State: Maine

Zip + 4: 04104-9300

Country:

E-Mail: alexander.porteous@maine.edu

Phone Number: 207-780-4497

Extension:

Fax Number: 207-780-4549

If there will be a change in your institution's Chief Financial Officer and the incoming CFO's contact information is available, please provide it below. If this information is not available at this time, please provide it when it is.

New CFO Name:

Title:

Email:

Effective Date of  
Appointment:

Notes:

### Section 3: Enrollment

#### Section A: Fall Enrollment

	<b>Full-Time Headcount</b>	<b>Part-Time Headcount</b>	<b>Total Headcount</b>	<b>FTE*</b>
<b>Undergraduate:</b>				
<b>Short-Term, Title IV- Eligible Certificates:</b>	0	0	<b>0</b>	0
<b>Associate's:</b>	0	0	<b>0</b>	0
<b>Bachelor's:</b>	4000	1281	<b>5281</b>	4399.7
<b>Dual Enrollment Students:</b>	0	519	<b>519</b>	145.733
<b>Non-Degree Students:</b>	22	568	<b>590</b>	184.567
<b>Graduate:</b>				
<b>Master's:</b>	437	792	<b>1229</b>	988.333
<b>Ph.D:</b>	7	45	<b>52</b>	34.22
<b>Other Doctorate:</b>	237	16	<b>253</b>	246.6
<b>Non-Degree Students:</b>	4	212	<b>216</b>	83.278
<b>TOTAL</b>	<b>4707</b>	<b>3433</b>	<b>8140</b>	<b>6082.43</b>

Undergraduate: 15 credits

Graduate: 9 credits

#### Section B: IPEDS 12-month Enrollment Survey

Undergraduates: 4851

Graduates: 1603

TOTAL: 6454

#### Section C: Enrollment in Competency-based Education programs (CBE)

	<b>Number of Programs</b>	<b>Headcount Enrollment</b>
Undergraduate certificate Programs	0	0
Undergraduate degree programs	0	0
Graduate certificate	0	0

programs		
Graduate degree programs	0	0
<b>TOTAL:</b>	<b>0</b>	<b>0</b>

Notes:

#### Section 4: Major Institutional Changes

#### Section 5: Contractual Relationships

**Screening Question 1:** In 2018-2019, did your institution offer academic programs or courses for which your institution granted (or will grant) credit, but which are operated through a contractual relationship by which instruction is provided by an *agency or organization that is not regionally accredited*?

No

**Screening Question 2:** Does your institution anticipate offering any such programs or courses in the future?

No

#### List of contractual programs or courses:

Notes:

#### Section 6: Off-Campus Locations and Programs

Location of main campus:

##### I: Main Campus:

According to our records, your institution's Main Campus is located at:

P.O. Box 9300, 96 Falmouth Street, Portland, ME

**Main Campus Fall 2018 Enrollment:** 8140  
(Headcount)

**Main Campus Annual Enrollment:** 10493

##### II: Other Principal Campus:

**Screening Question I:** Does your institution have or does it plan to establish other principal campuses as defined below:

A location away from the **Main Campus** that houses a portion or portions of the institution's academic program (e.g., the medical school), or a permanent location offering 100% of the degree requirements of one or more of the academic programs offered on the Main Campus, or which otherwise meets the definition of branch campus.

No

##### III: Branch Campuses and Instructional Locations

**Screening Question II:** Does your institution have or does it plan to establish a location other than the main campus as defined below:

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

**Instructional Location:** Any instructional site geographically apart from the **Main Campus** where 50% or more of a degree or credit-bearing certificate can be completed, but which otherwise does not meet the definition of Branch Campus. Not included in this definition are courses that are short-term, non-credit, community service, or non-traditional credit-bearing courses that are offered on an occasional basis in response to constituency needs or interests.

Yes

#### List of off-campus sites and programs:

(sites listed alphabetically by state, city; programs ordered alphabetically by program name)

Site: **Gorham Campus**  
**37 College Avenue, Gorham, ME 04038**  
 Type: **Other Principal Campus**  
 Status: **Current** Date Opened: **09/01/1875**

Fall Enrollment: **0**  
Total Annual Enrollment: *Not provided*

Site: **Lewiston Auburn Campus**  
**51 Westminster Street, Lewiston, ME 04240**

Type: **Other Principal Campus**  
Status: **Current** Date Opened: **09/01/1988**  
Fall Enrollment: **0**  
Total Annual Enrollment: *Not provided*

Site: **Portsmouth Naval Shipyard**  
**Wyman Ave, Kittery, NH**

Type: **Instructional Location**  
Status: **Current** Date Opened: **09/01/2006**  
Fall Enrollment: **46**  
Total Annual Enrollment: **62**

**Programs**

Program: **Industrial Technology**  
Degree Level: **B \***

**Enrollment**

Fall: **46** Annual: **62**

Total program enrollment for this site Fall: **46** Annual: **62**

\*An asterisk after a degree level indicates a "degree completion" program.

Notes:

**Section 7: Distance Education Programs**

**Screening Question 1:** During 2018-2019, did your institution offer either of the following:

- a. degree or certificate programs in which 50% or more of the credit towards the degree/certificate can be earned through technologically mediated instruction to students at a distance; or,
- b. degree completion programs in which a degree can be completed on-line?

**Yes**

**Screening Question 2:** Does your institution have any plans to offer any such programs in the future?

*Please enter a response for this question*

**List of distance education programs:**

Program Name: **Certificate of Graduate Studies in HealthCare Quality/Patient Safety**  
Degree Level: **ND \***  
Enrollment - Fall: **4** Annual: **5**

Program Name: **Certificate of Graduate Study in Leadership Studies**  
Degree Level: **ND \***  
Enrollment - Fall: **4** Annual: **6**

Program Name: **Certificate of Graduate Studies in Creative Leadership/Global Strategy**  
Degree Level: **ND \***  
Enrollment - Fall: **0** Annual: **0**

Program Name: **Certificate of Graduate Studies in Applied Behavior Analysis**  
Degree Level: **ND \***  
Enrollment - Fall: **9** Annual: **16**

Program Name: **Certificate in Gerontology**  
Degree Level: **ND \***  
Enrollment - Fall: **8** Annual: **8**

Program Name: **Certificate in Leadership Studies**  
Degree Level: **ND \***  
Enrollment - Fall: **2** Annual: **3**

Program Name: **Certificate of Graduate Studies in English as a Second Language**  
Degree Level: **ND \***  
Enrollment - Fall: **8** Annual: **14**

Program Name: **Certificate in Creative Leadership & Global Studies**  
Degree Level: **ND \***  
Enrollment - Fall: **0** Annual: **0**

Program Name: **Business Administration General Management Generalist Track**  
Degree Level: **B \***  
Enrollment - Fall: **260** Annual: **301**

Program Name: **Leadership and Organizational Studies, Integrative Prof Studies Track**  
Degree Level: **B \***  
Enrollment - Fall: **20** Annual: **31**

Program Name: **Educational Psychology - Applied Behavior Analysis**

Degree Level: **M \***  
Enrollment - Fall: **54** Annual: **64**

Program Name: **Communication**  
Degree Level: **B \***  
Enrollment - Fall: **122** Annual: **159**

Program Name: **Social and Behavioral Sciences**  
Degree Level: **B \***  
Enrollment - Fall: **150** Annual: **0**

Program Name: **Liberal Studies, Humanities Track**  
Degree Level: **B \***  
Enrollment - Fall: **42** Annual: **82**

Program Name: **Leadership Studies**  
Degree Level: **M \***  
Enrollment - Fall: **60** Annual: **68**

Program Name: **Applied Technical Leadership**  
Degree Level: **B \***  
Enrollment - Fall: **11** Annual: **19**

Program Name: **Adult and Higher Education**  
Degree Level: **M \***  
Enrollment - Fall: **47** Annual: **58**

Program Name: **Leadership and Organizational Studies**  
Degree Level: **B \***  
Enrollment - Fall: **52** Annual: **73**

Program Name: **Social Work**  
Degree Level: **M**  
Enrollment - Fall: **0** Annual: **108**  
Notes: **This program opened in spring 2019.**

Program Name: **Mental Health Rehabilitation - CGS**  
Degree Level: **ND \***  
Enrollment - Fall: **4** Annual: **5**

Program Name: **Special Education - In-Service**  
Degree Level: **M \***  
Enrollment - Fall: **13** Annual: **17**

Program Name: **Special Education - Integrated**  
Degree Level: **M \***  
Enrollment - Fall: **12** Annual: **12**

Program Name: **Special Education - Pre-Service**  
Degree Level: **M \***  
Enrollment - Fall: **28** Annual: **35**

Program Name: **Teaching English as a Second Language**  
Degree Level: **M \***  
Enrollment - Fall: **29** Annual: **41**

Program Name: **Minor in Business Administration**  
Degree Level: **B \***  
Enrollment - Fall: **0** Annual: **54**

Program Name: **Minor in Communication and Media Studies**  
Degree Level: **B \***  
Enrollment - Fall: **0** Annual: **13**

Program Name: **Minor in Leadership Studies**  
Degree Level: **B \***  
Enrollment - Fall: **0** Annual: **32**

Total Distance Education Enrollment - Fall: 939 Annual: 1224

\*An asterisk after a degree level indicates a "degree completion" program.

Notes:

## Section 8: Correspondence Education Programs

**Screening Question 1:** During 2018-2019, did your institution offer programs which meet the criteria below established by the Higher Education Opportunity Act of 2008?

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

No

**Screening Question 2:** Does your institution have any plans to offer any such programs in the future?

No

**List of correspondence education programs:**

Total Correspondence Education Enrollment - Fall: 0 Annual: 0

\*An asterisk after a degree level indicates a "degree completion" program.

Notes:

**Section 9: I. Audit & Financial Information**

1. Institution's fiscal year end: 2019-06-30

2. Date the institution's most recent audited financial statements were completed: 10/2018

If longer than four months, provide the reason for the delay.

3. Did your institution receive an unmodified (formerly called unqualified) opinion from your auditor with regard to the most recent audited financial statement?

Yes

If not, provide the reason the institution did not receive an unmodified opinion.

**II. Financial Information**

1. Please enter the financial items specified below from the institution's audited financial statements.

**Note:**

- a. Please enter whole dollar amounts in U.S. dollars only.
- b. "Total Expenses" includes both operating and non operating expenses.

<b>Fiscal Year</b>	<b>2 Years Prior</b>	<b>1 Year Prior</b>	<b>Most Recently Completed</b>
	2016	2017	2018
Net Tuition Revenue	\$48,732,000	\$48,524,000	\$51,346,000
Total Operating Revenue	\$56,522,000	\$57,321,000	\$56,938,000
Total Expenses	\$151,579,000	\$159,548,000	\$165,327,000
Net Operating Income	\$-46,325,000	\$-53,703,000	\$-57,042,000
Cash and Cash Equivalents	\$24,370,000	\$22,416,000	\$25,118,000
Cash Flow from Operations	\$0	\$0	\$0

2. Has the institution continued to be in compliance with all of its debt covenants?

Yes

If not, describe the specific covenant violation (i.e., requirement of the lender vs. actual achieved by the institution). Also indicate whether a waiver has been secured from the lender and/or how the covenants were modified.

3. Has the institution needed to access its restricted net assets or liquidate other financial assets to fund operations?

No

If yes, please describe the amount and nature of the funds accessed and indicate when approvals (if required) were obtained from the state's authority.

**Section 10: Title IV Eligibility and Cohort Default Rates**

**Screening Question:** Does your institution participate in Title IV student financial assistance programs?

**Yes**

1) Does your institution use its accreditation (or candidacy status) with the Commission on Institutions of Higher Education (NEASC) as the basis for its eligibility to participate in the Title IV student financial assistance programs?

**Yes**

If "No," upon whose accreditation is your institution's eligibility based?

2) Does your institution offer any instructional programs which use direct assessment, in lieu of credit hours or clock hours, as a way to measure student learning?

**No**

If "Yes," please list them in the box below.

3) Your institution's official three-year cohort default rate for the most recent three years:

2014 3-Year Cohort Default Rate: 6.7% (released in 2017)	Number of borrowers 2373 this rate is based on:
2015 3-Year Cohort Default Rate: 6.2% (released in 2018)	Number of borrowers 2322 this rate is based on:
2016 3-Year Cohort Default Rate: % (draft rate released in 2019)	Number of borrowers 0 this rate is based on:

4) The Federal Loan Repayment rates are available through the College Score Card for institutions offering undergraduate programs.

2016 Federal loan repayment rate: %
2017 Federal loan repayment rate: %
2018 Federal loan repayment rate: %

Notes:

## Section 11: Student Achievement and Success

### A: Websites where information about student achievement and success is provided to the public

For recognition purposes and consistent with the Commission's Standard on Public Disclosure (9.24), the Commission is required by the U.S. Department of Education and the Council for Higher Education Accreditation (CHEA) to require institutions to provide information to the public, including information on student achievement and success, as determined by the institution.

Below, please indicate the URLs of the principal website(s) where the institution provides the public with information on student achievement and success.

URL Link 1: <http://usm.maine.edu/oir>

URL Link 2: <http://usm.maine.edu/assessment>

URL Link 3:

Notes:

Please limit your response to no more than 1,000 characters (about 14 full lines)

## B: Outcomes Measures Survey

### B1: Establishing Cohorts (July 1, 2010 - June 30, 2011: Full Year)

<u>Degree/Certificate-Seeking Undergraduate Students</u>	<u>2010-11 cohort</u>	<u>Exclusions to 2010-11 cohort</u>	<u>Adjusted 2010-11 cohort</u>
<b><u>First-time entering</u></b>			
<b>Full-time</b>			
Pell Grant recipients	385	0	385
Non-Pell Grant recipients	477	3	474
<b>Part-time</b>			
Pell Grant recipients	25	0	25
Non-Pell Grant recipients	36	0	36



**Non-first-time entering****Full-time**

Pell Grant recipients	354	0	354
Non-Pell Grant recipients	516	0	516

**Part-time**

Pell Grant recipients	107	0	107
Non-Pell Grant recipients	238	0	238

**Total Entering**

Pell Grant recipients	871	0	871
Non-Pell Grant recipients	1267	3	1264

**B2: Award Status at Four Years After Entry**

<u>Undergraduate Students</u>	Adjusted 2010-11 cohort	Number of students conferred an award by your institution (Highest award by August 31, 2014)			Total number awarded by your institution	Percent of adjusted cohort that received an award from your institution
		<u>Certificates</u>	<u>Associates</u>	<u>Bachelors</u>		
<b>First-time entering</b>						
<b>Full-time</b>						
Pell Grant recipients	385	0	0	40	40	10%
Non-Pell Grant recipients	474	0	0	65	65	14%
<b>Part-time</b>						
Pell Grant recipients	25	0	0	0	0	0%
Non-Pell Grant recipients	36	0	0	1	1	3%
<b>Non-first-time entering</b>						
<b>Full-time</b>						
Pell Grant recipients	354	0	0	152	152	43%
Non-Pell Grant recipients	516	0	0	249	249	48%
<b>Part-time</b>						
Pell Grant recipients	107	0	0	33	33	31%
Non-Pell Grant recipients	238	0	0	68	68	29%
<b>Total Entering</b>						
Pell Grant recipients	871	0	0	225	225	26%
Non-Pell Grant recipients	1264	0	0	383	383	30%

**B3: Award Status at Six Years**

<u>Undergraduate Students</u>	Adjusted 2010-11 cohort	Number of students conferred an award by your institution (Highest award by August 31, 2016)			Total number awarded by your institution	Percent of adjusted cohort that received an award from your institution
		<u>Certificates</u>	<u>Associates</u>	<u>Bachelors</u>		
<b>First-time entering</b>						
<b>Full-time</b>						
Pell Grant	385	0	0	102	102	26%

recipients											
Non-Pell Grant recipients	474	0	1	163	164						35%
<b>Part-time</b>											
Pell Grant recipients	25	0	0	2	2						8%
Non-Pell Grant recipients	36	0	0	12	12						33%
<b>Non-first-time entering</b>											
<b>Full-time</b>											
Pell Grant recipients	354	0	0	183	183						52%
Non-Pell Grant recipients	516	0	0	290	290						56%
<b>Part-time</b>											
Pell Grant recipients	107	0	0	49	49						46%
Non-Pell Grant recipients	238	0	0	87	87						37%
<b>Total Entering</b>											
Pell Grant recipients	871	0	0	336	336						39%
Non-Pell Grant recipients	1264	0	1	552	553						44%

<b>B4: Award and Enrollment Status at Eight Years</b>												
	Adjusted 2010-11 cohort	Number of students conferred an award by your institution (From entry through August 31, 2018)				Total number of adjusted cohort that received an award from your institution	Percent of adjusted cohort that received an award from your institution	Number of students who did not receive an award from your institution (From entry through August 31, 2018)				Percent of adjusted cohort that did not receive an award, but are still enrolled at your institution and enrolled at another institution after leaving your institution
		Certificates	Associates	Bachelors				Number still enrolled at your institution	Number who enrolled at another institution	Number of students whose subsequent enrollment status is unknown	Total number who did not receive an award from your institution	
<b>First-time entering</b>												
<b>Full-time</b>												
Pell Grant recipients	385	0	0	116	116	30%	6	129	134	269	35%	
Non-Pell Grant recipients	474	0	0	177	177	37%	5	154	138	297	34%	
<b>Part-time</b>												
Pell Grant recipients	25	0	0	2	2	8%	1	8	14	23	36%	
Non-Pell Grant recipients	36	0	0	12	12	33%	1	9	14	24	28%	
<b>Non-first-time entering</b>												
<b>Full-time</b>												
Pell Grant recipients	354	0	0	187	187	53%	10	92	65	167	29%	
Non-Pell Grant recipients	516	0	0	303	303	59%	9	122	82	213	25%	
<b>Part-time</b>												
Pell Grant recipients	107	0	0	51	51	48%	2	29	25	56	29%	

Non-Pell Grant recipients	238	0	0	96	96	40%	5	68	69	142	31%
<b>Total Entering</b>											
Pell Grant recipients	871	0	0	356	356	41%	19	258	238	515	32%
Non-Pell Grant recipients	1264	0	0	588	588	47%	20	353	303	676	30%
Notes:											

**Section 12: Adverse Actions**

**No**

If "Yes," please list them below and provide an explanation.

NECHE provides New England Board of Higher Education (NEBHE) with contacts information of the Chief Executive Officers and Chief Academic Officers within its membership. Please check the box below if you DO NOT want this information provided to NEBHE.

NEBHE Consent: Yes

**Submission Information**

Respondent's Name: Jeannine Diddle Uzzi

Respondent's Title: Provost and Vice President for Academic Affairs

Date of Submission: 3/01/2019

Respondent's Phone: 207-780-4485

Respondent's E-Mail: jeannine.uzzi@maine.edu

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