

**STATE BOARD OF REGENTS MEETING  
UTAH VALLEY UNIVERSITY, OREM, UTAH  
STUDENT LIFE AND WELLNESS CENTER (SLWC) & SORENSEN STUDENT CENTER (SC)  
FRIDAY, NOVEMBER 14, 2014**

**AGENDA**

**8:00 – 9:20 AM**                      **BREAKFAST MEETING – STATE BOARD OF REGENTS, UTAH VALLEY  
UNIVERSITY BOARD OF TRUSTEES, PRESIDENT HOLLAND, COMMISSIONER  
BUHLER**  
Location: SLWC 114, UVUSA CHAMBER ROOM

**9:30 AM – 12:30 PM**              **INFORMAL DISCUSSION (Presidents & Regents)**  
Location: SLWC 114, UVUSA CHAMBER ROOM

**12:30 – 1:15 PM**                      **LUNCH**  
Location: SC CENTER STAGE

**1:15 – 2:30 PM**                      **MEETINGS OF BOARD COMMITTEES**

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE**  
**Regent Marlin K. Jensen, Acting Chair**  
Location: SC 206-C

**ACTION:**

- |   |       |
|---|-------|
| 1. Salt Lake Community College – Associate of Applied Science Degree in Business Administration | TAB A |
|---|-------|

**CONSENT:**

Please see the General Consent Calendar at Tab Z.

**INFORMATION:**

- |   |       |
|---|-------|
| 1. Faculty Workload Report  | TAB B |
| 2. New Century and Regents' Scholarships Report                                 | TAB C |
| 3. StepUp READY Grants  | TAB D |
| 4. USHE Counselor Conference for Secondary School Administrators and Counselors | TAB E |
| 5. <i>Monte and the World of Possibilities</i>                                  | TAB F |

**FINANCE/FACILITIES COMMITTEE**  
**Regent Robert S. Marquardt, Chair**  
Location: SC 206-A

**ACTION:**

- |   |       |
|---|-------|
| 1. Utah Valley University – Campus Master Plan Approval                             | TAB G |
| 2. Utah State University – Acquisition of Properties Contiguous to the Logan Campus | TAB H |
| 3. Utah State University – Uintah Basin Regional Campus Ground Lease Approval       | TAB I |
| 4. Utah State University – Long-term Ground Lease on USU Eastern Campus             | TAB J |
| 5. Utah State University – Kaysville Education Center Addition                      | TAB K |
| 6. University of Utah – Sale of Gifted Residential Property in Arizona              | TAB L |
| 7. University of Utah – Property Renovation (525 East 100 South)                    | TAB M |
| 8. Weber State University – Purchase of WSU Downtown Building                       | TAB N |

- |  |       |
|--|-------|
| 9. Revision of Policy R508, Guidelines for Approving Lists of Comparable Institutions              | TAB O |
| 10. Revision of Policy R512, Determination of Resident Status                                      | TAB P |
| 11. Revision of Policy R561, Accounting and Financial Controls                                     | TAB Q |
| 12. Revision of Policy R712, Nontraditional Arrangements for Development of Facilities on Campuses | TAB R |
| 13. Revision of Policy R741, Capital Development Prioritization – CDP                              | TAB S |

**INFORMATION:**

- |  |       |
|--|-------|
| 1. USHE – Fall 2014 Enrollment Report  | TAB T |
| 2. Securities Exchange Commission (SEC) Municipalities Continuing Disclosure Cooperation (MCDC) Initiative | TAB U |
| 3. USHE – Annual Report on Lease Space   | TAB V |
| 4. USHE – Institutional Residences Annual Report   | TAB W |
| 5. USHE – Annual Contracts and Grants Report   | TAB X |
| 6. Pell Grants   | TAB Y |

**2:30 – 3:00 PM                      STATE OF THE UNIVERSITY – PRESIDENT HOLLAND**  
Location: SC CENTER STAGE

**3:00 – 3:30 PM                      COMMITTEE OF THE WHOLE**  
Location: SC CENTER STAGE

- |                                       |        |
|---------------------------------------|--------|
| 1. General Consent Calendar           | TAB Z  |
| 2. Reports of Board Committees        |        |
| 3. 2015-16 Meeting Schedule           | TAB AA |
| 4. New USHE Performance Funding Model | TAB BB |

**3:30 – 4:30 PM                      EXECUTIVE SESSION (Closed Meeting – State Board of Regents)**  
Location: SC 213-C TRUSTEE ROOM

Projected times for the various meetings are estimates only. The Board Chair retains the right to take action at any time. In compliance with the Americans with Disabilities Act, individuals needing special accommodations (including auxiliary communicative aids and services) during this meeting should notify ADA Coordinator, 60 South 400 West, Salt Lake City, UT 84180 (801-321-7124), at least three working days prior to the meeting. TDD # 801-321-7130.

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Salt Lake Community College – Associate of Applied Science Degree in Business Administration

Issue

Salt Lake Community College (SLCC) requests approval to offer an Associate of Applied Science (AAS) Degree in Business Administration effective Spring Semester, 2015. This program was approved by the institutional Board of Trustees on June 11, 2014.

Background

This proposed program is built on a stackable credential model using combinations of newly created certificates of proficiency. Students earn job-related certificates along the path to an associate's degree. The program is designed to be completed within 65-69 hours. Planning and advising will be needed to ensure efficient completion of the program. Program requirements provide notations that will guide students to combinations of certificates that provide efficient pathways to completion.

The proposed program provides a student-tailored, interdisciplinary degree to develop entry-level skills for positions in various business-related fields and for currently employed workers who need development in job-related business skills. The program represents a flexible solution for employers who support accessible career advancement pathways for incumbent workers and for students in related occupations who desire specialized education.

The program requires completion of general education requirements, completion of a Business Basics Certificate of Proficiency, and completion of two certificates of proficiency from the list below:

Accounting Essentials  
Finance Essentials  
Marketing Essentials  
Advanced Marketing  
Financial Services  
Small Business Management

Economics Essentials  
Management Essentials  
Advanced Accounting  
Financial Management  
Investments and Trading

In Utah, there are over 4,600 anticipated annual job openings in occupations that link to the certificates that comprise this degree. Among these occupations, the median hourly wage ranges between \$13.40 for Business Operations Specialists (SOC Code 13-1199) to \$41.90 for Advertising and Promotions Managers (SOC Code 11-2011). While the primary purpose of an AAS degree prepares people for employment, students who complete this degree will have options to transfer their credits and complete a baccalaureate degree at several USHE institutions within 120 credit hours.

The coursework and faculty are already in place for these certificates and for the degree. It is not anticipated that this program will result in increased costs to the institution.

#### Policy Issues

The proposed program has been developed through established institutional procedures and Board of Regents policy. Chief academic officers as well as faculty in related departments from the Utah System of Higher Education institutions have reviewed the proposal and have provided input. There are no additional policy issues that need to be addressed relative to approval of the program.

#### Commissioner's Recommendation

The Commissioner recommends the Board of Regents approve Salt Lake Community College's request to offer the Associate of Applied Science Degree in Business Administration.

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David L. Buhler  
Commissioner of Higher Education

DLB/BKC  
Attachment



**Salt Lake Community College**  
**Associate of Applied Science Degree in Business Administration**

**Section I: The Request**

Salt Lake Community College (SLCC) requests approval to offer an Associate of Applied Science (AAS) Degree in Business Administration effective Spring Semester, 2015.

**Section II: Program Description**

**Complete Program Description**

The AAS in Business Administration is a joint effort between several departments in the SLCC School of Business. The program provides students interested in a business career to tailor their degrees to more closely align with career interests. The AAS in Business Administration, consisting of general education courses and three stackable certificates of proficiency, gives students well-defined steps to degree completion and provides students opportunities to earn transcriptable, career-focused credentials along the path to a two-year career-oriented degree.

**Purpose of Degree**

The program provides a student-tailored, interdisciplinary degree for students who are developing skills for entry-level management and administrative jobs in various business and business-related fields. The program provides students with job related credentials at the completion of each certificate of proficiency, rather than just one credential at the end of the AAS degree.

**Institutional Readiness**

The program uses existing courses and faculty and staff resources such that the program can be implemented without expending additional resources. As such the institution is ready to begin offering the program upon approval.

**Departmental Faculty**

Department Faculty Category	Dept Faculty Headcount – Prior to Program Implementation	Faculty Additions to Support Program	Dept Faculty Headcount at Full Program Implementation
<b>With Doctoral Degrees</b> (Including MFA and other terminal degrees, as specified by the institution)			
Full-time Tenured	6	0	6
Full-time Non-Tenured	0	0	0
Part-time Tenured	0	0	0
Part-time Non-Tenured	0	0	0
<b>With Master's Degrees</b>			
Full-time Tenured	19	0	19
Full-time Non-Tenured	0	0	0
Part-time Tenured	0	0	0
Part-time Non-Tenured	35	5	40
<b>With Bachelor's Degrees</b>			

Full-time Tenured	0	0	0
Full-time Non-Tenured	0	0	0
Part-time Tenured	0	0	0
Part-time Non-Tenured	0	0	0
<b>Other</b>			
Full-time Tenured	0	0	0
Full-time Non-Tenured	0	0	0
Part-time Tenured	0	0	0
Part-time Non-Tenured	0	0	0
<b>Total Headcount Faculty in the Department</b>			
Full-time Tenured	25	0	25
Full-time Non-Tenured	0	0	0
Part-time Tenured	0	0	0
Part-time Non-Tenured	35	5	40
<b>Total Department Faculty FTE</b> <i>(As reported in the most recent A-1/S-11 Institutional Cost Study for “prior to program implementation” and using the A-1/S-11 Cost Study Definition for the projected “at full program implementation.”)</i>	58.2	2.9	61.1

### Staff

No additional staff will be needed to support the program.

### Library and Information Resources

Salt Lake Community College has sufficient resources, including a permanent on-site library, to meet the needs of the students completing the AAS degree in Business Administration. A designated accounting lab is located in the SLCC Business Building and staffed with full-time and part-time personnel, including accounting tutors. The lab is also available for students to use for study. There are open computer labs available for students in various locations within the School of Business that are supervised by full-time and part-time employees.

### Admission Requirements

The AAS program is open to all SLCC students who meet admission, placement test scores, and course prerequisite requirements (<http://www.slcc.edu/students-future/admissions/index.aspx>). There are no selective admission requirements for this program.

### Student Advisement

SLCC provides an extensive menu of academic and career advising services for all students. (<http://www.slcc.edu/academicadvising/services.aspx>). Specific advising for program students is also provided by the academic advisor assigned to the School of Business.

### Justification for Graduation Standards and Number of Credits

Students must complete a minimum of 65 credits: 15 credits of General Education courses; 18 credits of general business coursework to complete the Certificate of Proficiency in Business Basics; 16-22 credits of program-specific coursework to complete an essentials certificate of proficiency in an area of focus; and 16-22 credits of an advanced certificate of proficiency or a second essentials certificate of proficiency. The

program curriculum and number of credit hours required to complete the AAS degree in Business Administration correspond to similar AAS degrees at SLCC and at other USHE institutions. This program is unique in the state in that it provides interdisciplinary features using stackable certificates that lead to the AAS in Business Administration. This is the first business administration program created in this format within USHE, although Utah Valley University, Snow College, Dixie State University, and SLCC all offer related traditionally-formatted AAS degrees in Business Management.

### External Review and Accreditation

The two academic divisions collaborating in the delivery of the AAS in Business Administration consult with their Program Advisory Committees four times each academic year. Program Advisory Committee (PAC) members provide industry insight from local business leaders. The PACs meet on a regular basis to discuss programs offered, the needs of businesses in the community and how Salt Lake Community College can meet those needs. The PACs were consulted in the development of each of the certificates of proficiency as well as the AAS degree in Business Administration. Potential employers indicated from their own experience or from the experiences of their business associates how important it is for job applicants to have training beyond high school. They also agreed that the completion of a certificate in a specialized field of study is more marketable than just a few random college courses. The PACs were very excited about the shorter certificates that would lead to or “stack” to an associate’s degree. Some PAC members indicated they would be interested in providing tuition reimbursement for employees pursuing specialized certificates that fit their company’s current skill needs.

The PAC members could also see how this program would be valuable to those who already have a business or degree, but want to return for a certificate, which will add to their skills. They also indicated support for offering certificates that could be earned by employees that may already have a degree in one area but need to receive business-specific education to take advantage of job expansion opportunities. Program Advisory Committee members represent the following positions at local businesses:

Wells Fargo Bank	Treasury Services Manager
Costco	Warehouse Manager
Fastenal	2 District Managers
Weber State University	Business Law Professor
Maurices	Store Manager
Outerwall/Coinstar	Regional Manager
Pacificorp	Senior Recruiter
Community Action Services & Food Bank	Manager
National Benefit Services	Vice President of Finance
AAA Fair Credit Foundation	President & CEO
Economic Development Corporation of Utah	Business Development Manager
Westminster Gore School of Business	Business Instructor
Preferred Accounting, Inc	Staff Accountant
WorkforceQA	CEO of Compliance Information Systems
Riggs Consulting, LLC	Owner
Adobe Systems	Sr Financial Analyst
KeHe Distributors	Account Manager
Rocky Mountain Care	Marketing Director
Occidental Energy Marketing, Inc	Executive Director of Marketing

Industrial Supply Company	Vice President of Sales
Security National Life Insurance Co.	Marketing Coordinator
Freestyle Marketing	President

### Projected Program Enrollment and Graduates; Projected Departmental Faculty/Students

Data Category	Current – Prior to New Program Implementation	PROJ YR 1	PROJ YR 2	PROJ YR 3	PROJ YR 4	PROJ YR 5
<b>Data for Proposed Program</b>						
Number of Graduates in Proposed Program	0	10	11	12	13	14
Total # of Declared Majors in Proposed Program	0	40	44	48	52	56
<b>Departmental Data – For All Programs Within the Department</b>						
Total Department Faculty FTE ( <i>as reported in Faculty table above</i> )	58.2	58.8	59.3	59.9	60.5	61.1
Total Department Student FTE ( <i>Based on Fall Third Week</i> )	1,214	1,226	1,238	1,251	1,263	1,276
Student FTE per Faculty FTE ( <i>ratio of Total Department Faculty FTE and Total Department Student FTE above</i> )	21:1	21:1	21:1	21:1	21:1	21:1
<b>Program accreditation-required ratio of Student FTE/Faculty FTE, if applicable: (Provide ratio here: _____)</b>	N/A	N/A	N/A	N/A	N/A	N/A

### Expansion of Existing Program

The AAS degree in Business Administration adds an additional option for SLCC students studying business-related fields. It packages existing courses into certificates, which stack to form an interdisciplinary AAS degree. The business courses required in the existing AAS degrees have been organized into stackable certificates of proficiency including a certificate in Business Basics and certificates in specialized essentials and advanced disciplines.

### Section III: Need

#### Program Need

The need for the AAS in Business Administration is based on current student enrollment in existing AAS degree programs. There is also a national movement toward stackable certificates to align with the move toward building a skilled workforce and to increase the success of small businesses in the United States.

Department s within SLCC's School of Business have worked with various employers to design a program that allows graduates to obtain certificates of proficiency for immediate employment or to specialize in combinations of certificates to earn an AAS in Business Administration. The PAC members in counsel with

other employers and program students have voiced their desire for stackable pathways in order to continue professional development and advancement toward developing a skilled workforce.

### Labor Market Demand

National employment trends for this occupational category will remain relatively stable through 2020. The skills acquired through this degree program will impact many different career fields. The most prominently affected career fields are listed in the table below. The AAS degree in Business Administration includes several specialized business-related disciplines combined with business management skills. The program is designed to allow students to adapt to future technology innovation as it impacts business and industry. Therefore, SLCC's proposed AAS degree in Business Administration represents a facile and stackable solution for employers who support accessible career advancement pathways for their incumbent workers, and for students in related occupations who desire advanced education. The table below provides labor market information for occupations that are representative of the credentials that can be earned through this proposed program.

SOC Code	Occupation Title	Hourly Median Wage	Annual Median Wage	Utah Avg Annual Openings	Star Rating
11-3011	Administrative Services Managers	\$ 37.57	\$ 78,135	60	5
11-2011	Advertising and Promotions Managers	\$ 41.90	\$ 87,153	10	3
41-3011	Advertising Sales Agents	\$ 23.10	\$ 48,054	50	4
13-1199	Business Operations Specialists, All Other	\$ 13.40	\$ 65,299	290	
13-1031	Claims Adjusters, Examiners, and Investigators	\$ 26.61	\$ 55,354	60	5
19-3011	Economists	\$ 34.51	\$ 71,781	15	
13-2051	Financial Analysts	\$ 35.02	\$ 72,845	90	5
13-2099	Financial Specialists, All Other	\$ 28.74	\$ 59,757	50	
43-1011	First-Line Supervisors of Office and Admin Support Workers	\$ 21.94	\$ 45,647	720	4
13-1131	Fundraisers	\$ 22.46	\$ 46,710	70	
11-1021	General and Operations Managers	\$ 35.50	\$ 73,823	1000	5
13-1071	Human Resources Specialists	\$ 24.44	\$ 50,831	160	
11-3051	Industrial Production Managers	\$ 43.12	\$ 89,692	50	4

41-3021	Insurance Sales Agents	\$ 20.24	\$ 42,098	170	4
13-2072	Loan Officers	\$ 27.55	\$ 57,299	180	5
11-9199	Managers, All Other	\$ 40.78	\$ 84,815	190	
11-2021	Marketing Managers	\$ 53.31	\$10,880	70	5
43-3051	Payroll and Timekeeping Clerks	\$ 17.93	\$ 37,293	70	4
13-2052	Personal Financial Advisors	\$ 29.87	\$ 62,135	50	4
43-3061	Procurement Clerks	\$ 18.30	\$ 38,053	40	3
13-1023	Purchasing Agents, Except Wholesale, Retail, & Farm Products	\$ 29.46	\$ 61,279	80	5
11-2022	Sales Managers	\$ 36.54	\$ 76,019	150	5
41-3099	Sales Representatives, Services, All Other	\$ 18.77	\$ 39,044	410	
41-4012	Sales Representatives, Wholesale and Manufacturing	\$ 26.24	\$ 54,595	520	5
41-3031	Securities, Commodities, and Financial Services Sales Agents	\$ 28.52	\$ 59,332	70	4
13-1022	Wholesale and Retail Buyers, Except Farm Products	\$ 23.09	\$ 48,040	60	5

*Data provided by Utah Department of Workforce Services Occupation and Wage Explorer.*

There are approximately 4,500 annual job openings in these combined job categories in Utah. The median salary range falls between \$12.49 at the low end for general sales workers to a high of \$41.52 for managers. Even at the lowest position pay the pay range for those with post-secondary education in business is significantly higher than minimum wage of \$7.25 per hour.

### **Similar Programs**

Utah Valley University, Snow College, Dixie State University, and SLCC all offer related traditionally-formatted AAS degrees in Business Management. That said, SLCC will be the only USHE institution that offers an Associate of Applied Science Degree in Business Administration comprised of stackable certificates of proficiency.

### **Collaboration with and Impact on Other USHE Institutions**

Chief academic officers as well as faculty in related departments from the USHE institutions have reviewed the proposal and have provided input. While the primary purpose of an AAS degree prepares people for employment, students who complete this degree will have options to transfer their credits and complete a baccalaureate degree at several USHE institutions within 120 credit hours.

## **Benefits**

By completing the program in short-term segments students are able to document specialized knowledge and progress towards an AAS degree. Program Advisory Committee members advised and support the structure of the stackable certificates as a way of distinguishing between students who complete a field of study in college, versus students who only take random classes. Program Advisory Committee members suggested that students who enter the program and do not complete the AAS degree but who earn one or more certificates of proficiency will appear more marketable and attractive to perspective employers than students who stopped attending college without completing a credential. The SLCC School of Business anticipates the stackable credential format will improve completion rates and contribute to the state's 66% by 2020 goal.

## **Consistency with Institutional Mission**

The certificates of proficiency, which lead to the AAS in Business Administration degree, are in harmony with SLCCs mission to “offer associate degrees, certificate programs, career and technical education, ... and workforce training to prepare individuals for career opportunities” and to provide students “opportunities to acquire knowledge.”

## **Section IV: Program and Student Assessment**

### **Program Assessment**

The goals of the AAS degree in Business Administration are as follows:

- Acquire Substantive Knowledge: Students acquire substantive knowledge by learning and being evaluated on their understanding of business concepts and terminology.
- Communicate Effectively: Students demonstrate communication skills while presenting analyses on case studies and business scenarios and demonstrate the ability to prepare financial statements using generally accepted accounting principles.
- Develop Quantitative Literacies: Students demonstrate quantitative literacy by solving time value of money problems in order to perform net present value and internal rate of return results for capital budgeting projects.
- Think Critically: Demonstrate skills in planning, evaluation, and analysis of various components of a small business operation by developing a business plan.
- Civic Engagement and/or Working Professionally: Students demonstrate civic engagement by understanding the ethical considerations inherently involved in owning and operating a business.
- Develop the Knowledge and Skills to Work with Others in a Professional and Constructive Manner: By participating in human relations related group activities.
- Develop Computer and Information Literacy. Students demonstrate computer and information literacy as they utilize computer software in the course assignments and creating an e-portfolio for their general education classes.

### **Expected Standards of Performance**

The standards and competencies of the AAS degree are as follows:

- Communicate effectively in writing.
- Communicate effectively numerically.
- Extract relevant data from complex information, process it appropriately, and draw reasonable conclusions.
- Understand the ethical considerations inherently involved in owning or operating a business.

- Developing the knowledge and skills to be civically engaged
- Communicate effectively with others while working in groups.
- Proficiently use technology.

Student learning will be assessed in accordance with SLCC's process for learning outcomes assessment.

## Section V: Finance

### Department Budget

Budget derived from Departments of Management, Marketing, Accounting, Economics, and Finance.

Salaries and wages include an estimated 2% cost of living increase per year, after year 1.

Benefits include an estimated 10% increase each year, after year 1.

Three-Year Budget Projection							
Departmental Data	Current Departmental Budget – Prior to New Program Implementation	Departmental Budget					
		Year 1		Year 2		Year 3	
		Addition to Budget	Total Budget	Addition to Budget	Total Budget	Addition to Budget	Total Budget
Personnel Expense							
Salaries and Wages	\$2,343,608	\$0	\$2,343,608	\$46,872	\$2,390,480	\$47,810	\$2,438,290
Benefits	\$888,383	\$0	\$888,383	\$88,838	\$977,221	\$97,722	\$1,074,944
Total Personnel Expense	\$3,231,991	0	\$3,231,991	\$135,710	\$3,367,702	\$145,532	\$3,513,233
Non-Personnel Expense							
Travel							
Capital							
Library							
Current Expense	\$91,666	\$0	\$91,666	\$0	\$91,666	\$0	\$91,666
Total Non-Personnel Expense	\$91,666	\$0	\$91,666	\$0	\$91,666	\$0	\$91,666
Total Expense (Personnel + Current)	\$3,323,657	\$0	\$3,323,657	\$135,710	\$3,520,477	\$145,532	\$3,666,008
Departmental Funding							
Appropriated Fund	\$3,231,991	0	\$3,231,991	\$135,710	\$3,367,702	\$145,532	\$3,513,233
Other:							
Special Legislative							



Appropriation							
Grants and Contracts							
Special Fees / Differential Tuition							
<b>Total Revenue</b>	\$3,231,991	0	\$3,231,991	\$135,710	\$3,367,702	\$145,532	\$3,513,233
<b>Difference</b>							
Revenue-Expense	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Departmental Instructional Cost / Student Credit Hour* (as reported in institutional Cost Study for "current" and using the same Cost Study Definition for "projected")	\$91	\$0	\$91	\$5	\$96	\$3	\$99

\* **Projected Instructional Cost/Student Credit Hour** data contained in this chart are to be used in the Third-Year Follow-Up Report and Cyclical Reviews required by R411.

### Funding Sources

The funding source for this program is from Salt Lake Community College tuition and fees and appropriated E&G funds.

### Impact on Existing Budgets

Since this is a new AAS degree utilizing current courses of existing programs, there is no change to the impact on existing budgets or other resources.

## Section VI: Program Curriculum

### All Program Courses

Stackable Certificates	Description	Credit Hours
Required Courses:		
General Education requirements	(See list below)	15
Cert. of Proficiency – Business Basics	(See requirements below)	18

Stackable Certificates	Description	Credit Hours
Cert. of Proficiency, Essentials - (choose one)	Accounting Essentials (16 cr.) Economics Essentials (19-22 cr.) Finance Essentials (16-17 cr.) Management Essentials (17-18 cr.) Marketing Essentials (16 cr.)	16-22
Cert of Proficiency, Essentials -OR- Cert. of Proficiency, Advanced – (choose one)	(choose a second Essentials Certificate)  Advanced Accounting (16 cr.) Advanced Marketing (16-18 cr.) Financial Management (16 cr.) Financial Services (17 cr.) Investments and Trading (20 cr.) Small Business Management (16 cr.)	16-22  16-20
	<b>Total Credits (minimum):</b>	<b>65*</b>

*\*Note: Careful planning will be required by students to ensure that prerequisites are satisfied without extending program length. Students who combine the appropriate certificates should be able to complete the program within 65-69 credits.*

#### Program Schedule

Semester	Suggested Schedule	Credits
Fall Semester	ENGL 1010 – Intro to Writing (EN) BUS 1010 – Intro to Business ACCT 1110 – Financial Accounting FIN 1380 – Financial Math (QS) MKTG 1960 – Professionalism in Business (HR)	15
Spring Semester	BUS 2200 – Business Communications (CM) ECON 2020 – Microeconomics (SS) ACCT 2020 – Managerial Accounting MGT 1600 – Management Essentials MKTG 1030 – Intro to Marketing CSIS 2010 –or- MGT 2050	18
Fall Semester -AND- Spring Semester	Essentials Certificate #1 -AND- Essentials Certificate #2 -or- Advanced Certificate	16-22  16-22  (16-20)
	<b>Total Credits (minimum):</b>	<b>65*</b>

## PROGRAM COMPONENTS:

### General Education Requirements

General Education Courses	Credit Hours
ENGL 1010 Intro to Writing (EN)	3
FIN 1380 Financial Math (QS) – <i>prereq: MATH 0990 or appropriate placement test score</i>	3
BUS 2200 Business Communications (CM) – <i>prereq: ENGL 1010 w/C grade or better</i>	3
MKTG 1960 Professionalism in Business (HR)	3
Choose 3 credits from the following:	3
Biological Science (BS)	
Fine Arts (FA)	
Humanities (HU)	
Social Science (SS) – Recommended ECON 2020 <sup>†</sup>	
Interdisciplinary (ID) – Recommended FIN 1050 <sup>‡</sup>	
<b>Total Credits</b>	<b>15</b>

<sup>†</sup>counts toward the certificates of proficiency in Economics Essentials, Finance Essentials, and Management Essentials and satisfies a prerequisite for the Advanced Marketing certificate of proficiency  
<sup>‡</sup>recommended prerequisite for courses in the Financial Services and Investments & Trading certificates of proficiency

### CERTIFICATES:

Course prerequisites contained in other certificates or program components are noted as follows:

**GE:** contained in General Education coursework

**BB:** contained in Business Basics Certification of Proficiency

**AE:** contained in Accounting Essentials Certification of Proficiency

**FE:** contained in Finance Essentials Certificate of Proficiency

**ME:** contained in Marketing Essentials Certificate of Proficiency

### Certificate of Proficiency – Business Basics

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ACCT 1110	Financial Accounting I	3
-OR-		
ACCT 2010	Survey of Financial Accounting	(3)
ACCT 2020	Managerial Accounting – <i>prereq: ACCT 1110 or 2010</i>	3
BUS 1010	Introduction to Business	3
CSIS 2010	Business Computer Proficiency	3
-OR-		
MGT 2050	Legal Environment of Business	(3)
MGT 1600	Management Essentials	3
MKTG 1030	Introduction to Marketing	3
<b>Total Credits</b>		<b>18</b>

### Certificate of Proficiency – Accounting Essentials

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ACCT 1120	Financial Accounting II – <i>prereq: ACCT 1110<sup>BB</sup></i>	3
ACCT 1290	Accounting Information Sys – <i>prereq: ACCT 1110<sup>BB</sup> or 2010<sup>BB</sup></i>	3
ACCT 2310	Intermediate Accounting I – <i>prereq: ACCT 1120 or 2010<sup>BB</sup></i>	4
ACCT 2520	Federal Income Tax – <i>prereq: ACCT 1120 or 2010<sup>BB</sup></i>	3
CSIS 2010	Business Computer Proficiency <sup>BB</sup>	3
<b>Total Credits</b>		<b>16</b>

### Certificate of Proficiency – Economics Essentials

Course Prefix and Number	Title	Credit Hours
Required Courses:		
BUS 1100	Business Calculus – <i>prereq: MATH 1050, 1090, or appropriate placement test score (add 3 credits if MATH 1050 or 1090 is needed)</i>	3-6
ECON 2010	Microeconomics	3
ECON 2020	Macroeconomics <sup>GE</sup>	3
MGT 2040	Business Statistics – <i>prereq: MATH 1010, FIN 1380, or appropriate placement test score</i>	4
<b>Sub-Total</b>		<b>13-16</b>
Choose 6 credits from the following:		
ECON 1600	Intro to Economic Systems	3
ECON 2100	Labor Economics – <i>prereq: ECON 2010</i>	3
ECON 2250	Environmental Economics	3
ECON 2400	International Economics – <i>prereq: ECON 2010 or 2020<sup>GE</sup></i>	3
<b>Sub-Total</b>		<b>6</b>
<b>Total Credits</b>		<b>19-22</b>

### Certificate of Proficiency – Finance Essentials

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ACCT 2310	Intermediate Accounting I – <i>prereq: ACCT 1120 or 2010<sup>BB</sup></i> <i>w/ instructor approval</i>	4
CSIS 2010	Business Computer Proficiency <sup>BB</sup>	3
ECON 2020	Macroeconomics <sup>GE</sup>	3
FIN 1210	Principles of Banking	3

Course Prefix and Number	Title	Credit Hours
BUS 1100 -OR-	Business Calculus – <i>prereq: MATH 1050, 1090, or appropriate placement test score</i>	3
MGT 2040	Business Statistics – <i>prereq: MATH 1010, FIN 1380, or appropriate placement test score</i>	(4)
<b>Total Credits</b>		<b>16-17</b>

#### Certificate of Proficiency – Management Essentials

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ECON 2020	Macroeconomics <sup>GE</sup>	3
BUS 1100 -OR-	Business Calculus – <i>prereq: MATH 1050, 1090, or appropriate placement test score</i>	3
MGT 2040	Business Statistics – <i>prereq: MATH 1010, FIN 1380, or appropriate placement test score</i>	(4)
MGT 1100	Small Business Management	3
MGT 1020	Distribution Systems	3
MKTG 1300	Business Presentations	2
CSIS 2010 -OR-	Business Computer Proficiency <sup>BB</sup>	3
MGT 2050	Legal Environment of Business <sup>BB</sup>	(3)
<b>Total Credits</b>		<b>17-18</b>

#### Certificate of Proficiency – Marketing Essentials

Course Prefix and Number	Title	Credit Hours
Required Courses:		
MGT 1020	Distribution Systems	3
MKTG 1010	Customer Service	2
MKTG 1050	Consumerism	3
MKTG 1070	Promotion	3
MKTG 1300	Business Presentations	2
MKTG 1480	Sales	3
<b>Total Credits</b>		<b>16</b>

### Certificate of Proficiency – Advanced Accounting

*Note: Take in conjunction with Accounting Essentials Certificate of Proficiency*

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ACCT 2410	Intermediate Accounting II – <i>prereq: ACCT 2310<sup>AE</sup></i>	4
ACCT 2540	Accounting in Practice – <i>prereq: ACCT 2410<sup>AE</sup></i>	3
CSIS 2060	Decision Support – <i>prereq: CSIS 2010<sup>BB</sup></i>	3
<b>Sub-Total</b>		<b>10</b>
Choose 6 credits from the following:		
ACCT 2000	Accounting Co-Op	1-3
ACCT 2050	Governmental Accounting – <i>prereq: ACCT 1110<sup>BB</sup> or 2010<sup>BB</sup></i>	3
ACCT 2530	Cost Accounting – <i>prereq: ACCT 2020<sup>BB</sup></i>	3
FIN 2210	Principles of Business Credit	3
FIN 2220	Financial Statement Analysis – <i>prereq: ACCT 1110<sup>BB</sup> or ACCT 2010<sup>BB</sup>, and FIN 2210</i>	2
<b>Sub-Total</b>		<b>6</b>
<b>Total Credits</b>		<b>16</b>

### Certificate of Proficiency – Advanced Marketing

*Note: Take in conjunction with Marketing Essentials Certificate of Proficiency*

Course Prefix and Number	Title	Credit Hours
Required Courses:		
MKTG 2100	Marketing Information Management – <i>prereq: MKTG 1030<sup>BB</sup></i>	3
MKTG 2350	Retail Management – <i>prereq: MKTG 1030<sup>BB</sup></i>	3
MKTG 2400	International Marketing – <i>prereq: MKTG 1030<sup>BB</sup> and ECON 2020<sup>GE</sup></i>	3
MKTG 2500	Principles of Marketing – <i>prereq: MKTG 1070<sup>ME</sup>, 2100, and 2350</i>	3
MKTG 2810	Ecommerce Design & Implementation – <i>prereq: MKTG 1030<sup>BB</sup> and MKTG 1480<sup>ME</sup></i>	3
<b>Sub-Total</b>		<b>15</b>
Choose 1-3 credits from the following:		
MKTG 1900	Special Projects (DECA)	2
MKTG 1910	Event Marketing	3
MKTG 2000	Cooperative Education	1-3
MKTG 2990	Special Topics	1-3
<b>Sub-Total</b>		<b>1-3</b>
<b>Total Credits</b>		<b>16-18</b>

### Certificate of Proficiency – Financial Management

*Note: Take in conjunction with Accounting Essentials or Finance Essentials Certificate of Proficiency*

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ACCT 2410	Intermediate Accounting II – <i>prereq: ACCT 2310<sup>AE,FE</sup></i>	4
FIN 2040	Financial Management – <i>prereq: ACCT 2020<sup>BB</sup></i>	3
FIN 2210	Credit & Collections	3
CSIS 2060	Decision Support – <i>prereq: CSIS 2010<sup>BB</sup></i>	3
<b>Sub-Total</b>		<b>13</b>
Choose 3 credits from the following:		
ACCT 2540	Accounting in Practice – <i>prereq (concurrent): ACCT 2410</i>	3
FIN 2100	Introduction to Investments – <i>recommended prereq: FIN 1050</i>	3
<b>Sub-Total</b>		<b>3</b>
<b>Total Credits</b>		<b>16</b>

### Certificate of Proficiency – Financial Services

Course Prefix and Number	Title	Credit Hours
Required Courses:		
ACCT 2520	Federal Income Tax – <i>prereq: ACCT 1110<sup>BB</sup> or 2010<sup>BB</sup></i>	3
FIN 2040	Financial Management – <i>prereq: ACCT 2020<sup>BB</sup></i>	3
FIN 2100	Introduction to Investments – <i>recommended prereq: FIN 1050</i>	3
FIN 2200	Personal Financial Planning – <i>recommended prereq: FIN 1050</i>	3
MKTG 1300	Business Presentations	2
MKTG 1480	Sales	3
<b>Total Credits</b>		<b>17</b>

### Certificate of Proficiency – Investments & Trading

Course Prefix and Number	Title	Credit Hours
Required Courses:		
CSIS 2040	Advanced Spreadsheets – <i>prereq: CSIS 2010<sup>BB</sup></i>	3
FIN 2100	Introduction to Investments – <i>recommended prereq: FIN 1050</i>	3
FIN 2150	Mutual Funds – <i>recommended prereq: FIN 1050</i>	3
FIN 2200	Personal Financial Planning – <i>recommended prereq: FIN 1050</i>	3
FIN 2210	Principles of Business Credit	3

Course Prefix and Number	Title	Credit Hours
FIN 2220	Financial Statement Analysis – <i>prereq: ACCT 1110<sup>BB</sup> or ACCT 2010<sup>BB</sup>, and FIN 2210</i>	2
FIN 2600	Securities Trading – <i>recommended prereq: FIN 1050</i>	3
<b>Total Credits</b>		<b>20</b>

### Certificate of Proficiency in Small Business Management

Course Prefix and Number	Title	Credit Hours
Required Courses:		
FIN 1050	Personal Finance	3
MKTG 2350	Retail Management – <i>prereq: MKTG 1030<sup>BB</sup></i>	3
MGT 1100	Small Business Management	3
MGT 2050	Business Law	3
MGT 2950	Entrepreneurship Forum	1
CSIS 2060	Decision Support Systems – <i>prereq: CSIS 2010<sup>BB</sup></i>	3
<b>Total Credits</b>		<b>16</b>

### Section VII: Faculty

Current full-time faculty at SLCC with expertise to support the proposed CPs and AAS program are listed below.

#### Business Management Faculty

Chelemes, Basil (1990)

Associate Professor, Business Management  
1990 - MBA, WESTMINSTER COLLEGE  
1988 - BS, WESTMINSTER COLLEGE

Engh, Edward (2000)

Assistant Professor, Business Management  
1984 - MBA, UNIVERSITY OF UTAH  
1981 - BS, UNIVERSITY OF UTAH

Gren, Donald (1988)

Professor, Business Management  
2004 - PhD, UNIVERSITY OF UTAH  
1988 - MBA, UNIVERSITY OF UTAH  
1985 - MS, BRIGHAM YOUNG UNIVERSITY  
1983 - BS, BRIGHAM YOUNG UNIVERSITY  
1980 - AS, RICKS COLLEGE



Killinger, Karen (1995)

Associate Professor, Business Management  
1992 - MBAA, EMBRY-RIDDLE AERONAUTICAL UNIVERSITY  
1982 - BBA, FT. VALLEY STATE COLLEGE

Lambert, Melodee (1985)

Associate Professor, Business Management  
1980 - MEd, UNIVERSITY OF UTAH  
1970 - BS, BRIGHAM YOUNG UNIVERSITY

LeDuc, Eric (2012)

Instructor, Business Management  
2005 - MS, ARIZONA STATE UNIVERSITY  
1995 - BA, BRIGHAM YOUNG UNIVERSITY

Lee, Roger (1991)

Professor, Business Management  
1980 - PhD, UNIVERSITY OF UTAH  
1977 - MBA, UTAH STATE UNIVERSITY  
1973 - MPA, BRIGHAM YOUNG UNIVERSITY  
1969 - BS, WEBER STATE COLLEGE

Sahay, Amar (1992)

Professor, Business Management  
1991 - PhD, UNIVERSITY OF UTAH  
1986 - MS, UNIVERSITY OF UTAH  
1980 - BS, BIRLA INSTITUTE OF TECHNOLOGY  
1975 - AS, ST. XAVIER'S COLLEGE

Skousen, Don (1994)

Instructor, Business Management  
1980 - MS, UNIVERSITY OF UTAH  
1977 - BS, UNIVERSITY OF UTAH

### **Accounting Faculty**

Alldredge, Dave (2008)

Associate Professor, Accounting  
2006 - MBA, BOISE STATE UNIVERSITY  
1993 - BA, BOISE STATE UNIVERSITY

Burdette, Robert – CPA (2000)

Professor, Accounting  
1992 - MS, WASHINGTON SCHOOL OF LAW  
1979 - BA, UNIVERSITY OF UTAH

Gunn, Wendy – CPA (2010)

Instructor, Accounting

2000 - MPrA, UNIVERSITY OF UTAH  
1999 - BS, UNIVERSITY OF UTAH

Hatfield, Shauna (1998)  
Professor, Accounting  
1990 - MPAcc, WEBER STATE UNIVERSITY  
1989 - BS, WEBER STATE UNIVERSITY

Neeley, Tammie (2013)  
Assistant Professor, Accounting  
2005 - MBA, UNIVERSITY OF UTAH  
2001 - BS, UNIVERSITY OF UTAH

Paulsen, Paige – CPA (1991)  
Associate Professor, Accounting  
1983 – MAcc, BRIGHAM YOUNG UNIVERSITY  
1981 - BS, UNIVERSITY OF UTAH

Yerbury, Lynnette – CPA (1987)  
Professor, Accounting  
1987 - MBA, UNIVERSITY OF UTAH  
1982 - BS, SOUTHERN UTAH STATE COLLEGE

### **Economics & Finance Faculty**

Andrus, Marlon (1982)  
Professor, Finance & Credit  
1973 - MBA, UNIVERSITY OF WASHINGTON  
1963 - BA, BRIGHAM YOUNG UNIVERSITY

Howell, Joseph (1984)  
Professor, Finance & Credit  
1983 - JD, UNIVERSITY OF UTAH  
1978 - MBA, UNIVERSITY OF UTAH  
1976 - BS, UNIVERSITY OF UTAH  
1976 - BS, UNIVERSITY OF UTAH

Magnusson, Kjartan (1972)  
Professor, Economics  
1989 - EdD, BRIGHAM YOUNG UNIVERSITY  
1978 - MEd, UTAH STATE UNIVERSITY  
1968 - BA, BRIGHAM YOUNG UNIVERSITY

Schumacker, Heather (2011)  
Assistant Professor, Economics  
2001 - MBA, WESTMINSTER COLLEGE  
2000 - BS, WESTMINSTER COLLEGE

1997 - BA, COLORADO STATE UNIVERSITY

Suetorsak, Rungrudee (2007)

Associate Professor, Economics

2004 - PhD, UNIVERSITY OF UTAH

1999 - MA, UNIVERISTY OF UTAH

1995 - MS, CHULALONGKORN UNIVERSITY

Watson, Dennis (2006)

Assistant Professor, Economics

1983 - MA, PACIFIC COAST SCHOOL OF BANKING

1972 - MBA, UTAH STATE UNIVERSITY

1971 - BS, UNIVERSITY OF UTAH

Wilson, Dennis (1988)

Associate Professor, Economics

1986 - MS, BOISE STATE UNIVERSITY

1980 - BS, BRIGHAM YOUNG UNIVERSITY

### **Marketing Management Faculty**

Day, Rolayne (1976)

Professor, Marketing

1977 - MA, UTAH STATE UNIVERSITY

1973 - BS, UTAH STATE UNIVERSITY

Youngman, Curtis (1978)

Professor, Marketing

1977 - MS, UTAH STATE UNIVERSITY

1974 - BS, UTAH STATE UNIVERSITY

1972 - AAS, WEBER STATE

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Faculty Workload Report

Issue

Regents' Policy R485 (Faculty Workload Guidelines) requires that the Commissioner provide an annual report on faculty workloads at USHE institutions, with the report being made available to the State Board of Regents and other entities. The report is provided on the website <http://higheredutah.org/> as part of the USHE Data Book. The most recent report is available in the data book for 2014 (Fall 2013 teaching loads) and is presented here for Regent information.

Background

The purpose of the R485 is "to provide standards for average teaching workloads for all full-time faculty at USHE colleges and universities that reflect differing institutional missions and roles, and that reflect appropriate national standards of teaching excellence," and to report annually accurate information on the extent of teaching done by USHE faculty. USHE institutions develop institution-specific workload guidelines that comport with the general guidelines set by the Regents in R485.

Faculty teaching workloads are addressed in the two USHE Data Book tables attached.

Policy Issues

The R485 has been in place for over a decade and provides appropriate and accurate information on faculty workload. USHE institutions meet the Regent guidelines overall, although annual variations can occur with funding and enrollment changes that often need to be "smoothed" over more than one year. For example, workload can exceed guidelines in times of budget reductions. This report is provided for the Board's information.

Commissioner's Recommendation

The Commissioner recommends the Board of Regents review the Faculty Workload Report for 2014 as presented.

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David L. Buhler  
Commissioner of Higher Education

DLB/EJH  
Attachment

Table 2A

# USHE FACULTY TEACHING WORKLOAD - FALL 2013 REGULAR FACULTY

FACULTY CONTACT HOURS, INSTRUCTIONAL CREDIT HOURS, AND STUDENT CREDIT HOURS PER FTE FACULTY

AVERAGES BY INSTITUTION TYPE	Total All Instruction			SBR Standards	
	Faculty Contact Hours	Instructional Credit Hours	Student Credit Hours	Faculty Contact Hours	Instructional Credit Hours
<b>RESEARCH/TEACHING UNIVERSITIES</b>					
University of Utah	10.01	9.58	196.13	10	9
Utah State University	7.63	8.43	258.62	10	9
Weighted Average	9.01	9.10	222.54	10	9
<b>REGIONAL/METRO UNIVERSITIES</b>					
Weber State University	16.70	12.99	254.12	13	12
Southern Utah University	12.83	12.20	279.91	13	12
Dixie State University	14.69	13.87	275.60	13	12
Utah Valley University	16.57	11.44	282.40	13	12
Weighted Average	15.79	12.38	271.96	13	12
<b>STATE AND COMMUNITY COLLEGES</b>					
Snow College	18.01	16.40	362.60	16-19	15
Salt Lake Community College	15.19	14.17	294.98	16-19	15
Weighted Average	15.93	14.75	312.64	16-19	13
<b>USHE WEIGHTED AVERAGE</b>	12.42	11.00	251.84		

Table 2B

# USHE FACULTY TEACHING WORKLOAD - FALL 2013

## FOUR-YEAR COMPARISON OF SELECT MEASURES

AVERAGES BY INSTITUTION	Regular Faculty Contact Hours				Regular Faculty Instructional Credit Hours				Percent of All Instruction by Part-time Faculty			
	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2010	Fall 2011	Fall 2012	Fall 2013
<b>RESEARCH/TEACHING UNIVERSITIES</b>												
University of Utah	10.40	10.09	10.10	10.01	10.53	10.32	9.88	9.58	38.8%	38.6%	41.4%	43.0%
Utah State University	15.81	10.23	9.30	7.63	16.21	10.99	10.27	8.43	33.9%	34.3%	33.8%	34.2%
<b>REGIONAL/METRO UNIVERSITIES</b>												
Weber State University	13.58	14.14	15.27	16.70	12.53	12.69	15.09	12.99	36.6%	34.3%	41.5%	50.1%
Southern Utah University	12.54	12.87	12.82	12.83	12.08	12.39	12.18	12.20	37.5%	30.6%	32.5%	32.6%
Dixie State University	18.51	19.42	17.43	14.69	15.48	16.11	14.51	13.87	46.1%	49.0%	49.0%	42.9%
Utah Valley University	16.48	17.36	19.25	16.57	12.07	12.09	12.08	11.44	54.9%	53.3%	51.4%	50.3%
<b>STATE AND COMMUNITY COLLEGES</b>												
Snow College	39.23	37.66	17.88	18.01	26.30	26.98	18.85	16.40	28.5%	29.1%	29.1%	29.2%
Salt Lake Community College	15.57	15.42	15.43	15.19	14.38	14.29	14.57	14.17	63.3%	61.2%	61.2%	60.3%
<b>USHE WEIGHTED AVERAGE</b>	15.49	13.55	13.08	12.42	13.26	12.22	11.91	11.00	44.4%	43.1%	43.1%	45.1%

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: New Century and Regents' Scholarships Report

Background

The Utah State Board of Regents administers two scholarship programs established by the Legislature. The New Century Scholarship was created in 1999 as a Governor's initiative to encourage students to accelerate their education by earning an associate degree in high school or by pursuing a math and science curriculum. The Regents' Scholarship was an initiative of the State Board of Regents in 2008 to encourage Utah High School students to prepare academically and financially in grades 9-12 for college by completing a defined course of study, meeting minimum GPA, specific course grades and ACT requirements.

Issue

The 2014 scholarship cycle has come to a close. This year, New Century Scholarship recipients remained flat at approximately 300. On the other hand, 2,349 new students qualified for the Regents' Scholarship, which is an increase of 20 percent from the previous year. Also, approximately two-thirds of those who qualified for the base award qualified for the exemplary award (which requires a higher GPA and ACT score). Additionally, 13 percent of recipients also qualified for the UESP savings match. This year in the Regents' budget request, it is estimated \$3,000,000 in new money will be necessary to fully fund new 2015 recipients and those students with continuing eligibility for both programs. Budget estimates will be updated in February 2015 taking into account applicant growth, and the budget request will be modified as needed during the legislative session.

Attached is a year-end report highlighting each program, including the award break down by district, college attendance, and data indicators related to college success of scholarship recipients compared to their non-recipient peers.



Commissioner's Recommendation

This is an information item, no action is required.

DLB/MMK  
Attachment

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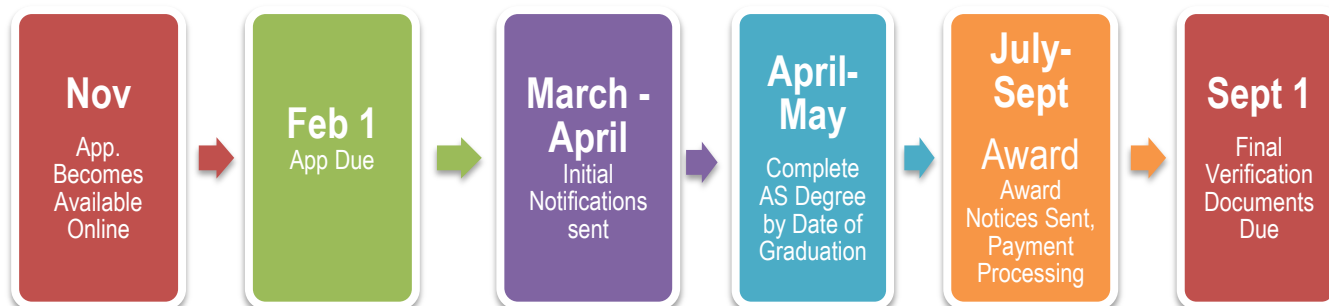
David L. Buhler  
Commissioner of Higher Education



**The Utah State Board of Regents administers two scholarship programs established by the Legislature: the New Century Scholarship and Regents' Scholarship.**

## New Century Scholarship

The New Century Scholarship **was created in 1999 as a Governor's initiative** to encourage students to accelerate their education by earning an associate degree in high school or by pursuing a set math and science curriculum. Students qualify by earning an associate degree at a Utah System of Higher Education institution with a 3.0 GPA by the date they graduate from a Utah high school with a minimum 3.5 cumulative high school grade point average. Students who are home schooled or complete high school through an on-line institution must have a minimum ACT score of a 26. The New Century Scholarship Award is a flat dollar amount and the maximum amount a recipient may receive is \$1250 per semester, renewable for up to 60 credits or four semesters (whichever is first). The scholarship may be used at a baccalaureate degree granting institutions within the Utah System of Higher Education, as well as at Brigham Young University and Westminster College.

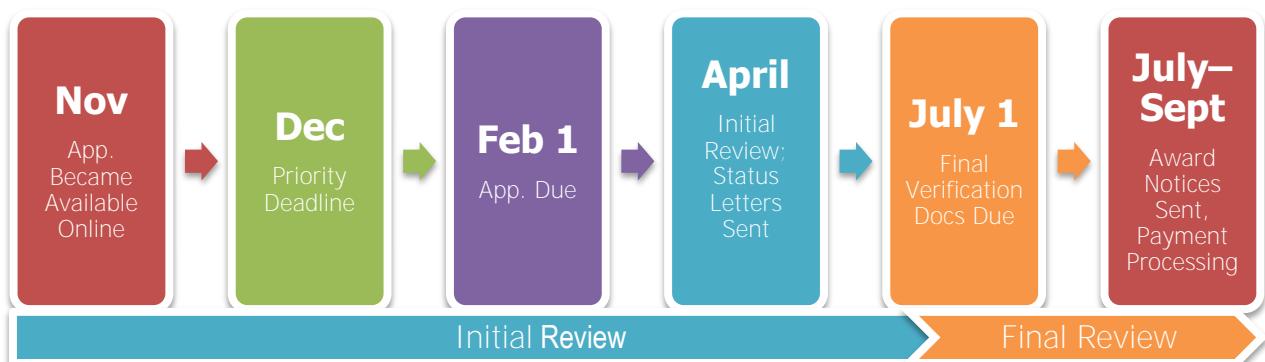


## Regents' Scholarship

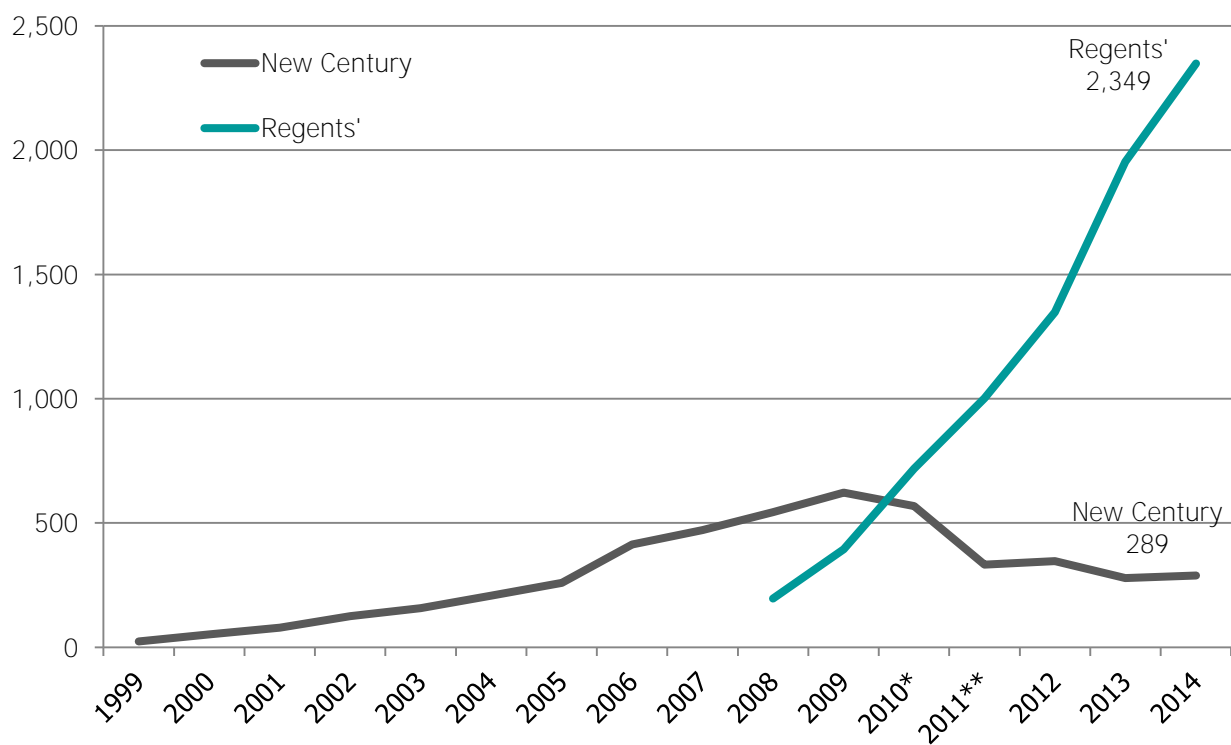
The **Regents' Scholarship** was created by the Utah Legislature in 2008 (sponsored by Senator Lyle Hillyard) to encourage Utah high school students to prepare for college academically and financially by taking a core course of study during grades 9-12 and saving for college. **Students' who apply for and** receive the scholarship must meet the academic requirements below as well as be a United States Citizen or a noncitizen that would be eligible to apply for federal financial aid and have no criminal record. The scholarship may be used at any public college or university in the Utah System of Higher Education, as well as at Brigham Young University, LDS Business College and Westminster College.

The Base Award is a one-time payment of up to \$1,000 for students who complete a core course of study, **earning a no grade lower than a "C" in the required** classes, meet a minimum of a 3.0 cumulative high school GPA, , and submits an ACT score. Students qualify for the Exemplary Achievement Award by having no grade lower than a "B" in the required classes, at least a 3.5

cumulative GPA, and a composite ACT score of 26. The Exemplary Award is a flat dollar amount and the maximum amount a recipient may receive is \$1250 per semester, renewable for up to 65 credits or four semesters (whichever is first). To renew the scholarship a student must enroll in and complete a minimum of 15 credit hours and earn a 3.3 GPA each semester. The Utah Educational Savings Plan (UESP) Supplemental Award is available for students who earn the Base Award and who have contributed to a UESP account during ages 14-17 (a maximum of \$100 per year for each \$100 contributed to their account).



### Award History (as of October 20, 2014)



\*First year with an application deadline established for New Century Scholarship.

\*\*First year that applicants for New Century Scholarship were required to complete an associate degree by the time they graduate from high school (instead of by September 1 following high school graduation) and maintain a 3.5 cumulative high school GPA.

# New Century Scholarship

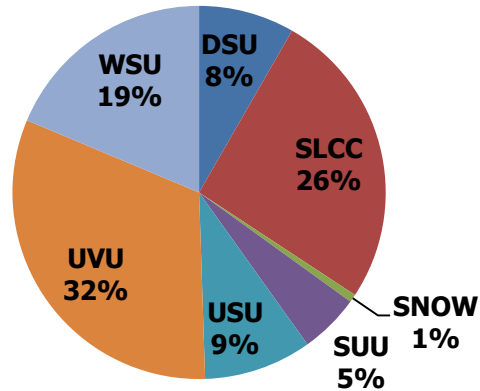
Graduate Year	Number of Approved Applications
*2010	568
**2011	332
2012	347
2013	278
***2014	289

\*This is the first year with an application deadline.

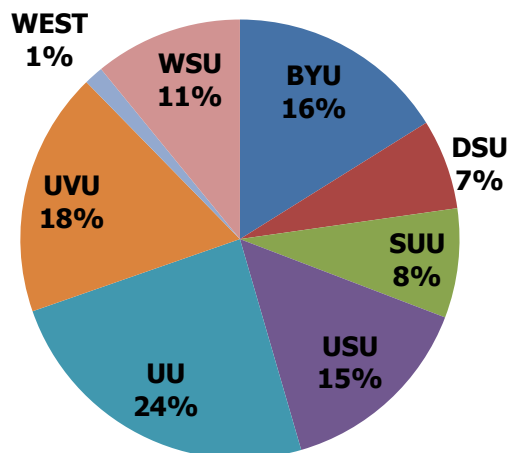
\*\*This is the first year that applicants must complete an associate degree by the time they graduate from high school (instead of by September 1 following high school graduation) and maintain a 3.5 cumulative high school GPA.

\*\*\*The data for 2014 is as of October 20, 2014.

## New Century 2014 Recipients Insitution Awarding Associate Degree



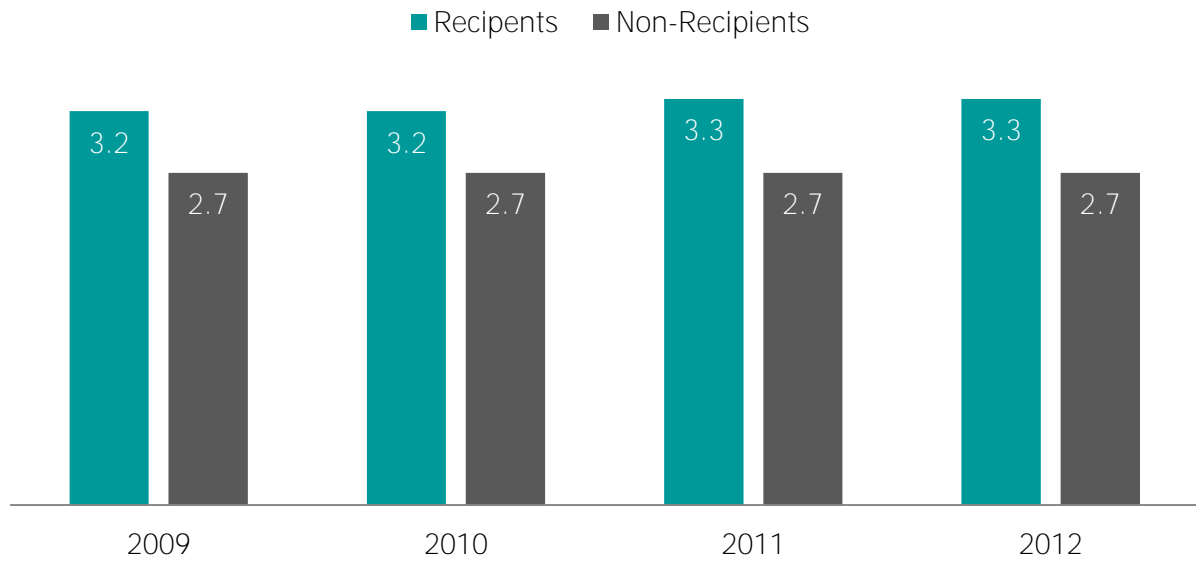
## New Century Scholarship 2014 Cohort College Enrollment Fall 2014



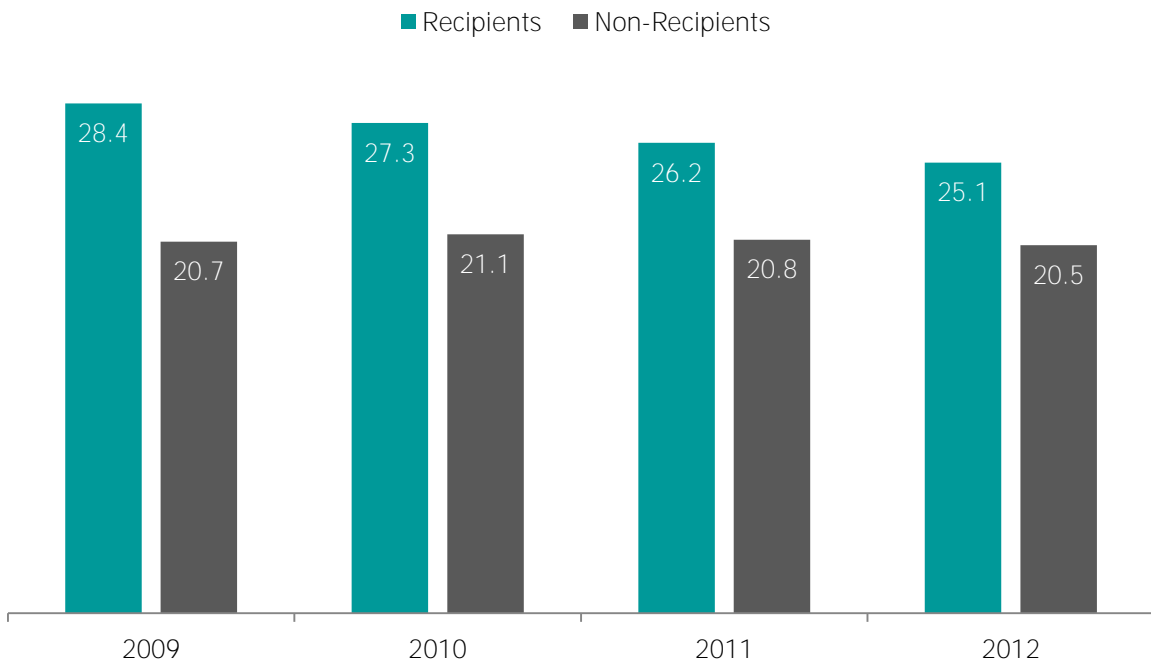
<b>2014 New Century Scholarship Awards by School District*</b>			
<b>District</b>	<b>Applied</b>	<b>Approved</b>	<b>Non-Eligible</b>
Alpine	42	21	21
Beaver	C	14	4
Cache	3	2	1
Canyons	14	9	5
Charter	14	8	6
Davis	15	9	6
Early College	243	156	87
Emery	1	1	0
Granite	5	5	0
Home School	7	3	4
Jordan	34	29	5
Murray	7	6	1
Nebo	7	5	2
North Summit	4	2	2
Ogden	1	0	1
Out of State	1	0	1
Provo	2	2	0
Rich	8	4	4
San Juan	3	3	0
Sevier	1	1	0
South Sanpete	1	0	1
South Summit	3	3	0
Tooele	1	0	1
Wasatch	2	2	0
Washington	2	0	2
Wayne	1	1	0
Weber	6	3	3
<b>Grand Total</b>	<b>446</b>	<b>289</b>	<b>157</b>

\*As of 10-20-14

## Average First-Year GPA



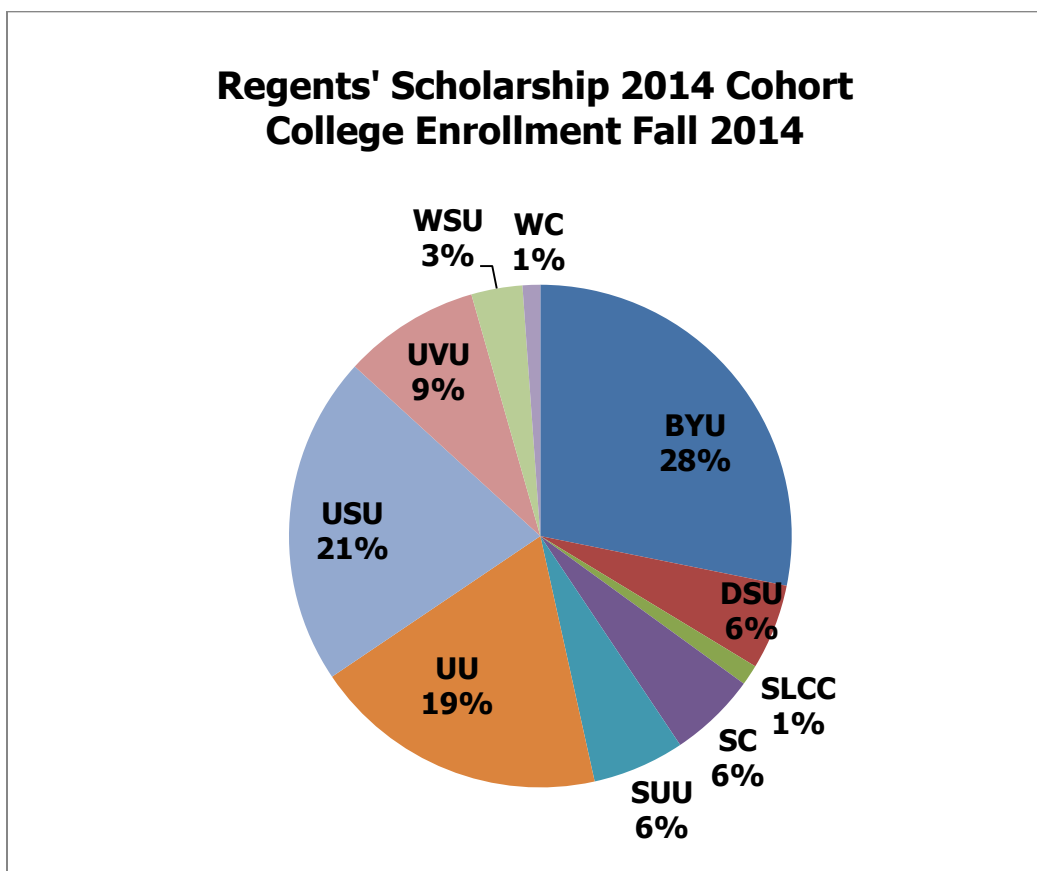
## Average First Year Earned Credit Hours



## Regents' Scholarship

Awards	2010	2011	2012	2013	2014*	% Change from 2013
Base Only	201	296	398	536	675	26%
Base and Exemplary	448	583	788	1172	1358	16%
Base and UESP Supplemental	14	26	35	49	77	57%
Base, Exemplary, and UESP	55	97	127	196	239	22%
<b>Total</b>	<b>718</b>	<b>1,002</b>	<b>1,348</b>	<b>1,953</b>	<b>2,349</b>	<b>20%</b>

\*As of 10-20-14



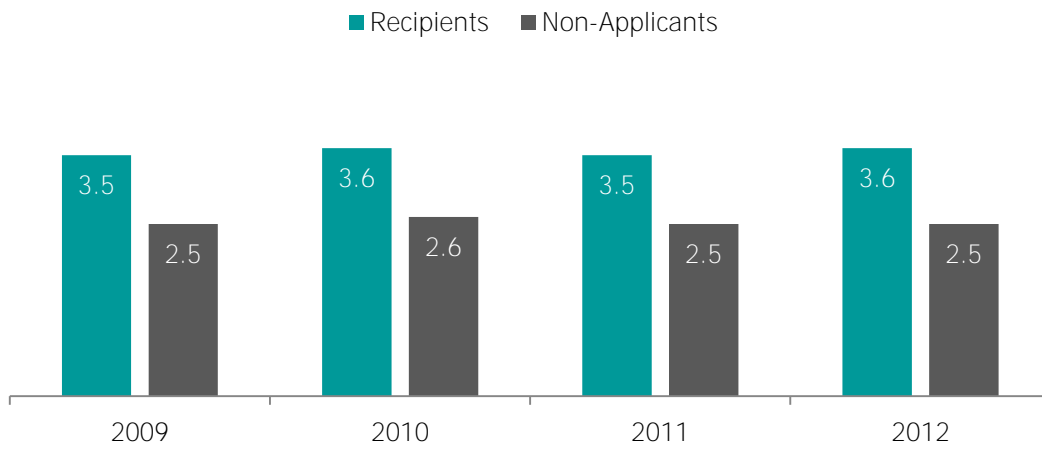
# 2014 Regents' Scholarship Cohort Applications and Award Breakdown by School District\*

District	Applicants	Ineligible	Incomplete	Base Only	Base & UESP	Base & Exemplary	Base, Exemplary & UESP
Alpine	577	121	10	117	14	263	52
Beaver	2	0	0	1	0	1	0
Box Elder	71	13	2	19	4	27	6
Cache	140	22	2	30	0	81	5
Canyons	330	97	10	56	9	129	29
Carbon	1	1	0	0	0	0	0
Charter	44	18	1	11	0	12	2
Davis	424	101	11	69	13	190	40
Duchesne	3	0	0	1	0	0	2
Early College High School	33	20	1	1	1	8	2
Emery	8	1	0	0	0	6	1
Garfield	3	2	0	1	0	0	0
Grand	2	1	0	0	0	1	0
Granite	230	71	19	47	3	78	12
Iron	17	2	1	1	0	12	1
Jordan	230	50	5	41	5	115	14
Juab	4	1	0	2	0	1	0
Logan	53	15	4	12	0	19	3
Millard	1	0	0	0	0	1	0
Morgan	16	3	0	2	0	10	1
Murray	13	0	0	1	0	9	3
Nebo	306	76	7	77	5	124	17
North Sanpete	4	1	0	0	0	3	0
Ogden	1	0	0	1	0	0	0
Park City	35	17	2	2	2	11	1
Private	53	29	1	5	1	14	3
Provo	66	14	0	11	0	34	7
Salt Lake	92	35	5	12	6	26	8
San Juan	1	0	0	0	0	0	1
Sevier	11	2	0	3	0	5	1
South Sanpete	37	13	1	11	1	8	3
South Summit	10	3	2	2	0	2	1
Tooele	59	14	3	13	4	20	5
Uintah	2	0	0	0	0	1	1
Wasatch	81	30	3	25	2	17	4
Washington	295	74	17	89	6	98	11
Weber	69	19	2	12	1	32	3
<b>Grand Total</b>	<b>3324</b>	<b>866</b>	<b>109</b>	<b>675</b>	<b>77</b>	<b>1358</b>	<b>239</b>

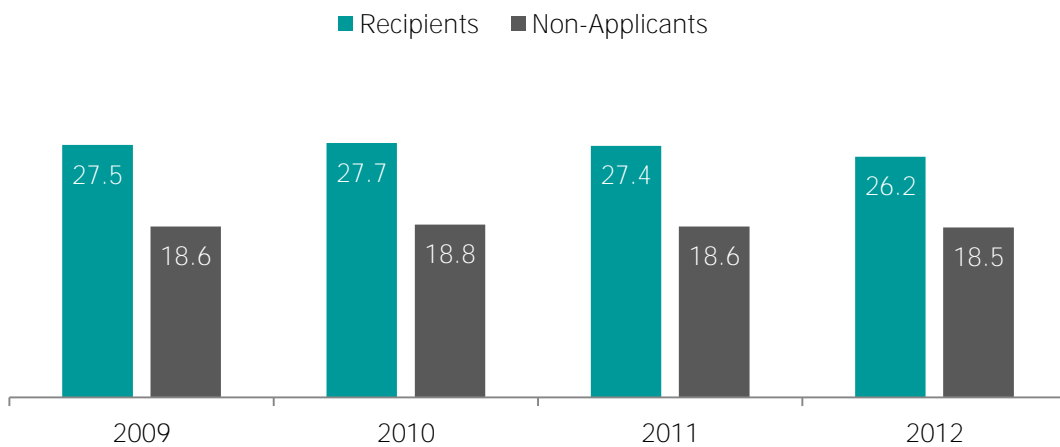
\*As of 10-20-2014



## First Year Postsecondary GPA (First-time Freshmen)



## Average First-Year Credit Earned (First Time Freshmen)



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: StepUP READY Grants

Background

In 2010, Governor Herbert designated the Board of Regents as the state agency responsible for applying for, receiving, and managing the College Access Challenge Grant Program (CACG) from the U.S. Department of Education. Over the past four years, the CACG has expanded and enhanced the statewide infrastructure dedicated to significantly increasing the number of low-income and underrepresented students who are prepared to enter and be successful in postsecondary education.

Since 2010, USHE has awarded almost \$2.3 million in CACG IMPACT (Improving Preparation, Access, and Communities Together) sub-grants to not-for-profit colleges and universities to partner with, establish, strengthen, or expand outreach and access programs geared towards supporting the 66% by 2020 goal.

As the CACG money sunsets this fiscal year (FY15), the Utah legislature appropriated \$1 million in ongoing funds during the 2014 session to the Commissioner's Office to support college readiness. The Commissioner designated a significant part of this appropriation for grants that build upon the administrative structure of the IMPACT sub-grants and sustain a number of college readiness initiatives created under the CACG. More specifically, the grants will support collaboration between public education and higher education to support college readiness in the schools.

Issue

We know that the most effective college readiness efforts come as a result of strong partnerships between higher education and public education. Collaboration between K-12 and higher education institutions continually demonstrate positive outcomes, but can be difficult to initiate and sustain.

In June, USHE released the RFP for the StepUP READY grants, inviting applications from partnerships between school districts/local education authorities (LEAs) and Utah not-for-profit higher education institutions in an effort to increase the number of Utah's public high school students who graduate college-ready and enroll in a post-secondary institution. \$600,000 in StepUP READY grants up to \$50,000 each were available to school districts/LEAs that partner with Utah not-for-profit higher education institutions. All

grants required a robust partnership between the LEAs and the not-for profit higher education institution to ensure effective and intentional efforts surrounding college preparation, enrollment, and first-year transition.

All grants also needed to be keyed to specific college readiness objectives provided by USHE in the grant. These objectives were divided into four categories: preparation, enrollment, transition, and professional development.

The RFP listed more than 20 objectives, including:

- Increase number of students who achieve ACT college-readiness benchmarks through targeted interventions and support.
- Increase number of students completing concurrent English 1010 and/or Math 1030/1040/1050 with a grade of "B" or higher.
- Increase the number of students taking STEM-related courses in senior year.
- Increase parental engagement related to college preparation and attainment.
- Increase number of first-generation high school seniors who apply to one or more colleges/universities.
- Engage under-represented students in intentional summer programming to ease transition (note: this refers to "bridge" programs, not orientation or first-year experience).
- Engage teachers and administrators in college readiness training.

Applications were due on September 8, 2014. Applicants then entered into a consultation period whereby applicants that met the minimum requirements of the RFP were asked to submit additional and clarifying information. A committee composed of representatives from public education and higher education then reviewed these applications.

Review committee:

- Dr. Martin Bates, Superintendent of Granite School District
- Dr. Shannon Dulaney, Superintendent of Iron County School District
- Dr. Nancy Singer, Interim Vice President, Salt Lake Community College
- Dr. Sandi Pershing, Assistant Vice President, University of Utah
- Melissa Miller Kincart and Spencer Jenkins, representatives of Commissioner of Higher Education

USHE received a total of 23 applications:

- All USHE institutions submitted at least one grant application.
- 2 charter schools submitted applications.
- Applications proposed programs that would provide interventions in 24 school districts.

The review committee recommended to the Commissioner that nine grants be awarded. These nine grants represent collaborations between six USHE institutions and 19 school districts. Please see attachment for list of grants approved by the Commissioner to enter into grant agreement with USHE.

Next steps:

- All grantees must enter into a grant agreement with USHE, spelling out any modifications in the application (such as expansion of programs or utilization of existing USHE programs), including data sharing, and exploring sustainability.
- With the submission of a completed grant agreement, funds will be expended in January 2015.

- Implementation of interventions should take place from January-December 2015.
- Reports will be due to USHE in June 2015, January 2016, and April 2016.

Commissioner's Recommendation

This is an information item, no action is required.

DLB/CF  
Attachment

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David L. Buhler  
Commissioner of Higher Education

- 1. Dixie State University & Washington County School District** **\$50,000**  
David Roos & Colin Metzger  
**Improving College Math Preparedness in Washington County**  
Increase college preparation in Washington County by increasing the number of sophomores enrolling in Secondary Math III; increasing the passing rates of Secondary Math III; and increasing the number of students taking a 4<sup>th</sup> year of high school math.
- 2. Snow College & K16 Alliance** **\$58,975**  
Steve Hood & Andrew Peterson  
**Opportunities to Prepare Now (OPeN)**  
Increasing college awareness and readiness in Juab, Millard, Piute, Sevier, North Sanpete, South Sanpete, Wayne School Districts by introducing Utah Scholars Initiative to those districts and building upon the 8<sup>th</sup> grade intervention. A parallel parent initiative in Spanish will reach additional families.
- 3. University of Utah & Canyons, Granite, Washington County, & Iron County School Districts** **\$74,360**  
Paul Gore  
**Advancing Utah's College Readiness Agenda Through Professional Development, Cultivating Partnerships**  
Increasing counselor professional development by expanding the Collaborative Counselor Training Initiative throughout these districts and building parent-student college readiness support workshops targeting at-risk and under-represented students.
- 4. University of Utah & Granite School District** **\$36,500**  
Sandi Pershing/Nicole Batt & Judy Peterson  
**Utah College Advising Corps Expansion**  
Improving college enrollment through by expanding existing College Advising Corps to place a member at Olympus High School, a school with an increasing number of under-served students.
- 5. Utah State University & Box Elder, Cache, Jordan, & Salt Lake School Districts** **\$75,000**  
Camille Odell & Nancy Karpowitz  
**USU School Counselor Professional Development Partnership**  
Increasing counselor professional development by expanding the Collaborative Counselor Training Initiative throughout these districts and implementing counselor created action plans at each impacted school.

**6. Utah State University Eastern & San Juan School District \$67,954**

Jared Berrett & Heather Young

**STEM Infusion & FAFSA StepUP Initiatives**

Improving college readiness by increasing the number of students taking four years of STEM-related courses (math and science) through targeted hands-on after-school activities and professional development for teachers. Will also deliver FAFSA completion workshops.

**7. Utah Valley University & Mountain View High School \$74,514**

Kyle Reyes & John Burton

**UVU/Mountain View HS Enroll Now Partnership (Alpine School District)**

Impacting the enrollment of under-served students by increasing the number of first-generation high school students who apply to one or more colleges/universities and increasing the number of seniors who complete the FAFSA.

**8. Weber State University & Syracuse High School \$49,885**

Scott Nielson & Sandy Rich

**Titan University (Davis School District)**

Improving college readiness by introducing ACT workshops to remediate students who scored below benchmarks on the junior-year ACT test. Increasing the number of students taking AP/CE courses in grades 11 & 12, and implementing FAFSA workshops to increase the number of seniors who complete the FAFSA.

**9. Weber State University & Weber School District \$20,252**

Beth Rhoades & Reid Newey

**College Knowledge in 10<sup>th</sup> Grade**

Increase college awareness and attainment by providing professional development for 10<sup>th</sup> grade teachers to improve their knowledge of the college-going process and increasing the number of students taking concurrent enrollment.

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE Conference for Secondary School Administrators and Counselors

Issue

On September 12, 2014, the Utah System of Higher Education sponsored a conference titled "Supporting the Journey" for secondary school administrators and counselors with the purpose of helping them gain a greater understanding of the many resources that exist to support students as they transition from high school to college or university, including application, financial aid, scholarships, and other supportive programs. This annual conference is in its sixth year and was funded partly by the College Access Challenge Grant and partially through College Readiness money appropriated by the legislature. This event was coordinated by Assistant Commissioner, Melissa Miller Kincart, and members of her staff, primarily Heidi Doxey, and supported by the Utah Council, College Access Network of Utah and the Outreach Team in UHEAA.

Approximately 617 administrators, counselors, presenters, college access, admissions and recruitment staff from across the state participated in this day-long conference at Thanksgiving Point in Lehi, Utah. Our participants came from approximately 31 of 41 Utah school districts, in addition, a number of private and charter schools were represented. Tami W. Pyfer, education advisor to the Governor opened the conference, followed by Judy A. Petersen, Director of College and Career Readiness in Granite School District, who shared information surrounding the White House College Opportunity Agenda: *Strengthening School Counseling and College Advising*. They keynote speaker, Dr. Alice Anne Bailey, Director of the Go Alliance at the Southern Regional Education Board, spoke on supporting low-income and first generation students when planning for and applying to postsecondary education and how policies and procedures surrounding those practices could be improved.

Participants were able to choose from 27 workshops covering such topics as high school mathematics recommendations, engaging students and parents in social media, empowering Pacific Islander and Native American students, increasing parent involvement, undocumented student support, as well as sessions on the statewide initiatives such as Utah College Application Week, concurrent enrollment, Utah Scholars, UESP, scholarships, and panel sessions highlighting college, university, and business leaders. New this year was a set of three workshops geared specifically towards junior high and middle school counselors

and administrators. Representatives from all USHE schools, as well as UCAT, BYU, LDSBC and Westminster College, StepUp, UESP, and UHEAA had information booths and were able to answer questions and distribute materials for the upcoming academic year.

Attached is the agenda from the conference for reference.

### Feedback

We received 212 evaluation responses, which is a response rate of 35% of our total attendees. The evaluation was available in hard copy at the conference as part of the printed agenda, and afterward as an online survey. Of the respondents:

- 85% are school counselors; 54% work at the high school level and 31% at junior/middle schools.
- 10% of the additional respondents were college and university outreach and access, financial aid, or admissions and recruitment personnel.
- 43.2% were in their first five years of providing assistance to students and families about postsecondary options, while 23.3% have been in their role between six to ten years, and 32% in their role for more than 10 years.
- 83% were either “very satisfied” or “satisfied” with the choice of conference workshops.
- 82% agreed that they have developed a greater understanding of the processes and potential hurdles students must navigate to succeed in college.
- 91% agreed that this conference prepared them to support students in their journey towards college.

We collected information regarding suggestions for future sessions and based on enormously positive feedback, we will be expanding and deepening the sessions geared toward middle school and junior high college readiness strategies. Additionally, we will include sessions around Utah College Application Week, interactive use of social media, additional information about programmatic support for Native American and Pacific Islander populations, parent engagement, and NCAA compliance. We continue to receive such positive feedback about this conference and try to build upon our experiences to improve our offering for the coming year.

### Commissioner's Recommendation

This is an information item only, no formal action by the Board is required. However, the Board is encouraged to read and take note of the information in this memorandum and review the attached event agenda. Note that further follow-up will be handled by the Commissioner's Office as part of the Board's Participation strategic objective.

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David L. Buhler  
Commissioner of Higher Education

DLB/MMK  
Attachment



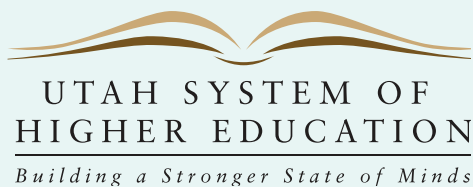
USHE Conference for Secondary School Administrators and Counselors

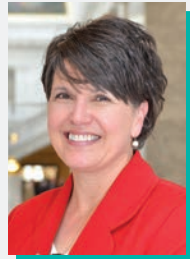
# Supporting the Journey



Friday, September 12, 2014

Thanksgiving Point • Lehi, Utah





### Tami Pyfer

Utah Education Advisor to the Governor

Tami Pyfer is a resident of Logan who was appointed by Governor Herbert as his Education Advisor in January of 2014. Previously, she served four years on the Utah State Board of Education where she was elected as Chair in December 2013. For ten years, Tami worked in the College of Education at Utah State University as a Clinical Instructor in the Special Education Department. While at Utah State she taught classes in Assistive Technology, Preschool Special Education Assessment, and the Introduction to Special Education course for general educators. She supervised on-campus student teachers as well as teachers enrolled in the early childhood alternative teacher preparation program, and coordinated research activities for a narrative language study. In addition to her university duties, Tami worked as a faculty trainer for the IRIS Project through Claremont College and Vanderbilt University, training university faculty in the use of online learning modules. Tami earned her Bachelor's and Master's degrees in Special Education at Utah State University. She is currently adjunct faculty in the Department of Special Education and Rehabilitation.

Before her service on the State Board of Education, Tami served eight years on the Logan City Council and seven years on the Logan Schools Foundation Board of Directors where, prior to her Foundation Board term, she spent seven years as the Foundation's Executive Director. For 25 years Tami was active in her children's education, serving as a PTA volunteer, PTA president, School Site-Based Committee member, elected Community Council member, classroom volunteer, and fundraiser. She advocated for teachers and sought funding to help enhance the educational experiences for all students in the Logan School District.

Tami notes that her greatest satisfaction has come from raising five talented and kind children with her husband, Aaron, at her side. Although they are now empty-nesters, Tami and Aaron are adjusting remarkably well and are enjoying grandparenthood.



### Judy A. Petersen

Director, College and Career Readiness, Granite School District

Judy Petersen is currently Director of the College and Career Readiness Department, Granite School District, Salt Lake City, UT. She oversees Granite School District's K-12 school counseling program, the district's high school graduation initiative, AVID, Latinos in Action, Freshmen Academy, and all things college and career readiness related. Judy's resume includes service as Guidance and Career

Development Specialist for the Utah State Office of Education, adjunct faculty at the University of Utah and Utah State University, President of the Utah School Counseling Association, Guidance and Career Development Vice President for ACTE, and a longstanding member of ACTE's Guidance and Career Development Policy Committee. Judy is very involved in local, state, and national issues related to school counseling and college access. She directed Granite School District's involvement in the National Office of School Counseling Advocacy (NOSCA) Urban School Counseling Initiative, National FAFSA Completion Project, and Utah's College Application Week pilot. Judy has presented at state and national counseling and CTE conferences and has contributed to school counseling research. Judy is forever dedicated to helping students prepare for college and career, and her license plate holder proudly states: *Plan for the Future!*



### Dr. Alice Anne Bailey

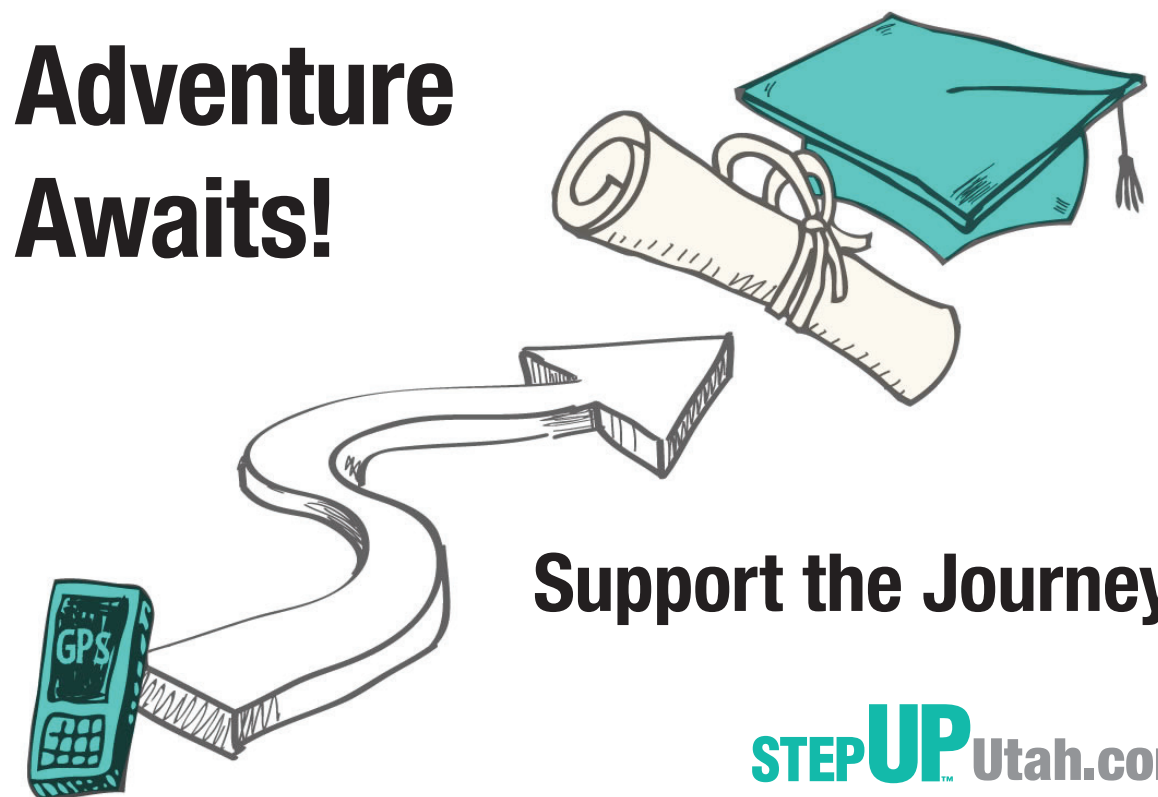
Director, *Go Alliance*, Southern Regional Board of Education

As Director of *Go Alliance*, Dr. Alice Anne Bailey helps states develop and implement the right policies, support programs, and communications techniques to increase the number of "first-in-the-family" students who prepare for and apply to postsecondary education. She also directs the College and Career Counseling Initiative, which provides rigorous professional development and education for in-service and pre-service school counselors, teachers, administrators, and college access program staff. At SREB, she has managed many multi-state education projects and authored numerous reports ranging from middle grades to adult learners. Her professional career began at IBM, where she worked as a psychometrician in the areas of employee selection and professional certification. Alice Anne holds a doctorate in Industrial and Organizational Psychology from Georgia Tech. Her research on how negative stereotypes impact women's interest and performance in STEM fields was granted the Outstanding Original Research Contribution Award by the Georgia Psychological Association.

Jr. High  
Session

Due to high demand we have created a half-day track geared towards Junior High and Middle School counselors and administrators with sessions crafted around supporting college readiness for younger students.

# Adventure Awaits!



## Support the Journey!

**STEPUP**Utah.com

8:15 – 9:00 am

■ Check-In & Continental Breakfast, College and University Booths

9:00 – 9:45 am

■ Welcome  
Welcome by Tami W. Pyfer, Utah Education Advisor to the Governor  
White House College Opportunity Agenda: *Strengthening School Counseling and College Advising Update*  
Judy Petersen, Director, College and Career Readiness, Granite School District  
Conference overview by Melissa Miller Kincart, Assistant Commissioner for Outreach and Access, Utah System of Higher Education

9:45 – 10:35 am

BREAKOUT SESSION 1

■ Utah College Application Week: Working together to help more students StepUp to higher education

Presented by Melissa Miller Kincart, Utah System of Higher Education; Julie Brough, Kearns High School; Nicole Batt, Utah College Advising Corp  
*The American College Application Campaign (ACAC), is a national initiative of the American Council on Education (ACE) to increase the number of first-generation and low-income students who pursue a postsecondary education. The purpose of this initiative is to help high school seniors navigate the college admissions process and ensure each participating student submits at least one college admissions application and completes their FAFSA pin during the school day in a computer lab during the designated week. In November 2013, Utah joined 39 states by launching a pilot in three districts and eight high schools and reaching over 2,300 students. In 2014 we have expanded our pilot to include 14 districts and 50+ schools, and hope to double the number of partner schools in 2015. Join our session to learn about this exciting, low cost, high impact initiative and how you can get involved.*

■ Recommendations on High School Mathematics Preparation

Presented by Liz Hitch, Associate Commissioner for Academic and Student Affairs, Utah System of Higher Education; Peter Trapa, Mathematics Department Chair, University of Utah  
*What math courses make the most sense for students to take for as they are planning their high school schedule—especially if they want to be college-ready? The adoption of the Utah Core Standards in Mathematics provided an opportunity for the Utah System of Higher Education (USHE) to examine recommended pathways for high school students intending to enroll in USHE institutions, especially from the perspective of reducing time-to-graduation and increasing retention rates. USHE convened a Task Force consisting of mathematicians and educators from both public and higher education to consider this issue. The recommendations of the Task Force as affirmed by the State Board of Regents will be presented in this session. Time for questions and discussion will be provided.*

■ Influencing the Influencers: Engaging Students through Social Media

Presented by Kim Raap, Love Communications  
*Learn how to use social media platforms to enhance communication with your students and influence them to take the right courses, remember important dates, and support their journey to college.*

■ Regents’ Scholarship: Empowering Applicants

Presented by Carrie F. Beckman, Scholarship Manager, Utah System of Higher Education  
*This session will review the application process for the Regents’ Scholarship and provide tips to empower students as they work towards becoming a Regents’ Scholarship recipient.*

- ROOM KEY:
- = Show Barn
  - = Mammoth Room
  - = Amber Room
  - = Rose Room
  - = Velvet Room
  - = Utah Room

Jr. High Session

■ Collaborative Partnerships with Jr. Highs and Middle Schools in Creating a College-Going Culture

Presented by Carmela Castañeda, Community School Director, Granite Park Jr. High; Jill Sundstrom, Chief Operating Officer, Big Brothers Big Sisters; Frank Magaña, Director of Operations, Latinos in Action, Andrea Cox, Director of Destination Graduation, United Way of Salt Lake  
*Representatives from Latinos in Action, Big Brothers Big Sisters, Granite Park Jr. High, and United Way of Salt Lake will lead a conversation centered around how schools and local non-profits can successfully collaborate around a common goal using collective impact principals to create a college-going culture at Jr. High and Middle Schools. The group will discuss how they utilize real time data gathering and analysis to intentionally target at-risk students to better align high-quality programming, backbone support, and continuous communication for student success. They will also share best practices and some “fail forwards”/challenges of utilizing collective impact principles to continuously improve strategies intended to help students succeed in school and in life and how these practices can be shared across communities.*

■ Advising Undocumented Students through Utah's Higher Education System

Presented by Maria Martinez, Utah System of Higher Education; Richard Diaz, Salt Lake Community College; Yudi Lewis, Utah Valley University; Karla Motta, University of Utah  
*With the increasing number of undocumented students entering Utah's K16 pipeline each year it becomes exceedingly important to understand federal and state policies which affect them. Through the College Access Network of Utah an undocumented student working group was recently formed to identify and continually address barriers these students face. Join the working group for a panel presentation on state and federal policies, resources available to students including privately funded scholarships, and how we, as educational leaders, can continue to support their journey through higher education.*

10:45 – 11:35 am

BREAKOUT SESSION 2

■ Building Tomorrow's Workforce

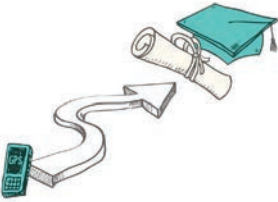
Presented by Keith Buswell, Co-Chair, Prosperity 2020; Vice President of Corporate Relations, Wadman Corporation; Douglas Fogg, COO, Sorenson Genomics; Eric Isom, Assistant Vice President for Utah Public Policy, Century Link; Kevin Driggs, HR Workforce Manager, IM Flash  
*Prosperity 2020 is the largest business-led movement ever assembled to advance education investment and innovation in Utah. Prosperity 2020's vision is for the state's educated and trained workforce to propel Utah to enduring prosperity. Building Utah's workforce successfully requires collaboration and communication between business and education to drive the development of Utah's most valuable resource: our people. Join our business leader panel to discuss the skills, preparation and education students need to be successful in the global marketplace of 2020.*

■ Recommendations on High School Mathematics Preparation

Presented by Liz Hitch, Associate Commissioner for Academic and Student Affairs, Utah System of Higher Education; Peter Trapa, Mathematics Department Chair, University of Utah  
*What math courses make the most sense for students to take for as they are planning their high school schedule—especially if they want to be college-ready? The adoption of the Utah Core Standards in Mathematics provided an opportunity for the Utah System of Higher Education (USHE) to examine recommended pathways for high school students intending to enroll in USHE institutions, especially from the perspective of reducing time-to-graduation and increasing retention rates. USHE convened a Task Force consisting of mathematicians and educators from both public and higher education to consider this issue. The recommendations of the Task Force as affirmed by the State Board of Regents will be presented in this session. Time for questions and discussion will be provided.*

■ What UHEAA Has For You

Presented by Michelle Riddle, Maureen Brakke, and Sumiko Martinez, Utah Higher Education Assistant Authority  
*This session will introduce you to all the resources that UHEAA has for you, ranging from self-paced online financial aid education to video resources and printed materials. We even have a tool to help your school manage scholarships for your students. You'll leave with resources and an understanding of how you can utilize what UHEAA has for you to benefit your students and parents.*







PROGRAM SCHEDULE

Five Things Parents Need to Know About College

Presented by Dr. Christie Fox, Utah Scholars Director, Utah System of Higher Education

In this session, we'll talk about ways to empower parents during the college preparation and application process. With just minimal messaging, you can help parents feel in control of the situation and not overwhelmed. Many parents want to surrender the process to the counselor rather than being a partner with the counselor and the student. We will focus on helping parents help themselves and their students through the process, with an emphasis on what the students and parents can do and how you can gently communicate that to them.

Jr. High Session

Get Started! Learn How UESP Can Help Your Students Prepare for College

Presented by Scott Pettett, Outreach Specialist, Utah Educational Savings Plan (UESP)

"Get Started! Learn How UESP Can Help Your Students Prepare for College" is a session that will provide participants with a brief overview of the Utah Educational Savings Plan (UESP), Utah's official nonprofit 529 college savings program; how families can prepare and save for future higher education expenses; and how UESP can support the efforts of Utah secondary school counselors to educate their students about college preparedness.

Improving Access and Outcomes for Native American Students, Rural and Urban

Presented by Georgiana Kennedy Simpson, ImPACT Coordinator, and Angelina Whitehorse, Utah Campus Compact VISTA, Utah State University-Eastern, Blanding Campus

In a recent CNN Money survey, Utah State University Eastern was ranked #3 in the nation for Student Success. With a campus population comprised of 57% Native Americans, 60% females, 79% first generation college-bound, 83% low-income, and 33% single parents, this USU outpost tackles the unique struggles of several typically underserved populations. ImPACT Coordinator, Georgiana Kennedy Simpson, works to ease college access for interested individuals in an area containing the most remote communities in the lower 48 states and encompassing the largest Native American population in the United States; including portions of the Navajo, Ute Mountain Ute, Southern Ute, Southern Paiute, and Hopi Nations. This session will focus on educational communities from a cultural and socio-economic perspective, deepening understanding of the individuals we serve, and providing tools and support for their educational success.

11:45 – 12:35 pm

BREAKOUT SESSION 3

Influencing the Influencers: Engaging Students through Social Media

Presented by Kim Raap, Love Communications

Learn how to use social media platforms to enhance communication with your students and influence them to take the right courses, remember important dates, and support their journey to college.

Financial Aid 101

Presented by Michelle Riddle, Maureen Brakke, Sumiko Martinez, Utah Higher Education Assistant Authority

If you're new to the world of financial aid or would like a refresher course, this session is for you! We will talk about the different ways for students to pay for college – savings, grants, work-study, student loans, and scholarships. Then, test your knowledge with an interactive game. You'll leave with a ready-to-go lesson plan and game to teach students of all ages about financial aid.

Jr. High Session

Utah Scholars Initiative as a College-Going Foundation

Presented by Dr. Christie Fox, Director of Utah Scholars, Utah System of Higher Education; Erika Norton, Utah Scholars, Megan Stone, Herriman High School, Stephanie Doyle, Matheson Jr. High School

In this session, you will learn about the Utah Scholars Initiative and how to make this 8th grade outreach program just one part of an ongoing, vibrant college-going culture in your school. You'll hear from counselors who have created successful college-going cultures in their own buildings. We'll talk about getting students on track by taking the right courses and engaging in the right behaviors to get them ready for college success. Come prepared to learn some best practices and share your own.

ROOM KEY:

- = Show Barn
- = Mammoth Room
- = Amber Room
- = Rose Room
- = Velvet Room
- = Utah Room

12:45 – 1:00 pm



2:10 – 3:00 pm

PROGRAM SCHEDULE

Pacific Islander Outreach: K-12 and University Partnerships

Presented by Barney Nye, Utah Valley University; Kris Coles, Utah Valley University

This session provides information about the ways in which UVU has focused its Native American and Pacific Islander outreach efforts through USHE ImPACT grant funding and discusses the ways in which community members, K-12 educators, and university faculty and staff have joined together to co-create a pathway forward to improve educational outcomes for Pacific Islander Students.

Regents' Scholarship 101

Presented by Carrie F. Beckman, Scholarship Manager, Utah System of Higher Education

This session is geared towards counselors and administrators who have LITTLE TO NO prior knowledge of the Regents' Scholarship program. The session will cover basic scholarship requirements.

Lunchbox Pick up

Keynote Address: The Next Generation of Student Supports: What Today's Low-Income Students Say About their Postsecondary Knowledge and Needs

Dr. Alice Anne Bailey, Director, Go Alliance, Southern Regional Education Board

In December 2012, Go Alliance was awarded a grant from the Lumina Foundation for Education to determine how technology could be used to better support low-income students in planning and applying to higher education. In 2013, SREB, in partnership with market research firm Smarty Pants, LLC, conducted 16 different focus groups of low-income high school students at eight public high schools nationwide. Students were asked about their experiences when planning for and applying to education after high school; what supports they need along the way; and how the postsecondary planning and application process could be improved. Findings have several significant implications for state and institution policy and practice. Alice Anne Bailey will relate these findings to current research and practice and make recommendations for how to best support low-income and first in the family students.

BREAKOUT SESSION 4

College and University Panel

Presented by Dixie State University, Utah Valley University, Weber State University

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.

College and University Panel

Presented by Southern Utah University, University of Utah, Utah State University

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.

College and University Panel

Presented by Brigham Young University, LDS Business College, Westminster College

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.

College and University Panel

Presented by Salt Lake Community College, Snow College, Utah State University-Eastern

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.

PROGRAM SCHEDULE

ROOM KEY:

- = Show Barn
- = Mammoth Room
- = Amber Room
- = Rose Room
- = Velvet Room
- = Utah Room

3:10 – 4:00 pm

BREAKOUT SESSION 5

College and University Panel

Presented by Dixie State University, Utah Valley University, Weber State University

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.

College and University Panel

Presented by Southern Utah University, University of Utah, Utah State University

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.

Rethink Education: the Value of Certificates in College Completion and Careers

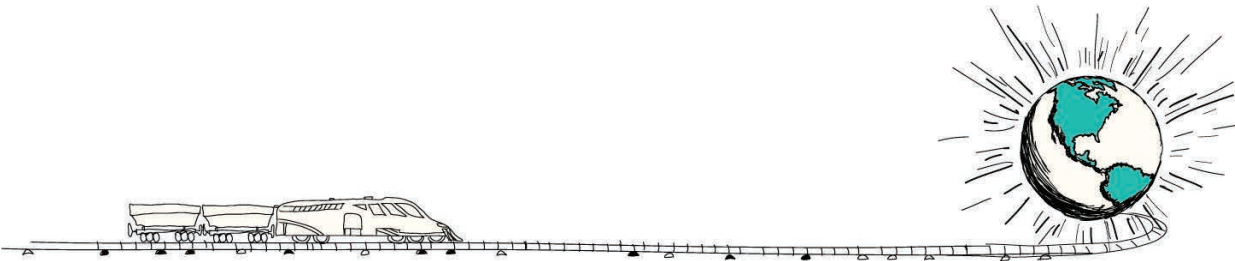
Presented by Jared Haines, Vice President of Student Services and Instruction, UCAT; Jordan Rushton, Director of Public Relations, UCAT; Mark Middlebrook, Director of Marketing, MATC; Ellen Lange-Christenson, Vice President of Student Services and Marketing, TATV; Mac McCullough, Outreach and Diversity Manager, OWATC

Come discuss with Utah College of Applied Technology (UCAT) representatives the advantages and value of a technical certificate. Student debt in the United States is at an all-time high and unemployed/underemployed college graduates are far too frequent. Earning a certificate can give a student meaningful employment and experience as they continue down the path of higher education or take advantage of the high demand career opportunities available upon completing a technical certificate. If continuing on with further education is the student's goal, they can do so with a good job and steady income. Starting at a UCAT campus can give students the confidence they need to be successful regardless of their future plans or aspirations. Come find out why it's time to "rethink EDUCATION" and enroll at your local UCAT campus.

College and University Panel

Presented by Salt Lake Community College, Snow College, Utah State University-Eastern

Representatives from Utah's colleges and universities will share information related to school programs, admissions, and more. This session will be a moderated Q&A session.



USHE Conference for Secondary School Administrators and Counselors  
Friday, September 12, 2014



Thank you for taking a moment to answer the following questions. Any information you provide is confidential.

Please mark your type of organization:

- ☐ Junior/Middle School
- ☐ High School
- ☐ Institution of Higher Education
- ☐ District Office
- ☐ Utah State Office of Education
- ☐ Access & Outreach Program
- ☐ Other (Please specify):

Please identify your position:

- ☐ School Counselor
- ☐ School Administrators (Principal, Vice Principal, etc.)
- ☐ Public Education Administrator
- ☐ Financial Aid Administrator/Staff
- ☐ Higher Education Administrator/Staff
- ☐ Other (Please specify):

How long have you been providing assistance to student to pursue education beyond high school?:

How many high school seniors will you work with in the 2014-2015 academic year?:

How would you rate the sessions you attended?

Please only evaluate the session(s) you attended.

Welcome: Tami Pyfer, Judy Petersen, Melissa Miller Kincart

I would rate this session as:

- ☐ Poor
- ☐ Fair
- ☐ Neutral
- ☐ Good
- ☐ Excellent

Comments:

Breakout Session 1

I attended the following session:

- ☐ Utah College Application Week: Working together to help more students StepUp to higher education
- ☐ Recommendations on High School Mathematics Preparation
- ☐ Influencing the Influencers: Engaging Students through Social Media
- ☐ Regents' Scholarship: Empowering Applicants
- ☐ Collaborative Partnerships with Jr. High's and Middle Schools in Creating a College-Going Culture
- ☐ The Pursuit of Higher Education for Utah's Undocumented Students

I would rate this session as:

- ☐ Poor
- ☐ Fair
- ☐ Neutral
- ☐ Good
- ☐ Excellent

Comments:

Breakout Session 2

I attended the following session:

- ☐ Building Tomorrow's Workforce
- ☐ Recommendations on High School Mathematics Preparation
- ☐ What UHEAA Has For You
- ☐ Five Things Parents Need to Know About College
- ☐ Get Started! Learn How UESP Can Help Your Students Prepare for College
- ☐ Improving Access and Outcomes for Native American Students, Rural and Urban

I would rate this session as:

- ☐ Poor
- ☐ Fair
- ☐ Neutral
- ☐ Good
- ☐ Excellent

Comments:

Breakout Session 3 (check one):

I attended the following session:

- ☐ Influencing the Influencers: Engaging Students through Social Media
- ☐ Financial Aid 101
- ☐ Utah Scholars Initiative as a College-Going Foundation
- ☐ Pacific Islander Outreach: K-12 and University Partnerships
- ☐ Regents' Scholarship 101

I would rate this session as:

- ☐ Poor
- ☐ Fair
- ☐ Neutral
- ☐ Good
- ☐ Excellent

Comments:

Keynote: Alice Anne Bailey, Go Alliance, Southern Regional Educational Board

I would rate this session as:

- ☐ Poor
- ☐ Fair
- ☐ Neutral
- ☐ Good
- ☐ Excellent

Comments:

Breakout Session 4

I attended the following session:

- ☐ Institutional Panel: Dixie, UVU, WSU
- ☐ Institutional Panel: SUU, UU, USU
- ☐ Institutional Panel: BYU, LDS-BC, Westminster
- ☐ Institutional Panel: SLCC, Snow, USU-E
- ☐ New Opportunity in Concurrent Enrollment

I would rate this session as:

- ☐ Poor
- ☐ Fair
- ☐ Neutral
- ☐ Good
- ☐ Excellent

Comments:

Breakout Session 5

I attended the following session:

- ☐ Institutional Panel: Dixie, UVU, WSU
- ☐ Institutional Panel: SUU, UU, USU
- ☐ Institutional Panel: Rethink Education: the Value of Certificates in College Completion and Careers
- ☐ Institutional Panel: SLCC, Snow, USU-E

I would rate this session as:

- ☐ Poor ☐ Fair ☐ Neutral ☐ Good ☐ Excellent

Comments:

Please evaluate the conference as a whole; place an “X” in the appropriate box.

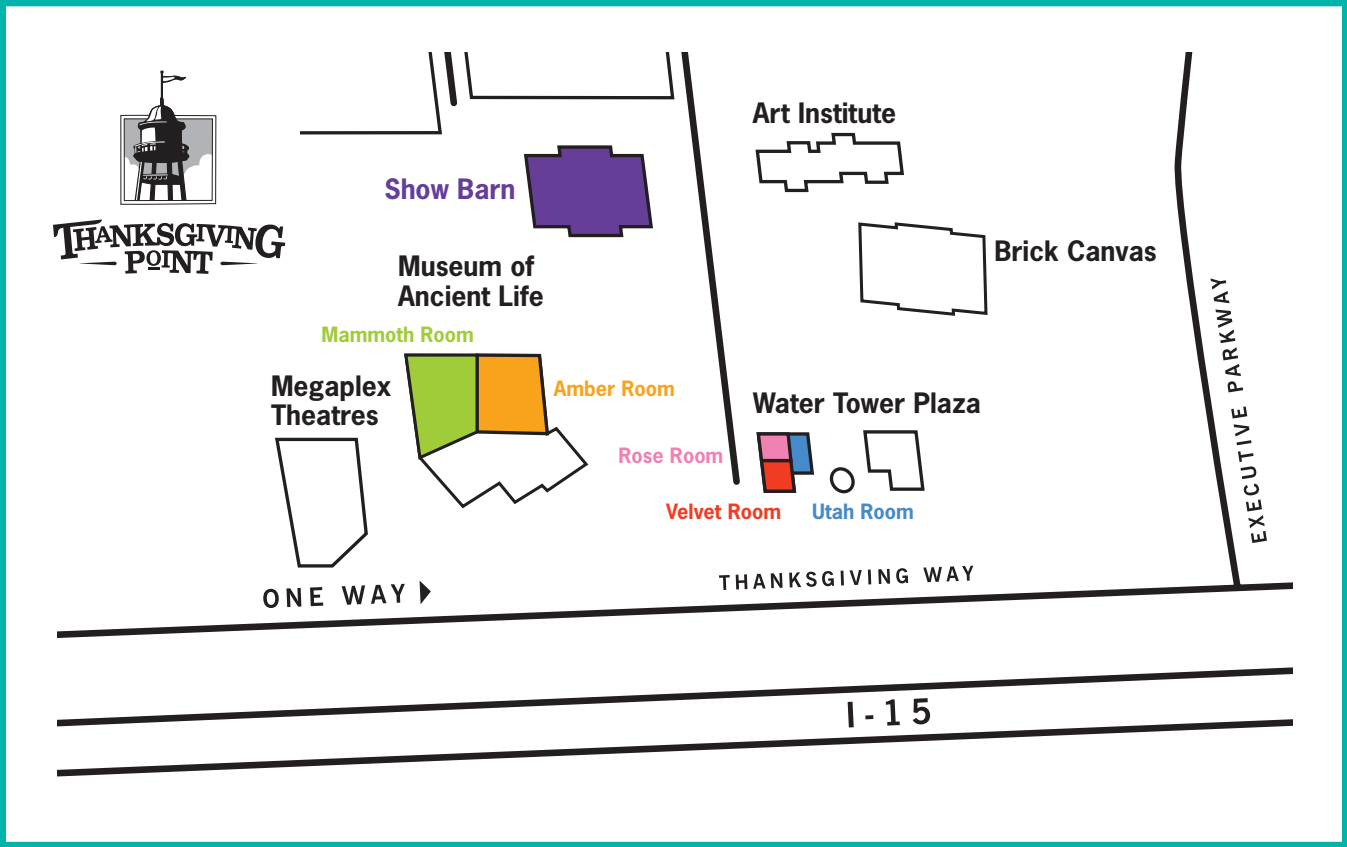
	Very Dissatisfied	Dissatisfied	Neutral	Satisfied	Very Satisfied	Comments
The length of individual sessions?						
The choice of session topics?						
The conference site?						
The food served at the conference?						
The booths and additional resource information?						

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Comments
This conference prepared me to help support students in their journey towards college.						
As a result of attending this conference I have gained a greater understanding of the processes and potential hurdles students must navigate to succeed in college.						
I received valuable information from the college & university representatives.						

What are the major take aways from this conference?

What would you change about the conference to make it more useful to you?

What trainings or workshop topics would you like to see in the future?








Order your 2014-2015 College Guide Today!

**STEP UP**™ Utah.com

  
UTAH SYSTEM OF  
HIGHER EDUCATION  
*Building a Stronger State of Minds™*

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Monte and the World of Possibilities

Background

For the Utah System of Higher Education to reach the “big goal” of having 66% of Utah’s workforce with postsecondary degrees by 2020, it is essential to increase college participation from student populations who may have never considered higher education as a viable option. The StepUp Utah higher education campaign is a social awareness campaign to reach out to these students, paid for and made possible by a grant from the U.S. Department of Education (the College Access Challenge Grant (CACG)). The campaign encourages all Utah youth to dream big about their futures, and then act on those dreams by preparing for and completing college. Whether aiming for a one-year certificate or a four-year degree, StepUp provides tips, tools, resources and conversation starters on preparing and paying for college so that obtaining a higher education can be a reality for all Utahns.

Issue

In an effort to encourage young students to begin dreaming of what they want to be when they are adults—and to emphasize that college is an important part of achieving that dream—the Utah System of Higher Education (USHE) commissioned the creation of a children’s book, *Monte and the World of Possibilities*. The book was written by Love Communications and illustrated by Colt Bowden. Colt attended BYU and graduated in 2012 with a Bachelors of Fine Arts, majoring in Illustration.

In the children’s book, the main character Monte has a lot of questions about the world around him, with one of them being, “Can I go to college?” In the end, he realizes that school, and college in particular, can help him follow his dreams. The book was developed for second and third graders, and an [online toolkit of activities](#), complete with a [PDF of the book](#), is available for free for teachers, afterschool coordinators, and parents to incorporate into their college discussions with students.

A book launch event took place on Tuesday, October 7, 2014, during an assembly at Beehive Elementary in Granite School District, where Nadine Wimmer, CEO of the Read Today program, introduced guest reader Lieutenant Governor Spencer Cox and Commissioner of Higher Education David Buhler. Each student at Beehive Elementary received a copy of the new book. Over the next year, 4,550 KSL Read



Today volunteers will share the story with the children they tutor. Additionally, on November 13 the Lieutenant Governor will kick off another reading event in partnership with the state library system so that families may have access to the book at their local branch.

Overall StepUp campaign has helped further the Regents strategic priority of increasing participation in higher education. It has been instrumental in helping the Utah System of Higher Education increase awareness and momentum toward increasing academic and financial preparation so more Utah citizens might participate in postsecondary education.

Commissioner's Recommendation

This is an information item only, no formal action by the Board is required. However, the Board is encouraged to read and take note of the information in this memorandum as part of the Board's Participation strategic objective. A copy of *Monte and the World of Possibilities* will be included in each Regent's folder.

---

David L. Buhler  
Commissioner of Higher Education

DLB/MMK  
Attachment

# MONTE AND THE WORLD



## OF POSSIBILITIES

WRITTEN BY KATIE BRADLEY BARRETT & CAMERON PINEGAR. ILLUSTRATED BY COLT J BOWDEN



**Monte woke up feeling extra curious about the world around him. He wanted to know who, what, where, why and how he could be part of it all. With every answer he received, Monte saw a new world of possibilities and all he had to do was start dreaming.**

The world holds so many possibilities. Isn't it exciting? And like Monte, the more questions you ask, the more likely you are to achieve your dreams. One of the best ways to find answers to your questions is by reading. That's why I'm so proud to be a part of Read Today, KSL's reading program. Our mission is to help every child learn to read which in turn leads to a better chance of success in school and following your dreams—whatever they may be.

**Nadine Wimmer**

KSL-TV, Anchor Reporter

Read Today, CEO

Are you ready for college? It may seem years away, but did you know the earlier you start dreaming about what you want to be when you grow up, the better prepared you'll be to realize those dreams? It's true. Higher education is the key to your future success. Your parents and teachers can help you along the way as you choose an education pathway that will help you reach your dreams. So enjoy reading, learning, and dreaming about your future.

**Utah Governor Gary R. Herbert**





ne Tuesday morning, Monte  
woke up feeling extra curious.





Everywhere  
he looked he  
wanted to  
know what,  
where, why,  
who, and how.







**He set out to find some answers.**





Dinosaur, how did you get such a good smile?

A paleontologist dug me out of the ground and put me back together so I can show off my choppers at the museum.

How much dental floss do you use a week?

Not much. Just a mile or two.





Car, what makes you drive so smoothly when you are old?

**You are only as old as you feel. An automobile mechanic repaired me and keeps my engine and systems running well.**

Are you faster than a White throated Needle tail?

**I have never raced one before, but if you meet one, send it my way.**







*Numbers, how did you get up there?*

**We have names by the way. I'm 5 and he's 3. A sign painter put us up here, but before that the head of the finance team used math to find the best price per can.**



*Does it hurt when you are divided?*

**Actually, it kind of tickles.**



Robot, who made you so smart?

That is a stereotype, but in this case it is true. A computer programmer created software for me so I can be launched into space with astronauts and help them explore and learn about places like Mars.



Do Martians play basketball?

Yes, but the hoop is much higher.





*Book, where did you find so many words?*

There is no short answer, but I'll do my best. All books begin with an author. An author is someone who takes words and turns them into stories. These stories can take your mind just about anywhere you could ever dream of going.

*What are you about?*

Me? World travel. In fact, I'm about to go to Paris right now. You can join me by flipping through my pages.








Bridge, how did you get so strong?

**Thank you for noticing. A civil engineer thought I should start with a foundation, then a framework of steel and these stable supports.**

How many elephants carrying gold bars could you hold up?

**Roughly three thousand carrying one hundred gold bars each.**





*Storm Cloud, when will your lightning strike?*

**Well that's my secret, but if you ask the meteorologist, she might know. Meteorologists study and help predict the weather.**

*Can lightning strike the same place twice?*

**Yes, but I try to keep it original.**





Building, why are so many people coming in and out of your doors?

I'm not just any building. I'm a college. Students come here to learn everything they need to follow their dreams. In fact, right now there are students learning how to become business people, artists, nurses, scientists, pilots, and more—all inside my doors.

Can I go inside a college someday?

Yes, and who knows what you'll be when you come out?





ATHLETE

PHOTOGRAPHER

DENTIST

WELDER

WRITER

SOFTWARE  
Engineer

POLICE  
OFFICER

SIGN  
PAINTER

MECHANICAL  
ENGINEER

VETERINARIAN

GRA  
PHIC  
DESIG  
NER

ARCHITECT

Forensic  
Analyst

TEACHER

RADIOLOGIST

ELECTRICIAN

CEO

STONE  
MASON


CHIEF OF POLICE

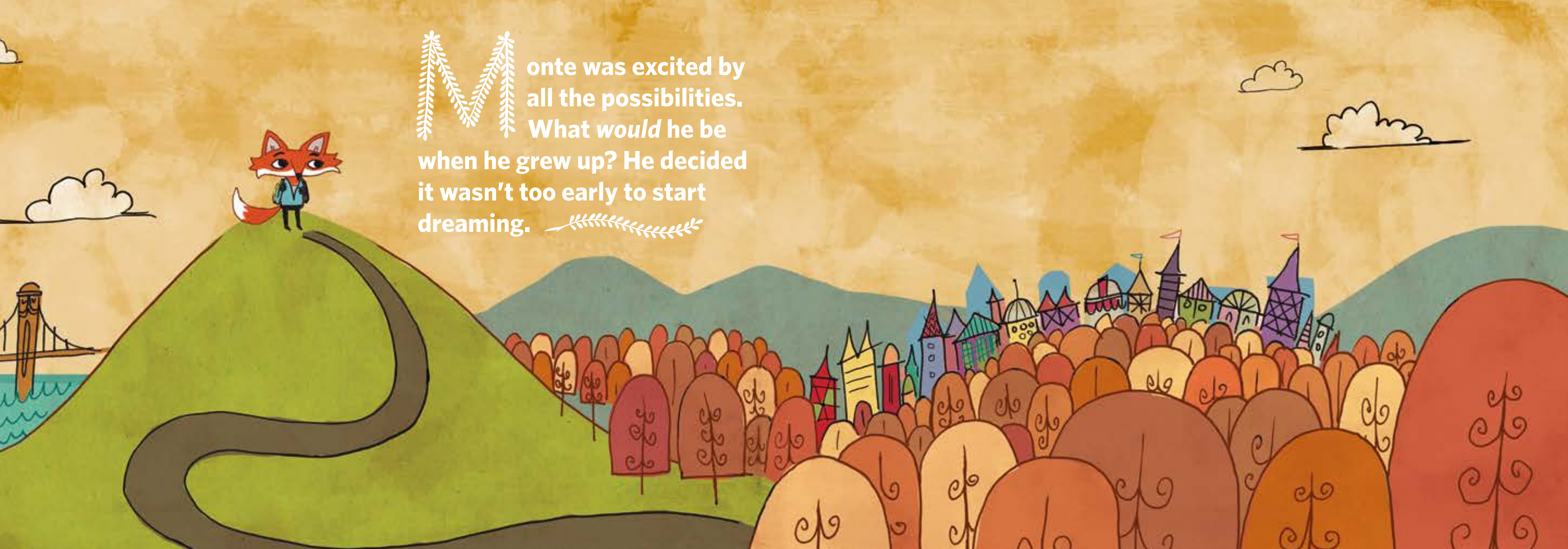
ARTIST

ENTREPRENEUR

MOVIE  
PRODUCER



**M**onte was excited by  
all the possibilities.  
What *would* he be  
when he grew up? He decided  
it wasn't too early to start  
dreaming. 







## ABOUT THE ARTIST

**COLT BOWDEN** has always loved to draw as soon as he was big enough to hold a crayon. Born and raised in Magna, Utah, he spent his childhood climbing in trees, building snow forts, and exploring the world around him. An avid doodler, painter, skateboarder, and children's book collector, Colt is always looking for new ways to be creative. Colt attended BYU and graduated in 2012 with a Bachelor of Fine Art degree, majoring in Illustration. Colt loves taking walks in the park with his his wife Abigayl and their son in sunny Southern California.



Paid for by a grant from the U.S. Department of Education. However, the contents do not necessarily represent the policy of the Department of Education, and you should not assume endorsement by the Federal Government.



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah Valley University – Campus Master Plan Approval

Issue

Utah Valley University (UVU) is requesting review and approval of its updated Campus Master Plan.

Background

The Board last reviewed and approved the Utah Valley University Campus Master Plan on November 18, 2011. The attached letter summarizes the significant changes to the campus since that last review and as well as master planning efforts currently in process. A handout detailing the locations of the changes in the master plan and other pertinent information will be distributed at the meeting.

UVU officials will be present at the meeting to present this agenda item and to respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board approve the updated Utah Valley University Campus Master Plan.

---

David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment





UTAH VALLEY UNIVERSITY  

---

VICE PRESIDENT *for* FINANCE & ADMINISTRATION

---

October 29, 2014

Commissioner David Buhler  
Utah System of Higher Education  
Board of Regents Building  
The Gateway  
60 SOUTH 400 WEST  
SALT LAKE CITY, UTAH 84101

Dear Commissioner Buhler,

I am requesting approval of the Utah Valley University master plan by the Utah State Board of Regents. The majority of the UVU master plan remains the same as last year with the following exceptions:

- 1) *The purchase of an additional 125 acres on the @Geneva Site located in Vineyard, Utah.* The purchase price for the first parcel of 98 acres was \$10,144,285. We have contractually secured an additional 27 acres for \$3,681,494 which is due and payable no later than four years six months from the close of the original parcel on June 18<sup>th</sup>, 2014.
- 2) *Master-plan strategy.* UVU administrators are currently in the process of hiring an architectural firm to support our master-planning efforts. This process will guide the University to determine optimal utilization of the 225 acres at Geneva, the 213 main campus acres, and the 17 acres on West Campus. The master plan will also include future satellite campuses at Vineyard, Thanksgiving Point, and Payson.
- 3) *The addition of a parking lot in the South East corner of the University.* The critical demand for this parking lot is driven by the impending growth of the University. In addition to the current needs, the lot will provide parking facilities for the future fine arts and performance building. This is a former intramural field that is not being utilized due to the construction of the new fields @Geneva. We are working with representatives of the surrounding neighborhood to secure a successful design and construction process.
- 4) *Classroom Building update.* The 244,000 square foot classroom building ribbon cutting is scheduled for Dec 18, 2014. This building will add 3,000 seats per hour, with the addition of a 1,000 seat auditorium and multiple 150 and 75 seat classroom options. The building will have one dean's suite as well as a number of departmental suites and faculty offices.
- 5) *Student Life & Wellness building update.* Since the last Utah Board of Regents meeting at UVU we completed the 170,000 square foot Student Life and Wellness Building. This building contains numerous offices, conference rooms, fitness spaces, bowling alley, and student spaces.

- 6) *Main campus parking structure.* A parking structure of 525 parking spaces in the center of campus was completed in April, 2014.

We appreciate the support of the Utah Board of Regents, the Commissioner and the Commissioner's staff as we continue to meet the higher education needs of our service region. Utah County is projected to double over the next 20 years and Utah Valley University will continue to grow and expand to meet the needs of its community. If you have any questions please feel free to contact me at (801)863-8424.

Sincerely,



Val L. Peterson  
Vice President  
Finance and Administration  
Utah Valley University

VLP/sk

Enclosure

1. Masterplan

c: Ralph Hardy



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State University – Acquisition of Properties Contiguous to the Logan Campus

Issue

Utah State University (USU) has requested authorization to acquire three properties that are located on Darwin Avenue and are contiguous to the Logan Campus (see Exhibit A). The acquisitions will be financed by a combination of exchange of property and purchase.

Pertinent Information

The first contract is for an exchange of approximately five acres of USU owned vacant commercial property that is located at 2200 North 400 East in North Logan (see Exhibit B). It will be exchanged for parcel #06-053-0005 shown on Exhibit A. This property currently houses a professional dental office. The estimated value of the property to be acquired is \$900,000.

The second contract is for an outright purchase of parcels #06-053-0009 and #06-053-0010 shown on Exhibit A. These properties are primarily used as residential apartments. Their estimated current value is \$700,000.

Appraisals for the properties have been requested and are expected to be received the first week of November 2014. Funding for the difference between the appraised values of the properties being exchanged and the outright purchase will be provided from USU property reserve funds.

As is noted in the attached letter from USU, management of the properties will be assigned to USU Housing and Residence Life. The current lease commitments on the properties will be honored. Thereafter, for the near term, the properties will be utilized by USU Housing and Residence Life. Ongoing O&M costs will be funded by lease income generated by the properties.

Acquisition of these properties was approved by USU Trustees on October 24, 2014. A copy of the USU letter requesting this approval is attached for your information. USU officials will be present at the meeting to provide additional information and respond to questions from the Regents.

### Commissioner's Recommendation

The Commissioner recommends that the Regents authorize USU to proceed with acquisition of these properties subject to verification by the Office of the Commissioner that the amounts to be paid are in accordance with provisions in Regents Policy R710 regarding acquisition and disposal of properties at appraised values.

---

David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment



October 30, 2014

Commissioner David L. Buhler  
Utah State Board of Regents  
Board of Regents Building The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

Utah State University desires to acquire three parcels of developed commercial land adjoining the Logan campus that includes four buildings primarily used for residential apartments and one professional dental office as highlighted on the attached Exhibit A.

The University proposes to execute two separate contracts that value approximately \$1.6 million. One contract proposes to exchange approximately five acres of USU owned vacant commercial land located on the southwest corner of 2200 North and 400 East in North Logan, Utah (see Exhibit B) valued at approximately \$900,000 for parcel #06-053-0005 (see Exhibit A). The other contract proposes an outright purchase by USU of parcels #06-053-0009 and #06-053-0010 (see Exhibit A). The final exchange value and purchase amount will be at fair market value established by appraisals that are expected to be received the first week of November 2014.

In the immediate future, USU plans to assign the management, maintenance, and operation of the three parcels to the USU Housing and Residence Life. Funding of the one-time cash difference will come from university strategic property reserve funds. Lease income generated from the properties will adequately fund the operation and maintenance costs.

We appreciate your support and ask that you present this item to the Board of Regents for approval. This request received Board of Trustees approval on October 24, 2014.

Sincerely,



David T. Cowley  
Vice President  
for Business & Finance

cc: Greg Stauffer, Associate Commissioner for Planning, Finance & Facilities  
Stan Albrecht, President

## EXHIBIT A

### Logan Property Adjoining Campus Enlarged Area



### Partial Overview of Logan Campus





EXHIBIT B

North Logan Property



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State University – Uintah Basin Regional Campus Ground Lease Approval

Issue

Utah State University (USU) has requested approval to enter into a long-term ground lease of a portion of unused land on its Uintah Basin Regional Campus to a private developer for construction of an office building for lease to third party tenants.

Background

The proposal is governed by the requirements of Board Policy R712, Nontraditional Arrangements for Development of Facilities on Campuses. The proposal was posted on USU's "Bids and RFPs" page as a sole source project with Richardson Van Leeuwen Construction under consideration for the project (see attached Sole Source Posting). No other companies have expressed interest in the project.

The basic terms of the proposal are:

- USU and the Developer would cooperatively develop the facility plans.
- The terms of the ground lease would be 15-20 years with the fair market value to be established by an appraisal.
- At the end of the ground lease the building and site improvements would transfer to USU ownership.
- The tenants in the office space would be approved by USU and complement USU's mission and demonstrate a significant economic impact to the Uintah Basin.

This project was approved by the USU Trustees on October 24, 2014. The letter from USU requesting consideration of this proposal and a campus map showing the recommended site are attached. USU officials will be present at the meeting to provide additional detail about the proposal and respond to questions from the Board.

### Commissioner's Recommendation

The Commissioner recommends that the Board carefully evaluate this proposal and, if convinced that the proposal is consistent with the intent of Policy R712, that they approve USU's request to execute the ground lease contract subject to the Office of the Commissioner's review and approval of the final terms of the contract and verification by the Attorney General's Office that the contract documents comply with statutory provisions as to form and legal authority.

---

David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment

October 30, 2014

Commissioner David L. Buhler  
Utah State Board of Regents  
Board of Regents Building The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

Utah State University desires approval to enter into a term ground lease, following the procedures required by Regents Policy R712 Nontraditional Arrangements for Development of Facilities on Campus, with a commercial developer to build and lease office space on the Uintah Basin Regional Campus in Roosevelt. The proposed site is identified on the attached map. Parameters of the ground lease are as follows:

- The term of the ground lease will be 15-20 years with a fair market value of the ground lease to be established by appraisal.
- At the end of the ground lease the building and site improvements will transfer to USU ownership.
- USU and the developer will cooperatively develop the facility plans.
- The tenants in the office space will be approved by USU and will complement USU's mission and demonstrate a significant economic impact to the Uintah Basin

Although the opportunity to enter into a ground lease for commercial development is not exclusive, since multiple development opportunities could be made available on the Roosevelt campus, USU publically advertised, in the spirit of fair and open competition, its intent to enter into this ground lease. No additional comments or inquiries were received.

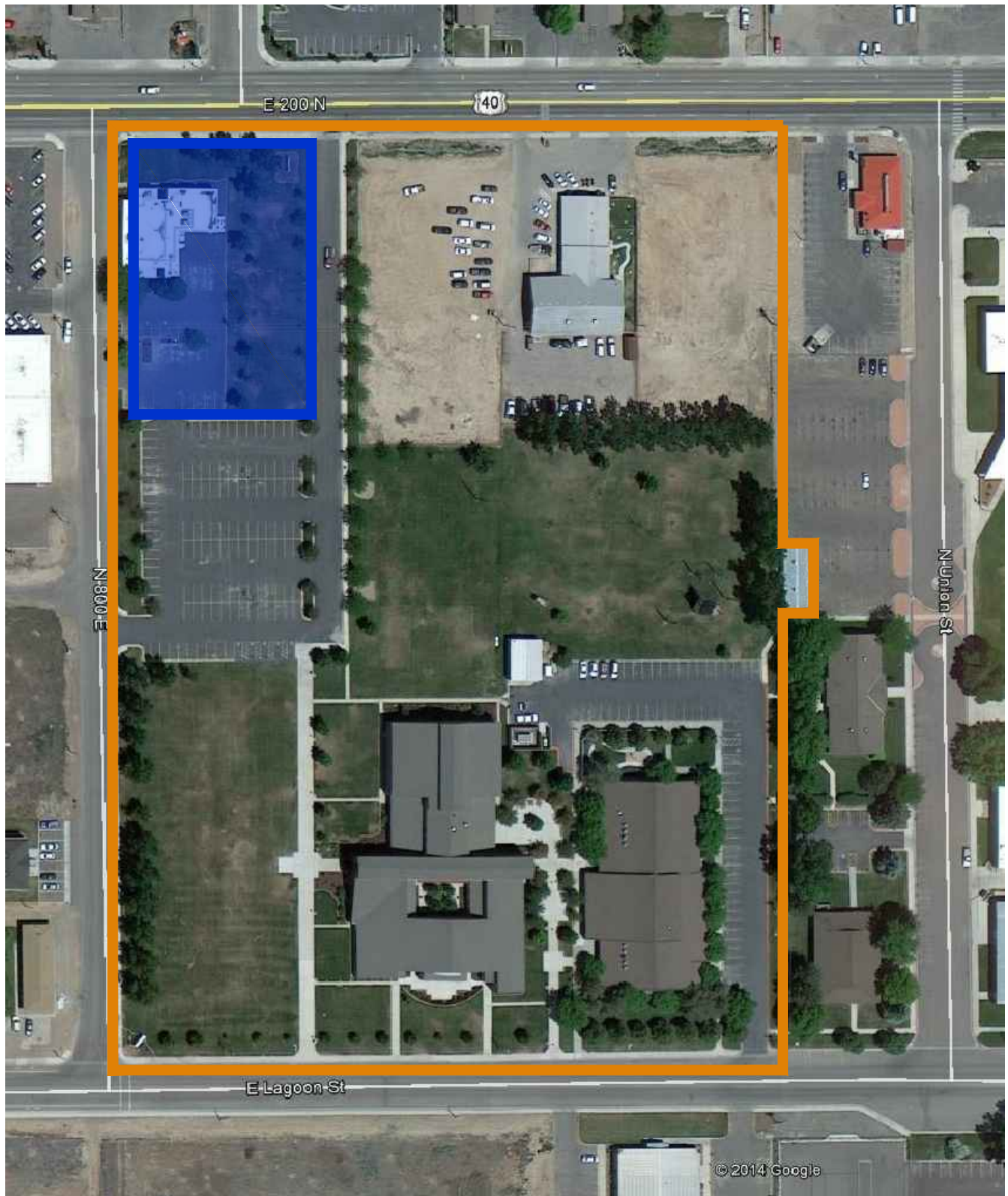
We appreciate your support and ask that you present this item to the Board of Regents for approval subject to the Office of the Commissioner reviewing the final lease terms and approval of the lease as to form by the Attorney General's Office. This request received Board of Trustees approval on October 24, 2014.

Sincerely,

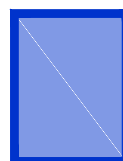


David T. Cowley  
Vice President  
for Business & Finance

cc: Greg Stauffer, Associate Commissioner for Planning, Finance & Facilities  
Stan Albrecht, President



**USU UINTAH  
BASIN CAMPUS**



**PROPOSED  
SITE**



**NOT TO SCALE**



## Sole Source Posting

Utah State University's Uintah Basin Regional Campus in Roosevelt is considering making available some portion of its currently unused land for commercial development. More specifically, USU is considering entering into a ground lease with Richardson Van Leeuwen Construction, a commercial developer, who will build and lease office space to a third party tenant. The developer is willing to work with USU on the design of the office space so that the space aligns with USU policies and procedures in terms of building specifications and CCR's.

The developer will turn over the facility to USU before the life-cycle of the physical structure has ended, typically in a 15-25 year time frame. The tenants in the office space must be approved by USU and should have the ability to compliment and/or enhance USU's overall mission and should demonstrate a significant economic impact to the Uintah Basin.

USU's participation in this commercial leasing activity is subject to the approval of various internal and external entities. For any questions, please contact [Jeff Crosbie](#).



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State University – Long-term Ground Lease on USU Eastern Campus

Issue

Utah State University (USU) has requested authorization to enter into a long-term ground lease with Carbon County on vacant land on the USU Eastern Campus for the development of two soccer fields with parking, public restrooms, bleachers, and landscaping.

Pertinent Information

The proposed ground lease will enable Carbon County to develop a soccer field complex that will benefit USU Eastern and the community by providing additional green space for the Athletic program, with shared use by the local schools, public recreation programs, and the general public.

Approval of this proposed arrangement is governed by Regent Policy R712, Nontraditional Arrangements for Development of Facilities on Campuses. USU and Carbon County are in the process of finalizing the contract documents, the salient details of which are included in the "Tentative Ground Lease Parameters" addendum to the attached letter from the University. The location of the vacant land is shown on Exhibit A.

USU officials will be present at the meeting to provide additional information and to respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends approval of this proposed ground lease subject to verification by the Attorney General's Office that the contract documents comply with statutory provisions as to form and legal authority.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment

October 30, 2014

Commissioner David L. Buhler  
Utah State Board of Regents  
Board of Regents Building The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

Utah State University and Carbon County desire to enter into a long-term ground lease agreement for 8.1 acres of vacant land on the Utah State University Eastern campus to develop two soccer fields including a parking area, public restrooms, bleachers, and landscaping. The ground lease will document the arrangements between Utah State University and the County relating to planning, construction, and shared use of the proposed soccer fields. At the conclusion of the ground lease the property improvements will revert back to Utah State University. Parameters that are being considered for the ground lease are listed on the attached document.

USU Eastern and the community value the collaborative relationship they have developed in Price and in the broader community of Carbon County over a number of years. Entering into the proposed ground lease benefits USU Eastern and the community by providing additional green space for college athletes with shared use by the local schools, public recreation programs, and the general public.

We appreciate your support and ask that you present this item to the Board of Regents for approval subject to final approval of the lease as to form by the Attorney General's Office. This request received Board of Trustees approval on October 24, 2014.

Sincerely,



David T. Cowley  
Vice President  
for Business & Finance

cc: Greg Stauffer, Associate Commissioner for Planning, Finance & Facilities  
Stan Albrecht, President

# Tentative Ground Lease Parameters

---

8.1 acres of vacant land located in Price to be leased up to 20-years to Carbon County for the purpose of building a soccer field complex for the county and USU Eastern Athletics

USU Eastern and the County will cooperatively create the site development plan.

County will be solely responsible for all scheduling and assessing of fees for the use of the complex.

County will provide first right of use for USU Eastern games upon receiving a three-month notice from the University.

County will charge no fees to USU Eastern for use of the property/complex during the term of the lease.

County will build at least one collegiate size field at the complex. The remaining soccer complex facilities will be at the discretion of the county subject to their funding.

County will be responsible to maintain and repair all improvements made to the property (including restrooms, storage facilities, sprinkler systems, lighting, parking, and other infrastructure) during the term of the lease.

In exchange for the first right of use, USU Eastern will pay utility costs of water, lights, and sewer for the duration of the lease.

USU Eastern will mow and fertilize the grass and provide winter snow removal for street sidewalks (and parking lot) if needed.

At the termination of the lease the County relinquishes all claims to the improvements made to the property.

EXHIBIT A



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State University – Kaysville Education Center Addition

Issue

Utah State University (USU) has requested authorization to construct a 6,000 square foot addition to the existing Kaysville Education Center.

Background

The Kaysville Education Center was constructed in 2010 with donated funds. Enrollment at the Center has increased by nearly 50 percent (from 352 students in 2010 to 509 students in 2014) which has required USU to use off-campus leased space to accommodate the demand. They are proposing to add distance education classrooms, offices, and study space to the existing facility.

The estimated cost of the project is \$2 million, which will be financed by private gifts and departmental funds. The provisions of Regents policy R710, Capital Facilities require Regent approval for capital development projects over \$1 million. The ongoing O&M costs will be funded with Regional Campuses income.

The project was approved by the USU Trustees on October 24, 2014. A letter from the University and a schematic drawing of the proposed facility are attached. University officials will be in attendance at the meeting to provide additional information and respond to questions from the Regents.

Commissioner's Recommendation

The Commissioner recommends that the Regents authorize USU to proceed with this project by presenting it to the State Building Board for final approval.

---

David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment

October 24, 2014

Commissioner David L. Buhler  
Utah State Board of Regents  
Board of Regents Building The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

Utah State University desires approval to construct a 6,000 square foot addition to the existing Kaysville Education Center at the Utah State University Botanical Center.

The addition will include state-of-the-art distance education classrooms, offices, and study space to accommodate increased enrollment and future growth. Student enrollment has increased from 352 students in 2010 to 509 students in 2014 making it necessary to lease space off campus to accommodate the increased number of students.

The project will cost approximately \$2,000,000. Funding for this project will be from private gifts and departmental funds. Ongoing operations and maintenance will be funded by Regional Campuses.

We appreciate your support and ask that you present this item to the Board of Regents for approval. This request received Board of Trustees approval on October 24, 2014.

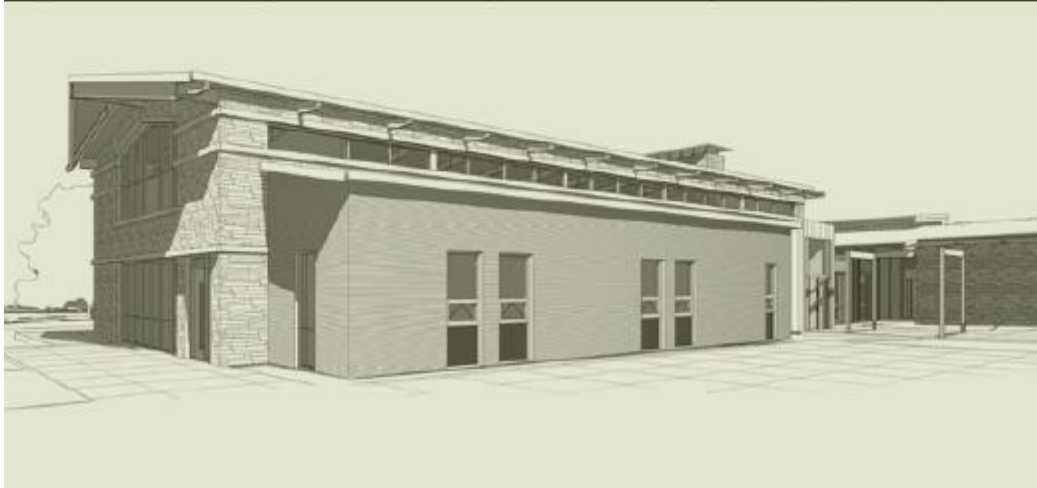
Sincerely,



David T. Cowley  
Vice President  
for Business & Finance

cc: Greg Stauffer, Associate Commissioner for Planning, Finance & Facilities  
Stan Albrecht, President





November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Sale of Gifted Residential Property in Arizona

Issue

The University of Utah wishes to notify the Board of its sale of a gifted residential property in Tucson, Arizona. Because repairs to make the property more marketable were estimated to cost in excess of \$5,000, the property was sold for \$179,500 which is \$5,500 below the appraised value of \$185,000.

Board policy (R710, Capital Facilities, Section 4.5.4.5) requires institutions to dispose of gifted property at or above appraised value unless the following conditions are present:

4.5.4.5.2. The property shall be sold at or above fair market value as determined by an appraisal completed by a State of Utah licensed MAI appraiser unless:

- a) the value of the property does not warrant the cost of the appraisal (e.g., low valued recreational property or seriously deteriorated properties, where sale proceeds would be seriously reduced or eliminated due to the cost of obtaining an appraisal)
- b) the gifted property has preexisting conditions that affect the future sales price (e.g., an undivided property interest with the sale controlled by the majority holders, or the property comes from a donor with a sale or price already negotiated or in process with a buyer)

These approved exceptions do not specifically include the circumstances that often are faced in disposing of gifted residential properties. That notwithstanding, the fact that this residential property would have required an investment of more than \$5,000 in repairs to make it marketable at the appraised value would justify selling it below the appraised value.

Commissioner's Recommendation

The Commissioner recommends that the Board ratify this sale of property.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment



October 20, 2014

Mr. David Buhler  
Commissioner  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

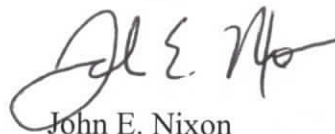
Dear Commissioner Buhler:

The University of Utah would like to notify the Board of Regents' at their next meeting of the following sales of donated or gifted property:

1. 257 East Crooked Stick Drive, Tucson, Arizona
  - a. Gifted to the University by Robert Anderson for the benefit of the College of Social Work.
  - b. Sold for \$179,500.
  - c. Appraised for \$185,000.
    - i. Sold for less than appraised value due to necessary repairs anticipated to cost in excess of \$5,000.

Thanks, as always, for your consideration and support.

Sincerely,



John E. Nixon  
Chief Business Officer

c: David W. Pershing  
Dr. Gregory L. Stauffer  
Ralph Hardy  
Arnold B. Combe  
Jonathon Bates

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Property Renovation (525 East 100 South)

Issue

The University of Utah has requested authorization to design, bid, and complete the renovation of a building they own located at 525 East 100 South, Salt Lake City, Utah.

Background

The University was authorized by the Board to purchase this building at their July 18, 2014 meeting. The acquisition was authorized to enable the University to provide more economical space for University Health Sciences departments currently leasing space in other locations and to provide space for relocation of Health Sciences departments from the School of Medicine Building that is scheduled for demolition and replacement.

Details about the proposed relocations is provided in the attached letter from the University that also provides information about project costs and proposed sources of funding. The \$3.2 million of capital costs will not require any state appropriated funds, and because of the clinical nature of the activities to be housed in the building, ongoing O&M costs will be funded from clinical revenues.

Representatives from the University will be present at the meeting to provide additional information and respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends Regent authorization of this project for presentation to the State Building Board for final approval to proceed with its design and construction.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachments

October 20, 2014

Mr. David Buhler  
Commissioner  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

The University of Utah would like to receive authorization to design, bid, and award a construction contract to complete the following proposed renovation project in the newly acquired property located at 525 East 100 South in Salt Lake City, Utah.

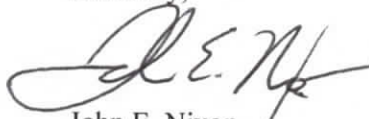
The proposed project will provide new clinical space for the relocation of the UNI Adult Behavioral Clinic from leased space in Research Park resulting in an anticipated annual savings of \$90,000 in rental expenses. Additionally, office space is being renovated in order to facilitate the relocation of Perinatal Education, Risk Management, Health Informatics, Nursing Informatics and EPE/Value Engineering out of the Hospital and School of Medicine to assist in the decanting of Building 521. This project will also address ADA and code compliance issues that were discovered through the building acquisition due diligence process.

The proposed total project budget, approved by the University of Utah's Board of Trustee meeting on October 14, 2014, is \$3,200,000 of which the University of Utah Research Foundation will fund \$2,500,000 and \$700,000 will be funded from hospital department funds. The funding for this project was included in the financial analysis presented as justification for the acquisition of the 525 East 100 South Building.

The University of Utah would appreciate an opportunity to present this renovation project to the Finance and Facilities Committee at the November 14, 2014 Board of Regents Meeting.

Thanks, as always, for your consideration and support.

Sincerely,



John E. Nixon,  
Chief Business Officer

c: David W. Pershing  
Dr. Gregory L. Stauffer  
Ralph Hardy  
Arnold B. Combe  
Jonathon Bates

## Board of Trustees Project Summary

**Project Name:** 525 East 100 South – Clinical and Office Space Remodel

**Project Owner:** Administrative Services - The University of Utah

**Preliminary Cost Estimate:** \$ 3,200,000

**Total Project Space** (Gross Square Feet): 36,000 s.f (\$91 per sq. ft.)

**Sources of Funding:** University of Utah Research Foundation - \$2,500,000 (included in building purchase financial proforma)  
University of Utah Hospital & Clinics - \$700,000

### History:

The 525 Office Building is a new University of Utah Research Foundation Property located at 525 East 100 South in Salt Lake City. It is located across 100 South from the University of Utah Hospital & Clinics Business Services Building (former Ambassador Building). This area has good public transportation links and the conveniences of a downtown location. The 525 Office Building is in relatively good shape and the goal is to fill current vacancies and future available space with University of Utah departments.

### Need:

This project will provide new clinical space for the relocation of the UNI Adult Behavioral Clinic from leased space in Research Park resulting in an anticipated annual savings of \$90,000 in rental expense. Additionally, office space is being renovated in order to facilitate the relocation of Perinatal Education, Risk Management, Health Informatics, Nursing Informatics and EPE/Value Engineering out of the Hospital and School of Medicine to allow for the decanting of Building 521. This project will also address ADA and code compliance issues that were discovered through the acquisition due diligence process.

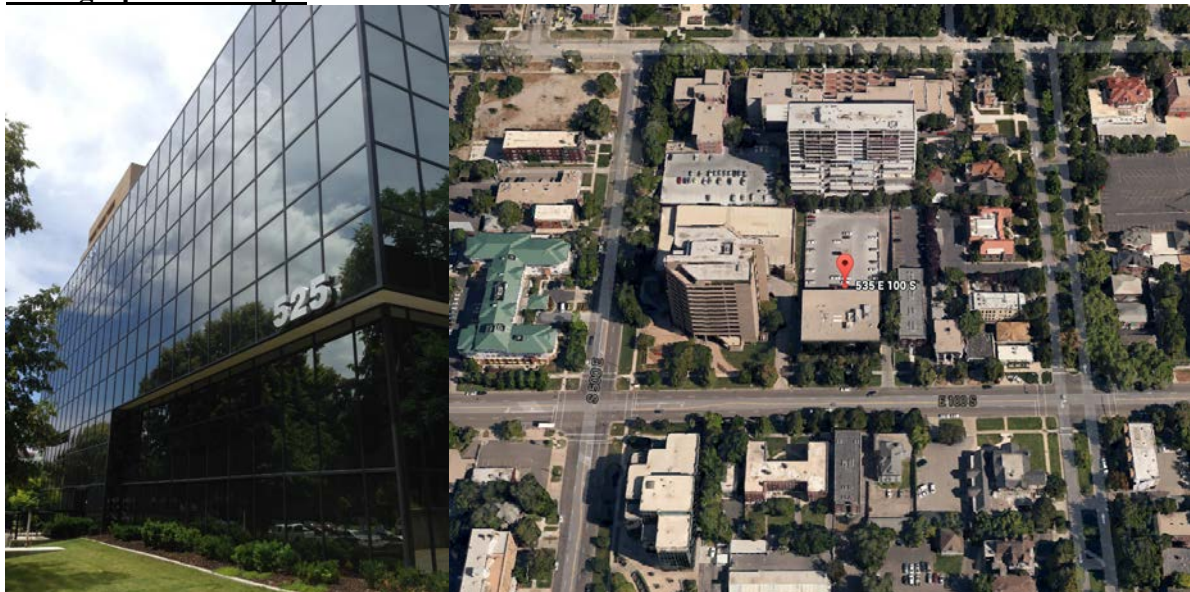
### Timeline:

Design Completion	4-2015
Construction Completion	11-2015

### Status:

Building purchase completed on September 11, 2014.

### Photographs and Maps:





November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Weber State University – Purchase of WSU Downtown Building

Issue

Weber State University (WSU) has requested approval to purchase a 90% ownership position in a 27,000 square foot building located at 2314 Washington Boulevard in Ogden, Utah. This building is currently being used by WSU as its Downtown site.

Background

Ogden City purchased this building with \$1 million of funds from a joint EDA grant awarded to develop a small-business incubation facility in downtown Ogden that would be operated by WSU. Ogden City subsequently renovated the entire facility with \$1.5 million of Ogden City funds. The building is fully occupied and operated by WSU, housing the small business incubation facility, continuing education classes, a Small Business Development Center, and a branch of WSU Stores.

Following is a summary of the important aspects of the proposal:

- WSU will pay Ogden City \$1,580,000 for the 90% ownership stake in the property and Ogden City will retain the residual 10% ownership in accordance with the joint ownership requirements of the grant.
- The Ogden City 10% ownership will transfer to WSU at no cost at the end of the 15 year term of the EDA grant.
- The appraised value of the property is \$2,650,000 (see attached copy of the appraisal).
- Funding for the purchase will be provided by WSU Campus Stores, WSU Continuing Education, and the WSU Foundation.
- Ongoing O&M costs will be paid with revenues generated in the facility.

Additional information pertaining to the proposal is provided in the attached letter from WSU. Representatives from the university will be in attendance at the meeting to provide additional information and respond to questions.

Commissioner's Recommendation

The Commissioner recommends Board approval to enable WSU to acquire this property as proposed.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment



October 17, 2014

Mr. David Buhler, Commissioner  
Utah System of Higher Education  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, UT 84101-1284

Dear Commissioner Buhler:

Weber State University seeks authorization to acquire a 90% ownership position in a newly renovated building located in downtown Ogden. The location would become a permanent site for the university and be referred to as Weber State Downtown.

As background, several years ago, Ogden City and WSU jointly embarked on an initiative to strengthen ties between the two entities and to reinvigorate Ogden as a 'College Town'. One expression of this effort was a joint EDA grant application to develop a small-business incubation facility in downtown Ogden that would be operated by WSU. The application resulted in a \$1,000,000 federal grant—with Ogden City as the grant administrator and WSU as the co-applicant.

With the Federal grant dollars, Ogden City purchased an historic building at 2314 Washington Boulevard. The facility was then fully renovated with \$1.5 million of Ogden City funds. This 27,000 square foot building is now complete and is fully occupied by WSU. In addition to the small business incubation facility required by the EDA grant, the building also houses: two classrooms operated by WSU Continuing Education, WSU's Small Business Development Center, and a branch of WSU Campus Stores.

Even though the building is fully occupied and operated by WSU, the university has incurred no capital expenses to date. Moving forward, the federal grant agreement requires joint ownership of this facility between WSU and Ogden City for the term of the grant—15 years.

At this time, WSU seeks authorization to take a 90% ownership stake in the building by paying Ogden City \$1,580,000. Funds for the acquisition come from various sources including; WSU Campus Stores, WSU Continuing Education, and the WSU Foundation. The residual 10% ownership will remain with Ogden City for the term of the EDA grant and then revert to WSU at no cost. A current MAI appraisal on the building sets it's market value at \$2,650,000. Revenues generated in the facility will pay for it's ongoing operation and maintenance.

Approval is sought for this transaction.

Sincerely,

Norm Tarbox  
Vice President for Administrative Services

**Integra Realty Resources**  
**Salt Lake City**

**Appraisal Of Real Property**

**Implement Building**

Commercial Property

2314 South Washington Boulevard

Ogden, Weber County, Utah 84401

**Prepared For:**

Weber State University

**Effective Date of the Appraisal:**

Market Value As Is: February 6, 2014

**IRR - Salt Lake City**

File Number: 160-2014-0073JB







**Implement Building**  
2314 South Washington Boulevard  
Ogden, Utah



February 25, 2014

Mr. Richard Sirken  
Real Property Business Manager  
Facilities Management  
Weber State University  
3848 Harrison Boulevard  
Ogden, Utah 84408-2601

SUBJECT:       Market Value Appraisal  
                  Implement Building  
                  2314 South Washington Boulevard  
                  Ogden, Weber County, Utah 84401  
                  Integra Salt Lake City File No. 160-2014-0073JB

Dear Mr. Sirken:

Integra Realty Resources – Salt Lake City is pleased to submit the accompanying appraisal of the referenced property. The purpose of the appraisal is to develop an opinion of the market value as is of the fee simple interest in the property. The client and intended user for the assignment is Weber State University. The intended use is for possible acquisition purposes.

The appraisal is intended to conform with the Uniform Standards of Professional Appraisal Practice (USPAP) and the Code of Professional Ethics and Standards of Professional Appraisal Practice of the Appraisal Institute.

To report the assignment results, we use the Appraisal Report option of Standards Rule 2-2(a) of the 2014-2015 edition of USPAP. As USPAP gives appraisers the flexibility to vary the level of information in an Appraisal Report depending on the intended use and intended users of the appraisal, we adhere to the Integra Realty Resources internal standards for an Appraisal Report – Standard Format. This type of report has a moderate level of detail. It summarizes the information analyzed, the appraisal methods employed, and the reasoning

that supports the analyses, opinions, and conclusions. It meets or exceeds the former Summary Appraisal Report requirements that were contained in the 2012-2013 edition of USPAP.

The subject is an existing commercial property containing 19,224 square feet of rentable area. The improvements were constructed in 1918 with a complete renovation in 2013. Currently, Weber State University occupies the entire building. The site area is 0.27 acres or 11,761 square feet.

Based on the valuation analysis in the accompanying report, and subject to the definitions, assumptions, and limiting conditions expressed in the report, our opinion of value is as follows:

Value Conclusion			
Appraisal Premise	Interest Appraised	Date of Value	Value Conclusion
Market Value As Is	Fee Simple	February 6, 2014	\$2,650,000

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**Extraordinary Assumptions and Hypothetical Conditions**

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The value conclusions are subject to the following extraordinary assumptions that may affect the assignment results. An extraordinary assumption is uncertain information accepted as fact. If the assumption is found to be false as of the effective date of the appraisal, we reserve the right to modify our value conclusions.

1. At the request of the client, we value the fee simple interest in the property, assuming it is operating at stabilized levels with market rates and term. No occupancy discount is applied.

The value conclusions are based on the following hypothetical conditions that may affect the assignment results. A hypothetical condition is a condition contrary to known fact on the effective date of the appraisal but is supposed for the purpose of analysis.

1. None
- 

If you have any questions or comments, please contact the undersigned. Thank you for the opportunity to be of service.

Respectfully submitted,

**Integra Realty Resources - Salt Lake City**



Rick R. Lifferth, MAI, SRA  
Certified General Real Estate Appraiser  
(801) 263-9700  
rlifferth@irr.com



John T. Blanck, MAI, MRICS  
Certified General Real Estate Appraiser  
(801) 263-9700 ext. 109  
jblanck@irr.com

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision to Policy R508, Guidelines for Approving Lists of Comparable Institutions

Issue

Regent policy R508, *Guidelines for Approving Lists of Comparable Institutions*, has recently been reviewed by the Office of the Commissioner and USHE institutional representatives including: Presidents, Vice Presidents of Finance, and Budget Officers; this review is a part of the continuing review of all Regental policies. Some clean-up revisions are recommended.

Background

The key provisions addressed in R508's rewrite include:

- 1) Institutional references in section 3.2.1. - have been updated to reflect the singular missions of Snow College and Salt Lake Community College
- 2) The elimination of section 3.2.4. - as more data-driven provisions have proven to be available for the peer selection process
- 3) The elimination of section 3.3. - because this paragraph is not relevant to a policy outlining guidelines for selecting peer institution sets
- 4) Revisions to 3.4. (now 3.3.) - update language associated with proposed changes to peer institution groups

Commissioner's Recommendation

The Commissioner recommends that the Regents review the proposed revisions and if in agreement with the changes, approve the revisions to policy R508, *Guidelines for Approving Lists of Comparable Institutions*, effective immediately.

---

David L. Buhler  
Commissioner of Higher Education

DLB/GLS/BLS/CRW/DAM  
Attachment



## R508, Guidelines for Approving Lists of Comparable Institutions<sup>1</sup>

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**R508-1. Purpose:** To guide the presidents in making requests for changes in lists of comparable institutions and to guide the Commissioner in making recommendations to the Board. For comparison purposes, the Board desires to group together institutions that are as similar as possible in the factors described below.

### R508-2. References

2.1. ~~Utah Code §53B-7-101 (Combined Requests for Appropriations—Appropriation Formulas)~~ [Policy and Procedures R510, Tuition and Fees](#)

2.2. [Policy and Procedures R205, Presidential Appointment, Term of Office, and Compensation and Benefits](#)

### R508-3. Guidelines

3.1. **General Considerations:** In proposing institutions to be included in a total list of comparable institutions, the following general considerations should guide decisions:

3.1.1. The institution should be the same 'type' of college or university; that is, the mission, role assignment, and clientele to be served should be similar.

3.1.2. The institution should have a comparable size enrollment insofar as this may be appropriate. It is not intended that the size of student body be identical, but institutions with much greater student enrollments should not be included unless other factors under consideration are very strong and compelling.

3.1.3. Generally, only institutions that are state supported should be included on the list of comparable institutions. However, comparisons with private institutions may be included if there is strong justification ~~for the same~~.

3.2. **Specific Considerations:** In proposing institutions to be included in a total list of comparable institutions, the following specific comparisons should be made in guiding decisions:

3.2.1. Institutions with specific functions beyond the scope of the Utah institution with which it is to be compared should be excluded ~~as may be appropriate~~. (For example, land-grant universities with strong programs in agriculture and natural resources should not be included on comparison lists with the University of Utah. Institutions with doctoral programs should not be on comparison lists with Weber State University. Institutions with law schools and medical schools should not be included on comparison lists with Utah State University. Two-year institutions serving special functions and special clientele schools should not be included on comparison lists with ~~our rural community colleges~~ [Snow College](#). Urban community colleges, for example, usually have a large student body of minority and disadvantaged students, and the student body and program offerings would be quite different from [Snow College](#). ~~our rural community colleges. Our urban community colleges~~ [Salt Lake Community College](#) should be compared with two-year colleges with extensive applied technology program offerings, and two-year colleges of a similar size but with a stronger

---

<sup>1</sup> Approved July 14-15, 1980, amended June 14, 1983.

emphasis on academic offerings should not be considered since they would not be recruiting the same type faculty as would our urban community colleges.)

3.2.2. The ratio of graduate students (and especially doctoral-level graduate students) should compare favorably with the ratio of such students in the Utah System of Higher Education institution under consideration. (This criterion will be particularly important in considering comparable institutions for the two [research](#) universities.)

3.2.3. Sponsored research is an [very](#) important responsibility of the universities. In considering other institutions for inclusion on lists of comparable institutions with the University of Utah and Utah State University, the scope and volume of sponsored research should be appraised.

~~3.2.4. To the extent that information is available, consideration should be given to institutions to which and from which persons holding faculty appointments have been successfully recruited over the past five year. (This includes recruitment of faculty from Utah institutions as well as recruitment of faculty by USHE institutions.)~~

~~3.3. Reporting of Salaries for Comparison Purposes: Both salary and total compensation (including fringe benefits and other forms of compensation) should be considered in making comparison of salaries. These calculations should show a breakdown for each academic rank and a percentile of the total range of salaries and other compensation.~~

3.4.3. Changes in Lists of Comparable Institutions: ~~Consideration for changing lists of comparable institutions will be given annually prior to or during budget hearing time in September. The [An](#) institution ~~applying for~~ [desiring](#) a change [of comparable institutions](#) should submit to the Commissioner's [Office](#) the necessary supporting data ~~and the same~~ [which](#) will be reviewed and verified ~~by the Commissioner~~ prior to ~~her or his~~ making a recommendation to the Board. Once an institution has been placed on a comparable list, it will generally not be removed for at least three years.~~

## R508, Guidelines for Approving Lists of Comparable Institutions<sup>1</sup>

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**R508-1. Purpose:** To guide the presidents in making requests for changes in lists of comparable institutions and to guide the Commissioner in making recommendations to the Board. For comparison purposes, the Board desires to group together institutions that are as similar as possible in the factors described below.

### R508-2. References

- 2.1. Policy and Procedures R510, Tuition and Fees
- 2.2. Policy and Procedures R205, Presidential Appointment, Term of Office, and Compensation and Benefits

### R508-3. Guidelines

**3.1. General Considerations:** In proposing institutions to be included in a total list of comparable institutions, the following general considerations should guide decisions:

3.1.1. The institution should be the same 'type' of college or university; that is, the mission, role assignment, and clientele to be served should be similar.

3.1.2. The institution should have a comparable size enrollment insofar as this may be appropriate. It is not intended that the size of student body be identical, but institutions with much greater student enrollments should not be included unless other factors under consideration are very strong and compelling.

3.1.3. Generally, only institutions that are state supported should be included on the list of comparable institutions. However, comparisons with private institutions may be included if there is strong justification.

**3.2. Specific Considerations:** In proposing institutions to be included in a total list of comparable institutions, the following specific comparisons should be made in guiding decisions:

3.2.1. Institutions with specific functions beyond the scope of the Utah institution with which it is to be compared should be excluded. (For example, land-grant universities with strong programs in agriculture and natural resources should not be included on comparison lists with the University of Utah. Institutions with doctoral programs should not be on comparison lists with Weber State University. Institutions with law schools and medical schools should not be included on comparison lists with Utah State University. Two-year institutions serving special functions and special clientele schools should not be included on comparison lists with Snow College. Urban community colleges, for example, usually have a large student body of minority and disadvantaged students, and the student body and program offerings would be quite different from Snow College. Salt Lake Community College should be compared with two-year colleges with extensive applied technology program offerings, and two-year colleges of a similar size but with a stronger emphasis on academic offerings should not be considered since they would not be recruiting the same type faculty as would our urban community colleges.)

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<sup>1</sup> Approved July 14-15, 1980, amended June 14, 1983.

3.2.2. The ratio of graduate students (and especially doctoral-level graduate students) should compare favorably with the ratio of such students in the Utah System of Higher Education institution under consideration. (This criterion will be particularly important in considering comparable institutions for the two research universities.)

3.2.3. Sponsored research is an important responsibility of the universities. In considering other institutions for inclusion on lists of comparable institutions with the University of Utah and Utah State University, the scope and volume of sponsored research should be appraised.

3.3. **Changes in Lists of Comparable Institutions:** An institution desiring a change of comparable institutions should submit to the Commissioner's Office the necessary supporting data which will be reviewed and verified prior to making a recommendation to the Board. Once an institution has been placed on a comparable list, it will generally not be removed for at least three years.



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R512, Determination of Residency Status

Issue

Regent policy R512, *Determination of Residency Status*, requires revisions to one section to make it clear that under *Utah Code Ann. §53B-8-102, Definition of Resident Student - Exceptions* international students who have obtained refugee or asylum immigration status may be classified as resident student status according to the same criteria applicable to citizens. Commissioner's staff worked with the Utah Attorney General's office and institutional admissions representatives in drafting the revisions.

Background

The key provisions addressed in R512's rewrite include:

- 1) Section 4.4.3. has been added to address international students who have obtained asylum or refugee immigration status. These students are not in the U.S. on a non-immigrant or immigrant visa. They are instead granted an immigration status that allows them to remain in the U.S. indefinitely. As a result, Utah Code Ann. §§ 53B-8-102(9)(a) and (b) do not apply to them. There is nothing in Utah Code Ann. §53B-8-102 that gives any basis for treating these students differently from citizens. Therefore, it is proposed that this group of students be treated similarly to students who have been granted immigrant or permanent resident status.
- 2) The former sections 4.4.3. and 4.5. have been eliminated because they are duplicate policy language that is also found and more aptly placed in R513, *Tuition Waivers and Reductions*. The HB 144 Tuition Waiver as passed during the 2002 legislative session remains available to students without modification.

Commissioner's Recommendation

The Commissioner recommends that the Regents review the proposed revisions and if in agreement with the changes, approve the revisions to policy R512, *Determination of Residency Status*, effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/KVO/CRW  
Attachment

4.2.2. **Policies for Students Enrolled in Non-Credit Programs.** Because most non-credit applied technology programs are short-term (require less than a year to complete), USHE institutions offering non-credit courses or programs may, at their discretion, implement a policy that does not require residency classification for students enrolled in non-credit courses or programs.

4.2.3. **Exception to Establishing Resident Student Status:** Each institution may, at its discretion, and at the recommendation of the president, implement its own policy regarding the criteria for resident student status for either undergraduate students or graduate students, or both, in credit-bearing degree programs, that deviates from the criteria set forth in this policy. Such a policy shall not be more lenient than requiring a one-year waiting period as set forth here in 5.1.

4.3 **Rebuttable Presumption.** A student who has not previously acquired domicile in Utah and who enrolls at a USHE institution prior to residing in Utah for 12 continuous months will be presumed to not be domiciled in Utah and, therefore, will be classified as a nonresident student for tuition purposes. This presumption may be rebutted by substantial evidence.

#### 4.4 International Students:

4.4.1. **Classification of International Students Who are in United States on Nonimmigrant Visas:** Students who are aliens and who are present in the United States on visitor, student, or other visas which authorize only temporary presence in this country, do not have the capacity to intend to reside in Utah for an indefinite period and therefore must be classified as nonresident.

4.4.2. **Classification of International Students Who are in United States on Immigrant Visas:** Students who are aliens and who have been granted immigrant or permanent resident status in the U.S. shall be classified for purposes of resident status according to the same criteria applicable to citizens.

4.4.3. International Students Who Have Obtained Asylum or Refugee Status: An international student who has obtained asylum or refugee status under U.S. immigration law shall be classified for purposes of resident status according to the same criteria applicable to citizens.

~~4.4.3. Foreign National Students Who Are Legally Admitted in the United States: A student shall be exempt from paying the nonresident portion of total tuition if the student:~~

~~\_\_\_\_\_ 4.4.3.1. is a foreign national legally admitted to the United States;~~

~~\_\_\_\_\_ 4.4.3.2. attended high school in this state for three or more years; and~~

~~\_\_\_\_\_ 4.4.3.3. graduated from a high school in this state or received the equivalent of a high school diploma in this state.~~

~~Example: A student who is an American Indian born in Canada (with at least 50% American Indian blood) cannot be denied admission to the United States and may enter the United States legally without obtaining a visa. If the student attends high school in~~

~~Utah for three or more years and graduates from a Utah high school or received the equivalent of a high school diploma in this state, the student is eligible for resident student tuition. (However, if the student desires to reside permanently in the United States, he or she may apply for a green card after having created a record of admission for permanent residence. Once the green card is received, the student is eligible for resident student status if the criteria for resident student status are met.)~~

~~Example: A foreign national student who is placed involuntarily in Utah as part of a United States or Utah government relocation program for foreign refugees fleeing civil war, religious or racial persecution, political oppression, or other legitimate reason is eligible for resident student tuition if the student attends high school in Utah for three or more years and graduates from a Utah high school or received the equivalent of a high school diploma in this state.~~

~~4.5. Other Students Who Are Exempt From Paying Nonresident Portion of Total Tuition:~~

~~If allowed by federal law, a student, other than a nonimmigrant student within the meaning of paragraph (15) of subsection (a) of Section 1101 of Title 8 of the United State Code (see Section 4.4.1. of this policy), shall be exempt from paying the nonresident portion of total tuition if the student:~~

~~4.5.1. attended high school in this state for three or more years;~~

~~4.5.2. graduated from a high school in this state or received the equivalent of a high school diploma in this state;~~

~~4.5.3. registers as an entering student at an institution of higher education not earlier than the fall of the 2002-03 academic year; and~~

~~4.5.4. if the student is without lawful immigration status, files an affidavit with the USHE institution stating that the student has filed an application to legalize his or her immigration status, or will file an application as soon as he or she is eligible to do so; and~~

~~4.5.4 the student has not registered for college classes prior to the Fall of the 2002-03 academic school year.~~

**4.65. Marriage to Utah Resident:** A person who marries a Utah resident is eligible to be granted resident student status after he or she has acquired domicile in Utah.

**4.76. Burden of Proof:** The burden is on the student to prove that he or she is eligible for resident student status prior to the first day of classes for the term the student seeks to attend as a resident student. Except as set forth in section 4.3 of this policy, the standard for establishing resident student status is by a preponderance of the evidence. The institution, through its registrar, or designated person, is authorized to require written documents, affidavits, verifications, or other evidence deemed necessary to determine why a student is in Utah. The institution shall review all relevant evidence that is submitted by the student and shall make the residency determination based on the totality of the circumstances. The evidence submitted by the student shall include the evidence that is specifically required by the applicable section of this policy. In addition, a student may be required to file any or all of the following evidence within applicable timelines established by the institution.

**4.76.1.** A statement from the student describing employment and expected sources of support;

- 4.76.2. A statement from the student's employer;
- 4.76.3. Supporting statements from persons who might be familiar with the family situation;
- 4.76.4. Birth certificate;
- 4.76.5. Marriage certificate;
- 4.76.6. Documentation of eligibility for state social or rehabilitation services;
- 4.76.7. Documentation of immigration status and placement as political refugee;
- 4.76.8. Indicia of Utah domicile, including Utah voter registration, Utah vehicle registration, Utah driver's license or identification card, Utah state income tax return, rental contract or mortgage documents, bank records, and utility bills.

**4.87. Receipt of State Social Services Benefits:** A person who has been determined by a Utah governmental social or rehabilitation services agency to be a Utah resident for purposes of receiving state aid to attend a USHE institution is immediately eligible to apply for resident student status. The state aid must, at a minimum, cover the full cost of resident tuition. Upon the termination of such government agency support, the person is governed by the standards applicable to other persons. Any time spent residing in Utah during the time the individual received government aid shall count towards any applicable waiting period for Utah residency for tuition purposes upon termination of the government aid.

**4.98. Reciprocity:** The determination to grant residency to a student at a USHE institution shall be honored at other USHE institutions, unless:

- 4.98.1. the student obtained resident student status under false pretenses, or
- 4.98.2. the facts existing at the time of the granting of resident student status have significantly changed.

**4.109. Reclassification by the Institution:** If a student is classified as a resident, or granted residency by a USHE institution, the USHE institution may initiate a reclassification inquiry and in fact reclassify the student, based on any facts, error, or changes in facts or status which would justify such an inquiry, even if the error was on the part of the USHE institution.

**4.110. Procedures for Determining Resident Student Status:** If a student desires to be granted resident student status, he or she must comply with the following procedures:

- 4.110.1. **Application Deadline:** Students must meet institutional application deadlines for each term. Institutions may establish a policy regarding acceptance of late residency applications for current term consideration. Unless institutional policy allows otherwise, institutions may not accept applications for resident student status or supporting documentation after the third week of the semester or term for which the student seeks resident student status. Ordinarily applications or supporting documentation received after the third week should be considered for the following semester.



- 4.110.2. **Initial Classification:** Each institution shall initially classify all applicants as either resident or nonresident. If there is doubt concerning resident status, the applicant shall be classified as a nonresident.
- 4.110.3. **Application for Reclassification:** Every student classified as a nonresident shall retain that status until he or she is officially reclassified to resident status.
- 4.110.4. **Refund:** A decision favorable to the applicant shall be retroactive to the beginning of the academic period for which application for resident status was made, and shall require a refund of the nonresident portion of any tuition charges paid for that and subsequent academic periods.
- 4.110.5. **Hearings:** Each institution shall be responsible for providing a process for students who have been denied resident student status to be heard. Each institution shall adopt procedures that fit the local campus situation, but the following guidelines shall be followed:
- 4.110.5.1. Procedures for a hearing shall be set out in writing by the institution, subject to approval by the Office of the Commissioner.
  - 4.110.5.2. The institution shall provide a hearing officer or hearing committee with appropriate clerical and other services as necessary to the effective function of the hearing process.
  - 4.110.5.3. The student appealing the decision shall have the responsibility of providing evidence that proves that he or she has met the residency requirements. Students shall be given copies of the Regents' policies pertaining to determination of residency. The student shall also be given an explanation of the rationale of the decision-maker who previously ruled that the student was classified as a nonresident.
  - 4.110.5.4. Both the student and the administration's representative are entitled to representation by counsel.
  - 4.110.5.5. Oral and written evidence may be presented. It is not required that a formal, written, verbatim record of the proceedings be kept, but a written summary of the significant assertions and findings of the hearing shall be prepared.
  - 4.110.5.6. It is not required that formal rules of evidence be followed; administrative hearing rules may be used.
  - 4.110.5.7. Decisions of the hearing officer or hearing committee must be in writing and must give reasons for the decision.

4.112.1. **Declaration of Financial Independence:** In addition to submitting objective evidence of domicile, a person seeking resident student status must also submit a declaration of financial independence, which must include, at a minimum, evidence that the person is not claimed as a dependent on the most recently filed

federal tax returns of any person who is not a resident of Utah. Institutional residency officers shall require such documentation at the time of initial application for resident student status.

**4.132. Penalties for Giving Incorrect or Misleading Information:** A student who gives incorrect or misleading information to evade payment of nonresident fees shall be subject to serious disciplinary action and must also pay the applicable nonresident fees for each term previously attended.

**4.143. Waivers of Nonresident Tuition—Nonresident Students Exempt from Nonresident Portion of Tuition:** The following students who attend a USHE institution may receive a waiver of nonresident tuition under Regents' Policy R513; however, these students may not use time spent in Utah as a student on any of these programs toward ~~the~~ any waiting period that may be required for resident tuition status. For more information on all tuition waivers, please see Regents' Policy R513.

**4.143.1. Western Undergraduate Exchange (WUE) Students:** A student attending a USHE institution under the Western Undergraduate Exchange program is considered to be domiciled in his/her home state. (See Regents' Policy R513-8 for further details regarding WUE.)

**4.143.2. Western Regional Graduate Program (WRGP):** A student attending a USHE institution under the Western Regional Graduate Program is considered to be domiciled in his/her home state.

**4.143.3. Professional Student Exchange Program/WICHE Students:** A student attending a USHE institution under the Professional Student Exchange Program/WICHE Program is considered to be domiciled in his/her home state. (See Regents' Policy R513-8 for further details regarding WICHE.)

**4.143.4. Exemption for Alumni Legacy Scholarships:** The students attending a USHE institution under this scholarship are considered to be domiciled in his/her home state. (See Regents' Policy R513-17 for further details regarding Alumni Legacy Scholarships.)

**4.143.5. Dixie State University's Good Neighbor Students:** The students attending DSU under this scholarship are considered to be domiciled in his/her home state. (See Regents' Policy R513-4.2. for further details regarding Good Neighbor Students.)

**R512.5. "Student Who Has Come to Utah For the Purpose of Attending an Institution of Higher Education" Exception to Establishing Resident Student Status.**

**5.1. General Rule:** A student who has come to Utah for the purpose of attending an institution of higher education may be granted resident student status if, prior to the first day of classes of the term the student seeks to attend as a resident student, the student has:

**5.1.1.** maintained continuous Utah residency status for one full year;

**5.1.2.** submitted a written declaration that the student has relinquished residency in any other state;

4.2.2. **Policies for Students Enrolled in Non-Credit Programs.** Because most non-credit applied technology programs are short-term (require less than a year to complete), USHE institutions offering non-credit courses or programs may, at their discretion, implement a policy that does not require residency classification for students enrolled in non-credit courses or programs.

4.2.3. **Exception to Establishing Resident Student Status:** Each institution may, at its discretion, and at the recommendation of the president, implement its own policy regarding the criteria for resident student status for either undergraduate students or graduate students, or both, in credit-bearing degree programs, that deviates from the criteria set forth in this policy. Such a policy shall not be more lenient than requiring a one-year waiting period as set forth here in 5.1.

4.3. **Rebuttable Presumption.** A student who has not previously acquired domicile in Utah and who enrolls at a USHE institution prior to residing in Utah for 12 continuous months will be presumed to not be domiciled in Utah and, therefore, will be classified as a nonresident student for tuition purposes. This presumption may be rebutted by substantial evidence.

4.4. **International Students:**

4.4.1. **Classification of International Students Who are in United States on Nonimmigrant Visas:** Students who are aliens and who are present in the United States on visitor, student, or other visas which authorize only temporary presence in this country, do not have the capacity to intend to reside in Utah for an indefinite period and therefore must be classified as nonresident.

4.4.2. **Classification of International Students Who are in United States on Immigrant Visas:** Students who are aliens and who have been granted immigrant or permanent resident status in the U.S. shall be classified for purposes of resident status according to the same criteria applicable to citizens.

4.4.3. **International Students Who Have Obtained Asylum or Refugee Status:** An international student who has obtained asylum or refugee status under U.S. immigration law shall be classified for purposes of resident status according to the same criteria applicable to citizens.

4.5. **Marriage to Utah Resident:** A person who marries a Utah resident is eligible to be granted resident student status after he or she has acquired domicile in Utah.

4.6. **Burden of Proof:** The burden is on the student to prove that he or she is eligible for resident student status prior to the first day of classes for the term the student seeks to attend as a resident student. Except as set forth in section 4.3 of this policy, the standard for establishing resident student status is by a preponderance of the evidence. The institution, through its registrar, or designated person, is authorized to require written documents, affidavits, verifications, or other evidence deemed necessary to determine why a student is in Utah. The institution shall review all relevant evidence that is submitted by the student and shall make the residency determination based on the totality of the circumstances. The evidence submitted by the student shall include the evidence that is specifically required by the applicable section of this policy. In addition, a student may be required to file any or all of the following evidence within applicable timelines established by the institution.

- 4.6.1. A statement from the student describing employment and expected sources of support;
- 4.6.2. A statement from the student's employer;
- 4.6.3. Supporting statements from persons who might be familiar with the family situation;
- 4.6.4. Birth certificate;
- 4.6.5. Marriage certificate;
- 4.6.6. Documentation of eligibility for state social or rehabilitation services;
- 4.6.7. Documentation of immigration status and placement as political refugee;
- 4.6.8. Indicia of Utah domicile, including Utah voter registration, Utah vehicle registration, Utah driver's license or identification card, Utah state income tax return, rental contract or mortgage documents, bank records, and utility bills.

**4.7. Receipt of State Social Services Benefits:** A person who has been determined by a Utah governmental social or rehabilitation services agency to be a Utah resident for purposes of receiving state aid to attend a USHE institution is immediately eligible to apply for resident student status. The state aid must, at a minimum, cover the full cost of resident tuition. Upon the termination of such government agency support, the person is governed by the standards applicable to other persons. Any time spent residing in Utah during the time the individual received government aid shall count towards any applicable waiting period for Utah residency for tuition purposes upon termination of the government aid.

**4.8. Reciprocity:** The determination to grant residency to a student at a USHE institution shall be honored at other USHE institutions, unless:

- 4.8.1. the student obtained resident student status under false pretenses, or
- 4.8.2. the facts existing at the time of the granting of resident student status have significantly changed.

**4.9. Reclassification by the Institution:** If a student is classified as a resident, or granted residency by a USHE institution, the USHE institution may initiate a reclassification inquiry and in fact reclassify the student, based on any facts, error, or changes in facts or status which would justify such an inquiry, even if the error was on the part of the USHE institution.

**4.10. Procedures for Determining Resident Student Status:** If a student desires to be granted resident student status, he or she must comply with the following procedures:

- 4.10.1. **Application Deadline:** Students must meet institutional application deadlines for each term. Institutions may establish a policy regarding acceptance of late residency applications for current term consideration. Unless institutional policy allows otherwise, institutions may not accept applications for resident student status or supporting documentation after the third week of the semester or term for which the student seeks resident student status. Ordinarily applications or



supporting documentation received after the third week should be considered for the following semester.

- 4.10.2. **Initial Classification:** Each institution shall initially classify all applicants as either resident or nonresident. If there is doubt concerning resident status, the applicant shall be classified as a nonresident.
- 4.10.3. **Application for Reclassification:** Every student classified as a nonresident shall retain that status until he or she is officially reclassified to resident status.
- 4.10.4. **Refund:** A decision favorable to the applicant shall be retroactive to the beginning of the academic period for which application for resident status was made, and shall require a refund of the nonresident portion of any tuition charges paid for that and subsequent academic periods.
- 4.10.5. **Hearings:** Each institution shall be responsible for providing a process for students who have been denied resident student status to be heard. Each institution shall adopt procedures that fit the local campus situation, but the following guidelines shall be followed:
  - 4.10.5.1. Procedures for a hearing shall be set out in writing by the institution, subject to approval by the Office of the Commissioner.
  - 4.10.5.2. The institution shall provide a hearing officer or hearing committee with appropriate clerical and other services as necessary to the effective function of the hearing process.
  - 4.10.5.3. The student appealing the decision shall have the responsibility of providing evidence that proves that he or she has met the residency requirements. Students shall be given copies of the Regents' policies pertaining to determination of residency. The student shall also be given an explanation of the rationale of the decision-maker who previously ruled that the student was classified as a nonresident.
  - 4.10.5.4. Both the student and the administration's representative are entitled to representation by counsel.
  - 4.10.5.5. Oral and written evidence may be presented. It is not required that a formal, written, verbatim record of the proceedings be kept, but a written summary of the significant assertions and findings of the hearing shall be prepared.
  - 4.10.5.6. It is not required that formal rules of evidence be followed; administrative hearing rules may be used.
  - 4.10.5.7. Decisions of the hearing officer or hearing committee must be in writing and must give reasons for the decision.

4.11. **Declaration of Financial Independence:** In addition to submitting objective evidence of domicile, a person seeking resident student status must also submit a declaration of financial independence, which

must include, at a minimum, evidence that the person is not claimed as a dependent on the most recently filed federal tax returns of any person who is not a resident of Utah. Institutional residency officers shall require such documentation at the time of initial application for resident student status.

**4.12. Penalties for Giving Incorrect or Misleading Information:** A student who gives incorrect or misleading information to evade payment of nonresident fees shall be subject to serious disciplinary action and must also pay the applicable nonresident fees for each term previously attended.

**4.13. Waivers of Nonresident Tuition—Nonresident Students Exempt from Nonresident Portion of Tuition:** The following students who attend a USHE institution may receive a waiver of nonresident tuition under Regents' Policy R513; however, these students may not use time spent in Utah as a student on any of these programs toward any waiting period that may be required for resident tuition status. For more information on all tuition waivers, please see Regents' Policy R513.

- 4.13.1. Western Undergraduate Exchange (WUE) Students:** A student attending a USHE institution under the Western Undergraduate Exchange program is considered to be domiciled in his/her home state. (See Regents' Policy R513-8 for further details regarding WUE.)
- 4.13.2. Western Regional Graduate Program (WRGP):** A student attending a USHE institution under the Western Regional Graduate Program is considered to be domiciled in his/her home state.
- 4.13.3. Professional Student Exchange Program/WICHE Students:** A student attending a USHE institution under the Professional Student Exchange Program/WICHE Program is considered to be domiciled in his/her home state. (See Regents' Policy R513-8 for further details regarding WICHE.)
- 4.13.4. Exemption for Alumni Legacy Scholarships:** The students attending a USHE institution under this scholarship are considered to be domiciled in his/her home state. (See Regents' Policy R513-17 for further details regarding Alumni Legacy Scholarships.)
- 4.13.5. Dixie State University's Good Neighbor Students:** The students attending DSU under this scholarship are considered to be domiciled in his/her home state. (See Regents' Policy R513-4.2. for further details regarding Good Neighbor Students.)

**R512.5. "Student Who Has Come to Utah For the Purpose of Attending an Institution of Higher Education" Exception to Establishing Resident Student Status.**

**5.1. General Rule:** A student who has come to Utah for the purpose of attending an institution of higher education may be granted resident student status if, prior to the first day of classes of the term the student seeks to attend as a resident student, the student has:

- 5.1.1.** maintained continuous Utah residency status for one full year;
- 5.1.2.** submitted a written declaration that the student has relinquished residency in any other state;

- 5.1.3. submitted objective evidence that the student has taken overt steps to establish permanent residency in Utah and that the student does not maintain a residence elsewhere; and
- 5.1.4. submitted a declaration of financial independence to include documentation that the student is not claimed as a dependent on the tax returns of any person who is not a resident of Utah (see section 4.12 above).

**5.2 Evidence Required:** Students applying for resident student status under this section are expected to submit as much objective evidence as possible, including, but not limited to, providing evidence of, or explanation of the lack of evidence of, each of the following:

- 5.2.1. A Utah high school transcript issued in the past year confirming attendance at a Utah high school in the previous 12 months;
- 5.2.2. A Utah voter registration dated a reasonable period (generally meaning within the past 90 days) prior to the first day of class of the term for which the student is seeking resident status;
- 5.2.3. A Utah driver license or identification card with an original date of issue or renewal date several months prior to the first day of class of the term for which the student is seeking resident status;
- 5.2.4. A Utah vehicle registration dated a reasonable period (generally meaning within the past 90 days) prior to the first day of class of the term for which the student is seeking resident status;
- 5.2.5. Evidence of employment in Utah for a reasonable period (generally meaning within the past 90 days) prior to the first day of class of the term for which the student is seeking resident status;
- 5.2.6. Proof of payment of Utah resident income tax for the previous year;
- 5.2.7. A rental agreement or mortgage document showing the student's name and Utah address for at least 12 months prior to the first day of class of the term for which the student is seeking resident status ; and
- 5.2.8. Utility bills showing the student's name and Utah address for at least 12 months prior to the first day of class of the term for which the student is seeking resident status resident student status.

**5.3. Absence from state:** A student will not jeopardize his or her status under this section solely by absence from the state for a period of less than 30 total days during the 12-month period. See *Frame v. Residency Appeals Committee*, 675 P2d. 1157 (Utah 1983). If a student leaves the state for the purpose of satisfying the requirements for institutional internships, institutional courses, study abroad programs, or athletic training, required by the institution the student will not be deemed to be absent from the state for purposes of this section for the period of time that he or she can establish that these purposes were being met. Once a student has been granted resident student status, any future absence from the state will not negatively affect his or her resident student status.

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R561, Accounting and Financial Controls

Issue

Regent policy R561, *Accounting and Financial Controls*, has recently been reviewed by the Office of the Commissioner and USHE institutional representatives; this review is a part of the continuing review of all Regental policies. A result of this review is the recommendation to update the outdated campus capitalization limits and references to Governmental Accounting Standards Board (GASB) Statements.

Background

The key provisions addressed in R561's rewrite include:

- 1) Sections 2.5. and 3.1.2.1. - removing references to specific GASB number statements that may change in content over time
- 2) Section 3.1.1. - increasing the capitalization limits for buildings, building improvements, infrastructure, and land improvements for the UU, USU, WSU, UVU, and SLCC to \$250,000 and for SUU, Snow, and DSU to \$100,000

Commissioner's Recommendation

The Commissioner recommends that the Regents review the proposed revisions and if in agreement with the changes, approve the revisions to policy R561, *Accounting and Financial Controls*, effective immediately.

---

David L. Buhler  
Commissioner of Higher Education

DLB/GLS/BLS/MWM  
Attachment



# R561, Accounting and Financial Controls<sup>1</sup>

**R561-1. Purpose:** To provide for standardized accounting records and procedures in the Utah System of Higher Education.

## R561-2. References

- 2.1. Utah Code [§53B-6-102](#) (Standardized Systems Prescribed by the Board)
- 2.2. Utah Code [§53B-7-101](#) (Financial Affairs)
- 2.3. Policy and Procedures [R120](#), Bylaws of the State Board of Regents
- 2.4. Report "Internal Controls—Integrated Framework" of the Committee of Sponsoring Organizations of the Treadway Commission
- 2.5. ~~Statement No. 34 of the~~ Governmental Accounting Standards Board [\(GASB\) Statements](#)
- ~~2.6. —Statement No. 35 of the Governmental Accounting Standards Board~~
- 2.76. State of Utah Accounting Policies and Procedures Manual (FIACCT)
- 2.87. National Association of College and University Business Officers (NACUBO) Advisory Report 2000-8 "Footnote Requirement When Public Higher Education Institutions Report Natural Classifications on Their Statement of Revenues, Expenses, and Changes in Net Assets"

## R561-3. Policy

**3.1. Annual Financial Reports of Member Institutions to be Issued in Accordance with Generally Accepted Accounting Principles for Colleges and Universities:** Each member institution shall issue an annual financial report for each fiscal year, in accordance with generally accepted accounting principles for colleges and universities and such annual reports shall be filed with the Office of the Commissioner for the use of the Board and its staff upon publication.

**3.1.1. Fixed Asset Accounting Conventions:** To preserve financial statement comparability in reporting fixed assets, institutions will calculate depreciation using the straight line method and adopt the following guidelines related to capitalization, useful lives, and residual values. An institution may deviate from these guidelines upon showing contravening federal or state regulations, likely adverse audit determinations, or other exceptional circumstances.

**3.1.1.1. Equipment:** Capitalization limits for equipment are as follows: \$5,000 for [all USHE institutions](#). ~~University of Utah, Utah State University, Weber State University, Utah Valley State College and Salt Lake Community College; \$3,000 for Southern Utah University and Dixie State College; \$1,000 for Snow College and College of Eastern Utah.~~ The determination of useful lives for equipment shall be as reflected in the State of Utah

<sup>1</sup> Adopted March 23, 1971, amended April 27, 1971, September 25, 1973, September 2, 1999, April 20, 2001, May 31, 2002 and January 18, 2008.

Standard Useful Life Table (FIACCT 09-09.01). Residual values will be determined by each institution on a case by case basis.

**3.1.1.2. Land:** All land shall be capitalized and not depreciated.

**3.1.1.3. Buildings:** Capitalization limits for buildings are as follows: ~~\$50,000~~ \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley ~~State College~~ University and Salt Lake Community College; ~~\$20,000~~ \$100,000 for Southern Utah University, Snow College, and Dixie State ~~College~~ University ~~and College of Eastern Utah~~. Buildings are determined to have a 40-year useful life at the time initial construction is completed. Residual values will be determined by each institution on a case by case basis.

**3.1.1.4. Building Improvements:** Capitalization limits for building improvements are as follows: ~~\$50,000~~ \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley ~~State College~~ University and Salt Lake Community College; ~~\$20,000~~ \$100,000 for Southern Utah University, Snow College, and Dixie State ~~College~~ University ~~and College of Eastern Utah~~. When an improvement extends the useful life of a building, the building and the improvement shall be determined to have a remaining useful life equal to the length of time which the improvement extends the building's useful life. When an improvement does not extend the useful life of a building, the useful life of the improvement shall be determined to be the remaining useful life of the building. Residual values will be determined by each institution on a case by case basis.

**3.1.1.5. Infrastructure:** Capitalization limits for infrastructure items are as follows: ~~\$50,000~~ \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley ~~State College~~ University and Salt Lake Community College; ~~\$20,000~~ \$100,000 for Southern Utah University, Snow College, and Dixie State ~~College~~ University ~~and College of Eastern Utah~~. The determination of useful lives for infrastructure items shall be as reflected in the State of Utah Standard Useful Life Table (FIACCT 09-09.01). Residual values will be determined by each institution on a case by case basis.

**3.1.1.6. Land Improvements:** Capitalization limits for land improvements are as follows: ~~\$50,000~~ \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley ~~State College~~ University and Salt Lake Community College; ~~\$20,000~~ \$100,000 for Southern Utah University, Snow College, and Dixie State ~~College~~ University ~~and College of Eastern Utah~~. The determination of useful lives for land improvements shall be as reflected in the State of Utah Standard Useful Life Table (FIACCT 09-09.01). Residual values will be determined by each institution on a case by case basis.

**3.1.1.7. Library Books:** All library books shall be capitalized. The useful life of all books shall be determined to be 20 years. Residual values will be determined by each institution on a case by case basis.

**3.1.1.8. Works of Art:** Capitalization limits for Works of Art are as follows: \$5,000 for the University of Utah, Utah State University, Weber State University, Utah Valley ~~State College~~ University and Salt Lake Community College; \$2,000 for Southern Utah University, Snow College, and Dixie State ~~College~~ University ~~and College of Eastern Utah~~. Pieces classified as inexhaustible works of art shall not be depreciated. Useful lives

for other works of art shall be determined by each institution on a case by case basis. Residual values for other works of art will be determined by each institution on a case by case basis.

**3.1.2. Reporting Expenditures in the Financial Statements:** To preserve financial statement comparability, institutions will report expenditures as follows:

3.1.2.1. Use natural classifications on the Statement of Revenues, Expenditures and Changes in Net ~~Assets Position~~ (as illustrated in GASB ~~statements 35 presentation of Basic Financial Statements for Public Institution Engaged Only in Business Type Activities~~), and

3.1.2.2. Present both natural and functional classifications in a footnote to the financial statements consistent with the format specified in the NACUBO Advisory Report 2000-8.

**3.2. Certification of Financial and Other Documents:** Financial and other documents requiring official certification by officers of the Board shall be subject to the following procedures:

3.2.1. Board authorization or approval for certification of such documents shall first be obtained, ordinarily at a regular Board meeting.

3.2.2. The necessary documents shall then be certified in writing (a) as to the above approval and (b) as to their accuracy and consistency with the Board authorization, by the President of the institution concerned, or by the Office of the Commissioner of Higher Education, or both.

3.2.3. The documents thus certified and submitted may then be taken directly to the officer or officers of the Board concerned for any required signatures.

3.2.4. The Commissioner of Higher Education and the Associate Commissioner for Planning, Finance and Facilities are hereby authorized to sign for either the Secretary or the Treasurer of the Board in the event of the unavailability of either the Secretary or the Treasurer.

3.2.5. ~~The Associate Commissioner for Finance and Facilities is hereby appointed~~ A Treasurer of the Board ~~is appointed pursuant to, under~~ Section 3.2.34. of R120, Bylaws of the State Board of Regents, and shall serve in such capacity subject to the recommendation of the Commissioner of Higher Education to, and action by, the Board.

**3.3. Accounting and Operating Controls:** The Board authorizes each President and institutional Board of Trustees to establish and maintain a system of internal accounting and operating controls for their institution. This system of internal controls shall incorporate the principles and objectives specified by the Committee of Sponsoring Organizations of the Treadway Commission report "Internal Control—Integrated Framework." In addition, the Board recommends the following:

3.3.1. That institutional Boards of Trustees authorize the President and Chief Financial Officer, or Chief Financial Officer and Controller, to establish imprest bank accounts for such purposes as they deem necessary for efficient operation of their institution and authorize appropriate signatures for same.

3.3.2. That institutional Boards of Trustees authorize all bank accounts and approve all signatures except as provided in recommendation 3.3.1.

3.3.3. That the Controller or Treasurer at each institution maintain an up-to-date record of all bank accounts and authorized signatures.

3.3.4. That from time to time there should be a review of cash on hand and cash receipts and internal examiners shall undertake an examination of cash disbursements, accounts payable, and purchasing.



**R561-1. Purpose:** To provide for standardized accounting records and procedures in the Utah System of Higher Education.

## R561-2. References

- 2.1. Utah Code §53B-6-102 (Standardized Systems Prescribed by the Board)
- 2.2. Utah Code §53B-7-101 (Financial Affairs)
- 2.3. Policy and Procedures R120, Bylaws of the State Board of Regents
- 2.4. Report "Internal Controls—Integrated Framework" of the Committee of Sponsoring Organizations of the Treadway Commission
- 2.5. Governmental Accounting Standards Board (GASB) Statements
- 2.6. State of Utah Accounting Policies and Procedures Manual (FIACCT)
- 2.7. National Association of College and University Business Officers (NACUBO) Advisory Report 2000-8 "Footnote Requirement When Public Higher Education Institutions Report Natural Classifications on Their Statement of Revenues, Expenses, and Changes in Net Assets"

## R561-3. Policy

**3.1. Annual Financial Reports of Member Institutions to be Issued in Accordance with Generally Accepted Accounting Principles for Colleges and Universities:** Each member institution shall issue an annual financial report for each fiscal year, in accordance with generally accepted accounting principles for colleges and universities and such annual reports shall be filed with the Office of the Commissioner for the use of the Board and its staff upon publication.

**3.1.1. Fixed Asset Accounting Conventions:** To preserve financial statement comparability in reporting fixed assets, institutions will calculate depreciation using the straight line method and adopt the following guidelines related to capitalization, useful lives, and residual values. An institution may deviate from these guidelines upon showing contravening federal or state regulations, likely adverse audit determinations, or other exceptional circumstances.

**3.1.1.1. Equipment:** Capitalization limits for equipment are as follows: \$5,000 for all USHE institutions. The determination of useful lives for equipment shall be as reflected in the State of Utah Standard Useful Life Table (FIACCT 09-09.01). Residual values will be determined by each institution on a case by case basis.

**3.1.1.2. Land:** All land shall be capitalized and not depreciated.

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<sup>1</sup> Adopted March 23, 1971, amended April 27, 1971, September 25, 1973, September 2, 1999, April 20, 2001, May 31, 2002 and January 18, 2008.

**3.1.1.3. Buildings:** Capitalization limits for buildings are as follows: \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley University and Salt Lake Community College; \$100,000 for Southern Utah University, Snow College, and Dixie State University. Buildings are determined to have a 40-year useful life at the time initial construction is completed. Residual values will be determined by each institution on a case by case basis.

**3.1.1.4. Building Improvements:** Capitalization limits for building improvements are as follows: \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley University and Salt Lake Community College; \$100,000 for Southern Utah University, Snow College, and Dixie State University. When an improvement extends the useful life of a building, the building and the improvement shall be determined to have a remaining useful life equal to the length of time which the improvement extends the building's useful life. When an improvement does not extend the useful life of a building, the useful life of the improvement shall be determined to be the remaining useful life of the building. Residual values will be determined by each institution on a case by case basis.

**3.1.1.5. Infrastructure:** Capitalization limits for infrastructure items are as follows: \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley University and Salt Lake Community College; \$100,000 for Southern Utah University, Snow College, and Dixie State University. The determination of useful lives for infrastructure items shall be as reflected in the State of Utah Standard Useful Life Table (FIACCT 09-09.01). Residual values will be determined by each institution on a case by case basis.

**3.1.1.6. Land Improvements:** Capitalization limits for land improvements are as follows: \$250,000 for the University of Utah, Utah State University, Weber State University, Utah Valley University and Salt Lake Community College; \$100,000 for Southern Utah University, Snow College, and Dixie State University. The determination of useful lives for land improvements shall be as reflected in the State of Utah Standard Useful Life Table (FIACCT 09-09.01). Residual values will be determined by each institution on a case by case basis.

**3.1.1.7. Library Books:** All library books shall be capitalized. The useful life of all books shall be determined to be 20 years. Residual values will be determined by each institution on a case by case basis.

**3.1.1.8. Works of Art:** Capitalization limits for Works of Art are as follows: \$5,000 for the University of Utah, Utah State University, Weber State University, Utah Valley University and Salt Lake Community College; \$2,000 for Southern Utah University, Snow College, and Dixie State University. Pieces classified as inexhaustible works of art shall not be depreciated. Useful lives for other works of art shall be determined by each institution on a case by case basis. Residual values for other works of art will be determined by each institution on a case by case basis.

**3.1.2. Reporting Expenditures in the Financial Statements:** To preserve financial statement comparability, institutions will report expenditures as follows:

**3.1.2.1.** Use natural classifications on the Statement of Revenues, Expenditures and Changes in Net Position as illustrated in GASB statements, and

3.1.2.2. Present both natural and functional classifications in a footnote to the financial statements consistent with the format specified in the NACUBO Advisory Report 2000-8.

**3.2. Certification of Financial and Other Documents:** Financial and other documents requiring official certification by officers of the Board shall be subject to the following procedures:

3.2.1. Board authorization or approval for certification of such documents shall first be obtained, ordinarily at a regular Board meeting.

3.2.2. The necessary documents shall then be certified in writing (a) as to the above approval and (b) as to their accuracy and consistency with the Board authorization, by the President of the institution concerned, or by the Office of the Commissioner of Higher Education, or both.

3.2.3. The documents thus certified and submitted may then be taken directly to the officer or officers of the Board concerned for any required signatures.

3.2.4. The Commissioner of Higher Education and the Associate Commissioner for Planning, Finance and Facilities are hereby authorized to sign for either the Secretary or the Treasurer of the Board in the event of the unavailability of either the Secretary or the Treasurer.

3.2.5. A Treasurer of the Board is appointed pursuant to Section 3.2.4. of R120, Bylaws of the State Board of Regents, and shall serve in such capacity subject to the recommendation of the Commissioner of Higher Education to, and action by, the Board.

**3.3. Accounting and Operating Controls:** The Board authorizes each President and institutional Board of Trustees to establish and maintain a system of internal accounting and operating controls for their institution. This system of internal controls shall incorporate the principles and objectives specified by the Committee of Sponsoring Organizations of the Treadway Commission report "Internal Control—Integrated Framework." In addition, the Board recommends the following:

3.3.1. That institutional Boards of Trustees authorize the President and Chief Financial Officer, or Chief Financial Officer and Controller, to establish imprest bank accounts for such purposes as they deem necessary for efficient operation of their institution and authorize appropriate signatures for same.

3.3.2. That institutional Boards of Trustees authorize all bank accounts and approve all signatures except as provided in recommendation 3.3.1.

3.3.3. That the Controller or Treasurer at each institution maintain an up-to-date record of all bank accounts and authorized signatures.

3.3.4. That from time to time there should be a review of cash on hand and cash receipts and internal examiners shall undertake an examination of cash disbursements, accounts payable, and purchasing.

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R712, Nontraditional Arrangements for Development of Facilities on Campuses

Issue

Regent policy R712, *Nontraditional Arrangements for Development of Facilities on Campuses*, has recently been reviewed by the Office of the Commissioner and USHE institutional representatives; this review is a part of the continuing review of all Regental policies. A result of this review is the recommendation to update the references to other policies and more appropriately position sections of the existing policy.

Background

The key provisions addressed in R712's rewrite include:

- 1) Sections 2.6., 2.7. 4, 5 - more directly tying the policy to other applicable Regent policies including R491, *University Research Parks*, and R587, *Contract and Lease-Purchase Financing*
- 2) Sections 4 and 5 - moved "Quality Control," "Construction Codes," and "Life-Cycle Costing" to the more appropriate location of section 5.5., updated the "Life-Cycle Costing" definition
- 3) Section 4.4. - moved to R587

Commissioner's Recommendation

The Commissioner recommends that the Regents review the proposed revisions and if in agreement with the changes, approve the revisions to policy R712, *Nontraditional Arrangements for Development of Facilities on Campuses*, effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH/CRW  
Attachment



# R712, Nontraditional Arrangements for Development of Facilities on Campuses<sup>1</sup>

**R712-1. Purpose:** To provide for consideration of nontraditional arrangements for development of facilities on campuses of institutions in the Utah System of Higher Education.

## R712-2. References

- 2.1. Utah Code [§53B-6-101](#) (Master Planning for Higher Education)
- 2.2. Utah Code [§53B-20-103](#) (Powers of State Board - Capital Facilities Projects)
- 2.3. Utah Code [§53B-21-108](#) (Financing Projects by Contract or Lease Agreement)
- 2.4. Utah Code [Title 63A, Chapter 5](#) (State Building Board - Division of Facilities Construction and Management)
- 2.5. Policy and Procedures [R710](#), Capital Facilities
- [2.6. Policy and Procedures R491, University Research Parks](#)
- [2.7. Policy and Procedures R587, Contract and Lease-purchase Financing](#)

## R712-3. General Policy on Nontraditional Arrangements for Development of Facilities on Campuses of Institutions of Higher Education

- 3.1. **General Policy:** It is the general policy and expectation of the Board of Regents that nontraditional arrangements for development of facilities on campuses of institutions in the Utah System of Higher Education will be used sparingly and only where specific and unusual circumstances clearly so warrant.

**R712-4. Policy on Lease-Purchase Acquisitions of Facilities for Institutional Use:** Pursuant to authority contained in Utah Code [§53B-21-108](#) the Board of Regents will consider institutional proposals for lease-purchase acquisition of facilities to be financed totally from institutional revenues not a part of the appropriated budget. Such a proposal will be finalized only after receipt of advice from the Attorney General's Office that the specific proposal is within the Regents' authority to approve under current statute, ~~and final approval will be granted only where the following conditions are met:~~ [Approval of such proposals is subject to the provisions of Policy and Procedures R587, Contract and Lease-purchase Financing.](#)

- ~~4.1. **Quality Control:** Adequate provisions for quality control in the design and construction of the project;~~
- ~~4.2. **Construction Codes:** Provision to ensure compliance with appropriate state or local construction codes;~~
- ~~4.3. **Life Cycle Costing:** Design provision for life cycle costing criteria;~~

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<sup>1</sup> Approved December 20, 1985.

~~4.4. — Analysis of Revenues and Expenses: Verification by analysis of revenues and expenses, taking all costs of both methods into consideration, that the lease purchase arrangement can be expected to provide an equivalent facility at less total cost to the institution than by use of a revenue bond issue with project construction managed by DFCM;~~

~~4.5. — Contractual Provisions: Verification that proposed arrangements set forth in the necessary contractual documents:~~

~~4.5.1. — Are financially feasible for the institution;~~

~~4.5.2. — Adequately protect the interests of the institution regarding:~~

~~4.5.2.1. — termination, extension, or renewal of the lease;~~

~~4.5.2.2. — resolution of other eventualities that reasonably can be foreseen, and~~

~~4.5.2.3. — ultimate ownership of the facility;~~

~~4.6. — Attorney General Approval: Attorney General's Office approves all contract documents as to form and legal authority.~~

**R712-5. Policy on Facilities Developed and Owned by an Outside Party on Leased Institutional Land:** The Board of Regents recognizes that in specific instances, institutional and/or public interests may be well served by arrangements for construction and operation of facilities by outside organizations or parties on leased institutional property. The Regents will, therefore, from time to time consider proposals for such arrangements on institutional property other than property in designated research parks for which, under State statute and Policy and Procedures R491, University Research Parks, research universities have delegated responsibility. Such a proposal will be finalized only after receipt of advice from the Attorney General's Office that the specific proposal is within the Regents' authority to approve under current statute, and final approval will be granted only where the following conditions are met:

**5.1. Program Benefits or Broad Public Purpose:** The proposed arrangement provides significant benefits to the program, students, faculty, or staff of the institution, or serves a broad public interest that could not be served as well any other way;

**5.2. Proper Developer and Use:** The proposed outside developer/owner and the proposed use of the facility are proper and appropriate for the image and environment of the institution;

**5.3. Adequate Compensation:** Compensation to the institution, either in cash or in kind (or a combination thereof), is adequate to justify any financial considerations provided by the institution to the outside developer/user of the facility;

**5.4. Contractual Provisions:** ~~Proposed a~~ Arrangements set forth in contract documents shall demonstrate that the provisions:

5.4.1. Are financially feasible for the institution;

5.4.2. Adequately protect the interests of the institution regarding:

5.4.2.1. ~~i~~Initial relationships with the outside organization or party,

5.4.2.2. ~~R~~Resolution of eventualities that can reasonably be foreseen,

5.4.2.3. ~~I~~Institutional right to control appearance of the facility, external remodeling/additions, level of building and landscape maintenance, parking rights, exterior graphics, access to institutional utility systems and access roads, ~~and~~

5.4.2.4. ~~T~~ermination, extension, or renewal of the land-lease, and ultimate ownership of the facility;

5.5. Construction Requirements: Contractual considerations shall ensure that the following conditions are met:

5.5.1. Quality Control: Adequate provisions for quality control in the design and construction of the project

5.5.2. Construction Codes: Provision to ensure compliance with appropriate state or local construction codes;

5.5.3. Life-Cycle Costing: Assurance that provisions dealing with the costs of design, construction, operation and maintenance, and disposing of the building have been met.

**5.56. Attorney General Approval:** Attorney General's Office approves all contract documents as to form and legal authority.

## R712, Nontraditional Arrangements for Development of Facilities on Campuses<sup>1</sup>

**R712-1. Purpose:** To provide for consideration of nontraditional arrangements for development of facilities on campuses of institutions in the Utah System of Higher Education.

### R712-2. References

- 2.1. Utah Code [§53B-6-101](#) (Master Planning for Higher Education)
- 2.2. Utah Code [§53B-20-103](#) (Powers of State Board - Capital Facilities Projects)
- 2.3. Utah Code [§53B-21-108](#) (Financing Projects by Contract or Lease Agreement)
- 2.4. Utah Code [Title 63A, Chapter 5](#) (State Building Board - Division of Facilities Construction and Management)
- 2.5. Policy and Procedures [R710](#), Capital Facilities
- 2.6. Policy and Procedures [R491](#), University Research Parks
- 2.7. Policy and Procedures [R587](#), Contract and Lease-purchase Financing

### R712-3. General Policy on Nontraditional Arrangements for Development of Facilities on Campuses of Institutions of Higher Education

- 3.1. **General Policy:** It is the general policy and expectation of the Board of Regents that nontraditional arrangements for development of facilities on campuses of institutions in the Utah System of Higher Education will be used sparingly and only where specific and unusual circumstances clearly so warrant.

**R712-4. Policy on Lease-Purchase Acquisitions of Facilities for Institutional Use:** Pursuant to authority contained in Utah Code [§53B-21-108](#) the Board of Regents will consider institutional proposals for lease-purchase acquisition of facilities to be financed totally from institutional revenues not a part of the appropriated budget. Such a proposal will be finalized only after receipt of advice from the Attorney General's Office that the specific proposal is within the Regents' authority to approve under current statute. Approval of such proposals is subject to the provisions of Policy and Procedures [R587](#), Contract and Lease-purchase Financing.

**R712-5. Policy on Facilities Developed and Owned by an Outside Party on Leased Institutional Land:** The Board of Regents recognizes that in specific instances, institutional and/or public interests may be well served by arrangements for construction and operation of facilities by outside organizations or parties on leased institutional property. The Regents will, therefore, from time to time consider proposals for such arrangements on institutional property other than property in designated research parks for which, under State statute and Policy and Procedures [R491](#), University Research Parks, research universities have delegated responsibility. Such a proposal will be finalized only after receipt of advice from the Attorney General's Office that the specific proposal is within the Regents' authority to approve under current statute, and final approval will be granted only where the following conditions are met:

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<sup>1</sup> Approved December 20, 1985.

**5.1. Program Benefits or Broad Public Purpose:** The proposed arrangement provides significant benefits to the program, students, faculty, or staff of the institution, or serves a broad public interest that could not be served as well any other way;

**5.2. Proper Developer and Use:** The proposed outside developer/owner and the proposed use of the facility are proper and appropriate for the image and environment of the institution;

**5.3. Adequate Compensation:** Compensation to the institution, either in cash or in kind (or a combination thereof), is adequate to justify any financial considerations provided by the institution to the outside developer/user of the facility;

**5.4. Contractual Provisions:** Arrangements set forth in contract documents shall demonstrate that the provisions:

5.4.1. Are financially feasible for the institution;

5.4.2. Adequately protect the interests of the institution regarding:

5.4.2.1. Initial relationships with the outside organization or party,

5.4.2.2. Resolution of eventualities that can reasonably be foreseen,

5.4.2.3. Institutional right to control appearance of the facility, external remodeling/additions, level of building and landscape maintenance, parking rights, exterior graphics, access to institutional utility systems and access roads,

5.4.2.4. Termination, extension, or renewal of the land-lease, and ultimate ownership of the facility;

**5.5. Construction Requirements:** Contractual considerations shall ensure that the following conditions are met:

5.5.1. **Quality Control:** Adequate provisions for quality control in the design and construction of the project

5.5.2. **Construction Codes:** Provision to ensure compliance with appropriate state or local construction codes;

5.5.3. **Life-Cycle Costing:** Assurance that provisions dealing with the costs of design, construction, operation and maintenance, and disposing of the building have been met.

**5.6. Attorney General Approval:** Attorney General's Office approves all contract documents as to form and legal authority.



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R741, Capital Development Prioritization - CDP

Issue

Section 6, *Land Bank Acquisition Requests* of Regent policy R741, *Capital Development Prioritization - CDP*, has been revised in order to establish a more thorough process for evaluation and advocacy of the USHE land bank requests as part of the Board of Regents recommendations for funding consideration that are made to the State Building Board, Governor, and the Legislature.

Background

Over the past few years, members of the Board of Regents have expressed some concern about the minimal amount of information that is submitted to the Board regarding the USHE institutional land bank property acquisition requests. Due to the limited amount of information provided, Board members have tended to feel insufficiently informed and therefore not in a strong position either to prioritize or to be advocates for the requests presented. The resulting practice generally has been for the Board to simply forward the requests for funding consideration on, without any clear recommendation or advocacy. During this years' Capital Development process, the Regents Capital Facilities Committee asked for more complete information regarding such requests in order to enable them to be better informed in determining and advocating priorities and support in this arena.

The specific information to be considered in this [more robust] evaluation process going forward has been added to Section 6 of the policy and is now presented for your consideration and approval.

Commissioner's Recommendation

The Commissioner recommends that the Regents review, and if in agreement, approve the additions to Section 6, *Land Bank Acquisition Requests* of policy R741, *Capital Development Prioritization - CDP*, to be effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH/CRW  
Attachment

**R741.5. Projects Funded from Non-State Appropriated Funds** – Proposals from institutions for approval of capital development projects to be financed by non-state appropriated funds are subject to the approval process outlined in Policy R710, Capital Facilities. This includes determination of whether the projects qualify for state-appropriated funding for ongoing O&M needs. Consistent with provisions of this policy, before any project can be considered for approval it must be included in the approved master plan of an institution, and the programs to be housed therein must have been approved by the Board of Regents. If those approvals have not been received, the project will not be considered.

**R741.6 Land Bank Acquisition Requests** – Requests for purchase of land from funds to be appropriated by the state Legislature for future use of an institution must be reviewed and approved by the Board of Regents. Recommendations to the State Building Board, Governor and Legislature for such purchases shall be based upon approved programmatic planning and facilities master plan requirements of the institutions (Policy R710.4.5.3). The following considerations will be taken into account in evaluation of these requests for inclusion in the annual request for land bank funding:

6.1. Location and description of the property including any existing permanent structures.

6.2. Current availability of the land and "time sensitivity" of the window of opportunity for its purchase.

6.3. Intended use of the land and its relative importance in the context of the institutions role and mission assignment, campus master plan, and strategic plan for the future.

6.4. Suitability of the property for the intended use (ingress/egress, proximity of utilities, percentage of buildable area, ground tests, etc. where applicable).

6.5. Reasonableness of cost as determined by an appraisal or other reasonable estimate of the value of the land.

6.6. Condition of the land, including the potential liability of the institution pertaining to clearing the property, potential existence of hazardous waste, greenhouse gas emissions, etc.

6.7. Condition and potential use of existing structures, if any.

**R741.5. Projects Funded from Non-State Appropriated Funds** – Proposals from institutions for approval of capital development projects to be financed by non-state appropriated funds are subject to the approval process outlined in Policy R710, Capital Facilities. This includes determination of whether the projects qualify for state-appropriated funding for ongoing O&M needs. Consistent with provisions of this policy, before any project can be considered for approval it must be included in the approved master plan of an institution, and the programs to be housed therein must have been approved by the Board of Regents. If those approvals have not been received, the project will not be considered.

**R741.6 Land Bank Acquisition Requests** – Requests for purchase of land from funds to be appropriated by the state Legislature for future use of an institution must be reviewed and approved by the Board of Regents. Recommendations to the State Building Board, Governor and Legislature for such purchases shall be based upon approved programmatic planning and facilities master plan requirements of the institutions (Policy R710.4.5.3). The following considerations will be taken into account in evaluation of these requests for inclusion in the annual request for land bank funding:

- 6.1. Location and description of the property including any existing permanent structures.
- 6.2. Current availability of the land and "time sensitivity" of the window of opportunity for its purchase.
- 6.3. Intended use of the land and its relative importance in the context of the institutions role and mission assignment, campus master plan, and strategic plan for the future.
- 6.4. Suitability of the property for the intended use (ingress/egress, proximity of utilities, percentage of buildable area, ground tests, etc. where applicable).
- 6.5. Reasonableness of cost as determined by an appraisal or other reasonable estimate of the value of the land.
- 6.6. Condition of the land, including the potential liability of the institution pertaining to clearing the property, potential existence of hazardous waste, greenhouse gas emissions, etc.
- 6.7. Condition and potential use of existing structures, if any.

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Fall 2014 Enrollment Report

Fall 2014 third-week enrollments reported by the USHE institutions, when compared to Fall 2013 enrollments, shows that the number of students enrolled basically held steady across the System. While budget related FTE enrollments increased 0.13%, budget related headcount numbers decreased by 1.52%. A similar pattern is observed with total enrollments (budget related and self-support) where total FTE enrollments increased by 0.44%, even as reported total headcount enrollments decreased by 0.17%.

Changes in enrollments were not uniform across the USHE institutions. Four of the eight USHE institutions reported increases in budget-related headcounts and FTE, with the other four institutions reporting decreases. Four of the eight USHE institutions reported increases in total headcount enrollments (budget-related & self-support) while only three institutions reported decreases in total FTE. The differences in enrollment trends among the institutions is a reflection of their distinctive missions and how external factors such as changes in the economy may impact each institution differently.

It should be noted that third-week numbers are preliminary in nature and do not include new enrollments that may occur in programs that begin after the third-week census date (e.g. 2<sup>nd</sup> block registrations, non-credit CTE enrollments). These enrollments appear in end-of-term reports.

Total and budget-related headcounts and FTE numbers are included in the following attachments. Definitionally, *headcount enrollments* include all students enrolled in formal programs of study at the USHE institutions, whereas *FTE (full-time equivalent)* enrollments approximate the number of students enrolled each semester (15 semester hours for undergraduate students; 10 semester hours for graduate students). *Budget-related* enrollments are enrollments that are eligible for state funding.

Also included in the attachments are USHE headcounts summarized by gender and ethnicity.

Recommendation

This item is for information only; no action is required.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/JAC  
Attachment

## Utah System of Higher Education

### Fall 2014 3rd Week Headcount Enrollment Report

<b>TOTAL HEADCOUNT (Budget Related &amp; Self Support)</b>	<b>2013</b>	<b>2014</b>	<b>CHANGE</b>	<b>CHANGE</b>
University of Utah	32,080	31,515	- 565	-1.76%
Utah State University	27,812	27,662	- 150	-0.54%
Weber State University	25,301	26,266	965	3.81%
Southern Utah University	7,745	7,656	- 89	-1.15%
Snow College	4,605	4,779	174	3.78%
Dixie State University	8,350	8,570	220	2.63%
Utah Valley University	30,564	31,332	768	2.51%
Salt Lake Community College	31,137	29,537	- 1,600	-5.14%
<b>USHE</b>	<b>167,594</b>	<b>167,317</b>	<b>- 277</b>	<b>-0.17%</b>

<b>BUDGET RELATED HEADCOUNT</b>	<b>2013</b>	<b>2014</b>	<b>CHANGE</b>	<b>CHANGE</b>
University of Utah	31,645	31,044	- 601	-1.90%
Utah State University	24,670	25,039	369	1.50%
Weber State University	19,597	18,478	- 1,119	-5.71%
Southern Utah University	6,653	6,504	- 149	-2.24%
Snow College	4,119	4,212	93	2.26%
Dixie State University	7,795	7,808	13	0.17%
Utah Valley University	24,588	24,991	403	1.64%
Salt Lake Community College	25,456	24,253	- 1,203	-4.73%
<b>USHE</b>	<b>144,523</b>	<b>142,329</b>	<b>- 2,194</b>	<b>-1.52%</b>



## Utah System of Higher Education

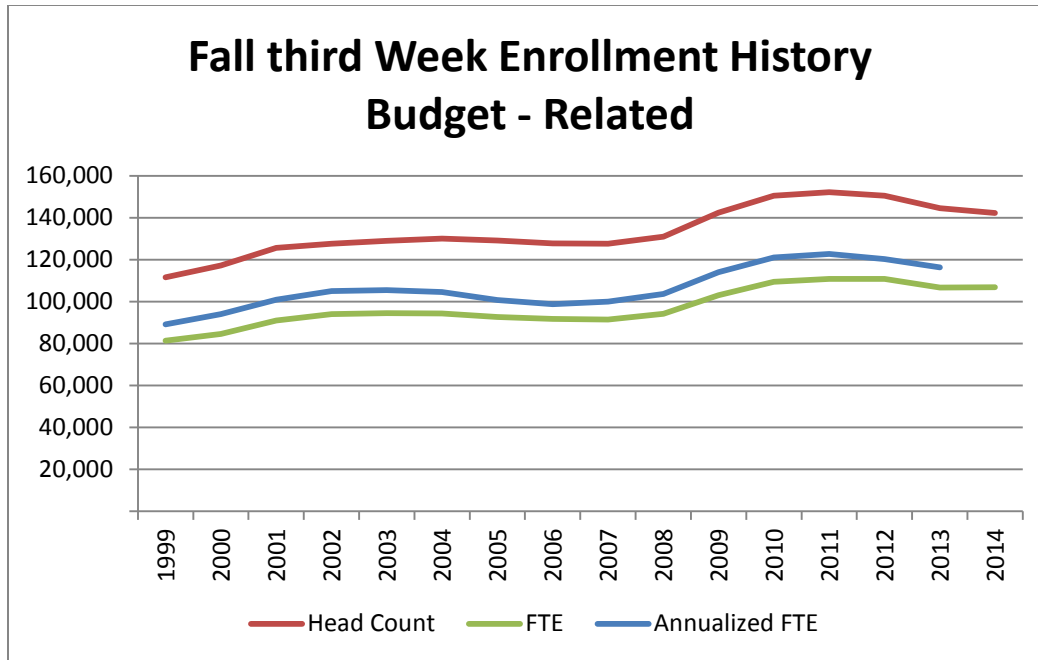
### Fall 2014 3rd Week FTE Student Enrollment Report

<b>TOTAL FTE (Budget Related &amp; Self Support)</b>	<b>2013</b>	<b>2014</b>	<b>CHANGE</b>	<b>CHANGE</b>
University of Utah	26,933	26,742	- 191	-0.71%
Utah State University	20,557	20,889	333	1.62%
Weber State University	15,617	15,989	371	2.38%
Southern Utah University	6,183	6,150	- 33	-0.54%
Snow College	3,581	3,746	165	4.62%
Dixie State University	6,184	6,405	220	3.56%
Utah Valley University	20,697	21,335	638	3.08%
Salt Lake Community College	16,924	15,932	- 991	-5.86%
<b>USHE</b>	<b>116,676</b>	<b>117,189</b>	<b>513</b>	<b>0.44%</b>

<b>BUDGET RELATED FTE</b>	<b>2013</b>	<b>2014</b>	<b>CHANGE</b>	<b>CHANGE</b>
University of Utah	26,758	26,508	- 250	-0.93%
Utah State University	18,904	19,456	552	2.92%
Weber State University	13,245	13,080	- 165	-1.24%
Southern Utah University	5,835	5,785	- 50	-0.86%
Snow College	3,331	3,443	112	3.35%
Dixie State University	5,940	6,050	110	1.85%
Utah Valley University	17,952	18,560	608	3.39%
Salt Lake Community College	14,715	13,934	- 781	-5.31%
<b>USHE</b>	<b>106,680</b>	<b>106,816</b>	<b>136</b>	<b>0.13%</b>

#### Notes:

Rounding Error - FTEs are calculated then rounded to the nearest one



#### Utah System of Higher Education

*Fall 2014 3rd Week Total Headcount\* by Gender & Ethnicity*

GENDER	2013	2014	CHANGE	CHANGE
Female	83,778	83,570	- 208	-0.25%
Male	83,816	83,747	- 69	-0.08%
Unknown	0	0		
<b>Total</b>	<b>167,594</b>	<b>167,317</b>	<b>- 277</b>	<b>-0.17%</b>

Ethnicity	2013	2014	CHANGE	CHANGE
American Indian Alaskan	1,593	1,472	- 121	-7.60%
Asian	3,675	3,825	150	4.08%
Black or African American	2,157	2,179	22	1.02%
Hispanic or Latino	14,543	15,493	950	6.53%
Native Hawaiian or Pacific Islander	1,241	1,202	- 39	-3.14%
White	116,365	115,546	- 819	-0.70%
Multiple	1,541	1,709	168	10.90%
Non Resident Alien	5,881	5,896	15	0.26%
Unspecified	20,598	19,995	- 603	-2.93%
<b>Total</b>	<b>167,594</b>	<b>167,317</b>	<b>- 277</b>	<b>-0.17%</b>

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Securities Exchange Commission (SEC) Municipalities Continuing Disclosure Cooperation (MCDC) Initiative

Issue

The SEC Division of Enforcement announced in March 2014 a voluntary self-reporting program for issuers and underwriters of bonds for a limited time and covering a limited topic. Essentially, the "MCDC Initiative" permits issuers, obligated persons, and underwriters to self-report misstatements concerning prior compliance with continuing disclosure obligations in an official statement for a municipal bond issue. In exchange, the SEC Division of Enforcement agrees to recommend "favorable" settlement terms for issuers and obligated persons, as well as for underwriters involved in the offering of those municipal securities (see the attached MCDC Initiative Settlement Terms document).

While the settlement terms for issuers involve cease-and-desist orders with specific required steps to be taken, for the most part they do not require monetary penalties. For underwriters, however, the terms are not as favorable and include monetary penalties that range from \$20,000 to \$60,000 per issue, with a maximum of \$500,000.

Background

The Securities and Exchange Commission's (SEC) Rule 15c2-12: Continuing Disclosure (see attached copy) requires the annual filing of financial and operating information pertaining to bonds issued in the form of a Continuing Disclosure Memorandum. This annual filing includes:

- Financial information and operating data provided by state or local government or other obligated persons
- Audited financial statements for state or local government or other obligated persons, if available
- Other relevant information specified in bonding documents, specifically the 'Continuing Disclosure Agreement'
- Notices of material events that modify the circumstances existing at the time the bonds were issued (see "Event Notices" in the attached SEC Rule 15c2-12: Continuing Disclosure document).

Because of information that has surfaced showing that, nationwide, significant numbers of issuers have been delinquent in filing complete information as required and underwriters that have failed to verify the

accuracy of issuers' continuing disclosure compliance reports, the SEC has implemented the MCDC Initiative that is focused on improving compliance with disclosure reporting on bonds issued since 2009.

### OCHE Initiative

Even though it was our understanding that USHE institutions have been diligent in filing their required continuing disclosure reports, due to the high level visibility of this issue nationally and the potential negative consequences associated with non-compliance, we determined that it was in the best interest of USHE collectively to verify that required compliance reporting had been appropriately done. Also, in the event that statements in bond documents regarding an institution's continuing disclosure compliance were inaccurately reported, our goal was to evaluate each finding to enable institutions to review these events and file, if necessary, the required materials by the MCDC deadline. The initial filing deadline for both issuers and underwriters was initially September 10, 2014. The deadline for issuers only was subsequently delayed until December 1, 2014.

To accomplish the required review, we engaged Zions Bank, under the direction of Eric Pehrson, to conduct a review of the bonds issued on behalf of seven of the USHE institutions and to provide a report of findings to OCHE and the institutions. Mr. Kelly Murdock of RBC Capital Markets, who is the Financial Advisor for the University of Utah, is providing a similar review of relevant University of Utah bonds.

### Findings

The results of their findings confirm that USHE institutions have been responsible in the requirements of continuing disclosure reporting. There were, however, some findings that relate to late filing of the required information, failure or late filing of changes in bond ratings (generally due to a downgrade of a bond insurer's rating), and failure to include some items specified in continuing disclosure agreements.

It is important to note that the stated focus of MCDC is not whether an issuer complied with its continuing disclosure filings, but rather addresses only *"possible violations involving materially inaccurate statements relating to prior compliance."* The materiality of disclosure failures falling into this category is being evaluated.

It is also noteworthy that the underwriters of all of the relevant bond issues were contacted to see if they had filed any MCDC self-reports of possible violations involving "materially inaccurate statements". Only one underwriter for a competitively bid bond issued by a USHE institution submitted a MCDC Initiative report. In that case, the institution had filed its operating and financial information 35 days late. The fact that none of the other underwriters filed is important information since the penalties imposed on underwriters, which include significant monetary penalties, are considerably more onerous than those for issuers.

### Next Steps

We are in the process of completing and consolidating the collection of the relevant MCDC-related information. On October 10, 2014 a meeting was held with the people who researched the various institutions' disclosure compliance and with attorneys from Ballard Spahr and Chapman & Cutler, the firms that generally provide bond counsel for USHE bond issues, to review the findings and determine the next steps to finalize this issue. There was considerable discussion about the fact that the primary focus of the

MCDC Initiative is to clean up areas where continuing disclosure has been absent or woefully inadequate. The expectation is that SEC enforcement will focus on the more serious failures and misstatements and it does not appear that USHE institutions even remotely fall into that category.

It is, nevertheless, important to satisfactorily resolve these issues. Many issuers and their counsel have taken the approach of disclosing past missteps or failures in "Official Statements" without concluding or admitting that such failures were material in lieu of self-reporting them under the MCDC Initiative. This disclosure practice ensures that investors are informed, even in cases where the failures were almost certainly not material.

Since materiality is not a black and white issue and is determined on the basis of particular facts and circumstances in each instance, we have requested legal advice to determine if any of the findings requires filing under the MCDC Initiative. Most of those determined to not be material have already been disclosed using the "Official Statement" process described above. Timing is of the essence since December 1, 2014 is the filing deadline.

Going forward, we will be reviewing whether additional policies and procedures need to be adopted at the system and institutional levels in order to bolster the importance placed on ongoing institutional reporting responsibilities and whether or not a third-party should be contracted as a continuing disclosure reporting agent to assist in the disclosure reporting process.

#### Commissioner's Recommendation

This is an information item; no action is required.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment



# SEC Rule 15c2-12: Continuing Disclosure



## SEC Rule 15c2-12

Securities and Exchange Commission (SEC) Rule 15c2-12 requires dealers, when underwriting certain types of municipal securities, to ensure that the state or local government issuing the bonds enters into an agreement to provide certain information to the Municipal Securities Rulemaking Board about the securities on an ongoing basis. Such continuing disclosure agreements for new issues after December 2010 normally require the following:

### Annual Financial Information

- Financial information and operating data provided by state or local government or other obligated persons
- Audited financial statements for state or local government or other obligated persons, if available

### Event Notices

- Principal and interest payment delinquencies
- Non-payment related defaults
- Unscheduled draws on debt service reserves reflecting financial difficulties
- Unscheduled draws on credit enhancements reflecting financial difficulties
- Substitution of credit or liquidity providers, or their failure to perform
- Adverse tax opinions or events affecting the tax-exempt status of the security
- Modifications to rights of security holders
- Bond calls and tender offers
- Defeasances
- Release, substitution or sale of property securing repayment of the securities
- Rating changes
- Bankruptcy, insolvency or receivership

## What is Continuing Disclosure?

*Continuing disclosure consists of important information about a municipal bond that arises after the initial issuance of the bonds. This information generally reflects the financial health or operating condition of the state or local government as it changes over time, or the occurrence of specific events that can have an impact on key features of the bonds.*

- Merger, acquisition or sale of all issuer assets
- Appointment of successor trustee

## Timeframes for Submitting Disclosures

In most cases, state or local governments or obligated persons must submit annual disclosures on or before the date specified in the continuing disclosure agreement or provide notice of failure to do so to the MSRB through the Electronic Municipal Market Access (EMMA®) website at <http://emma.msrb.org>. Disclosure on events for new issues after December 2010 must be submitted to EMMA within 10 business days of the event.

## Exemptions from Rule 15c2-12

Continuing disclosure generally is not required for an issue if:

- The entire issue is for less than \$1 million
- The bonds are sold to investors in units of no less than \$100,000 and are sold to no more than 35 sophisticated investors
- The bonds are sold in \$100,000 minimum denominations and mature in nine months or less from initial issuance
- The bonds were issued prior to July 1995 (or prior to December 1, 2010 for certain "puttable" securities.)

## Locating Continuing Disclosure Information

The MSRB's EMMA® website publicly displays continuing disclosure information submitted since July 1, 2009, as part of the MSRB's mission to provide access to key municipal market information. The EMMA website also displays market transparency data and educational materials about the municipal securities market.

# MCDC Initiative and Settlement Terms

(Excerpt from SEC Municipalities Continuing Disclosure Cooperation Initiative Release)

## III. The MCDC Initiative

### A. Who Should Consider Self-Reporting to the Division?

To be eligible for the MCDC Initiative, an issuer or underwriter must self-report by accurately completing the [attached questionnaire](#) and submitting it within the following applicable time periods:

- For underwriters, beginning March 10, 2014 and ending at 12:00 a.m. EST on September 10, 2014; and
- For issuers, beginning March 10, 2014 and ending at 5:00 p.m. EST on December 1, 2014.

Information required by the questionnaire includes:

- identification and contact information of the self-reporting entity;
- information regarding the municipal securities offerings containing the potentially inaccurate statements;
- identities of the lead underwriter, municipal advisor, bond counsel, underwriter's counsel and disclosure counsel, if any, and the primary contact person at each entity, for each such offering;
- any facts that the self-reporting entity would like to provide to assist the staff in understanding the circumstances that may have led to the potentially inaccurate statement(s); and
- a statement that the self-reporting entity intends to consent to the applicable settlement terms under the MCDC Initiative.

Submissions may be made by email to [MCDCsubmissions@sec.gov](mailto:MCDCsubmissions@sec.gov), by fax to (301) 847-4713 or by mail to MCDC Initiative, U.S. Securities and Exchange Commission, Boston Regional Office, 33 Arch Street, Boston, MA 02110.

### C. Standardized Settlement Terms the Division Will Recommend

To the extent an entity meets the requirements of the MCDC Initiative and the Division decides to recommend enforcement action against the entity ("eligible issuer" or "eligible underwriter"), the Division will recommend that the Commission accept a settlement which includes the terms described below.<sup>5</sup>

#### *1. Types of Proceedings and Nature of Charges*

For eligible issuers, the Division will recommend that the Commission accept a settlement pursuant to which the issuer consents to the institution of a cease and desist proceeding under Section 8A of the Securities Act for violation(s) of Section 17(a)(2) of the Securities Act.<sup>6</sup> The Division will recommend a settlement in which the issuer neither admits nor denies the findings of the Commission.

For eligible underwriters, the Division will recommend that the Commission accept a settlement pursuant to which the underwriter consents to the institution of a cease and desist proceeding under Section 8A of the Securities Act and administrative proceedings under Section 15(b) of the Exchange Act for violation(s) of Section 17(a)(2) of the Securities Act. The Division will recommend a settlement in which the underwriter neither admits nor denies the findings of the Commission.

#### *2. Undertakings*

For eligible issuers, the settlement to be recommended by the Division must include undertakings by the issuers. Specifically, as part of the settlement, the issuer must undertake to:

- establish appropriate policies and procedures and training regarding continuing disclosure obligations within 180 days of the institution of the proceedings;
- comply with existing continuing disclosure undertakings, including updating past delinquent filings within 180 days of the institution of the proceedings;
- cooperate with any subsequent investigation by the Division regarding the false statement(s), including the roles of individuals and/or other parties involved;
- disclose in a clear and conspicuous fashion the settlement terms in any final official statement for an offering by the issuer within five years of the date of institution of the proceedings; and
- provide the Commission staff with a compliance certification regarding the applicable undertakings by the issuer on the one year anniversary of the date of institution of the proceedings.

For eligible underwriters, the settlement to be recommended by the Division must include undertakings by the underwriters. Specifically, as part of the settlement, the underwriter must undertake to:

- retain an independent consultant, not unacceptable to the Commission staff, to conduct a compliance review and, within 180 days of the institution of proceedings, provide recommendations to the underwriter regarding the underwriter's municipal underwriting due diligence process and procedures;
- within 90 days of the independent consultant's recommendations, take reasonable steps to enact such recommendations; provided that the underwriter make seek approval from the Commission staff to not adopt recommendations that the underwriter can demonstrate to be unduly burdensome;
- cooperate with any subsequent investigation by the Division regarding the false statement(s), including the roles of individuals and/or other parties involved; and
- provide the Commission staff with a compliance certifications regarding the applicable undertakings by the Underwriter on the one year anniversary of the date of institution of the proceedings.

### *3. Civil Penalties*

For eligible issuers, the Division will recommend that the Commission accept a settlement in which there is no payment of any civil penalty by the issuer.

For eligible underwriters, the Division will recommend that the Commission accept a settlement in which the underwriter consents to an order requiring payment of a civil penalty as described below:

- For offerings of \$30 million or less, the underwriter will be required to pay a civil penalty of \$20,000 per offering containing a materially false statement;
- For offerings of more than \$30 million, the underwriter will be required to pay a civil penalty of \$60,000 per offering containing a materially false statement;
- However, no underwriter will be required to pay a total amount of civil penalties under the MCDC Initiative greater than the following:
  - For an underwriter with total revenue over \$100 million as reported in the underwriter's Annual Audited Report – Form X-17A-5 Part III for the underwriter's fiscal year 2013: \$500,000;
  - For an underwriter with total revenue between \$20 million and \$100 million as reported in the underwriter's Annual Audited Report – Form X-17A-5 Part III for the underwriter's fiscal year 2013: \$250,000; and
  - For an underwriter with total revenue below \$20 million as reported in the underwriter's Annual Audited Report – Form X-17A-5 Part III for the underwriter's fiscal year 2013: \$100,000.

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Annual Report on Leased Space

Issue

The USHE Annual Report of Leased Space, as required by Regent Policy 710, is attached for your information. A summary of this information will subsequently be submitted to DFCM and the Building Board for inclusion in the State Building Board Five-year Building Program document.

Background

USHE institutions have submitted their detailed lists of leased space currently under contract. A summary of those leases by institution, including changes from the prior year, is provided in the following table:

Institutional Leased Space Summary									
Institution	2013			2014			Summary of Changes		
	No. of Leases	Square Feet	Rent	No. of Leases	Square Feet	Rent	% Change		
							No. of Leases	Square Feet	Rent
UU	147	1,359,087	\$ 20,614,072	145	1,460,057	\$ 23,714,424	-1.4%	7.43%	15.04%
USU	22	216,462	1,030,649	23	221,669	1,109,560	4.5%	2.41%	7.66%
WSU	6	28,632	226,363	6	32,743	232,596	0.0%	14.36%	2.75%
SUU	13	48,579	510,716	13	64,579	543,877	0.0%	32.94%	6.49%
Snow	0	0	0	0	0	0			
DSU	4	27,700	281,205	4	27,700	339,202	0.0%	0.00%	20.62%
UVU	4	38,603	232,556	4	38,603	232,941	0.0%	0.00%	0.17%
SLCC	9	153,872	1,489,917	8	123,083	1,358,909	-11.1%	-20.01%	-8.79%
Total	205	1,872,935	\$ 24,385,478	203	1,968,434	\$ 27,531,509	-1.0%	5.10%	12.90%

As noted on the summary, four of the institutions show double-digit percentage changes from the prior year:

- University of Utah – The larger percentage increase in rent primarily is the result of the inclusion of the Common Area Maintenance (CAM) cost, where applicable, as part of the lease cost, which was not included in data reported in prior years.
- Weber State University – The larger percentage increase in leased space without a corresponding increase in total rent payments is the result of a nearly 5,000 square foot increase in space leased for the UCAID – Indulgent Food project without a commensurate increase in the rental cost.

- Southern Utah University – The large percentage increase in space leased results from a temporary low cost rent of space required for the Shakespeare Festival during construction of the new facility.
- Dixie State University – By the end of the year (2013), DSU had rented all 23,100 square feet of the University Plaza complex, but they had all the space for only 9 months, so the rental payment amount in 2013 was only for those 9 months, not for the full year as in 2014. The property is owned by the Dixie College Foundation.
- Salt Lake Community College – The reduction reflects the closing of the Highland Center.

A more detailed summary showing the sources of funding for the leases is attached for your information. A listing of all leases, which includes additional detail about each of the institutional leases, is on file in the Office of the Commissioner.

Commissioner's Recommendation

This is an information item only; no action is required.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/WRH  
Attachment



# Utah System Of Higher Education

## Annual Leased Space Report - FY 2015

Location	# of Leases	Gross Sq. Ft.	Average Cost Per Sq. Ft.	Annual Lease Payment	Source of Funding	Type of Space
University of Utah						
Building Leases:						
Bountiful, Academic Outreach & Continuing Education	1	29,856	\$ 2.87	\$ 85,584	State	Classroom/Office
Murray, Academic Outreach & Continuing Education	1	11,765	13.11	154,272	State	Classroom/Office
Sandy, Academic Outreach & Continuing Education	1	20,000	18.80	376,012	State	Classroom/Office
St. George, Academic Outreach & Continuing Education	1	6,600	16.95	111,879	State	Classroom/Office
Tanner Creative Dance - Ogden/Park City/SLC/Brigham	4	Varies		7,857	Other	Classroom/Office
Research Park, Development Office	1	29,228	22.76	665,115	Other	Office
Research Park, Human Resources & Payroll Office	1	29,977	29.98	898,620	Other	Office
Research Park, Office of Technology Commercialization	1	14,314	24.45	349,997	Other	Office
Research Park, Information Technology Services	4	37,264	22.51	838,833	Other	IT Service/Training/Storage
Research Park, College of Health - Occupational Therapy	1	3,877	23.08	89,481	Other	Occupational/Medical Training Facility
Washington D.C., Hinkley Institute Apartments	7			212,520	Other	Student Apartments for Interns
Dialysis Centers, Various Locations	16	103,328	20.04	2,070,841	Clinical	Office/Clinical/Teaching & Research
Research Park, Hospital, Clinical, & Research	35	527,869	21.53	11,362,845	Clinical/Other	Office/Clinical/Research/Storage
Other Off-campus Leases, Hospital, Clinical, & Research*	60	611,054	10.49	6,409,464	Clinical/Other	Office/Lab/Research/Storage
Subtotal Building Leases	134	1,425,132	16.58	\$ 23,633,320		
Land Leases:						
KUER/KUED Communication/Transmitter Sites	9	27,000	N/A	79,544	State	Ground
Tooele City Corporation	1	7,925	N/A	-	Other	Ground
1260 Elgin Avenue, Storage Unit 115	1	N/A	N/A	1,560	Other	Ground
Subtotal Land Leases	11	34,925	N/A	\$ 81,104		
TOTAL - UU	145	1,460,057	N/A	\$ 23,714,424		

\* Includes 2 parking structures

Utah State University						
Building Leases:						
Brigham City, Life Span Learning Center	4	66,755	\$ 3.52	\$ 235,304	State/Other	Classroom/Office/Storage
Logan, Airport	1	7,040	1.85	13,040	Other	Office/Hanger
Castle Dale, SW Early Intervention	1	1,760	4.09	7,200	Other	Classroom/Office
Blanding, CTE Program-Trucking & Hvy. Equip. Operations	1	56,628		6,000	State	Classroom/Office/Maint. Shop/Storage
Logan, USU VP Commercialization & Res. Development	2	9,679	13.56	131,295	Other	Tech. Commercialization Office (Research)
Logan, USU Advancement	1	12,183	14.85	180,918	Other	Office/Classroom/Lab
Logan, Tech. Assistance in Special Education	1	4,291	16.01	68,691	Other	Office/Classroom

Location	# of Leases	Gross Sq. Ft.	Average Cost Per Sq. Ft.	Annual Lease Payment	Source of Funding	Type of Space
Geology Luminescence Lab	1	799	14.37	11,480	Other	Office (Research)
Logan, Cache Valley Center for the Arts	1	980	1.53	1,500	Other	Radio Station/Office
Moab, CDP SW Early Intervention	1	1,200	8.50	10,200	Other	Classroom/Office
Price, CDP SW Early Intervention	1	1,290	7.91	10,200	Other	Classroom/Office
Orem, Provo Education Center	1	3,117	16.44	51,243	Other	Classroom/Office
Salt Lake City, Development Office	1	1,601	10.99	17,592	Other	Development Office/Retail
Salt Lake City, Granite School District	1	25,689	8.75	224,808	Other	Classroom/Office
Washington D.C. Appartments	4	6,157	22.75	140,088	Other	Student Apartments for Interns/Advisor
USU/CEU, Prehistoric Museum	1	22,500	0.00	1	State	Museum/Office
<b>TOTAL - USU</b>	<b>23</b>	<b>221,669</b>	<b>5.01</b>	<b>1,109,560</b>		

<b>Weber State University</b>						
<b>Building Leases</b>						
Kaysville, Davis High School	1	1,600	\$ 10.26	\$ 16,420	State	Classroom
Roy, WSU West	1	7,556	15.62	118,012	State/Other	Classroom/Office/Storage/Student Center
DATC, UCAID USTAR	1	210	20.86	4,380	Other	Office
Morgan School District	1	Varies	\$15/room/hr	Varies	Contin. Ed.	Modular Classrooms
UCAID - Indulgent Food (Farmington)	1	18,857	2.59	48,828	Other	Labs/Office
CE - United Way Building	1	4,520	9.95	44,956	Other	Work Rooms/Offices
<b>TOTAL - WSU</b>	<b>6</b>	<b>32,743</b>	<b>7.10</b>	<b>\$ 232,596</b>		

<b>Southern Utah University</b>						
<b>Building Leases</b>						
Cedar City, Business Resource Center	1	3,026	13.79	41,714	State	Office
Cedar City, Global Engagement	1	4,097	8.46	34,680	State	Office
Cedar City, Community Engagement	1	2,658	10.36	27,540	State	Office
Head Start, Various Locations	6	25,488	7.97	203,075	Other	Classroom/Office
Cedar City, Utah Center for Rural Health	1	525	8.57	4,500	Other	Residential
Cedar City, Community Outreach Center	1	11,705	14.87	174,048	State	Office
Cedar City, Utah Shakespeare Festival	1	16,000	2.25	36,000	Other	Office/Other
Cedar City, Early Intervention		1,080	9.56	10,320	Other	Classroom
Subtotal Building Leases	12	64,579	8.24	\$ 531,877		
<b>Land Leases:</b>						
Cedar City, Parking Services	1	N/A	N/A	12,000	State	Parking
Subtotal Land Leases	1	N/A	N/A	\$ 12,000		

Location	# of Leases	Gross Sq. Ft.	Average Cost Per Sq. Ft.	Annual Lease Payment	Source of Funding	Type of Space
TOTAL - SUU	13	64,579	N/A	\$ 543,877		

Snow College - No Leases

#### Dixie State University

Building Leases:						
St. George, University Plaza (Bldgs. B1 and B2)	1	23,100	\$ 10.02	\$ 231,420	State	Classroom/Office
St. George, Larkin Properties	3	4,600	\$ 23.43	107,782	State	Office/Other
TOTAL - DSU	4	27,700	\$ 12.25	\$ 339,202		

#### Utah Valley University

Building Leases:						
Canyon Park Building L	1	38,603	\$ 4.84	-	State	Classrooms/Kitchens/Offices/Other
Subtotal Building Leases	1	38,603	\$ 4.84	186,761		
Land Leases:						
Provo,Airport	3	N/A	N/A	\$ 46,180	State/Other	Ground/Hanger
Subtotal Land Leases	3	N/A	N/A	\$ 46,180		
TOTAL - UVU	4	38,603	N/A	\$ 232,941		

#### Salt Lake Community College

Building Leases:						
Salt Lake City, Writing Center	1	1,545	\$ 7.06	\$ 10,905	State	Classroom/Office
Salt Lake City, Library Square	1	33,725	14.35	483,936	State	Classroom/Office
Salt Lake City, Westpointe Center	1	35,700	17.16	612,663	State/Other	Classroom/Office
Salt Lake City, Warehouse	3	30,000	3.96	118,800	State	Storage
Salt Lake City, Airport Center	2	22,113	6.00	132,605	State	Classroom/Office/Lab/Hanger
TOTAL - SLCC	8	123,083	11.04	\$ 1,358,909		

#### TOTAL - USHE Institutions

Building Leases	188	1,933,509	14.17	27,392,225		
Land Leases	15	34,925	N/A	\$ 139,284		
TOTAL - USHE	203	1,968,434	N/A	27,531,509		

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Institutional Residences Annual Report

Regent Policy R207, *Institutional Residences for Colleges and Universities in the Utah System of Higher Education* requires that each USHE institution provide an annual report regarding institutional coverage of expenses for maintenance, repair, utilities, insurance, and domestic assistance related to the institutional residences (IR). Beyond the Regent policy requirement, institutional representatives support the presentation of this information to the Regents to maintain proper institutional internal control, ensure that IR budgets are set and expenditures are monitored, support the IR as a sanctioned institutional offering, and to provide public exposure and feedback regarding the facility's operation and maintenance.

The attached report summarizes the approved budget and expenditures for each institutional residence over the past three fiscal years. Footnotes have been added to describe the following: any significant change from prior years; any significant variances between the budgeted and actual expenditures; and/or any significant capital improvements to the residence.

Commissioner's Recommendation

This is a discussion item only; no action is needed.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/DAM  
Attachment

# Utah System of Higher Education

## *Institutional Residences Operation and Maintenance Report*

*FY 2012-2015*

	2011-12		2012-13		2013-14		2014-15		Square Footage
	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Source of Funds	
U of U	\$ 53,225	\$ 46,762	\$ 53,225	\$ 53,389	\$ 60,900	\$ 60,844	\$ 60,900	Discretionary Funds	8,800
USU	\$ 72,000	\$ 52,988	\$ 72,000	\$ 67,426	\$ 72,000	\$ 71,667	\$ 72,000	E&G	12,403
WSU	\$ 22,600	\$ 20,919	\$ 22,600	\$ 21,489	\$ 27,400	\$ 21,292	\$ 28,300	E&G	
SUU	\$ 57,000	\$ 77,531	\$ 54,500	\$ 56,143	\$ 67,000	\$ 69,890	\$ 68,000	E&G & Discretionary	11,314
SNOW <sup>1</sup>	\$ 9,511	\$ 8,238	\$ 7,000	\$ 22,327	\$ 7,000	\$ 13,926	\$ 12,000	E&G	6,128
DSU <sup>2</sup>	\$ 19,650	\$ 30,942	\$ 19,650	\$ 11,180	\$ 19,650	\$ 12,869	\$ 59,500	E&G	5,246
UVU <sup>3</sup>	\$ 47,940	\$ 33,330	\$ 43,940	\$ 33,788	\$ 191,940	\$ 161,823	\$ 48,687	E&G, Discretionary, & Donor Funds	6,235
SLCC <sup>4</sup>	\$ 33,700	\$ 26,282	\$ 48,100	\$ 26,414	\$ 86,100	\$ 9,584	\$ -	E&G & Discretionary	

*\*Footnotes to this table contain explanations of significant budget variances and also institutional residence capital improvements which are not reflected in the O&M amounts in the table above.*

<sup>1</sup> *Snow College made improvements and needed repairs to the grounds and institutional residence over what was originally budgeted for in FY 2014.*

<sup>2</sup> *DSU plans to address deferred maintenance issues on the institutional residence and replace carpet, tile, and paint in FY 2015.*

<sup>3</sup> *UVU remodeled and increased square footage of the institutional residence in FY 2014 as was approved by the Board of Regents.*

<sup>4</sup> *SLCC sold the institutional residence in FY 2014.*

Board Policy R207 provides for institutional coverage of expenses for maintenance, repair, utilities, insurance, and domestic assistance serving institutional purposes. Policy requires annual reports for the previous year's actual expenses and the current year's budget, as summarized in the table above.



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Annual Contracts and Grants Report

The attached report is provided in compliance with Board Policy R532 pertaining to contract and grant reporting. R532 requires that the institutions submit an annual report summarizing the number and dollar amounts of awards received during the previous fiscal year.

Institutional contracts and grants provide significant benefits to the institutional community and society as a whole in terms of knowledge gained through basic and applied research efforts, in the job creation that is possible from these funding streams, and in moving many important programmatic agendas forward. This past year, the total amount of contract and grant activity in USHE institutions increased by 11 percent from the prior fiscal year. Five of the eight USHE institutions showed an increase dollar awards over the prior year, with significant contributions to activity levels quite naturally continuing to be the research universities.

Commissioner's Recommendation

This is an information item only; no action is needed.

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David L. Buhler  
Commissioner of Higher Education

DLB/GLS/DAM

**Utah System of Higher Education  
Contracts and Grants Report**

Institution	Fiscal Year 2013		Fiscal Year 2014		% Change	
	No.	Total \$ Amount	No.	Total \$ Amount	No.	Amount
<b>University of Utah</b>						
Research	1,784	\$268,741,562	1,786	\$286,336,245	0.1%	6.5%
Instruction	176	28,586,995	198	25,735,786	12.5%	-10.0%
Clinical	186	32,604,735	245	34,238,675	31.7%	5.0%
Other	353	30,373,506	447	42,210,886	26.6%	39.0%
<b>TOTAL UU</b>	<b>2,499</b>	<b>360,306,798</b>	<b>2,676</b>	<b>388,521,592</b>	<b>7.1%</b>	<b>7.8%</b>
<b>Utah State University</b>						
Research	850	\$109,719,931	1,016	\$144,154,598	19.5%	31.4%
Instruction	56	5,084,500	59	3,452,986	5.4%	-32.1%
Clinical						
Other	295	31,217,432	326	29,316,296	10.5%	-6.1%
<b>TOTAL USU</b>	<b>1,201</b>	<b>146,021,863</b>	<b>1,401</b>	<b>176,923,880</b>	<b>16.7%</b>	<b>21.2%</b>
<b>Weber State University</b>						
Research	41	\$2,441,069	42	\$2,497,415	2.4%	2.3%
Instruction	17	2,490,172	19	5,004,484	11.8%	101.0%
Clinical						
Other	100	10,607,232	82	9,897,828	-18.0%	-6.7%
<b>TOTAL WSU</b>	<b>158</b>	<b>15,538,473</b>	<b>143</b>	<b>17,399,727</b>	<b>-9.5%</b>	<b>12.0%</b>
<b>Southern Utah University</b>						
Research	18	\$196,096	21	\$135,735	16.7%	-30.8%
Instruction	4	208,496	5	90,018	25.0%	-56.8%
Clinical						
Other	63	7,779,558	74	6,914,301	17.5%	-11.1%
<b>TOTAL SUU</b>	<b>85</b>	<b>8,184,150</b>	<b>100</b>	<b>7,140,054</b>	<b>17.6%</b>	<b>-12.8%</b>
<b>Snow College</b>						
Research						
Instruction	4	619,680	3	710,767	-25.0%	14.7%
Clinical						
Other	8	809,947	6	657,632	-25.0%	-18.8%
<b>TOTAL Snow</b>	<b>12</b>	<b>1,429,627</b>	<b>9</b>	<b>1,368,399</b>	<b>-25.0%</b>	<b>-4.3%</b>

**Utah System of Higher Education  
Contracts and Grants Report**

Institution	Fiscal Year 2013		Fiscal Year 2014		% Change	
	No.	Total \$ Amount	No.	Total \$ Amount	No.	Amount
<b>Dixie State University</b>						
Research	2	\$83,785	5	\$119,999	150.0%	43.2%
Instruction						
Clinical						
Other	25	2,053,411	30	2,258,734	20.0%	10.0%
<b>TOTAL DSU</b>	<b>27</b>	<b>2,137,196</b>	<b>35</b>	<b>2,378,733</b>	<b>29.6%</b>	<b>11.3%</b>
<b>Utah Valley University</b>						
Research	11	\$179,700	12	\$274,918	9.1%	53.0%
Instruction	12	4,686,779	13	6,664,359	8.3%	42.2%
Clinical						
Other	32	7,437,352	40	7,416,096	25.0%	-0.3%
<b>TOTAL UVU</b>	<b>55</b>	<b>12,303,831</b>	<b>65</b>	<b>14,355,373</b>	<b>18.2%</b>	<b>16.7%</b>
<b>Salt Lake Community College</b>						
Research						
Instruction	15	\$7,888,090	29	\$6,308,680	93.3%	-20.0%
Clinical						
Other	21	\$2,388,885	23	\$2,897,083	9.5%	21.3%
<b>TOTAL SLCC</b>	<b>36</b>	<b>10,276,975</b>	<b>52</b>	<b>9,205,763</b>	<b>44.4%</b>	<b>-10.4%</b>
<b>Total USHE</b>						
Research	2,706	381,362,143	2,882	433,518,910	6.5%	13.7%
Instruction	284	49,564,712	326	47,967,080	14.8%	-3.2%
Clinical	186	32,604,735	245	34,238,675	31.7%	5.0%
Other	897	92,667,323	1,028	101,568,856	14.6%	9.6%
<b>TOTAL USHE</b>	<b>4,073</b>	<b>556,198,913</b>	<b>4,481</b>	<b>617,293,521</b>	<b>10.0%</b>	<b>11.0%</b>

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Pell Grants

Issue

The Federal Pell Grant Program provides need-based grants to low-income undergraduate students to promote access to higher education. A Federal Pell Grant, unlike a loan, does not have to be repaid. Pell Grants are a large and very important source of funding for higher education expenses for thousands of Utah students. In 2013-14, over 113,000 Utah students statewide received Pell funds totaling nearly \$406 million for an average grant of \$3,592. High demand from students and Federal budget challenges place Pell Grants under continual funding pressure.

Background

For many students, a Pell Grant provides a foundation of financial aid to which other student aid, such as work-study and student loans, is added to meet educational costs. Congress sets the Pell Grant award amount and the need-based formula to determine students' Pell eligibility. The 2013-14 maximum Pell Grant is \$5,645 while the minimum is \$582.

Students must apply annually for a Pell Grant and generally receive half of their Pell Grant award per semester. Eligibility for a Pell Grant is determined by a Congressionally-approved formula which takes into account income, assets, family size, and other factors. Pell Grant eligibility is limited to the equivalent of 12 semesters of full-time study. Students are not required to use their 12 semesters of eligibility consecutively but must maintain satisfactory academic progress, generally defined as at least a C average.

As reported to the Board last year the number of Pell Grant recipients and dollars awarded to Utah students was expected to stabilize after the sharp increases in those numbers since 2008. Both the number of recipients and dollar amounts decreased this past year from the 2012-13 award year. The number of Utah Pell Grant recipients decreased 5.8%, and dollar volume decreased 4.0% which followed the national trend (see Attachment 1). Such stabilization has historically occurred as the economy recovers and employment opportunities improve.

For the Utah System of Higher Education (USHE) institutions during 2013-14, the largest amount of Pell Grant dollars was received by students studying at Utah Valley University at \$47.7 million followed by Salt Lake Community College at \$39.3 million and Utah State University at \$36.8 million. Students studying at USHE institutions received 54% of the total Pell Grant dollar amount for 2013-14 followed by 29% at the private, non-profit institutions, and 16% at the for-profit, proprietary schools (see Attachment 2).

Pell Grant appropriations exceeded \$32 billion nationwide in 2013-14 and remain a significant resource for students to help meet the challenge of paying for college. Proposals to reform the Pell Grant and other federal aid programs will continue to be examined as Congress prepares to reauthorize the Higher Education Act of 1965 in the coming year.

#### Commissioner's Recommendation

This is an information item. No action is needed.

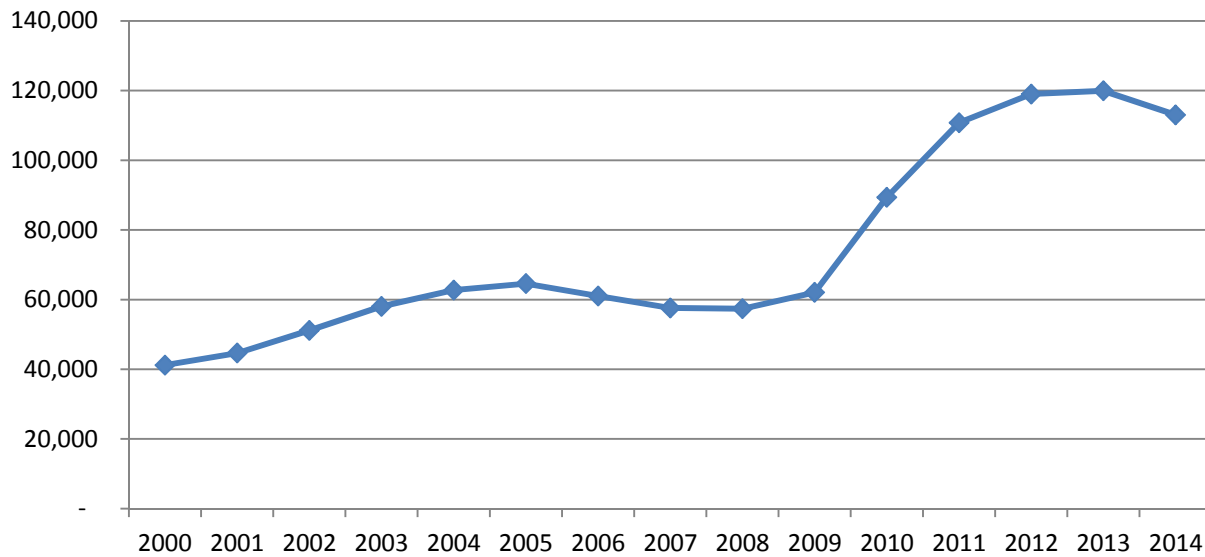
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David L. Buhler  
Commissioner of Higher Education

DLB/DAF  
Attachments

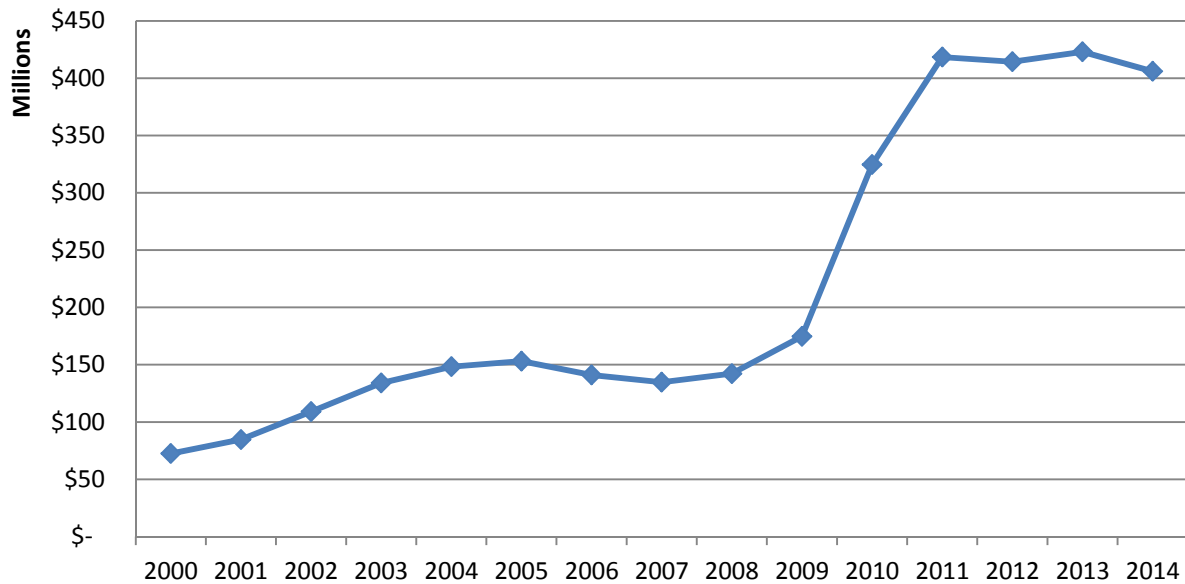


**Pell Grant**  
**Recipients**  
**at Utah-Headquartered Institutions**  
**Award Years 2000-2014**



Award Year	Recipients	% Change
2000	41,177	-
2001	44,657	8.5%
2002	51,144	14.5%
2003	58,036	13.5%
2004	62,730	8.1%
2005	64,577	2.9%
2006	61,033	-5.5%
2007	57,580	-5.7%
2008	57,370	-0.4%
2009	62,054	8.2%
2010	89,367	44.0%
2011	110,765	23.9%
2012	118,975	7.4%
2013	119,931	0.8%
2014	113,014	-5.8%

**Pell Grant**  
**Dollar Amount**  
**at Utah-Headquartered Institutions**  
**Award Years 2000-2014**



Award Year	Total \$ Volume	% Change
2000	\$ 72,512,563	-
2001	\$ 84,713,786	16.8%
2002	\$ 109,047,540	28.7%
2003	\$ 134,069,185	22.9%
2004	\$ 148,293,463	10.6%
2005	\$ 153,111,221	3.2%
2006	\$ 141,027,093	-7.9%
2007	\$ 134,766,936	-4.4%
2008	\$ 142,206,175	5.5%
2009	\$ 174,749,179	22.9%
2010	\$ 324,609,284	85.8%
2011	\$ 418,448,369	28.9%
2012	\$ 414,365,347	-1.0%
2013	\$ 423,032,504	2.1%
2014	\$ 405,982,843	-4.0%

## Utah 2013-2014 Award Year Pell Grant Volume by School

Disbursements through June 30, 2014

As of July 7, 2014

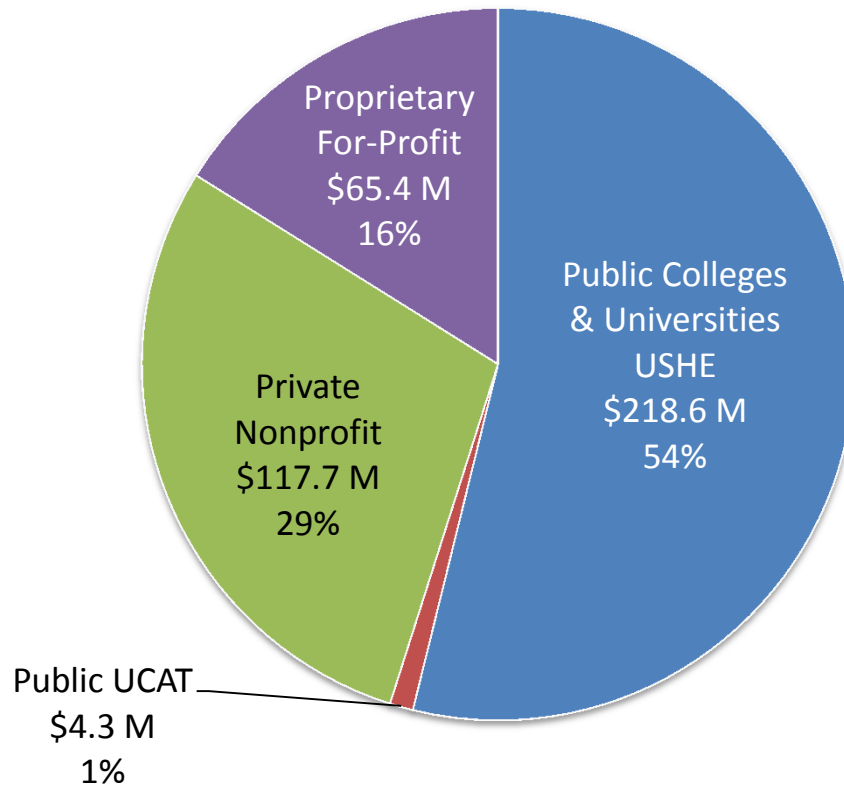
School		YTD Recipients	YTD Disbursements	
USHE PUBLIC	DIXIE STATE UNIVERSITY	4,527	\$ 16,727,272	
	SALT LAKE COMMUNITY COLLEGE	13,171	\$ 39,319,518	
	SNOW COLLEGE	1,516	\$ 5,557,540	
	SOUTHERN UTAH UNIVERSITY	3,055	\$ 12,213,763	
	UNIVERSITY OF UTAH	8,342	\$ 31,428,701	
	UTAH STATE UNIVERSITY	10,000	\$ 36,793,787	
	UTAH VALLEY UNIVERSITY	13,432	\$ 47,747,379	
	WEBER STATE UNIVERSITY	8,330	\$ 28,808,524	
Total Public		62,373	\$ 218,596,484	54%
PUBLIC APPLIED TECHNOLOGY COLLEGES	BRIDGERLAND APPLIED TECHNOLOGY COLLEGE	296	\$ 897,953	
	DAVIS APPLIED TECHNOLOGY COLLEGE	388	\$ 923,667	
	DIXIE APPLIED TECHNOLOGY COLLEGE	88	\$ 300,618	
	MOUNTAINLAND APPLIED TECHNOLOGY COLLEGE	143	\$ 401,457	
	OGDEN WEBER APPLIED TECHNOLOGY COLLEGE	591	\$ 1,412,929	
	SOUTHWEST APPLIED TECHNOLOGY COLLEGE	69	\$ 200,310	
	UINTAH BASIN APPLIED TECHNOLOGY COLLEGE	44	\$ 168,121	
Total Applied Technology Colleges		1,619	\$ 4,305,055	1%
PRIVATE- NONPROFIT	BRIGHAM YOUNG UNIVERSITY	11,117	\$ 45,958,053	
	LATTER DAY SAINTS BUSINESS COLLEGE	859	\$ 3,043,188	
	MIDWIVES COLLEGE OF UTAH	77	\$ 261,089	
	WESTERN GOVERNORS UNIVERSITY	18,435	\$ 65,971,163	
	WESTMINSTER COLLEGE	621	\$ 2,466,401	
Total private-nonprofit		31,109	\$ 117,699,894	29%
PROPRIETARY	ACAYDIA SCHOOL OF AESTHETICS	29	\$ 106,665	
	AMERICAN BEAUTY ACADEMY	40	\$ 139,006	
	AMERITECH COLLEGE	1,184	\$ 4,586,907	
	AVEDA INSTITUTE PROVO	123	\$ 480,357	
	BARBER SCHOOL (THE)	72	\$ 251,005	
	BONNIE JOSEPH ACADEMY OF COSMETOLOGY & BARBERING	23	\$ 89,606	
	BROADVIEW UNIVERSITY	811	\$ 2,580,051	
	CAMEO COLLEGE OF ESSENTIAL BEAUTY	154	\$ 516,003	
	CAREERS UNLIMITED	82	\$ 276,682	
	EAGLE GATE COLLEGE	877	\$ 3,070,357	
	EVANS HAIRSTYLING COLLEGE	22	\$ 84,661	

School		YTD Recipients	YTD Disbursements
PROPRIETARY	EVANS HAIRSTYLING COLLEGE OF CEDAR CITY	35	\$ 126,558
	EVEREST COLLEGE	923	\$ 3,043,366
	FRANCOIS D. COLLEGE OF HAIR SKIN & NAILS	49	\$ 162,152
	HAIRITAGE HAIR ACADEMY	32	\$ 125,926
	HEALING MOUNTAIN MASSAGE SCHOOL	53	\$ 236,504
	MANDALYN ACADEMY	55	\$ 198,320
	MARINELLO SCHOOL OF BEAUTY	79	\$ 270,083
	MEDSPA ACADEMIES	119	\$ 369,694
	MYOTHERAPY COLLEGE OF UTAH	46	\$ 124,362
	NEUMONT UNIVERSITY	218	\$ 903,992
	NIGHTINGALE COLLEGE	102	\$ 361,640
	PAUL MITCHELL THE SCHOOL - PROVO	1,104	\$ 4,117,728
	PAUL MITCHELL THE SCHOOL - SALT LAKE CITY	434	\$ 1,674,531
	PAUL MITCHELL THE SCHOOL - LOGAN	36	\$ 146,425
	PROVO COLLEGE	447	\$ 1,427,107
	RENAISSANCE ACADEMIE	88	\$ 329,550
	SHERMAN KENDALL'S ACADEMY OF BEAUTY ARTS & SCIENCES	43	\$ 157,969
	SHERMAN KENDALL'S ACADEMY OF BEAUTY ARTS & SCIENCES	28	\$ 102,668
	SKIN INSTITUTE (THE)	10	\$ 22,682
	SKIN SCIENCE INSTITUTE OF LASER & ESTHETICS	69	\$ 214,145
	SKINWORKS SCHOOL OF ADVANCED SKINCARE	55	\$ 187,345
	STEVENS HENAGER COLLEGE	7,639	\$ 29,888,324
	TAYLOR ANDREWS ACADEMY OF HAIR DESIGN	133	\$ 494,434
	TAYLOR ANDREWS ACADEMY-ST. GEORGE	100	\$ 366,607
	TOP NAILS & HAIR BEAUTY SCHOOL	55	\$ 198,065
	UTAH COLLEGE OF MASSAGE THERAPY	2,221	\$ 7,000,820
	VISTA COLLEGE	323	\$ 949,113
Total proprietary		17,913	\$ 65,381,411

16%

TOTALS	113,014	\$ 405,982,843
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**Pell Grant**  
Dollar Volume by School Type  
2013-14 Award Year





November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: General Consent Calendar

The Commissioner recommends approval of the following items on the Regents' General Consent Calendar:

A. Minutes

1. Minutes of the Board Meeting September 26, 2014, Utah State University, Logan, Utah (Attachment).

B. Grant Proposals

1. University of Utah – Ed Institute of Education Sciences; “Writing to Learn with Fact”; \$1,242,030. Sharlene Akemi Kiuahara, Principal Investigator.
2. University of Utah – DOI US Geological Survey; “Seismic Monitoring in Utah”; \$4,428,086. Keith David Koper, Principal Investigator.
3. University of Utah – DHHS National Institutes of Health; “Nanopore Detection of DNA/RNA”; \$1,465,500. Cynthia Burrows, Principal Investigator.
4. University of Utah – NIH National Institute of Dental Craniofacial Research; “Salivary Gland Inflammation”; \$1,117,500. Olga Juliana Baker, Principal Investigator.
5. University of Utah – NIH National Heart Lung & Blood Institute; “Non-Contrast-Enhanced MRA”; \$3,596,410. Vivian S. Lee, Principal Investigator.
6. University of Utah – NIH National Heart Lung & Blood Institute; “Cardiovascular Amniocytes”; \$3,550,746. H. Joseph Yost, Principal Investigator.
7. University of Utah – NIH National Institute for Diabetes Digestive and Kidney Disorders; “Renal Oxygenation with Bold MR”; \$2,773,592. Glen Morrell, Principal Investigator.

8. University of Utah – University of Illinois at Chicago; “Cook UIC PCORI SUB Aug 2014”; \$2,226,223. Lawrence J. Cook, Principal Investigator.
9. University of Utah – DHHS National Institutes of Health; “Using Situated Learning”; \$2,223,614. Qing Treitler Zeng, Principal Investigator.
10. University of Utah – NIH National Eye Institute; “Mechanisms of Angiogenesis”; \$1,862,500. Mary Elizabeth Ruth Hartnett, Principal Investigator.
11. University of Utah – DHHS National Institutes of Health; “SPT6 and FACT”; \$1,862,500. Christopher Peter Hill, Principal Investigator.
12. University of Utah – DHHS National Institutes of Health; “Analysis of YFACT”; \$1,862,500. Timothy Formosa, Principal Investigator.
13. University of Utah – NIH National Eye Institute; “Membrane Protein Transport”; \$1,862,500. Wolfgang Baehr, Principal Investigator.
14. University of Utah – University of Wisconsin-Madison; “Subcontract to Wisconsin”; \$1,526,493. Jeffrey Anderson, Principal Investigator.
15. University of Utah – Healthinsight; “RFA-HS-14-008/AHRQ (SUB K)”; \$1,522,515. Rachel Hess, Principal Investigator.
16. University of Utah – Competitive Technologies, Inc.; “Calmare Devise Trial”; \$1,335,337. Jacob Ernest Jessop, Principal Investigator.
17. University of Utah – Conrad N Hilton Foundation; “Axonopathy”; \$1,035,000. Thomas E. Lane, Principal Investigator.
18. University of Utah – NIH National Institute on Deafness and Other Communication Disorders; “Sov T Therapy Resubmit”; \$3,123,066. Ingo R. Titze, PhD, Principal Investigator.
19. University of Utah – National Science Foundation; “Decision Frameworks”; \$1,146,133. Chris P. Pantelides, Principal Investigator.
20. University of Utah – Desert Research Institute; “Chace-EPA Center”; \$3,994,193. Kevin Perry, Principal Investigator.
21. University of Utah – DOE Advanced Research Projects Agency-Energy; “Thermal Battery Based LTMS”; \$1,800,000. Peng Fan, Principal Investigator.

22. University of Utah – NIH National Institute on Drug Abuse; “More Primary Care”; \$3,651,770. Eric L. Garland, Principal Investigator.
23. University of Utah – Columbia University; “Legacy: Girls Study”; \$1,751,645. Sandra S. Buys, MD, Principal Investigator.
24. University of Utah – DHHS National Institutes of Health; “Patch PCR”; \$1,340,487. Katherine Elena Varley, Principal Investigator.
25. University of Utah – DHHS National Institutes of Health; “Sepsis-Induced Encephalopathy”; \$3,316,235. Kathryn Morton, Principal Investigator.
26. University of Utah – NIH National Heart Lung and Blood Institute; “Platelets and HIV”; \$2,975,656. Andrews S. Weyrich, Principal Investigator.
27. University of Utah – DHHS National Institutes of Health; “MSP1/ATAD1”; \$1,862,500. Jared P. Rutter, Principal Investigator.
28. University of Utah – DHHS Health Resources and Services Admin; “Ryan White Program Part C”; \$1,768,814. Harry Rosado-Santos, Principal Investigator.
29. University of Utah – US Department of Defense; “Electrographic Seizure Model”; \$1,628,078. Francis Edward Dudek, Principal Investigator.
30. University of Utah – Duke University; “Premavision Study”; \$1,489,920. Mary Elizabeth Ruth Hartnett, Principal Investigator.
31. University of Utah – National Science Foundation; “Personalized Cancer Genomics”; \$1,914,066. Orly Alter, Principal Investigator.
32. University of Utah – Doc National Institute of Standards and Tech; “Nist Resilience Ctr”; \$19,738,605. Steven John Burian, Principal Investigator.
33. Utah State University – US Department of Education; “Developing a Dual Language version of Read it Again-PreK”; \$1,499,781. Lillian Duran, Principal Investigator.
34. Utah State University – US Department of Ed-Institute of Education Sciences; “A Response to Intervention Multilingualistic Approach for Early School-age Language and Literacy Success”; \$1,499,912. Julie Wolter, Principal Investigator.

35. Utah State University – US Department of Ed-Institute of Education Sciences; “Randomized Controlled Trials of the Supporting Knowledge in Language and Literacy (SKILL) Program”; \$3,499,206. Ron Gillam, Principal Investigator; Sandra Gillam, Co-Principal Investigator.
36. Utah State University – US Department of Ed-Institute of Education Sciences; “Online Training for Parents of Young Children with Deafblindness to Improve Children’s Communication”; \$1,498,988. Mark Innocenti, Principal Investigator; Linda Alsop, Co-Principal Investigator.
37. Utah State University – US Department of Education; “Creating STEAM: Developing SEL skills as a means for increasing student creativity and STEM achievement”; \$1,486,549. Raymond Veon, Principal Investigator; Kimberly Lott, Idalis Villanueva, Lisa Boyce, Co-Principal Investigators.
38. Utah State University – US Department of Ed-Office of Special Education Programs and Projects (OSEP); \$7,739,508.29. John Copenhaver, Principal Investigator.
39. Utah State University – US Department of Education; “Kansas TASN Project”; \$1,534,841.87. John Copenhaver, Principal Investigator.
40. Utah State University – University of Nevada-Reno; “Enhancing Climate Resiliency for Agricultural Production on American Indian Lands of the Great Basin”; \$1,214,208. Courtney Flint, Principal Investigator; Steven Daniels, Eric Edwards, Kynda Curtis, Co-Principal Investigators.
41. Utah State University – US Department of Ag-National Institute of Food & Ag (NIFA); “Precision Remote Sensing and Advanced Modeling Approaches for Sustainable Crop”; \$4,950,333.60. Mac McKee, Principal Investigator.
42. Utah State University – US Department of Education; “RRTC: Employment for Individuals with Intellectual and Developmental Disabilities”; \$4,229,475. Timothy Riesen, Principal Investigator.
43. Utah State University – WestEd; “IDEA Fiscal Data Center (IFDC)”; \$2,209,673. John Copenhaver, Principal Investigator.
44. Utah State University – University of California at Berkeley; “Far Ultraviolet (FUV) Imager”; \$1,756,127. Jed Hancock, Program Manager. Revision.
45. Utah State University – Naval Research Lab; “Naval Research Laboratory (NRL) Intelligence, Surveillance, and Reconnaissance Systems (ISRS) Task Order 0002 – Full Spectrum Geospatial Intelligence (FSGI) Processing Phase 3”; \$3,412,547. Shane Jenkins, Program Manager.

46. Utah State University – UT Department of Workforce Services; “Utah Supplemental Nutrition Assistance Program Education (SNAP-Ed) FY 2015”; \$1,309,747. Heidi LeBlanc, Principal Investigator.
47. Utah State University – Science & Technology Corporation (STC); “Methane Observation Networks with Innovative Technology to Obtain Reductions”; \$1,000,009. Chad Fish, Principal Investigator; Charles Swenson, Alan Marchant, Co-Principal Investigators.
48. Utah State University – US Department of Health and Human Services-National Institutes of Health (NIH); “Molecular Basis of Japanese Encephalitis Virus Virulence”; \$1,435,941. Young-Min Lee Principal Investigator; Sang-Im Yun, Liaohai Chen, Co-Principal Investigators.
49. Utah State University – The University of Arizona; “Europa Cameras Detector Assemblies”; \$7,639,534. Jed Hancock, Program Manager.
50. Utah State University – NASA Goddard Space Flight Center; “International Space Station Methane Dewar”; \$1,541,671. Burt Lamborn, Program Manager.
51. Utah State University – NASA Ames Research Center; “BioSentinal Avionics Hardware Suite with NASA Ames Research Center”; \$1,237,875. Tim Neilsen, Principal Investigator.
52. Utah State University – Naval Research Lab; “Naval Research Laboratory (NRL) Intelligence, Surveillance, and Reconnaissance Systems (ISRS) Task Order 0002 – Ogden Data Device Ethernet Crypto – Navy (ODD-ED-Navy)”; \$1,205,720. Brent Carlsen, Program Manager.



C. Awards

1. University of Utah – National Science Foundation; “NSF CISE-Cloudlab”; \$4,299,514. Robert Preston Riekenberg Ricci, Principal Investigator.
2. University of Utah – National Science Foundation; “Storm”; \$1,157,975. Feifei LI, Principal Investigator.
3. University of Utah – National Science Foundation; “First Principles Design”; \$1,172,016. Ravi Chandran, Principal Investigator.
4. University of Utah – State of Idaho; “Idaho Waiver”; \$1,516,348. Matthew James Davis, Principal Investigator.
5. University of Utah – NIH National Institute of Child Health and Human Development; “Folic Acid Supplementation and Semen Quality Trail”; \$2,444,911. Matthew Peterson, Principal Investigator.
6. University of Utah – NIH National Center for Advancing Translational Sciences; “CCTS UL1”; \$4,099,530. Donald McClain, Principal Investigator.
7. University of Utah – NIH National Heart Lung and Blood Institute; “Genome-Wide Analysis of Cardiac Development in Zebrafish”; \$1,545,701. H. Joseph Yost, Principal Investigator.
8. University of Utah – National Science Foundation; “Francour-MRSEC:Seed Proj”; \$2,000,000. Ajay Nahata, Principal Investigator.
9. University of Utah – NIH National Institute of General Medical Science; “Conus Peptides”; \$2,376,903. Baldomero M. Olivera, Principal Investigator.
10. University of Utah – Army Research Office; “-Minteer Muri Multistep Cayalys”; \$1,215,684. Shelley D. Minteer, Principal Investigator.
11. University of Utah – RTI International; “Heart Health Capitation”; \$1,050,410. Robert M. Silver, Principal Investigator.
12. University of Utah – NIH National Center for Complementary and Alternative Medicine; “Developing Therapies to Target”; \$2,235,000. June Louise Round, Principal Investigator.
13. University of Utah – NIH National Institute for Diabetes Digestive and Kidney Disorders; “CCM Biomarker”; \$1,442,115. A. Gordon Smith, Principal Investigator.

14. Utah State University – US National Science Foundation; “Secure and Resilient Vehicular Platooning”; \$1,197,283. Ryan Gerdes, Principal Investigator; Rajnikant Sharma, Chris Winstead, Ming Li, Kevin Heaslip, Co-Principal Investigators.
15. Utah State University – UT Department of Health; “Up To 3 Early Intervention”; \$1,606,080. Susan Olsen, Principal Investigator.
16. Utah State University – UT Department of Workforce Services; “CCPDI FY15”; \$1,659,172. Ann Austin, Principal Investigator.
17. Utah State University – Misc Federal Sponsors; “Solus Prime”; \$1,987,577. Matt Cupal, Program Manager.
18. Utah State University – US National Science Foundation (NSF); “iUtah-Urban Transitions and Aridregion Hydro-Sustainability”; \$1,000,000. Michelle Baker, Principal Investigator; Douglas Jackson-Smith, Jeffery Horsburgh, Co-Principal Investigators.
19. Utah State University – US Department of Agriculture (USDA); “Compost Carryover and Cover Crop Effects on Soil Quality, Profitability, and Cultivar Selection in”; \$1,555,053. Earl Creech, Principal Investigator; David Hole, Jennifer Reeve, Astrid Jacobson, Kyndra Curtis, Co-Principal Investigators.
20. Utah State University – US Department of Ag -National Institute of Food and Ag; “2014 Implementation of Western Region Sustainable Agriculture Research and Education”; \$5,089,189. Teryl Roper, Principal Investigator.
21. Utah State University – Misc Federal Sponsors; “Remote Global GEOINT (Geospatial Intelligence) Ground (RG3) Task Order (TO) 4-Data Dissemination Element (DDE) Phase 2”; \$1,995,000. David Marchant, Program Manager.
22. Utah State University – Navel Research Lab; “Naval Research Laboratory (NRL) Intelligence, Surveillance, and Reconnaissance Systems (ISRS) Task Order 0002-Full Spectrum Geospatial Intelligence (FSGI) Processing Phase 3”; \$1,816,130. Shane Jenkins, Program Manager.
23. Utah State University – Army; “Precision Lightweight Weapon and Sensor Mount Program Standard State Position and Time (SSPAT)”; \$1,174,737.47. Scott Anderson, Mark Jensen, Program Managers.

D. Academic Items Received and Approved

1. New Programs

- a. Salt Lake Community College – Certificate of Proficiency in Business Basics
- b. Salt Lake Community College – Certificate of Proficiency in Economics Essentials
- c. Salt Lake Community College – Certificate of Proficiency in Finance Essentials
- d. Salt Lake Community College – Certificate of Proficiency in Financial Management
- e. Salt Lake Community College – Certificate of Proficiency in Financial Services
- f. Salt Lake Community College – Certificate of Proficiency in Investments and Trading
- g. Salt Lake Community College – Certificate of Proficiency in Management Essentials
- h. Salt Lake Community College – Certificate of Proficiency in Marketing Essentials
- i. Salt Lake Community College – Certificate of Proficiency in Advanced Marketing
- j. Salt Lake Community College – Certificate of Proficiency in Small Business Management

2. Three-Year Review

- a. Utah Valley University – Bachelor of Fine Art – Emphasis in Drawing and Painting
- b. Utah Valley University – Bachelor of Fine Art – Emphasis in Sculpture and Ceramics
- c. Utah Valley University – Bachelor of Science in English – Emphasis in Writing Studies

3. Five-Year Review

Snow College – Business Program Review

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David L. Buhler  
Commissioner of Higher Education

DLB/KLS  
Attachments

STATE BOARD OF REGENTS MEETING  
UTAH STATE UNIVERSITY, LOGAN, UTAH  
ALUMNI HOUSE & TAGGART STUDENT CENTER  
FRIDAY, SEPTEMBER 26, 2014

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DRAFT

STATE BOARD OF REGENTS MEETING  
UTAH STATE UNIVERSITY, LOGAN, UTAH  
ALUMNI HOUSE & TAGGART STUDENT CENTER  
FRIDAY, SEPTEMBER 26, 2014

COMMITTEE OF THE WHOLE  
MINUTES

Regents Present

Daniel W. Campbell, Chair  
France A. Davis, Vice Chair  
Jessellie B. Anderson  
Nina R. Barnes  
Bonnie Jean Beesley  
Keith M. Buswell  
Leslie Brooks Castle  
James T. Evans  
Brady L. Harris  
Marlin K. Jensen  
Robert S. Marquardt  
Jed H. Pitcher  
Robert W. Prince  
Harris H. Simmons  
Mark R. Stoddard  
Teresa L. Theurer  
Joyce P. Valdez

Regents Absent

Wilford W. Clyde  
John H. Zenger

Office of the Commissioner

David L. Buhler, Commissioner of Higher Education  
Elizabeth Hitch, Associate Commissioner for Academic and Student Affairs  
Gregory L. Stauffer, Associate Commissioner for Finance and Facilities

Institutional Presidents

David W. Pershing, University of Utah  
Stan L. Albrecht, Utah State University  
Charles A. Wight, Weber State University  
Scott L. Wyatt, Southern Utah University  
Gary L. Carlston, Snow College  
Richard B. Williams, Dixie State University  
Matthew S. Holland, Utah Valley University  
Deneece G. Huftalin, Salt Lake Community College

Other Commissioner's Office and institutional personnel were also present. The signed role is on file in the Commissioner's Office.

The Board of Regents began the day at 8:00 a.m. with a breakfast meeting; they were joined by the Utah State University Board of Trustees. Following breakfast, the Board of Regents met with the Institution Presidents at 9:30 a.m., for one hour, discussing possible issues the Utah System of Higher Education and the Board of Regents could focus on in the coming year. The Regents then met in committees until 11:30 a.m., which was followed by lunch.

**The Committee of the Whole was called to order at 12:45 a.m.**

Chair Campbell excused Regents Clyde and Zenger and announced Regents Evans and Valdez are excused to leave early for other commitments. Chair Campbell welcomed President Williams and President Huftalin to their first Board of Regents meeting as newly appointed presidents.

State of the University

President Albrecht gave a presentation on the state of Utah State University focusing on the unique successes of the university celebrating 150 years, Board of Regent completion initiatives, university campaign, athletics, and academics and research.

**The Committee of the Whole was again called back to order by Chair Campbell at 1:18 p.m.** Chair Campbell welcomed Tami Pyfer, education advisor to Governor Herbert.

Fiscal Year 2016 USHE Budget Request (TAB U)

Commissioner Buhler presented the FY 2016 USHE operating budget request detailing five main components: Employee Compensation, Mission Based Funding – Student Participation and Distinctive Mission, Performance Funding, Research Universities Graduate Program Support, and Statewide Programs. **It was moved by Regent Stoddard and seconded by Regent Davis to approve the FY 2016 Budget Request (\$78,396,100 or 9.7% increase), and any subsequent technical adjustments related to compensation as updated estimates become available. The motion carried.**

General Consent Calendar (TAB V)

**On a motion by Regent Theurer, and seconded by Regent Simmons the following items were approved on the Regents' General Consent Calendar:**

- A. Minutes – Minutes of the Board meeting July 17, 2014, Dixie State University, St. George, Utah; Minutes of the Board Meeting July 18, 2014, Southern Utah University, Cedar City, Utah; Minutes of the Board Meeting August 19, 2014, Conference Call, Salt Lake City, Utah; and Minutes of the Board Meeting September 15, 2014, Salt Lake Community College, Salt Lake City.
- B. Grant Proposals
- C. Awards
- D. Academic Items Received and Approved
- E. Executive Committee Item Received and Approved

Reports of Board Committees

Academic and Student Affairs Committee

Utah State University – Bachelor of Arts in Music (TAB A)

**Regent Prince reported on and moved the approval for Utah State University's request for a Bachelor of Arts in Music. Regents Simmons seconded and the motion carried.**

Utah State University – Bachelor of Science Degree in Business Education (TAB B)

Regent Prince reported a similar program was offered by USU's Huntsman School of Business but was eliminated several years ago, this new program will be offered through USU's School of Applied Sciences, Technology and Education. **It was moved by Regent Prince and seconded by Regent Stoddard to approve the Bachelor of Science in Business Education. The motion carried.**

Southern Utah University – Bachelor of Science in Exercise Science and Discontinuation of Bachelor of Science in Physical Education with Emphasis in Exercise Science (TAB C)

Regent Prince reported SUU proposes to change its emphasis in Exercise Science within the Physical Education degree to a Bachelor of Science in Exercise Science. **It was moved by Regent Prince and seconded by Regent Jensen to approve the Bachelor of Science in Exercise Science and the discontinuation of the Bachelor of Science in Physical Education with Emphasis in Exercise Science. The motion carried.**

Southern Utah University – Masters of Music Education (TAB D)

Regent Prince reported SUU's proposal for a Master of Music Education is intended to meet the needs of in-service music teachers. **It was moved by Regent Prince and seconded by Regent Harris to approve this request. The motion carried.**

Dixie State University – Bachelor of Science in Chemistry (TAB E)

Regent Prince reported this request by Dixie State to offer a Bachelor of Science in Chemistry is important for the institution and region. **It was moved by Regent Prince and seconded by Regent Simmons to approve DSU's request to offer a Bachelor of Science in Chemistry. The motion carried.**

Feasibility Study for Walk-in Centers and Services for Veterans (TAB F)

Regent Prince reported this action item comes from 2014 Senate Bill 68 which required the Board of Regents to conduct a feasibility study for veterans' centers and services at institutions within the Utah System of Higher Education. He also reported on the four recommendations for the Board of Regents as found at Tab F. **It was moved by Regent Prince and seconded by Regent Stoddard to accept the Feasibility Study for Walk-in Centers and Services for Veterans. The motion carried.**

USHE – Concurrent Enrollment (CE) Update: Enrollment Summary, Technology-Intensive Concurrent Enrollment (TICE) Update, Snow College Concurrent Education Program (CEP) Initial Report (TAB G)  
No action was taken on this information item.

Utah Scholars Initiative Annual Report (TAB H)

No action was taken on this information item.

StepUp to Higher Education Update and College Guide (TAB I)

No action was taken on this information item.

USHE College Application Portal Feasibility Study (Gates Grant) (TAB J)

No action was taken on this information item.

College Opportunity Agenda (TAB K)

No action was taken on this information item.

Finance/Facilities Committee

Utah State University – Campus Master Plan Progress Report (TAB L)

Regent Marquardt reported that this progress report is for information only, as Utah State University's Campus Master Plan was approved last year. No action was taken.

Utah Valley University – Request for approval to create the position of General Counsel (TAB M)

**Regent Marquardt reported on and moved approval for UVU's request for approval to create the position of General Counsel. The motion was seconded by Regent Simmons and carried.**

Revision of Policy R501, Budgeting Definitions and Guidelines (TAB N)

See below for action.

Revision of Policy R506, Inventory of Budget Related and Self Supporting Courses (TAB O)

Regent Marquardt reported R501 and R506 have been reviewed and include many technical updates. **It was moved by Regent Marquardt and seconded by Regent Anderson to approve the revisions to policy R501 and R506. The motion carried.**

Weber State University – Property Acquisitions (TAB P)

Regent Marquardt reported the authorization to purchase two properties would not need Regent approval; however the purchase price of one of the properties is \$6,000 over the current appraisal. He reported Weber State University intends to demolish the homes and use the properties as developed parking for the new Science building. **It was moved by Regent Marquardt and seconded by Regent Davis to approve the purchase of the two properties. The motion carried.**

Weber State University – Stewart Library Infrastructure Systems Renovation (TAB Q)

Regent Marquardt reported on Weber State University's request to proceed with a project to renovate the original infrastructure systems of the Stewart Library. **It was moved by Regent Marquardt and seconded by Regent Harris to approve Weber State University's request to submit the Stewart Library project to the State Building Board for design and construction. The motion carried.**

University of Utah – Red Butte Gardens Water Conservation Garden Project (TAB R)

Regent Marquardt reported on the University of Utah's request to create a Water Conservation Garden at the Red Butte Gardens to be financed entirely with non-state funded resources. **It was moved by Regent Marquardt and seconded by Regent Anderson to authorize the University of Utah to proceed with**

**this project by presenting it to the Utah State Building board for design and construction approval. The motion carried.**

University of Utah – Non-state Funded Ski Team Facility (TAB S)

Regent Marquardt reported University of Utah plans to construct an on-campus Ski Team Building that will provide updated space to ensure continued success for its successful alpine sports teams. No action was taken on this information item.

Annual Report on Foreign Gifts and/or Donations (TAB T)

Regent Marquardt reported on this information item, no action was taken.

Resolution of Appreciation

Chase N. Peterson

Regent Davis read a resolution of appreciation honoring the life of the late Dr. Chase Peterson, former president of University of Utah, and offered to personally deliver the printed resolution to the Peterson family. President Pershing spoke in favor of the resolution. **It was moved by Regent Davis and seconded by Regent Prince to adopt the resolution of appreciation for Dr. Chase N. Peterson. The motion carried.**

USHE – Institutional Non-state-funded Projects and Land Bank Requests for 2015-16 (TAB W)

Associate Commissioner Gregory Stauffer introduced this item and reported the Regents would find an Addendum to Tab W in their folder; an institution withdrew a project after the agenda was printed. He also gave some background information regarding the non-state-funded nature of these requests and explained O&M in terms of Regent policy and legislative funding. The Regents listened to the following presentations:

University of Utah – Senior Vice President Ruth V. Watkins

- William C. Browning Building Addition
- Orson Spencer Hall Replacement

Utah State University – Vice President Dave Cowley

- Center for Energy & Manufacturing Excellence – Price Campus
- Fine Arts Complex Addition/Renovation
- Romney Stadium West-side Renovation
- Valley View Residence Hall Replacement

Dixie State University – President Richard B. Williams

- On-campus Student Housing Replacement
- University Plaza Purchase (Land Bank Request)

Salt Lake Community College – President Deneece G. Huftalin

- Health & Wellness Center – South City Campus
- Student Center – Jordan Campus

**It was moved by Regent Pitcher and seconded by Regent Marquardt to approve these projects and the land bank request and to recommend legislative action. The motion carried.**

**It was moved by Regent Stoddard and seconded by Regent Barnes to meet in Executive Session for the sole purpose of discussing the character, professional competence, or physical or mental health of individuals, pending or reasonably imminent litigation, and the possible sale of real property. The motion carried.**

**The Committee of the Whole adjourned at 2:29 p.m.** The Board met in Executive Session from 2:45 until 3:43 p.m.

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Kirsten Schroeder, Executive Secretary

Date Approved:



November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State Board of Regents 2015-2016 Meeting Schedule Approval

Issue

In compliance with Utah Code and the Open Public Meetings Act, the Utah State Board of Regents is required to give public notice at least once a year of its annual meeting schedule. For this reason in addition to scheduling purposes, the schedule for the 2015-2016 academic year is attached for Board approval. The proposed meeting dates are as follows:

- July 30 & 31, 2015
- September 18, 2015
- November 13, 2015
- January 22, 2016
- April 1, 2016
- May 20, 2016

Commissioner's Recommendation

The Commissioner recommends the approval of the proposed State Board of Regents meeting schedule for the academic year 2015-2016.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLS  
Attachment

**DRAFT**



## UTAH STATE BOARD OF REGENTS 2015-2016 MEETING SCHEDULE

Thursday, <b>July 30</b> , 2015	7:30 AM - 5:00 PM	
Friday, <b>July 31</b> , 2015	7:30 AM - 5:00 PM	Southern Utah University
Friday, <b>September 18</b> , 2015	7:30 AM - 5:00 PM	Utah State University
Friday, <b>November 13</b> , 2015	7:30 AM - 5:00 PM	Weber State University
Friday, <b>January 22</b> , 2016	7:30 AM - 5:00 PM	University of Utah
Friday, <b>April 1</b> , 2016	7:30 AM - 5:00 PM	Dixie State University
Friday, <b>May 20</b> , 2016	7:30 AM - 5:00 PM	Snow College

*Schedule is subject to change.  
Board of Regents approval date:*

November 5, 2014

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: New USHE Performance Funding Model

Background

In 2013, the Utah Legislature provided \$1 million in one-time funds to incent Utah System of Higher Education (USHE) institutions to meet specific performance metrics that aid college completion. These metrics were subsequently adopted by the Board of Regents and funding was awarded to institutions based on their performance on the metrics. Similarly, in 2014, the Legislature provided 1.5 million in one-time money for performance funding. Metrics were adopted by the Board and funding will be allocated to institutions based on their performance in July 2015.

There is continued strong interest, by Senator Steve Urquhart and others in the legislature, in using a portion of new state funding to provide incentives for performance on measures related to student success. In the spring of 2014 the Commissioner appointed a working group chaired by President Charles Wight, Weber State University, and including President David Pershing of the University of Utah and President Scott Wyatt of Southern Utah University, to develop a new performance funding model. This working group considered models in other states as well as guiding principles articulated by the Commissioner. In September 2014, the working group provided a draft to the Commissioner, who then worked with them to make a few modifications and refinements. The revised draft was presented to the Council of Presidents on October 28, 2014 and received their support.

On September 26, 2014, the Board of Regents included \$5 million for Performance Funding in the Utah System of Higher Education 2015-16 Budget Request to the Governor and the Legislature. It is proposed the new model, supported by the institutional presidents and the Commissioner, be used to implement any performance funding appropriated during the 2015 legislative session.

Issue

The proposed new Performance Funding Model is described in the attached document. Its purpose is to provide a plan that, using new increments of state tax funds, "will incentivize each institution within USHE to improve the quality, access and affordability of higher education in Utah."

Under this model, funding will be allocated to institutions based 50% on their share of USHE graduates, and 50% on their share of USHE state tax funding. This provides a further incentive for increasing each institution's share of graduates in the system, while also taking into account higher cost programs. Institutions will receive a share of the funding allocation based on performance on the established metrics. Funds not distributed will be redistributed to institutions based on their success on the identified metrics.

It is proposed that three common metrics be used for all USHE institutions; each institution will select either one or two additional metrics from a list of options provided in the plan. (A president may propose for approval of the Commissioner to substitute a unique metric of comparable rigor). With one exception, the metrics are aimed at bringing institutions to "best in class" performance as defined as the top quartile (75 percent or better) of their national Carnegie peers with the goal of improving at least 10 percent annually toward "best in class." The one exception to using national comparisons is the metric encouraging institutions to develop a meaningful graduation plan for each student since national comparisons are not available; however, this does reflect best practices as described by Complete College America.

The three proposed system-wide metrics are:

1. Completion as measured by percent students (as reported by IPEDS) graduating within 150 percent of time to degree or certificate.
2. Improvement in the percent of FTE students who have signed, by the end of their first semester, a meaningful plan leading to their graduation.
3. Access as measured by the percentage of degree-seeking undergraduate students with Pell grant support.

Proposed options for institutional-specific metrics are:

1. Affordability as measured by average tuition and fees collected per FTE student as compared to (that is, lower than) their peers.
2. First-to-second year student retention for full-time and part-time students.
3. Percent of students successfully completing a math course leading to successful degree completion or transfer in the first semester.
4. Degrees/certificates awarded per FTE student.
5. Average wage earned by Career and Technical Education graduates (certificates and associate degrees).
6. Transfer Conversion Rate—successful transfers resulting in a degree within 150 percent of time (for community colleges).
7. Research funding per faculty member (for research universities).
8. Graduate degrees awarded per tenured faculty member (for research universities).

Assuming funding is provided by the 2015 legislature, institution-specific goals and allocations will be presented to the Board of Regents for approval in July 2015. For the first year, funds will be allocated to institutions on a one-time basis to assist them in preparing to meet system and institutional goals.

Commissioner's Recommendation

The Commissioner recommends the Regents approve the performance funding model as included in the attached document.

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David L. Buhler  
Commissioner of Higher Education

DLB  
Attachment

# **Proposal to Utah Board of Regents Performance Funding Model November 5, 2014**

## **Vision**

- Create and implement a Performance Funding (PF) Plan that, with new increments of state tax funds, will incentivize each institution within USHE to improve the quality, access and affordability of higher education in Utah.

## **Guiding Principles**

- PF Metrics: three in common across all USHE institutions; one unique to each USHE institution
  - For the institutional unique metric, either:
    - One or two unique metric(s) selected by the president from an approved list of possibilities.
    - One of two unique metrics may be recommended by a president and approved by the commissioner.
  - Wherever possible, the metrics should be based on existing, nationally reported measures that are already tracked (e.g., IPEDS) rather than developing new metrics unique to this model.
  - Proposed metrics will be presented to the Board of Regents for approval on an annual basis.
- PF Metrics-Comparisons: Performance metrics should be compared with peer sets from Carnegie or other national comparison data sets, rather than between USHE institutions.
  - Ideally, performance metrics should also help presidents encourage strategic changes at their own institution.
- PF Goal: The Goal is to earn Best-in-Class (top quartile) status ranking as compared to the peer benchmark. In this manner, PF should clearly reward educational quality and access.



- Peer benchmarks and Best-in-Class (top quartile) will be determined and locked-in for three years. At the end of three years they will be evaluated and either continued or updated.
- Performance Funding Distribution: Once an institution receives an allocation of PF Funding for achieving a goal, those funds will become on-going base funds, allowing institutional improvements to be made permanent, including through the hiring of permanent faculty and staff. Allocation of funding by the Commissioner's Office for each institution will be based 50/50 on the institution's share of USHE graduates and of state tax funds.
  - Presuming Performance Funding dollars are appropriated during the 2015 Legislative Session, funds for FY 2016 will be awarded as follows:
    - Award the PF funds on a one-time basis to all USHE institutions immediately after July 1, 2015.
  - Set USHE institution-specific goals for FY 2016 ongoing funds that are Regent-approved in the July 2015 Regents meeting
  - Depending on Goal Achievement, allocate on-going funds to the USHE institution base budgets beginning with July 1, 2016.
    - The institutional allocations will be divided equally for each institution among the four/five metrics.
    - Funds awarded will be based on the portion of each goal met; i.e., if an institution reaches 50% of goal one, it receives 50% of the allocation for that goal; if 100% of goal two, it will receive 100% of the allocation for that goal, etc.
  - For any funds NOT earned by a USHE institution in a given year:
    - To account for one-year anomalies and to further encourage performance the 1<sup>st</sup> year, the funds not earned go to the other USHE institutions on a one-time basis based on goals met.
    - 2<sup>nd</sup> year - funds are still available to the "original" institution to be earned as on-going base dollars, & if not earned, are then provided to the other USHE

institutions (based on goals met) on a one-time basis.

- 3<sup>rd</sup> year - funds not earned by the original institution in the 2<sup>nd</sup> year are then added to the available pool of PF funds available for allocation to all USHE institutions.

## Incentive Concept

- Financially reward institutions for moving toward **Best in Class** performance (the top quartile - 75<sup>th</sup> percentile or better) of their national peers
  - The objective each year (as applicable) will be to move the selected metrics up at least 10% of the way from current performance to the Best in Class performance level (75<sup>th</sup> percentile).
  - Once an institution reaches the Best in Class level for a particular metric the institution should continue to be rewarded each year for maintaining excellence.
  - In the event that an institution does not make the full 10% change goal in a particular year, fractional credit will be given.

*Example: If a USHE institution's graduation rate in the prior year was 40% and the Best in Class mark is 60%, then the one-year improvement goal is 2.0% (covering 1/10 of the gap). If the institution meets or exceeds the one-year improvement goal, it receives the maximum credit toward performance funding. If it achieves only 65% of its one-year goal, it receives 65% of the maximum credit toward performance funding.*

## Evaluation Metrics

- USHE leaders will develop a list of three common metrics, which characterize high performing educational institutions with different missions. Each USHE institution will also have one or two institution-specific metric(s).
  - In each case, Best in Class (top quartile) performance will be documented for national peer public-university groups.

- The Commissioner, Presidents and Regents will agree on the three common metrics for the entire system. Individual presidents will then choose one or two additional for their own institution.
- It is proposed the three system-wide metrics shall be:
  - 1) Completion as measured by percent of students (first-time/full-time as reported in IPEDS) graduating within 150 percent of time to degree or certificate (e.g., six years for a baccalaureate, three years for an associate's degree).
  - 2) Improvement in the percent of FTE students who have signed, by the end of their second semester, a meaningful plan leading to graduation (certificate or degree completion).
  - 3) Access as measured by the percentage of degree-seeking undergraduate students with Pell grant support.
- Institutional presidents shall select one or two institution-specific metrics from the following list. With the approval of the Commissioner, Presidents may select as one of their metrics something not listed that is of comparable rigor.
  - Affordability as measured by average tuition and fees collected per FTE student (as compared to (lower than) peers)
  - First to second year student retention for full-time and part-time students
  - Percent of students successfully completing in their first semester a math course that will advance their progress toward degree completion or transfer.
  - Degrees/certificates awarded per FTE student
  - Average wage earned by Career and Technical Education graduates (certificates and associate degrees)
  - Transfer Conversion Rate--successful transfers resulting in a degree within 150 percent of time (for community colleges)
  - Research funding per faculty member (for research universities)
  - Graduate degrees awarded per tenured faculty member (for research universities)