STATE BOARD OF REGENTS
UTAH STATE UNIVERSITY
TAGGART STUDENT CENTER
THURSDAY/FRIDAY SEPTEMBER 17/18, 2015

AGENDA
Thursday September 17, 2015

12:00 – 1:00 PM	LUNCH Location: East Ballroom
1:00 – 3:00 PM	COMMITTEE OF THE WHOLE Location: West Ballroom

1. Presentation of State Funded Capital Development Projects
2. Presentation of Non-State Funded Capital Development Projects

6:00 PM	Dinner for Regents and Presidents Location: Performance Hall

AGENDA
Friday September 18, 2015

8:00 – 9:20 AM	BREAKFAST MEETING – STATE BOARD OF REGENTS, UTAH STATE UNIVERSITY BOARD OF TRUSTEES, PRESIDENT ALBRECHT, COMMISSIONER BUHLER Location: Alumni House
9:20 – 9:30 AM	TRANSITION BREAK
9:30 – 10:30 AM	INFORMAL DISCUSSION (PRESIDENTS & REGENTS) Location: Alumni House
9:45 – 10:30 AM	CONTINENTAL BREAKFAST – ALL Location: East Ballroom
10:30 AM – 12:00 PM	MEETINGS OF BOARD COMMITTEES

ACADEMIC AND STUDENT AFFAIRS COMMITTEE
Regent Robert W. Prince, Chair
Location: Center Colony 221

ACTION:

1. Southern Utah University – Master of Music in Music Technology with Emphases in Performance Technology and Studio Technology TAB A
2. Policy R401, *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports* TAB B

CONSENT:

Please see the General Consent Calendar at TAB T.

INFORMATION:

1. Institutional Completion Update: Utah State University TAB C
2. Utah Scholars Initiative Annual Report TAB D
3. StepUP to Higher Education Website Update TAB E
4. The New College Guide TAB F
5. Benchmarks for Graduate Level Programming TAB G

FINANCE/FACILITIES COMMITTEE
Regent Robert S. Marquardt, Chair
Location: Senate Chambers 336

ACTION:

1. Utah State University – Campus Master Plan TAB H
2. Revision of Policy R541, *Management and Reporting of Institutional Investments* TAB I
3. University of Utah – Endowment Pool Investment Guidelines and Implementation Strategy TAB J
4. University of Utah – Rio Mesa Center Property Gift TAB K
5. University of Utah – Red Butte Garden Horticulture Compound TAB L
6. Utah Valley University – Autism Building and Basketball Practice Facility TAB M
7. USHE – 2016-17 Operating Budget Request TAB N

INFORMATION:

1. Programming and Design of USHE Facilities Prior to Funding TAB O
2. Follow-up Audit of Higher Education's Management Practices for Operation and Maintenance Funding TAB P
3. University of Utah – Report on Savings Accrued from Consolidation into the General Revenue Bond System TAB Q
4. USHE – 2014-15 End-of-Term Enrollments TAB R
5. USHE – Annual Report of Foreign Gifts and/or Donations to USHE Institutions TAB S

12:00 – 12:45 PM LUNCH
Location: East Ballroom

12:00 – 12:45 PM PHOTOGRAPHS FOR NEW REGENTS
Location: East Colony 223

1:00 – 1:30 PM STATE OF THE UNIVERSITY – PRESIDENT ALBRECHT
Location: West Ballroom

1:30 – 3:00 PM COMMITTEE OF THE WHOLE
Location: West Ballroom

1. Oath of Office (Steven Lund)
2. General Consent Calendar TAB T
3. Approval of Calendar for 2016-17 Board of Regent Meetings TAB U
4. USHE – Institutional State Funded Capital Development Projects for 2016-17 TAB V
5. USHE –Institutional Non-State Funded Capital Development Projects and Land Bank Requests for 2016-17 TAB W
6. USHE - 2016-17 Operating Budget Request TAB N
7. Reports of Board Committees

3:00 – 4:00 PM EXECUTIVE SESSION (if needed)
Location: Center Colony 221

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.

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Southern Utah University – Master of Music in Music Technology with Emphases in Performance Technology and Studio Technology

Issue

Southern Utah University (SUU) requests approval to offer a Master of Music (MM) in Music Technology with Emphases in Performance Technology and Studio Technology effective January 1, 2016. The institutional Board of Trustees approved the degree on June 11, 2015.

Background

The emergence and rapid growth of digital technologies has impacted the music industry in significant ways in the new millennium. Accordingly, SUU's proposed MM in Music Technology is in response to the need for professional musicians to possess a much higher level of technological competence than is found in many traditional collegiate programs. The proposed degree is designed for music performers, educators, and composers who wish to use technology to enhance/expand their current skills and for technicians in the music profession, or those who aspire to work as music technicians, to expand their knowledge of current platforms. Students would be able to enter the program in fall, spring, or summer, and it would be possible to complete the degree over the span of one full year.

The proposed MM in Music Technology is a 30-credit, online degree, consisting of 18 credits of core courses, 10 credits in an emphasis area, and 2 credits of in-program electives. Students with little or no experience in music technology would be required to take an additional 2 credits of preliminary/foundational coursework. The curriculum was developed with input from a Professional Advisory Committee comprised of music technology professionals and higher education partners from Utah and California, as well as a review of model programs offered at other institutions. The SUU Department of Music is a member of the National Association of Schools of Music (NASM), so the proposed MM in Music Technology was also developed in accordance with NASM standards and would, eventually, be formally reviewed by NASM.

In preparation for the MM in Music Technology, SUU hired a full-time faculty member to coordinate development of the proposal and oversee the anticipated degree program. Other full-time SUU music faculty have been identified to teach selected courses in the proposed MM in Music Technology, and

several music industry professionals with specific expertise have been or will be secured to teach part-time in the program. While some of the anticipated part-time faculty do not hold advanced degrees, the SUU proposal references NASM guidelines that provide for highly-qualified practitioners (who may or may not hold academic degrees) to serve in faculty positions if their experience, education, and expertise equate to at least a master's degree.

While baccalaureate programs in commercial music/music business/music technology have been launched in recent years at Snow College, Utah State University, and Utah Valley University, there is no graduate degree in music technology offered in the Utah System of Higher Education (USHE). As such, student interest in SUU's proposed MM in Music Technology is expected to be high. Working music professionals are likely to have interest, as well. Job growth for musicians and technicians is projected to be modest (5-9%) from 2012 to 2022, but it is felt a degree in music technology will advantage graduates seeking employment as composers, copyists, private teachers, producers, software developers, studio musicians, technicians, etc.

Policy Issues

The proposed degree has been developed and reviewed in accordance with processes established by Southern Utah University and the Board of Regents. The USHE Chief Academic Officers and appropriate faculty have reviewed and are supportive of SUU's request to offer an MM in Music Technology. Comments provided by other USHE institutions spoke to the appropriateness of the curriculum, appeal of the online degree format, qualifications of the SUU music technology faculty, opportunities for graduates of other USHE music technology-related baccalaureate programs, and potential for success. Questions regarding the curriculum and online format were addressed in detail by SUU. There are no additional policy issues relative to the approval of this program.

Commissioner's Recommendation

The Commissioner recommends the Regents approve the request by Southern Utah University to offer a Master of Music in Music Technology with Emphases in Performance Technology and Studio Technology.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GVB
Attachment

Program Description
Southern Utah University
Master of Music in Music Technology

Section I: The Request

Southern Utah University (SUU) requests approval to offer a Master of Music (MM) in Music Technology with Emphases in Performance Technology and Studio Technology effective January 1, 2016. The institutional Board of Trustees approved the degree on June 11, 2015.

Section II: Program Description

Complete Program Description

The proposed Master of Music in Music Technology is a 30-credit hour program designed to prepare graduates to work in the music profession. The coursework will be delivered entirely online, using a mixture of text, still images, audio podcasts, video webcasts, and regular, live interaction with faculty through the use of videoconference and desktop project-sharing technologies. The curriculum and proposed schedule are such that student cohorts will be able to begin study in the program at the start of the fall, spring, or summer semesters, and the program can be completed in the span of one full year.

The degree program is designed for two groups of working musicians: (1) those who wish to use technology to enhance and expand their current skillset as a performer, educator, or composer and, thus, increase their employability; and (2) those who wish to work (or are already working) as technicians in the music profession and wish to expand their knowledge of the platforms currently in use. To serve these two groups, all students enroll in core courses in music technology and then choose a study emphasis – Performance Technology or Studio Technology – as they determine which will better prepare them for employment in their chosen field. All students in the program will complete a capstone project showing mastery and synthesis of skills learned in their area of study, and will have the opportunity to work in preparation of that capstone project with an academic and professional mentor.

Purpose of Degree

It is the purpose of this degree to provide students with both the core and advanced skills in music technology necessary to be successful in a wide range of musical endeavors, particularly as they relate to employment as musicians. This degree is born out of necessity; students who graduate from traditional music programs that provide no training or background in music technology often find themselves at a competitive disadvantage. A traditional Bachelor of Music degree in performance, for example, typically provides outstanding training in the musical skills, techniques, and theoretical knowledge that are critical to the development of a student as a musician. However, these programs typically offer very little or no training in how to actually become a professional musician: how and where people work, the equipment that they use in their work, and workflow between musicians and other artists and craftsmen in the production of larger-scale projects, such as films, video games, or live performances that infuse significant music technology. Students who come from traditional programs such as these will most likely choose to enroll in the Performance Technology emphasis. This track is specifically geared toward students who have a great deal of musical training, but little training in music technology.

For students who are graduates of programs with music technology as a significant part of the curriculum, the choice of emphasis would likely be Studio Technology. This track is designed to provide a more in-depth and narrowly-focused study of specific platforms that were likely only touched upon during baccalaureate study. In the case of both emphases, the curriculum for the degree provides students with training on the tools used by commercial musicians, including hardware and software platforms, web-based delivery systems, and technology used for business applications. In short, it is the purpose of this degree to prepare students to begin work as professional musicians. For this reason, Southern Utah University is proposing that this be a Master of Music program, rather than a Master of Arts or other degree. The MM is the professional music degree and, in this case, will provide the necessary depth of study and musical and technological rigor to prepare graduates to be competitive in the music profession.

Institutional Readiness

As part of the most recent accreditation visit to SUU by the National Association of Schools of Music (NASM), the accreditation team report cited a “stunning lack” of music technology in the music department curriculum. The SUU music department has taken this criticism to heart and has determined it will turn a program weakness into a program strength. Significant changes have been made to do just that, including the addition of new coursework in music technology for both music education and performance majors in the undergraduate curriculum. A music technology lab and recording and post-production facilities were approved by the university administration for the support of both the undergraduate and graduate programs to be ready in summer 2015.

The addition of the MM in Music Technology will have little impact upon the existing administrative structures of the Department of Music. The Department Chair will oversee the degree by organizing course schedules, assigning faculty to the courses, and calculating faculty loads, with significant assistance and input from the Area Coordinator for music technology, who will also advise students on course schedules and program navigation. These duties are already performed by both the Department Chair and the Area Coordinator for undergraduate students, and the addition of graduate students will not add any undue burden.

Faculty resources are currently available to offer this degree. The new, full-time faculty member in music technology will act as Area Coordinator for the degree and teach 4-6 credit hours each semester in the program. Other full-time faculty will teach performance, theory, and history courses, while the remainder of the courses will be taught by newly-appointed adjunct faculty who are specialists in the field of study.

Departmental Faculty

Department Faculty Category	Dpt Faculty Headcount – Prior to Program Implementation	Faculty Additions to Support Program	Dpt Faculty Headcount at Full Program Implementation
With Doctoral Degrees (Including MFA and other terminal degrees, as specified by the institution)			
Full-time Tenured	9	1	10
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured	4	1	5
With Master's Degrees			
Full-time Tenured	1		1
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured	7	2	9
With Bachelor's Degrees			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured		6	6
Other			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Total Headcount Faculty in the Department			
Full-time Tenured	10	1	11
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured	11	9	20
Total Department Faculty FTE *(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.")*	13.07	3.63	16.70

Staff

SUU already has significant resources among the staff for assistance with and support of online education. For this reason, current staff and administration are sufficient for offering the degree.

Library and Information Resources

Current library holdings are sufficient for the degree. SUU has 9,257 musical scores for study purposes, divided nearly evenly between vocal and instrumental, over 5,000 works about music, and nearly 2,000

works on music teaching and instruction. There is also access to thousands of recordings from the SUU collection and through the Naxos music library. Other resources are available through eBooks and interlibrary loan. Each year, SUU adds to the collection through budget allocations to the music department specifically for library resources, aiding in keeping the collection current.

Admission Requirements

When applying for the program, the prospective students will need to:

1. Be successfully admitted to the Graduate School at SUU;
2. Provide transcripts showing a baccalaureate degree in music or a baccalaureate degree in a field that supports graduate study in music technology (subject to approval by Area Coordinator);
3. Submit audio or video recordings (in physical or online form) that show the applicant's current skill level as a performer, composer, and/or technologist;
4. Submit a résumé and written Statement of Purpose.

All applicants will be approved by the Music Technology Area Coordinator in conjunction with the Professional Advisory Committee.

Student Advisement

Students in the MM in Music Technology program will receive advisement from the Music Technology Area Coordinator. In addition, student academic progress will be supervised by music faculty on a regular basis.

Justification for Graduation Standards and Number of Credits

The 30-credit hour requirement for the proposed Master of Music degree falls within the state guidelines for master's degrees, as well as National Association of Schools of Music (NASM) guidelines for credits in a Master of Music program.

External Review and Accreditation

As required by NASM standards for degrees in the music profession, the SUU music department has convened a Professional Advisory Committee comprised of educators and professionals in the areas of performance technology, studio technology, and music business technology. This committee includes:

<u>Performance Technology</u>

- Dan Anderegg: composer, keyboardist, video editor, *Grey's Anatomy*
- Sam Cardon: Emmy Award-winning composer, producer, BYU-TV, Orem UT
- Rich Dixon: guitarist, producer, 3-time winner of Utah Studio Musician of the Year, product representative for DOD Electronics, Lehi UT
- Emannuel Fratianni: video game composer and principal conductor of the multimedia performance piece *Video Games Live*, Los Angeles CA
- Nick Fryman: composer/arranger for Royal Caribbean, Carnival, Celebrity and Disney cruise lines, Los Angeles CA

- Tommy Tallarico: video game composer and creator of the integrated media performance piece *Video Games Live*, Los Angeles CA

Studio and Live Sound Technology

- Michael Green: chief engineer, MetCom Studios, Salt Lake City UT
- Nicholas Greer: owner, Nick Greer Music, Orem UT
- Frank Stearns: owner, Mars Audio Studios, Cedar City UT
- Mark Stephenson: owner, MAS Productions, Clearfield UT
- Scott Wiley: owner, June Audio Studios, Provo UT

Music Business Technology

- Ted Hinckley: owner, EMH Classical Music, represented worldwide by Warner/Chappell music libraries; music staff for more than 30 feature-length films; faculty, Snow College, Ephraim UT
- Kathy Steadman: owner, KS Video Editing, and producer of dozens of large-scale performance and television events, Carlsbad CA
- Dick Wells: singer/songwriter and studio singer with more than 50 full-length film scores to his credit and member of SAG/AFTRA administration, Los Angeles CA

Higher Education Faculty Partners

- Dr. Vance Larsen: chair, Horne School of Music at Snow College, and part of development team for Bachelor of Music in Commercial Music
- Dr. Marden Pond: owner, Marden Pond Music; faculty, Utah Valley University; freelance composer and technology educator, Salt Lake City UT

The proposal for the Master of Music in Music Technology includes the necessary courses as outlined by NASM guidelines. No additional consultation from NASM was received, however the proposed course of study has been compared to MM degrees in Music Technology offered at other institutions, and the curriculum is consistent with these offerings. NASM will review the program in the summer and fall of 2015 prior to its going into effect. SUU has a long-standing accreditation from NASM, and this degree will not advance without NASM approval.

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
Data for Proposed Program						
Number of Graduates in Proposed Program	X	10	15	20	25	30
Total # of Declared Majors in Proposed Program	X	15	30	45	45	45
Departmental Data – For Proposed Program						
Total Department Faculty FTE *(as reported in Faculty table above)*	13.07	14.69	16.45	16.70	16.70	16.70
Total Department Student FTE *(Annualized FTE)**	117.8	140.3	162.8	167.3	167.3	167.3
Student FTE per Faculty FTE *(ratio of Total Department Faculty FTE and Total Department Student FTE above)*	9.01	9.55	9.90	10.02	10.02	10.02
Program accreditation-required ratio of Student FTE/Faculty FTE, if applicable: NA						

**This program will function on a tri-semester basis (fall, spring, summer), so the figures here represent annualized FTE.*

Expansion of Existing Program

The Master of Music in Music Technology is a new degree program, but is the second graduate degree program in music at SUU (the other being a Master of Music Education degree).

Section III: Need

Program Need

The music profession has seen significant change in methods of production, distribution, and teaching over the past fifteen years. These changes have come as a result of extraordinary advancements in personal computer software, hardware, and the Internet. Music is an integral part of the entertainment industry in the United States, with revenues in 2013 exceeding $16.5 billion. These revenues come from a variety of traditional sources, including music recording, physical music sales (CDs, tapes, records), concert revenues, licensing, and broadcast, but also from a very large number of revenue streams that did not exist ten years ago, including digital downloads, ringtones, and streaming.[1]

[1]Fanner, Eric. *Music Industry Sales Rise, and Digital Revenue Gets Credit*. The New York Times. On the Internet, http://www.nytimes.com/2013/02/27/technology/music-industry-records-first-revenue-increase-since-1999.html?_r=0

It is clear that for the training of a contemporary musician to be complete, the student must receive a strong training in the traditional core skills, but that a greater emphasis must also be placed on use and mastery of the new tools available for use. For this reason, the proposed Master of Music in Music Technology will have a focus that is practical, applied, and occupational.

In his article, *The Coming Melt-Down in Music Higher Education*, music educator and critic David Cutler of the Duquesne University Center for Music Entrepreneurship Studies suggests that this focus might be critical to the future of music education in general:

> As we have witnessed in the recording, automobile, and housing sectors, past formulas for success may not last forever. Industries that fail to adapt to current realities are often unsustainable . . . Over the coming decades, the music schools that thrive will be those that differentiate their offerings, cultivate entrepreneurial leaders, and best prepare students for professional realities.[2]

With this degree, SUU seeks to prepare students for the professional realities that face them. Graduates of the proposed program should have greater success in both finding and sharing their own unique voice with the world. Graduates with a mastery of the pre-production, production, and distribution platforms used in the realm of digital music will enjoy a substantial technical and artistic advantage over musicians without these skills. Training students in these skills meets a need not currently served by any other Utah System of Higher Education institution at the graduate-degree level.

Market Demand

Since the start of the new millennium, perhaps no industry has undergone more changes than the music profession. Dramatic shifts have been seen in every aspect of the business, from talent development to production and post-production to marketing and distribution. This state of evolution has rendered previous models of the music profession obsolete and, in nearly every way, unrecognizable from those used in past decades.

Much of this change is due, either directly or indirectly, from the significant increase in the use of digital technologies that now pervades every aspect of the music business. As the industry has been evolving, higher education has been slower to recognize these changes for what they are: a completely new way of thinking about making a living as a musician. Industry forces will necessitate that the next generation of professional musicians has a much higher level of technological competence than the current level of training provides. Degree programs of this type are an attempt to recognize the realities of the market within higher education.

Labor Market Demand

For students in the Performance Technology emphasis, the job outlook points to both keen competition and the professional advantage enjoyed by those with the ability to use technology. According to the U.S. Department of Labor, Bureau of Labor Statistics, employment of musicians is expected to grow (5%) from 2012 to 2022, slower than average for all occupations. Digital downloads and streaming of performances

[2]David Cutler. *The Savvy Musician*. On the Internet at http://www.savvymusician.com/blog/2010/10/the-coming-melt-down-in-music-higher-education/

make it easier for fans to listen to recordings and view performances. Easier access to recordings gives musicians more publicity and grows interest in their work, and concertgoers may become interested in seeing them perform live.[3] Although the job outlook is not particularly strong at this time for performers, it does not change the fact that many college students continue to choose this as their career path and as their chosen field of study. This reality, coupled with the lack of technology training found in most traditional music programs, creates a gap between college/university training and the workforce. The proposed degree program will help close that gap and be particularly helpful for students seeking employment as performers due to its focus on music production and distribution.

Students choosing the Studio Technology emphasis will find the job outlook to be better. According to the U.S. Department of Labor, Bureau of Labor Statistics, employment of broadcast and sound engineering technicians is projected to grow 9% from 2012 to 2022, about as fast as average for all occupations. Growth is expected to stem from businesses, schools, and radio and television stations seeking new equipment to improve their audio and video capabilities.[4] Because of the size and complexity of the modern music profession, many opportunities exist for employment for those completing the Studio Technology emphasis of the proposed degree (and very likely for graduates of the Performance Technology track, as well).

An abbreviated list of these jobs includes: music recording and production; film, television, or game production; live event production; music supervisor for film or television; technician or sales representative for music retailers or software/hardware developers.

Members of the Professional Advisory Committee have served in these capacities and recognize the value to prospective employers of the type of advanced training that this degree will provide. Prospective students in the degree program also recognize this added value to their current level of training. Responses to an SUU survey indicated strong agreement (83%) with the statement "Potential employers would be likely to respond positively to employees with a graduate degree in Music Technology."

Student Demand

The pool of potential students for this program is significant. With the two available study emphases, the degree is an excellent fit for graduates of both traditional baccalaureate programs (which typically contain little or no music technology in the curriculum) and graduates from commercial music baccalaureate programs (which typically have some significant technology training as part of the curriculum).

To get a sense of the level of student interest within the state of Utah, surveys were administered to 103 current upperclassmen and recent music graduates from all USHE institutions offering baccalaureate degree programs in music, including the University of Utah, Utah State University, Utah Valley University, Weber State University, Dixie State University, Snow College, and Southern Utah University. Because the survey was available online, interested students from non-USHE institutions also responded, including Brigham Young University campuses in Provo, Laie HI, and Rexburg ID; Arizona State University; and the

[3]Bureau of Labor Statistics, U.S. Department of Labor, Occupational Outlook Handbook, 2014-15 Edition, Musicians and Singers, on the Internet at http://www.bls.gov/ooh/entertainment-and-sports/musicians-and-singers.htm (visited 2/3/15).
[4]Bureau of Labor Statistics, U.S. Department of Labor, Occupational Outlook Handbook, 2014-15 Edition, Broadcast and Sound Engineering Technicians, on the Internet at http://www.bls.gov/ooh/media-and-communication/broadcast-and-sound-engineering-technicians.htm (visited 2/3/15).

Berklee College of Music in Boston. Potential students were found to be highly interested in the program, with 81% of respondents stating they thought it likely or very likely that a master's degree program in music technology would be beneficial to them in pursuing their musical career, and 82% of students answering they would be interested or very interested in enrolling in the program if it were available today. The value of the program in enhancing a musician's current skills was strongly supported, with 89% of respondents indicating this degree would be very likely or likely to enhance what they already do as musicians. Offering this program entirely online was also strongly recognized, with 80% of the survey respondents indicating online delivery as being likely or very likely to have a positive impact on their decision to enroll.

Students or recent graduates from natural "feeder" programs at Snow College and Utah Valley University showed a very high level of interest in the degree, with 90% of respondents indicating either strong or very strong interest in enrolling as soon as the degree is available. Perhaps most telling of all the responses was the optional field for respondents to leave their name and email address so that they could receive additional information; more than 70 respondents did so. (Complete survey results are available upon request.)

It is important to note that the development of the new baccalaureate programs in commercial music within the Utah System of Higher Education (USHE) has led to significant changes in enrollment at the institutions implementing them. Particularly worth mentioning is the growth and development of the music program at Snow College. The music program there currently has more than 235 majors, which makes the program the fourth largest in the state by enrollment, despite the fact that Snow College itself has by far the smallest enrollment in USHE. Music majors make up nearly 7% of the entire enrollment at Snow College, a dramatically higher percentage than is seen at sister institutions. The rapid growth in enrollment is due entirely to the decision to establish the first four-year degree program in the College's history in commercial music.[5]

Students graduating from programs like the one at Snow and elsewhere recognize the value of technology training in creating additional revenue streams and in maximizing their primary musical skillsets. These students and others like them throughout the country and worldwide will be the primary drivers for change in music higher education and will populate programs of the type proposed here.

Similar Programs

The curriculum for this program has been modeled after a number of existing programs throughout the United States and abroad, particularly:

- The Mary Pappert School of Music at Duquesne University, Pittsburgh PA
- The Steinhardt School of Music at NYU, New York NY
- The Academy of Art University, San Francisco CA
- The University of North Carolina School of the Arts, Winston-Salem NC
- Berklee College of Music, Boston MA and Valencia, Spain
- University of Birmingham, United Kingdom
- The University of Newcastle, Australia

[5]Snow College Office for Institutional Research

These institutions were examined because they contained elements of either structure, curriculum, or delivery method that provided a basis for the development of the proposed SUU MM degree. Specifically:

- The programs at Duquesne University and NYU were studied because they are two institutions that provide graduate degrees in music technology that are accredited by NASM. Curricular structure, degree options (e.g., MM vs. MA), and the balance between the elements of platform-based technology training, music theory, and music history were examined.
- The programs at the Academy of Art University and the Berklee College of Music were studied because their curriculum design is considered to be very current, particularly in regards to platform-based training. These schools, both of them private and for-profit (and neither accredited by NASM), are uniquely attached in many ways to the music industry, and study of them provided a glimpse into industry-based platform and curriculum choices.
- The programs at the University of Birmingham and the University of North Carolina School of the Arts were studied because they used project-based curricula, with an emphasis on professional portfolio development.
- The University of Newcastle was studied because it was one of very few music technology programs at the graduate level that was delivered completely online.

Ultimately, the curriculum design is distinctive and unique to this program, but it is based on instructional frameworks and curricular structures found in these institutions and developed in conjunction with the music profession leaders on the Professional Advisory Committee.

No master's degree program in music technology currently exists in the Utah System of Higher Education. However, there are now a number of programs that offer some music technology training as part of baccalaureate degree programs, notably, Snow College (BM), Utah Valley University (BM), and Utah State University (BA). It is not a coincidence that these institutions have begun to offer such programs in the past three years. It is recognition of both the significant changes in the music profession and the need for higher education to address these changes in order to prepare students to work as musicians.

Collaboration with and Impact on Other USHE Institutions

It is the intent of SUU to work closely with all USHE institutions, and especially those with music technology in the curriculum, to provide both integrated curricular offerings and smooth articulation for students wishing to enter the proposed master's degree program. Faculty members from programs offering degrees in commercial music are serving as members of the Professional Advisory Committee and will offer valuable insight and consultation on the curriculum. The impact of this degree will be positive; it will provide graduates from USHE music degree programs an additional and unique option for graduate study not available elsewhere in the state.

Benefits

This degree will benefit program graduates because it prepares them to work in the music profession in a wide variety of ways, ranging from traditional employment to new entrepreneurial activities. The degree also benefits musicians and the communities in which they reside by improving the economic outlook for the musicians in the area. Based on the changes in the music profession brought about by the personal computer, the Internet, and project-sharing technology, commercial musicians can live virtually anywhere

they choose. Musicians no longer need to reside and work in or near large metropolitan areas in order to make an income sufficient to support a family. While metropolitan areas do provide more traditional performance opportunities, students who work in music technology-related fields, such as copyists, producers, studio musicians, private teachers, software developers, and composers can successfully enjoy their livelihood while living in any of the small communities found in rural Utah and elsewhere. This program will help the economy of SUU's service region by providing students who chose to live and work in rural Utah with the core skills necessary to be successful in a wide range of musical endeavors.

The program will also benefit SUU by establishing a new center of excellence in music technology in the music department. The investment in the faculty and necessary infrastructure to offer this degree will create a new and vibrant graduate program in music, but will also serve to revitalize the undergraduate program by increasing student interest in continuing their studies in the department beyond the baccalaureate degree.

This degree will benefit all institutions in the Utah System of Higher Education by establishing a program that enhances the value of baccalaureate degrees currently offered by all four-year music programs in the state system. The proposed degree will provide students graduating from baccalaureate programs in USHE with additional skillsets and revenue streams to significantly enhance their ability to make a living as musicians.

Consistency with Institutional Mission

According to the institutional mission, SUU will "offer educational experiences typical of private universities with the affordability of public higher education" and "provide outstanding programs of study in the arts and sciences, pre-professional, professional and graduate studies." In addition, the institution is also committed to "contribute to state, regional, and community needs as a social, cultural and economic catalyst."[6] The proposed degree aligns with the mission and goals of the institution, providing a graduate degree in the arts similar to both private and public universities at a substantially lower cost and, because of the online instructional design, at much greater convenience for the working student. The degree will have a positive cultural and economic impact on communities where its graduates reside because they will enrich the cultural fabric of the community while also enjoying the benefits of greater economic opportunity.

Section IV: Program and Student Assessment

Program Assessment

1. Enrollment numbers will be reviewed each semester to monitor achievement of enrollment goals (15 students in year one, 30 students in year two, 45 students in years three, four, and five).
2. Student progress toward program completion will be reviewed each semester to monitor retention and achievement of cumulative graduation goals (10 graduates in year one, 20 graduates in year two, and 30 graduates in years three, four, and, five).
3. Course evaluations and an annual student satisfaction survey will be utilized to assess the effectiveness and usefulness of the SUU program and its effect on student preparedness for a

[6]Southern Utah University, Office of the President. *Mission and Vision*, on the Internet at http://suu.edu/general/president/mission.html (visited 2/10/15).

wide variety of working environments. The results will be used to guide instruction and program delivery and development.

4. The Professional Advisory Committee will annually discuss and assess curriculum efficacy and applicability, and review student satisfaction surveys to make recommendations to the program.

Student Assessment

Students entering the master's program will be expected to have achieved the prerequisite undergraduate learning outcomes listed below:

1. Performance and Musicianship – music graduates will:
    a. Demonstrate technical and artistic performance standards in their area of expertise.
    b. Have a wide range of performance experience of the highest level.
    c. Have a broad knowledge of literature in a wide variety of musical styles.
2. History, Theory, Analysis – music graduates will:
    a. Conceptualize and perform music in its proper historical context.
    b. Be able to analyze harmony and other aesthetic qualities of music.
    c. Be able to research and write cogently about music.
    d. Demonstrate the ability to perceive and understand music aurally.
3. Piano Proficiency – music graduates will be able to:
    a. Play and accompany simple folk songs by ear, in any key.
    b. Transfer theory and skills concepts to the keyboard.
    c. Read at sight at the level of 4-part hymns.
4. Music in Social and Cultural Contexts – music graduates will:
    a. Have an understanding of the role of music in society.
    b. Participate in cultural experiences that will enlarge multicultural understanding.
    c. Possess an understanding of the responsibility of building the audiences of the future.

Achievement of the prerequisite learning outcomes prior to program entry will be assessed through a review of a prospective student's transcript to ensure graduation from a baccalaureate program that meets the above requirements, as well as an entrance placement exam to ensure that remedial work is not needed. Deficient students will either not be admitted or assigned remedial work prior to enrollment.

Students accepted into the MM in Music Technology program will be expected to demonstrate proficiency in the learning outcomes described by the NASM accreditation handbook. Student achievement of the learning outcomes will be measured by written work, completion of assigned projects on both an individual and group basis, and mastery of technological platforms as shown by timed, hands-on examinations. Pre-program and post-program assessments will be compared to review student progress.

More specifically, the learning outcomes will be assessed as shown below:

Learning Outcomes	Assessments
1. Performance and Musicianship	
a. Expanded aural skills abilities, particularly as related to recorded music	Directed and comparative listening, aural skills exams
b. Expanded performance skills, particularly as	Participation in Online Performance Ensemble,

Learning Outcomes	Assessments
related to collaborative performance	performance review
2. History and Theory	
a. Knowledge of Music History on par with graduate-level national standards	Written projects and exams
b. Knowledge of Music Theory on par with graduate-level national standards	Written projects and exams
c. Knowledge of the historical and theoretical aspects of music technology and their impact on composition, performance, business, and sound reproduction	Written projects and exams
3. Technological Mastery	
a. Professional-level mastery of recording platforms used in music profession	Individual and collaborative projects, written and practical exams, project and exam review
b. Professional-level mastery of notation platforms used in music profession	Individual and collaborative projects, written and practical exams, project and exam review
c. Professional-level mastery of music business platforms used in the collection, licensing, copyright, and distribution of music	Individual and collaborative projects, written and practical exams, project and exam review, capstone project and assignment portfolio review
d. Professional-level mastery of technology platforms related to the creation, editing and synchronization of music to video, film, or live performance	Individual and collaborative projects, written and practical exams, project and exam review, capstone project and assignment portfolio review
e. Professional-level mastery of technology platforms related to the reinforcement and recording of live sound	Individual and collaborative projects, written and practical exams, project and exam review, capstone project and assignment portfolio review

Section V: Finance

Department Budget

Please note that there is 5% inflation rate on tuition and 2% inflation rate calculated on salaries in the table below.

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Three-Year Budget Projection *Note: Projected numbers provided below are for the MM program, not the entire Department.*							
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		104,055	104,055	46,951	151,006	8,480	159,486
Benefits		34,103	34,103	10,619	44,722	2,162	46,884
Total Personnel		$138,158	$138,158	$57,570	$195,728	$10,642	$206,370

Expense							
Travel		2,000	2,000		2,000		,2000
Capital							
Library							
Current Expense		6,000	6,000	2,000	8,000		8,000
Total Non-Personnel Expense		8,000	8,000	2,000	10,000		10,000
Total Expense *(Personnel + Current)*		$146,158	$146,158	$59,570	$205,728	$10,642	$216,370
Departmental Funding							
Appropriated Fund		$146,158	$146,158	$59,570	$205,728	$10,642	$216,370
Other:							
Special Legislative Appropriation							
Grants and Contracts							
Special Fees / Differential Tuition							
Total Revenue		$146,158	$146,158	$59,750	$205,728	$10,642	$216,370
Difference							
Revenue-Expense		$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")*			$327		$230		$220

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Funding Sources

This program will be self-supported through additional tuition.

Reallocation

This program is not supported through reallocation.

Impact on Existing Budgets

This program will be self-supported through new tuition and will not impact existing budgets.

Section VI: Program Curriculum

The proposed program is an online, Master of Music in Music Technology. Students in the degree program will complete 30 semester hours of credit, which can be accomplished in one full year, if desired (see Program Schedule). When applying for the program, prospective students must:

1. Be successfully admitted to the Graduate School at SUU;
2. Provide transcripts showing a baccalaureate degree in music or a baccalaureate degree in a field that supports graduate study in music technology (subject to approval by Area Coordinator);
3. Submit audio or video recordings (in physical or online form) that show the applicant's current skill level as a performer, composer, and/or technologist;
4. Submit a résumé and written Statement of Purpose.

All applicants will be approved for admission by the Music Technology Area Coordinator in conjunction with the Professional Advisory Committee.

The application process, and particularly the background at the baccalaureate level and the samples submitted for admission, will largely determine which emphasis a student pursues. The two emphases – Performance Technology and Studio Technology – are designed to provide training for two distinct groups of students:

- Graduates from traditional music programs or those who have little or no experience with music technology and who wish to maximize the investment they made in their baccalaureate degree by learning the necessary technology skills to compete as a professional musician (Performance Technology);
- Graduates from commercial music programs or those who through personal or other training have some significant experience with music technology, and are looking to create opportunities for themselves to work as music technicians (Studio Technology).

Students will have three points of entry into the program: fall semester, spring semester, or summer semester. Students with little or no experience in music technology will be required to take a preliminary/foundational course, MUSC 6180 *Survey of Music Technology*, prior to full matriculation into the program.

The decision to make the program delivery entirely online was based on several different considerations, including:

1. The commitment of Southern Utah University to making master's degree programs that are effective, convenient, and cost-effective for students;
2. The intention that students enrolled in the program should be able to continue to work as professional musicians in their current location while enrolled in the program, so that careers are enhanced and developed, rather than interrupted;
3. The development of technologies that positively facilitate project development from numerous remote locations.

Project-sharing compatible software platforms will form the basis of the online delivery of this curriculum, so that students will not just interact with text and audio/visual components on the webpage, but will be able to work, in real time, on course projects with faculty and fellow students. This will greatly enhance both learning and retention in the program.

Southern Utah University has a number of graduate programs that are delivered either completely or in part through online instruction. These degrees include a hybrid degree in Music Education, an online master's degree in Arts Administration, and an online degree in Education. The institution is committed to providing a very high level of quality in its online programs, and the proposed curriculum for this degree program reflects that commitment. Southern Utah University subscribes to *Quality Matters*, a national organization that serves as a benchmark for quality standards within online education. Because music is, in most cases, a collaborative art form, it is the intention of both the Department of Music and SUU at large to deliver the proposed curriculum with the very highest degree of quality possible, including significant, real-time video and audio interaction between students and faculty, and students and peers.

Program Curriculum

*Preliminary/Foundational Course as needed		2 credits*
MUSC 6180	Survey of Music Technology	2

Required Courses – All Students		18 credits
MUSC 6100	Introduction to Music Graduate Study	2
MUSC 6300	Live Music/Concert Production I	2
MUSC 6320	Audio Recording I	2
MUSC 6350	Music Business Technology	2
MUSC 6550	Digital Music Notation I	2
MUSC 6590	Online Performance Ensemble	1
MUSC 6930	Studies in Music Theory	3
MUSC 6940	Studies in Music History	3
MUSC 6970	Capstone Project Presentation	1

Studio Technology Emphasis		10 credits
MUSC 6310	Live Music/Concert Production II	2
MUSC 6330	Audio Recording II	2
MUSC 6340	Sequencing & Electronic Music	2

MUSC 6370	Music for Film/Video/Games	2
MUSC 6950	Special Topics: Music Studio Technology	2

Performance Technology Emphasis		10 credits
MUSC 6360	Music and Video for Social Media	2
MUSC 6560	Digital Music Notation II	2
MUSC 6570	Music/Video Post-Production	2
MUSC 6580	Music in Multimedia Performance	2
MUSC 6960	Special Topics: Music Performance Technology	2

Elective		2 credits
MUSC XXXX	Choose from program courses not designated as required for selected track.	

Total Credits 30 (32)

Program Schedule – Performance Technology Emphasis

*Preliminary/Foundational Course as needed prior to entry		2 credits*
MUSC 6180	Survey of Music Technology	2

First Semester		10 credits
MUSC 6100	Introduction to Music Graduate Study	2
MUSC 6320	Audio Recording I	2
MUSC 6350	Music Business Technology	2
MUSC 6550	Digital Music Notation I	2
MUSC 6580	Music in Multimedia Performance	2

Second Semester		10 credits
MUSC 6300	Live Music/Concert Production I	2
MUSC 6560	Digital Music Notation II	2
MUSC 6570	Music/Video Post-Production	2
MUSC 6590	Online Performance Ensemble	1
MUSC 6930	Studies in Music Theory	3

Third Semester		10 credits
MUSC XXXX	Elective Course	2
MUSC 6360	Music and Video for Social Media	2
MUSC 6940	Studies in Music History	3
MUSC 6960	Special Topics: Music Performance Technology	2
MUSC 6970	Capstone Project Presentation	1

Program Schedule – Studio Technology Emphasis

*Preliminary/Foundational Course as needed prior to entry		2 credits*
MUSC 6180	Survey of Music Technology	2

First Semester		10 credits
MUSC 6100	Introduction to Music Graduate Study	2
MUSC 6320	Audio Recording I	2
MUSC 6340	Sequencing and Electronic Music	2
MUSC 6350	Music Business Technology	2
MUSC 6550	Digital Music Notation I	2

Second Semester		10 credits
MUSC 6300	Live Music/Concert Production I	2
MUSC 6330	Audio Recording II	2
MUSC 6370	Music for Film/Video/Games	2
MUSC 6590	Online Performance Ensemble	1
MUSC 6930	Studies in Music Theory	3

Third Semester		10 credits
MUSC XXXX	Elective Course	2
MUSC 6310	Live Music/Concert Production II	2
MUSC 6940	Studies in Music History	3
MUSC 6950	Special Topics: Music Studio Technology	2
MUSC 6970	Capstone Project Presentation	1

Section VII: Faculty

The faculty for this program will, of necessity, have a mixture of both traditional academic training coupled with significant professional experience in the area being taught. The latter of these qualifications is perhaps of the greatest importance, as the students in the program will be taught best how to become professionals in the field by those who are, in fact, professionals in the field. Not only will the instruction be more pertinent when taught by current practitioners, but the creation of professional networks between students and faculty will likely also facilitate students finding work in their chosen field. This mixture of both academic and professional training for faculty is consistent with NASM guidelines:

- It is essential that a significant number of faculty members teaching graduate-level courses be active in presenting their work to the public and to peers in their fields as professional composers, performers, scholars, or practitioners.
- NASM recognizes the availability of doctorates for specialists in performance, composition, and some other applied disciplines. At the same time, the Association recognizes that some highly qualified practitioners may hold other academic degrees; others may not hold any academic degrees. In such cases, the institution should base appointments on experience, education, and expertise at least equivalent to those required for the master's degree in music or another appropriate field.

- Academic degrees are a pertinent indicator of the teacher's qualifications for instructing in theoretical, historical, and pedagogical subjects. Creative work, research, and publication are indicators of a teacher's qualifications, productivity, professional awareness, and contribution to various aspects of music and music-related fields.[7]

Because the program will have multiple entry points for students, faculty teaching assignments will overlap so that the necessary courses can be offered in fall, spring, and summer semesters without significantly overburdening any one faculty member.

Full-Time Faculty

Keith Bradshaw, Music Department Chair

- PhD, Composition, University of Minnesota, 1995
- MM, Composition, Brigham Young University, 1990
- BM, Theory and Composition, Brigham Young University, 1986
- Professional composer, arranger, orchestrator, and music engraver
- Composer-in-residence with the Orchestra of Southern Utah
- Teaching Assignment: Studies in Music Theory, Online Performance Ensemble, Special Topics: Music Performance Technology, Capstone Project Presentation

Steven Meredith, Music Technology Area Coordinator

- DMA, Choral Music, Arizona State University, 1995
- MM, Music Education, University of Utah, 1989
- BM, Music Education, University of Utah, 1983
- Apple Certified Pro
- Owner – MeWe Productions
- Multiple Telly Award Winner
- Producer/performer credits: ABC Sports (national), Xena: Warrior Princess and Hercules (syndicated), George of the Jungle (Disney), Fires of Faith (PBS), Josh Groban in Concert, Video Games Live, Star Wars Live, Warner/Chappell Christmas Music Library, Garritan Personal Choir
- Teaching Assignment: Survey of Music Technology, Introduction to Music Graduate Study, Capstone Project Presentation, Music Business Technology, Online Performance Ensemble, Special Topics: Music Performance Technology

Lynn Vartan

- DMA, Percussion Performance with cognate in Music Education and Theater Design, University of Southern California, 2004
- MM, Percussion Performance, University of Southern California, 2000
- BM, Percussion Performance, California State University, Northridge, 1997
- Multiple Grammy Nominations – Classical

[7] National Association of Schools of Music. *Handbook 2014-15, Standards for Accreditation, II.E.1. "Faculty and Staff Qualifications".* NASM, 2014, pp. 61-62

- Multiple Grammy Nominations – Latin
- Teaching Assignment: Music in Multimedia Performance, Special Topics: Studies in Music History, Special Topics: Music Performance Technology, Online Performance Ensemble, Concert Production/Live Sound I

Adjunct Faculty (ready for hire)

Dan Anderegg

- MFA, Film Music Composition, University of North Carolina School for the Arts, 2012
- BM, Piano Performance, University of Utah, 2009
- Editor – Pluralsight, creator, editor and distributor of online education materials
- Owner – MusicNerd Studio
- Academy of Television Arts and Sciences Internship in Music for Television, 2012
- Composition credits: Grey's Anatomy (ABC), Save Me (NBC), Franklin and Bash (TNT), Mistresses (ABC), Surviving Sin City (PBS)
  Teaching Assignment: Music for Film/Video/Games, Music/Video Post Production, Music and Video for Social Media, Special Topics: Music Studio Technology

Nicholas Greer

- Graduate studies, Composition, Brigham Young University, 2006-2008
- BM, Composition, Brigham Young University, 2005
- Copyist/orchestrator credits: Handel's Messiah, (documentary), Cesar's Last Fast, Stuck, The Swan Princess: A Royal Family Tale, World of Warcraft: Warlords of Draenor, A Kurt Bestor Christmas, The Velveteen Rabbit, Forever Strong, Beau Jest, Mormon Tabernacle Choir - (2002-2014 - copyist)
- Teaching Assignment: Digital Music Notation I, Digital Music Notation II, Special Topics: Music Studio Technology, Sequencing and Electronic Music

Ted Hinckley

- BA, American Studies, Brigham Young University, 1999
- Owner – EMH Classical Music (recording library in conjunction with Warner Chappell Music)
- Owner – Edwin Merrill Productions (music production and contracting)
- Full-time faculty – Horne School of Music at Snow College
- Teaching Assignment: Music Business Technology, Survey of Music Technology, Audio Recording I, Music and Video for Social Media, Special Topics: Music Studio Technology

Frank Stearns

- BA, Radio/Television Management and Production, Eastern Washington University, 1981
- Graduate Studies, Ampex Technical Schools
- Owner – Mars Mobile Recording
- Taught audio engineering and live sound at Eastern Washington University

- Live sound credits: World's Fair, Herbie Hancock, Stan Kenton, Roy Orbison, Spokane Opera and Symphony
- Recording credits: 70+ studio albums
- Software developer and technical writer for Hewlett-Packard, Cadrey, Aptec Systems, Mentor Graphics Photon Kinetics, Spacelabs Medical
- Teaching Assignment: Live Music/Concert Production I, Live Music/Concert Production II, Special Topics: Music Studio Technology

Mark Stephenson

- MA, Organizational Management, University of Phoenix, 2000
- BS, Business Administration, University of Phoenix, 1997
- Pro Tools Certified
- Owner – MAS Production Studios
- Major label recording credits: RCA, Warner Bros., Arista, Mercury
- Artists: Rascal Flatts, Jackie Evancho, Michael Martin Murphey, Cori Connors, Mary Kaye, Tyler Perry
- Has been a contributor on independent and major label recordings that have sold more than 70 million units.
- Teaching Assignment: Audio Recording I, Audio Recording II, Notation I, Music Business Technology, Music/Video Post Production, Music and Video for Social Media, Special Topics: Music Studio Technology

Adjunct Faculty (still to be hired)

An additional three adjunct faculty members will be hired, particularly in support of instruction in:

- Sequencing and Electronic Music,
- Audio Recording I, and II
- Live Music/Concert Production
- Survey of Music Technology
- Music and Video for Social Media
- Music for Film/Video/Games

It is not anticipated these positions will be difficult to fill with qualified instructors. Indeed, one of the advantages of the online instruction in this program is that qualified adjuncts may be drawn from a very large geographic area.

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R401, *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports*

Issue

The Commissioner is proposing revising policy R401 language for clarity and consistency. While the marked-up copy suggests there are extensive changes, the substance of the policy remains largely the same and the changes merely reflect a reorganization of the current language for easier access and consistency. In addition to the staff and Chief Academic Officer (CAO) proposed changes, the CAOs requested a review of the templates used to draft R401 proposals. A CAO subcommittee consulted on the latter issue.

Background

The proposed revision of R401:

1. Eliminates duplicative and inconsistent definitions, adds detail where needed, and provides clearer instructions for institutions submitting academic program and administrative unit proposals for Regent approval.

2. Adds Market Demand to the Abbreviated Template so that Certificates of Completion (where market demand data are important for program review) can be completed using that template. Currently, new Certificates of Completion are submitted using a Full Template, but are approved on the General Consent Calendar. New Certificates of Completion will continue to be approved by the Regents on the General Consent Calendar but will now use the revised Abbreviated Template. This change allows for all program types that are approved on the General Consent Calendar to use the Abbreviated Template, a consistent approach that will be more easily managed by the institutions.

3. Removes from the policy the templates Utah System of Higher Education (USHE) institutions use to submit R401 proposals. This will allow for changes to the templates as needed, without full policy revision and Regent action being required. The proposed policy revision specifies: (1) a process by which templates can be changed that includes review by CAOs or their designees; (2)

who approves changes to templates (Commissioner's staff in consultation with the USHE and CAOs); and (3) where templates are located (online). The Office of the Commissioner of Higher Education (OCHE) will move toward writable pdfs or online forms that simplify: (1) the institutional submission process; (2) the OCHE review process; and (3) OCHE's ability to maintain historical record of Regent program and report approvals.

This proposed revision of policy R401 received input from USHE Chief Academic Officers during the 2014-15 academic year. It was reviewed July 30, 2015 by the USHE Chief Academic Officers and has their support. There are no outstanding policy issues.

Recommendation

The Commissioner recommends that the Regents approve the revised policy R401, *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports*.

_____
David L. Buhler
Commissioner of Higher Education

DLB/CMG/JM
Attachments

Utah System of Higher Education

R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports

~~Approved on July 19, 2013~~Proposed on September 18, 2015

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R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports[1]

Preamble[2]: Academic programs are at the center of the educational mission of Utah's state colleges and universities, and the pursuit of knowledge is the driving consideration for the students served. Additionally, the Board of Regents (Regents) and the Utah System of Higher Education (USHE) universities and colleges are committed to providing students with a range of degrees and other credentials that are appropriate to the respective missions of Utah institutions and that meet, if not exceed, national standards.

The procedure of degree approval is rigorous. The idea for a new degree comes from faculty responding to changes in a specific field, accreditation standards, student demand, or market forces. Before academic programs are sent to the Regents for review, they undergo careful scrutiny by academic departments, college or division committees, academic senates, executive officers, and institutional boards of trustees. Thus, institutional and Regents' reviews hold academic programs to high standards of quality and assure that graduates who earn these degrees and credentials are prepared to live successfully in and contribute to the welfare of the State and its citizens.

R401-1. Purpose. To provide guidelines and procedures for Regents' approval and notification of new programs and programmatic and administrative changes in academic and Career and Technical Education (CTE) programs. Additionally, this policy includes notification of discontinued programs and other program-related items that institutions shall provide to the Commissioner of Higher Education.

R401-2. References.

2.1. Utah Code §53B-16-102, Changes in Curriculum

2.2. Policy and Procedures R220, Delegation of Responsibilities to the President and Board of Trustees

2.3. Policy and Procedures R312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles

2.4. Policy and Procedures R315, Service Area Designations and Coordination of Off-Campus Courses and Programs

2.5. Policy and Procedures R350-355, Education Television and Communications Networking

2.6. Policy and Procedures R411, Cyclical Institutional Program Reviews

[1] Approved November 7, 1972; amended September 25, 1973, February 21, 1984, April 27, 1990 and revised and combined with R402 October 27, 2000. [R402 was approved September 10, 1971, amended November 18, 1980, July 19, 1983, March 20, 1984, September 12, 1986, August 7, 1987, October 26, 1990, April 16, 1993, January 21, 1994, May 1, 1997, May 29, 1998, and revised and combined with R401 October 27, 2000.] R401 amended June 1, 2001, November 8, 2002, May 30, 2003~~, May 30, 2003~~, October 19, 2004, December 14, 2007, April 1, 2010, November 18, 2011, November 16, 2012,~~ and~~ July 19, 2013, and September 18, 2015.

[2] The Preamble was adopted by the Chief Academic Officers of the Utah System of Higher Education in September 2004.

2.7. Policy and Procedures R430, Continuing Education/Community Service

2.8. Policy and Procedures R470, General Education, Common Course Numbering, Lower-Division Pre-Major Requirements, Transfer of Credits, and Credit by Examination

2.9. Policy and Procedure R481, Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review

2.10. Policy and Procedures R508, Guidelines for Approving Lists of Comparable Institutions

R401-3. Definitions

~~3.8.~~3.1. ~~Programs and Planning Committee~~**Academic and Student Affairs Committee.** A committee of the Board of Regents responsible for planning and program review.

~~3.1.~~3.2. **Articulation Agreement.** A formal agreement between two or more colleges and universities documenting the transfer policies for a specific academic program or degree. Agreements can cover one, two, or more years of study. ~~All t~~Transfer and articulation agreements between lower- and upper-division programs ~~and largely inclusive of general education courses~~ are discussed and agreed upon at the annual Faculty Discipline Majors' Meetings. Additional transfer and articulation agreements, such as those in Career and Technical Education (CTE), may be developed between and among institutions. If the CTE agreements affect general education transfer and articulation, they should be introduced to the appropriate Faculty Discipline Major's Meeting in order to inform other USHE institutions.

~~3.2.~~3.3. **Chief Academic Officer (CAO).** The person designated~~ed~~ by a USHE institution as its Chief Academic Officer who is responsible for matters related to the academic affairs of the institution.

~~3.3.~~3.4. **Classification of Instructional Programs (CIP) Code.** The code associated with a particular program of study as specified by the USHE institution in concert with the National Center for Education Statistics (NCES) taxonomy of programs.

~~3.4.~~3.5. **Career and Technical Education (CTE).** Designation given to certain programs consistent with state and national Career and Technical Education definitions.

~~**3.5. Graduate Certificate.** A program of study, less than a year in length, made up of graduate level course work, with a pre-requisite of at least a bachelor's degree.~~

~~3.13~~3.6. **Emphasis.** A collection of courses within an Associate of Applied Science, baccalaureate, or graduate ~~D~~degree that give~~s~~ students a specific focus in a particular sub-area related to the identifiable core of courses required for the degree. Emphases must be clearly within the major field of study specified for the degree.

~~4.1.1.1.~~3.7. **Major**. The discipline in which the degree resides.

~~3.6.~~3.8. **Office of the Commissioner of Higher Education (OCHE) .** The Utah Commissioner of Higher Education and his/her staff.

~~3.15.~~3.9. **Program.** As specified in R481-3.10.1, a "program" is a unit within the institution with an identifiable teaching, research, or other academic mission. For a unit to be designated as a "program," it shall have an identified group of faculty and shall fulfill one or more of these criteria: (1) has "program", "center", "institute", "laboratory", "department", "school", or "college" in its title or has otherwise been designated as a program; (2) offers or administers a degree, certificate, or some other credential; (3) has an identifiable curriculum or is formally described in current institutional catalogs or other publications; and/or (4) has a separate budget as listed in official university documents.

~~5.4.~~3.9.1. **Centers, Institutes, or Bureaus.** Administrative entities that perform primarily research, instructional, or technology transfer functions and are intended to provide services to students, the community, businesses, or other external audiences, or to obtain external funds.

~~3.7.~~3.10. **Program Review Committee (PRC).** The Board of Regents' ~~Programs and Planning~~Academic and Student Affairs Committee serves as the PRC and is responsible for academic program review.

~~3.8. **Programs and Planning Committee.** A committee of the Board of Regents responsible for planning and program review.~~

~~3.9.~~3.11. **Utah System of Higher Education (USHE).** A system of public higher education institutions as designated by the legislature within the State of Utah.

3.12. **Academic Awards.** Academic awards range from certificates to doctoral degrees. The following definitions describe common characteristics of each award. In compliance with accreditation, additional requirements and course work may be established by USHE institutions. Academic awards require Regent approval (see R401-4 and R401-5).

~~3.10~~ 3.12.1. **Certificate of Proficiency.** A program of study that prepares ~~a~~ students for gainful employment in a recognized occupation. ~~can be constructed in two ways: (1)~~ ~~l~~Less than ~~a~~one year in length of full-time study. Requires 16 to ~~-~~29 semester credit hours or 600 to ~~-~~899 clock hours. Does not require but may include general education courses. ~~(less than 30 semester hours, or 900 clock hours) ending in a certificate issued under the authority of the institution, not requiring approval by the Board of Regents, or (2) a certificate less than a year in length but between 16-29 semester hours or 600-899 clock hours, meeting federal financial aid requirements, including that the program must provide training that prepares a student for gainful employment in a recognized occupation, and requiring approval by the Board of Regents.~~

3.12.1.1. ~~e~~**Entry-~~l~~Level CTE Certificate.**~~, meeting~~ Meets Perkins eligibility requirements and federal financial aid requirements, and is composed~~made up~~ primarily of ~~mostly~~ 1000-level courses without prerequisites.

3.12.1.2. Mid-Level Certificate. ~~preparing~~ Provides students ~~for~~with a specific set of skills. May meet Perkins eligibility and/or federal financial aid requirements. ~~m~~Made up of courses selected from undergraduate programs, with or without prerequisites.

NOTE: Institutional Certificates of Proficiency less than one year in length (less than 30 semester hours, or 900 clock hours) ending in a certificate issued under the authority of the institution *do not require~~ing~~ approval by the ~~Board of~~ Regents*.

~~For recording purposes Certificates of Proficiency will be classified in one of three classifications when reported through the data office: (CP1) an entry level certificate offered by the institution, not needing Board Approval, (CP2) an entry level CTE certificate, meeting Perkins eligibility requirements and made up of mostly 1000-level courses without prerequisites, or (CP3) a certificate preparing students for a specific set of skills made up of courses selected from undergraduate programs, with or without prerequisites.~~

~~Criteria~~	~~Institutional CP1~~	~~SBR Approved CP2~~	~~SBR Approved CP3~~
~~SBR* Reviewed and Approved~~	~~No~~	~~Yes~~	~~Yes~~
~~Eligible for Financial Aid~~	~~No~~	~~Yes~~	~~Yes~~
~~Must be Designed for Gainful Employment~~	~~No~~	~~Yes~~	~~Yes~~
~~Credit Hours~~	~~Fewer than 30~~	~~16 – 29~~	~~16 – 29~~
~~Clock Hours~~	~~Fewer than 900~~	~~600 – 899~~	~~600 – 899~~
~~Course level~~	~~Undergraduate~~	~~Primarily 1000-1999~~	~~Undergraduate~~
~~May have prerequisites~~	~~Yes~~	~~No~~	~~Yes~~
~~*SBR – State Board of Regents~~			

~~3.11~~3.12.2. **Certificate of Completion.** A program of study consisting primarily of 1000-level courses. ~~and~~ Intended to prepare~~ing people~~ students for gainful employment in a recognized occupation. ~~t~~Typically more than one year and less than two years in length of full-time study. Requires a minimum of ~~(~~30 ~~-~~and a maximum of 33 semester credit hours or 900 ~~-~~to 990 clock hours~~.) approved by the Board of Regents~~ consisting primarily of 1000-level courses. General education requirements are less extensive than in AA and AS degrees, generally 9 credit hours in Composition, Computation, and Human Relations. Certificates more than 45 semester credit hours or 1350 clock hours must show how the certificate can lead to an associate's degree within the normal credit hour requirements for that degree. When appropriate, transfer agreements should be included in the program proposal.

~~4.1.1~~3.12.3. **Associate of Applied Science (AAS) Degrees.** Programs of study that include limited general education, course work in a subject, and are intended to prepare students for entry-level careers. Typically two years in length of full-time study. Require ~~A~~a minimum of 63 and a maximum of 69 semester credit hours. ~~g~~General education requirements are less extensive than in AA or AS degrees, generally 9 hours in

Composition, Computation, and Human Relations. General education courses may be embedded within a course in the discipline, but must be identifiable.

~~4.1.2.~~3.12.4. **Associate of Arts (AA) and Associate of Science (AS) Degrees.** Programs of study primarily intended to encourage exploration of academic options that provide a strong general education component, and prepare students for upper-division work in baccalaureate programs or ~~prepare~~ for employment and for responsible citizenship. Typically two years in length of full-time study. Requires a~~A~~ minimum of 60 and a maximum of 63 semester credit hours, which include 30 to 39 semester credit hours of general education course work.

~~4.1.3~~3.12.4.1. **Specialized Associate's Degrees.** Associate's ~~D~~degrees that include extensive specialized course work, such as the Associate of Pre-Engineering, and are intended to prepare students to initiate upper-division work in a particular baccalaureate program~~s~~. c~~C~~ontain a minimum of 68 and a maximum of 85 semester credit hours, which include a minimum of 28 semester credit hours of preparatory, specialized course work, and general education requirements that may be less extensive than in AA or AS degrees. Because students might not fully complete an institution's general education requirements while completing a specialized associate's degree, they are expected to satisfy remaining general education requirements in addition to upper-division baccalaureate requirements at the receiving institution. ~~s~~Specialized ~~A~~associate's ~~D~~degree programs have formal, written, articulation agreements for the courses transferring. In some cases, articulation may be system-wide.

~~4.1.2.1~~3.12.4.2. **Pre-Major.** Associate's ~~D~~degrees that include a set of courses designed to prepare students for upper-division ~~majors'~~ work in a specific major. Courses contained in a pre-major in an AA or AS degree should be the same or similar to courses offered at four-year institutions as determined by the Faculty Discipline Majors' ~~c~~Committees. Pre-majors must follow statewide articulation agreements where such agreements have been formulated. When a pre-~~-~~major affects students transferring from two-year institutions, formal articulation agreements are desirable and students should be clearly informed of the transferability of the courses taken in the pre-major at the two-year institution. Upon transfer, students, if accepted into a major, should generally be able to complete the baccalaureate degree in two additional years of full-time study.

3.12.4.3. **General Studies Associate's Degrees**. See *General Studies Associate's and Bachelor's Degrees Guidelines, Appendix A*, for conditions that should be met in the design of General Studies ~~Bachelor's~~ ~~D~~degrees.

~~4.1.4~~3.12.5. **Bachelor of Arts (BA)~~,~~ and Bachelor of Science (BS) Degrees.** ~~p~~Programs of study which include~~ing~~ general education, major course work, and prepare students for employment in a career field and for responsible citizenship. Typically four years in length of full-time study. Requires a minimum of 120 and a maximum of 126 semester credit hours.

3.12.5.1. **Professional Bachelor's Degrees.** A professional degree prepares students for a particular profession by emphasizing skills and practical analysis built upon theory and research and, most often, has specialized accreditation that sets acceptable practice standards. ~~m~~May exceed the maximum of 126 credit hours to meet accreditation requirements. Professional degrees often lead to ~~require~~ third-party licensure.

~~3.14.~~3.12.5.2. **Baccalaureate Pre-M~~m~~ajor.** ~~a~~At four-year institutions not offering an AA or AS degree, the term "pre-major" applies to preparatory, lower-division courses required for acceptance into a major. Pre-major course work is not sufficient to admit the student to the major in cases where the institution has admission requirements for the major and a limit~~ed~~ on the number of students who may pursue ~~a particular~~the major. Courses in a baccalaureate pre-major should be the same or similar to those offered by the two-year programs as determined by the Faculty Discipline Majors' ~~c~~Committees. **NOTE**: A pre-major for a BA/BS or ~~P~~professional ~~B~~bachelor's ~~D~~degree may be specified by the institution, *but does not require Regent approval*.

~~4.1.4.3~~3.12.5.3. **General Studies Bachelor's Degrees.** See *General Studies Associate's and Bachelor's Degrees Guidelines, Appendix ~~C~~A*, for conditions that should be met in the design of General Studies ~~Bachelor's~~ ~~D~~degrees.

~~5.1.1~~3.12.5.4. **Minor.** ~~a~~A coherent collection of related courses that are deemed to be a student's secondary field of academic concentration or specialization during undergraduate studies. ~~A Mminor which is presented within a Bbachelor's Ddegree proposal willmust be identified.~~

~~3.12~~3.12.5.5. ~~Endorsement,~~ **K-12 Teaching Endorsement.** A collection of courses, built upon a Regent-approved teacher education program, that prepares K-12 teachers or teacher candidates to meet specific area certification as established and conveyed by the Utah State Office of Education.

~~4.1.5~~3.12.6. **K-12 School Personnel Programs** ~~(Full Template Required, Appendix B)~~. Licensure preparation programs for teacher education, counselors, administrators, and other school personnel.

~~3.5.~~3.12.7. **Graduate Certificate.** A program of study, less than ~~a~~one year in length, made up of graduate-level course work, with a pre-requisite of at least a ~~B~~bachelor's degree.

~~4.1.6~~3.12.8. ~~Master's Degrees~~**Master of Arts (MA) and Master of Science (MS) Degrees.** Graduate-level programs of study beyond the bachelor's degree. Typically more than one and less than two years of full-time graduate study. ~~requiring~~ Requires a minimum of 30 and maximum of 36 semester credit hours of course work.

3.12.8.1. **Professional Master's Degrees.** Professional master's degrees such as the Master of Business Administration or Master of Social Work may require

additional course work or projects. May exceed the maximum of 36 credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

~~4.1.7~~3.12.9. **Doctoral Degrees.** Graduate-level programs beyond the master's degree in an advanced, specialized field of study requiring competence in independent research and an understanding of related subjects. Generally three to six years of study. Requires preparation and defense of a dissertation based on original research or planning or execution of an original project demonstrating substantial artistic or scholarly achievement.

3.12.9.1. **Professional Practice Doctoral Degrees**. Provides knowledge and skills for credential or license required for professional practice. Pre-professional and professional preparation for degrees such as the ~~JD~~juris doctorate and medical doctorate ~~MD~~ requires at least six years of full-time study.

~~**3.13. Emphasis.** A collection of courses within an Associate of Applied Science or Bachelor's Bccalaureate or graduate Ddegree that gives the students a specific focus in a particular sub-area related to the identifiable core of courses required for the degree.~~

~~**3.14. Pre Major.** The term "pre major" is used in two contexts: (1) as a descriptor of a set of courses that are part of the Associate of Arts/Associate of Science degrees designed to prepare students for upper-division majors' work; and, (2) at four-year institutions not offering an AA or AS degree, the term "pre major" also applies to preparatory, lower-division courses required for acceptance into a major.~~

~~**3.15. Program**. As specified in R481-3.10.1. a "program" is a unit within the institution with an identifiable teaching, research, or other academic mission. For a unit to be designated as a "program," it shall have an identified group of faculty and shall fulfill one or more of these criteria: (1) has "program", "center", "institute", "laboratory", "department", "school", or "college" in its title or has otherwise been designated as a program; (2) offers or administers a degree, certificate, or some other credential; (3) has an identifiable curriculum or is formally described in current institutional catalogs or other publications; (4) has a separate budget as listed in official university documents.~~

R401-4. Regents' Approval, Committee of the Whole~~Agenda~~. Institutions submitting program proposals requiring approval by the Regents' Committee of the Whole shall adhere to the procedures for submitting a full proposal ~~shown in R401-4.2 and summarized in **Appendix A: Flow Chart for Procedures for Items Requiring Regent Approval, Agenda**. When submitting proposals to the OCHE for one of the items specified in R401-4.1, the institution should use the template specified for each item in R401-4.1~~ and follow the *Proposal and Notification ~~and~~ Submission Procedures* (R401-~~6~~7).

4.1. Program Items Requiring Regents' Committee of the Whole Approval. Items requiring Regent approval are as follows~~:. A definition and/or description of conditions for the type of item proposed follows each item.~~

4.1.1. New Associate of Applied Science Degrees;
4.1.2. New Associate of Arts, Associate of Science, and Specialized Associate's Degrees;

4.1.3. New Baccalaureate Degrees;
4.1.4. New Master's Degrees;
4.1.5. New Doctoral Degrees; and
4.1.6. New K-12 Personnel Licensure Programs.

4.1.1. Associate of Applied Science (AAS) Degrees (Full Template Required, Appendix B). Programs of study intended to prepare students for entry-level careers. A minimum of 63 and a maximum of 69 credit hours are required. Additionally, general education requirements that are less extensive than in AA or AS degrees and others, as established by the USHE institutions and in compliance with the Northwest Association of Colleges and Universities are required. Based on compelling reasons, exceptions to the maximum credit hour requirement may be granted by the Regents.

4.1.1.1 Major. The term "major" refers to the discipline in which the degree resides. The major may include one or more "emphases" to describe sub-units of the Associate of Applied Science degree.

4.1.1.2 Emphasis. AAS degree programs may have collections of courses within the major called an "emphasis" that give the student a specific focus in a particular sub-area related to the identifiable core of courses required for the degree. Emphases require approval by the Regents. When a new AAS degree is proposed, emphases identified for the degree (if any) should be clearly described within the full proposal for the degree. See R401-5.1 for conditions regarding submission of emphases on existing degrees. Emphases must be clearly within the major field of study specified for the degree. Emphases under an AAS degree must be assigned the same CIP code as the major. **SENTENCE ON IDENTIFYING EMPHASES WITHIN PROPOSAL STATED DIFFERENTLY IN 5.1.2.2. USED 5.1.2.2 LANGUAGE**

4.1.2 Associate of Arts (AA) and Associate of Science (AS) Degrees (Full Template Required, Appendix B). Programs of study primarily intended to encourage exploration of academic options that provide a strong general education component, and prepare students for upper-division work in baccalaureate programs or prepare for employment. A minimum of 60 and a maximum of 63 credit hours, which include 30 to 39 credit hours of general education course work and other requirements as established by the USHE institutions, are required for completion of an associate's degree. The Associate of Arts degree may have a foreign language requirement. Based on compelling reasons, exceptions to the maximum credit hour requirement may be granted by the Regents.

4.1.2.1 Pre Major. Courses contained in a pre-major in an AA or AS degree should be the same or similar to courses offered at four-year institutions as determined by the Faculty Discipline Majors committees. When a pre major is designed for transfer to (a) four-year program(s), it must follow statewide articulation agreements where such agreements have been formulated subject to (R470) or, if this is a specialized Associate Degree programs, have (a) formal, written, articulation agreement(s) for the courses transferring. The program outline (advising sheet) should clearly designate the courses that will transfer to a four-

year program major and those that will not transfer to the major, but may count as electives in a baccalaureate degree. **LAST SENTENCE STATED DIFFERENTLY IN 4.1.4.2. USED 4.1.4.2 LANGUAGE**

4.1.2.2 An "Emphasis" may not be defined within an AA or AS degree.

4.1.3 Specialized Associate's Degrees (Full Template Required, Appendix B). Specialized Associate's Degrees are programs of study that include extensive specialized course work, such as the Associate of Pre-Engineering, and are intended to prepare students to initiate upper-division work in baccalaureate programs. These programs contain a minimum of 68 and a maximum of 85 credit hours, which include a minimum of 28 credit hours of preparatory, specialized course work, general education requirements that may be less extensive than in AA or AS degrees, and other requirements as established by the USHE institutions. Because students might not fully complete an institution's general education requirements while completing a specialized associate's degree, they are expected to satisfy remaining general education requirements in addition to upper-division baccalaureate requirements at the receiving institution. Generally, specialized associate's programs are articulated from two- to four-year majors. In some cases, articulation may be system-wide.

4.1.4 Bachelor of Arts (BA), Bachelor of Science (BS), and Professional Bachelor's Degrees (Full Template Required, Appendix B). These are programs of study including general education, major course work, and other requirements as established by the USHE institutions and accreditation standards. Credit requirements include completion of a minimum of 120 and a maximum of 126 credit hours. A professional degree prepares students for a particular profession by emphasizing skills and practical analysis built upon theory and research and, most often, has specialized accreditation that sets acceptable practice standards. Professional degrees often require third-party licensure. Some professional bachelors' degrees, such as the Bachelor of Business Administration or Bachelor of Fine Arts, may have additional requirements. Other disciplines such as engineering and architecture may exceed the maximum of 126 credit hours to meet accreditation requirements. Based on compelling reasons, exceptions to the maximum credit hour requirement may be granted by the Regents.

4.1.4.1 Major (Full Template Required, Appendix B). The term "major" refers to the discipline in which the degree resides.

4.1.4.2 Pre-major. A pre-major for a BA/BS or Professional Bachelor's Degree may be specified by the institution, *but does not require Regent approval*. The pre-major should consist of preparatory, lower division courses which prepare students for a specific major, but are not sufficient to admit the student to the major in cases where the institution has admission requirements and a limited number of students who may pursue a particular major. Courses in a pre-major should be the same or similar to those offered by the two-year programs as determined by the Faculty Discipline Majors committees. When a pre-major affects students transferring from two-year institutions, formal articulation agreements are desirable and

~~students should be clearly informed of the transferability of the courses taken in the pre-major at the two-year institution.~~

~~**4.1.4.3 General Studies Bachelor's Degrees (Full Template Required, Appendix B).** See **General Studies Bachelor's Degrees Guidelines, Appendix C**, for conditions that should be met in the design of General Studies Bachelor's Degrees.~~

~~**4.1.5 K-12 School Personnel Programs (Full Template Required, Appendix B).** Licensure preparation programs for teacher education, counselors, administrators, and other school personnel.~~

~~**4.1.5.1 Endorsement Programs (Abbreviated Template, Appendix G).** Endorsement programs, built upon teacher preparation programs already approved by the Regents, submitted separately as a limited collection of courses designed to meet endorsement certification requirements in specific areas as established and conveyed by the Utah State Office of Education.~~ **REPLICATES LANGUAGE FOUND IN SECTION 3.**

~~**4.1.6 Master's Degrees (Full Template Required, Appendix B).** Graduate level programs of study requiring a minimum of 30 and maximum of 36 credit hours of course work beyond the bachelor's degree and other requirements as established by the USHE institutions and accreditation standards. Professional master's degrees such as the Master of Business Administration or Master of Social Work may require additional course work or projects. Specialized professional master's degrees typically require additional course work. Based on compelling reasons, exceptions to the maximum credit hour requirement may be granted by the Regents.~~

~~**4.1.7 Doctoral Degrees (Full Template Required, Appendix B).** Graduate level programs in an advanced, specialized field of study requiring competence in independent research and an understanding of related subjects.~~

4.2. Review Procedure for Program Items Requiring Regents' Committee of the Whole **Approval**~~, Agenda. – Not Fast Track.~~ ~~(Fast Track Procedure is described in R401-3.)~~ Programs requiring Regent Approval, Committee of the Whole, will be reviewed by the following entities and in the order specified. ~~This review procedure is summarized in the flowchart in **Appendix A.**~~

4.2.1. Review and Approval by the Institutional Board of Trustees.

4.2.2. Review by Specialized Groups. Review by specialized groups may be conducted concurrently with review by the Boards of Trustees, if such concurrent review is consistent with institutional policies and procedures. The following types of programs require specialized review as noted.

4.2.2.1. K-12 School Personnel Programs. K-12 school personnel preparation programs shall be reviewed by the USHE ~~s~~Schools and ~~c~~Colleges of ~~e~~Education.

~~Endorsement programs for USOE licensure in specific areas may be reviewed by sSchool and cCollege of eEducation at the request of the OCHE staff.~~

4.2.2.2 Career and Technical Education (CTE) Programs. CTE programs shall go through the Regional Career and Technical Education Planning process, as implemented in the proposing institution's region, which has the primary purposes of: (1) Planning CTE certificate and associate's degree programs that are responsive to the needs of business/industry and the citizens of the region, and providing a transition for secondary students into postsecondary programs~~,~~; and (2) avoiding unnecessary duplication of CTE certificate and degree programs among higher education institutions in a region. Results of the review process shall be provided to the Regents when a CTE program proposal is submitted for approval.

4.2.3. Institutional Submission of Request to the OCHE. See R401-~~6~~7, *Proposal and Notification Submission Procedures*, and ~~appropriate~~ Full Template instructions.

4.2.4. Review by the Commissioner's Staff. Full program proposals will be forwarded to the Commissioner's Academic and Student Affairs staff for review and comment. The financial analysis document may be reviewed by the Commissioner's Finance staff in order to verify financial data.

4.2.5. Review by Council of Chief Academic Officers (CAOs). After the Commissioner's staff has reviewed the proposal and is satisfied it is ready for CAO review, it will be posted to the USHE website designated for program items to be reviewed by CAOs. The CAOs must review and post their comments concerning the full proposal for response from the other CAOs ~~concerning the full proposal~~. Prior to review by the PRC, the Council of Chief Academic Officers will meet with the Commissioner's Academic and Student Affairs staff to discuss the institutional proposals and the comments submitted by other USHE institutions, external reviews, and initial evaluation from the Commissioner's staff. This discussion will be considered by the Commissioner's ~~Academic and Student Affairs~~ staff in preparing materials and recommendations for the Regents.

4.2.6. Review by Program Review Committee (PRC). Once the CAOs and Commissioner's staff have commented, the full program proposal and all attendant issues will be forwarded for review by the PRC. The PRC will review the program proposal and accompanying information, discuss any questions and issues, and request additional information as appropriate, including a request for a consultant to review the proposed program and surrounding issues. In the case a consultant review is requested, the proposing institution will provide to the Commissioner's staff a list of appropriate consultants. The staff will contact a consultant acceptable to the institution and to the Commissioner's staff and arrange. for the review. Once the consultant's report has been completed, it will be made available to the PRC, the proposing institution, and the CAOs. As programs are reviewed, at the request of the PRC, additional individuals may be asked to attend the meeting.

4.2.7. Consideration by Board of Regents. Program proposals that have been reviewed according to the procedures described in ~~4.2.1 – 4.2.6~~R401-4 will be placed on the

Regents' agenda as directed by the PRC. The Commissioner's review for the Regents will address not only the readiness of the institution to offer the program and the need for the program, but also the impact of the program on other USHE institutions. The Regents' ~~Programs and Planning~~ Academic and Student Affairs Committee reviews proposals for new programs and recommends action to the Regents. The Regents then take action on the proposed program during the meeting of the ~~c~~Committee of the ~~w~~Whole ~~or through the General Consent calendar, as appropriate~~.

4.2.7.1 Voting for Approval by Board of Regents. All new associate's and bachelor's degree programs must be approved by a majority vote of the Regents members in attendance. All new master's and doctoral degree programs require at least a two-thirds majority of the members in attendance to be approved.

4.2.7.2 Budgetary Considerations Separate from Approval. Program approval by the Regents consists only of authorization to offer a program. Budget requests necessary to fund the program shall be submitted separately through the regular budget procedure.

4.3. Full Proposal Submission Guidelines.

~~5.1.2.2~~4.3.1. **Emphasis Contained within a Proposal for a New Degree.** When an emphasis is contained within an AAS, baccalaureate, or graduate degree being presented for initial approval, the emphasis should be identified within the new degree proposal and approved through the new degree approval process ~~(see R401-4).~~

~~5.1.2.1~~4.3.1.1. **Emphasis Added to an Existing Degree.** The proposing institution shall submit an Abbreviated Template proposal to add an emphasis to an existing Regent-approved degree (see R401-5).

4.3.2. Minor Contained within a Proposal for a New Degree. A minor which is presented within a bachelor's degree proposal must be identified.

4.3.2.1. Minor Added to an Existing Degree. The proposing institution shall submit an Abbreviated Template proposal to add a minor to an existing Regent-approved degree (see R401-5).

4.3.3. Excess Credits. Based on compelling reasons, exceptions to the maximum credit hour requirement may be granted by the Regents. When a new degree is proposed, include justification for requiring semester credit hours in excess of the credit hour limits listed in R401-3.

R401-5. Review and Recommendation by the OCHE with Regent Approval on the General Consent Calendar. Institutions submitting proposals ~~under R401-5~~ requiring OCHE recommendation and Regent approval on the General Consent Calendar shall adhere to the ~~procedures~~ process shown in R401-5.2 ~~and summarized in **Appendix E: Flow Chart for Items Reviewed by the OCHE and Approved on the General Consent Calendar**~~. When submitting proposals to the OCHE for one of the items specified in R401-5.1., the institution ~~should use~~shall adhere to the procedures for submitting the appropriate

Abbreviated ~~t~~Template ~~specified for each item in R401-5.1~~ and follow the *Proposal and Notification ~~and~~ Submission Procedures* (R401-~~6~~7).

5.1. Items Requiring Review and Recommendation by the OCHE. Items requiring OCHE review to be placed on the General Consent calendar are as follows:

5.1.1. New Certificates of Proficiency (except Institutional Certificates of Proficiency);
5.1.2. New Certificates of Completion;
5.1.3. New Graduate Certificates;
5.1.4. New Minors;
5.1.5. New Emphases within a Regent-approved degree;
5.1.6. New K-12 Endorsements~~.~~;
5.1.7. Existing Program Changes including:
- **5.1.7.1.** Program Transfer;
- **5.1.7.2.** Program Restructure;
- **5.1.7.3.** Program Consolidation;
- **5.1.7.4.** Program Suspension;
- **5.1.7.5.** Program Discontinuation;
- **5.1.7.6.** Program Name Change;
- **5.1.7.7.** Out-of-Service Area Delivery of a Program; and
- **5.1.7.8.** Reinstatement of a Previously Suspended Program.

5.1.8. Program Reports including:
- **5.1.8.1.** Two-Year Follow Up Reports;
- **5.1.8.2.** Three-Year Follow Up Reports; and
- **5.1.8.3.** Cyclical Institution Program Reviews (R411).

5.1.9. Administrative Unit Changes including:
- **5.1.9.1.** New Administrative Units;
- **5.1.9.2.** Administrative Unit Transfer;
- **5.1.9.3.** Administrative Unit Restructure;
- **5.1.9.4.** Administrative Unit Consolidation; and
- **5.1.9.5.** Reinstatement of Previously Suspended Administrative Units.

5.1.10. Creation of Non-administrative Units including:
- **5.1.10.1.** New Centers;
- **5.1.10.2.** New Institutes;
- **5.1.10.3.** New Bureaus; and
- **5.1.10.4.** Conditional Three-Year Approval of New Centers, Institutes, and Bureaus.

~~**5.1 Minors and Emphases.**~~

~~**5.1.1 Minor (Abbreviated Template required, including the curriculum, Appendix G).** The term "minor" refers to a coherent collection of related courses that are deemed to be a student's secondary field of academic concentration or specialization during undergraduate~~

~~studies. A Minor which is presented within a Bachelor's Degree proposal will be identified and included in the full template~~.

~~**5.1.2 Emphasis.**~~

~~**5.1.2.1 Emphasis Added to an Existing Degree.** The proposing institution shall submit an **Abbreviated Template**, **with the program curriculum section (Appendix G)** to add an emphasis to an existing degree.~~

~~**5.1.2.2 Emphasis Contained within a Proposal for a New Degree.** When an emphasis is contained within a degree being presented for initial approval, the emphasis should be identified within the new degree proposal and approved through the new degree approval process (see R401-4).~~

~~**5.2 Certificates.**~~

~~**5.2.1 Certificate of Proficiency (Abbreviated Template Required with Curriculum, Appendix G).** Certificates of Proficiency with 600-899 clock hours or 16-29 semester hours, meeting federal financial aid requirements, including that the program must provide training that prepares a student for gainful employment in a recognized occupation, are approved through this process. Certificates of Proficiency less than a year in length (less than 30 semester hours, or 900 clock hours) ending in a certificate issued under the authority of the institution are offered under the authority of the institution and do not require Regent approval. See definition in 3.10 above. May be submitted for Fast-Track approval with Full Template (5.2.4).~~ **REPLICATES LANGUAGE FOUND IN SECTION 3.**

~~**5.2.2 Certificate of Completion (Full Template Required, Appendix B).** A program of study typically one year in length (30-33 semester credit hours or 900-990 clock hours). See definition in 3.10 above. May be submitted for Fast-Track approval (5.2.4).~~
REPLICATES LANGUAGE FOUND IN SECTION 3.

~~**5.2.3 Graduate Certificate (Abbreviated Template Required with Curriculum, Appendix G).** A program of study less than a year in length made up of graduate level course work with a prerequisite of at least a baccalaureate degree.~~ **REPLICATES LANGUAGE FOUND IN SECTION 3.**

~~5.6~~**5.2. Review Process for Program Items Requiring ~~the~~ OCHE Review and Recommendation with Regent Approval on the General Consent Calendar.** Programs requiring Regent Approval on the General Consent Calendar will be reviewed by the following entities and in the order specified.

~~5.6.3~~**5.2.1. Review and Approval by Institutional Board of Trustees.**

5.2.2. Review by Specialized Groups. ~~E~~K-12 endorsement programs for USOE licensure in specific areas may be reviewed by ~~s~~Schools and ~~c~~Colleges of ~~e~~Education at the request of the ~~OCHE~~Commissioner's staff.

~~5.6.4~~5.2.3. **Institutional Submi~~t~~ssion of Request to the OCHE.** See R401-~~6~~7, *Proposal and Notification Submission Procedures*, and appropriate template instructions.

~~5.6.5~~5.2.4. ~~**OCHE Staff Review.**~~**Review by the Commissioner's Staff.**

~~5.6.6~~5.2.5. **CAO Review (optional, necessity determined by the ~~OCHE~~ Commissioner's staff).** The ~~OCHE~~ Commissioner's staff may share proposals with the institutional CAOs for further feedback as needed.

~~5.6.7~~5.2.6. **OCHE Notice to the Institution of Need for Further Information or Approval.** Within 15 days of the item being received by the OCHE, the institution will be notified that either: (1) further information is required by the Commissioner~~.~~; or (2) the item is being placed on the Regents' General Consent Calendar.

~~5.6.8~~5.2.7. ~~**OCHE**~~**Commissioner's Staff Places Item on the Regents' General Consent Calendar for ~~a~~Approval.**

5.3. Abbreviated Proposal Submission Guidelines.

~~5.2.4~~5.3.1. **Fast Track Approval for Certificates ~~(Template Required Consistent with Certificate Type as Noted in 5.2.1. and 5.2.2.)~~.** To meet immediate industry needs and for other compelling reasons Certificates of Proficiency needing approval for financial aid, and Certificates of Completion, may be submitted to the Commissioner for Fast Track approval.

~~5.3 Review Procedure for Fast Track Certificate Requests.~~

~~5.3.1 Eligible Programs for Fast Track Approval (Template Required Consistent with Certificate Type as Noted in 5.2.1. and 5.2.2.).~~ ~~Certificates of Proficiency needing approval for financial aid and Certificates of Completion may be submitted to the Commissioner for Fast Track approval.~~ **REPLICATES LANGUAGE FOUND IN 5.3.1.**

~~5.3.2 Fast Track Approval Requirements and Process.~~ The Fast Track Approval Process is detailed below~~: and summarized in the Flow Chart for Fast Track Program Approval, Appendix F~~.

~~5.3.2.1~~5.3.1.1. **Review and Approval by Institutional Board of Trustees.** The certificate must have been approved by the institution's internal program development and approval procedure.

~~5.3.2.2~~5.3.1.2. **Review through the Career and Technical Education Regional Planning Process.** Institutional CTE Directors coordinate regional planning processes.

~~5.3.2.3~~5.3.1.3. **Institutional Submission of Request to the OCHE ~~Academic and Student Affairs Staff~~.** See R401-~~6~~7, Proposal and Notification Submission Procedures, and appropriate ~~T~~template instructions.

~~5.3.2.4~~5.3.1.4. **Review by the ~~OCHE Academic and Student Affairs~~ Commissioner's Staff and Commissioner's Response.** The ~~OCHE Academic and Student Affairs~~ Commissioner's staff will review the proposal and recommend action to the Commissioner. Within 15 days of the item being received by the OCHE, the institution will be notified that either: (1) further information is required by the Commissioner~~;~~ or (2) the item is being returned with approval for immediate effect.

~~5.3.2.5~~5.3.1.5. **Regent Consideration.** The program will be placed on the General Consent Calendar of the next Regents' meeting.

~~5.1.2.1~~5.3.2. **Emphasis Added to an Existing Degree.** The proposing institution shall submit an Abbreviated Template proposal to add an emphasis to an existing Regent-approved degree~~.~~

5.3.3. **Minor Added to an Existing Degree.** The proposing institution shall submit an Abbreviated Template proposal to add a minor to an existing Regent-approved degree.

~~5.4 Administrative Unit Creation or Change.~~

~~5.4.1 Creation, Transfer, Restructuring, or Consolidation of Existing Administrative Units (Abbreviated Template Required, Appendix G).~~

~~5.4.2~~5.3.4. **Conditional Three-Year Approval for New Centers, Institutes, or Bureaus ~~(Abbreviated Template Required, Appendix G)~~.** Institutions may seek temporary approval from the Commissioner ~~of Higher Education~~ for a center, institute, or bureau ~~which~~ that is being established on an experimental or pilot basis. The Commissioner will evaluate and approve requests for temporary approval on the basis of the following criteria and conditions: (1) the proposed change requires a modest effort in terms of staff and space needs, normally with no permanent staff or no permanent facility assignment or is fully supported by external funding; (2) activities involved are consistent with established institutional mission and role assignments; and (3) the administrative entity involved has programmatic affiliation with an existing academic program or department. Temporary approval of centers, institutes, or bureaus~~etc.,~~ may be granted for a period no longer than three years, after which an institution must request approval of the Regents.

~~5.4.3 New Centers, Institutes, or Bureaus (Abbreviated Template Required, Appendix G). Administrative entities that perform primarily research, instructional, or technology transfer functions and are intended to provide services to students, the community, businesses, or other external audiences, or to obtain external funds.~~

~~5.5. Program Change.~~

~~5.5.1~~5.3.5. **Out-of-Service-Area Delivery of Programs ~~(Abbreviated Template Required, Appendix G)~~.** Programs that require substantive change notification to the regional accreditation organization and/or are offered outside of the institution's designated service area must seek approval (see R315, *Geographic Service Regions*; R312, Institutional Mission and Roles~~; R355, Education Television and Communications Networking~~).

~~5.5.2 Transfer, Restructuring, or Consolidation of Existing Programs (Abbreviated Template Required, Appendix G).~~

~~5.5.3 Name Changes of Existing Programs (Abbreviated Template Required, Appendix G).~~

~~5.5.4~~5.3.6. **Discontinuation or Suspension of Programs ~~(Abbreviated Template Required, Appendix G). 5.5.4.1 Discontinuation.~~** *Discontinuation* of a program consists of entirely removing the program from the institution's and the ~~Board of~~ Regents' list of approved programs, after current students have an opportunity to complete. ~~5.5.4.2 Suspension.~~ *Suspension* of a program is a temporary prohibition of new enrollments to the program. The program will remain on the ~~Board of~~ Regents' list of approved programs and may, according to the institution's discretion, remain in the online and/or printed catalog until fully discontinued.

~~5.5.4.3~~5.3.6.1. **Student Completion in Discontinued or Suspended Programs.** Students currently admitted to the program must be provided a way to complete the program in a reasonable period of time compatible with accreditation standards. This may require~~:~~ ~~a.~~(1) enrollment of students at other institutions of higher education, or ~~b.~~(2) courses to be taught for a maximum of two years after discontinuation of the program or until there are no other admitted students who are entitled to complete the program, whichever comes first.

~~5.5.4.4~~5.3.6.2. **System Coordination.** Institutions should consider the statewide impact of discontinuing the program and identify opportunities for establishing the program at another USHE institution. Institutions should consider discontinuance of unnecessarily duplicated programs within the USHE, particularly programs that may be high cost and/or low producing.

~~5.5.5~~5.3.7. **Reinstatement of Previously Suspended Program or Administrative Unit ~~(Abbreviated Proposal Template Required, Appendix G)~~.** If circumstances change and an institution plans to restart a suspended program or an administrative unit, the institution must give notice to the Board of Regents using the appropriate Abbreviated Template. Notice should include a statement verifying the program name, administrative unit structure and/or the curricular content are identical to the original program. If either the name or curricular content of the program have changed, the program should be submitted as a new program and the suspended program should be ~~deleted~~discontinued.

~~**5.6 Review Process for Program Items Requiring the OCHE Review and Recommendation with Regent Approval on the General Consent Calendar.** See **Appendix F** for the flowchart of this process.~~

~~**5.6.1 Three-Year Follow-up Reports on Approved Programs (New Programs Follow-up Report Template Required, Appendix D).** All programs approved by the Regents require a report three years after implementation or two years after implementation for programs approved under the Fast Track procedure.~~

~~**5.6.2 Two-Year Review of Programs Approved through the Fast Track Procedure (Report Template Required, Appendix D).** Institutions operating programs approved through the Fast Track procedure must submit a report to the Commissioner's Academic and Student Affairs staff for review two years from the date the program is implemented. Once the report has been reviewed and found to contain the required information, it will be posted on a website for review by PRC members if they so choose, and forwarded to the Regents for the next agenda. The Regents may request information in addition to that contained in the report.~~

~~**5.6.3 Review and Approval by Institutional Board of Trustees.**~~

~~**5.6.4 Institution Submits Request to the OCHE.** See R401-6, Proposal and Notification Submission Procedures.~~

~~**5.6.5 OCHE Staff Review.**~~

~~**5.6.6 CAO Review (optional, necessity determined by the OCHE staff).** The OCHE may share proposals with the institutional CAOs for further feedback as needed.~~

~~**5.6.7 OCHE Notice to the Institution of Need for Further Information or Approval.** Within 15 days of the item being received by the OCHE, the institution will be notified that either: (1) further information is required by the Commissioner, or (2) the item is being placed on the Regents' General Consent Calendar.~~

~~**5.6.8 OCHE Staff Places Item on the Regents' General Consent Calendar for approval.**~~

~~**5.6.9 Reinstatement of Previously Suspended Program or Administrative Unit (Abbreviated Proposal Template Required, Appendix G).** If circumstances change and an institution plans to restart a suspended program or an administrative unit, the institution must give notice to the Board of Regents. Notice should include a statement verifying the program name, administrative unit structure and/or the curricular content are identical to the original program. If either the name or curricular content of the program have changed, the program should be submitted as a new program and the suspended program should be deleted.~~
REPLICATES LANGUAGE FOUND IN ORIGINAL 5.5.5.

~~5.7.~~R401-6. **Reports.** ~~**5.6.1 Three-Year Follow-up Reports on Approved Programs (New Programs Follow-up Report Template Required, Appendix D).**~~ All programs approved by the

Regents under R401 require a report three years after implementation or two years after implementation for programs approved under the Fast Track procedure. Institutions must submit reports using the appropriate USHE report template.

~~5.6.2~~6.1. **Two-Year Review of Programs Approved through the Fast Track Procedure ~~(Report Template Required, Appendix D)~~.** Institutions operating programs approved through the Fast Track procedure submit a report to the Commissioner's Academic and Student Affairs staff for review two years from the date the program is implemented. Once the report has been reviewed and found to contain the required information, it will be ~~posted on a website~~ made available for review by PRC members ~~if they so choose,~~ and forwarded to the Regents for the next agenda. The Regents may request information in addition to that contained in the report.

~~5.7.1~~6.2. **Cyclical Institutional Program Reviews.** Institutions submit five- and seven-year program reviews of programs approved under R401 (See Policy and Procedures, R411, *Cyclical Program Reviews*).

~~5.7.2~~6.2.1. **List of Scheduled Program Reviews.** The annual list of scheduled program reviews as defined in R411, *Review of Existing Programs*, including date of review~~. The list~~ is due at the beginning of each September.

~~5.7.3~~6.3. **Programs under Development or Consideration ~~(Appendix H)~~.** The~~se~~ Program ~~p~~Planning ~~document~~Report~~s submitted in February of each year will~~ provide the Regents with a system-wide view of the programs that may be brought to them for approval.

~~5.7.3.1.~~6.3.1. **Submission Timeline for Program Planning Report.** In February of each year, each institution shall submit an updated ~~p~~Program ~~p~~Planning ~~r~~Report of programs under development or consideration that may be brought to the Regents for formal approval within the next 36 months.

~~5.7.3.2.~~6.3.2. **Continuous Update.** The information in each planning report~~matrix~~ is to be updated whenever the status of a program changes or a new program is being considered. Once a program has been approved by the Regents or is no longer under consideration at an institution, it should not appear in the report~~matrix~~.

R401-~~6~~7. Proposal and Notification Submission Procedures.

~~6.1.~~7.1. **Proposal Templates.** The proposal template required for each type of item is specified in R401-4 and R401-5. ~~the listing of items (R401-4 and R401-5). For those approvals requiring only an Abbreviated Proposal Template, the Commissioner reserves the right to require a more detailed proposal, including a full proposal, if questions or concerns are raised.~~ Proposals must follow submission instructions found with each template.

7.1.1. USHE Proposal Templates. Proposals for new programs and administrative units or changes to existing programs and administrative units are submitted to the Commissioner's office using the designated USHE Full or

Abbreviated Template (see R401-4 and R401-5). CAOs or their designees review templates regularly. Proposed changes are approved by the CAOs with the Commissioner's staff. Current versions of all proposal and report templates are available online.

7.1.1.1. Right to Call for Additional Information for a Proposal. Additional information may be requested in order to evaluate any proposal or reports submitted. For approvals requiring only an Abbreviated Proposal, the Commissioner reserves the right to require a more detailed proposal, including a full proposal, if questions or concerns are raised.

~~6.1.1~~**7.1.2.** **Classification of Instructional Program (CIP) Codes**. When preparing the ~~submission~~ Full or Abbreviated ~~t~~Template, the institution must choose an appropriate CIP code. For CIP code classifications, see nces.ed.gov/ipeds/cipcode/. The CIP code is a critical data element and will be recorded by the OCHE and used for data requests, reporting, and tracking.

~~**6.1.1.1 CIP Codes for All Programs except Apprenticeship Programs.** Only one CIP code will be accepted per program—including all emphases under that program. The only exception is for apprenticeship programs.~~

~~**6.1.1.2 CIP Codes for Apprenticeship Programs.** The institution will be allowed to use multiple appropriate CIP codes for different apprenticeship emphases. These CIP codes will be recorded by the OCHE for data requests, reporting, and tracking.~~

7.1.3. Transmission of Proposals. Proposals must be transmitted by the Chief Academic Officer~~The CAO~~ or his/her designated representatives~~. should e-mail the completed Full Template (including electronic signature) to academicaffairs@ushe.edu.~~

7.1.4. Records. The institution is responsible for maintaining a record of ~~the~~proposal submissions. ~~as the~~ OCHE ~~Academic and Student Affairs office~~ is not responsible for storing electronic copies of submitted proposals.

~~**6.2 Proposal Style**. All submissions must:~~

~~**6.2.1.** Be written in a formal style, using third person.~~

~~**6.2.2.** Use Arial Narrow 12-point font, single-spaced. Remove italics when using templates.~~

~~**6.2.3.** Have 1" margins.~~

~~**6.2.4.** Be sent to the Commissioner's Academic and Student Affairs staff as an electronic word processing document (preferably Microsoft Word).~~

~~Appendix A: Flow Chart for Regent's Approval, Agenda~~

~~Appendix B: Full Template~~

~~**Instructions:**~~

- ~~The Full Template should be used for those items identified as needing the Full Template in R401-4 and R401-5 and listed as possible items to check on the Cover/Signature Page below.~~
- ~~**A Full Template consists of a Cover/Signature Page – Full Template, Executive Summary – Full Template, and Program Description – Full Template.**~~
  - ~~**Cover/Signature Page – Full Template:** Complete the items requested at the top of the page, INCLUDING SELECTING a CIP Code. Check which type(s) of item(s) apply. For example, you may check a certain kind of certificate AND "fast tracked."~~
  - ~~**Executive Summary – Full Template:** The executive summary must not exceed two (2) pages.~~
  - ~~**Program Description – Full Template:** Complete the sections requested, removing the descriptive italics and replacing them with the content of the proposal.~~
- ~~Prepare the Full Template per R401-6 instructions **as a Word document** (no PDF formats). Begin each of the three sections (Cover/Signature Page, Executive Summary, and Program Description) at the top of a new page. When *descriptions of the content required for each section appear in this font color,* **the italics are to be removed before the institution submits the proposal to the OCHE.**~~
- ~~The CAO or his/her designated representatives should e-mail the completed Full Template (including electronic signature) to academicaffairs@ushe.edu.~~
- ~~The institution is responsible for maintaining a record of the submission as the OCHE Academic and Student Affairs office is not responsible for storing electronic copies of submitted proposals.~~

Appendix B: Full Template

Cover/Signature Page – Full Template

Institution Submitting Request: *Name of Institution*
Proposed Title: *Program or Unit Title being proposed*
School or Division or Location: *Name of School/Division Location*
Department(s) or Area(s) Location: *Name of Department/Area Location*
Recommended Classification of Instructional Programs (CIP) Code[3] : *00.0000*
Proposed Beginning Date: *MM/DD/YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

Regents' Agenda Items		
R401-4 and R401-5 Approval by Committee of the Whole		
SECTION NO.		**ITEM**
4.1.1	☐	(AAS) Associate of Applied Science Degree
4.1.2	☐	(AA) Associate of Arts Degree
	☐	(AS) Associate of Science Degree
4.1.3	☐	Specialized Associate Degree
4.1.4	☐	Baccalaureate Degree
4.1.5	☐	K-12 School Personnel Programs
4.1.6	☐	Master's Degree
4.1.7	☐	Doctoral Degree
5.2.2	☐	(CER-C) Certificate of Completion
5.2.4	☐	Fast Tracked Certificate

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature **Date:** *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

[3] CIP codes must be recommended by the submitting institution. For CIP code classifications, please see http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

Appendix B: Full Template

Executive Summary – Full Template
Higher Education Institution
Degree Type and Title
MM/DD/YEAR

NOTE: Please limit the Executive Summary to no more than two pages.(Remove these descriptive italics when using template.)

Program Description
One paragraph description of the program. (Remove italics when using template.)

Role and Mission Fit
One paragraph statement showing how the proposed certificate or degree is in harmony with the current role and mission of the institution as set forth in Regents' Policy (R312). (Remove italics when using template.)

Faculty
State the level of preparedness of current faculty and the level of preparedness that will be needed by the fifth year. Identify the need for additional faculty for each of the first five years of the program. Describe the faculty development procedures that will support this program. (Remove italics when using template.)

Market Demand
One paragraph giving current data on market demand or the utility of the degree, how the program will accommodate a changing market, and hiring patterns including local, state, and national trends (long-term market needs and numbers to be included). Note that the Department of Workforce Services provides labor market demand data for Utah. It is acknowledged that some degree proposals may be in response to student demand rather than immediate labor market demand. (Remove italics after completing this section of the template.)

Student Demand
One paragraph giving current student demand, which is demonstrated by student surveys, petitions. Detail potential students' preparation for the program. (Remove italics after completing this section of the template.)

Statement of Financial Support
Indicate from which of the following the funding will be generated. Provide the detail for funding as part of the "Financial Analysis" section. (Remove these descriptive italics after completing this section of the template.)

- Appropriated Fund…… ☐
- Special Legislative Appropriation…… ☐
- Grants and Contracts…… ☐
- Special Fees …… ☐
- Differential Tuition (must be approved by the Regents)…… ☐
- Other (please describe)…… ☐

~~**Similar Programs Already Offered in the USHE**~~

~~*A list of similar programs already approved and functioning at USHE institutions. (Remove these descriptive italics after completing this section of the template.)*~~

Appendix B: Full Template

Program Description – Full Template
Higher Education Institution
Degree Type and Title
MM/DD/YEAR

Section I: The Request

Name of Institution requests approval to offer *Name of Degree* effective *Semester Year.* This program has been approved by the institutional Board of Trustees on *Date.*

Section II: Program Description

Complete Program Description

Present the complete, formal program description as it will appear in the institution's catalog. (Remove these descriptive italics after completing this section of the template.)

Purpose of Degree

State why your institution should be approved to offer this degree and the expected outcomes. (Remove these descriptive italics after completing this section of the template.)

Institutional Readiness

Describe how the existing administrative structures support the proposed program and identify new organizational structures that may be needed to deliver the program. Describe how the proposed program will or will not impact the delivery of undergraduate and/or lower-division education. (Remove these descriptive italics after completing this section of the template.)

Departmental Faculty

Using the format below, indicate the ***headcount of departmental*** *(not program-specific)* ***faculty*** *in each category. In the final row of the chart, provide departmental faculty FTE. "Tenured" includes already tenured and tenure-track. "Non-tenured" includes faculty NOT tenured or on the tenure track. "Non-Tenured" includes all non-tenured and non-tenure track (including teaching assistants) who provide instruction in the department. Describe in general terms how faculty/instructional staff will be deployed to successfully deliver this program. (Remove these descriptive italics after completing chart below.)*

Department Faculty Category	Dpt Faculty Headcount – Prior to Program Implementation	Faculty Additions to Support Program	Dpt Faculty Headcount at Full Program Implementation
With Doctoral Degrees (Including MFA and other terminal degrees, as specified by the institution)			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
With Master's Degrees			
Full-time Tenured			
Full-time Non-Tenured			

Part-time Tenured			
Part-time Non-Tenured			
With Bachelor's Degrees			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Other			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Total Headcount Faculty in the Department			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Total Department Faculty FTE *(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.")*		X	

Staff

List all additional staff needed to support the program in each of the first five years, e.g., administrative, secretarial, clerical, laboratory aides/ instructors, advisors, teaching/graduate assistants. (Remove these descriptive italics after completing this section of the template.)

Library and Information Resources

Describe library resources required to offer the proposed program if any. Does the institution currently have the needed library resources? (Remove these descriptive italics after completing this section of the template.)

Admission Requirements

List admission requirements specific to the proposed program. (Remove these descriptive italics after completing this section of the template.)

Student Advisement

Describe how students in the proposed program will be advised. (Remove these descriptive italics after completing this section of the template.)

Justification for Graduation Standards and Number of Credits

Provide graduation standards. Provide justification if number of credit or clock hours exceeds 63 for AA or AS, 69 for AAS, 126 credit hours for BA or BS; and 36 beyond the baccalaureate for MS. (Remove these descriptive italics after completing this section of the template.)

External Review and Accreditation

Indicate whether any external consultants, either in- or out-of-state, were involved in the development of the proposed program, and describe the nature of that involvement. For a career and technical education program, list the members and describe the activities of the program advisory committee. Indicate any special professional accreditation which will be sought and how that accreditation will impact the program. Project a future date for a possible accreditation review; indicate how close the institution is to achieving the requirements, and what the costs will be to achieve them. (Remove these descriptive italics after completing this section of the template.)

Projected Program Enrollment and Graduates; Projected Departmental Faculty/Students

Using the format below, indicate the projected number of graduates and declared majors expected over the next five years in the new program proposed.

Data Category	Current – Prior to New Program Implementation	PROJ YR 1	PROJ YR 2	PROJ YR 3	PROJ YR 4	PROJ YR 5
Data for Proposed Program						
Number of Graduates **in Proposed Program**	X					
Total # of Declared Majors **in Proposed Program**	X					
Departmental Data – For All Programs Within the Department						
Total Department Faculty FTE *(as reported in Faculty table above)*						
Total Department Student FTE *(Based on Fall Third Week)*						
Student FTE per Faculty FTE *(ratio of Total Department Faculty FTE and Total Department Student FTE above)*						
Program accreditation-required ratio of Student FTE/Faculty FTE, if applicable: (Provide ratio here: _____)						

Expansion of Existing Program

If the proposed program is an expansion or extension of an existing program, present enrollment trends by headcount and by student credit hours (if appropriate) produced in the current program for each of the past five years for each area of emphasis or concentration. (Remove these descriptive italics after completing this section of the template.)

Section III: Need

Program Need

Clearly indicate why such a program should be initiated. (Remove these descriptive italics after completing this section of the template.)

Labor Market Demand

Include local, state, and national data, and job placement information, the types of jobs graduates have obtained from similar programs. Indicate future impact on the program should market demand change. (Remove these descriptive italics after completing this section of the template.)

Student Demand

Describe evidence of student interest and demand that supports potential program enrollment. (Remove these descriptive italics after completing this section of the template.)

Similar Programs

Are similar programs offered elsewhere in the state or Intermountain Region? If yes, cite justifications for why the Regents should approve another program of this type. How does the proposed program differ from similar program(s)? Be specific. (Remove these descriptive italics after completing this section of the template.)

Collaboration with and Impact on Other USHE Institutions

Describe discussions with other USHE institutions that are already offering the program that have occurred regarding your institution's intent to offer the proposed program. Include any collaborative efforts that may have been proposed. Analyze the impact that the new program would have on other USHE institutions. (Remove these descriptive italics after completing this section of the template.)

Benefits

State how the institution and the USHE benefit by offering the proposed program. (Remove these descriptive italics after completing this section of the template.)

Consistency with Institutional Mission

Explain how the program is consistent with and appropriate to the institution's Regents-approved mission, roles, and goals. (Remove these descriptive italics after completing this section of the template.)

Section IV: Program and Student Assessment

Program Assessment

State the goals for the program and the measures that will be used in the program assessment procedure to determine if goals are being met. (Remove these descriptive italics after completing this section of the template.)

Expected Standards of Performance

List the standards and competencies that the student will have met and achieved at the time of graduation. How or why were these standards and competencies chosen? Include formative and summative assessment measures you will use to determine student learning. (Remove these descriptive italics after completing this section of the template.)

Section V: Finance

Department Budget

Include the Financial Analysis form followed immediately by comments if necessary. In the following table project the increased expenses to the institution by adding the proposed program.

Appendix B: Full Template

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							
Benefits							
Total Personnel Expense	$	$	$	$	$	$	$
Non-Personnel Expense							
Travel							
Capital							
Library							
Current Expense							
Total Non-Personnel Expense							
Total Expense *(Personnel + Current)*	$	$	$	$	$	$	$
Departmental Funding							
Appropriated Fund							
Other:							
Special Legislative Appropriation							
Grants and Contracts							
Special Fees / Differential Tuition							
Total Revenue	$	$	$	$	$	$	$
Difference							
Revenue-Expense	$	$	$	$	$	$	$
Departmental Instructional Cost / Student Credit Hour* *(as reported in institutional Cost Study for "current" and using the same Cost Study Definition for "projected")*	$	$	$	$	$	$	$

***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

Describe how the program will be funded, i.e. new state appropriation, tuition, reallocation, enrollment growth, grants or other sources. (Remove these descriptive italics after completing this section of the template.)

Reallocation

If program is to be supported through internal reallocation, describe in specific terms the sources of the funds. (Remove these descriptive italics after completing this section of the template.)

Impact on Existing Budgets

If program costs are to be absorbed within current base budgets, what other programs will be affected and to what extent? Provide detailed information. Confidential information may be sent to the Commissioner under seal. (Remove these descriptive italics after completing this section of the template.)

Section VI: Program Curriculum

All Program Courses (with New Courses in Bold)

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). The total number of courses shown and credit hours should match the required number of credits to be awarded the degree. Use the following format. (Remove these descriptive italics after completing this section of the template.)

Course Prefix and Number	Title	Credit Hours
Required Courses		
	Sub-Total	
Elective Courses		
	Sub-Total	
Track/Options (if applicable)		
	Sub-Total	
	Total Number of Credits	

Program Schedule

For each level of program completion, present, by semester, a suggested class schedule – by prefix, number, title, and semester hours. (Remove these descriptive italics after completing this section of the template.)

Section VII: Faculty

List current faculty within the institution – with their qualifications – to be used in support of the program. Do not include resume or resume material. If new faculty lines are being used for the program, but the faculty member has not yet been hired, so indicate. (Remove these descriptive italics after completing this section of the template.)

Appendix AC: General Studies Associate's and Bachelor's Degree Guidelines

A General Studies Associate's or Bachelor's Degree proposal must:

1. Define the purpose of the degree and the institution's rationale for offering the program. Explain how the proposed degree differs from other multidisciplinary degrees (such as university studies, integrated studies, etc.) that may be offered by the institution. Compare the General Studies degree proposal to others around the country.

2. Define the audiences for this degree including types and needs of students.

3. Discuss the value of the degree to graduates of this program.

4. Set admission requirements for entry into the degree program and require students to petition for admission by explaining why they want the degree and what they intend to study. (Discussion of appropriate GPA and accumulated credits at entry in a concentration is ongoing.)

5. Provide evidence that intentionality of student learning is expected and built into the course of study.

6. Show how the proposed degree will require and evaluate curricular coherence.

7. Show how the degree program will require and facilitate student intellectual engagement with relevant academic content.

8. State the institution's procedure for incorporating learning goals with demonstrable learning outcomes.

9. Show how students will demonstrate integration of content and learning experiences through reflective activities, such as capstones, research projects, responding to critical questions, and/or portfolios, during their programs.

10. Require a curricular concentration.

11. Clarify how academic oversight will be provided by faculty.

12. State graduation standards.

~~**Appendix D: Follow-Up Report Template**~~

~~**Instructions:**~~

- ~~The New Programs Follow-up Report Template should be used for those items identified as needing the Report Template in R401-4.1 and listed as possible items to check on the Cover/Signature Page below.~~

- ~~A Report Template consists of a **Cover/Signature Page – New Programs Follow-up Report Template** and a **Report – New Programs Follow-up Report Template**.~~

- ~~Prepare the Three- (or Two-) Year Follow-Up Report per R401-6 instructions **as a Word document** (no PDF formats). When *descriptions of the content required for each section appear in this font color*, **the descriptive italics are to be removed and replaced with the institutional content before the institution submits the proposal to the OCHE.**~~

  NOTE: Two-year templates are required for certificates approved on the Fast Track. All other programs require a three-year follow-up report.

- ~~The CAO or his/her designated representatives should e-mail the completed Abbreviated Template (including electronic signature) to academicaffairs@ushe.edu.~~ **THIS LANGUAGE IS DUPLICATIVE. SEE SECTION 4.**

- ~~The institution is responsible for maintaining a record of the submission as the OCHE Academic and Student Affairs office is not responsible for storing electronic copies of submitted proposals.~~ **THIS LANGUAGE IS DUPLICATIVE. SEE SECTION 4.**

Appendix D: New Programs Follow-up Report Template

Cover/Signature Page – New Programs Follow-up Report Template

Institution Submitting Request: *Name of Institution*
Program Title: *Program being reported*
School or Division or Location: *Name of School/Division Location*
Department(s) or Area(s) Location: *Name of Department/Area Location*
Recommended Classification of Instructional Programs (CIP) Code[4]: *00.0000*
Board of Regents' Approval Date: *MM/DD/YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

Regents' General Consent Calendar Items		
R401-5 OCHE Review and Recommendation; Approval on General Consent Calendar		
SECTION NO.		**ITEM**
5.6.1	☐	Three Year Follow Up Report of Recently Approved Programs
5.6.2	☐	Two Year Follow Up Report of Fast Tracked Certificate

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature **Date:** *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

[4] CIP codes must be recommended by the submitting institution. For CIP code classifications, please see http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

Report – Third-Year Report Template
Higher Education Institution
Degree Type and Title
MM/DD/YEAR

Program Description

One paragraph description of the program. Include Regents' approval date and date when program first started admitting students. (Remove these descriptive italics after completing this section of the template.)

Enrollment and Revenue Data

Use department or unit numbers as reported in the approved R401 proposal for "Prior to Program Implementation" and "Estimated" columns.

Departmental/Unit Enrollment and Staffing Data	Prior to Program Implementation	Year 1		Year 2		Year 3	
		Est.	Actual	Est.	Actual	Est.	Actual
Total Department Student FTE *(Based on Fall Third Week Data)*							
Total Department Faculty FTE *(A-1/S-11/Cost Study Definition)*							
Student FTE per Faculty FTE *(from Faculty FTE and Student FTE above)*							
Program Level Data							
Total Number of Declared Majors in Program	X						
Total Number of Program Graduates	X						
Departmental Revenue							
Total Revenue to Department *(Total of Funding Categories from R401 Budget Projection Table)*							
Departmental Instructional Cost per Student Credit Hour *(per Institutional Cost Study Definition)*		X		X		X	

Institutional Analysis of Program to Date

Provide a statement that summarizes the institution's current analysis of the program's strengths and weaknesses relative to enrollments, staffing, and funding. Describe any actions the institution has taken or will take to respond to any issues with the program.

Employment Information

Provide employment information on graduates of the program. (Remove these descriptive italics after completing this section of the template.)

~~Appendix E: Flow Chart for the OCHE Approval~~

~~Appendix F: Flow Chart for Fast Track Approval~~

~~Appendix G: Abbreviated Template~~

~~**Instructions:**~~

- ~~The Abbreviated Template should be used for those items identified as needing the Abbreviated Template in R401-4 and R401-5 and listed as possible items to check on the Cover/Signature Page below.~~

- ~~**An Abbreviated Template consists of a Cover/Signature Page – Abbreviated Template and Program Request – Abbreviated Template.**~~
  - ~~**Cover/Signature Page – Abbreviated Template:** Complete the items requested at the top of the page, INCLUDING SELECTING A CIP CODE. Check which type(s) of item(s) apply.~~
  - ~~**Program Request – Abbreviated Template:** Complete the sections requested, removing the descriptive italics and replacing them with the content of the proposal.~~

- ~~Prepare the Abbreviated Template per R401-6 instructions **as a Word document** (no PDF formats). Begin each of the two sections (Cover/Signature Page and Program Request) at the top of a new page. When *descriptions of the content required for each section appear in this font color,* **the descriptive italics are to be removed and replaced with the institutional content before the institution submits the proposal to the OCHE.**~~

- ~~The CAO or his/her designated representatives should e-mail the completed Abbreviated Template (including electronic signature) to academicaffairs@ushe.edu.~~ **THIS LANGUAGE IS DUPLICATIVE. SEE SECTION 4.**

- ~~The institution is responsible for maintaining a record of the submission as the OCHE Academic and Student Affairs office is not responsible for storing electronic copies of submitted proposals.~~ **THIS LANGUAGE IS DUPLICATIVE. SEE SECTION 4.**

Appendix G: Abbreviated Template

Cover/Signature Page - Abbreviated Template/Abbreviated Template with Curriculum

Institution Submitting Request: *Name of Institution*
Proposed Title: *Program or Unit Title being proposed*
Currently Approved Title: *Current Program or Unit Title -- if name change*
School or Division or Location: *Name of School/Division Location*
Department(s) or Area(s) Location: *Name of Department/Area Location*
Recommended Classification of Instructional Programs (CIP) Code[5] (for new programs): *00.0000*
Current Classification of Instructional Programs (CIP) Code (for existing programs): *00.0000*
Proposed Beginning Date (for new programs): *MM/DD/YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

Regents' General Consent Calendar Items		
R401-5 OCHE Review and Recommendation; Approval on General Consent Calendar		
SECTION NO.		**ITEM**
4.1.5.1	☐	K-12 Endorsements
5.1.1	☐	Minor*
5.1.2	☐	Emphasis*
5.2.1	☐	(CER P) Certificate of Proficiency*
5.2.3	☐	(GCR) Graduate Certificate*
5.4.1	☐	New Administrative Unit
	☐	Administrative Unit Transfer
	☐	Administrative Unit Restructure
	☐	Administrative Unit Consolidation
5.4.2	☐	Conditional Three-Year Approval for New Centers, Institutes, or Bureaus
5.4.3	☐	New Center
	☐	New Institute
	☐	New Bureau
5.5.1	☐	Out-of-Service Area Delivery of Programs
5.5.2	☐	Program Transfer
	☐	Program Restructure
	☐	Program Consolidation
5.5.3	☐	Name Change of Existing Programs
5.5.4	☐	Program Discontinuation
	☐	Program Suspension
5.5.5	☐	Reinstatement of Previously Suspended Program
	☐	Reinstatement of Previously Suspended Administrative Unit

**Requires "Section V: Program Curriculum" of Abbreviated Template*

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature **Date:** *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

[5] CIP codes must be recommended by the submitting institution. For CIP code classifications, please see http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

Appendix G: Abbreviated Template

Program Request - Abbreviated Template
Higher Education Institution
Degree Type and Title
MM/DD/YEAR

Section I: Request

Briefly describe the request. Indicate the primary activities impacted, especially focusing on any instructional activities. (Remove these descriptive italics after completing this section of the template.)

Section II: Need

Indicate why such an administrative change, program, or center is justified. Reference need or demand studies if appropriate. Indicate the similarity of the proposed unit/program with similar units/programs which exist elsewhere in the state or Intermountain region. (Remove these descriptive italics after completing this section of the template.)

Section III: Institutional Impact

Will the proposed administrative change or program affect enrollments in instructional programs of affiliated departments or programs? How will the proposed change affect existing administrative structures? If a new unit, where will it fit in the organizational structure of the institution? What changes in faculty and staff will be required? What new physical facilities or modification to existing facilities will be required? Describe the extent of the equipment commitment necessary to initiate the administrative change. If you are submitting a reinstated program, or program for off-campus delivery, respond to the previous questions as appropriate. (Remove these descriptive italics after completing this section of the template.)

Section IV: Finances

What costs or savings are anticipated from this change? If new funds are required, describe in detail expected sources of funds. Describe any budgetary impact on other programs or units within the institution. (Remove these descriptive italics after completing this section of the template.)

Section V: Program Curriculum

*****THIS SECTION OF THE TEMPLATE REQUIRED FOR EMPHASES, MINORS, AND CERTIFICATES ONLY*****

All Program Courses (with New Courses in Bold)
List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). The total number of courses shown and credit hours should match the required number of credits to be awarded the degree. Use the following format. (Remove these descriptive italics after completing this section of the template.)

Course Prefix and Number	Title	Credit Hours
Required Courses		
	Sub-Total	
Elective Courses		

Appendix G: Abbreviated Template

~~Course Prefix and Number~~	~~Title~~	~~Credit Hours~~
	~~Sub-Total~~	
~~Track/Options (if applicable)~~		
	~~Sub-Total~~	
	~~Total Number of Credits~~	

~~**Program Schedule**~~

~~*Present by semester, a suggested class schedule – by prefix, number, title, and semester hours. (Remove these descriptive italics after completing this section of the template.)*~~

Appendix H: Programs under Development or Consideration Template

Instructions:

- The Programs under Development or Consideration Template should be used consistent with R401-5.7.3.

- Prepare the Programs under Development or Consideration Template per R401 instructions **as a Word document** (no PDF formats). Begin each of the two sections (Cover/Signature Page and Program Request) at the top of a new page. When *descriptions of the content required for each section appear in this font color,* **the descriptive italics are to be removed and replaced with the institutional content before the institution submits the proposal to the OCHE.**

- The CAO or his/her designated representatives should e-mail the completed PUDC Template (including electronic signature) to academicaffairs@ushe.edu.

- The institution is responsible for maintaining a record of the submission as the OCHE Academic and Student Affairs office is not responsible for storing electronic copies of submitted proposals.

Programs under Development or Consideration Template
Higher Education Institution
MM/DD/YEAR

Use the following table to update the Commissioner's Academic and Student Affairs staff with information for all programs under development or consideration in the next 36 months.

Program Name	Degree Type	Current Status	Projected for Regents' Agenda
			MM/DD/YEAR

Utah System of Higher Education

R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports

Proposed on September 18, 2015

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R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports[1]

Preamble[2]: Academic programs are at the center of the educational mission of Utah's state colleges and universities, and the pursuit of knowledge is the driving consideration for the students served. Additionally, the Board of Regents (Regents) and the Utah System of Higher Education (USHE) universities and colleges are committed to providing students with a range of degrees and other credentials that are appropriate to the respective missions of Utah institutions and that meet, if not exceed, national standards.

The procedure of degree approval is rigorous. The idea for a new degree comes from faculty responding to changes in a specific field, accreditation standards, student demand, or market forces. Before academic programs are sent to the Regents for review, they undergo careful scrutiny by academic departments, college or division committees, academic senates, executive officers, and institutional boards of trustees. Thus, institutional and Regents' reviews hold academic programs to high standards of quality and assure that graduates who earn these degrees and credentials are prepared to live successfully in and contribute to the welfare of the State and its citizens.

R401-1. Purpose. To provide guidelines and procedures for Regents' approval and notification of new programs and programmatic and administrative changes in academic and Career and Technical Education (CTE) programs. Additionally, this policy includes notification of discontinued programs and other program-related items that institutions shall provide to the Commissioner of Higher Education.

R401-2. References.

2.1. Utah Code §53B-16-102, Changes in Curriculum

2.2. Policy and Procedures R220, Delegation of Responsibilities to the President and Board of Trustees

2.3. Policy and Procedures R312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles

2.4. Policy and Procedures R315, Service Area Designations and Coordination of Off-Campus Courses and Programs

2.5. Policy and Procedures R350-355, Education Television and Communications Networking

2.6. Policy and Procedures R411, Cyclical Institutional Program Reviews

[1] Approved November 7, 1972; amended September 25, 1973, February 21, 1984, April 27, 1990 and revised and combined with R402 October 27, 2000. [R402 was approved September 10, 1971, amended November 18, 1980, July 19, 1983, March 20, 1984, September 12, 1986, August 7, 1987, October 26, 1990, April 16, 1993, January 21, 1994, May 1, 1997, May 29, 1998, and revised and combined with R401 October 27, 2000.] R401 amended June 1, 2001, November 8, 2002, May 30, 2003, October 19, 2004, December 14, 2007, April 1, 2010, November 18, 2011, November 16, 2012, July 19, 2013, and September 18, 2015.

[2] The Preamble was adopted by the Chief Academic Officers of the Utah System of Higher Education in September 2004.

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2.7. Policy and Procedures R430, Continuing Education/Community Service

2.8. Policy and Procedures R470, General Education, Common Course Numbering, Lower-Division Pre-Major Requirements, Transfer of Credits, and Credit by Examination

2.9. Policy and Procedure R481, Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review

2.10. Policy and Procedures R508, Guidelines for Approving Lists of Comparable Institutions

R401-3. Definitions.

3.1. Academic and Student Affairs Committee. A committee of the Board of Regents responsible for planning and program review.

3.2. Articulation Agreement. A formal agreement between two or more colleges and universities documenting the transfer policies for a specific academic program or degree. Agreements can cover one, two, or more years of study. Transfer and articulation agreements between lower- and upper-division programs are discussed and agreed upon at the annual Faculty Discipline Majors' Meetings. Additional transfer and articulation agreements, such as those in Career and Technical Education (CTE), may be developed between and among institutions. If the CTE agreements affect general education transfer and articulation, they should be introduced to the appropriate Faculty Discipline Major's Meeting in order to inform other USHE institutions.

3.3. Chief Academic Officer (CAO). The person designated by a USHE institution as its Chief Academic Officer who is responsible for matters related to the academic affairs of the institution.

3.4. Classification of Instructional Programs (CIP) Code. The code associated with a particular program of study as specified by the USHE institution in concert with the National Center for Education Statistics (NCES) taxonomy of programs.

3.5. Career and Technical Education (CTE). Designation given to certain programs consistent with state and national Career and Technical Education definitions.

3.6. Emphasis. A collection of courses within an Associate of Applied Science, baccalaureate, or graduate degree that gives students a specific focus in a particular sub-area related to the identifiable core of courses required for the degree. Emphases must be clearly within the major field of study specified for the degree.

3.7. Major. The discipline in which the degree resides.

3.8. Office of the Commissioner of Higher Education (OCHE). The Utah Commissioner of Higher Education and his/her staff.

3.9. Program. As specified in R481-3.10.1, a "program" is a unit within the institution with an identifiable teaching, research, or other academic mission. For a unit to be designated as a

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"program," it shall have an identified group of faculty and shall fulfill one or more of these criteria: (1) has "program," "center," "institute," "laboratory," "department," "school," or "college" in its title or has otherwise been designated as a program; (2) offers or administers a degree, certificate, or some other credential; (3) has an identifiable curriculum or is formally described in current institutional catalogs or other publications; and/or (4) has a separate budget as listed in official university documents.

3.9.1. Centers, Institutes, or Bureaus. Administrative entities that perform primarily research, instructional, or technology transfer functions and are intended to provide services to students, the community, businesses, or other external audiences, or to obtain external funds.

3.10. Program Review Committee (PRC). The Board of Regents' Academic and Student Affairs Committee serves as the PRC and is responsible for academic program review.

3.11. Utah System of Higher Education (USHE). A system of public higher education institutions as designated by the legislature within the State of Utah.

3.12. Academic Awards. Academic awards range from certificates to doctoral degrees. The following definitions describe common characteristics of each award. In compliance with accreditation, additional requirements and course work may be established by USHE institutions. Academic awards require Regent approval (see R401-4 and R401-5).

3.12.1. Certificate of Proficiency. A program of study that prepares students for gainful employment in a recognized occupation. Less than one year in length of full-time study. Requires 16 to 29 semester credit hours or 600 to 899 clock hours. Does not require but may include general education courses.

3.12.1.1. Entry-Level CTE Certificate of Proficiency. Meets Perkins eligibility requirements and federal financial aid requirements, and is composed of primarily 1000-level courses without prerequisites.

3.12.1.2. Mid-Level Certificate of Proficiency. Provides students with a specific set of skills. May meet Perkins eligibility and/or federal financial aid requirements. Made up of courses selected from undergraduate programs, with or without prerequisites.

NOTE: Institutional Certificates of Proficiency less than one year in length (less than 30 semester hours, or 900 clock hours) ending in a certificate issued under the authority of the institution *do not require approval by the Regents*.

3.12.2. Certificate of Completion. A program of study consisting primarily of 1000-level courses. Intended to prepare students for gainful employment in a recognized occupation. Typically more than one year and less than two years in length of full-time study. Requires a minimum of 30 and a maximum of 33 semester credit hours or 900 to 990 clock hours consisting primarily of 1000-level courses. General education requirements are less extensive than in AA and AS degrees, generally 9 credit hours in Composition,

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Computation, and Human Relations. Certificates more than 45 semester credit hours or 1350 clock hours must show how the certificate can lead to an associate's degree within the normal credit hour requirements for that degree. When appropriate, transfer agreements should be included in the program proposal.

3.12.3. Associate of Applied Science (AAS) Degrees. Programs of study that include limited general education, course work in a subject, and are intended to prepare students for entry-level careers. Typically two years in length of full-time study. Require a minimum of 63 and a maximum of 69 semester credit hours. General education requirements are less extensive than in AA or AS degrees, generally 9 hours in Composition, Computation, and Human Relations. General education courses may be embedded within a course in the discipline, but must be identifiable.

3.12.4. Associate of Arts (AA) and Associate of Science (AS) Degrees. Programs of study primarily intended to encourage exploration of academic options that provide a strong general education component, and prepare students for upper-division work in baccalaureate programs or for employment and for responsible citizenship. Typically two years in length of full-time study. Requires a minimum of 60 and a maximum of 63 semester credit hours, which include 30 to 39 semester credit hours of general education course work.

3.12.4.1. Specialized Associate's Degrees. Associate's degrees that include extensive specialized course work, such as the Associate of Pre-Engineering, and are intended to prepare students to initiate upper-division work in a particular baccalaureate program. Contain a minimum of 68 and a maximum of 85 semester credit hours, which include a minimum of 28 semester credit hours of preparatory, specialized course work, and general education requirements that may be less extensive than in AA or AS degrees. Because students might not fully complete an institution's general education requirements while completing a specialized associate's degree, they are expected to satisfy remaining general education requirements in addition to upper-division baccalaureate requirements at the receiving institution. Specialized associate's degree programs have formal, written, articulation agreements for the courses transferring. In some cases, articulation may be system-wide.

3.12.4.2. Pre-Major. Associate's degrees that include a set of courses designed to prepare students for upper-division work in a specific major. Courses contained in a pre-major in an AA or AS degree should be the same or similar to courses offered at four-year institutions as determined by the Faculty Discipline Majors' Committees. Pre-majors must follow statewide articulation agreements where such agreements have been formulated. When a pre-major affects students transferring from two-year institutions, formal articulation agreements are desirable and students should be clearly informed of the transferability of the courses taken in the pre-major at the two-year institution. Upon transfer, students, if accepted into a major, should generally be able to complete the baccalaureate degree in two additional years of full-time study.

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3.12.4.3. General Studies Associate's Degrees. See *General Studies Associate's and Bachelor's Degrees Guidelines, Appendix A*, for conditions that should be met in the design of General Studies degrees.

3.12.5. Bachelor of Arts (BA) and Bachelor of Science (BS) Degrees. Programs of study which include general education, major course work, and prepare students for employment in a career field and for responsible citizenship. Typically four years in length of full-time study. Requires a minimum of 120 and a maximum of 126 semester credit hours.

3.12.5.1. Professional Bachelor's Degrees. A professional degree prepares students for a particular profession by emphasizing skills and practical analysis built upon theory and research and, most often, has specialized accreditation that sets acceptable practice standards. May exceed the maximum of 126 credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

3.12.5.2. Baccalaureate Pre-Major. At four-year institutions not offering an AA or AS degree, the term "pre-major" applies to preparatory, lower-division courses required for acceptance into a major. Pre-major course work is not sufficient to admit the student to the major in cases where the institution has admission requirements for the major and a limit on the number of students who may pursue the major. Courses in a baccalaureate pre-major should be the same or similar to those offered by the two-year programs as determined by the Faculty Discipline Majors' Committees. NOTE: A pre-major for a BA/BS or professional bachelor's degree may be specified by the institution, *but does not require Regent approval*.

3.12.5.3. General Studies Bachelor's Degrees. See *General Studies Associate's and Bachelor's Degrees Guidelines, Appendix A*, for conditions that should be met in the design of General Studies degrees.

3.12.5.4. Minor. A coherent collection of related courses that are deemed to be a student's secondary field of academic concentration or specialization during undergraduate studies.

3.12.5.5. K-12 Teaching Endorsement. A collection of courses, built upon a Regent-approved teacher education program that prepares K-12 teachers or teacher candidates to meet specific area certification as established and conveyed by the Utah State Office of Education.

3.12.6. K-12 School Personnel Programs. Licensure preparation programs for teacher education, counselors, administrators, and other school personnel.

3.12.7. Graduate Certificate. A program of study, less than one year in length, made up of graduate-level course work, with a pre-requisite of at least a bachelor's degree.

3.12.8. Master of Arts (MA) and Master of Science (MS) Degrees. Graduate-level programs of study beyond the bachelor's degree. Typically more than one and less than two

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years of full-time graduate study. Requires a minimum of 30 and maximum of 36 semester credit hours of course work.

3.12.8.1. Professional Master's Degrees. Professional master's degrees such as the Master of Business Administration or Master of Social Work may require additional course work or projects. May exceed the maximum of 36 credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

3.12.9. Doctoral Degrees. Graduate-level programs beyond the master's degree in an advanced, specialized field of study requiring competence in independent research and an understanding of related subjects. Generally three to six years of study. Requires preparation and defense of a dissertation based on original research or planning or execution of an original project demonstrating substantial artistic or scholarly achievement.

3.12.9.1. Professional Practice Doctoral Degrees. Provides knowledge and skills for credential or license required for professional practice. Pre-professional and professional preparation for degrees such as the juris doctorate and medical doctorate requires at least six years of full-time study.

R401-4. Regents' Approval, Committee of the Whole. Institutions submitting program proposals requiring approval by the Regents' Committee of the Whole shall adhere to the procedures for submitting a full proposal and follow the *Proposal and Notification Submission Procedures* (R401-7).

4.1. Program Items Requiring Regents' Committee of the Whole Approval. Items requiring Regent approval are as follows:

4.1.1. New Associate of Applied Science Degrees;
4.1.2. New Associate of Arts, Associate of Science, and Specialized Associate's Degrees;
4.1.3. New Baccalaureate Degrees;
4.1.4. New Master's Degrees;
4.1.5. New Doctoral Degrees; and
4.1.6. New K-12 Personnel Licensure Programs.

4.2. Review Procedure for Program Items Requiring Regents' Committee of the Whole Approval. Programs requiring Regent Approval, Committee of the Whole, will be reviewed by the following entities and in the order specified.

4.2.1. Review and Approval by the Institutional Board of Trustees.

4.2.2. Review by Specialized Groups. Review by specialized groups may be conducted concurrently with review by the Boards of Trustees, if such concurrent review is consistent with institutional policies and procedures. The following types of programs require specialized review as noted.

4.2.2.1. K-12 School Personnel Programs. K-12 school personnel preparation programs shall be reviewed by the USHE Schools and Colleges of Education.

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4.2.2.2. Career and Technical Education (CTE) Programs. CTE programs shall go through the Regional Career and Technical Education Planning process, as implemented in the proposing institution's region, which has the primary purposes of: (1) Planning CTE certificate and associate's degree programs that are responsive to the needs of business/industry and the citizens of the region, and providing a transition for secondary students into postsecondary programs; and (2) avoiding unnecessary duplication of CTE certificate and degree programs among higher education institutions in a region. Results of the review process shall be provided to the Regents when a CTE program proposal is submitted for approval.

4.2.3. Institutional Submission of Request to the OCHE. See R401-7, *Proposal and Notification Submission Procedures*, and Full Template instructions.

4.2.4. Review by the Commissioner's Staff. Full program proposals will be forwarded to the Commissioner's Academic and Student Affairs staff for review and comment. The financial analysis document may be reviewed by the Commissioner's Finance staff in order to verify financial data.

4.2.5. Review by Council of Chief Academic Officers (CAOs). After the Commissioner's staff has reviewed the proposal and is satisfied it is ready for CAO review, it will be posted to the USHE website designated for program items to be reviewed by CAOs. The CAOs must review and post their comments concerning the full proposal for response from the other CAOs. Prior to review by the PRC, the Council of Chief Academic Officers will meet with the Commissioner's Academic and Student Affairs staff to discuss the institutional proposals and the comments submitted by other USHE institutions, external reviews, and initial evaluation from the Commissioner's staff. This discussion will be considered by the Commissioner's staff in preparing materials and recommendations for the Regents.

4.2.6. Review by Program Review Committee (PRC). Once the CAOs and Commissioner's staff have commented, the full program proposal and all attendant issues will be forwarded for review by the PRC. The PRC will review the program proposal and accompanying information, discuss any questions and issues, and request additional information as appropriate, including a request for a consultant to review the proposed program and surrounding issues. In the case a consultant review is requested, the proposing institution will provide to the Commissioner's staff a list of appropriate consultants. The staff will contact a consultant acceptable to the institution and to the Commissioner's staff and arrange for the review. Once the consultant's report has been completed, it will be made available to the PRC, the proposing institution, and the CAOs. As programs are reviewed, at the request of the PRC, additional individuals may be asked to attend the meeting.

4.2.7. Consideration by Board of Regents. Program proposals that have been reviewed according to the procedures described in R401-4 will be placed on the Regents' agenda as directed by the PRC. The Commissioner's review for the Regents will address not only the readiness of the institution to offer the program and the need for the program, but also the impact of the program on other USHE institutions. The Regents' Academic and Student Affairs Committee reviews proposals for new programs and recommends action to

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the Regents. The Regents then take action on the proposed program during the meeting of the Committee of the Whole.

4.2.7.1. Voting for Approval by Board of Regents. All new associate's and bachelor's degree programs must be approved by a majority vote of the Regents members in attendance. All new master's and doctoral degree programs require at least a two-thirds majority of the members in attendance to be approved.

4.2.7.2. Budgetary Considerations Separate from Approval. Program approval by the Regents consists only of authorization to offer a program. Budget requests necessary to fund the program shall be submitted separately through the regular budget procedure.

4.3. Full Proposal Submission Guidelines.

4.3.1. Emphasis Contained within a Proposal for a New Degree. When an emphasis is contained within an AAS, baccalaureate, or graduate degree being presented for initial approval, the emphasis should be identified within the new degree proposal and approved through the new degree approval process.

4.3.1.1. Emphasis Added to an Existing Degree. The proposing institution shall submit an Abbreviated Template proposal to add an emphasis to an existing Regent-approved degree (see R401-5).

4.3.2. Minor Contained within a Proposal for a New Degree. A minor which is presented within a bachelor's degree proposal must be identified.

4.3.2.1. Minor Added to an Existing Degree. The proposing institution shall submit an Abbreviated Template proposal to add a minor to an existing Regent-approved degree (see R401-5).

4.3.3. Excess Credits. Based on compelling reasons, exceptions to the maximum credit hour requirement may be granted by the Regents. When a new degree is proposed, include justification for requiring semester credit hours in excess of the credit hour limits listed in R401-3.

R401-5. Review and Recommendation by the OCHE with Regent Approval on the General Consent Calendar. Institutions submitting proposals requiring OCHE recommendation and Regent approval on the General Consent Calendar shall adhere to the process shown in R401-5.2. When submitting proposals to the OCHE for one of the items specified in R401-5.1., the institution shall adhere to the procedures for submitting the appropriate Abbreviated Template and follow the *Proposal and Notification Submission Procedures* (R401-7).

5.1. Items Requiring Review and Recommendation by the OCHE. Items requiring OCHE review to be placed on the General Consent calendar are as follows:

5.1.1. New Certificates of Proficiency (except Institutional Certificates of Proficiency);

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5.1.2. New Certificates of Completion;
5.1.3. New Graduate Certificates;
5.1.4. New Minors;
5.1.5. New Emphases within a Regent-approved degree;
5.1.6. New K-12 Endorsements;
5.1.7. Existing Program Changes including:
    5.1.7.1. Program Transfer;
    5.1.7.2. Program Restructure;
    5.1.7.3. Program Consolidation;
    5.1.7.4. Program Suspension;
    5.1.7.5. Program Discontinuation;
    5.1.7.6. Program Name Change;
    5.1.7.7. Out-of-Service Area Delivery of a Program; and
    5.1.7.8. Reinstatement of a Previously Suspended Program.

5.1.8. Program Reports including:
    5.1.8.1. Two-Year Follow Up Reports;
    5.1.8.2. Three-Year Follow Up Reports; and
    5.1.8.3. Cyclical Institution Program Reviews (R411).

5.1.9. Administrative Unit Changes including:
    5.1.9.1. New Administrative Units;
    5.1.9.2. Administrative Unit Transfer;
    5.1.9.3. Administrative Unit Restructure;
    5.1.9.4. Administrative Unit Consolidation; and
    5.1.9.5. Reinstatement of Previously Suspended Administrative Units.

5.1.10. Creation of Non-administrative Units including:
    5.1.10.1. New Centers;
    5.1.10.2. New Institutes;
    5.1.10.3. New Bureaus; and
    5.1.10.4. Conditional Three-Year Approval of New Centers, Institutes, and Bureaus.

5.2. Review Process for Program Items Requiring OCHE Review and Recommendation with Regent Approval on the General Consent Calendar.

5.2.1. Review and Approval by Institutional Board of Trustees.

5.2.2. Review by Specialized Groups. K-12 endorsement programs for USOE licensure in specific areas may be reviewed by Schools and Colleges of Education at the request of the Commissioner's staff.

5.2.3. Institutional Submission of Request to the OCHE. See R401-7, *Proposal and Notification Submission Procedures*, and appropriate template instructions.

5.2.4. Review by the Commissioner's Staff.

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5.2.5. CAO Review (optional, necessity determined by the Commissioner's staff). The Commissioner's staff may share proposals with the institutional CAOs for further feedback as needed.

5.2.6. OCHE Notice to the Institution of Need for Further Information or Approval. Within 15 days of the item being received by the OCHE, the institution will be notified that either: (1) further information is required by the Commissioner; or (2) the item is being placed on the Regents' General Consent Calendar.

5.2.7. Commissioner's Staff Places Item on the Regents' General Consent Calendar for Approval.

5.3. Abbreviated Proposal Submission Guidelines.

5.3.1. Fast Track Approval for Certificates. To meet immediate industry needs and for other compelling reasons Certificates of Proficiency needing approval for financial aid, and Certificates of Completion, may be submitted to the Commissioner for Fast Track approval. The Fast Track Approval Process is detailed below:

5.3.1.1. Review and Approval by Institutional Board of Trustees. The certificate must have been approved by the institution's internal program development and approval procedure.

5.3.1.2. Review through the Career and Technical Education Regional Planning Process. Institutional CTE Directors coordinate regional planning processes.

5.3.1.3. Institutional Submission of Request to the OCHE. See R401-7, *Proposal and Notification Submission Procedures*, and appropriate template instructions.

5.3.1.4. Review by the Commissioner's Staff and Commissioner's Response. The Commissioner's staff will review the proposal and recommend action to the Commissioner. Within 15 days of the item being received by the OCHE, the institution will be notified that either: (1) further information is required by the Commissioner; or (2) the item is being returned with approval for immediate effect.

5.3.1.5. Regent Consideration. The program will be placed on the General Consent Calendar of the next Regents' meeting.

5.3.2. Emphasis Added to an Existing Degree. The proposing institution shall submit an Abbreviated Template proposal to add an emphasis to an existing Regent-approved degree.

5.3.3. Minor Added to an Existing Degree. The proposing institution shall submit an Abbreviated Template proposal to add a minor to an existing Regent-approved degree.

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5.3.4. Conditional Three-Year Approval for New Centers, Institutes, or Bureaus. Institutions may seek temporary approval from the Commissioner for a center, institute, or bureau that is being established on an experimental or pilot basis. The Commissioner will evaluate and approve requests for temporary approval on the basis of the following criteria and conditions: (1) the proposed change requires a modest effort in terms of staff and space needs, normally with no permanent staff or no permanent facility assignment or is fully supported by external funding; (2) activities involved are consistent with established institutional mission and role assignments; and (3) the administrative entity involved has programmatic affiliation with an existing academic program or department. Temporary approval of centers, institutes, or bureaus may be granted for a period no longer than three years, after which an institution must request approval of the Regents.

5.3.5. Out-of-Service-Area Delivery of Programs. Programs that require substantive change notification to the regional accreditation organization and/or are offered outside of the institution's designated service area must seek approval (see R315, *Geographic Service Regions*; R312, *Institutional Mission and Roles*).

5.3.6. Discontinuation or Suspension of Programs. *Discontinuation* of a program consists of entirely removing the program from the institution's and the Regents' list of approved programs, after current students have an opportunity to complete. *Suspension* of a program is a temporary prohibition of new enrollments to the program. The program will remain on the Regents' list of approved programs and may, according to the institution's discretion, remain in the online and/or printed catalog until fully discontinued.

5.3.6.1. Student Completion in Discontinued or Suspended Programs. Students currently admitted to the program must be provided a way to complete the program in a reasonable period of time compatible with accreditation standards. This may require: (1) enrollment of students at other institutions of higher education; or (2) courses to be taught for a maximum of two years after discontinuation of the program or until there are no other admitted students who are entitled to complete the program, whichever comes first.

5.3.6.2. System Coordination. Institutions should consider the statewide impact of discontinuing the program and identify opportunities for establishing the program at another USHE institution. Institutions should consider discontinuance of unnecessarily duplicated programs within the USHE, particularly programs that may be high cost and/or low producing.

5.3.7. Reinstatement of Previously Suspended Program or Administrative Unit. If circumstances change and an institution plans to restart a suspended program or an administrative unit, the institution must give notice to the Board of Regents using the appropriate Abbreviated Template. Notice should include a statement verifying the program name, administrative unit structure and/or the curricular content are identical to the original program. If either the name or curricular content of the program have changed, the program should be submitted as a new program and the suspended program should be discontinued.

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R401-6. Reports. All programs approved by the Regents under R401 require a report three years after implementation or two years after implementation for programs approved under the Fast Track procedure. Institutions must submit reports using the appropriate USHE report template.

6.1. Two-Year Review of Programs Approved through the Fast Track Procedure. Institutions operating programs approved through the Fast Track procedure submit a report to the Commissioner's Academic and Student Affairs staff for review two years from the date the program is implemented. Once the report has been reviewed and found to contain the required information, it will be made available for review by PRC members and forwarded to the Regents for the next agenda. The Regents may request information in addition to that contained in the report.

6.2. Cyclical Institutional Program Reviews. Institutions submit five- and seven-year program reviews of programs approved under R401 (See Policy and Procedures R411, *Cyclical Program Reviews*).

6.2.1. List of Scheduled Program Reviews. The annual list of scheduled program reviews as defined in R411, *Review of Existing Programs*, including date of review, is due at the beginning of each September.

6.3. Programs under Development or Consideration. The Program Planning Reports provide the Regents with a system-wide view of the programs that may be brought to them for approval.

6.3.1. Submission Timeline for Program Planning Report. In February of each year, each institution shall submit an updated Program Planning Report of programs under development or consideration that may be brought to the Regents for formal approval within the next 36 months.

6.3.2. Continuous Update. The information in each planning report is to be updated whenever the status of a program changes or a new program is being considered. Once a program has been approved by the Regents or is no longer under consideration at an institution, it should not appear in the report.

R401-7. Proposal and Notification Submission Procedures.

7.1. Proposal Templates. The proposal template required for each type of item is specified in R401-4 and R401-5. Proposals must follow submission instructions found with each template.

7.1.1. USHE Proposal Templates. Proposals for new programs and administrative units or changes to existing programs and administrative units are submitted to the Commissioner's office using the designated USHE Full or Abbreviated Template (see R401-4 and R401-5). CAOs or their designees review templates regularly. Proposed changes are approved by the CAOs with the Commissioner's staff. Current versions of all proposal and report templates are available online.

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7.1.1.1. Right to Call for Additional Information for a Proposal. Additional information may be requested in order to evaluate any proposal or reports submitted. For approvals requiring only an Abbreviated Proposal, the Commissioner reserves the right to require a more detailed proposal, including a full proposal, if questions or concerns are raised.

7.1.2. Classification of Instructional Program (CIP) Codes. When preparing the Full or Abbreviated Template, the institution must choose an appropriate CIP code. For CIP code classifications, see nces.ed.gov/ipeds/cipcode/. The CIP code is a critical data element and will be recorded by the OCHE and used for data requests, reporting, and tracking.

7.1.3. Transmission of Proposals. Proposals must be transmitted by the Chief Academic Officer or his/her designated representative.

7.1.4. Records. The institution is responsible for maintaining a record of proposal submissions. OCHE is not responsible for storing electronic copies of submitted proposals.

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Appendix A: General Studies Associate's or Bachelor's Degree Guidelines

A General Studies Associate's or Bachelor's Degree proposal must:

1. Define the purpose of the degree and the institution's rationale for offering the program. Explain how the proposed degree differs from other multidisciplinary degrees (such as university studies, integrated studies, etc.) that may be offered by the institution. Compare the General Studies degree proposal to others around the country.

2. Define the audiences for this degree including types and needs of students.

3. Discuss the value of the degree to graduates of this program.

4. Set admission requirements for entry into the degree program and require students to petition for admission by explaining why they want the degree and what they intend to study. (Discussion of appropriate GPA and accumulated credits at entry in a concentration is ongoing.)

5. Provide evidence that intentionality of student learning is expected and built into the course of study.

6. Show how the proposed degree will require and evaluate curricular coherence.

7. Show how the degree program will require and facilitate student intellectual engagement with relevant academic content.

8. State the institution's procedure for incorporating learning goals with demonstrable learning outcomes.

9. Show how students will demonstrate integration of content and learning experiences through reflective activities, such as capstones, research projects, responding to critical questions, and/or portfolios, during their programs.

10. Require a curricular concentration.

11. Clarify how academic oversight will be provided by faculty.

12. State graduation standards.

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Utah System of Higher Education
New Program Proposal
Cover/Signature Page – Full Template

Institution Submitting Request: *Name of Institution*
Proposed Program or Unit Title: *Program or Unit Title being proposed*
Sponsoring School or Division ~~or Location~~: *Name of School/Division Location*
Sponsoring Academic Department(s) ~~or Area(s) Location~~: *Name of Department/Area Location*
~~Recommended~~ Classification of Instructional Program~~s (CIP)~~ Code[1] **:** *00.0000*
Minimum/Maximum Credit Hours Required: ___/___
Proposed Beginning ~~Date~~Term: *SEMESTER/YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

~~Regents' Agenda Items~~		
~~R401-4 and R401-5 Approval by Committee of the Whole~~		
~~SECTION NO.~~		**~~ITEM~~Program Type**
~~4.1.1~~	☐	(AAS) Associate of Applied Science Degree
~~4.1.2~~	☐	(AA) Associate of Arts Degree
	☐	(AS) Associate of Science Degree
	☐	Specialized Associate Degree (specify award: _____)
	☐	Other (specify award: _____)
~~4.1.4~~	☐	~~Baccalaureate Degree~~(BA) Bachelor of Arts
	☐	(BS) Bachelor of Science
	☐	Professional Bachelor Degree (specify award: _____)
	☐	Other (specify award: _____)
~~4.1.5~~	☐	K-12 School Personnel Programs
~~4.1.6~~	☐	~~Master's Degree~~(MA) Master of Arts Degree
	☐	(MS) Master of Science Degree
	☐	Professional Master Degree (specify award: _____)
~~4.1.7~~	☐	Doctoral Degree (specify award: _____)
~~5.2.2~~	☐	~~(CER C) Certificate of Completion~~
~~5.2.4~~	☐	~~Fast Tracked Certificate~~

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature **Date:** *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

[1] ~~CIP codes must be recommended by the submitting institution.~~ For CIP code classifications, please see http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

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Executive Summary – Full Template
Higher Education Institution
Degree Type and Title
MM/DD/YEAR

NOTE: Please limit the Executive Summary to no more than two pages.(Remove these descriptive italics when using template.)

Program Description
One paragraph description of the program. (Remove italics when using template.)

Role and Mission Fit
One paragraph statement showing how the proposed certificate or degree is in harmony with the current role and mission of the institution as set forth in Regents' Policy (R312). (Remove italics when using template.)

Faculty
State the level of preparedness of current faculty and the level of preparedness that will be needed by the fifth year. Identify the need for additional faculty for each of the first five years of the program. Describe the faculty development procedures that will support this program. (Remove italics when using template.)

Market Demand
One paragraph giving current data on market demand or the utility of the degree, how the program will accommodate a changing market, and hiring patterns including local, state, and national trends (long-term market needs and numbers to be included). Note that the Department of Workforce Services provides labor market demand data for Utah. It is acknowledged that some degree proposals may be in response to student demand rather than immediate labor market demand. (Remove italics after completing this section of the template.)

Student Demand
One paragraph giving current student demand, which is demonstrated by student surveys, petitions. Detail potential students' preparation for the program. (Remove italics after completing this section of the template.)

Statement of Financial Support
Indicate from which of the following the funding will be generated. Provide the detail for funding as part of the "Financial Analysis" section. (Remove these descriptive italics after completing this section of the template.)

- Appropriated Fund ☐
- Special Legislative Appropriation ☐
- Grants and Contracts ☐
- Special Fees ☐
- Differential Tuition (must be approved by the Regents) ☐
- Other (please describe) ☐

Similar Programs Already Offered in the USHE
A list of similar programs already approved and functioning at USHE institutions. (Remove these descriptive italics after completing this section of the template.)

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Utah System of Higher Education
Program Description – Full Template
~~**Higher Education Institution**~~
~~**Degree Type and Title**~~
~~**MM/DD/YEAR**~~

Section I: The Request

Name of Institution requests approval to offer *Name of Degree* effective *Semester Year.* This program ~~has been~~was approved by the institutional Board of Trustees on *Date.*

Section II: Program ~~Description~~ Proposal

~~Complete~~ Program Description
Present a~~the~~ complete, formal program description. ~~as it will appear in the institution's catalog~~. ~~(Remove these descriptive italics after completing this section of the template.)~~

~~Purpose of Degree~~
~~*State why your institution should be approved to offer this degree and the expected outcomes. (Remove these descriptive italics after completing this section of the template.)*~~

Consistency with Institutional Mission
Explain how the program is consistent with ~~and appropriate to~~ the institution's Regents-approved mission, roles, and goals. ~~(Remove these descriptive italics after completing this section of the template.)~~

Section III: Needs Assessment

Program ~~Need~~Rationale
~~*Clearly*~~ *Briefly indicate why such a program should be initiated. ~~(Remove these descriptive italics after completing this section of the template.)~~ State how the institution and the USHE benefit by offering the proposed program. Briefly describe the institutional procedures used to arrive at a decision to offer the program.*

Labor Market Demand
Include local, state, and/or national labor market data (as appropriate). ~~and~~ Data such as occupational demand, median wage, estimated number of annual openings, and job placement information~~, the types of jobs graduates have obtained from similar programs. Indicate future impact on the program should market demand change. (Remove these descriptive italics after completing this section of the template.)~~ may be incorporated from various sources such as Utah DWS Occupation Information Data Viewer (http://jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco).

Student Demand
Describe evidence of student interest and demand that supports potential program enrollment. ~~(Remove these descriptive italics after completing this section of the template.)~~

~~Expansion of Existing Program~~
If the proposed program is an expansion or extension of an existing program, present enrollment trends by headcount and by student credit hours (if appropriate) produced in the current program for each of the past five years for each area of emphasis or concentration. ~~(Remove these descriptive italics after completing this section of the template.)~~ See Appendix D for three-five years' projected enrollments and graduates ~~and for faculty to student ratios~~.

Similar Programs
Are similar programs offered elsewhere in the USHE, the S~~s~~tate, or Intermountain Region? If yes, cite justifications for why the Regents should approve another program of this type. How does the proposed program differ from or compliment similar program(s)? ~~Be specific. (Remove these descriptive italics after completing this section of the template.)~~

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Collaboration with and Impact on Other USHE Institutions

Describe discussions with other USHE institutions ~~that are~~ already offering ~~the~~ this program ~~that have occurred regarding your institution's intent to offer the proposed program~~. Include any collaborative efforts that may have been proposed. ~~Analyze~~ Assess the impact that the new program would have on other USHE institutions. ~~(Remove these descriptive italics after completing this section of the template.)~~

External Review and Accreditation

Indicate whether ~~any external~~ consultants external to the institution~~, either in- or out-of-state,~~ were involved in the development of the proposed program, and describe the nature of that involvement. ~~For~~ a career and technical education program, list the members and describe the activities of the program advisory committee. Indicate any special professional accreditation ~~which~~that will be sought and how that accreditation will impact the program. Project a future date for an ~~possible~~ accreditation review; indicate ~~how close the institution is to achieving the requirements, and what~~ the costs ~~will be~~ to achieve accreditation~~them~~. ~~(Remove these descriptive italics after completing this section of the template.)~~

Benefits

~~*State how the institution and the USHE benefit by offering the proposed program. (Remove these descriptive italics after completing this section of the template.)*~~

Section IV: Program Details

~~Justification for~~ Graduation Standards and Number of Credits

Provide graduation standards. Provide justification if number of credit or clock hours exceeds credit limit described in R401-3. ~~63 for AA or AS, 69 for AAS, 126 credit hours for BA or BS; and 36 beyond the baccalaureate for MS. (Remove these descriptive italics after completing this section of the template.)~~

Admission Requirements

List admission requirements specific to the proposed program. ~~(Remove these descriptive italics after completing this section of the template.)~~

Curriculum & Degree Map

See Appendix A for a list of courses and see Appendix B for program Degree Map.

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

See Appendix D for projected program enrollment.

~~Expansion of Existing Program~~

~~*If the proposed program is an expansion or extension of an existing program, present enrollment trends by headcount and by student credit hours (if appropriate) produced in the current program for each of the past five years for each area of emphasis or concentration.*~~

Section V: Institution, Faculty, and Staff Support

Institutional Readiness

Describe how the existing administrative structures support the proposed program and identify new organizational structures that may be needed to deliver the program. Describe how the proposed program will or will not impact the delivery of undergraduate and/or lower-division education. ~~(Remove these descriptive italics after completing this section of the template.)~~

~~Departmental~~ Faculty

State the level of preparedness of current faculty and the level of preparedness that will be needed by the fifth year. Identify the need for additional faculty for each of the first five years of the program. Describe the faculty development procedures that will support this program. Provide plans and sources to secure qualified faculty, as needed, to support, this program. See Appendix C~~B~~ for detail on faculty ~~FTE~~profiles and new hires in support of this program.

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Staff

List ~~all~~ additional staff needed to support the program in each of the first five years, e.g., administrative, secretarial, clerical, laboratory aides/ instructors, advisors, teaching/graduate assistants. ~~(Remove these descriptive italics after completing this section of the template.)~~

Student Advisement

Describe how students in the proposed program will be advised. ~~(Remove these descriptive italics after completing this section of the template.)~~

Library and Information Resources

Describe library resources required to offer the proposed program if any. ~~Does the institution currently have the needed~~List new library resources to be acquired.~~?~~ ~~(Remove these descriptive italics after completing this section of the template.)~~

Projected Enrollment and Finance

See Appendix D for projected enrollment and finance, including information on funding sources, reallocation, and impact on existing budgets.

Section ~~I~~VI: Program ~~and Student Assessment~~Evaluation

Expected Standards of Performance

List the standards and competencies that the student will have met and achieved at the time of graduation. How or why were these standards and competencies chosen? Include formative and summative assessment measures you will use to determine student learning. ~~(Remove these descriptive italics after completing this section of the template.)~~

Program Assessment

Identify program goals and learning outcomes. Describe the system of assessment to be used to assess student learning and outcome achievement. ~~State the goals for the program and the measures that will be used in the program assessment procedure to determine if goals are being met. (Remove these descriptive italics after completing this section of the template.)~~

~~Section VII: Finance~~

~~Funding Sources~~

~~*Describe how the program will be funded, i.e. new state appropriation, tuition, reallocation, enrollment growth, grants or other sources. (Remove these descriptive italics after completing this section of the template.)*~~*Indicate from which of the following the funding will be generated. Provide the detail for funding as part of the "Financial Analysis" section. ~~(Remove these descriptive italics after completing this section of the template.)~~*

~~Appropriated Fund..... ☐~~
~~Special Legislative Appropriation..... ☐~~
~~Grants and Contracts..... ☐~~
~~Special Fees ..... ☐~~
~~Differential Tuition (must be approved by the Regents)..... ☐~~
~~Other (please describe)..... ☐~~

~~Reallocation~~

~~*If program is to be supported through internal reallocation, describe in specific terms the source(s) of the funds. (Remove these descriptive italics after completing this section of the template.)*~~

~~Impact on Existing Budgets~~

~~*If program costs are to be absorbed within current base budgets, what other programs will be affected and to what extent? Provide detailed information. If program is to be supported through internal reallocation, describe the source(s) of the funds.*~~

DRAFT

Confidential information may be sent to the Commissioner under seal. (Remove these descriptive italics after completing this section of the template.)

See Appendix D for three year detail of budget in support of this program.

Section VII: Faculty

List current faculty within the institution – with their qualifications – to be used in support of the program. Do not include resume or resume material. If new faculty lines are being used for the program, but the faculty member has not yet been hired, so indicate. (Remove these descriptive italics after completing this section of the template.)

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~~Section VI~~Appendix A: Program Curriculum

All Program Courses (with New Courses in Bold)

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences) The total number of courses shown and credit hours should match the required number of credits to be awarded the degree. ~~Use the following format. (Remove these descriptive italics after completing this section of the template.)~~

Course Prefix and Number	Title	NEW Course	Credit Hours
General Education Courses (list specific courses if recommended for this program on Degree Map)			
		Credit Hour Sub-Total	
Required Courses			
		Credit Hour Sub-Total	
Elective Courses			
		Credit Hour Sub-Total	
Emphasis ~~Track/~~Option~~s~~ #1 (if applicable)			
Are students required to choose an emphasis? Yes or No (please circle)			
Name of Emphasis:			
		Credit Hour Sub-Total	
		Total Number of Credits	

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Emphasis Options #2(if applicable)			
Name of Emphasis:			
Credit Hour Sub-Total			
Total Number of Credits			

Emphasis Options #3 (if applicable)			
Name of Emphasis:			
Credit Hour Sub-Total			
Total Number of Credits			

Emphasis Options #4 (if applicable)			
Name of Emphasis:			
Credit Hour Sub-Total			
Total Number of Credits			

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Appendix B: ~~Program Schedule~~ Degree Map

Degree Maps are semester-by-semester program maps with specific recommended courses each semester that are: made available to current and potential students, updated regularly to help students stay on track to finish their degrees on time, and useful to institutions in maximizing the efficiency of course scheduling."For each level of program completion, present, by semester, a suggested class schedule—by prefix, number, title, and semester hours. Include specific general education courses if recommended for this program,

NOTE: SEE REPLACEMENT TABLES ON CLEAN COPY

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Appendix B: Projected Program Enrollment and Graduates; Projected Departmental Faculty/Students

Using the format below, indicate the projected number of graduates and declared majors expected over the next five years in the new program proposed.

Data Category	Current – Prior to New Program Implementation	PROJ YR 1	PROJ YR 2	PROJ YR 3	PROJ YR 4	PROJ YR 5
Data for Proposed Program						
Number of Graduates **in Proposed Program**						
Total # of Declared Majors **in Proposed Program**						
Departmental Data – For All Programs Within the Department						
Total Department Faculty FTE						
Total Department Student FTE						
Student FTE to Faculty FTE *(ratio of Total Department Faculty FTE and Total Department Student FTE above)*						
Program accreditation-required ratio of Student FTE/Faculty FTE, if applicable:						

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Appendix C: Faculty Support

*Using the format table below, indicate the **headcount of departmental** (not program-specific) **faculty** in each category. In the final row of the chart, provide departmental faculty FTE. "Tenured" includes already tenured and tenure-track. "Non-tenured" includes faculty NOT tenured or on the tenure track. "Non-Tenured" includes all non-tenured and non-tenure track (including teaching assistants) who provide instruction in the department. Describe in general terms how faculty/instructional staff will be deployed to successfully deliver this program. (Remove these descriptive italics after completing chart below.)*

Department Faculty Category	Dept Faculty Headcount – Prior to Program Implementation	Faculty Additions to Support Program	Dept Faculty Headcount at Full Program Implementation
With Doctoral Degrees (Including MFA and other terminal degrees, as specified by the institution)			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
With Master's Degrees			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
With Bachelor's Degrees			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Other			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Total Headcount Faculty in the Department			
Full-time Tenured			
Full-time Non-Tenured			
Part-time Tenured			
Part-time Non-Tenured			
Total Department Faculty FTE *(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.")*			

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Appendix C: Faculty Profiles

List current faculty within the institution – with their qualifications – to be used in support of the program. ***Do not include resume or resume material.***

First Name	Last Name			Institution
Jane	*Doe*	*TT*	*Ph.D., M.A., Communication, 2012*	*University of Utah, Brigham Young University*

DRAFT

Appendix C: New Faculty Projections:

If new faculty will be hired to support the program, indicate (in the boxes below) the number of faculty expected to be hired in the first three years of the program. Indicate additional cost for these faculty members in Appendix D (Section: Department Financial Data)

	# of Tenure	# of Tenure-Track	# Other	
Full Time				
Part Time				

List the anticipated qualifications for new faculty to include experiences, degrees and/or credentials earned in the text box below:

Department Budget

Include the Financial Analysis form followed immediately by comments if necessary. In the following table project the increased expenses to the institution by adding the proposed program.

Three-Year Budget Projection							
Departmental Data	Current Dept. 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							
Benefits							
Total Personnel Expense	$	$	$	$	$	$	$
Non-Personnel Expense							
Travel							
Capital							
Library							
Current Expense							
Total Non-Personnel Expense							
Total Expense *(Personnel + Current)*	$	$	$	$	$	$	$
Departmental Funding							
Appropriated Fund							
Other:							
Special Legislative Appropriation							
Grants and Contracts							
Special Fees / Differential Tuition							
Total Revenue	$	$	$	$	$	$	$
Difference							
Revenue-Expense	$	$	$	$	$	$	$
Departmental Instructional Cost / Student Credit Hour* *(as reported in institutional Cost Study for "current," using the same Cost Study definition for "projected")*	$	$	$	$	$	$	$

***Projected Instructional Cost/Student Credit Hour** as reported in institutional Cost Study for "current," using the same Cost Study definition for "projected." data contained in this chart are to be used in the Third-Year Follow-Up Report and Cyclical Reviews required by R411.*

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Utah System of Higher Education
New Program Proposal
Cover/Signature Page – Full Template

Institution Submitting Request: *Name of Institution*
Proposed Program or Unit Title: *Program or Unit Title being proposed*
Sponsoring School or Division: *Name of School/Division Location*
Sponsoring Academic Department(s): *Name of Department/Area Location*
Classification of Instructional Program Code[1] : *00.0000*
Minimum/Maximum Credit Hours Required: ___/___
Proposed Beginning Term: *SEMESTER / YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

	Program Type
☐	(AAS) Associate of Applied Science Degree
☐ ☐ ☐ ☐	(AA) Associate of Arts Degree (AS) Associate of Science Degree Specialized Associate Degree (specify award: _____) Other (specify award: _____)
☐ ☐ ☐ ☐	(BA) Bachelor of Arts (BS) Bachelor of Science Professional Bachelor Degree (specify award: _____) Other (specify award: _____)
☐	
☐ ☐ ☐	(MA) Master of Arts Degree (MS) Master of Science Degree Professional Master Degree (specify award: _____)
☐	Doctoral Degree (specify award:_____)
☐	K-12 School Personnel Programs
☐	

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature Date: *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

[1] For CIP code classifications, please see http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

DRAFT

Utah System of Higher Education
Program Description – Full Template

Section I: The Request

Name of Institution requests approval to offer *Name of Degree* effective *Semester Year.* This program was approved by the institutional Board of Trustees on *Date.*

Section II: Program Proposal

Program Description
Present a complete, formal program description.

Consistency with Institutional Mission
Explain how the program is consistent with the institution's Regents-approved mission, roles, and goals.

Section III: Needs Assessment

Program Rationale
Briefly indicate why such a program should be initiated. State how the institution and the USHE benefit by offering the proposed program. Briefly describe the institutional procedures used to arrive at a decision to offer the program.

Labor Market Demand
Include local, state, and/or national labor market data (as appropriate)., Data such as occupational demand, median wage, estimated number of annual openings, and job placement information may be incorporated from various sources such as Utah DWS Occupation Information Data Viewer (http://jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco).

Student Demand
Describe evidence of student interest and demand that supports potential program enrollment. If the proposed program is an expansion or extension of an existing program, present enrollment trends by headcount and by student credit hours (if appropriate) produced in the current program for each of the past five years for each area of emphasis or concentration. See Appendix D for three-five years' projected enrollments and graduates.

Similar Programs
Are similar programs offered elsewhere in the USHE, the State, or Intermountain Region? If yes, cite justifications for why the Regents should approve another program of this type. How does the proposed program differ from or compliment similar program(s)?

Collaboration with and Impact on Other USHE Institutions
Describe discussions with other USHE institutions already offering this program. Include any collaborative efforts that may have been proposed. Assess the impact that the new program would have on other USHE institutions.

External Review and Accreditation
Indicate whether consultants external to the institution were involved in the development of the proposed program, and describe the nature of that involvement. For a career and technical education program, list the members and describe the activities of the program advisory committee. Indicate any special professional accreditation that will be sought and how that accreditation will impact the program. Project a future date for an accreditation review; indicate the costs to achieve accreditation.

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Section IV: Program Details

Graduation Standards and Number of Credits
Provide graduation standards. Provide justification if number of credit or clock hours exceeds credit limit described in R401-3.

Admission Requirements
List admission requirements specific to the proposed program.

Curriculum and Degree Map
See Appendix A for a list of courses and see Appendix B for program Degree Map.

Section V: Institution, Faculty, and Staff Support

Institutional Readiness
Describe how the existing administrative structures support the proposed program and identify new organizational structures that may be needed to deliver the program. Describe how the proposed program will or will not impact the delivery of undergraduate and/or lower-division education.

Faculty
State the level of preparedness of current faculty and the level of preparedness that will be needed by the fifth year. Identify the need for additional faculty for each of the first five years of the program. Describe the faculty development procedures that will support this program. Provide plans and sources to secure qualified faculty, as needed, to support, this program. See Appendix C for detail on faculty profiles and new hires in support of this program.

Staff
List additional staff needed to support the program in each of the first five years, e.g., administrative, secretarial, clerical, laboratory aides/ instructors, advisors, teaching/graduate assistants.

Student Advisement
Describe how students in the proposed program will be advised.

Library and Information Resources
Describe library resources required to offer the proposed program if any. List new library resources to be acquired.

Projected Enrollment and Finance
See Appendix D for projected enrollment and financeincluding information on funding sources, reallocation, and impact on existing budgets.

Section VI: Program Evaluation

Expected Standards of Performance
List the standards and competencies that the student will have met and achieved at the time of graduation. How or why were these standards and competencies chosen? Include formative and summative assessment measures you will use to determine student learning.

Program Assessment
Identify program goals and learning outcomes. Describe the system of assessment to be used to assess student learning outcome achievement.

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Appendix A: Program Curriculum

All Program Courses (with New Courses in Bold)

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). The total number of courses shown and credit hours should match the required number of credits to be awarded the degree.

Course Prefix and Number	Title	NEW Course	Credit Hours
General Education Courses (list specific courses if recommended for this program on Degree Map)			
	Credit Hour Sub-Total		
Required Courses			
	Credit Hour Sub-Total		
Elective Courses			
	Credit Hour Sub-Total		
Emphasis Option #1 (if applicable)			
Are students required to choose an emphasis? Yes or No (please circle)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		

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Emphasis Option #2 (if applicable)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		

Emphasis Option #3 (if applicable)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		

Emphasis Option #4 (if applicable)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		

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Appendix B: Degree Map

Degree Maps are semester-by-semester program maps with specific recommended courses each semester that are: made available to current and potential students, updated regularly to help students stay on track to finish their degrees on time, and useful to institutions in maximizing the efficiency of course scheduling. For each level of program completion, present, by semester, a suggested class schedule—by prefix, number, title, and semester hours. Include specific general education courses if recommended for this program.

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Appendix C: Faculty Profiles and New Faculty / Staff Projections

Part I. Faculty Profiles

List current faculty within the institution--with their qualifications--to be used in support of the program(s). Do not include resume or resume material.

Faculty Profiles						
Full Time Faculty	First Name	Last Name	Tenure (T) / Tenure Track (TT) / Other	Degrees & Credentials Earned / Subject / Dates	Institution where Credential was Earned	If "Other," Explain Job Assignment
Part Time Faculty						

Part II: New Faculty / Staff Projections

If new faculty / staff will be hired to support the program, indicatethe number of faculty / staff to be hired in the first three years of the program. Indicate additional cost for these faculty / staff members in Appendix D.

	# of Tenure	**# of Tenure-Track**	**# Other**	
Faculty: Full Time				
Faculty: Part Time				
Staff: Full Time				
Staff: Part Time				

List the anticipated qualifications for new faculty to include experiences, degrees, and/or credentials earned.

Appendix D: Projected Program Participation and Finance

Part I.

In the following table, project the increased number of new majors; project expenses to the institution by adding the proposed program(s). Include additions to budget to account for new faculty & staff and operating costs, as described in the proposal, that are required for the proposed program(s).

Three Year Projection/Program Participation and Department Budget					
	New Program				
	Year 1	Year 2	Year 3	Year 4	Year 5
Student Data					
Total # of Majors in Proposed Program					
Total # Graduates in New Program(s) *For Baccalaureate and Doctoral Programs ONLY, Project # of Graduates through Years 4 & 5.					
Department Financial Data					
*If there are additional expenses associated with offering new program(s), complete fields below. *Account for New Faculty as stated in Appendix C "Faculty Projections."*					
	Department Budget				
	Year 1	Year 2	Year 3		
	Addition to Budget for New Program(s)	Addition to Budget for New Program(s)	Addition to Budget for New Program(s)		
EXPENSES – nature of additional costs required for proposed program(s)					
Personnel (Faculty & Staff Salary & Benefits)					
Operating Expenses (equipment, travel,					
Other: _____					
TOTAL EXPENSES	$ -	$ -	$ -		
FUNDING – source of funding to cover additional costs generated by proposed program(s)					
If budgets will be internally reallocated to support new program, complete field below and respond to Narrative 1 on the following page.					
Internal Reallocation					
If the program requires new sources of funding, complete fields below and respond to Narrative 2 on the following page.					
Appropriation					
Special Legislative Appropriation					
Grants and Contracts					
Special Fees					
Tuition					
Differential Tuition (requires Regents approval)					
Other: _____					
TOTAL REVENUE	$ -	$ -	$ -		
Difference					
Revenue - Expense	$ -	$ -	$ -		

Part II: In the following text boxes, please answer the questions.

Narrative 1– Describe what internal reallocations, if applicable, are available and any impact to existing programs or services

Narrative 2 – Describe new funding sources and plans to acquire the funds.

Utah System of Higher Education
New Program Proposal
Cover/Signature Page – Abbreviated Template

Institution Submitting Request: _____
Proposed Program Title: _____
Sponsoring School or Division: _____
Sponsoring Academic Department(s): _____
Classification of Instructional Program Code[1] : *00.0000*
Minimum/Maximum Credit Hours of Full Program Required: _ ___/___
Proposed Beginning Term: *SEMESTER/YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

Program Type
☐ K-12 Endorsement Program
☐ Minor
Current Major CIP (if applicable) : 00.0000
Current Program Title: _____
Credits for Current Minor Only: _____
Current Program BOR Approval Date: MM/DD/YEAR
☐ NEW Emphasis for Regent-Approved Program
Current Major CIP: *00.0000*
Current Program Title:_____
Credits for Current Emphasis Only: _____
☐ *Current Program BOR Approval Date: MM/DD/YEAR*
☐ Certificate of Proficiency
☐ Certificate of Completion
☐ Graduate Certificate
☐ Out of Service Area Delivery Program

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature Date: *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

[1] For CIP code classifications, please see http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55.

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Utah System of Higher Education
Program Description – Abbreviated Template

Section I: The Request

Name of Institution requests approval to offer *Name of Degree* effective *Semester Year.* This program was approved by the institutional Board of Trustees on *Date.*

Section II: Program Proposal

Program Description/Rationale

Present a brief program description. Indicate why such a program should be initiated. Describe evidence of student interest and demand that supports potential program enrollment. Are similar programs offered elsewhere in the USHE, the State, or Intermountain Region? Describe discussions with other USHE institutions already offering this program, if applicable. State how the institution and the USHE benefit by offering the proposed program.

Labor Market Demand

Include local, state, and/or national labor market data (as appropriate). Data such as occupational demand, median wage, estimated number of annual openings, and job placement information may be incorporated from various sources such as Utah DWS Occupation Information Data Viewer (http://jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do) and the Occupation Outlook Handbook (www.bls.gov/oco).

Consistency with Institutional Mission/Institutional Impact

Explain how the program is consistent with the institution's Regents-approved mission, roles, and goals. Describe how the existing administrative structures support the proposed program and identify new organizational structures that may be needed to deliver the program. What changes in faculty and staff will be required? Describe how the proposed program will or will not impact the delivery of undergraduate and/or lower-division education.

Indicate if the program will be delivered outside of designated service area. Programs that require substantive change notification to the regional accreditation organization and/or are offered outside of the institution's designated service area must seek approval (see R315 Geographic Service Regions; R312, Institutional Mission and Roles).

Finances

What costs or savings are anticipated from this change? If new funds are required, describe in detail expected sources of funds. Describe any budgetary impact on other programs or units within the institution.

Section III: Curriculum

Program Curriculum

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). The total number of courses shown and credit hours should match the required number of credits to be awarded the degree.

Course Prefix and Number	Title	NEW Course	Credit Hours
General Education Courses (list specific courses if recommended for this program on Degree Map)			
	Credit Hour Sub-Total		
Required Courses			

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Course Prefix and Number	Title	NEW Course	Credit Hours
	Credit Hour Sub-Total		
Elective Courses			
	Credit Hour Sub-Total		
Emphasis Option #1 (if applicable)			
Are students required to choose an emphasis? Yes or No (please circle)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		
Emphasis Option #2 (if applicable)			
Are students required to choose an emphasis? Yes or No (please circle)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		
Emphasis Option #3 (if applicable)			
Are students required to choose an emphasis? Yes or No (please circle)			
Name of Emphasis #1			

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Course Prefix and Number	Title	NEW Course	Credit Hours
	Credit Hour Sub-Total		
	Total Number of Credits		
Emphasis Option #4 (if applicable)			
Are students required to choose an emphasis? Yes or No (please circle)			
Name of Emphasis:			
	Credit Hour Sub-Total		
	Total Number of Credits		

Degree Map

Degree Maps are semester-by-semester program maps with specific recommended courses each semester that are: made available to current and potential students, updated regularly to help students stay on track to finish their degrees on time, and useful to institutions in maximizing the efficiency of course scheduling. For each level of program completion, present, by semester, a suggested class schedule—by prefix, number, title, and semester hours. Include specific general education courses if recommended for this program.

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Utah System of Higher Education
Program Change
Cover/Signature Page – Abbreviated Template

Institution Submitting Request: _____
Current or Proposed Program Title: _____
Sponsoring School or Division: _____
Sponsoring Academic Department(s): _____
Proposed Beginning Date: *SEMESTER/YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

	Program Type
☐	Name Change on Existing Program
☐	Program Transfer
☐	Program Restructure
☐	Program Consolidation
☐	Program Suspension
☐	Program Discontinuation
☐	Reinstatement of Previously Suspended Program

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature Date: *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

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Utah System of Higher Education
Program Change Description – Abbreviated Template

Section I: The Request

Name of Institution requests approval to *ACTION (transfer, restructure, consolidate from____, suspend, discontinue, or change name from ___ to) Name of Unit* effective *MM/DD/YYYY.* This action was approved by the institutional Board of Trustees on *Date.*

Section II: Program Proposal

Program Change Description/Rationale

Present a brief description of the program. Indicate what action is being taken and justify changes in status. Are similar programs offered elsewhere in the USHE, the State, or Intermountain Region? Describe discussions with other USHE institutions already operating a similar program, if applicable. State how the institution and the USHE benefit from the proposed change.

Indicate if the program will be delivered outside of designated service area. Programs that require a substantive change notification to the regional accreditation organization and/or are offered outside of the institution's designated service area must seek approval (see R315 Geographic Service Regions; R312 Institutional Mission Roles).

If suspending a program, explain the anticipated length of time for the suspension. If discontinuing the program, explain how students who are currently admitted are provided a way to complete the program within a reasonable period of time compatible with accreditation standards either through either (1) enrollment of students at other institutions of higher education; or (2) courses being taught for a maximum of two years after discontinuation of the program or until there are no other admitted students who are entitled to complete the program, whichever comes first.

Consistency with Institutional Mission/Institutional Impact

Explain how the action is consistent with the institution's Regent-approved mission, roles, and goals. Describe how the existing academic and administrative structures support the proposed program and identify any new organizational structures or restructures that may be needed. What changes in faculty and staff will be required? Describe how the proposed program will or will not impact the delivery of undergraduate and/or lower-division education.

If suspending or discontinuing a program, indicate the statewide impact of discontinuing the program and identify opportunities for establishing the program at another USHE institution.

Finances

What costs or savings are anticipated from this change? If new funds are required, describe in detail expected sources of funds. Describe any budgetary impact on other programs or units within the institution.

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Utah System of Higher Education
Administrative Unit Proposal
Cover/Signature Page – Abbreviated Template

Institution Submitting Request: _____
Current or Proposed Unit Title: _____
Sponsoring School or Division: _____
Sponsoring Academic Department(s): _____
Proposed Beginning Date: *SEMESTER/ YEAR*
Institutional Board of Trustees' Approval Date: *MM/DD/YEAR*

Proposal Type (check all that apply):

	Program Type
☐	New Administrative Unit
☐	Administrative Unit Transfer
☐	Administrative Unit Restructure
☐	Administrative Unit Consolidation
☐	Administrative Unit Suspension
☐	Administrative Unit Discontinuation
☐	Name Change of Existing Unit
☐	Reinstatement of Previously Suspended Administrative Unit
☐	Reinstatement of Previously Discontinued Administrative Unit
☐	Conditional Three-Year Approval for New Center, Institute, or Bureau
☐	New Center
☐	New Institute
☐	New Bureau

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

_____
Signature

Date: *MM/DD/YEAR*

Printed Name: *Name of CAO or Designee*

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Utah System of Higher Education
Unit Description – Abbreviated Template

Section I: The Request

Name of Institution requests approval to *ACTION (establish, restructure, discontinue, suspend, change name from ___ to) Name of Unit* effective *MM/DD/YYYY.* This action was approved by the institutional Board of Trustees on *Date*.

Section II: Program Proposal

Administrative Unit Description/Rationale

Present a brief description of the unit. Indicate what a New administrative unit is justified OR justify changes in status to an existing unit. Are similar units offered elsewhere in the USHE, the State, or Intermountain Region? Describe discussions with other USHE institutions already operating a similar unit, if applicable. State how the institution and the USHE benefit from the proposed unit or unit change.

If suspending a unit, explain the anticipated length of time for the suspension. If discontinuing a unit, explain if students, faculty, and staff affiliated with the unit will be reassigned.

If seeking a conditional three-year approval, explain how the proposed change requires only a modest effort in terms of staff and space needs with normally no permanent staff or permanent facility assignment. Explain how the entity is already affiliated with an existing academic program or department.

Consistency with Institutional Mission/Institutional Impact

Explain how the program is consistent with the institution's Regents-approved mission, roles, and goals. Describe how the existing administrative structures support the proposed program and identify new organizational structures that may be needed to deliver the program. What changes in faculty and staff will be required? Describe how the proposed program will or will not impact the delivery of undergraduate and/or lower-division education.

If suspending or discontinuing a program, indicate the statewide impact of discontinuing the program and identify opportunities for establishing the program at another USHE institution.

Finances

What costs or savings are anticipated from this change? If new funds are required, describe in detail expected sources of funds. Describe any budgetary impact on other programs or units within the institution. (Remove these descriptive italics after completing this section of the template.)

If seeking a conditional three-year approval, explain how proposed change is fully supported by external funding.

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UTAH SYSTEM OF HIGHER EDUCATION
Building a Stronger State of Minds

State Board of Regents
Board of Regents Building, The Gateway
60 South 400 West
Salt Lake City, Utah 84101-1284

Phone 801.321.7101
Fax 801.321.7199
TDD 801.321.7130
www.higheredutah.org

September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Institutional Completion Update: Utah State University

Background

In July 2013 the Board of Regents unanimously passed a resolution to "Implement Strategies to Increase Completion Rates in Support of the 66% Goal." This resolution acknowledged that the Utah State Board of Regents is committed to improving the completion rates of students who enroll in an institution within the Utah System of Higher Education by ensuring a quality, cost-effective educational experience and awarding meaningful education credentials that will help students find gainful employment and life-long success. The Presidents and their administrations and faculty have taken seriously the Board's charge and have been implementing these strategies.

USHE Completion Grants were provided by the Utah System of Higher Education in 2014 to support and scale projects the institutions developed to help them meet the implicit goals in the 2013 Board of Regents' Completion Resolution.

In January 2015, institutions reported their three- and five-year goals regarding college completion overall and the specific initiatives in the Resolution to the Board of Regents.

Brief descriptions of the five specific recommendations in the resolution are:

1. *Establish 15 credit hours per semester as the normal full-time course load for students.*
2. *Set plateau tuition levels with a focus on 12 to 15 credit hours to help students maximize their tuition dollars and their time.*
3. *Create semester-by-semester degree program maps with specific recommended courses each semester and make them available to current and potential students.*
4. *Encourage students to enroll in an appropriate mathematics course in their first year of college.*
5. *Explore the feasibility of implementing reverse transfer/stackable credentials.*

Issue

As a follow-up to these efforts, the members of the Academic and Student Affairs Committee requested at their January 2015 meeting that institutions report in more depth on their practices and policies that are having the most impact regarding college completion.

Institutions have been asked to highlight two areas:

- one of the five strategies outlined in the resolution for which they have gained momentum, and
- one institution-led area for which they are demonstrating impact in retention or completion.

The host institution, Utah State University, will present the September 2015 report, which will focus on Initiative 4 related to math and stackable credentials highlighted in Initiative 5.

Next Steps

Over the next six months all institutions will have a chance to report on their successful strategies to the Committee.

Commissioner's Recommendation

This is an information item only; no formal action by the Board is required. However, the Board is encouraged to review the attached material and to congratulate the institutions on the progress they are making toward meeting their institutional completion goals.

David L. Buhler
Commissioner of Higher Education

DLB/CF

UTAH SYSTEM OF HIGHER EDUCATION
Building a Stronger State of Minds

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah Scholars Initiative Annual Report

Background

The Utah Scholars Initiative (USI) was launched in the 2006-2007 school year with a $300,000 grant from the United States Department of Education and the Western Interstate Commission for Higher Education (WICHE). This business and education partnership sends volunteers into 8th grade classrooms to share a presentation that encourages students to prepare for their future by taking the Utah Scholars Curriculum throughout all four years of high school.

Utah Scholars works with partner districts and schools around the state that serve a large percentage of underserved populations. This 8th grade outreach shows students the steps they can take in high school to graduate ready for college. The presentation discusses why go to college, how to prepare for it, and how to pay for it. The key take-away is that college is achievable for everyone.

In 2008 the Regents' Scholarship adopted the Utah Scholars Curriculum as the course criteria for the Regents' Scholarship. The Regents' Scholarship is currently the financial incentive linked to this program, although the scholarship is available to all Utah students who qualify.

Issue

In the 2014-2015 school year, USI partnered with 97 middle/junior high schools and 65 high schools, up from 84 middle schools and 53 high schools the year before. Nebo, Cache, and Garfield School Districts partnered with us, bringing the total number of Utah Scholars districts to 16:

Alpine	Garfield	Kane	Provo
Canyons	Granite	Nebo	Salt Lake City
Cache	Iron	Ogden	Tooele
Davis	Jordan	Park City	Washington

In all, more than 32,000 students heard the Utah Scholars presentation, which represents 76% of all public school 8th graders in the state.

The focus in the 2014-2015 school year was expanding Utah Scholars to more rural districts, in an effort to grow USI statewide. To that end, Utah Scholars briefly partnered with Snow College to deliver Utah

Scholars presentations in their service district through a StepUP READY Grant, but that partnership could not be sustained. USI has maintained a relationship with a few of those districts and staff will be working with district personnel in the 2015-2016 school year to ensure that the students in those districts hear the presentation.

USI leadership continues to ask schools to take the lead in recruiting volunteers. This messaging to existing partnership schools started at the end of the 2014-2015 school year. Volunteers are recruited via business contacts and higher education institutions, but the expansion of USI and the hope to become a statewide program necessitate a change in recruitment practices, with schools now taking a more active role. Each school receives a guide to best practices, including materials for identifying and communicating to volunteers. USI staff maintains quality control by delivering all training and by tracking the volunteer hours through an online volunteer management program.

As a result, volunteer numbers climbed significantly this year, with 221 volunteers giving 939 presentations. This is up from 129 volunteers giving 831 presentations in 2013-2014. A complete summary of the year's activities is in the attached 2014-2015 USI Annual Report.

The following are highlights of a few programmatic efforts:

Timely, meaningful, age-appropriate messages continue to be sent to students who have signed up to be Utah Scholars. Each month the students receive tips for being college ready as well as a scholarship they can apply for, regardless of grade level. Parents may sign up for the same messages, and counselors also receive them to keep the Utah Scholars Initiative prominent in their minds as they advise students and parents on course selection and future plans.

In an effort to more effectively reach students when they need the assistance the most, the USI joined the National College Access Network in a summer texting pilot to decrease summer "melt," or the phenomenon of students who have been accepted to college but who are not attending because they are unable to complete the necessary tasks to enroll. The summer texting pilot put Utah Scholars personnel in the role of mentor to help students understand how to complete these tasks and where to go for help. In all, USI texted 239 seniors, and 51 of them were "highly engaged." Their comments included:

> "I'm having problems with financial aid …. Do you know where else I can get help?"
>
> "I need so much help!! I was going to go to Weber but due to a lack of a place to live, I stayed at home and signed up for USU-Tooele campus. I was all set. Then my dad said it would be cheaper to go to SLCC. So I've been trying to get my credits transferred over and it's a big mess. I should've just stayed set up at USU. Now my credits are in limbo I have no clue about my financial aid. Idk what I'm going to do."

USI personnel responded to each text and directed students to the specific office at the institution where they could get help. The program was successful enough that it is expanding to serve all USI seniors throughout their senior year.

In 2015, 2896 students received the Utah Scholars medallion, up nearly 46% from 2014. It is expected this number will to continue to grow, as larger numbers of 8th graders are reached each year.

The Utah Scholars 10th Grade or "Coaches" program continues to evolve and is present in the Granite and Ogden School Districts. This continuation of the 2013 pilot helped 9th and 10th grade students learn about college from a current college student. The program focuses on what college is "really like," the skills needed to succeed there, and how to pay for college. One key to the success of the pilot is the real-world application of the college students who share their experiences with their mentees. This year, students participated in campus visits to the University of Utah and an optional trip to Weber State University.

Monies provided to the State Board of Regents from the U. S. Department of Education's College Access Challenge Grant made USI program sustainability possible from 2008-2014. Since 2014, USI operations have been funded by the ongoing College Readiness money provided to the Office of Access and Outreach by the Legislature. The Utah Scholars Initiative has facilitated the Utah System of Higher Education's outreach efforts by encouraging students at a critical point in their academic trajectory to prepare academically and financially to participate in higher 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 and review the attached annual report, and note that further follow-up will be handled by the Commissioner's Office as part of the Board's Participation strategic objective.

_____

David L. Buhler
Commissioner of Higher Education

DLB/CF

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: StepUP to Higher Education Website Update

Issue

This document provides a summary of the new StepUpUtah.com website that launched August 2015.

Background

In August 2015, the Office of the Commissioner launched a new website called StepUpUtah.com. The website is meant to be a one-stop source of information on college preparation with checklists for each grade level and suggested courses of study; general information on paying for college and specific information on Regents' Scholarships, New Century Scholarships, the state's 529 Educational Savings Plans, and FAFSA applications; tips on applying to college, a guide to the different certificates and degrees students might consider, and links to the admissions websites of accredited public and private Utah colleges and universities. The website is also intended to help current college students with tips on successful completion of a degree. Special "Quick Links" cluster together information of interest to specific types of readers: students, parents, and schools and educators. The website combines what were previously separate information sites from the Utah Higher Education Assistance Authority (UHEAA), the Utah Educational Savings Plan (UESP), and the Office of the Commissioner's Outreach and Access Programs.

Also included with the website launch is a coordinated social media campaign, which sends tweets and Facebook posts for the general public and text reminders to students who have signed on to receive them through the Utah Scholars training. There are special tabs on the website that allow readers to ask questions directly of people administering programs, including the Regents' Scholarship and New Century Scholarship Manager.

It is anticipated that the website will make it much easier for people to find up-to-date information about college readiness and to successfully navigate their college experience by consolidating lots of helpful materials into one, easy to navigate site.

Policy Issues

There are no policy issues associated with this report.

Commissioner's Recommendation

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

_____

David L. Buhler
Commissioner of Higher Education

DLB/JH

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: The New College Guide

Issue

This document provides a summary of the new College Guide for the Academic Year 2015-2016.

Background

For the fourth consecutive year the Utah System of Higher Education (USHE), in partnership with the public relations offices of Utah's public and private not-for-profit institutions of higher education, has created a statewide StepUP College Guide. The guide contains information on ways to plan and prepare for college, including a grade-by-grade checklist, USHE's math course recommendations, information on Concurrent Enrollment, and a guide to courses required for Regents' Scholarship eligibility. Each USHE institution and private, not-for-profit school in Utah is highlighted. A "Facts at a Glance" section allows for a quick comparison between the institutions' enrollment numbers, degree offerings, and tuition prices, among other important information.

The guidebook is meant to enhance students' academic and financial preparation for higher education. The guide has a magazine layout and feel with pictures showing "campus life" in an effort to get students excited about attending college. The vibrant and visually stimulating guide will be disseminated to nearly every high school senior in the state through the Utah Council's Post High School Tour, which visits almost every high school in the state between September and November. All counselors who attend USHE's Conference for School Administrators and Counselors will also receive a copy. Additionally, this publication is available to the junior high and middle schools that participate in the Utah Scholars program. It will also be used in community outreach events coordinated by the Office of the Commissioner of Higher Education. Last year 80,000 guides were distributed to Utah students and families directly through their schools or through various outreach and access programs.

A PDF version of this year's guide can be found by visiting:
http://stepuputah.com/site/uploads/2015/05/14%20college%20guide.pdf

Policy Issues

There are no policy issues associated with this report.

Commissioner's Recommendation

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

_____

David L. Buhler
Commissioner of Higher Education

DLB/JH

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Benchmarks for Graduate Level Programming

Issue

As institutions within the Utah System of Higher Education (USHE) that have had limited or no graduate programming mature and respond to student demand by proposing selective graduate programs, they will need program review "infrastructure" in place to be able to properly consider new graduate program proposals and to offer quality graduate level programming. A set of guidelines or benchmarks for USHE institutions will assist in determining institutional readiness to offer proposed graduate programs.

Background

In 2015, the staff of the Division of Academic and Student Affairs in the Office of the Commissioner began to receive requests for graduate level programming from institutions having limited graduate level programming to date. Staff raised questions about whether the proposing institutions had the various committees and structure in place to successfully review and mount graduate level programming. Examples of questions raised included: (1) Does the institution have in place a process for deciding which faculty are graduate level faculty, appropriately prepared to teach graduate level course work?; (2) Are there processes in place at the institution that review graduate programs against appropriate graduate level standards?

The Chief Academic Officers were asked for input on what benchmarks or standards needed to be in place for an institution to propose new graduate level programming. While this question was raised relative to the newer universities in the system, it is an appropriate question for all USHE institutions with graduate level programs. After consideration of the standards for accreditation related to graduate programs of the Northwest Commission on Colleges and Universities (NWCCU) and the Carnegie classifications, a set of draft benchmarks, based largely on NWCCU accreditation standards, was prepared and reviewed by the Chief Academic Officers. Their comments were taken into account and the final set of graduate level programming benchmarks emerged.

Policy Issues

The set of benchmarks for graduate level programming that are consistent with those of the regional accrediting body responsible for colleges and universities in Utah provides good and consistent guidance to USHE institutions and clear standards for Commissioner's staff and Regent review of graduate program proposals. The benchmarks have been reviewed by the Chief Academic Officers and by the Council of Presidents and have received their support. There are no outstanding policy issues.

Commissioner's Recommendation

The Commissioner recommends the Regents review this item for their information on graduate program review. No formal action is necessary at this time.

_____

David L. Buhler
Commissioner of Higher Education

DLB/EJH
Attachment

	A	B	C
1	**Proposed Graduate Program Benchmarks**		5.29.15
2			
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
4	**Mission**	1.A.1 The institution has a widely published mission statement—approved by its governing board—that articulates a purpose appropriate for an institution of higher learning, gives direction for its efforts, and derives from, and is generally understood by, its community.	Graduate Programming consistent with mission as described in Regents' Policy R312.
5	**Governance**	2.A.1 The institution demonstrates an effective and widely understood system of governance with clearly defined authority, roles, and responsibilities. Its decision-making structures and processes make provision for the consideration of the views of faculty, staff, administrators, and students on matters in which they have a direct and reasonable interest.	Graduate Faculty Council and/or Curriculum Committee described in policy and initiated. Policy describes roles and responsibilities for governance of graduate programs.
6	**Policies and Procedures**		
7	**Graduate Program**	2.A.12 Academic policies—including those related to teaching, service, scholarship, research, and artistic creation—are clearly communicated to students and faculty and to administrators and staff with responsibilities related to these areas.	Graduate program academic policies approved by Board of Trustees
8	**Transfer Policy**	2.A.14 The institution develops, publishes widely, and follows an effective and clearly stated transfer-of-credit policy that maintains the integrity of its programs while facilitating efficient mobility of students between institutions in completing their educational programs.	Graduate credit transfer policy approved by Board of Trustees

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
9		2.C.8 The final judgment in accepting transfer credit is the responsibility of the receiving institution. Transfer credit is accepted according to procedures which provide adequate safeguards to ensure high academic quality, relevance to the students' programs, and integrity of the receiving institution's degrees. In accepting transfer credit, the receiving institution ensures that the credit accepted is appropriate for its programs and comparable in nature, content, academic quality, and level to credit it offers. Where patterns of student enrollment between institutions are identified, the institution develops articulation agreements between the institutions .	
10		2.C.13 Transfer of credit is evaluated according to clearly defined policies by faculty with a major commitment to graduate education or by a representative body of faculty responsible for the degree program at the receiving institution.	
11	**Student Rights and Responsibilities**	2.A.15 Policies and procedures regarding students' rights and responsibilities—including academic honesty, appeals, grievances, and accommodations for persons with disabilities—are clearly stated, readily available, and administered in a fair and consistent manner.	Statement of graduate student rights and responsibilities (if different from those for undergraduate students) approved by Board of Trustees
12	**Admission, Placement and Continuation/Termination/Readmission**	2.A.16 The institution adopts and adheres to admission and placement policies that guide the enrollment of students in courses and programs through an evaluation of prerequisite knowledge, skills, and abilities to assure a reasonable probability of student success at a level commensurate with the institution's expectations. Its policy regarding continuation in and termination from its educational programs—including its appeals process and readmission policy—are clearly defined, widely published, and administered in a fair and timely manner.	Graduate student admission, placement, and continuation/termination polices in place approved by Board of Trustees

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
13	**Graduate Student Organizations**	2.A.17 The institution maintains and publishes policies that clearly state its relationship to co-curricular activities and the roles and responsibilities of students and the institution for those activities, including student publications and other student media, if offered.	Policies and procedures regarding graduate student co-curricular activities approved by Board of Trustees
14		2.D.11 Co-curricular activities are consistent with the institution's mission, core themes, programs, and services and are governed appropriately.	
15	**Graduate Faculty**	2.A.18 The institution maintains and publishes its human resources policies and procedures and regularly reviews them to ensure they are consistent, fair, and equitably applied to its employees and students.	Graduate faculty status conditions approved by Board of Trustees and published
16	**Intellectual Property**	2.A.24 The institution maintains clearly defined policies with respect to ownership, copyright, control, compensation, and revenue derived from the creation and production of intellectual property.	Intellectual property policies and procedures approved by Board of Trustees
17	**Contractual Agreements for Partnerships**	2.A.26 If the institution enters into contractual agreements with external entities for products or services performed on its behalf, the scope of work for those products or services—with clearly defined roles and responsibilities—is stipulated in a written and approved agreement that contains provisions to maintain the integrity of the institution. In such cases, the institution ensures the scope of the agreement is consistent with the mission and goals of the institution, adheres to institutional policies and procedures, and complies with the Commission's Standards for Accreditation	Agreements as described in NWCCU policy approved by the Board of Trustees and Board of Regents for graduate programs involving partnerships with entities outside the Utah System of Higher Education
18	**Finance**	2.A.30 The institution has clearly defined policies, approved by its governing board, regarding oversight and management of financial resources—including financial planning, board approval and monitoring of operating and capital budgets, reserves, investments, fundraising, cash management, debt management, and transfers and borrowings between funds.	Budget and finance are approved by Board of Trustees and Board of Regents during the program approval process for each graduate level program.

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
19		2.F.1 The institution demonstrates financial stability with sufficient cash flow and reserves to support its programs and services. Financial planning reflects available funds, realistic development of financial resources, and appropriate risk management to ensure short-term solvency and anticipate long-term obligations, including payment of future liabilities.	For each graduate program presented, there is clear and compelling evidence that there is appropriate financial support to operate a quality program.
20	**Human Resources**		
21	**Graduate Program Staff**	2.B.1 The institution employs a sufficient number of qualified personnel to maintain its support and operations functions. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated. Job descriptions accurately reflect duties, responsibilities, and authority of the position.	Description of administrative structure and staffing for graduate programming functions described and adequate for the number and types of gradaute level programs.
22	**Graduate Faculty Status and Appointment**	2.B.4 Consistent with its mission, core themes, programs, services, and characteristics, the institution employs appropriately qualified faculty sufficient in number to achieve its educational objectives, establish and oversee academic policies, and assure the integrity and continuity of its academic programs, wherever offered and however delivered. 2.B.6 All faculty are evaluated in a regular, systematic, substantive, and collegial manner at least once within every five-year period of service. The evaluation process specifies the timeline and criteria by which faculty are evaluated; utilizes multiple indices of effectiveness, each of which is directly related to the faculty member's roles and responsibilities, including evidence of teaching effectiveness for faculty with teaching responsibilities; contains a provision to address concerns that may emerge between regularly scheduled evaluations; and provides for administrative access to all primary evaluation data. Where areas for improvement are identified, the institution works with the faculty member to develop and implement a plan to address identified areas of concern .	Graduate faculty definition (including procedures for conferring and continuing graduate faculty status) approved by Board of Trustees. For each graduate program, graduate faculty sufficient in number and appropriately qualified to achieve program objectives.

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
23	**Graduate Faculty Workload**	2.B.5 Faculty responsibilities and workloads are commensurate with the institution's expectations for teaching, service, scholarship, research, and/or artistic creation.	In those cases where graduate programs have a research component, graduate faculty workload for that component is defined.
24	**Program Rigor**	2.C.1 The institution provides programs, wherever offered and however delivered, with appropriate content and rigor that are consistent with its mission; culminate in achievement of clearly identified student learning outcomes; and lead to collegiate-level degrees or certificates with designators consistent with program content in recognized fields of study	Graduate programs presented for approval demonstrate academic rigor appropriate to the graduate level.
25		2.C.12 Graduate programs are consistent with the institution's mission; are in keeping with the expectations of their respective disciplines and professions; and are described through nomenclature that is appropriate to the levels of graduate and professional degrees offered. They differ from undergraduate programs by requiring greater depth of study and increased demands on student intellectual or creative capacities; knowledge of the literature of the field; and ongoing student engagement in research, scholarship, creative expression, and/or appropriate high-level professional practice.	
26	**Program Quality and Admission and Graduation Requirements**	2.C.4 Degree programs, wherever offered and however delivered, demonstrate a coherent design with appropriate breadth, depth, sequencing of courses, and synthesis of learning. Admission and graduation requirements are clearly defined and widely published.	1. Graduate programs presented for approval demonstrate a coherent design appropriate to the graduate level. 2. Admission and graduation requirements for each graduate program presented for approval are clearly defined and widely published.

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
27		2.C.13 Graduate admission and retention policies ensure that student qualifications and expectations are compatible with the institution's mission and the program's requirements	
28		2.C.15 Graduate programs intended to prepare students for research, professional practice, scholarship, or artistic creation are characterized by a high level of expertise, originality, and critical analysis. Programs intended to prepare students for artistic creation are directed toward developing personal expressions of original concepts, interpretations, imagination, thoughts, or feelings. Graduate programs intended to prepare students for research or scholarship are directed toward advancing the frontiers of knowledge by constructing and/or revising theories and creating or applying knowledge. Graduate programs intended to prepare students for professional practice are directed toward developing high levels of knowledge and performance skills directly related to effective practice within the profession.	
29	**Faculty Authority and Responsibility for Program Design and Quality**	2.C.5 Faculty, through well-defined structures and processes with clearly defined authority and responsibilities, exercise a major role in the design, approval, implementation, and revision of the curriculum, and have an active role in the selection of new faculty. Faculty with teaching responsibilities take collective responsibility for fostering and assessing student achievement of clearly identified learning outcomes	1. University-wide graduate curriculum committee or similar structure in place 2. Faculty in the departments where graduate programs are proposed have a role in departmental faculty selection and evaluation 3. Faculty teaching in approved graduate programs collaborate in assessing student attainment of program graduation standards.

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
30	**Prior or Experiential Learning Credit**	2.C.7 Credit for prior experiential learning, if granted, is: a) guided by approved policies and procedures; b) awarded only at the undergraduate level to enrolled students; …	Approved niversity policy should expressly prohibit the award of experiential or prior learning credit at the graduate level. No graduate program presented for approval should allow for such award.
31		2.C.15 Graduate credit may be granted for internships, field experiences, and clinical practices that are an integral part of the graduate degree program. Credit toward graduate degrees may not be granted for experiential learning that occurred prior to matriculation into the graduate degree program. Unless the institution structures the graduate learning experience, monitors that learning, and assesses learning achievements, graduate credit is not granted for learning experiences external to the students' formal graduate programs.	
32	**Student Support Resources**		
33	**Graduate Student Support and Resources**	2.D.1 Consistent with the nature of its educational programs and methods of delivery, the institution creates effective learning environments with appropriate programs and services to support student learning needs.	Services specific to the learning needs of graduate students are identified and provided.
34	**Graduate Student Recruitment and Advising**	2.D.3 Consistent with its mission, core themes, and characteristics, the institution recruits and admits students with the potential to benefit from its educational offerings. It orients students to ensure they understand the requirements related to their programs of study and receive timely, useful, and accurate information and advising about relevant academic requirements, including graduation and transfer policies.	Methods by which graduate students will be advised are clearly defined and widely published.

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
35		2.D.10 The institution designs, maintains, and evaluates a systematic and effective program of academic advisement to support student development and success. Personnel responsible for advising students are knowledgeable of the curriculum, program requirements, and graduation requirements and are adequately prepared to successfully fulfill their responsibilities. Advising requirements and responsibilities are defined, published, and made available to students.	
36	**Publication of Graduate Program Information**	2.D.5 The institution publishes in a catalog, or provides in a manner reasonably available to students and other stakeholders, current and accurate information that includes: a) Institutional mission and cores themes; b) Entrance requiremtns and procedures, c) Grading policy, d) Information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion ased on normal student progress and the frequency of course offerings, e) Names, titles, degrees held, and conferring institutions for administrators and full-time faculty, f)Rules, regulations for conduct, rights, and responsibilities, g) Tuition, fees, and other program costs, h) Refund policies and procedures for students who withdraw from enrollment, i) Opportunities and requirements for financial aid, and j) Academic calendar.	Full program information on graduate programs and policies is available in published form and identified clearly when it differs from undergraduate program information.
37		2.D.6 Publications describing educational programs include accurate information on: a) National and/or state legal eligibility requirements for licensure or entry into an occupation or profession for which education and training are offered; b) Descriptions of unique requirements for employment and advancement in the occupation or profession.	

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
38	**Graduate Student Records**	2.D.7 The institution adopts and adheres to policies and procedures regarding the secure retention of student records, including provision for reliable and retrievable backup of those records, regardless of their form. The institution publishes and follows established policies for confidentiality and release of student records.	Processes and procedures for creating and securely retaining graduate student records of academic progress are in place. Graduate student records are clearly differentiated from undergraduate student records consistent with standards for university registrars.
39	**Graduate Student Financial Support and Publication of Available Sources**	2.D.8 . . .Information regarding the categories of financial assistance (such as scholarships, grants, and loans) is published and made available to prospective and enrolled graduate students.	Publications clearly describe the financial support available to graduate students and the methods by which students qualify for scholarships, grants and loans.
40	**Identity Verification Process (Distance Education)**	2.D.14 The institution maintains an effective identity verification process for students enrolled in distance education courses and programs to establish that the student enrolled in the distance education course or program is the same person whose achievements are evaluated and credentialed. The institution ensures the identity verification process for distance education students protects student privacy and that students are informed, in writing at the time of enrollment, of current and projected charges associated with the identity verification process.	Identity verification process for graduate programs offered via distance education are in place and rigorous.
41	**Library and Information Resources**		
42	**Graduate Level Resources**	2.E.1 Consistent with its mission and core themes, the institution holds or provides access to library and information resources with an appropriate level of currency, depth, and breadth to support the institution's mission, core themes, programs, and services, wherever offered and however delivered.	For each graduate program presented for approval, there is convincing evidence that sufficient library and information resources appropriate to graduate level programming in the discipline are available to enrolled students.

	A	B	C
3	**Benchmark Area**	**NWCCU Standard**	**Proposed Evidence and Benchmark**
43	**Physcial and Technological Infrastructure**		
44		2.G.1 Consistent with its mission, core themes, and characteristics, the institution creates and maintains physical facilities that are accessible, safe, secure, and sufficient in quantity and quality to ensure healthful learning and working environments that support the institution's mission, programs, and services.	For each graduate program presented for approval, there is clear and compelling evidence that there are sufficient physical facilities appropriate to operate a quality graduate program.
45		2.G.5 Consistent with its mission, core themes, and characteristics, the institution has appropriate and adequate technology systems and infrastructure to support its management and operational functions, academic programs, and support services, wherever offered and however delivered.	

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State University – Campus Master Plan Approval

Issue

The Board last formally approved the Utah State University (USU) Campus Master Plan on September 13, 2013. A progress report was subsequently provided at the meeting on September 26, 2014. The University wishes to present its updated master plan at the September 17-18, 2015 meeting for approval.

Background

Utah State University will make a formal presentation at the meeting that will provide information about significant changes that have been made during the past two years including recently completed projects, projects currently in planning and under construction, and updates to the five-year plan to reflect current needs and priorities for all of the University's campuses. This information is summarized in the attached letter from the University.

Also attached is a master plan brochure that describes the projects on all campuses and shows the location of the applicable major projects on the Logan campus.

Commissioner's Recommendation

The Commissioner recommends approval of the Utah State University updated campus master plan.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/WRH
Attachments

UtahState University
VICE PRESIDENT FOR BUSINESS AND FINANCE

August 25, 2015

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

Subject: Utah State University Campus Master Plan

Dear Commissioner Buhler:

Utah State University appreciates the opportunity to host the September 17-18, 2015 Board of Regents' meeting at the Logan Campus. At the meeting, we request the opportunity to present for approval USU's Campus Master Plan.

Over the past two years, the University has completed several significant master planning and construction projects.

On the Logan Campus the Icon Sports Performance Center was completed in 2014 with approximately 33,000 square feet of new space and the Wayne Estes Center was completed in 2013 with approximately 28,000 square feet of new space. On the Statewide Campuses the Central Instruction building in Price was completed in 2015 with approximately 66,600 square feet of new space and the Science and Technology building in Tooele was completed in 2015 with approximately 28,500 square feet of new space. On the Innovation Campus the Electric Vehicle Roadway building and track were completed in 2015, with approximately 5,000 square feet of new space.

Projects on the Logan Campus that are near completion include the Huntsman Hall addition and the Aggie Recreation Center. Additionally, in Brigham City, the Academic building is near completion.

Other projects in the programming/design phase or construction include Clinical Services, Residence Hall Replacement, West-side Stadium Renovation, Fine Arts Addition and Renovation, and the Space Dynamics Lab C4ISR building.

The University has prioritized additional capital development projects over the next five years. The top priority is the Biological Sciences building on the Logan Campus. Additional future priorities include a new student union building, Health, Physical Education, and Recreation

(HPER) addition/renovation, Animal Science renovation, and CHaSS Teaching and Learning Center.

Policy requires the University to hold a public hearing to review and present the Campus Master Plan. This hearing is scheduled to be held on the Logan Campus on September 8, 2015. Additionally the Board of Trustees was briefed on the Campus Master Plan during the workshop meeting on August 28, 2015 and is expected to provide ratifying approval during the next regularly scheduled meeting on October 30, 2015.

As always, we appreciate your ongoing support of the University.

Sincerely,

David T. Cowley
Vice President for
Business and Finance

C: Gregory L. Stauffer, Associate Commissioner for Planning, Finance, & Facilities
Ralph Hardy, Assistant Commissioner for Facilities Planning
Rich Amon, Assistant Commissioner for Business Operations
Stan Albrecht, President
Charles Darnell, Associate Vice President for Facilities

FIVE YEAR PLAN

UtahStateUniversity
FACILITIES PLANNING, DESIGN & CONSTRUCTION

AGGIE RECREATION CENTER

The Aggie Recreation Center is a 111,700 SF student recreational facility funded primarily with student fees. The new building is located with optimal adjacency to other student services and recreational facilities on the west side of campus. The project includes a new fitness center, multi-activity courts, indoor track, and campus and outdoor recreation services. It is projected to open in the Fall of 2015. (Pictured Upper Right)

image courtesy AJC Architects

BUSINESS BUILDING

The Jon M. Huntsman College of Business addition is under construction, with funding from state and private sources. The building adds120,000 SF of new space to the existing building. It features a central courtyard to provide daylight to the interior of the building, and will connect to the existing building with a new student entrance on the north side. Construction will be complete in the spring of 2016.

ROMNEY STADIUM WEST-SIDE RENOVATION

The Romney Stadium renovation is currently under construction. The project consists of removing the old press box structure to make way for a new 86,000 SF facility on the west side of the existing Romney Stadium. It will include new restrooms, concessions, lobby space, and press box. The project will add approximately 1100 new club, loge, and premium skybox seats located above the existing stadium chair-back seats. Completion of the project is anticipated in the summer of 2016. (Pictured Lower Right)

image courtesy of Method Studio

VALLEY VIEW RESIDENCE HALL REPLACEMENT

The Valley View Residence Hall replacement is currently in design and will include the demolition and replacement of an aging high rise residence hall on central campus. The new residence hall will provide up to 390 beds and 110,000 SF for students living on campus, and will be sited on central campus for maximum convenience. The existing facility has many structural and code deficiencies and is an outdated and unpopular traditional dormitory style housing. Construction for the facility will begin in the spring of 2016.

Image courtesy of Architectural Nexus

BIOLOGICAL SCIENCES BUILDING

USU is currently seeking funding for a new science building in conjunction with a major renovation of the Biology and Natural Resources Building. The new building will be on the site of the old Agricultural Science Building, in the heart of the academic core of campus. The new building will house up to 110,000 SF of state-of-the-art teaching and research space for the College of Science, and will primarily be dedicated to the Biology Department. (Pictured Upper Left)

FINE ARTS COMPLEX

The Fine Arts Complex Addition and Renovation is a phased project which will include an addition to the west side of the building and major renovations to portions of the Fine Arts Center. Phase I is currently under design and consists of renovations for the Kent Concert Hall, Tippetts Gallery, courtyard landscaping, and a 6,700 SF addition to the scene shop. Construction for phase I will commence in the summer of 2015. Phase II will include a new addition on the west side for classrooms, practice space, student study space, museum expansion and storage, and a new Dean's suite. It will feature a prominent new entrance and lobby on the northwest corner of the Fine Arts Center.

Image courtesy of Jacoby Architects

CLINICAL SERVICES BUILDING

A new building for Clinical Services offered within the Emma Eccles Jones College of Education and Human Services is currently in design. The new project will house up to 100,000 SF of clinical, research, and office space. It will accommodate patients within the community receiving a variety of treatments and consultations. The Clinical Services Building will support an integrated, interdisciplinary program to train graduate students in a professional setting in closely related clinical fields, engage faculty members across disciplines, provide state-of-the-art equipment, and facilitate research with an interdisciplinary focus. The construction will begin in the spring of 2016. (Pictured Lower Left)

C4ISR BUILDING

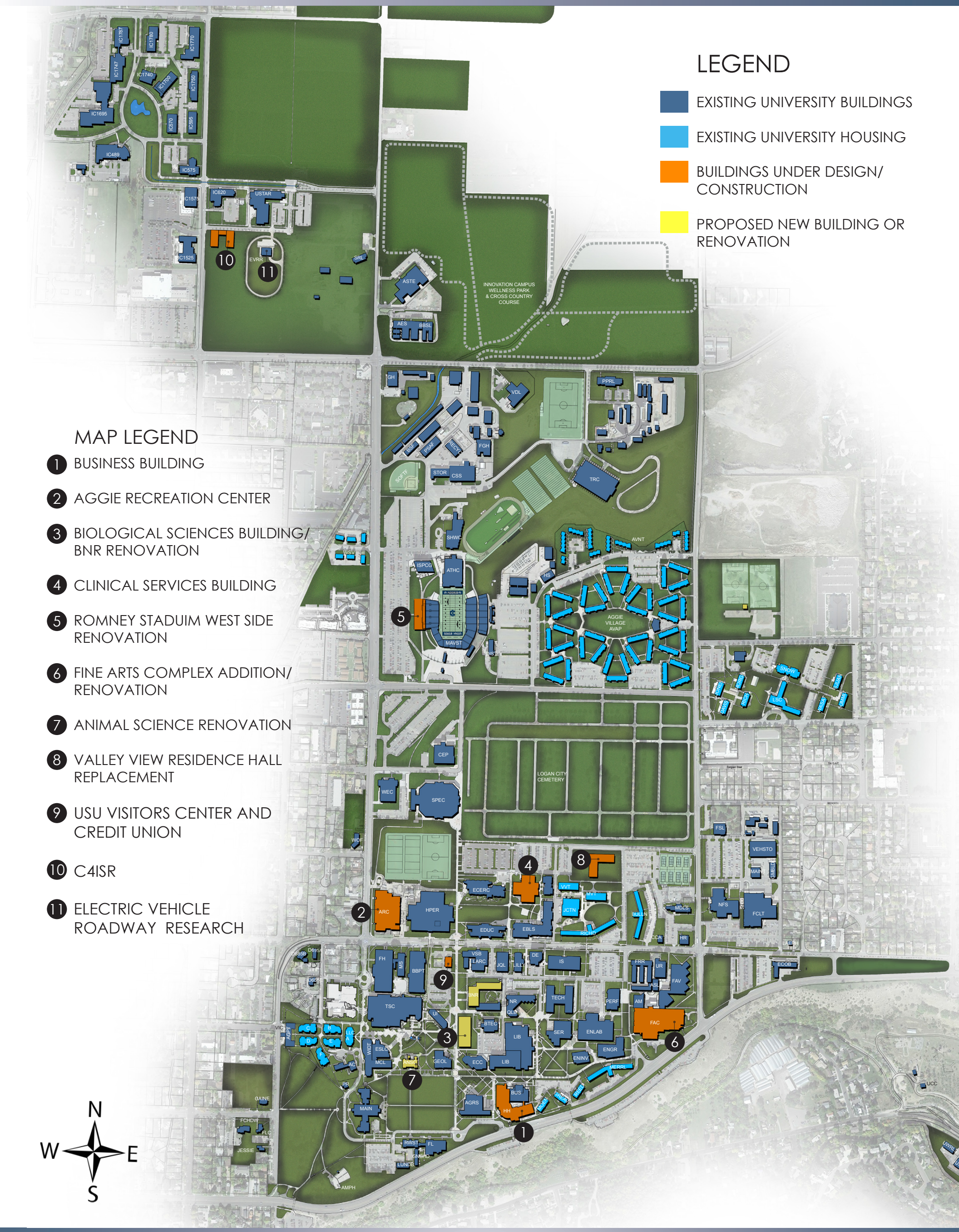
The C4ISR building is phase one of a four phase project for the Space Dynamics Lab (SDL) at the USU Innovation Campus. The building will provide up to 35,000 SF for offices, electronics and computer testing labs, computer server rooms, conference rooms, and a marketing demo room. The building will provide a high level of security and technology needed for this research program. The project is currently under design and construction will begin in spring of 2016.

Photo courtesy of USU Public Relations and Marketing

2015 UTAH STATE UNIVERSITY MASTER PLAN

LOGAN CAMPUS

CAMPUS MASTER PLAN 2015



USU MASTER PLANNING

Utah State University is located in northern Utah's beautiful Cache Valley. Established in 1888, USU is the state's land-grant university. USU's central campus sits above downtown Logan, Utah at the base of the Bear River Mountains. The University was historically planned around two central tenets: the main quadrangle and the underlying city grid system. Current USU master planning has set the following goals to accommodate long range growth on campus:

- Accommodate anticipated increases in enrollment
- Preserve USU's land-grant legacy
- Sustain student residency on campus
- Maintain a compact, walk-able academic core
- Strengthen the image of USU
- Enhance compatibility with the community
- Maintain consistent spatial pattern and density
- Efficient and safe pedestrian and vehicular circulation

The historical basis for planning at USU will continue to provide the framework for the campus plan. Additionally, new quadrangles and courtyards will be prioritized as density of buildings increase. Main entrances and nodes of activity will be strengthened and linkages developed and maintained. Density will be increased, while maintaining a suitable, human scale. Parking structures will replace surface lots over time. Future planning will enable alternative modes of transportation as well as address sustainability goals.

STATEWIDE CAMPUSES

UtahStateUniversity
FACILITIES PLANNING, DESIGN & CONSTRUCTION

CENTRAL INSTRUCTION BUILDING, USU EASTERN

The new Central Instruction Building on the USU Eastern Campus in Price will replace the aging Music and SAC buildings, and is currently under construction. Located adjacent to the historic Geary Theater, the project includes 70,600 SF of multi-purpose instructional space that will bring together criminal justice, communication, theatre, music, and visual arts into one facility. The project will allow USU Eastern to eliminate inadequate and geographically separate facilities, create efficiencies of operation, improve campus integration, and modernize instructional services. Construction will be complete in 2015.

BRIGHAM CITY CAMPUS ACADEMIC BUILDING

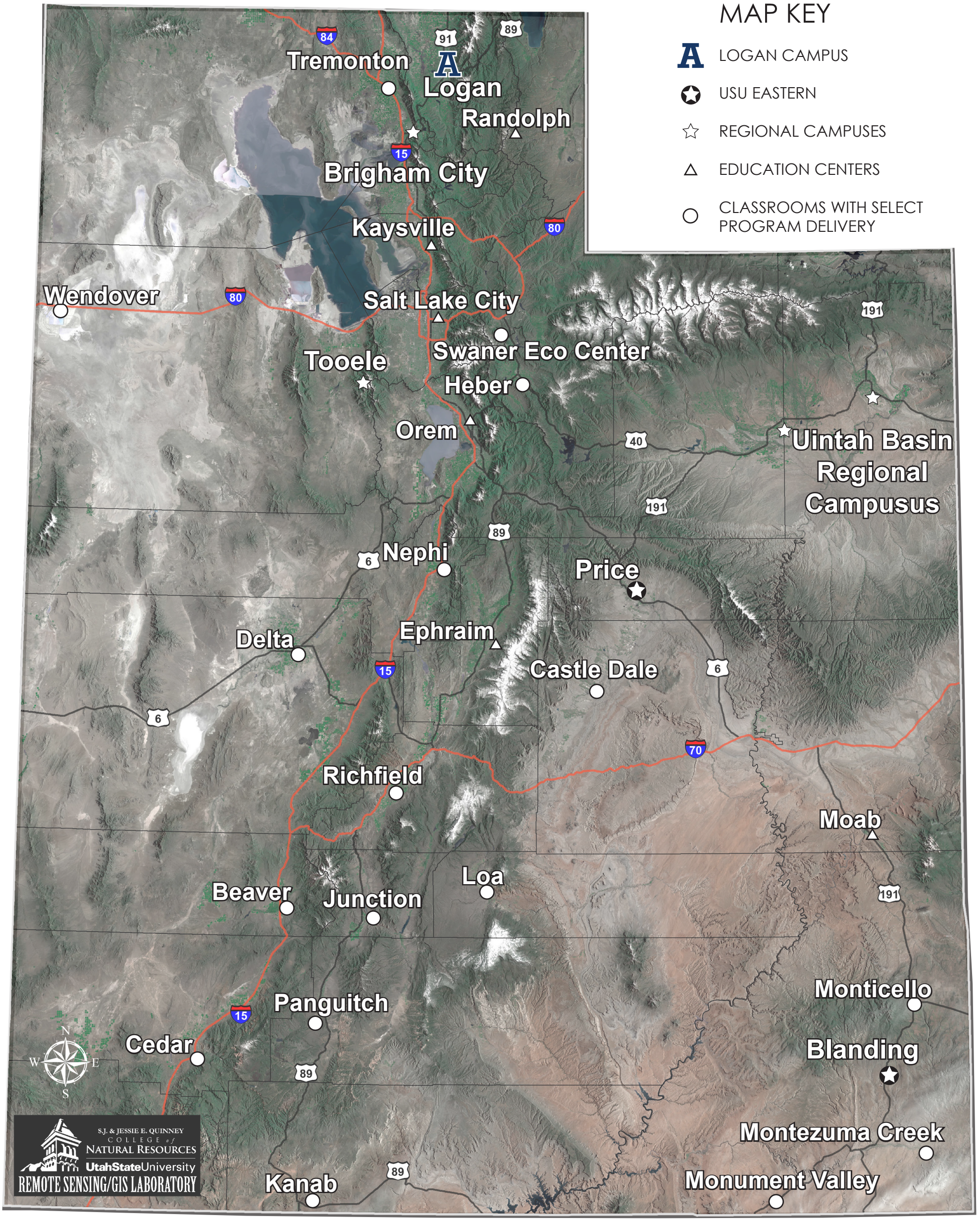
The new Brigham City Academic Building is currently under construction and will provide 54,400 SF to house classrooms, faculty offices, and student support spaces to accommodate the growing campus. The new building is the first building on the new campus site, a 44 acre contiguous parcel formerly used as a naval hospital and Indian school. It is located near downtown Brigham City with convenient access from Main Street and Highway 89. Construction will be complete in 2015.

TOOELE SCIENCE AND TECHNOLOGY BUILDING

The Tooele Science and Technology Building is currently under construction, and will provide 27,300 SF of space for distance education classrooms and biology, chemistry, and physics teaching laboratories. The building will be the first on the newly acquired campus property south of the existing campus facilities, with convenient access by the recently improved Tooele Boulevard. Construction will be complete in 2015.

2015 STATEWIDE CAMPUSES MASTER PLAN

STATEWIDE MASTER PLAN 2015



STATEWIDE MASTER PLANNING

As a public land-grant university, Utah State University is committed to expanding and enhancing the educational opportunities of the citizens of Utah. With statewide campuses, Education Centers and multiple education sites in all of Utah's 29 counties, higher education is now more accessible than ever before. These campuses and centers support and facilitate the delivery of quality courses and degree programs to students throughout Utah. Current USU master planning has set the following goals to accommodate immediate as well as long range growth throughout the state:

- Accommodate anticipated increases in enrollment
- Sustain student residency at USU Eastern
- Preserve USU land-grant legacy
- Create and maintain compact, walk-able academic cores
- Strengthen the image of USU
- Enhance compatibility within communities
- Maintain consistent spatial patterns and density
- Efficient and safe pedestrian and vehicular circulation

The mission of USU statewide campuses is to provide opportunities for professional and vocational learning, as well as lifelong enrichment through participation in social and cultural programs. These programs enable people of all ages and circumstances to enrich their lives and increase their knowledge without disrupting their employment or life style. Programs offered range from associate to doctoral level, including endorsements and certificates. As student enrollment increases, future planning will continue to address the needs of these facilities.

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Policy R541, *Management and Reporting of Institutional Investments*

Issue

The University of Utah is recommending revisions to Regent policy R541 that deals with the Management and Reporting of Institutional Investments. These revisions are connected to changes in their investment guidelines to increase alternative asset allocations above the current 30% limit, and to allow for more prudent and tactical rebalancing rather than a quarterly requirement.

Background

R541, *Management and Reporting of Institutional Investments* policy revisions include:

1) Request that the entire 6.2 section only applies to institutions without Trustee and Regents approved investment policy, by removing language from sections 6.2.1 and 6.2.2, and adding similar language to the 6.2 section title line. Institutions without their own approved investment policy dealing with allowable investments, asset allocations, and related criteria specified within 6.2. would still need to adhere to section 6.2. and relevant subsections.
2) Removes the requirement to rebalance at the end of every quarter, allowing institutions to rebalance as needed to bring into compliance. This change will provide flexibility for alternative (non-liquid) investments to rebalance as needed.

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 R541, *Management and Reporting of Institutional Investments*, effective immediately.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/BLS
Attachments

THE UNIVERSITY OF UTAH

John E. Nixon, CPA
Senior Chief Administrative Officer and Chief Financial Officer
201 South Presidents Circle, Room 208 • Salt Lake City, Utah 84112-9013 • 801-585-0806

M E M O R A N D U M

To: David L. Buhler, Commissioner

From: John E. Nixon, Sr. Chief Administrative Officer and CFO

Date: August 14, 2015

Subj: Request to modify Utah State Board of Regents Policy, R541-6. Endowment Funds

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In connection with the University of Utah's request for approval of its revised Endowment Pool Investment Guidelines, the University of Utah is requesting language modifications to Board of Regents Policy R541-6 Endowment Funds, in particular to Sections 6.2.1, 6.2.2 and 6.2.8.

The purpose of these changes is two-fold: (i) to permit investments, asset allocations, and related criteria that differ from those required by Policy R541-6.2, so long as such permissible investments, asset allocations, and criteria are contained in a separate investment policy of an institution that has been approved by such institution's trustees and by the Board of Regents, and (ii) to change 6.2.8 to allow for prudent and tactical rebalancing of an institution's endowment portfolio, instead of a forced rebalancing, which potentially could be harmful the institution's pool.

A marked copy showing the proposed changes to R541-6 is attached.

R541, Management and Reporting of Institutional Investments[1]

R541-1. Purpose: To provide for the implementation of the State Money Management Act, the rules of the State Money Management Council, and the Uniform Prudent Management of Institutional Funds Act; and the adoption of guidelines for the establishment of policy, process, and reporting of investments by institutions of the Utah System of Higher Education (USHE).

R541-2. References

2.1. Utah Code §53B-2-106, Duties and Responsibilities of the President

2.2. Utah Code Title 51, Chapter 7, State Money Management Act

2.3. Utah Administrative Code Title R628, Rules of the State Money Management Council

2.4. Utah Code Title 51, Chapter 08, Uniform Prudent Management of Institutional Funds Act

R541-3. Definitions

3.1. "The Board": The Utah State Board of Regents.

3.2. Investments: All institutional funds addressed under provisions of the State Money Management Act or the Uniform Prudent Management of Institutional Funds Act.

3.3. Alternative Investments: Funds that derive returns primarily from high yield or distressed debt (hedged or non-hedged), private capital (including venture capital and private equity), natural resources, private real estate, or absolute return and long/short hedge funds.

R541-4. Delegation of Responsibility: The Board delegates to each institutional Board of Trustees full responsibility to manage and report institutional investments in compliance with this general policy.

R541-5. Institutional Board of Trustees Responsibilities: Each institutional Board of Trustees shall adopt institutional policy and procedure regarding investments (including any changes in such policy and procedures), designate a public treasurer and approve the format of reports submitted for its review.

5.1. Periodic Review and Approval: Each institutional Board of Trustees shall receive and approve monthly investment reports.

5.2. Policy and Procedures Furnished to the Board: Each institution shall furnish the Board with a copy of its investment policies and procedures as approved by its institutional Board of Trustees. Such policy and procedures shall:

5.2.1. require institutional compliance with the State Money Management Act, Rules of the State Money Management Council, and Uniform Prudent Management of Institutional Funds Act; and

[1] Approved April 24, 1973, revised September 24, 1974, May 26, 1989, October 19, 1989, June 18, 1993, May 29, 1998, June 10, 2005,December 14, 2007 and October 16, 2009.

5.2.2. specify criteria for appointment of a public treasurer, define the public treasurer's authority in making institutional investments within the overall operating responsibility of the chief executive officer, and establish criteria for supervisory approval of the public treasurer's investment decisions; and

5.2.3. delineate specific procedures and required approvals for investment of institutional funds which provide for adequate internal controls, including an appropriate segregation of duties with respect to the authorization, custody, accounting and reporting of investment transactions; and

5.2.4. specify the format and schedule for reporting to its institutional Board of Trustees.

5.3. Subsequent Changes: Each institution shall submit to the Board all subsequent changes in investment policy.

R541-6. Endowment Funds: If any gift, devise, or bequest, whether outright or in trust, is made by a written instrument which contains directions as to investment thereof, the funds embodied within the gift shall be invested in accordance with those directions. Such gifts received by donation may be retained by an institution and shall be considered to be invested according to the terms of this policy. In the absence of a written instrument, non-qualifying investments shall be sold as soon as practical, not to exceed 30 days. The Commissioner may approve exceptions to the 30-day rule in the case of non-readily marketable investments.

6.1. In accordance with the Uniform Prudent Management of Institutional Funds Act, an institution's board of trustees may adopt its own endowment investment policy. All such policies (including any associated investment guidelines or other policy direction) must meet the requirements of the Uniform Prudent Management of Institutional Funds Act, and must be formally approved by the Board of Regents. Institutions are not authorized to apply their own policies until both of the foregoing conditions have been met. Institutions following a separate trustee adopted and Regent approved endowment investment policy will be considered to be investing in accordance with the terms of this policy. Revisions to institutional endowment investment policies (including revisions to any associated investment guidelines or other policy direction) must also receive both trustee and Regent approval.

6.2. Permissible Investments and Asset Allocations: This section applies to those institutions that do not have an investment policy in place that has been adopted by their Board of Trustees and approved by the Board of Regents.

6.2.1. ~~in the absence of an investment policy that has been adopted by the Board of Trustees and approved by the Board of Regents, i~~Institutions are permitted to invest endowment funds in the following:

Mutual funds registered with the SEC	0 - 100%
Investments sponsored by the Common Fund	0 - 100%
Investments authorized by Utah Code §51-7-11	0 - 100%
Corporate stock listed on a major exchange (direct ownership)	0 - 3%

6.2.2. ~~in the absence of an investment policy that has been adopted by the Board of Trustees and approved by the Board of Regents, a~~An institution's overall endowment portfolio shall be invested in accordance with the following allocation ranges:

Fixed income and cash equivalents	25 - 100%
Equity Investments	0 - 75%

Alternative Investments	0 - 30%

6.2.3. Each institution utilizing alternative investments must comply with the following criteria:

6.2.3.1. Each institution with endowed funds in excess of $100 million may invest up to 30 percent of its endowed funds in alternative investments.

6.2.3.2. Each institution with endowed funds in excess of $75 million but less than $100 million may invest up to 25 percent of its endowed funds in alternative investments.

6.2.3.3. Each institution with endowed funds in excess of $50 million but less than $75 million may invest up to 20 percent of its endowed funds in alternative investments.

6.2.3.4. Each institution with endowed funds in excess of $25 million but less than $50 million may invest up to 15 percent of its endowed funds in alternative investments.

6.2.3.5. Each institution with endowed funds in excess of $5 million but less than $25 million may invest up to 10 percent of its endowed funds in alternative investments.

6.2.3.6. Institutions with endowed funds of less than $5 million are not permitted to invest any of their endowed funds in alternative investments.

6.2.4. Once an institution reaches an alternative investment threshold, it may retain the investment range authorized for that threshold as long as the market value of its endowed funds remains within 90 percent of the threshold.

6.2.5. Pooled or commingled investment funds (e.g., mutual funds or Common Fund investments) are to be categorized and calculated into the asset mix according to the primary purpose of those investment funds.

6.2.6. Pooled or commingled investment funds without a clear primary purpose (e.g., balanced funds) are to be categorized and calculated into the asset mix as equity investments.

6.2.7. Real estate investment trusts are to be categorized and calculated into the asset mix as equity investments.

6.2.8. The endowment portfolio shall be reviewed ~~and rebalanced~~ at the end of every quarter and if need be, a tactical plan of action to rebalance the portfolio shall be determined to bring the portfolio into compliance (rebalancing is only necessary if the permissible investment and/or asset allocation ranges are out of compliance). This action will constitute full compliance with the permissible investment and asset allocation provisions of this policy.

6.2.9. All calculations required to demonstrate compliance with section 6.2 are to be based on market values.

6.3. Investment Guidelines. The foregoing asset allocation standards are meant to serve as a general guide. The institutions must use them in conjunction with appropriate due-diligence and prudence. The following standard of care shall apply to investments of endowed funds by institutions:

6.3.1. An institution shall invest and manage endowment funds as a prudent investor would, by considering the purposes, terms, distribution requirements, and other circumstances of the endowment. In satisfying this standard, an institution shall exercise reasonable care, skill, and caution.

6.3.2. An institution's investment and management decisions respecting individual assets must be evaluated not in isolation but in the context of the endowment portfolio as a whole and as a part of an overall investment strategy having risk and return objectives reasonably suited to the endowment.

6.3.3. Among circumstances that an institution shall consider in investing and managing endowment assets are the following which may be relevant to the endowment or its beneficiaries:

6.3.3.1. general economic conditions;

6.3.3.2. the possible effect of inflation or deflation;

6.3.3.3. the role that each investment or course of action plays within the overall endowment portfolio;

6.3.3.4. the expected total return from income and the appreciation of capital;

6.3.3.5. needs for liquidity, regularity of income, and preservation or appreciation of capital; and

6.3.3.6. an asset's special relationship or special value, if any, to the purposes of the endowment or to one or more of the beneficiaries.

6.3.4. An institution shall make a reasonable effort to verify facts relevant to the investment and management of endowed assets.

6.3.5. Any institution that elects to invest their endowment funds with another institution may do so with prior approval from their Board of Trustees and the Board of Regents and shall adopt the investment guidelines of the institution receiving the funds in place of the guidelines outlined in 6.2-6.3.

6.4. Delegation to an Agent: An institution may delegate investment and management functions that a prudent investor could properly delegate under the circumstances.

6.4.1. The institution shall exercise reasonable care, skill, and caution in:

6.4.1.1. selecting an agent;

6.4.1.2. establishing the scope and terms of the delegation, consistent with the purposes and terms of the endowment; and

6.4.1.3. periodically reviewing the agent's actions in order to monitor the agent's performance and compliance with the terms of the delegation.

6.4.2. In performing a delegated function, an agent owes a fiduciary duty to the endowment to exercise reasonable care to comply with the terms of the delegation. An institution that complies

with the requirements of section 4.6.2.2 is not liable to the beneficiaries or to the endowment for the decisions or actions of the agent to whom the function was delegated.

6.4.3. In investing and managing endowed funds, an institution may only incur costs that are appropriate and reasonable in relation to the assets, the purposes of the endowment, and the skills of the institution or agent to whom investment management functions were delegated.

6.5. Exceptions: The Board of Regents may approve exceptions to R541. Such exceptions must be immaterial to the endowment portfolio as a whole and must meet a compelling instructional, public service, or other institutional need.

R541-7. Operating and All Other Non-Endowment Funds: Operating and all other non-endowment funds shall be invested in accordance with the State Money Management Act and Rules of the State Money Management Council.

R541-8. Conflicts of Interest: A conflict of interest occurs when an individual's private interests interfere in any way—or even appear to interfere—with the institution's interests as a whole.

8.1. Access Persons

8.1.1. Each institution's officers, directors, employees or members of an investment committee that are involved with the investment of endowment funds ("Access Persons") have a duty to be free of conflicting interests that might influence their decisions when representing the institution.

8.1.2. Consequently, as a general matter, an institution's Access Persons are not permitted to maintain any conflict of interest with the institution, and should make every effort to avoid even the appearance of any such conflict. A conflict of interest can arise when an Access Person takes actions or has interests that may make it difficult to perform his or her company work objectively and effectively, or when an Access Person or a member of his or her family receives any improper personal benefits as a result of his or her position with the institution.

8.1.3. Any Access Person who believes that he or she may have a potential conflict of interest must immediately report concerns to the appropriate institutional representative, mechanism, or process (ethics committee, etc.).

8.2. This general prohibition on conflicts of interest includes (but is not limited to) the following:

8.2.1. an institution's dealings with consultants, investment advisers, investment funds, and others shall be based solely on what is in the institution's best interest, without favor or preference to any third party, including close relatives; and

8.2.2. Access Persons who deal with or influence decisions of individuals or organizations seeking to do business with an institution shall not own interests in or have other personal stakes in such organizations that might affect the decision-making process and/or the objectivity of such employee, unless expressly authorized in writing by the investment committee and board of trustees of the institution, and only after the interest or personal stake has been disclosed.

R541-9. Reports to Institutional Boards of Trustees: In establishing reports to its Board of Trustees, each institution shall implement the following:

9.1. Reports: Each institution shall submit monthly investment reports to the secretary of the Board of Trustees within 60 days of the month's end. The secretary will place the reports on the agenda of the next regular trustee meeting.

9.2. Copies of Reports Submitted to the Board: Within 30 days of trustee approval, each institution shall submit to the Board of Regents a copy of the reports submitted to its board of trustees.

R541-10. Annual Report: Annually, each institution shall submit, on forms provided by the Commissioner of Higher Education, a report summarizing all investments under its jurisdiction.

R541-11. Audits: Each institution shall arrange for an audit of its annual report. The Office of the Commissioner will maintain an audit procedures guide to outline audit requirements and due dates.

R541-12. Annual Summary: The Board shall submit an annual report to the Governor and the Legislature summarizing all investments by institutions under its jurisdiction.

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah Endowment Pool Investment Guidelines and Implementation Strategy

Issue

The University of Utah (UU) is requesting approval of revisions to their Endowment Pool Investment Guidelines along with a newly created Implementation Strategy component. The primary focus of these documents is to accommodate new asset allocation targets and ranges within the UU Endowment Pool, to provide for asset allocation rebalancing based on ranges rather than on set time deadlines, and to clarify respective roles and responsibilities of the various parties involved in the UU investment portfolio and its oversight.

Background

An institution's Board of Trustees may adopt its own institutional endowment investment policy. All such policies including any associated investment guidelines or other policy direction must meet the requirements of the Uniform Prudent Management of Institutional Funds Act, and must be formally approved by the Board of Regents (R541-6.1), prior to being implemented.

The University of Utah's Board of Trustees directed Senior Administration to identify an investment consultant to advise and direct an appropriate investment strategy, and to maintain oversight and risk management functions. The investment consultant selected was "Fund Evaluation Group" ("FEG") which, after a thorough assessment, recommended new investment targets and ranges, including increasing alternative investments above the current 30% limit (R541.6.2.3.1.) to a maximum of 60%. The University's Board of Trustees approved both the revised Investment Guidelines and new Implementation Strategy on August 11, 2015. The attached memo from the University's CFO provides substantial additional detail regarding this current effort.

Commissioner's Recommendation

The Commissioner recommends that the Regents review the proposed University of Utah revisions, ask any clarification questions desired, and if in agreement with the changes, approve both the University of Utah's *Endowment Pool Investment Guidelines* and the *Implementation Strategy*, effective immediately.

_____

David L. Buhler
Commissioner of Higher Education

DLB/GLS/BLS
Attachments

THE UNIVERSITY OF UTAH

John E. Nixon, CPA
Senior Chief Administrative Officer and Chief Financial Officer
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M E M O R A N D U M

To: David L. Buhler, Commissioner

From: John E. Nixon, Sr. Chief Administrative Officer and CFO

Date: August 14, 2015

Subj: Request for approval of revised and updated University of Utah Endowment Pool Investment Guidelines

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Request

The University of Utah requests approval of the attached revised University of Utah Endowment Pool Investment Guidelines, including its new component statement entitled "Investment Implementation Strategy" (collectively, the "Guidelines"). The primary focus of the revised Guidelines is to accommodate new proposed targets and ranges for asset allocation for the University of Utah's Endowment Pool (the "Pool").

Background

Approximately a decade ago, the University of Utah sought the guidance and support of the Board of Regents, in petitioning the State of Utah to adopt a modified version of the Uniform Prudent Management of Institutional Funds Act ("UPMIFA") into Utah State Law, in which it was successfully accepted. The addition of UPMIFA language into R541 for "Endowment Funds" has allowed for the successful implementation of the current investment strategy for the University of Utah's Endowment Pool, all of which is still appreciated by the University of Utah.

When the current Endowment Fund language was added to R541, it was believed that the stated asset allocation standards as set in R541-6 were appropriate given the resources and experience dedicated to alternative assets by Utah Institutions of Higher Education.

Under the guidance of the Utah State UPMIFA and R541, over the past 10 years the University's Endowment Pool has grown from $430,811,812 to $715,327,861, and within, has gradually increased its investments in alternative assets which are now approaching the allowable 30% maximum under R541. The University believes that during this period of growth, it has prudently invested in alternative assets by demonstrating a high level of fiduciary due diligence and oversight by its Investment Advisory Committee and Investment Staff.

THE UNIVERSITY OF UTAH

John E. Nixon, CPA
Senior Chief Administrative Officer and Chief Financial Officer
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The University of Utah's Board of Trustees has become increasingly mindful of the challenges of investing its endowment to meet the dual goals of preserving purchasing power for future generations while providing current income for student scholarships and faculty chairs. After review of the asset allocations and investment approaches of peer institutions from across the nation, the Trustees directed Senior Administration to conduct a search for a qualified investment consultant to advise and direct the University in pursuing appropriate investment strategies for endowments of its size. The University's goal in hiring a new external advisor is to maintain oversight and risk management of the endowment portfolio through the University's Investment Office which is located on campus.

The Senior Administration recommended to the Trustees that the University hire Fund Evaluation Group ("FEG"), an institutional investment consultant with an national client base of public higher education institutions, that has the resources to structure a new asset allocation strategy and for recommending investments and managers in all areas of investments, (particularly in alternative investments) for the University. FEG did a thorough review of the Endowment Pool and suggested a new over-all asset allocation with targets and ranges (see attached). FEG determined that to ensure mature growth and competitive returns on endowment funds, the University would need the ability to invest more funds in alternative investments; with a maximum allocation range of up to 60%. The University has directed FEG that any movement into a higher alternative investment allocation should be done prudently and over a pre-determined time horizon, while remaining cognizant of investment opportunities.

Modifications to the Endowment Pool Investment Guidelines

The University has prepared modified Guidelines based on FEG's investment strategy recommendations. The Guidelines have been split into two components – the main Guidelines and a new component statement entitled "Investment Implementation Strategy".

The University moved from the main Guidelines to the Investment Implementation Strategy details regarding the objectives, asset allocation/investment structure, and performance measurement. The Guidelines were also changed to clarify the respective roles and responsibilities of the Board of Trustees, Senior Investment Officers of the University, the Investment Advisory Committee, the Investment Management Office, and investment consultants.

The day–to-day management of the Pool is detailed in the Investment Implementation Strategy. It will be subject to regular review and may be modified as determined appropriate by those with oversight over the Pool, including the University's Board of Trustees and the Board of Regents. The main Guidelines set forth the general standard of care for the overall management of the Pool by the University and it is anticipated that these provisions will be in place long term.

The University's Board of Trustees approved the modified Guidelines, including its new component statement entitled "Investment Implementation Strategy", on August 11, 2015. Approval is now requested from the Board of Regents.

University Of Utah Endowment Pool
Investment Guidelines

I. Purpose

To establish university guidelines and strategies related to the investment of the Endowment Pool (the "Pool") and reporting of such investments.

The goal for the management of endowment funds at an academic institution is to ensure that the endowment provides future students and faculty with the same level of spending resources (adjusted for inflation), as current students and faculty receive, while also providing a stable and increasing cash flow to fund current operating budgets. In order to accomplish this, endowment funds of the University of Utah (the "University") are invested under the total return concept of the Uniform Prudent Management of Institutional Funds Act (UPMIFA). UPMIFA was adopted into state law under Utah Code 51-08 and it is the governing regulation for the University's endowment funds.

In addition, endowment funds specifically serve two purposes for the University. First, endowment funds provide financial flexibility to the University by allowing the Health Sciences and the Main Campus Senior Administrators and the Academic Deans to strategically manage their colleges and departments to ensure the University continues to achieve its mission of leadership as a research institution on a national level. Second, due to the decentralized private funding structure of the University, endowment funds play a sizeable role in funding scholarships, fellowships, and current initiatives for particular departments.

The **Pool** was established by the University as a pooled fund for the long term investment of endowment funds. As determined by the University's spending policy, a percentage of the market value of the endowment funds is distributed quarterly to provide funding for current operations as approved by the President of University.

II. References

A. Uniform Prudent Management of Institutional Funds Act (UPMIFA), Title 51, Chapter 08, Utah Code Annotated 2007.

B. Utah State Board of Regents Investment Policy (R541)

III. Definitions

Endowment funds - As used in these guidelines, "endowment funds" include true endowment funds, term endowment funds, and quasi-endowment funds.

True endowment funds - As used in these guidelines, "true endowment funds" (also known as "permanent endowment funds") are institutional funds with respect to which a

donor has stipulated, as a condition of the gift, that the gift is to be maintained inviolate and in perpetuity. True endowment funds are to be invested for the purpose of producing present and future income that may, also by donor stipulation, be expended or reinvested with the original gift. The principal or corpus of the true endowment must be maintained intact. Income that may be expended according to the donor's stipulation may be unrestricted or restricted as to the purpose for which it is expended, the time it may be expended, or both. Income that may not be expended but rather added to the principal or corpus in accordance with the donor's stipulation assumes, or takes on, the same restrictions as the original gift.

Term endowment funds – Term endowment funds are similar to true endowments, except that, upon the passage of a stated period (or time) or the occurrence of a particular event, all or part of the donation may be expended. True and term endowments are collectively referred to as "donor-restricted" transactions.

Quasi-endowment funds - Quasi-endowment funds are institutional funds that the governing board (in this case, the University's Board of Trustees [the "Board"]), rather than the donor, has determined are to be retained and managed like an endowment. Principal and income of these funds may be utilized at the discretion of the governing board and are set aside to function as an endowment and may be unrestricted or restricted as to the purpose or time of expenditure by any agent outside the institution.

Investment Implementation Strategy – The Investment Implementation Strategy is a component statement of the Endowment Pool Investment Guidelines that shall further describe qualitative and quantitative measures to implement strategies and tactics, asset allocations, performance measurements and expectations to prudently invest endowment funds to sustain the University's current and future needs. The Investment Implementation Strategy is subject to change.

IV. Investment Guidelines

The following standard of care shall apply to the investment of the Pool by the University:

1) Standard of Care

   a) The University shall invest and manage the Pool as a prudent investor would, by considering the purposes, terms, distribution requirements, and other circumstances of the endowment funds. In satisfying this standard, the University shall exercise reasonable care, skill, and caution.

   b) The University's investment and management decisions respecting individual assets must be evaluated, not in isolation, but in the context of the endowment

portfolio as a whole, and as a part of an overall investment strategy having risk and return objectives reasonably suited to endowment funds.

c) The University shall conduct appropriate due diligence and make a reasonable effort to verify facts relevant to the investment and management of endowed assets.

d) The University shall consider at least the following, which may be relevant to the endowment(s) and/or its beneficiaries, in investing and managing endowment assets:

i) General economic conditions,

ii) The possible effects of inflation or deflation,

iii) The role that each investment or course of action plays within the Pool and if it is consistent with the Pool's investment strategy,

iv) The expected total return from income and the appreciation of capital, and

v) Needs for liquidity, regularity of income, and preservation and/or appreciation of capital.

e) The University shall not consider previous or potential gifts from donors and/or political interests relating to the University when conducting due-diligence and considering investment opportunities.

2) Delegation of Investment and Management Functions

The University may delegate investment and management functions that a prudent investor could properly delegate under the circumstances. The University shall exercise reasonable care, skill, and caution in:

a) Selecting an external investment consultant (the term investment consultant shall be considered the University's investment consultant and either as singular or plural and include the term investment advisor(s)), investment manager(s) or fund administrators.

b) Establishing the scope and terms of the delegation, consistent with the purposes and terms of the endowment. Periodically review the investment consultant, and/or investment manager(s) actions in order to monitor their fiduciary duty, compliance with the terms of the delegation, and investment performance;

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c) So long as the University complies with Article IV, Investment Guidelines subsection-(2) requirements; it shall not be liable to the endowment(s) and/or the beneficiaries for the decisions or actions of the investment consultant, and/or investment manager(s) to whom a function was given.

3) Costs

In investing and managing the Pool, the University may only incur costs that are appropriate and reasonable in relation to the assets, the purposes of the endowment, and the skills of designated University administration and/or investment consultant and/or investment manager(s) to whom investment management functions were delegated.

V. Delegation of Responsibilities

1) Responsibilities of the Board of Trustees

a) The Board has the following responsibilities:

i) Ultimate fiduciary responsibilities for the Pool.

ii) Approve the University of Utah Investment Policy, which includes the Endowment Pool Guidelines which includes the Investment Implementation Strategy (Article XVIII), to ensure appropriate governance is in place and effectively implemented.

iii) The Board shall review and approve the monthly investment report and quarterly performance report of the Pool that have been submitted to the Board.

iv) Perform the review as described in Article XIV of these guidelines.

b) The Board shall delegate to the Investment Advisory Committee the responsibility for the ongoing monitoring of the Pool.

c) The Board shall delegate the responsibilities listed below to the Senior Chief Administrator & Chief Financial Officer, the Vice President for Administrative Services and the Associate Vice President/Chief Investment Officer (CIO), (collectively defined as Senior Investment Officers), who may act on the advice from the Investment Advisory Committee. In delegating such responsibilities the Board will not ordinarily meet with investment managers hired by the University.

i) Invest and reinvest the funds of the Pool.

ii) Contract with independent investment consultant, investment manager(s), and other fund administrators for the Pool.

iii) Subscribe for an interest as a limited partner or shareholder of a domestic or offshore partnership or corporation.

iv) Make payments of compensation for investment advisory and/or management services for the Pool.

v) Other responsibilities as determined by the Board.

2) Responsibilities of the Investment Advisory Committee

The Investment Advisory Committee (the "Committee") is responsible for monitoring the provisions of the Investment Implementation Strategy (Article XVIII). This responsibility includes the monitoring of investment strategy, of the hiring and firing of investment managers, custodians, and investment consultants; monitoring performance of the Pool on a regular basis (at least quarterly); and maintaining sufficient knowledge about the Pool and its managers to be reasonably assured of their compliance with the Investment Implementation Strategy (Article XVIII).

The Committee is chaired by the Vice President for Administrative Services, and it shall consist of six to ten members who are selected by the President of the University. The Committee shall have two members from the Board of Trustees and not less than two independent investment management professionals.

3) Responsibilities of the Investment Management Office

a) The responsibilities of the Investment Management Office may include, but are not limited to, the following:

i) Conduct due diligence searches for external investment consultant(s), investment manager(s), investments opportunities, and other fund administrators, and in consultation with the Committee, determine their engagement, continuation, or termination or any other matters pertaining to the benefit of the Pool and may be done in conjunction with the investment consultant as set forth in the Investment Implementation Strategy (Article XVIII).

ii) Serve as the primary contact for the Pool and manage the day-to-day operational activities, which include but limited to:

(1) Execute or direct investments as outlined in the Investment Implementation Strategy (Article XVIII) and as otherwise set forth in the Endowment Pool Investment Guidelines.

(2) In consultation with the Committee, outline investment strategies for implementing the asset allocation and provide oversight over the allocation and reallocation of assets in order to be in compliance with the targets and ranges as set forth in the Investment Implementation Strategy (Article XVIII).

(3) Oversight of all internal reporting pertaining to transactions for assets and income within the Pool so that Accounting may properly record the activity on the University's accounting statements.

iii) All necessary reporting to ensure compliance by University administration and by the investment consultant, investment manager(s), and other fund administrators within the relevant statutes, policies, guidelines, and strategies.

iv) Review Pool expenses to ensure only reasonable and necessary expenses are being assessed and/or in conjunction with the investment consultant as necessary.

b) The Investment Management Office may be assisted by an investment consultant, and/or investment manager(s) in carrying out any of the responsibilities listed above and/or as set forth in the Investment Implementation Strategy (Article XVIII).

4) Responsibilities of Investment Consultant

a) Acknowledge in writing acceptance of fiduciary duty to the Pool and to exercise reasonable care under the standard of care defined in Article IV, Investment Guidelines. This list is not intended to be limited.

b) Communicate promptly with the Investment Management Office regarding all significant matters such as but not limited to:

i) Changes in the firm's ownership, organizational structure, or professional staffing (additions and departures),

ii) Changes to the firm's financial stability, solvency, legislative or regulatory oversight, and/or pending litigation proceedings,

iii) Changes to fee schedules,

iv) Any other changes of a substantive nature that may affect the firm's operations.

c) Provide an Investment Implementation Strategy (Article XVIII) that shall serve as a component statement of the Endowment Pool Investment Guidelines.

5) Responsibilities of Securities Custodian(s) for Separate Managed Accounts

a) Serve as custodian and act in a fiduciary capacity for the University and the Pool.

b) Acknowledge in writing the acceptance of a fiduciary duty to the Pool, to exercise reasonable care, and to comply with the terms of the delegation as defined in Article IV, Investment Guidelines.

c) Communicate promptly with the Investment Management Office and with the University's investment consultant regarding all significant matters such as but not limited to:

i) changes to the firm's ownership or organizational structure,

ii) changes to the firm's financial stability, solvency, legislative or regulatory oversight, and/or pending litigation proceedings,

iii) changes to fee schedules;

iv) any other changes of a substantive nature that may affect the firm's operations.

d) Provide safekeeping of securities entrusted to it, collect dividends and interest payments on held securities, make cash disbursements, and manage cash flows as directed by the Investment Management Office.

e) May lend securities owned by the Pool, but held in custody by another party, such as a bank custodian, only if such securities lending is pursuant to a separate written agreement.

f) Issue monthly statements that provide complete and accurate accounting records:

i) of security holdings and positions priced in accordance with industry standards;

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ii) each asset transaction, including income and cash flows received from each investment manager.

g) Meet periodically with the Senior Investment Officer and/or staff, who include the University's investment consultant, to report on the separate investment account.

The foregoing list is not intended to be all inclusive.

VI. Conflicts of Interest

The University's officers, directors, employees, or members of the Committee that are involved with the investment of the Pool ("Access Persons") have a duty to be free of conflicting interests that might influence their decisions when representing the University. Consequently, as a general matter, the University's Access Persons are not permitted to maintain any conflict of interest with the University, and should make every effort to avoid even the appearance of any such conflict. A conflict of interest occurs when an individual's private interests interfere in any way – or even appear to interfere – with the University's interests as a whole. A conflict of interest can arise when an Access Person takes actions or has interests that may make it difficult to perform his or her assigned duties objectively and effectively, or when an Access Person or a member of his or her family receives any improper personal benefits as a result of his or her position with the University. Any Access Person who believes that he or she may have a potential conflict of interest must immediately report concerns to the appropriate University representative, mechanism, or process. This general prohibition on conflicts of interest includes (but is not limited to) the following:

1) The University's dealings with investment consultant, investment firm(s), investment fund(s), and others shall be based solely on what is in the University and Pool's best interest, without favor or preference to any third party, including close relatives; and

2) Access Persons who deal with or influence decisions of individuals or organizations seeking to do business with the University shall not own interests in or have other personal stakes in such organizations that might affect the decision-making process and/or the objectivity of such employee, unless expressly authorized in writing by the Board, and only after the interest or personal stake has been disclosed.

VII. Investment Objectives of the Pool

The University of Utah shall invest the Pool in accordance with prudent return and risk objectives. These objectives seek to achieve a total rate of return over a described time

horizon which exceeds the rate of inflation (as measured by the Consumer Price Index) plus any spending and administrative expenses, thus protecting the purchasing power of the assets and to solidify an investment program that offers a high probability of achieving the stated investment return objective while keeping the frequency and magnitude of temporary declines at acceptable levels. These objectives are set forth in the Investment Implementation Strategy (Article XVIII). Pursuant to Articles XII &XIII, the Investment Implementation Strategy shall be reviewed periodically.

VIII. Eligible Pool Investments

The following shall be considered eligible Pool investments. This list is not intended to be exhaustive and shall be subject to review on an ongoing basis. Eligible pool investments may be further outlined in the Investment Implementation Strategy (Article XVII). Eligible Pool Investments include:

Global marketable equities: shall be diversified and readily marketable across a spectrum of small, medium, and large market capitalizations by - issue, industry, and sector as well as diversified across multiple regions, including the United States, developed foreign and emerging markets, as all may be further described in the Investment Implementation Strategy (Article XVIII).

Global marketable fixed income holdings: should be diversified by country, issue, sector, coupon, and quality and should be readily marketable and can include both investment grade and non-investment grade securities as all may be further described in the Investment Implementation Strategy (Article XVIII).

Alternative investment funds: that derive returns primarily from marketable and non-marketable assets such as, high yield and distressed debt (hedged or non-hedged), private capital (including venture capital, private equity, both domestic and international), natural resources, public and private real estate assets or absolute return and long/short hedge funds (each an "Alternative Investment Fund") and other diversifying strategies as may be further described in the Investment Implementation Strategy (Article XVIII). The foregoing list is not intended to be all inclusive.

1. Alternative investments shall be measured against appropriate benchmarks, universes and/or expected rates of return. Asset allocation targets and ranges as set forth in the Investment Implementation Strategy (Article XVIII) will guide the long-term investment activities for the Pool.

2. Due Diligence Criteria for Alternative Investment Funds shall be as stated in Article XII, Section 1, Due Diligence Criteria.

Use of commingled funds (e.g., mutual funds; bank trust funds), domestic and offshore

partnerships and corporations, and separate account agreements, which meet the general intent of the Investment Implementation Strategy (Article XVIII), may be utilized by the Pool.

Equity and fixed income managers may invest in short term commercial paper, money-market mutual funds, other money market investments, and short term bond investments as a surrogate for cash reserves from time-to-time. The intent is to have the investment manager remain fully invested at all times. Cash is not considered to be a strategic asset.

Due to the changing nature of investment opportunities, any other parameters or special investment opportunities may necessitate the amending of the Endowment Pool Investment Guidelines including the Investment Implementation Strategy (Article XVIII). Approval of the Board of Trustee prior to amending may be deemed appropriate.

IX. Asset Allocation

Asset allocation targets and ranges as set forth in the Investment Implementation Strategy (Article XVIII) will outline the long-term investment activities for the Pool.

Senior Investment Officers, with the advice of the Committee, will manage the asset allocation mix within the target allocations and allocation ranges. It is expected that the asset allocation mix will be diversified among asset classes and be designed to meet the rate of return and risk objectives of the Pool as set forth in the Investment Implementation Strategy (Article XVIII).

Rebalancing:

a) The actual allocation percentages may vary before rebalancing is necessary to comply with the asset allocation targets.

b) Senior Investment Offices and the Committee shall review the Pool's asset allocations on a regular basis and determine the weighting and rebalancing parameters for allocation to investment strategies and shall be described in the Investment Implementation Strategy (Article XVIII). Advice from the investment consultant regarding asset allocation strategies may also be considered.

X. Pool Risk Tolerance

Based on the University's understanding of capital market risk, the following guiding principles and measures shall be followed to control undue portfolio volatility in the Pool:

1) The University recognizes that the primary fiduciary obligation regarding the Pool is to prudently invest the portfolio to meet investment objectives that will fulfill the purpose of the Pool as described in Article I.

2) The University fully recognizes the likelihood of periodic market declines and is willing to accept the possibility of some short-term declines in market value in order to achieve potentially higher long-term investment returns.

3) Assets of the Pool are to be diversified to protect against large investment losses and to reduce the probability of excessive performance volatility.

4) Diversification of assets is to be achieved by:

   a) allocating monies to various asset classes and investment styles within asset classes;
   b) retaining investment management firm(s) with complementary investment philosophies, styles and approaches.

XI. Performance Evaluation and Review Process for the Pool

Senior Investment Officers and the Committee will evaluate the Pool's investment performance on a periodic basis which shall include, but not be limited to, the following:

1) The overall Pool's performance and each investment manager's performance to determine whether the Pools' objectives are being met.

2) The Pool's asset allocation mix relative to its Investment Implementation Strategy (Article XVIII) and capital markets outlook.

3) The risk and return profile(s) of the Pool and each investment manager to determine whether the Pool's goals and objectives are being met.

4) The extent to how each investment manager has managed their portfolio consistent within that manager's stated investment philosophy and style.

5) Each investment manager's adherence to these guidelines.

6) A reasonable full market cycle time horizon for evaluating the Pool's investment performance shall be on a long term basis as more specifically described in the Investment Implementation Strategy (Article XVIII).

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XII. External Investment Manager Search and Evaluation

1) Due Diligence Criteria

The Investment Management Office and the investment consultant shall consider the following minimum criteria as part of the due diligence process for selecting an external investment manager.

a) Investment experience and integrity of the investment management team.

b) Stability of the investment management organization.

c) Fit within the investment strategy for the Pool.

d) Focused investment strategy with demonstrated process of implementation.

e) Performance relative to peer group and to assumed risk.

f) Investment vehicle structure including:

i) Expense ratios or fees

ii) Inception date of product

iii) Total assets in product

2) External Investment Manager Evaluation

Time frames for evaluating the qualitative and quantitative performance measures of investment managers should approximate a determined market cycle. Senior Investment Officers and the Committee will evaluate the Pool's investment managers on a periodic basis as may be further described in the Investment Implementation Strategy (Article XVIII). This may be done in conjunction with the investment consultant.

Managers will be evaluated based upon accepted industry standards and the criteria for which they were hired.

XIII. Review of Endowment Pool Investment Guidelines

Senior Investment Officers and the Committee will review the Endowment Pool Investment Guidelines, including the Investment Implementation Strategy (Article XVIII), periodically to determine that it continues to be appropriate in view of changes within State and Federal regulations, the University, the Pool, and capital markets.

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XIV. Internal Controls and Audits

1) The University shall establish a system of internal controls, which shall be evaluated annually by the University's internal auditors and/or by independent auditors. The controls shall be designed to prevent losses of funds from fraud, employee error, or misrepresentation by third parties or by university employees and officers.

2) The President shall arrange for an audit of the University's annual report, conducted by either the resident auditors or the Regents' audit staff. The audits shall be conducted in accordance with applicable generally accepted auditing standards for regulatory or prescribed format reports. Reports shall include the auditors' comments based on their examination of investment policy and procedures, the process, the accounting records, and the safekeeping methods.

XV. Reporting to Board of Trustees and to the State Board of Regents

1) In establishing reports for its Board of Trustees, the University shall implement the following:

   a) All reports shall include the Chief Investment Officer's assertion that, to the best of his/her knowledge, the institution is in compliance with UPMIFA.

   b) The Chief Investment Officer shall submit monthly investment reports to the Board within 45 days of the month's end. In addition, the Chief Investment Officer shall submit quarterly performance reports to the Board within 60 days of the quarter's end.

   c) Within 30 days of the Board's approval, the University shall submit to the Board of Regents a copy of the investment reports submitted to the Board. Reports submitted to the Board of Regents shall be accompanied by a transmittal letter to the Commissioner indicating that the President of the University of Utah has reviewed the reports.

Annually, the Senior Investment Officers shall make a presentation to the Board of Trustees. Such presentation shall include a discussion of the investments and the current and past performance of the Pool, and may be followed up with a question and answer period. The investment consultant may also be invited to participate in the presentation as determined by the Senior Investment Officers.

XVI. Annual Money Management Report

Annually, the University shall submit, on forms provided by the Commissioner of Higher Education, a summary report of its money management activities for the year. This report

shall include an auditor's opinion (as provided in section 4.11 of Regents Policy R541) regarding: the fairness of presentation of the report in accordance with generally accepted accounting principles, UPMIFA, and these guidelines. Draft reports shall be submitted to the Commissioner's Office not later than October 15 of each year. Final reports including the auditor's opinion shall be submitted not later than November 30 of each year.

XVII. Managing Institutional Funds of Other Institutions of Higher Education

Nothing in these guidelines shall restrict the ability of the University to manage endowed funds for other institutions of higher education. In delegating all investment management functions to the University of Utah, the other institution's Board of Trustees shall maintain their fiduciary responsibility for the funds. The terms of any such agreement between the University and other institutions shall govern and should clearly layout the expectations of each party, especially with regard to fees and reporting. The funds shall be managed in accordance with these guidelines and all other governing laws and regulations (such as UPMIFA).

Excerpted and based upon the Utah Uniform Trust Code (Utah Code 75-7-814(2))
Modified from the Uniform Prudent Investor Act § 7.

XVIII. Strategies

(Link to Investment Implementation Strategy)

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UNIVERSITY OF UTAH ENDOWMENT POOL
INVESTMENT IMPLEMENTATION STRATEGY

May, 2015

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OVERVIEW

PURPOSE

This Endowment Pool Investment Implementation Strategy is intended to establish a clear understanding of the philosophy and investment objectives of the University of Utah's Endowment Pool (the "**Pool"**) This Endowment Pool Investment Implementation Strategy is a component statement to the University of Utah Endowment Pool Investment Guidelines as utilized by the Investment Advisory Committee and the Senior Investment Officers, which consists of the Senior Chief Administrator & Chief Financial Officer, the Vice President for Administrative Services and the Associate Vice President/Chief Investment Officer (CIO), in monitoring investment performance, as well as, serve as a further guideline for any investment manager retained.

The purpose of the **Pool** is to accumulate a pool of assets sufficient to build capital for future use along with the corresponding obligation to support current needs. While shorter-termed investment results will be monitored, adherence to an overall sound long-term investment policy which balances short-term spending needs with preservation of the real (inflation-adjusted) value of assets, is crucial to the long-term success of the Fund.

SCOPE

This Endowment Pool Investment Implementation Strategy applies to assets that are a part of the **Pool** and for which the Investment Advisory Committee and Senior Investment Officers have responsibility.

FIDUCIARY DUTY

In seeking to attain the investment objectives set forth in this Endowment Pool Investment Implementation Strategy, the Investment Advisory Committee, Senior Investment Officers, the investment consultant, and investment managers shall exercise prudence and appropriate care as fiduciaries in accordance with the Utah Uniform Prudent Management of Institutional Funds Act (UPMIFA) and Utah State Board Of Regents Investment Policy R-541 and the University of Utah Endowment Pool Investment Guidelines under the University of Utah Investment Policy 3-050. All investment actions and decisions must be based solely on the interest of the **Pool**. Fiduciaries must provide full and fair disclosure to the University all material facts regarding any potential conflicts of interests.

DEFINITION OF DUTIES

BOARD OF TRUSTEES

The Board of Trustees has the ultimate fiduciary responsibility for the **Pool's** investment portfolio; their responsibilities are set forth in the University of Utah Endowment Pool Investment Guidelines.

INVESTMENT ADVISORY COMMITTEE

The Investment Advisory Committee is delegated by the Board of Trustees with the responsibility for the ongoing monitoring of **Pool;** their duties are set forth in the University of Utah Endowment Pool Investment Guidelines.

SENIOR INVESTMENT OFFICERS

The Senior Chief Administrator & Chief Financial Officer, the Vice President for Administrative Services and the Associate Vice-President/Chief Investment Officer (CIO) have overall operating responsibility for investment of the **Pool** as set forth in the University of Utah Endowment Pool Investment Guidelines under University of Utah Investment Policy 3-050.

INVESTMENT CONSULTANT

The investment consultant is responsible for assisting the Investment Advisory Committee and the Senior Investment Officers in all aspects of managing and overseeing the investment portfolio. The consultant shall act as the primary source of investment research/education and investment manager information. On an ongoing basis the consultant will:

1. Provide asset allocation/investment structure and asset category implementation strategies for the **Pool** as described in the Endowment Pool Investment Implementation Strategy.
2. Provide proactive recommendations on investment managers, private partnerships and off-shore funds and internally executed strategies;
3. Supply the Investment Advisory Committee and the Senior Investment Officers with reports (e.g., asset allocation studies, investment research and education) or information as reasonably requested;
4. Monitor each investment manager/fund;
5. Provide the Investment Advisory Committee and the Senior Investment Officers with quarterly performance reports; and
6. Assist the Investment Advisory Committee and the Senior Investment Officers periodically, with a review of the Endowment Pool Investment Implementation Strategy, including an assessment of the current asset allocation and investment objectives.

INVESTMENT MANAGERS

Investment managers have the responsibility for managing the underlying assets consistent with their stated approach and with this Endowment Pool Investment Implementation Strategy. The investment managers will report investment results and meet with the Investment Advisory Committee, Senior Investment Officers and staff, and/or investment consultant as requested.

CUSTODIAN

The custodian's duties are set forth in the University of Utah Endowment Pool Investment Guidelines for separately managed accounts, otherwise it is the investment managers' responsibility to maintain and monitor their own custodian.

OBJECTIVES

The overall, long-term investment objective of the **Pool** is to achieve an annualized total return (net of investment management expenses), through appreciation and income, greater than the rate of inflation (as measured by the Consumer Price Index) plus any spending and administrative expenses, thus protecting the purchasing power of the assets. The assets are to be managed in a manner that will meet the primary investment objectives, while at the same time attempting to limit volatility in year-to-year spending.

STRATEGY

The Board of Trustees and Investment Advisory Committee understand the long-term nature of the **Pool**, and realize, that within the constraints of the asset allocation model, adding assets with higher return expectations are intended to outweigh their short-term volatility risk. As a result, the majority of assets will typically be invested in equity or equity-like securities, including real assets (real estate, natural resources, and infrastructure). Real assets also are expected to provide the added benefit of inflation protection.

Fixed income and diversifying strategies will be used to lower short-term volatility and provide stability, especially during periods of deflation and negative equity markets. Cash is not a strategic asset of the portfolio and is used to meet short-term liquidity needs or as a short term vehicle to dampen volatility. It also serves as a residual to the investment process as used for reallocation between funds and/or prior to income distribution.

SPENDING POLICY

Income available for spending is determined by a total return system. The amount to be spent in the coming fiscal year is calculated as of each December 31st. The calculation is based on a specified percentage of a 12-quarter rolling average of the market value. The spending rate will at all times be approved by the President of the University.

ASSET ALLOCATION/INVESTMENT STRUCTURE

Asset allocation will likely be the key determinant of the **Pool's** returns over the long-term. Therefore, diversification of investments across multiple markets that are not similarly affected by economic, political, or social developments is highly desirable. A globally diversified portfolio, with uncorrelated returns from various assets, should reduce the variability of returns across time.

In determining the appropriate asset allocation, the inclusion or exclusion of asset categories shall be based on the impact to the total **Pool**, rather than judging asset categories on a stand-alone basis.

The target asset allocation should provide an expected total return equal to or greater than the primary investment objective of the **Pool**, while avoiding undue risk concentrations in any single asset class or category, thus reducing risk at the overall portfolio level.

Investments will generally fall into one of four asset categories. Each category serves a specific role within a portfolio. An allocation to all four categories can provide diversification to major market risk factors while establishing a simple framework to review the exposures within the portfolio. The categories are as follows:

GLOBAL EQUITY	Intended to be the primary source of long-term capital appreciation for the portfolio. While having higher expected returns than fixed income, they also have higher expected volatilities. Sub-categories include both public and private equities, as well as hedged equity mandates.
GLOBAL FIXED INCOME/CREDIT	Intended to offset the volatility of equities, particularly during market downturns, as well as provide deflation protection. These investments are comprised primarily of fixed income (debt) securities, and can be categorized as interest rate sensitive and credit sensitive. Sub-categories include both public and private debt.
REAL ASSETS	Intended to insulate the portfolio from inflation shocks and to provide a source of non-correlating returns with other asset categories. Includes both public and private investments in real estate, natural resources (e.g., energy, agriculture, timber, commodities), and infrastructure (e.g., power generation, mid-stream energy Master Limited Partnerships “MLPs”).
DIVERSIFYING STRATEGIES	Intended to provide diversification from systematic market risk, with the primary determinant of returns typically derived from manager skill (alpha) rather than the market (beta). . Sub-categories include both liquid and semi-liquid non-directional strategies that seek low correlations to the public equity and fixed income markets.

To achieve these goals, the asset allocation will be set with the following target percentages and within the following ranges:

Asset Category	Target	Range
GLOBAL EQUITY	**40%**	**30-50%**
Public Equities	*25*	*15-50*
*Hedged Equity**	*5*	*0-10*
*Private Equity**	*10*	*0-15*
GLOBAL FIXED INCOME/CREDIT	**20**	**10-40**
Interest Rate Sensitive	*11*	*5-40*
*Credit Sensitive**	*9*	*0-20*
REAL ASSETS	**20**	**10-30**
*Real Estate**	*7*	*0-15*
*Natural Resources**	*8*	*0-10*
*Infrastructure**	*5*	*0-10*
DIVERSIFYING STRATEGIES*	**20**	**0-30**

* May include semi-liquid hedge funds or illiquid private capital funds.

REBALANCING

The CIO will monitor the asset allocation structure of the **Pool** and attempt to stay within the ranges allowed for each asset category. The portfolio may differ from target allocations, but within the allowable ranges, due to market movements or tactical tilts. If the portfolio moves outside of the ranges the CIO, with advice from the investment consultant, will develop a plan of action to rebalance. In many cases the additions of new money or withdrawals for spending will be used to rebalance in a cost effective manner.

ACTIVE AND PASSIVE MANAGEMENT

The asset allocation will be implemented using both active and passive investment managers. Highly efficient areas of the capital markets may be managed primarily using index funds and other structured strategies (e.g., smart beta, enhanced index, portable alpha).

INVESTMENT STYLES / MARKET CAPITLIZATION

Investment styles (growth and value) are cyclical, but over the long-term, value stocks tend to outperform growth stocks, and small cap stocks tend to outperform large cap stocks. Therefore, the **Pool** will employ a strategic overweight to value stocks and small cap stocks as appropriate.

LIQUIDITY

The **Pool** will seek to maintain a balance between investment goals and liquidity needs. Liquidity is necessary to meet the spending policy payout requirements and any extraordinary events. In many instances, the most appropriate investment option is one that comes with liquidity constraints.

Illiquid investments include private equity, private debt, and private real assets. Hedge funds are considered semi-liquid due to lock-up periods, redemption restrictions, and in some cases, illiquidity of the underlying investments. The tradeoff between appropriateness and liquidity will be considered throughout the portfolio construction process, but with the following limits:

Classification	Target	Limits
Liquid	At least 50% of the portfolio	At least 40% of the portfolio
Semi-Liquid	25% of the portfolio	No more than 30% of the portfolio
Illiquid*	25% of the portfolio	No more than 30% of the portfolio

* *A private capital implementation plan (with target amounts and timing of capital commitments) will be used to manage the allocation prudently, strive to maintain the target allocation, and maintain vintage year diversification. Market movements could cause the allocation to move outside ranges, in which case, rebalancing will not be necessary, but future commitments may need to be adjusted.*

PERFORMANCE MEASUREMENT

TIME HORIZON

The **Pool** seeks to achieve the investment objectives over a full market cycle, but does not expect that all investment objectives will be attained each year. Furthermore, the **Pool** recognizes that over various time periods, the portfolio may produce over or under performance relative to the broad markets. For this reason, long-term investment returns will be evaluated over a full market cycle (for measurement purposes: 5 years).

PRIMARY BENCHMARK

The primary objective of the **Pool** is to achieve a total return, net of fees, in excess of spending, administrative fees, and inflation. The Primary Benchmark is the minimum return needed to achieve this objective subject to appropriate drawdown measurement. The Benchmark is therefore stated as follows:

> ***Total Return greater than Spending + Administrative Fees + Consumer Price Index with a maximum drawdown not greater than 25%.***

BROAD STRATEGIC BENCHMARK

Another strategic objective is to achieve a total return in excess of the broad financial indices. The Broad Strategic Benchmark shall be comprised of each broad asset class benchmark weighted by its long-term strategic allocation. The Broad Strategic Benchmark is as follows:

Weight	Index	Asset Categories
60%	MSCI ACWI	Equity / Real Assets
40%	Barclays U.S. Aggregate	Fixed Income / Diversifying Strategies

RELATIVE RETURN BENCHMARK

Another investment objective is to achieve a total return that is comparable to appropriate peer institutions and appropriate asset size category over a time horizon defined by the Investment Advisory Committee.

MANAGER EVALUATION

QUALITATIVE MEASURES

Each investment manager will be reviewed by the CIO and investment consultant on an ongoing basis and evaluated upon the criteria listed below but not limited to:

1. Maintaining a stable organization;
2. Retaining key personnel;
3. Avoiding regulatory actions against the firm, its principals, or employees;
4. Adhering to the guidelines and objectives of this Endowment Pool Investment Implementation Strategy;
5. Avoiding significant deviations from the manager's stated investment philosophy.

Although there are no strict guidelines that will be utilized in selecting managers, the CIO and the investment consultant will consider the criteria above, as well as, the unique role the manager may play, the length of time the firm has been in existence, its track record, assets under management, and the amount of assets the Fund already has invested with the firm.

SUMMARY OF QUANTITATIVE PERFORMANCE

Public Liquid and Semi-Liquid Active Managers

Liquid and semi-liquid (hedge fund) active managers will be measured against an appropriate market index and a peer universe of portfolios managed in a similar investment style. The CIO and the investment consultant expect the managers to outperform the benchmarks over a full market cycle, but do not expect that all investment objectives will be attained each year. Furthermore, the Investment Advisory Committee and Senior Investment Officers recognize that over various time periods, the managers may produce significant over or under performance relative to their benchmarks. For this reason, long-term investment returns will generally be evaluated over a full market cycle (for measurement purposes: 5 years).

Managers failing to meet these criteria over a full market cycle will undergo extensive qualitative and quantitative analysis. This analysis will focus on the manager's personnel, philosophy, portfolio characteristics, and peer group performance to determine whether the manager is capable of implementing their defined portion of the overall portfolio structure.

Public Liquid Passive Managers

Passive (or index) managers are expected to approximate the total return of its respective benchmark.

Private Illiquid Managers

Private partnerships typically range from 7-15 years in life, during which time the **Pool** may not be able to sell the investment. Additionally, the partnership may not produce meaningful returns for 3-5 years (depending on the strategy). New investments will create a drag on fund performance (known as the J-curve) in the early years (3-5 years) until these investments begin to mature.

Private, illiquid manager performance will be measured utilizing internal rate of return (IRR) from the inception of the partnership and compared to an appropriate peer group and/or public market equivalent benchmark.

GUIDELINES AND RESTRICTIONS

GENERAL

In today's rapidly changing and complex financial world, no list or types of categories of investments can provide continuously adequate guidance for achieving the investment objectives. Any such list is likely to be too inflexible to be suitable of the market environment in which investment decisions must be made. Therefore, the process by which investment strategies and decisions are developed, analyzed, adopted, implemented and monitored, and the overall manner in which investment risk is managed, will determine whether an appropriate standard of reasonableness, care, and prudence has been met for the **Pool's** investments.

The requirements stated below apply to investments in non-pooled/mutual funds, where the investment manager is able to construct a separate, discretionary account on behalf of the **Pool**. Although the **Pool's** officers cannot dictate policy to pooled/mutual fund investment managers, the **Pool's** officers' intent is to select and retain only pooled/mutual funds with policies similar to this Endowment Pool Investment Implementation Strategy. All managers (pooled/mutual and separate), however, are expected to achieve the performance objectives. Each long-only equity and fixed income investment manager shall:

1. Have full investment discretion with regard to security selection consistent with this Endowment Pool Investment Implementation Strategy;
2. Immediately notify the CIO and investment consultant in writing of any material changes in the investment philosophy, strategy, portfolio structure, ownership, or senior personnel;

3. Make no purchase that would cause a position in the portfolio to exceed 5% of the outstanding voting shares of the company or invest with the intent of controlling management.

Public Equity Manager Guidelines (including REITs)

Each active equity investment manager shall:

1. Assure that no position of any one company exceeds 8% of the manager's total portfolio as measured by market value;
2. Vote proxies and share tenders in a manner that is in the best interest of the Fund and consistent with the investment objectives contained herein;
3. Maintain a minimum of 25 positions in the portfolio to provide adequate diversification;
4. Construct a properly diversified portfolio across sectors and industries;
5. (U.S. equity managers) have no more than 20% of the total portfolio in foreign stocks or American Depository Receipts (ADRs).

Interest Rate Sensitive (Core) Fixed Income Manager Guidelines

Each investment grade fixed income investment manager shall:

1. Maintain an overall weighted average credit rating of A or better by Moody's and Standard & Poor's;
2. Hold no more than 10% of the portfolio in below investment grade (Baa/BBB) securities. Split rated securities will be governed by the lower rating;
3. Maintain a duration within +/-20% of the effective duration of the appropriate benchmark (does not apply to TIPS managers);
4. Assure that any one issuer does not exceed 5% of the manager's portfolio, as measured at market value, except for securities issued by the U. S. government or its agencies.

Credit sensitive (High yield/bank loan) Manager Guidelines

Each high yield/bank loan investment manager shall:

1. Maintain an overall weighted average credit rating of B or better by Moody's and Standard & Poor's;
2. Hold no more than 20% of the portfolio in investments rated below B. Split rated securities will be governed by the lower rating;
3. Assure that any one issuer does not exceed 5% of the manager's portfolio, as measured at market value.

Commodities Manager Guidelines

Each active commodities investment manager shall:

1. Be diversified with exposure to energy, metals, and agricultural commodities;
2. Have no more than 25% in any one commodity contract.

Master Limited Partnerships (MLPs) Manager Guidelines

The objective of the MLP allocation is to provide liquid exposure to the mid-stream energy infrastructure industry, low correlation to the public equity and fixed income markets, and serve as an inflation hedge. The majority of MLPs own assets such as pipelines that transport crude oil, natural gas, and other refined petroleum products. Each active MLP investment manager shall:

1. Assure that no MLP exceeds 15% of the manager's total portfolio as measured at market;
2. Maintain a fully invested portfolio, with no more than 10% allocated to cash equivalents;
3. Maintain a minimum of 15 MLPs in the portfolio to provide adequate diversification.

Derivative Security Guidelines

For the purposes of this strategy, derivatives include, without limitation, futures contracts; options; options on futures contracts; forward contracts; swap agreements, including swap contracts with embedded options; any instrument or contract intended to manage transaction or currency exchange risk in purchasing, selling or holding investments; and any other instrument commonly used by institutional investors to manage institutional investment portfolios.

At the Total **Pool** level, derivatives may be used to maintain the program's strategic asset allocation, including securitizing excess cash, and to provide portfolio hedging, but derivatives shall not be used for leverage at the portfolio level.

Investment managers may be permitted to utilize derivatives to implement their strategies if appropriate to their mandate.

Under no circumstances may derivatives or leverage be used to circumvent the intent or limits otherwise prescribed by this Endowment Pool Investment Implementation Strategy.

UTAH SYSTEM OF HIGHER EDUCATION
Building a Stronger State of Minds

State Board of Regents
Board of Regents Building, The Gateway
60 South 400 West
Salt Lake City, Utah 84101-1284

Phone 801.321.7101
Fax 801.321.7199
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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Rio Mesa Center Property Gift

Issue

Apple Lane, LLC, the owner of a 400 acre property located 40 miles northeast of Moab on the Dolores River, has offered the property as a gift to the University of Utah. The University has requested Board authorization to accept this generous gift.

Background

Since 2007, the University of Utah has been operating a multi-disciplinary field station on this property. The station, originally called Entrada Ranch, was renamed Rio Mesa Center in 2010. The property has been leased to the University since 2008 for a nominal rent of $1 per year on the condition that it be used for academic research, teaching, and/or educational purposes. Based on the successful performance and growth of teaching, research, and outreach programs at Rio Mesa Center, the owners have agreed to donate the property to the University.

The letter from the University requesting authorization to accept this gift is attached together with attachments providing the following additional information:

- A document describing the Rio Mesa Center that provides a substantial amount of information about the programs provided and the infrastructure of the property.
- A pro forma financial summary showing actual revenue and expenditures for 3 years and an additional 4 years projected.
- A copy of the Board of Trustees agenda item for the proposed gift that was approved on August 11, 2015.

The due diligence required by Board Policy R710, *Capital Facilities* pertaining to acquisition of gifted property has been met. University representatives will be present at the Board meeting to present this item and respond to Board questions.

Commissioner's Recommendation

The Commissioner recommends Board approval of the request to accept this generous gift of property.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/WRH
Attachments

THE UNIVERSITY OF UTAH

David W. Pershing
President
Distinguished Professor

201 Presidents Circle, Room 203 • Salt Lake City, Utah 84112-9008 • 801-581-5701 • president@utah.edu

August 27, 2015

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

Dear Dave:

I am writing to seek the approval of the Board of Regents for an exciting gift of property to the University of Utah.

Since 2007, the University has operated the Rio Mesa Center, located 40 miles northeast of Moab on the Dolores River, as an interdisciplinary outdoor laboratory and classroom. The property is currently owned by Apple Lane, LLC, and has been leased to the University by Apple Lane for a nominal rent of $1 per year since 2008 on the condition that the property be used for academic, research, teaching, and/or educational purposes. Based on the successful performance and growth of teaching, research, and outreach programs at Rio Mesa Center, the owners have agreed to donate the property to the University.

The gift includes 400 acres of land in Utah's red rock country, with approximately three miles of riverfront, existing buildings, and the associated water rights. The property is completely surrounded by public lands and has county-maintained roads for year-round access. The Center currently hosts research and educational scholars from Utah, Colorado, and Arizona universities, local high schools, as well as independent research institutions, such as the Chicago Botanic Garden and Desert Botanic Garden (Phoenix). The Center brings together scholars from the natural and social sciences, arts, humanities, and engineering to share ideas in an informal setting, and it offers many students their first introduction to the beauty and isolation of Utah's red rock country. Rio Mesa Center provides opportunities for memorable learning experiences that will follow students throughout their academic, professional, and personal lives.

As part of its due diligence, the University conducted appropriate title searches, environmental assessments, and engineering studies; the University also obtained an appraisal and a survey of the property. The University's Board of Trustees has carefully reviewed the programmatic plans and finances for the Center and the terms of the property conveyance and approved the proposed gift at its August 11, 2015, meeting.

We consider the gift of this property an opportunity for the University to enrich the undergraduate experience of our students and to expand the research and scholarly pursuits of our students and researchers for many years to come.

Sincerely,

David W. Pershing
President

DWP:jj

RIO MESA CENTER
THE UNIVERSITY OF UTAH

Since 2007, the University of Utah has been operating a multi-disciplinary field station located approximately 40 miles northeast of Moab, along the banks of the Dolores River. The station, originally called Entrada Ranch, was renamed Rio Mesa Center in 2010. The Rio Mesa Center property was purchased by Apple Lane, LLC in 2008 and has been leased to the University of Utah with the intention of developing the property into a viable academic center for research, education, and public outreach directed at promoting environmental stewardship, understanding ecological communities of the Colorado Plateau geographic province, and learning about human-environment interactions, past and present.

Over the last six years, Rio Mesa Center has hosted courses and researchers from many academic disciplines, including various STEM disciplines, the social sciences, and the fine arts. Researchers utilizing the station have come from multiple universities many federal and state government agencies, and independent research institutions. The Center regularly hosts courses from U of U, UVU, USU, Grand County High School, Salt Lake Center for Science Education, and Colorado Mountain College, among other institutions.

Use of Rio Mesa Center has increased from just a few hundred user-days per year in 2007 and 2008 to more than 2000 user days annually in calendar years 2013 and 2014. Based on the success of the field station, Apple Lane has expressed its willingness to gift the Rio Mesa Center property in its entirety to the University of Utah with the stipulation that the property should continue to be used to further the research, education, and outreach goals previously described.

ABOUT THE CENTER

Rio Mesa Center includes nearly 400 acres of land set in a picturesque red rock valley of southeast Utah, with more than 3 miles of meandering riverfront. The property is a somewhat unique inholding of private land, completely surrounded by BLM property, including three large box canyons that are accessible only from Rio Mesa Center. Historically, the Rio Mesa property was a homestead and has been used for agriculture and cattle ranching for much of its history. More recently, the property was operated as a guest ranch.

Rio Mesa Center has developed and operates under the oversight of the Vice President for Research. Current staffing levels require 2.95 FTEs. Staff includes a campus-based director (0.8 FTE), a tenure-track faculty research director (0.2 FTE), an on-site facility manager (1.0 FTE), a seasonal facilities assistant (0.75 FTE), and a part-time staff conservation biologist (0.25 FTE) that has in the past been shared with Red Butte Garden. The office of the Vice President for Research provides additional administrative support. Rio Mesa Center currently operates approximately nine months per year (March-November).

Infrastructure at the station includes three rustic ranch houses and two small sleeping cabins on the west end of the property, primarily constructed in the 1970s. On the east end, a camping facility was constructed in 2011-2012. The camping facility has potable water, a bathhouse, 8 canvas platform tents, a shade pavilion, and a 30' yurt. There is electrical service to the buildings on the west-end, while the east-end is off grid and served wholly by solar electric and hot water systems.

Instrumentation at the Center includes two meteorological stations, a USGS stream gauging station, a stream-bed antenna for tracking radio-tagged fish, two PCs and a wireless computer network. Communications to and from the station are primarily through satellite-based internet as no cellular or LAN line phone service is available. A satellite phone is available for emergencies.

RESEARCH AT RIO MESA CENTER

Much of the research at Rio Mesa Center is currently focused on restoration ecology and utilizes the land-use history of the property to assess the nature of competitive interactions between native and invasive plant species, and to develop effective landscape restoration strategies. A memorandum of understanding was signed with the Bureau of Land management in 2010 that established a partnership with the BLM's Colorado Plateau Native Plant Program (CPNPP) and has been pivotal to establishing Rio Mesa Center as a hub for native plants and restoration ecology research. Currently researchers from Northwestern University, the Chicago Botanic Garden, Northern Arizona University, the Desert Botanic Garden (Phoenix), USGS, and U of U are conducting research projects on native plant or landscape restoration topics. Rio Mesa Center has also hosted the past three annual science meetings for the CPNPP, bringing together researchers and land managers from across the region.

In addition to plants and restoration ecology, the station currently hosts or has hosted research in ornithology, entomology, anthropology and archaeology, fisheries, geology, geography, architecture, engineering, painting, photography, sculpture, and music. As is common at field stations, the place-based research focus at Rio Mesa Center has led to several new interdisciplinary collaborations, and recruitment of new researchers because of the availability of collocated datasets and the ability to utilize existing instrumentation and infrastructure.

One of the priorities established for the center early on was an emphasis on creating undergraduate research opportunities. To promote these opportunities, development funds are used in conjunction with other University programs to fund undergraduate research projects. These awards provide undergraduates the chance to plan and carry out advised research at the field station over the course of a year. These undergraduate opportunities have been very successful in training undergraduates and in helping them gain experience that aids them as they move into their careers.

EDUCATION AT RIO MESA CENTER

Rio Mesa Center serves the campus and broader educational community by providing place-based education opportunities that cannot be found elsewhere. Since 2008, Rio Mesa Center has hosted courses from University of Utah colleges of Science, Architecture + Planning, Engineering, Social and Behavioral Sciences, Fine Arts, Health, and Honors at U of U, as well as courses from other universities and K-12 institutions.

For many students, their fieldtrip to Rio Mesa Center is their first experience in southern Utah, and it provides an experience of solitude and true immersion in the landscape, but with the safety of emergency communications and trained-staff, the educational benefits of research instrumentation and long-term datasets onsite, the opportunity to observe or participate in a multitude of research projects, and a casual environment where they can engage their instructors and researchers at the station in a more relaxed setting than the standard classroom.

OUTREACH AT RIO MESA CENTER

In addition to education and research, Rio Mesa Center has been a valuable tool in reaching out to the local community and providing educational opportunities to a much broader population. Multiple times a year, public events are held at Rio Mesa Center to engage the community and to provide an opportunity to educate and showcase the work being done by the University. University scholars working at Rio Mesa Center have participated in community lecture series. The Center also utilizes local businesses and tradespeople, helping to bring the direct economic benefits of a university campus to a remote part of Utah.

FINANCIAL PROJECTIONS

The gifting of Rio Mesa Center represents a tremendous benefit to the University as a resource for education and research, as well as an opportunity for the University to establish a more visible presence in rural southeast Utah. Currently, user fees from the center cover only a small portion of operating costs, with the majority of support coming from State allocations and institutional overhead. The gift agreement with Apple Lane requires the University to continue its financial commitment at a level of $250,000 for at least ten years. To ensure the long-term viability of the Center and to reduce University operational support, plans exist to raise an operations endowment of $5Million by the end of that 10-year term.

The value of the property based on an independent appraisal is: $2,455,000.

Rio Mesa Center
5 Year Pro Forma

	ACTUAL EXPENDITURES			PROJECTION			
	2013	**2014**	**2015**	**2016**	**2017**	**2018**	**2019**
Expenses							
Personnel							
Center Director (.8 FTE)	$41,876	$43,986	$55,000	$59,860	$61,656	$63,505	$65,411
Facilities Management (On-site) (1.0 FTE)	$47,634	$48,110	$55,326	$56,986	$58,695	$60,456	$62,270
Facilities Assistant (.75 FTE)		$11,004	$15,823	$22,145	$22,809	$23,494	$24,198
Staff Biologist (.25 FTE-shared)		$1,200	$6,135	$12,463	$12,837	$13,222	$13,619
Research Directors (0.2 FTE)	$16,200	$20,000	$20,000	$20,600	$21,218	$21,855	$22,510
Benefits (not covered by state)	$169	$1,340	$207	$15,706	$16,894	$18,125	$19,399
Total Personnel	***$105,879***	***$125,640***	***$152,491***	***$187,760***	***$194,110***	***$200,657***	***$207,407***
Programming							
Catering	$1,997	$2,418	$3,864	$3,000	$3,500	$4,000	$4,500
Marketing (PR and Web)	$1,618	$2,450	$788	$3,500	$3,500	$3,800	$3,800
Supplies	$360	$1,267	$916	$1,700	$1,900	$2,100	$2,300
Postage	$100	$182	$100	$250	$250	$250	$250
Books, Subscriptions, Memberships, Permits	$330	$525	$255	$1,000	$1,000	$1,000	$1,000
Travel	$6,643	$2,763	$2,772	$8,500	$9,000	$9,500	$10,000
Young Scholars Grants/Teaching Support		$12,500	$11,182	$12,000	$12,000	$12,000	$12,000
Miscellaneous	$6,812	$8,871	$16,902	$7,200	$7,500	$7,800	$8,200
Total Programming	***$17,860***	***$30,976***	***$36,779***	***$37,150***	***$38,650***	***$40,450***	***$42,050***
Facilities Operations							
Utilities (ELEC + TOILET)	$2,253	$3,963	$2,177	$3,500	$3,700	$3,900	$4,100
Internet/Cable/Sat Phone	$3,409	$3,575	$2,670	$3,100	$3,200	$3,300	$3,500
Travel Expenses (mileage reimburse)	$2,730	$3,125	$1,080	$1,500	$1,500	$1,500	$1,500
Fuel (tractor/pumps/truck)	$689	$837	$3,265	$3,500	$3,500	$3,500	$3,500
Maintenance and Repairs	$6,950	$11,684	$9,109	$12,500	$13,000	$13,500	$14,000
Training (First Aid, Water Ops, Chem Applicator)	$1,035	$950	$650	$1,500	$1,530	$1,561	$1,592
Supplies	$6,141	$6,592	$4,561	$6,600	$7,000	$7,400	$7,900
Repair and Renewal Funding				$7,000	$7,000	$7,000	$7,000
Major Equipment (or one time purchase)	$3,600	$57,547	$4,150				
Total Facilities Operations	***$26,807***	***$88,273***	***$27,662***	***$39,200***	***$40,430***	***$41,661***	***$43,092***
Total Expenses	**$150,546**	**$244,889**	**$216,932**	**$264,110**	**$273,190**	**$282,767**	**$292,549**

Support and Revenue							
Research Overhead	$101,673	$75,701	$75,701	$99,407	$105,000	$112,000	$117,000
State Appropriated Direct	$89,463	$89,463	$91,250	$93,075	$94,937	$96,835	$98,772
State Funds from SrVPAA	$35,350	$35,350	$35,350	$35,350	$35,350	$35,350	$35,350
Fees	$3,189	$4,175	$6,888	$11,500	$12,000	$12,500	$13,000
Other - Development				$25,000	$26,000	$27,000	$28,500
Total Support and Revenue	**$229,675**	**$204,689**	**$209,189**	**$264,332**	**$273,287**	**$283,685**	**$292,622**

A truck was purchased for the station in May 2014. Reimbursement of expenses to site manage for use of personal vehicle is expected to drop, while fuel and maintenance costs on the Rio Mesa Truck will be incurred.

New satellite internet and satellite phone services have been set up in FY 2015 that are considereably less expensive than in previous years.

Programming travel is expected to increase with increased use, and with addition of staff biologist.

Increased need for R&R funding anticipated as additional tents and Yurt have been added, along with truck. Increased use is also anticipated.

Agenda Item Details

Meeting	Aug 11, 2015 - Board of Trustees
Category	6. Action Agenda (9:35 am)
Subject	6.05 Conveyance of Rio Mesa Center property in Moab to the University
Access	Public
Type	Action (Consent)
Recommended Action	The President recommends to the Board of Trustees that the Board approve the conveyance by Apple Lane, LLC ("Apple Lane") to the University of the Rio Mesa Center property in Moab, Utah (the "Property").

Public Content

Since 2008, Apple Lane, LLC ("Apple Lane"), the owner of the Property, has generously allowed the University to use the Property for academic, research, and educational purposes, for nominal rent of $1 per year.

The Property possesses open space, wildlife, habitat, and ecological values (the "Conservation Values") that Apple Lane would like to protect.

Apple Lane desires to convey fee title to the Property to the University, for no cost, but with the following stipulations:

1. The University will continue to use the Property in furtherance of the Conservation Values and for (i) education and research pertaining to ecology, the environment, modern and historic human-environment interactions, and (ii) other academic pursuits with the goal of developing public appreciation for conservation, sustainability, and the environment, including the Conservation Values (collectively, the "University Purposes").
2. The University will provide an annual operating budget for the Property of at least $250,000.00 per year through June 30, 2024.

To accomplish the foregoing, Apple Lane will record restrictive covenants requiring that the Property be used in perpetuity for purposes consistent with the Conservation Values. Apple Lane will then convey the Property to the University. The deed conveying the Property to the University will require that the Property be used in furtherance of the Conservation Values and for the University Purposes. It will also require that the University offer to convey the Property to Apple Lane or its successors for nominal consideration should the University no longer desire to own the Property. If Apple Lane or its successors decide not to take the Property, the University may, at a price and on other terms acceptable to University, convey the Property to an entity whose primary stated mission includes the furtherance of values consistent with the Conservation Values.

Approval is requested to authorize the University to receive this Property.

Please see the following documents for more information.

RMC Pro Forma-with 2015 Actuals.pdf (295 KB) RIO MESA CENTER-Project Summary.pdf (85 KB)

Administrative Content

Executive Content

Our adopted rules of Parliamentary Procedure, Robert's Rules, provide for a consent agenda listing several items for approval of the Board by a single motion. Documentation concerning these items has been provided to all Board members in advance to assure an extensive and thorough review. Items may be removed from the consent agenda, defered to another meeting, or moved to the Action Agenda at the request of any board member.

UTAH SYSTEM OF HIGHER EDUCATION
Building a Stronger State of Minds

State Board of Regents
Board of Regents Building, The Gateway
60 South 400 West
Salt Lake City, Utah 84101-1284

Phone 801.321.7101
Fax 801.321.7199
TDD 801.321.7130
www.higheredutah.org

September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Red Butte Garden Horticulture Compound

Issue

The University of Utah requests authorization to proceed with a project to provide new horticulture facilities for the development and growth of Red Butte Garden. Approval is requested to design and construct a 13,400 square foot Administration Building and to perform site work (including the realignment of a roadway) for a future building for vehicle storage. The Administration building will consist of conditioned space containing offices, labs, records, and maintenance.

Background

The attached letter from the University documents the need for this project. The estimated project cost of $5,300,000 will be funded entirely through donations. Additional operating and maintenance (O&M) costs, estimated at $100,000 annually, will be funded by revenue generated from Red Butte Garden operations.

The project was approved by the University of Utah Board of Trustees at their August 11, 2015 meeting and will be submitted to the Utah State Building Board for final approval. Legislative action regarding this request is not required because no state funds are being sought either for construction or for O&M support. A site plan showing the location of the proposed project is also attached for your information. University representatives will be present at the meeting to provide additional information as needed.

Commissioner's Recommendation

The Commissioner recommends Board authorization of this project for presentation to the State Building Board for final approval.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/RPA
Attachments

THE UNIVERSITY OF UTAH

John E. Nixon, CPA
Senior Chief Administrative Officer and Chief Financial Officer
201 South Presidents Circle, Room 208 • Salt Lake City, Utah 84112-9013 • 801-585-0806

August 19, 2015

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

Dear Commissioner Buhler:

RE: ***University of Utah***
Red Butte Garden Horticulture Compound

This proposed project will provide new facilities to house a wide range of horticulture needs for the development and growth of Red Butte Garden. The current horticulture compound is not a facility, but rather a loose collection of temporary buildings added through the years to house a wide range of horticulture needs that include staff offices, labs, research plant production and growing facilities, perishable materials storage, and vehicle and equipment maintenance and storage.

Approval is requested to move forward with design and construction of Building A (the Administration Building), and the roadway realignment and site work required to allow future installation of Building B (Vehicle Storage Building). Building A will consist of 13,400 SF of conditioned space containing offices, labs, records, and maintenance facilities. Building B will consist of 5,150 SF of interior equipment, materials, and vehicle storage space. The project site has been reviewed by the Campus Master Plan Committee of the Board of Trustees and the updated Campus Master Plan was approved by the full Board of Trustees in the spring of 2015.

The proposed total project budget is estimated at $5,300,000 and will be funded by donor funds. Additional operating budget of approximately $100,000/year for O&M will be funded by Red Butte revenue.

The University of Utah's Board of Trustees approved this project at their August 11, 2015 meeting and we respectfully seek your support of this request and the opportunity to present this project for Board of Regents approval at the September 18, 2015 meeting.

Thank you for your consideration and support.

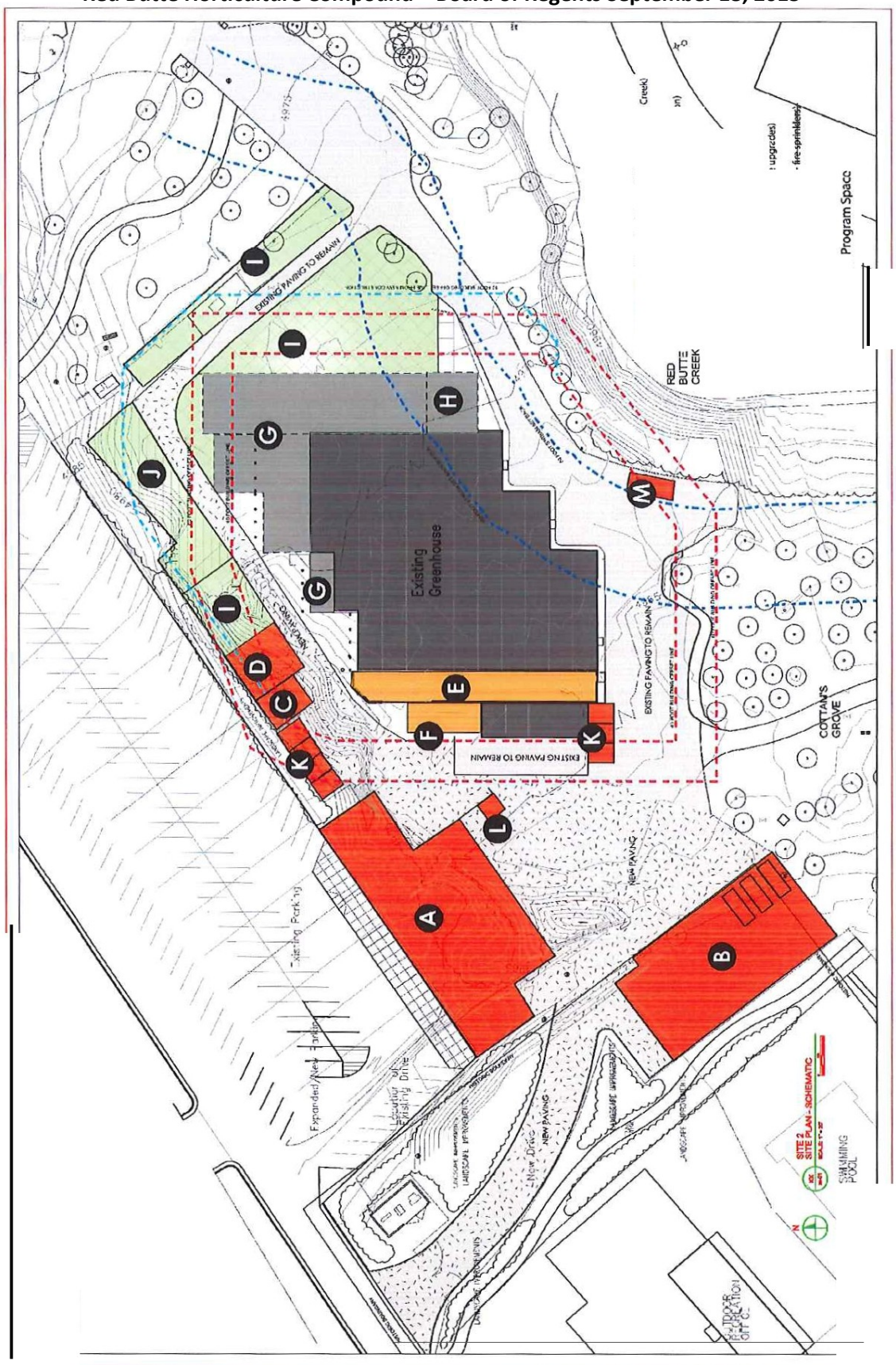
Sincerely,

John Nixon
Sr. Chief Administrative Officer & CFO

Attachments: *Red Butte Horticulture Site Compound*

Cc: Jason Perry, Vice President, Government Relations
Michael G. Perez, Associate Vice President, Facilities Management

Red Butte Horticulture Compound – Board of Regents September 18, 2015



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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah Valley University – Autism Building and Basketball Practice Facility

Issue

Utah Valley University requests approval to design and construct two non-state funded projects: a 15,000 square foot Center for Autism and a 12,200 square foot Basketball Practice Facility. Both projects will be located on the Orem Campus. The Basketball Training Facility is proposed to be adjacent to the UCCU Event Center in order to make use of existing locker rooms and support spaces.

Background

The attached letters from the University document the need for these projects. The Center for Autism project has an estimated cost of $6,100,000 that will be funded entirely through donations. Additional operating and maintenance (O&M) costs, estimated at $120,000 annually, will be funded through a donor endowment. The Basketball Practice Facility has an estimated cost of $3,200,000 that will be funded entirely through donations. Additional O&M costs, estimated at $88,000 annually, will be funded through rental fees and other revenues.

These projects were approved by the Utah Valley University Board of Trustees at the June 25, 2015 meeting and will be submitted to the Utah State Building Board for final approval. Site plans showing the location of the proposed projects are also attached for your information. University representatives will be present at the meeting to provide additional information as needed.

Commissioner's Recommendation

The Commissioner recommends that the Board approve these projects, authorizing UVU to present them to the State Building Board for final approval.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/RPA
Attachments

UVU

UTAH VALLEY UNIVERSITY

FACILITIES DEPARTMENT

September 2, 2015

Mr. David Buhler
Commissioner
Utah System of Higher Education
60 South 400 West
Salt Lake City, Utah 84101-1284

Re: Utah Valley University Center for Autism

Dear Commissioner Buhler,

To meet the needs of professionals that work with students, citizens, and families with autism, a training center is needed. This new building at UVU will be used to create a place where educators, other professionals, and family members can be trained to serve the growing population with autism.

The small 15,000 SF building will house classrooms where students can earn experience working with students with autism. Best practices can be explored and refined to assist the growing population transition from home/ school/ and work. The Center for Autism will be located on the Orem Campus of UVU near the Education Building. Infrastructure exists at the site and can be easily connected to the new building. Preliminary site planning have been completed. Space needs have been identified and the building size has been adjusted to achieve an affordable building that meets the program needs.

Total costs for the building are projected to be $6,100,000 and will be funded by donor funds. Operating and maintenance funds of approximately $120,000 per year will be paid through a donor endowment managed by the UVU Foundation.

The Utah Valley University Board of Trustees has approved this project and we seek you support of this request as we present this project to the Regents and Building Board.

Thank you for your support and consideration,

Best regards,

Frank Young
Associate Vice President
Facilities and Planning
Utah Valley University

Attachment: Master Plan with Autism Center Location

800 WEST UNIVERSITY PARKWAY · OREM, UTAH 84058-5999 · MS 155 *phn* 801 863 8130 *fax* 801 224 6405

UVU

UTAH VALLEY UNIVERSITY

FACILITIES DEPARTMENT

September 2, 2015

Mr. David Buhler
Commissioner
Utah System of Higher Education
60 South 400 West
Salt Lake City, Utah 84101-1284

Re: Utah Valley University Basketball Practice Facility

Dear Commissioner Buhler,

A basketball practice facility is needed at UVU to provide space needed by our teams to work and train in private and without conflicts in scheduling.

The new basketball practice facility will be located on the Orem Campus of UVU adjacent to the South side of the UCCU Event Center. This location eliminates the need to replicate locker rooms and other support spaces that already exist in the UCCU Event Center. Due to event scheduling and other academic scheduling in the buildings, our teams have had to practice at odd times or find other off campus courts on which to train.

This modest facility of 12,200 SF will provide the workout and training space needed to help our programs achieve their performance goals. The estimated $3,200,000 project will be paid through donor funds. Operating and maintenance funds of approximately $88,000 will be paid through rental fees and other revenues.

The Utah Valley University Board of Trustees has approved this project and we seek you support of this request as we present this project to the Regents and Building Board.

Thank you for your support and consideration,

Best regards,

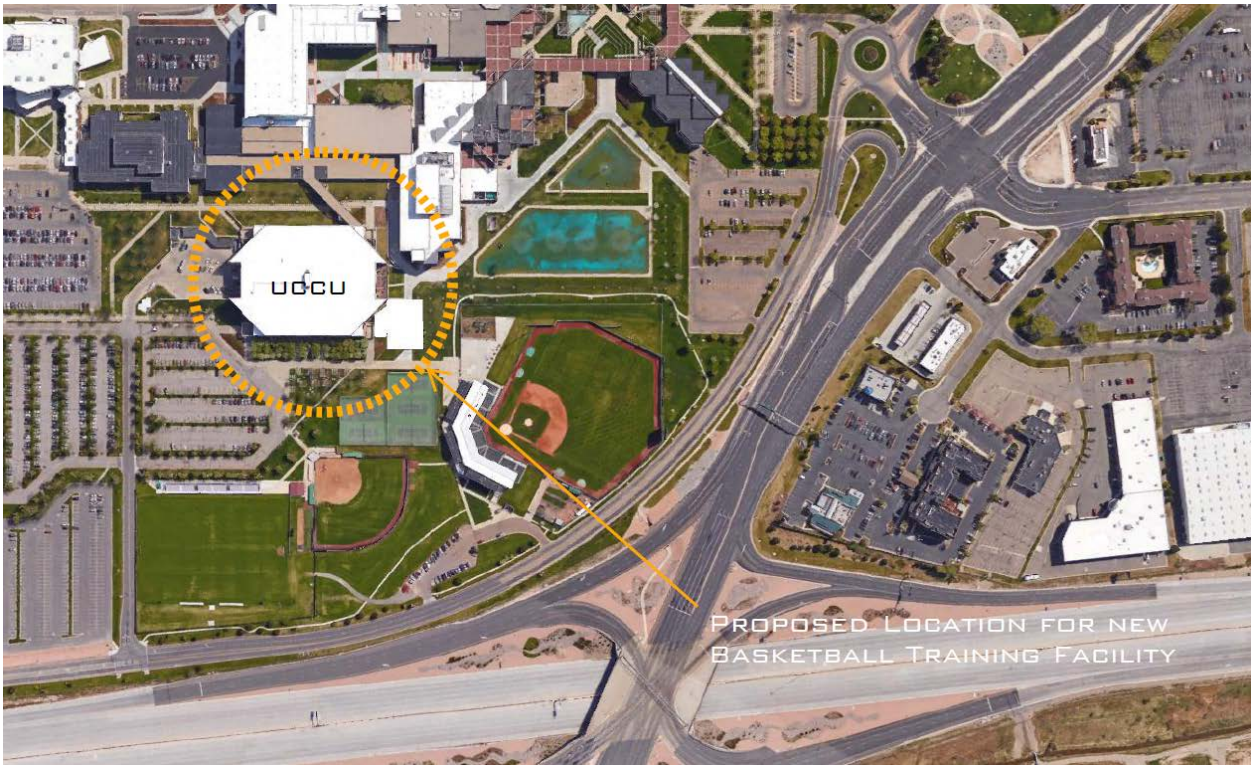
Frank Young
Associate Vice President
Facilities and Planning
Utah Valley University

Attachment: Master Plan Basketball Practice Facility Location

800 WEST UNIVERSITY PARKWAY · OREM, UTAH 84058-5999 · MS 155 *phn* 801 863 8130 *fax* 801 224 6405

UVU Center for Autism

UVU Basketball Practice Facility



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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Fiscal Year 2016-17 USHE Budget Request

Background

State statute requires the State Board of Regents to "recommend a combined appropriation for the operating budgets of higher education institutions for inclusion in a state appropriations act" with the "dual objective" of considering higher education needs yet also being "consistent with the financial ability of the state" (U.C.A. 53B-7-101(1a,4i)). Statute requires "an equitable distribution of funds among the respective institutions" (U.C.A. 53B-7-101(4)(b)(ii)), and to "recommend to the Legislature ways to address funding any inequities for institutions as compared to institutions with similar missions" (U.C.A. 53B-7-101(1bi-v,2f)).

Issue

Formulation of the FY 2016-17 USHE operating budget request for approval by the State Board of Regents has involved substantial consultation and discussion with the Council of Presidents. The following attachments detail five main components: (1) Employee Compensation; (2) Access and Affordability; (3) Market Demand Programs; (4) Performance Funding; and (5) Statewide Programs – Cyber Security and the Regents' Scholarship. The total USHE request is $77,052,700 or 9.1% increase. If the Legislature fully funds this operating budget request, it is estimated we will need a first tier tuition increase of 2.5 percent (to be set in March 2016).

Attached are the following documents:

1) Operating Request Narrative
2) Operating Request Summary
3) Access and Affordability Detail
4) Market Demand Funding Allocation
5) Cyber-Security Narrative

Commissioner's Recommendation

Following presentation and discussion at the Board meeting, the Commissioner recommends approval of the FY 2016-17 Budget Request. It is further recommended that the Board authorize the Commissioner to make any subsequent technical adjustments related to compensation and to update the request for Access and Affordability by February 1, 2016 based on an updated cost study and actual end-of-semester enrollments for Fall 2015.

_____

David L. Buhler
Commissioner of Higher Education

DLB/GLS/BLS

UTAH SYSTEM OF HIGHER EDUCATION
UNIFIED BUDGET REQUEST NARRATIVE
FISCAL YEAR 2016-17
September 9, 2015

Background

The Board of Regents and the Utah System of Higher Education (USHE) are focused on increasing the number of Utah adults who benefit from a post-secondary education. The statutory authority for the Board of Regents in recommending a unified budget to the Governor and Legislature provides that the request shall meet a "dual objective" of being consistent with the needs of higher education institutions and within "the financial ability of the state" (U.C.A. 53B-7-101-4b).

Introduction

In preparing his recommendation, the Commissioner consulted with the Council of Presidents in July and on September 1; this recommendation is advanced with the benefit of their input and with their support. It is focused on supporting the strategic objectives of the Board of Regents and Utah System of Higher Education:

- Affordable Participation
- Timely Completion
- Innovative Discovery

FY 2016-17 USHE Request

The components of the 2015-16 budget request are:

1. Employee Compensation
2. Access and Affordability
3. Market Demand Programs
4. Performance Funding
5. Statewide Programs

Each is detailed below.

1. Compensation

Total compensation comprises base salary, medical benefits (health and dental), and salary-related benefits (unemployment, Social Security, retirement, workers compensation, disability and basic life insurance). By agreement with the Utah Legislature, 75 percent of incremental increases in salaries and salary-related benefits is funded with tax funds; the remaining 25 percent is funded through increased tuition. (Medical benefit increases are benchmarked to increases in the State PEHP plan.) A high priority

of the Utah System of Higher Education is to have the resources to provide fair and competitive compensation for employees—faculty and staff. This is the top priority in the 2016-17 budget request.

The Board of Regents requests an increase equivalent to 3 percent of salaries to be used for performance-based salary increases totaling $24,474,400 (75 percent of cost). The Board also requests an increase to cover an estimated 7.6 percent increase in health and dental insurance premiums, totaling $7,859,200 (75 percent of cost; based on an early estimate of PEHP premium increases and will be updated when additional information is available).

2. Access and Affordability

Utah's demographics are changing. It is imperative we increase the number of Utahns who access higher education—particularly low-income and underserved communities—to ensure our state continues to thrive economically and all Utahns enjoy a high quality of life. Keeping up with increases in enrollment growth is essential if we are to have both the necessary capacity (such as course sections, faculty, support services, information technology, etc.) without unduly relying on tuition. Ensuring college is accessible and affordable is a top priority for Utah as a young, rapidly growing state.

Earlier this year USHE Business Affairs Council (BAC) and Budget Officers (BOSS) considered options for a new enrollment growth funding model. Their principle recommendation was that we find a way to simplify the request from the previous model (cost study). The cost study has different funding levels for both five course levels and each institution. (The most recent cost-study was in 2013; it will be updated in November 2015.)

In September 2015 institutions reported their estimated enrollment changes to the Commissioner's Office for Fall 2015 by course level. The cost study dollar amounts from the most recent study (2013) were adjusted as an estimate based on the 2015-16 appropriations.

It is recommended that the Board use the average cost by course level and by institutional type (research universities, regional universities, and community colleges) based on the most recent cost study with adjustments for enrollment changes and appropriations. This simpler model also has the advantage of rewarding institutions whose costs are below average for their institutional type within USHE. This is detailed in Attachment 3.

To provide continued access to higher education at an affordable cost for students, the Board of Regents requests funding of Access and Affordability based on the average cost by course level and institution type. The September estimate is that this will total $9,205,100. It is recommended that the Board authorize the Commissioner to update this request by February 1, 2016 using actual numbers for 2015 fall end of semester enrollments and the updated cost study.

3. Market Demand Programs

Workforce needs as expressed by employers across virtually every industry are becoming ever more prominent. USHE institutions play a crucial role in making sure Utahns are prepared for the economy of tomorrow. A new category in this year's funding request is intended to help institutions address the most pressing market demands by expanding existing or creating new academic programs. This category, "Market Demand Programs," includes $6 million to complete last year's graduate program support initiative for Utah and Utah State on a 60/40 split respectively, with an additional $4 million for the other six institutions allocated based on 50 percent share of student FTE and 50 percent share of state tax funds. Institutions would have discretion to propose to the Board of Regents in January 2016 how these funds would be used to help meet market demands in our state.

The Board of Regents requests $10 million for institutions to use to help meet critical market demands in Utah's economy ($6 million to support graduate programs at the two research universities, $4 million for the regional universities and community colleges based on their share of taxpayer funding and FTE students).

4. Performance Funding

The budget includes $15 million for performance funding, using the model adopted by the Board of Regents on July 31, 2015, and based on SB 232. Under the provisions of SB 232, institutions may receive new funding for outputs in these areas:

- Degrees and certificates granted
- Services provided to traditionally underserved populations
- Responsiveness to workforce needs
- Graduation efficiency
- Graduate research for research universities

The Board of Regents request $15 million to fund Performance Funding as provided in S.B. 232 enacted in 2015 and per the model adopted by the Board on July 31, 2015.

5. Statewide Programs

5-A. Enhanced Cyber Security

Capable and well-equipped cyber attackers probe academic and corporate computer networks to find vulnerabilities they can exploit, including identity theft, harvesting personal information, or stealing valuable research or clinical data. The Chief Information Officers (CIOs) of institutions within USHE are recommending $2.5 million in funding to better equip our institutions to protect against attacks on institutional information technology networks.

5-B. Full Funding of Regents' Scholarship

The Utah Legislature has enacted the Regents' Scholarship (2008) to encourage high school students to take a rigorous course of study to better prepare for college. An estimated $8,014,000 is needed to fully fund the scholarship in order to replace $2.5 million in one-time funding and to accommodate an estimated 25 percent growth in applications (the scholarship grew by 22 percent in 2015). The Legislature will be provided updated information in February (after the application deadline) of the amount of new funding necessary to fully fund the scholarship, and the amount of awards if no new funding is provided.

The Board of Regents requests a total of $10,514,000 in new ongoing funding for statewide programs as follows:

- $2.5 million in ongoing funding to the Board of Regents to be used to improve information technology security at the eight institutions.
- $8.014 million in ongoing funding to the Board of Regents to replace one-time funds and cover expected growth in the Regents' Scholarship.

Conclusion

Support for Utah's public colleges and universities are critical to Utah's success as a state. Data are clear: Post-secondary educational attainment is linked to higher wages, lower levels of poverty and unemployment, greater civic engagement and community volunteerism, and an overall higher quality of life. In order to realize the results of this brighter future, investment in Utah's higher education must be made today.

In January 2014 the Board of Regents approved a ten-year operating budget estimate to meet Utah's college attainment goal, averaging approximately $67 million annually in increased operating state tax funds. This year's request (not including the Regents' scholarship, which was not part of this projection) is $69 million. Funding of this request will further the Board of Regents' strategic objectives of Affordable Participation, Timely Completion, and Innovative Discovery.

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Operating Budget Request Summary

ESTIMATED FY 2016-17 STATE TAX FUNDS BEGINNING BASE BUDGET		$845,439,000
USHE BUDGET PRIORITIES (On-Going Increase)		$77,052,700
1. Compensation (75%)[1, 2]		$32,333,600
A. 3% Performance Based Compensation	24,474,400	
B. 7.6% Health Premium Increases[3]	7,859,200	
2. Access & Affordability	9,205,100	9,205,100
3. Market Demand Programs	10,000,000	10,000,000
4. Performance Funding	15,000,000	$15,000,000
5. Statewide Programs		$10,514,000
A. Cyber Security	2,500,000	
B. Regents' Scholarships	8,014,000	
Total USHE Budget Priorities		$77,052,700
USHE Budget Priorities Percent Increase		9.1%

[1] State funded portion (75%) of a 1% salary and related benefits is $8,158,800; health $1,034,900; dental $54,100; URS $277,850.

[2] If fully funded tuition increase match would require 2.5%.

[3] Early estimate of 7.6% used until updates available this fall.

USHE FY 2017 BUDGET REQUEST
MARKET DEMAND PROGRAMS
DISTRIBUTION 50% STUDENT FTE AND 50% APPROPRIATIONS

Institution	FY 2015 FTE Enrollments[1]	% of Degrees & Awards	50% $ 2,000,000	FY 2016 On-going Appropriated Tax Funds[2]	% of On-going Appropriated Tax Funds	50% $ 2,000,000	Total Program Capacity Funding Allocation[3]	% of Total
UU							$ 3,600,000	36.00%
USU							$ 2,400,000	24.00%
WSU	13,030	21.85%	$ 437,100	$ 76,012,800	21.74%	$ 434,700	$ 871,800	8.72%
SUU	5,158	8.65%	$ 173,000	$ 33,770,400	9.66%	$ 193,100	$ 366,100	3.66%
SC	3,100	5.20%	$ 103,900	$ 22,189,400	6.35%	$ 127,000	$ 230,900	2.31%
DSU	4,906	8.23%	$ 164,600	$ 31,832,100	9.10%	$ 182,000	$ 346,600	3.47%
UVU	18,045	30.26%	$ 605,300	$ 96,568,200	27.61%	$ 552,300	$ 1,157,600	11.58%
SLCC	15,385	25.80%	$ 516,100	$ 89,339,600	25.55%	$ 510,900	$ 1,027,000	10.27%
Total	**59,624**	**100.0%**	**$ 2,000,000**	**$ 349,712,500**	**100.0%**	**$ 2,000,000**	**$ 10,000,000**	**100.0%**

[1] FY 2015 end-of-year budget related annualized resident FTE enrollments

[2] FY 2016 on-going appropriated tax funds (all line items)

[3] Allocates $6M for graduate programs at UU and USU (60/40 split) then allocates $4M to other six based on 50/50 split of student FTE and appropriations

UTAH SYSTEM OF HIGHER EDUCATION
FY 2016-17 BUDGET REQUEST
ACCESS & AFFORDABILITY

2015-16 Proportion of Tax Funds			
Course Level	Research Universities	Regional Universities	Community Colleges
Vocational	$ 2,094	$ 2,241	$ 3,103
Lower Division	$ 2,258	$ 1,564	$ 1,668
Upper Division	$ 4,432	$ 2,970	$ 1,542
Basic Graduate	$ 6,893	$ 2,924	$ -
Adv Graduate	$ 7,524	$ -	$ -

2014-15 to 2015-16 FTE Change									
Course Level	UU	USU	WSU	SUU	DSU	UVU	SC	SLCC	Total
Vocational	-	319	253	28	41	209	110	37	997
Lower Division	239	697	59	393	47	464	47	29	1,975
Upper Division	-	287	-	-	5	23	-	-	315
Basic Graduate	134	-	64	46	-	42	-	-	286
Adv Graduate	56	-	-	-	-	-	-	-	56
Total	429	1,303	376	467	93	738	157	66	3,629

Funding by Institution									
Course Level	UU	USU	WSU	SUU	DSU	UVU	SC	SLCC	Total
Vocational	$ -	$ 667,986	$ 566,973	$ 62,748	$ 91,881	$ 468,369	$ 341,330	$ 114,811	$ 2,314,098
Lower Division	$ 539,662	$ 1,573,826	$ 92,276	$ 614,652	$ 73,508	$ 725,696	$ 78,396	$ 48,372	$ 3,746,388
Upper Division	$ -	$ 1,271,984	$ -	$ -	$ 14,850	$ 68,310	$ -	$ -	$ 1,355,144
Basic Graduate	$ 923,662	$ -	$ 187,136	$ 134,504	$ -	$ 122,808	$ -	$ -	$ 1,368,110
Adv Graduate	$ 421,344	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 421,344
Total	$ 1,884,668	$ 3,513,796	$ 846,385	$ 811,904	$ 180,239	$ 1,385,183	$ 419,726	$ 163,183	$ 9,205,084
Rounded to 100	**$ 1,884,700**	**$ 3,513,800**	**$ 846,400**	**$ 811,900**	**$ 180,200**	**$ 1,385,200**	**$ 419,700**	**$ 163,200**	**$ 9,205,100**

Timeline:
November 25, 2015: 2014-15 Estimated Appropriated Direct Instructional Expenditures per FTE will be updated with actuals from Cost Study.
January 29, 2016: 2015-16 Estimated Annualized Budget Related End-of-Term Resident Student FTE will be updated using Summer and Fall actuals.

FY17 USHE legislative request – Cyber Security - $2.5 million

The eight public institutions of higher education in Utah each have their own mission — a distinct charge that sets them apart from the others. There is one area, however, where the mission is singular and clear: Protecting student, patient, research, and other personal or proprietary data. Fortunately, the Chief Information Officers of USHE schools have an outstanding collaborative relationship, and approach their work with a "high tide floats all boats" mentality. The CIOs have seen the need to leverage their common IT needs and resources to benefit students and faculty from Logan to St. George.

Working in concert with the Utah Education and Telehealth Network and state Data Security Management Council, USHE proposes the creation of a central, coordinated effort to help every school fulfill consensus basic information security needs. This effort would be overseen by a USHE Chief Information Security Officer (CISO), who would manage annual IT security assessments and institute regular policy and procedure audits to help institutions better manage risk. This would allow individual campuses to better focus their limited resources on their own targeted needs.

The USHE Chief Information Security Officer would report to the USHE Chief Information Officer, and would work closely with the individual CISOs to:

- Establish agreed upon **statewide minimum security standards**
- Coordinate ongoing, biennial **penetration tests** of campus information systems
- Lead **risk-assessment efforts** to identify systems that are likely targets for attack and provide options to lower the risk to those systems
- Review and make **recommendations regarding campus IT security policies**, procedures, and training
- Identify opportunities for **financial and operational efficiency** across the higher education system in regards to information security
- Cooperate with the state Data Security Management Council to ensure institutions are **aligned with other state governmental agencies** on information security

By working together and with our colleagues in other state agencies, we are stronger and more efficient. In keeping with that sentiment, USHE would also like to establish a joint monitoring/risk-assessment operation to better secure every institution. This critical task is often cost prohibitive for smaller organizations, but by consolidating the effort centrally schools could better understand and react to potential security events. This operation would be overseen by the USHE CISO, who would work with broader state government security groups through the Data Security Management Council.

USHE is seeking an ongoing $2.5 million to support this request, allocated to fund:

- **The creation of the USHE Chief Information Security Office ($500,000)**, including a CISO, a risk management expert, and a security tools expert. This includes the cost of salaries and benefits; space and equipment; and a small general budget for training, travel, and other expenses. This office would work closely with other system and state information security professionals.

- **Data breach insurance funding ($384,000 divided proportionally)** to cover or offset the cost at every institution. Breach insurance covers the expense for individual notifications and credit monitoring, costly forensic analysis to determine whether a breach occurred, media relations, call center, and more.

- **Continued and expanded security audits ($144,000)**, potentially doubling capacity and allowing institutions to have yearly system penetration and/or risk assessment and policy audits to look for gaps and track improvement.

- **USHE contracts for critical security tools and software (about $1.5 million)**, many of which are currently being purchased through more expensive individual contracts. The Higher Education Technology Initiative aims to gain efficiency through scale, and this effort would provide institutions with necessary technology at a lower cost and with greater utilization. Likely tools are:
    - Advanced log management
    - Advanced malware protection
    - Data loss prevention
    - Multi-factor authentication solutions
    - Risk management software
    - Next-generation firewalls

College and university information systems are bursting with Social Security numbers, student academic records, medical records, credit card information, and more. The high-level research conducted by the institutions also demands rigorous security controls to protect data and ensure future opportunities through this valuable revenue stream. Purchasing and employing the technology necessary to prevent or quickly detect breaches is a necessary cost of doing business. However, by working together to obtain, deploy, and manage these tools, the Utah System of Higher Education can spend more money on what it is meant to do: Prepare Utahns for a bright and prosperous future.

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Programming and Design of USHE Facilities Prior to Funding

Background

Emanating from a discussion that took place during the Finance & Facilities Committee's July meeting, staff of the Office of the Commissioner was asked to bring back to the Committee, information regarding various components associated with a building project.

USHE Capital development projects consist in three major phases:

1. Programming/planning
2. Design
3. Construction

Programming/planning refers to pre-design services (typically contracted with a professional service provider) that identify building needs and resources. In this phase, potential building stakeholders (such as institutional administrators, building occupants, and operators) meet to provide input into the amount and type of space needed. Programming/planning helps clarify the project scope and cost.

Design consists of the creation of architectural drawings that include schematic and layout of space, interior and exterior renderings of the proposed building, and construction documents needed for a contractor to build the project.

Construction is the project phase where the programmed and designed project is actually built; the creation of the physical structure itself.

Issue

In 2015 the Legislature passed an appropriation bill (Senate Bill 3) that contained intent language to allow institutions of higher education to "use donated or institutional funds for planning and design of proposed capital developments." Subsequently, the State Board of Regents updated their *Capital Facilities* policy (R710) to require that institutions receive Regent approval prior to using donations/institutional funds for planning or design.

Authorization of *programming/planning* early in the project request process would appear to be appropriate and can in fact potentially add value to that process. Early programming/planning, while not necessarily

required, can enable institutions to better refine their project requests and better articulate the details of the projects they are requesting, thereby minimizing the number of changes to projects that sometimes currently occurs early in a project request cycle. Early programming/planning might also assist the Division of Facilities and Construction Management (DFCM) in preparing better project construction budget estimates (CBE's) for use throughout the project prioritization process.

Authorization of *design* early in the project request process would appear to typically be a riskier investment of institutional resources. Designing proposed projects too far in advance of securing construction funding runs the risk of having institutions prematurely invest sizable sums of money; sums that may need to be replicated should the design become obsolete prior to building funding being made available. Pre-funding design from institutional resources might also impact decision-makers' prioritization of the project; taking such an action in order to act before the design documents become obsolete – due to changes in code requirements or cost escalations that make the early design no longer viable .

Appropriation of design dollars on the part of the legislature is a different matter. When legislative appropriations – rather than institutional funds – are provided for design, there generally exists a stronger indication of future legislative "prioritization" support and for timely appropriation of construction funds. The inherent risk in design is lessened in these instances.

Finally, an advantage of early design should also be recognized. The design process can take upwards of a year for an institution to complete, so funding design a year prior to construction funding being available does allow a project to be "shovel ready" much more quickly. However, it is difficult to forecast legislative priorities, available state revenue, or future competition from other facility needs.

The table below shows actual costs of programming/planning, design, and construction for several recent USHE buildings. Programming/planning typically costs between 0.5% and 1% of the total project cost where design comes in anywhere from 5% to 8%. There are substantially more dollars "at risk" in design funding than programming/planning when considering the likelihood of obsolescence due to non-appropriation of construction budgets.

		Actual Expenditures				
	Project	Program	Design	Total Costs	% Prgm	% Dgn
DSU	Centennial Commons and Clock Tower	$428,354	$2,697,347	$42,231,064	1.0%	6.4%
UU	Eccles School of Business	$339,034	$5,671,239	$67,954,013	0.5%	8.3%
WSU	Davis Campus Professional Classroom	$241,045	$1,951,881	$37,790,334	0.6%	5.2%
UVU	Student Wellness Center and Parking	$295,838	$2,825,099	$50,488,077	0.6%	5.6%
UU	Student Life Center	$243,311	$3,075,506	$47,564,204	0.5%	6.5%

Source: Division of Facilities, Construction and Management, Capital Project Closeout Reports

While not explicitly addressing the validity of funding programming/planning or design before construction, legislative actions and State Building Board policies have tended to indicate a preference for programming/planning funds and an aversion toward pre-funding design. The 2015 legislative intent language seems to be an exception to the general trend as the legislature has typically discouraged the phased funding of projects over multiple years. Additionally, the State Building Board has created an Administrative Rule that allows for funding of programming/planning prior to project funding being secured, and further allows the Building Board to pre-fund programming/planning on a case-by-case basis through the use of funds that the Board administers, but no such Building Board policy exists for design funding.

Commissioner's Recommendation

This is an informational item only, and is intended to provide further background to the Finance and Facilities Committee as it weighs future institutional requests for early programming/planning and/or design of capital development project requests.

_____

David L. Buhler
Commissioner of Higher Education

DLB/GLS/RPAWRH

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Follow-up Audit of Higher Education's Management Practices for Operation and Maintenance Funding

Issue

The Office of the Legislative Auditor General has issued a *Follow-up Audit of Higher Education's Management Practices for Operation and Maintenance Funding*. Their initial audit was concluded in September of 2011.

Introduction

The issue of the adequacy and proper use of Operation and Maintenance (O&M) and Capital Improvement (CI) funding in higher education has been a topic of discussion with the State Building Board and the Legislative Infrastructure and General Government Appropriations Subcommittee for several years. Interest has certainly been heightened by the growing challenge of funding all of the needs that occurred during the recent recessionary years.

The initial 2011 audit, *Performance Audit of Higher Education Operation and Maintenance Funding*, focused in part on a concern that "…*adding buildings to campuses without an identified O&M funding source will dilute the resources intended for facilities with legislatively approved funding*" and made a number of recommendations, some of which were directed towards the State Legislature, others towards the State Building Board, and still others towards the Utah System of Higher Education (USHE). Most of the concerns and recommendations directed towards the Building Board and USHE have been addressed. The current 2015 follow-up audit reviews those former issues and identifies a couple of new issues. New recommendations affecting the USHE are addressed in the "Salient Follow-up Audit Recommendations" section below.

Legislative Action

Context regarding the environment in which the two audit reports were released is provided by reviewing legislative actions taking place simultaneously over the past several years. Some of these actions are probably as a consequence of the 2011 audit; others are likely in part a cause for audit recommendations that occurred.

From the beginning of the recession in 2009, and through the 2014 legislative session, the legislature authorized construction of non-state funded USHE buildings without providing any state-funded O&M support for those projects that previously had qualified to receive state-appropriated O&M under the provisions of Regents' policy. Not until the 2015 session did the legislature again authorize the use of state-appropriated funds for O&M support for qualifying non-state funded building projects.

Additionally during the 2015 session, the co-chairs of the legislative IGG Committee proposed statutory language requiring consideration of alternative models for determination of O&M funding amounts and processes for all state facilities, including the USHE's. SB217 incorporated those changes and was adopted by the legislature. The Board of Regents is singled out as a primary collaborator to work with the Building Board in dealing with this issue. The study is currently in process of being completed, even as work continues on responses to the O&M audits.

Salient Follow-up Audit Recommendations

The salient findings and recommendations from the current audit and requiring attention are listed below:

1. Review of relevant O&M funding mechanisms for appropriateness
2. Determination of appropriate O&M funding support from "revenue-generating" activities
3. Adoption of a single data base for the inventory of state buildings
4. Appropriateness of the existing statue and Regents policy governing use of reimbursed overhead funding

(See table below for actual comments, audit responses and action being taken)

	Audit Comment	Audit Response	Action Being Taken
1	We recommend that the Legislature consider the current O&M funding model in light of the State Building Board's mandated study to determine if USHE buildings' O&M needs are being funded appropriately.	We concur. A review of the current funding models for existing and new facilities is appropriate. As is noted in Chapter II, Recommendation 1 above, we are currently participating in a Building Board study that includes consideration of this issue. USHE institutions have appreciated the ongoing funding increases provided for salaries and wages, and the occasional funding increases for utilities cost increases that have been provided as part of the existing O&M model. We recognize the current funding mechanism for existing facilities does not have a provision for price-level increases that occur over time for the required supplies and other non-personnel related costs of operating and maintaining the facilities and that where a disproportionate number of older buildings exist on a campus, this can pose a challenge. Notwithstanding the challenge, our institutions and their facilities operations teams are committed to keeping the buildings operational and fully functional.	We are currently working with the SBB on ways to resolve this issue. The State Building Board is scheduled to report the findings of this study by September 1, 2015.

	Audit Comment	Audit Response	Action Being Taken
2	We recommend that the Board of Regents establish a policy on revenue- generating activities in campus facilities that addresses the extent to which paid admission charges should contribute to facility O&M costs.	We agree that the revenue- generating entities designated as "auxiliaries" as defined by the National Association of College and Business Officers (NACUBO) should pay the applicable O&M costs for their facilities. The other revenue-generating entities referred to in the recommendation often are directly related to and benefit the academic programs of the institutions, in addition to fulfilling the public service role of the institutions. As such, they do not meet the "essentially self-supporting criteria" of auxiliaries. Prior to consideration of a policy for adoption by the Board of Regents, the Office of the Commissioner will undertake a study of these non-auxiliary revenue generating activities to determine its magnitude and the potential for providing some level of O&M support.	USHE is currently conducting a study on the activities occurring in campus facilities. After this study is complete USHE will evaluate appropriate policy requirements related to these activities.
3	We recommend that all state agencies use one database to store, update, and manage the state's inventory of buildings.	We concur and are collaborating with the relevant entities to accomplish this objective.	The decision has been made to have State Risk Management be the custodian of the official data base and to establish the following procedures for keeping it up-to-date: - In May of each year Risk Management will send a list of buildings to each state agency and institution - Agencies and institutions will update the lists by adding, subtracting, and modify the information as appropriate.
4	We recommend that the Board of Regents revise its policy on reimbursed funds to direct the institutions to use those funds provided for infrastructure or O&M costs for those purposes if there is a significant need for additional funding in those areas. This could be accomplished through a specific funding formula.	The existing Board of Regents policy (R535 Reimbursed Overhead) is currently written to reflect the legislative decision referred to in the response to Chapter IV, Recommendation 1 above i.e. "the 1980s legislative decision to allow institutions to retain all of the reimbursed overhead as ongoing support to nurture and expand…" In recent years, inadequate funds to cover some of the O&M the costs of research-related facilities have required institutions to allocate some of their research support funds to cover O&M and other physical plant-related costs, which is allowed by the existing policy. A continuation of such practices may be the appropriate course for the future, but because of the complexity of the issue, we believe it would be advisable to defer a Regents' policy revision until the Legislature has had an opportunity to consider this matter, at which time a revision in policy can be updated in compliance with new legislative direction.	We are currently in the data collection process. We are working with the institutions to obtain the required information so that we can provide our recommendation related to reimbursed overhead funds.

Commissioner's Recommendation

This is an information item; no action is required.

_____

David L. Buhler
Commissioner of Higher Education

DLB/GLS/WRH

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Report on Savings Accrued from Consolidation into the General Revenue Bond System

Issue

During a revenue bond discussion in the Finance and Facilities Committee at the July 30, 2015 Board of Regents meeting, a question was asked about the total amount of savings that had been achieved since the University of Utah's initial authorization to refinance bonds into a General Revenue Bond (GRB) System. This item is presented to respond to that query.

Background

On March 29, 2013 the Board of Regents authorized the University of Utah to establish a GRB System for future revenue bonding activity and to look for market opportunities to refund - with GRB system revenue bonds - all or portions of the then currently outstanding bonds in the Auxiliary and Campus Facilities, Hospital, and Research Facilities revenue bond systems.

This proposed change in structure was designed to increase the strength and credit quality of the University's debt offerings (lowering its borrowing costs by at least 10 to as much as 60 basis points), gain financing parity for all future University-related bond issues, expand its bonding capability, and broaden the scope of projects that could qualify for debt financing in the future. Since that proposal's approval, the University's Moodys credit rating has improved from Aa2 to Aa1a. In addition, the consolidated credit approach has generally resulted in more investors coming into the market with corresponding decreases in basis points due to increased competition.

Since the 2013 action, all or part of 10 revenue bonds have been refunded with a combined gross refunding savings in excess of $25.2 million. The following summary has been prepared to show the specific refunding transactions that were executed with the corresponding savings achieved:

GRB Series	Bonds Refunded	Par Refunded	Date	Gross Savings Refunded	Present Value Savings	% of Par Refunded
2014A-1	Series 2006A Hospital	$ 29,035,000	4/1/2014	$ 7,157,292	$ 3,243,168	11.17%
2014A-2	Series 2004A & Series 2005A Research	7,425,000	4/1/2014	837,822	772,994.0	10.41%
2014B	Series 2006A Hospital	23,825,000	7/15/2014	8,193,619	3,211,974.0	13.48%
2015A-1	Series 2005A Aux. Camp. Facil. Syst. *	19,920,000	12/3/2014	1,944,085	1,918,000.0	9.63%
2015A-2	Series 2005B Research	6,145,000	12/3/2014	745,283	695,013.0	11.31%
2015B	Series 2005A Hospital *	8,260,000	4/21/2015	817,728	806,718.0	9.77%
2015B	Series 2010A ACFS	19,150,000	4/21/2015	1,221,888	912,379.0	4.76%
2015B	Series 2010 Hospital	11,810,000	4/21/2015	1,275,225	429,123.0	3.63%
2015B	Series 2011B Hospital	25,695,000	4/21/2015	3,057,383	1,113,779.0	4.33%
TOTALS		**$ 151,265,000**		**$ 25,250,325**	**$ 13,103,148**	

* Reflects issuance of tax-exempt bonds to paydown Commercial Paper for bonds previously refunded

Prepared by RBC Capital Markets, August 24, 2015
For Discussion Purposes Only

Commissioner's Recommendation

This is an information item; no action is needed.

David L. Buhler
Commissioner of Higher Education

DLB/GLS/WRH

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE 2014-15 End-of-Year Enrollment Report

Issue

The End-of-Year Enrollment report is a summary of the previous year's enrollment activity at each of the eight USHE colleges and universities. The End-of-Year report provides an accounting of the academic activity that occurred on the USHE campuses during the prior year's academic cycle and is used to inform budget and resource allocation decisions within the USHE system.

The 2014-15 End-of-Year report is based on the USHE academic year which consists of the summer term 2014, fall semester 2014, and spring semester 2015.

Most institutions showed an increase in their annualized FTE when compared to the 2013-14 year. For the 2014-15 reporting year, the USHE system reported a .6% increase in the Total Annualized FTE and a .3% increase in Annualized Budget Related FTE when compared to the 2013-14 academic year.

The full End-of-Year Report is available at: http://higheredutah.org/data/. The full report provides a summary of USHE enrollments by Headcount, Academic Year FTE, Annualized FTE, FTE by Level of Instruction, FTE for Utah Residency only, and FTE by Budgetary line items (locations). A sample table of what is available on-line is included in the attachments to this agenda item.

Commissioner Recommendation

This is an information item only; not action is needed.

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/JAC
Attachments

Definitions:

Annualized FTE Students*: R501-3.4*. Annualized FTE Students: To calculate a full-time equivalent (FTE) student during a 12-month period, an institution shall divide the student's attempted credit hours by 30 for an undergraduate student, or by 20 for a graduate student.

Academic Year FTE Students: To calculate a full-time equivalent (FTE) student an institution shall divide the student's attempted credit hours for the fall and spring semesters by 30 for an undergraduate student, or by 20 for a graduate student.

Budget Related FTE – calculated full-time equivalents students based on enrollments in courses leading to an official degree or award that is supported by state funding as defined in Regent Policy *R506-4. Budget-Related Courses for State Funding Purposes*

Budget Related & Self-Support FTE - calculated full-time equivalents based on enrollments in courses leading to an official degree or award regardless of funding source for that course (*Regent Policy R506*)

Annualized FTE

	Budget Related & Self Support		Budget Related	
Institution	**FTE**	**% Change from 2013-14**	**FTE**	**% Change from 2013-14**
University of Utah	30,133.42	-0.2%	29,334.51	-0.6%
Utah State University	22,603.65	2.4%	20,463.82	2.3%
Weber State University	17,278.66	1.9%	14,458.22	0.1%
Southern Utah University	7,011.79	1.6%	6,175.74	1.5%
Snow College	3,624.91	8.1%	3,432.88	7.0%
Dixie State University	6,356.29	1.7%	5,993.20	0.3%
Utah Valley University	22,734.02	2.5%	20,265.99	3.2%
Salt Lake Community College	18,904.61	-5.2%	16,589.19	-5.1%
USHE Total	**128,647.35**	**0.6%**	**116,713.55**	**0.3%**

Student Budget Related FTE Enrollments by Level of Instruction

USHE	**C.E. Vocational**	**Vocational**	**Lower Division**	**Upper Division**	**Beginning Graduate**	**Advanced Graduate**	**Total**
Summer	8.91	4,145.82	11,408.35	6,185.70	2,497.35	865.01	25,111.14
Fall	108.32	16,596.84	53,915.85	26,378.04	6,687.15	3,498.61	107,184.81
Spring	96.20	15,931.95	48,048.38	27,326.18	6,261.64	3,467.02	101,131.37
Academic Year FTE	102.26	16,264.40	50,982.12	26,852.11	6,474.40	3,482.82	104,158.09
Annualized FTE	**106.72**	**18,337.31**	**56,686.29**	**29,944.96**	**7,723.07**	**3,915.32**	**116,713.66**

Table 1

USHE 2014-15 End-of-Year Enrollment Report

Total Budget-Related and Self-Supporting FTE Enrollments

Institution and Line Item	Annualized Year 2013-14 Budget-Related & Self Support FTE			Annualized Year 2014-15 Budget-Related & Self Support FTE			Difference Between Annualized Year 2013-14 and 2014-15			Percent Change Between Annualized Year 2013-14 and 2014-15		
	Resident	Non-resident	Total	Resident	Non-resident	Total	Resident	Non-resident	Total	Resident	Non-resident	Total
University of Utah												
Education and General	23,351.56	5,677.12	29,028.68	23,055.43	5,784.26	28,839.69	-296.13	107.14	-188.99	-1.3%	1.9%	-0.7%
School of Dentistry	0.00	0.00	0.00	131.49	7.00	138.49	131.49	7.00	138.49	#DIV/0!	#DIV/0!	#DIV/0!
School of Medicine - MD	291.00	57.50	348.50	305.50	67.50	373.00	14.50	10.00	24.50	5.0%	17.4%	7.0%
School of Medicine - Non-MD	427.45	235.14	662.59	407.32	220.92	628.24	-20.13	-14.22	-34.35	-4.7%	-6.0%	-5.2%
School of Medicine - Physician Assistant	110.50	41.00	151.50	129.00	25.00	154.00	18.50	-16.00	2.50	16.7%	-39.0%	1.7%
Subtotal - UU	24,180.51	6,010.76	30,191.27	24,028.74	6,104.68	30,133.42	-151.77	93.92	-57.85	-0.6%	1.6%	-0.2%
Utah State University												
Education and General (Logan)	10,910.95	2,699.34	13,610.29	10,851.07	2,849.59	13,700.66	-59.88	150.25	90.37	-0.5%	5.6%	0.7%
Uintah Basin Continuing Ed. Center	419.34	8.34	427.68	368.32	11.97	380.29	-51.02	3.63	-47.39	-12.2%	43.5%	-11.1%
Southeast Utah Continuing Ed. Center	214.27	5.24	219.51	230.41	9.47	239.88	16.14	4.23	20.37	7.5%	80.7%	9.3%
Brigham City Continuing Ed. Center	4,232.82	511.71	4,744.53	4,038.30	1,214.83	5,253.13	-194.52	703.12	508.60	-4.6%	137.4%	10.7%
Tooele/Wasatch Continuing Ed. Center	1,430.69	45.97	1,476.66	1,364.15	110.84	1,474.99	-66.54	64.87	-1.67	-4.7%	141.1%	-0.1%
USU Eastern (Price)	1,026.39	114.09	1,140.48	1,005.83	112.99	1,118.82	-20.56	-1.10	-21.66	-2.0%	-1.0%	-1.9%
San Juan Center	433.74	12.17	445.91	424.68	11.20	435.88	-9.06	-0.97	-10.03	-2.1%	-8.0%	-2.2%
Subtotal - USU	18,668.20	3,396.86	22,065.06	18,282.76	4,320.89	22,603.65	-385.44	924.03	538.59	-2.1%	27.2%	2.4%
Weber State University												
Education and General	15,202.60	1,748.88	16,951.48	15,520.98	1,757.68	17,278.66	318.38	8.80	327.18	2.1%	0.5%	1.9%
Southern Utah University												
Education and General	5,752.73	1,151.08	6,903.81	5,642.15	1,369.64	7,011.79	-110.58	218.56	107.98	-1.9%	19.0%	1.6%
Snow College												
Education and General	2,998.09	295.95	3,294.04	3,215.63	335.10	3,550.73	217.54	39.15	256.69	7.3%	13.2%	7.8%
Applied Technology Education	59.48	0.00	59.48	72.05	2.13	74.18	12.57	2.13	14.70	21.1%	#DIV/0!	24.7%
Subtotal - Snow	3,057.57	295.95	3,353.52	3,287.68	337.23	3,624.91	230.11	41.28	271.39	7.5%	13.9%	8.1%
Dixie State University												
Education and General	5,342.37	905.81	6,248.18	5,197.33	1,158.96	6,356.29	-145.04	253.15	108.11	-2.7%	27.9%	1.7%
Utah Valley University												
Education and General	19,369.59	2,812.15	22,181.74	19,589.96	3,144.06	22,734.02	220.37	331.91	552.28	1.1%	11.8%	2.5%
Salt Lake Community College												
Education and General	18,644.38	959.95	19,604.33	17,362.22	1,110.17	18,472.39	-1,282.16	150.22	-1,131.94	-6.9%	15.6%	-5.8%
Skill Center	255.76	87.60	343.36	274.33	157.89	432.22	18.57	70.29	88.86	7.3%	80.2%	25.9%
Subtotal - SLCC	18,900.14	1,047.55	19,947.69	17,636.55	1,268.06	18,904.61	-1,263.59	220.51	-1,043.08	-6.7%	21.1%	-5.2%
TOTAL - USHE	110,473.71	17,369.04	127,842.75	109,186.15	19,461.20	128,647.35	-1,287.56	2,092.16	804.60	-1.2%	12.0%	0.6%
TOTAL - USHE (without UU SOM MD)	110,182.71	17,311.54	127,494.25	108,880.65	19,393.70	128,274.35	-1,302.06	2,082.16	780.10	-1.2%	12.0%	0.6%

* The line item of 'USU Eastern-Price' was added in Fall 2011. Prior to that, the line items of 'CEU-E&G' and 'CEU-Division of Workforce Education' were used separately.

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Annual Report of Foreign Gifts and/or Donations to USHE Institutions

Issue

In 2010, the Legislature enacted HB 114, entitled "Disclosure of Donations to Higher Education Institutions," which went into effect on May 11, 2010. The law (Utah Code 53B-1-202) requires that the Board of Regents report annually to the Legislature certain gifts of $50,000 or more during the fiscal period beginning July 1 and ending on June 30.

Background

Any donations or gifts made to USHE institutions from a foreign person or entity in the form of an endowment, scholarship, gift, donation, or grant of money or property of any kind that are of $50,000 or more in a given year must be reported to the Legislature. The $50,000 is increased to $250,000 or more if the gift is from a permanent resident of the United States as defined by Section 245 of the Immigration and Nationality Act and who has been a resident for 10 years or more. This is the sixth annual report as required by law.

The required foreign donations report is included as an attachment to this memorandum. The report shows the University of Utah and Utah State University receiving a total of $822,467 in foreign donations; no other USHE institution received a foreign donation that fit the statutory requirements.

Commissioner's Recommendation

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

_____
David L. Buhler
Commissioner of Higher Education

DLB/GLS/BLS/JSA
Attachment

UTAH SYSTEM OF HIGHER EDUCATION
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Foreign Donations - Annual Report
September 2015

Overview

In 2010, the Legislature enacted HB 114, entitled "Disclosure of Donations to Higher Education Institutions," which went into effect on May 11, 2010. The law (Utah Code 53B-1-202) requires that the Board of Regents report annually to the Legislature: any donations that are of $50,000 or more in a given year made to USHE institutions from a foreign person or entity. The $50,000 is increased to $250,000 or more if the gift is from a permanent resident of the United States as defined by Section 245 of the Immigration and Nationality Act and who has been a resident for 10 years or more. This is the sixth annual report as required by law.

Summary

As per Regent's Policy R545— Disclosure of Foreign Donations— all higher education institutions have reported to the Commissioner's Office on foreign donations or gifts received. For the 2014-15 fiscal year, only the University of Utah and Utah State University have reportable donations to disclose. The table below summarizes these donation totals. Also attached is the detailed information provided by the University of Utah and Utah State University.

USHE Institution	Reportable Foreign Donations FY 2014-15
*University of Utah	$ 531,500
*Utah State University	$ 290,967
Weber State University	None
Southern Utah University	None
Snow College	None
Dixie State University	None
Utah Valley University	None
Salt Lake Community College	None
Total	$ 822,467

**A Gift from a Foreign Person Aggregating $50,000 or More - OR - from a Permanent Resident of the U.S. for at Least 10 Years Aggregating $250,000 or More. Details are found in the following table.*

Disclosure of Foreign Donations FY 2014-15
University of Utah and Utah State University

University of Utah

Name of the Foreign Person/Individual	Country of Citizenship or Principal Residence	The Date Received	$ Amount of Each Gift	Aggregate $ Amount per Foreign Person	If a Gift is Conditional - Describe Conditions/Restrictions
Lassonde Family Foundation	Canada	12/14/14	$ 160,000	$ 160,000	Lassonde New Venture Development Fund
Norlien Foundation	Canada	12/17/14	$ 157,500	$ 157,500	College of Humanities Projects Fund
Nihon Medi-Physics Co., LTD	Japan	2/11/15	$ 100,000	$ 100,000	Neuroimaging and Biotechnology Lab
Champion Geophysical Tech, LTD	China	5/29/15	$ 64,000	$ 64,000	Unrestricted Grant in Electromagnetics
Lighting Investment LTD	Taiwan	12/11/14	$ 50,000	$ 50,000	The Gerald B. Stringfellow Endowed Graduate Scholarship in Engineering
	Total		$ 531,500	$ 531,500	

Utah State University

Name of the Foreign Person/Individual	Country of Citizenship or Principal Residence	The Date Received	$ Amount of Each Gift	Aggregate $ Amount per Foreign Person	If a Gift is Conditional - Describe Conditions/Restrictions
Ardeshir Zahedi	Switzerland	8/13/14	$ 100,000	$ 170,000	Ardeshir Zahedi Endowment
		2/12/15	$ 30,000		Ardeshir Zahedi Endowment
		2/12/15	$ 20,000		President Stan L. Albrecht Agriculture Endowment
		3/25/15	$ 20,000		Special Collections and Archives – Library
SNC – Lavalin	Canada	12/15/14	$ 120,967	$ 120,967	Utah Water Research Lab research
	Total		$ 290,967	$ 290,967	

UTAH SYSTEM OF HIGHER EDUCATION
Building a Stronger State of Minds

State Board of Regents
Board of Regents Building, The Gateway
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September 9, 2015

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 July 31, 2015, Southern Utah University, Cedar City, Utah (Attachment).

B. Grant Proposals
   1. University of Utah – DHHS National Institutes of Health; "Development of Low-Cost Multi"; $2,002,700. Hanseup Kim, Principal Investigator.

   2. University of Utah – NIH National heart Lung & Blood Institute; "Remodeling in HF and After LVA"; $1,862,500. Frank Sachse, Principal Investigator.

   3. University of Utah – NIH national Heart Lung & Blood Institute; "HSU R01"; $1,862,500. Edward W Hsu, Principal Investigator.

   4. University of Utah – NIH national Institute Biomedical Imaging & Bioeng; "Stewart Weiss R01"; $1,862,500. Russell J Stewart, Principal Investigator.

   5. University of Utah – DHHS National Institutes of Health; "Tresco R01"; $1,862,500. Patrick A Tresco, Principal Investigator.

   6. University of Utah – DHHS National Institute; "H2 Pandemic Influenza Vaccine"; $1,798,390. Susan C Bock, Principal Investigator.

   7. University of Utah – University of Miami; "Hypothermia Arrays"; $1,116,428. Loren W Rieth, Principal Investigator.

   8. University of Utah – DOD Defense Advanced Research Projects Agency; "Novel Sensors Encryption"; $1,804,182. Massood Tabib-Azar, Principal Investigator.

9. University of Utah – NIH National Insti Biomedical Imaging 7 Bioeng; “Prisms Informatics Center”; $5,700,702. Katherine A Sward, Principal Investigator.

10. University of Utah – NIH National Institute of Nursing Research; “PCRC Hospice Family Caregivers”; $2,747,955. Lee Ellington, Principal Investigator.

11. University of Utah – NIH National Cancer Institute; “PI3K Network Dysregulation”; $4,148,817. Andrea H Bild, Principal Investigator.

12. University of Utah – DHHS National Institutes of Health; “Isoprenoid Structures”; $4,962,573. Charles Dale Poulter, Principal Investigator.

13. University of Utah – DHHS National Institutes of Health; “Design of Beta-Catenin/BCL9 IN”; $2,235,000. Haitao Ji, Principal Investigator.

14. University of Utah – DHHS National Institutes of Health; “Salmonella SPI1 and SPI2”; $1,862,500. Kelly T Hughes, Principal Investigator.

15. University of Utah – AAA Foundation for Traffic Safety; “Business Plan for AAA”; $2,863,907. David Lee Strayer, Principal Investigator.

16. University of Utah – DHHS National Institutes of Health; “Survivors in Vietnam”; $3,115,290. Kim Korinek, Principal Investigator.

17. University of Utah – Utah Department of Human Services; “UT IV-E Training”; $12,856,550. Norma J Harris, Principal Investigator.

18. University of Utah – Utah Department of Human Services; “UT IV-E Research”; $1,931,836. Norma J Harris, Principal Investigator.

19. University of Utah – DHHS National Institutes of Health; “Family History Assessment”; $3,363,833. Kimberly A Kaphingst, Principal Investigator.

20. University of Utah – NIH National Cancer Institute; “Drosphila Intestine R01”; $3,250,301. Bradley Cairns, Principal Investigator.

21. University of Utah – NIH National Heart Lung & Blood Institute; “Tristani U01 SDY NHLBI 2015”; $3,225,009. Martin Tristani-Firouzi, Principal Investigator.

22. University of Utah – NIH National Cancer Institute; “CTDNA Testing partnership”; $3,172,760. Katherine Elena Varley, Principal Investigator.

23. University of Utah – DHHS National Institutes of Health; “McMahon Transfer – R01 Renewal”; $2,069,754. Donald E Ayer, Principal Investigator.

24. University of Utah – NIH National Human Genome Research Institute; “Combinatorial Gene Regulation”; $1,862,500. Jason Gertz, Principal Investigator.

25. University of Utah – NIH National Institute Arthritis Muscoskel Skin Disorder; “Variants in Pinch2”; $1,862,500. Julie L Kadrmas, Principal Investigator.

26. University of Utah – DHHS National Institutes of Health; “Modulators of Inflammation”; $1,801,250. Matthew K Topham, Principal Investigator.

27. University of Utah – NIH National Institute Child Health & Human Development; “Yoder UG1 NICHD NRN JUN 2015”; $1,490,000. Bradley Allen Yoder, Principal Investigator.

28. University of Utah – NIH national Cancer Institute; “Bisulfite Patch PCR”; $1,214,118. Katherine Elena Varley, Principal Investigator.

29. University of Utah – NIH Nation Institute neurology Disorders Stroke; “Terracogs: A Software Infrastr”; $1,017,380. Brian James McPherson, Principal Investigator.

30. University of Utah – NIH National Institute Neurology Disorders Stroke; “ECWW Preventing Epilepsy”; $5,062,034. Francis Edward Dudek, Principal Investigator.

31. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “AVF Function”; $4,241,515. Christi M Terry.

32. University of Utah – DHHS National Institutes of Health; “JORDE 2015 R35”; $3,445,336. Lynn B Jorde, Principal Investigator.

33. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “CRIC”; $3,221,031. Srinivasan Beddhu, Principal Investigator.

34. University of Utah – DHHS Centers For Disease Control & Prevention; “Transmission Risks”; $3,125,000. Matthew H Samore, Principal Investigator.

35. University of Utah – DHHS National Institutes of Health; “Mechanism of Atrial Fib”; $3,053,812. Ravi Ranjan, Principal Investigator.

36. University of Utah – NIH National Institute of Nursing Research; “NKOY R01 June 2015”; $3,037,377. Flory Lumu Nkoy, Principal Investigator.

37. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “The Role of (PRO) Renin”; $2,949,909. Tianxin Yang, Principal Investigator.

38. University of Utah – DHHS National Institutes of Health; “R01 NIH Pancreatic Cancer”; $2,815,320. Matthew Firpo, Principal Investigator.

39. University of Utah – DHHS Centers for Disease Control & Prevention; “Granular Modeling RFTOP2015006”; $2,222,000. Matthew H Samore, Principal Investigator.

40. University of Utah – DHHS National Institutes of health; “Spiromics Ancillary R01”; $2,214,192. Robert Pain III, Principal Investigator.

41. University of Utah – DHHS Centers for Disease Control & Prevention; “Epicenter Pro-Tem 2015”; $2,200,000. Matthew H Samore, Principal Investigator.

42. University of Utah – NIH National heart Lung & Blood Institute; “Joss-Moore R01 June 2015”; $2,097,299. Lisa Anne Joss-Moore, Principal Investigator.

43. University of Utah – DHHS National Institutes of Health; “HIPPO & PTF1A In Pancreatitis”; $1,992,500. Charles L Murtaugh, Principal Investigator.

44. University of Utah – NIH National Institute Child Health & Human Development; “Lai R01 (270) NICHD June 2015”; $1,984,758. Kent Lai, Principal Investigator.

45. University of Utah – NIH National Institute Child Health & Human Development; “R01 Diaphragm and CDH”; $1,862,500. Gabrielle Kardon, Principal Investigator.

46. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “SNP in Metabolic Disease”; $1,862,500. Amnon Schlegel, Principal Investigator.

47. University of Utah – NIH National Eye Institute; “Multiethnic Study D”; $1,862,500. Margaret Deangelis, Principal Investigator.

48. University of Utah – DHHS National institutes of Health; “Investigating the Transfer”; $1,862,500. Ryan M O’Connell, Principal Investigator.

49. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “Microbiota Periphery Influence”; $1,862,500. June Louise Round, Principal Investigator.

50. University of Utah – DHHS National Institutes of Health; “Potential of Posvirus”; $1,862,500. Nels Christian Elde, Principal Investigator.

51. University of Utah – NIH National Eye Institute; “HEI R01 Grant”; $1,862,500. June Yang, Principal Investigator.

52. University of Utah – NIH National Institute Digest Kidney Disease; “Roles of Blood Flow”; $1,862,500. Yan-Ting Shiu, Principal Investigator.

53. University of Utah – DHHS National Institutes of Health; “Genomic Imprinting Mono Neuron”; $1,862,500. Christopher T Gregg, Principal Investigator.

54. University of Utah – DHHS National Institutes of Health; “Nicotinic A7 and Inflammation”; $1,862,500. Scott W Rogers, Principal Investigator.

55. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “Microbiota-Immune Interactions”: $1,862,500. June Louise Round, Principal Investigator.

56. University of Utah – DHHS National Institutes of Health; “Genetic Studies of Diabetes”; $1,862,500. Carl Sennrich Thummel, Principal Investigator.

57. University of Utah – DHHS National Institutes of Health; “SM-Class RNAS”: $1,862,500. Demian Cazalla, Principal Investigator.

58. University of Utah – DHHS National Institutes of Health; “Migrating Cells”; $1,845,595. Gillian Marie Stanfield, Principal Investigator.

59. University of Utah – DHHS National Institutes of Health; “Hemylation of Mitochondrial”; $1,845,187. Dennis R Winge, Principal Investigator.

60. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “Zhang R01 – Renal Hypoxia”; $1,745,032. Lei Zhang, Principal Investigator.

61. University of Utah – DHHS National Institutes of Health; “Mait Cells in Cholera”; $1,725,455. Daniel Ted Leung, Principal Investigator.

62. University of Utah – DHHS National Institutes of Health; “Mental Disorders”; $1,631,302. Kathleen C Light, Principal Investigator.

63. University of Utah – NIH National Institute Diabetes Digest Kidney Disease; “Hematology T32”; $1,622,290. Elizabeth A Leibold, Principal Investigator.

64. University of Utah – DHHS Centers for Disease Control & Prevention; Botto/Feldkamp CDC June 2015”; $1,600,000. Lorenzo David Botto, Principal Investigator.

65. University of Utah – NIH National Institute Neurology Disorders Stroke; “Neuroscience T32 Grant”; $1,481,970. Richard Dorsky, Principal Investigator.

66. University of Utah – University of California San Francisco; “Elde Darpa 2015”; $1,341,000. Nels Christian Elde, Principal Investigator.

67. University of Utah – DHHS National Institutes of Health; “Trichomonas Vaginalis”; $1,328,750. Ellen Jean Pritham, Principal Investigator.

68. University of Utah – DHHS National Institutes of Health; “Enabling Machine Learning”; $1,293,438. Gang Luo, Principal Investigator.

69. University of Utah – University of Pittsburgh; “Casper UOFP Sub Resub June 2015”; $1,286,349. Theron Charles Casper, Principal Investigator.

70. University of Utah – DHHS National Institutes of Health; “Hancks K99”; $1,272,572. Nels Christian Elde, Principal Investigator.

71. University of Utah – DHHS National Institutes of Health; “Gene Discovery in African America”; $1,240,116. Sandra Hasstedt, Principal Investigator.

72. University of Utah – Northwestern University; “Casper NWU Pecarn Sub May 2015”; $1,281,223. Theron Charles Casper, Principal Investigator.

73. University of Utah – Oregon Health & Science University; “Human Placental Structure”; $1,192,038. Robert M Silver, Principal Investigator.

74. University of Utah – Saint Louis University; “Guthery SLU Sub May 2015”; $1,135,356. Stephen L Guthery, Principal Investigator.

75. University of Utah – NIH National Institute Child Health & Human Development; “LAI R01 (279) NICHD June 2015”; $1,117,500. Kent Lai, Principal Investigator.

76. University of Utah – National Science Foundation; “Multi-Tensor Computations”; $1,999.040. Orly Alter, Principal Investigator.

77. University of Utah – DHHS National Institutes of Health; “Neovessel in Angiogenesis”; $1,868,750. Jeffrey A Weiss, Principal Investigator.

78. University of Utah – DHHS National Institutes of Health; “BD2K Datasets Cancer Genomic”; $1,329,899. Orly Alter, Principal Investigator.

79. University of Utah – University of Washington; “Technology-based Evaluation”; $1,068,193. Zac E Imel, Principal Investigator.

80. University of Utah – US Department of Homeland Security; “Nuclear Forensics”; $1,129,891. Luther W McDonald IV, Principal Investigator.

81. University of Utah – National Science Foundation; “Deans NSF Career”; $1,117,500. Tara Lynn Deans, Principal Investigator.

82. University of Utah – NIH National Institute Environmental Health Science; “P450 Metabolish In Lungs”; $3,521,220. Christopher A Reilly, Principal Investigator.

83. University of Utah – DHH National Institutes of Health; “Fungal Symbionts”; $2,607,500. Louis R Barrows, Principal Investigator.

84. University of Utah – DHHS National Institutes of Health; “Coupling Gene Regulation”; $3,276,888. Kelly T Hughes, Principal Investigator.

85. University of Utah – DHHS National institutes of Health; “Responses to Telomere Loss”; $1,862,500. Kent G Golic, Principal Investigator.

86. University of Utah – National Science Foundation; “MKE BIO NSF Career”; $1,200,000. Matthew T Kieber-Emmons, Principal Investigator.

87. University of Utah – DHHS National Institutes of Health; “Recent Population History”; $1,043,000. Alan R Rogers, Principal Investigator.

88. University of Utah – DHHS national Institutes of Health; “Colocare U01”; $13,889,560. Cornelia Ulrich, Principal Investigator.

89. University of Utah – DHHS National Institutes of Health; “NN/LM RMS and National Offices”; $13,849,302. Jean Pugh Shipman, Principal Investigator.

90. University of Utah – NIH National Human Genome Research Institute; "UCEER RM1 Application"; $3,882,490. Jeffrey R Botkin, Principal Investigator.

91. University of Utah – NIH National Human Genome Research Institute; "Utah CMG"; $19,754,825. Dean Y Li, Principal Investigator.

92. University of Utah – DHHS Centers for Disease Control & Prevention; "Global Health Security with Africa"; $11,062,119. Kimberley I Shoaf, Principal Investigator.

93. University of Utah – NIH National Human Genome Research Institute; "IOBIO R01 6/5/15"; $3,695,836. Gabor R Marth, Principal Investigator.

94. University of Utah – DHHS National Institutes of Health; "Novel Nachr-Targeted Peptides"; $3,179,905. J Michael Mcintosh, Principal Investigator.

95. University of Utah – Anonymous; "Her SL-Anonymous"; $3,000,000. David Turok, Principal Investigator.

96. University of Utah – NIH National Institute of Mental Health; "Capecchi: Defective Microglia"; $2,490,420. Mario R Capecchi, Principal Investigator.

97. University of Utah – NIH National Institute on Aging; "Frailty"; $2,319,765. Qing Treitler Zeng, Principal Investigator.

98. University of Utah – Laura and John Arnold Foundation; "Her – SL – Arnold Foundation"; $2,147,730. David Turok, Principal Investigator.

99. University of Utah – NIH National Eye Institute; "Development of Synaptic Pathways"; $1,862,500. Ning Tian, Principal Investigator.

100. University of Utah – DHHS National Institutes of Health; "Mechanistic Insights"; $1,862,500. Brenda L Bass, Principal Investigator.

101. University of Utah – DHHS National Institutes of Health; "Chemokines and Viral-Induced"; $1,862,500. Thomas E Lane, Principal Investigator.

102. University of Utah – DHHS National Institutes of Health; "TCR Dependent CD4+"; $1,862,500. Matthew A Williams, Principal Investigator.

103. University of Utah – DHHS National Institutes of Health; "Drosophila Nuclear Receptors"; $1,862,500. Carl Sennrich Thummel, Principal Investigator.

104. University of Utah – NIH National Eye Institute; “Photoreceptor Ciliopathies”; $1,862,500. Wolfgang Baehr, Principal Investigator.

105. University of Utah – American Diabetes Association; “ADA Visionary Award”; $1,625,000. Balamurali Krishna Ambati, Principal Investigator.

106. University of Utah – National Aeronautics & Space Admin; “Space Grant”; $1,375,000. Joseph A Orr, Principal Investigator.

107. University of Utah – NIH Office of the Director; “Genes and Viruses”; $1,350,000. Louisa A Stark, Principal Investigator.

108. University of Utah – Howard Hughes Medical Institute; “Sherwin HHMI July 2015”; $1,200,000. Catherine M Sherwin, Principal Investigator.

109. Utah State University – US Dept. of Ag. – Agriculture & Food Research Initiative; “Functional roles of single nucleotide polymorphism genetic markers of mastitis”; $2,421,284. Zhongde Wang, Principal Investigator; Jacqueline Larose, David Wilson, Keery Rood, Co-Principal Investigators.

110. Utah State University – US Dept. of Health & Human Services-NIH; “Host Factors Required for Japanese Encephalitis virus Replication”; $1,974,540. Young-Min Lee, Principal Investigator, Sang-Im Yun, Co-Principal Investigator.

111. Utah State University – UT Dept. of Human Services – Child and Family Services; “DHS/DCFS Title IV-E Training Project Continuation”; $2,951,737. Derrik Tollefson, Principal Investigator, Dian Calloway-Graham, Co-Principal Investigator.

112. Utah State University – US Department of Health & Human Services-NIH; “Long-term trajectories of subjectively and polysomnographically assessed sleep”; Eric Reither, Principal Investigator.

113. Utah State University – US Department of Defense-DARPA; “Developing Technologies to Select for Host Resilience”; $2,945,082. Dale Barnard, Principal Investigator.

114. Utah State University – Utah Department of Health; “Up to 3 Early intervention”; $1,161,895. Susan Olsen, Principal Investigator.

115. Utah State University – Utah Department of Workforce Services; “CCPDI FY 16”; $1,927,773. Ann Austin, Principal Investigator.

116. Utah State University – US Department of Agriculture (USDA); “Multi-Disciplinary Methods for Effective, Sustainable, and Scalable Evaluations”; $1,626,526. Carrie Durward, Principal Investigator, Paula Scott, Mateja Savoie, Heidi Leblanc, Co-Principal Investigator.

117. Utah State University – US Department of Health & Human Services-Office of Family Assistance; “Health and Human Services-Office of Family Assistance”; $7,632,725. Brian Higginbotham, Principal Investigator, Linda Skogrand, Co-Principal Investigator.

118. Utah State University – US Department of Health & Human Services-Office of Family Assistance; “Healthy Relationships Utah”; $9,995,237. Brian Higginbotham, Principal Investigator, Linda Skogrand, Co-Principal Investigator.

119. Utah State University – Harris Corporation, Government Communications Systems Division; “CPS Integration”; $1,964,139. Matt Cupal, Principal Investigator.

120. Utah State University – NASA Marshall Space Flight Center; “Secondary Payload Avionics Box Development”; $1,920,924. Tim Neilsen, Principal Investigator.

121. Utah State University – Revision – Orbital Sciences Corporation; “Gladiator Wide Field of View Telescope”; $220,936.00

122. Utah State University – Raytheon Gorp General; “Ground Segment Modernization Program”; $2,938,247. Kirk Larsen, Shane Jenkins, Principal Investigator.

123. Utah State University – Raytheon Corp General; “Sky Lynx – Global Hawk”; $1,187,500. Bennett Keller, Principal Investigator.

124. Utah State University – US Agency for International Development (USAID); “Accelerating the Sustainable Development of Animal source Food Value Chains in F”; $19,000,000. Layne Coppock, Principal Investigator, Kerry Rood, Heidi Leblanc, Deevon Bailey, Co-Principal Investigator.

125. Utah State University – US Department of Education; “Educational Service to the Four Corners through Technology and Innovation”; $1,803,947. Virgil Caldwell, Principal Investigator, Heather Young, Co-Principal Investigator.

126. Utah State University – Child & Family Support Center; “Utah Association for Child and Family Support Centers”; $2,883,816. Vonda Jump, Principal Investigator, W. David Robinson, Mark Innocenti, Co-Principal Investigator.

127. Utah State University – US Department of Education – Institute of Education Sciences; "An Efficacy Trial of Providing Explicit and Scaffolded Professional Development"; $1,138,778. Sarah Clark, principal Investigator, Jennifer Knight, Cindy Jones, Co-Principal Investigator.

128. Utah State University – US Department of Education – Institute of Education Sciences; "Randomized Controlled Trials of the Supporting Knowledge in Language and Literacy"; $3,499,780. Ron Gillam, Principal Investigator, Sandra Gillam, Co-Principal Investigator.

129. Utah State University – US Department of Education – Office of Postsecondary Ed; "national Center for Information and Technical Support for Postsecondary Students"; $2,475,000. John Copenhaver, Principal Investigator.

130. Utah State University – US Department of Education – Office of Postsecondary Education; "Aggies Elevated at Utah State University: Expansion of Postsecondary Program"; $1,065,091. Robert Morgan, Principal Investigator, Jefferson Sheen, Co-Principal Investigator.

131. Utah State University – Revision – Exelis Inc; "Radiation Budget Instrument Calibration"; ($-1,893,515). Joel Cardon, Principal Investigator.

132. Utah State University – University of California at Berkeley; "Far Ultraviolet (FUV) Imager"; $2,016,371. Jed Hancock, Principal Investigator.

133. Utah State University – Missile Defense Agency; "Dugway Proving Group (DPG) Lidar Systems"; $2,024,690. Mike Wojcik, Principal Investigator.

C. Awards

1. University of Utah – HRSA Maternal & Child Health Bureau; "Training Long Term-Lend Neurodevelopmental Disabilities"; $1,567,283. Sarah Winter, Principal Investigator.

2. University of Utah – DOE national Nuclear Security Admin; "PSAAPII"; $2,900,000. Philip J Smith, Principal Investigator.

3. University of Utah – Army Research Office; "Alliance for Multiscale Modeling of Electronic materials"; $1,050,000. Martin Berzins, Principal Investigator.

4. Utah State University – South Dakota Department of Education; "South Dakota Technical Assistance, Dispute Resolution Consortium, and Data Project"; $1,258,735. John Copenhaver, Principal Investigator.

5. Utah State University – Nava Research Lab; "Naval Research Laboratory (NRL) Intelligence, Surveillance, and Reconnaissance Systems (ISRS) Task Order 0001 – NCMIFTI"; $1,370,000. Darin Partridge, Principal Investigator.

D. Academic Items Received and Approved

1. New Programs
   - Southern Utah University – Certificate of Completion in General Education.

2. Administrative Unit Consolidation
   - Southern Utah University – Department of Integrated Engineering and Department of Engineering Technology and Construction Management *combined* to become Department of Engineering and Technology

3. New Center
   - Southern Utah University – American Language and Culture Center

4. Program Restructure and Name Change
   - Snow College – Associate of Applied Science in Cosmetology/Barbering to Associate of Applied Science in Salon Business Technology
   - Snow College – Certificate of Completion in Cosmetology to Certificate of Completion in Cosmetology/Barbering Technology

5. Name Change
   - Utah State University – Specialization within the Master of Business Administration from Manufacturing Management to Shingo Operational Excellence

6. Seven-Year Review
   - Southern Utah University – Department of Communication
   - Southern Utah University – Department of English
   - Southern Utah University – Department of History, Sociology, and Anthropology
   - Southern Utah University – Department of Languages and Philosophy
   - Southern Utah University – Department of Political Science and Criminal Justice
   - Southern Utah University – Department of Psychology

7. Correction to May 2015, State Board of Regent, General Consent Calendar
   New Program Name Change
   FROM:
   - The University of Utah – Emphasis in Community Engagement and Nonprofit Leadership in BS in Political Science

TO:

- The University of Utah – Emphasis in Community Involvement and Nonprofit leadership in BS in Political Science

David L. Buhler
Commissioner of Higher Education

DLB/LO
Attachment

DRAFT

STATE BOARD OF REGENTS
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH
HUNTER CONFERENCE CENTER
FRIDAY, JULY 31, 2015

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  - Utah State University – Doctor of Philosophy in Neuroscience TAB C
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  - Weber State University – Master of Science in Nursing – Nurse Practitioner
  - Southern Utah University – Master of Science in Cyber Security and Information Assurance
  - Dixie State University – Bachelor of Science in Exercise Science
  - Policy R411 – Cyclical Institutional Program Review
  - Technology Initiative Advisory Board – Funding Allocations from the 2015 Legislative Session

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  - Utah State University – Student Fee and Housing System Series 2015 Revenue Bond Issue
  - Utah State University – Space Dynamics Laboratory Series 2015 Revenue Bond Issue
  - Utah State University – Property Purchase in Moab, Utah
  - Utah State University – Biological Science Building Project Design Approval
  - Dixie State University – East Elementary School Block Property Purchase
  - University of Utah – Orson Spencer Hall Replacement and Prior Lien Bond Refunding Series 2015C Revenue Bond Issue

DRAFT

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Southern Utah University – Center for the Arts Project Update
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DRAFT

STATE BOARD OF REGENTS
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH
HUNTER CONFERENCE CENTER
FRIDAY, JULY 31, 2015

COMMITTEE OF THE WHOLE
MINUTES

Regents Present
Daniel W. Campbell, Chair
France A. Davis, Vice Chair
Jesselie B. Anderson
Nina R. Barnes
Bailey Bowthorpe
Leslie Brooks Castle
Wilford W. Clyde
Marlin K. Jensen
Patricia Jones
Robert S. Marquardt
Steve Moore
Jefferson Moss
Robert W. Prince
Harris H. Simmons
Mark R. Stoddard
Teresa L. Theurer
Joyce P. Valdez
John H. Zenger

Regents Absent

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

Institutional Presidents Present
David W. Pershing, University of Utah
Charles A. Wight, Weber State University
Scott L Wyatt, Southern Utah University
Gary L. Carlston, Snow College
Matthew S. Holland, Utah Valley University
Richard B. Williams, Dixie State 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 7:30 a.m. with a breakfast meeting; they were joined by the Southern Utah University Board of Trustees. Following breakfast there was a short break. This was followed by board committee meetings.

Chair Campbell called the meeting to order at 11:15 a.m. He recognized new student regent Bailey Bowthorpe and new regents Pat Jones and Steve Moore. He also recognized Steve Lund, who has not yet been confirmed and is out of the county.

State of the University

President Wyatt gave a presentation on the state of Southern Utah University (SUU). SUU received the largest gift in school history from the Dixie Anne Leavitt Foundation; $7.5 million. President Wyatt played a trailer of a video that SUU created about the history of SUU and then discussed the new strategic plan that includes three major building blocks; new students, learning, and student success.

Appointment of Loreen Olney as Secretary to the Board of Regents (TAB X)

Commissioner Buhler gave a brief description of the process of the appointment of Loreen Olney as his Executive Assistant and recommended her as Secretary to the Board of Regents. Vice-chair Davis moved to approve, Regent Barnes seconded and the motion was carried.

Oath of Office

Bailey Bowthorpe, Patricia Jones, Steve Moore

Having been appointed to the Board of Regents, Bailey Bowthorpe, Patricia Jones and Steve Moore took the oath of office.

Open Meetings Training

Commissioner Buhler provided the training on open meetings.

General Consent Calendar (TAB Y)

On a motion by Regent Zenger, and seconded by Regent Simmons the following items were approved on the Regents' General Consent Calendar:

A. Minutes – Minutes of the Board meeting May 15, 2015, Salt Lake Community College, Salt Lake City, Utah.
B. Grant Proposals
C. Awards
D. Academic Items Received and Approved

Approval of 2015-2016 USHE Performance Funding Model and Allocation (TAB R)

Commissioner Buhler gave a brief history on the funding since 2013. Allocations for funding include five metrics as outlined by SB 232. A five year rolling average was used for each metric (attachments include details). He noted that this was discussed in great detail in the Finance & Facilities Committee. Senator Urquhart acknowledged work done by the Commissioner's office and Regents and thanked them for their efforts. Chair Campbell thanked Senator Urquhart for his support and leadership, and is hopeful

that we can increase funding as we move forward. Regent Marquardt moved to approve, was seconded by Regent Davis and motion carried.

Completion Strategy Five: Reverse Transfer and Stackable Credentials (TAB Z)

Commissioner Buhler reviewed the background of stackable credentials. Reverse transfer is the idea of being able to receive an associate degree along the way towards a bachelor degree. Utah leads the nation in students with some college but no degree. Commissioner Buhler noted a credential is what is most important to students. In Utah, more than half the students attend more than one institution before they graduate. Motion to approve by Regent Theurer, seconded by Regent Zenger, motion carried.

Issues from State Board of Education

Chair Campbell asked Regent Moss and Regent Castle to share their perspective on issues with the State Board of Education. Regent Moss stated there has been a lot of discussion about the communication between the Regents and the Board of Education. Several initiatives are being worked on to improve dialogue between the groups. The Board of Education is working on a strategic plan that is research and data driven and would like to have the Regents input. Regent Castle said she would like to see the two groups partner on defining several issues; what is the biggest indicator of instructional quality in the classroom, what type of data do you trust most when considering whether a student has learned, what does education equality mean, what can a principal do to make a school successful, what makes an effective teacher, and how should state government measure teacher quality. Chair Campbell thanked Regent Moss and Castle for sharing their thoughts and asked Commissioner Buhler for his. Commissioner Buhler stated the commissioner's office is actively engaged in this issue. Associate Commissioner Hitch will be participating in a national teacher education project she feels will be helpful as we move forward. Chair Campbell stated we would have follow up at a later date as this is an important issue.

Reports of Board Committees

Academic and Student Affairs Committee

University of Utah – Doctor of Philosophy in Population Health Science with Emphases in Biostatistics and Health Systems Research TAB A

It was moved by Regent Prince to approve the degree as outlined in TAB A. The motion was seconded by Regent Stoddard and the motion carried.

Utah State University – Bachelor of Science in Outdoor Product Design & Development TAB B
Utah State University – Doctor of Philosophy in Neuroscience TAB C

Regent Prince noted both degrees as outlined in TAB B and C were unanimously approved by the Academic and Student Affairs committee and moved to approve. The motion was seconded by Regent Theurer and the motion carried.

Weber State University –Bachelor of Science and Master of Science in Computer Engineering TAB D
Weber State University – Master of Science in Nursing – Nurse Practitioner TAB E

Regent Prince noted the programs as outlined in TAB D and E were unanimously approved in committee and moved to approve. The motion was seconded by Regent Valdez and the motion carried.

Southern Utah University – Master of Science in Cyber Security and Information Assurance TAB F
Regent Prince moved to approve the degree as outlined in TAB F. The motion was seconded by Regent Stoddard and the motion carried.

Dixie State University – Bachelor of Science in Exercise Science TAB G
Regent Prince moved to approve the degree as outlined in TAB G. The motion was seconded by Regent Theurer and the motion carried.

Policy R411 – *Cyclical Institutional Program Reviews* TAB H
It was moved by Regent Prince and seconded by Regent Jones to approve the revisions to R411 as outlined in TAB H. The motion carried.

Technology Initiative Advisory Board – Funding Allocations from the 2015 Legislative Session TAB I
Regent Prince moved to approve the Funding Allocations from the 2015 Legislative Sessions as outlined in TAB I. Regent Theurer seconded and the motion carried.

Chair Campbell expressed appreciation for those who worked on the above items

Finance/Facilities Committee

Utah State University – Student Fee and Housing System Series 2015 Revenue Bond Issue TAB K
Regent Marquardt briefly reported on this item and moved to approve TAB K as outlined. Regent Simmons seconded and the motion carried.

Utah State University – Space Dynamics Laboratory Series 2015 Revenue Bond Issue TAB L
Regent Marquardt noted this has been a highly successful project and is the first of four buildings. Regent Marquardt moved to approve TAB L as outlined, Regent Anderson seconded and the motion carried.

Utah State University – Property Purchase in Moab, Utah TAB M
Regent Marquardt noted this is to purchase 3 parcels of land, 1.2 acres, and is contiguous to the Moab education center USU operates. The purchase price of $750,000 will be provided by Utah State Regional Campus tuition and fee revenues. Regent Marquardt moved to approve TAB M as outlined. Regent Barnes seconded and the motion carried.

Utah State University – Biological Science Building Project Design Approval TAB N
Regent Marquardt reported this request is to spend over 4 million on the programming and design of this building. The committee had a lengthy discussion and asked USU to move forward with just the programming part of the plan, which would cost a few hundred thousand dollars and hold off on the design portion, allowing for the Commissioner's staff and President's to review current process of requesting design funds. If the decision is made to continue current process, USU would be able to bring the design portion back to the Regents for approval. Regent Marquardt made a motion to move forward with the programming for the Biological Science Building in the amount of up to $600,000, but not yet the

design, with the possibility that USU could ask for the funds for the design portion at the September Board of Regents meeting. Regent Zenger seconded the motion and the motion carried.

Dixie State University – East Elementary School Block Property Purchase TAB O
Regent Marquardt briefly reported on this item. This property is contiguous to DSU and is being brought to the Regents because DSU received an appraisal of $100,000 and the seller's appraisal is $122,500.

Regent Marquardt believes the seller's appraisal is probably more accurate and recommends approval. Regent Simmons seconded and the motion carried.

University of Utah – Orson Spencer Hall Replacement and Prior Lien Bond Refunding Series 2015C Revenue Bond Issue TAB P
Regent Marquardt briefly reported on this item and moved to approve TAB P as outlined. Regent Barnes seconded and the motion carried.

2014-2015 USHE Performance Funding Allocations TAB Q
Regent Marquardt briefly reported on this item and noted each institution has submitted the results of their efforts to meet specific targets. Regent Marquardt moved to approve as outlined in TAB Q. Regent Anderson seconded and the motion carried.

2015-2016 USHE Performance Funding Model and Allocations TAB R
See Committee of Whole

Southern Utah University – Center for the Arts Project Update TAB S
Regent Marquardt reported briefly on this information item; no action was taken.

University of Utah – Series 2015 Certificates of Participation Refunding TAB T
Dixie State University – Series 2015 Student Housing Project Revenue Bond TAB U
Utah State University – Series 2015 Romney Stadium Westside Renovation Revenue Bond TAB V
Regent Marquardt noted these items are information only; no action was taken.

Utah State Auditor Report on Athletics Revenue Subsidization TAB W
Regent Marquardt reported briefly on this information item; no action was taken.

Resolutions of Appreciation

Jim T. Evans
Regent Davis read a resolution of appreciation for James T. Evans and his years of service on the Board of Regents and moved the adoption of the resolution. Regent Clyde seconded the motion and it carried unanimously.

Chair Campbell made note of the new committees.

It was moved by Regent Stoddard and seconded by Regent Davis 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 Board of Regents met in Executive Session until 1:30 p.m.

_____
Loreen Olney, Executive Secretary

Date Approved: September 18, 2015

UTAH SYSTEM OF HIGHER EDUCATION
Building a Stronger State of Minds

State Board of Regents
Board of Regents Building, The Gateway
60 South 400 West
Salt Lake City, Utah 84101-1284

Phone 801.321.7101
Fax 801.321.7199
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www.higheredutah.org

September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State Board of Regents 2016-2017 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 2016-2017 academic year is attached for Board approval. The proposed meeting dates are as follows:

- July 14 & 15, 2016
- September 15 & 16, 2016
- November 18, 2016
- January 20, 2017
- March 31, 2017
- May 19, 2017

Commissioner's Recommendation

The Commissioner recommends the approval of the proposed State Board of Regents meeting schedule for the academic year 2016-2017.

_____
David L. Buhler
Commissioner of Higher Education

DLB/LO
Attachment

DRAFT

UTAH SYSTEM OF HIGHER EDUCATION

Building a Stronger State of Minds℠

UTAH STATE BOARD OF REGENTS
2016-2017 MEETING SCHEDULE

Thursday, July 14, 2016	7:30 AM - 5:00 PM	
Friday, July 15, 2016	7:30 AM - 5:00 PM	Southern Utah University
Thursday, September 15, 2016	12:00 – 5:00 PM	
Friday, September 16, 2016	7:30 AM - 5:00 PM	Utah State University
Friday, November 18, 2016	7:30 AM - 5:00 PM	Utah Valley University
Friday, January 20, 2017	7:30 AM - 5:00 PM	University of Utah
Friday, March 31, 2017	7:30 AM - 5:00 PM	Dixie State University
Friday, May 19, 2016	7:30 AM - 5:00 PM	Salt Lake Community College

Schedule is subject to change.
Board of Regents approval date: September 18, 2015

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Institutional State-Funded Capital Development Projects for 2016-17

Background

As part of its statutory duty, the Board of Regents reviews capital development project requests each year for the purpose of assigning priorities based on the most pressing and critically needed requests. The projects included in the request for 2016-17 funding are as follows:

- University of Utah – Medical Education & Discovery (MED)/Rehabilitation Hospital
- Utah State University – Biological Sciences Building
- Weber State University – Social Sciences Building Renovation
- Southern Utah University – New and Repurposed Business Building
- Dixie State University – Human Performance/Student Wellness Center
- Utah Valley University – Performing Arts Building
- Salt Lake Community College – Career & Technical Education Center at Westpointe

Summaries of the requested projects are attached for your information. Following the institutional presentations of these projects to the Regents, the Capital Facilities Committee will meet to deliberate the merits of the projects, based on their site visits to each applicable campus and the project scoring done by OCHE in accordance with Board policy. They will then recommend assignment of "Priority Points" and Project rankings to the full Board. The Board will review the Committee recommendations, deliberate the merits of each project, and then formally establish the final USHE project rankings for submission to the Governor, the State Building Board, and the Legislature for funding consideration.

Enclosed are two charts that display the *square footage per FTE student* numbers for each of the USHE institutions. The charts provide a generalized picture - by category type - of facilities space at each of the institutions. The "USHE Total Square Feet" chart summarizes four space categories, including academic space, offices & conference rooms, research labs, and special/general use space. The "USHE Academic Square Feet" chart shows the detail of academic space, including classrooms, teaching and open labs, and library/study space.

Commissioner's Recommendation

The Commissioner recommends that the Regents become knowledgeable about the institutional project requests to prepare to discuss them based on the merits of each in the context of the highest and most pressing needs in USHE, and to assure judicious decisions are made when acting on the recommendations subsequently presented by the Regents' Capital Facilities Committee.

_____

David L. Buhler
Commissioner of Higher Education

DLB/GLS/RPA

UNIVERSITY OF UTAH – MEDICAL EDUCATION & DISCOVERY(MED)/REHABILITATION HOSPITAL

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
$50.0 M	$237.0 M	$287.0 M	$470,600

Project Space - Gross Square Footage		
New	Renovated	Demolished
500,000	0	639,000

The University requests two buildings – a Medical Education and Discovery (MED) building and a Rehabilitation Hospital – to replace the existing School of Medicine and Medical Research Education buildings. These two buildings will adjoin a third, previously approved, non-state funded, Ambulatory Care Complex (ACC) to form a three building Medical Education and Discovery Complex.

This project supports the University's mission to deliver quality healthcare education and healthcare in Utah by providing significant improvements in the level of clinical and rehabilitation care. It will integrate clinical care, population health and informatics, and education experiences for medical and other health professions students who will serve in the state's health care workforce. Recent studies indicate that the existing buildings have reached the end of their useful life and must be demolished and replaced. The Inpatient Rehabilitation Unit requires more than double the existing space to meet State regulations.

The MED will consist of 190,000 gross square feet (GSF) for the teaching and training of health science professionals and 160,000 GSF for a Discovery Center and Global Health Institute to develop new technologies based on collaborative research and to provide global outreach. The 150,000 GSF Rehabilitation Hospital will contain inpatient facilities to accommodate 55 patients and shelled space for an additional 20 patients for future growth. It will also include therapy, clinic, administrative, and public space.

UTAH STATE UNIVERSITY – BIOLOGICAL SCIENCES BUILDING

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
$59.0 M	$10.0 M	$69.0 M	$1,199,535

Project Space - Gross Square Footage		
New	Renovated	Demolished
113,000	76,000	0

This project will provide a new 103,000 GSF Biological Sciences Building containing state-of-the-art laboratory and classroom space in addition to a 86,000 GSF remodel and expansion of the existing facility. It will foster improved teaching, research, and collaboration among faculty, students, and administration in the biological sciences. The current facility, built in the 1950s, is ill equipped to meet modern laboratory needs, over-crowding from student demand, research opportunities for undergraduates, or research space for graduate students and faculty.

Beyond new teaching and research laboratories, the Biological Sciences Building will also provide new centrally scheduled classroom space available to all academic units on campus, including three new lecture halls, three standard mid-sized classrooms, and several seminar teaching rooms. It will be located adjacent to the existing facility, which will be repurposed to support teaching functions that do not require the sophisticated research infrastructure that the new building will provide. A science library, research display space, and student study space are also included in the project.

Remodeling of the existing facility will also include replacement of mechanical systems, seismic bracing, upgrading the building envelope, upgrading of restrooms to meet ADA requirements, and new stair enclosures and elevators. The project also includes a 10,000 GSF addition that includes expansion of the restrooms, exit stair enclosures, new passenger elevator, student study space, and a new lobby.

WEBER STATE UNIVERSITY – SOCIAL SCIENCES BUILDING RENOVATION

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
$32.968 M	$0 M	$32.968 M	$396,163

Project Space - Gross Square Footage		
New	Renovated	Demolished
13,000	106,322	0

The Social Sciences Building, completed in 1973, houses the Departments of History, Anthropology, Criminal Justice, Geography, Political Science and Philosophy, Psychology, Social Work and Sociology and continues to be one of the most heavily used academic instruction buildings on the campus. Beyond improving the academic space for the College of Behavior and Social Science, the renovation will provide modern classroom space for the entire WSU campus.

The project will extensively renovate the interior of the facility, including all interior partitions, electrical, heating and air conditioning systems, and plumbing. It will strengthen basic structural elements to meet current seismic code requirements, address ADA deficiencies, and reconfigure the interior to more effectively meet current and projected academic requirements. Where appropriate and feasible, additional daylight will be incorporated into the design to make the facility more energy efficient and user-friendly.

Approximately 13,000 square feet of "porch" area around the perimeter of the first floor will be incorporated into office, classroom, study and lab spaces. The project will also include multi-media classrooms, study rooms, reconfigured faculty offices, faculty preparation rooms and workrooms, upgraded restrooms, and improved circulation.

SOUTHERN UTAH UNIVERSITY – NEW AND REPURPOSED BUSINESS BUILDING

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
$7.0 M	$9.0 M	$16.0 M	$349,000

Project Space - Gross Square Footage		
New	Renovated	Demolished
42,000	26,123	0

The needs of a modern business teaching facility have outpaced the ability to retrofit the current Dixie Leavitt Business Building constructed in the 1980s. The existing building, while structurally sound, has outdated classrooms, undersized faculty offices, energy inefficient mechanical infrastructure, and inadequate technology infrastructure. This project will provide classrooms, seminar rooms, advanced-business computing labs, graduate assistant work-study areas, break-out/study rooms, an academic advising suite, and additional faculty offices.

The School of Business has doubled in students and faculty since the 1980s and has added Masters Degrees in Business Administration and in Accountancy. To compensate for this increased student enrollment, the existing business building is heavily scheduled and utilized, with most graduate courses taught in the afternoons and evenings.

Upon completion of the new business building, the existing facility will undergo a remodel that will bring the facility up to date and mitigate its current shortcomings. The building will then be able to serve the campus community for many years as a location for a variety of student resource functions that are currently spread across campus and off-campus.

DIXIE STATE UNIVERSITY – HUMAN PERFORMANCE/STUDENT WELLNESS CENTER

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
$39.5M	$10.0M	$49.5M	$962,158

Project Space - Gross Square Footage		
New	Renovated	Demolished
150,000	0	0

This project will provide needed classroom and office space for health, human performance, and other academic programs. The new facility will support academic offerings in: exercise science, health promotion, community recreation and sports management, athletic training, and physical education teacher education. It will provide for future programs to meet Washington County workforce needs (hospitality and tourism, fitness and lifestyle management) and a partnership program with the UofU in Physical Therapy, Occupational Therapy, and Physician Assistant.

The facility will also include basketball courts, an Olympic sized swimming pool, an indoor track, a climbing wall, spectator areas, and a fitness center with locker rooms in addition to a Student Health and Mental Wellness Center. DSU students will support these portions of the facility with an existing student building fee that will contribute $2.5 million and revenue to support an $8 million bond.

The existing facilities at DSU are obsolete and inadequate to address new academic programs and health and wellness services needed to support its university status and continuing growth. The current Student Activities Center was completed in 1957 and consists of a single gymnasium floor, bleachers and locker rooms. The fitness center and small outdoor pool were completed in1987 as part of an old convention center. The Wellness Center is an old residence built in the1950s located several blocks from campus.

UTAH VALLEY UNIVERSITY – PERFORMING ARTS BUILDING

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
$30.0M	$20.4 M	$50.4M	$1,168,000

Project Space - Gross Square Footage		
New	Renovated	Demolished
140,000	0	7,977

This new facility will provide a home for the School of Arts departments (Dance, Theater, Music, Visual and Tactile Arts) and programs that are currently housed in one of the original 1979 UTC/UVCC buildings. The School of Arts currently serves more than 2,000 majors and provides course for an additional 17,500 students each year. A new facility is needed to showcase student artistic achievement and provide a community gathering place for the arts.

Existing facilities permit sound transfer throughout, which hampers effective teaching and learning. Individual students' practice rooms are severely limited, offices and studios do not meet faculty or student needs, and public performances or exhibits of any kind are difficult and often impossible to present.

The new building will include galleries, classrooms, practice facilities, an 800-seat concert hall, a 150-seat dance recital hall, and a 150-seat music recital hall. A commons area/foyer with a box office and events marketing suite will serve the public performance facilities. Instrument storage and repair facilities, equipment lockers, dressing rooms, physical training and conditioning facilities, off-stage green rooms, and music practice rooms will also serve student needs. The outside of the building will mirror traditional campus design and connect with adjacent buildings through a covered walkway.

SALT LAKE COMMUNITY COLLEGE – CAREER & TECHNICAL EDUCATION CENTER AT WESTPOINTE

Project Cost Estimates				
Current State Funds Request	Prior State Funding	Other Funds	Total Project Cost*	O&M Funds
$38.716 M	$3.0 M	$0.250 M	$41.966 M	$1,080,492

Project Space - Gross Square Footage		
New	Renovated	Demolished
120,963	0	0

The Career and Technical Education Center at Westpointe will consolidate Career and Technical Education (CTE) programs into one location and provide sufficient space to expand business and industry partnerships in the areas of advanced manufacturing technology. The project will enhance programmatic efficiency and broaden access to programs by providing needed space for current and future enrollments.

The existing Meadowbrook Campus consists of three permanent buildings and two portables. The proposed facility will enable the College to develop and house new programs that cannot be initiated because of a lack of lab space (Industrial Robotics Technician, Mechatronics Technician, Meteorology). The project will contain additional classrooms, large-bay teaching labs, study space, and office and conference room space for faculty and staff support.

The existing facilities pose challenges for delivery of many current programs as the structures are inflexible and inefficient. Many walls have minimal energy retrofitting and the roofs were built in several phases using various weak structural systems that do not exist anymore. Without major replacement, the mechanical and electrical systems that serve the buildings cannot be expanded or modified, and are failing. This facility will be repurposed through a partnership with the Utah Department of Workforce Services, USU, and Salt Lake County to provide services and education for refugees.

Guideline Based Points — ***0-10 Points***

Critical Programmatic and Infrastructure Needs — 10 Points

- Imminent threats to daily operations and program delivery
- Extraordinary economic development/competitive opportunities
- Enhancement of critical programs (science, engineering, etc.)
- Facilities needs to achieve 2020 Plan goals

High Priority Issues

- Strategic planning & emerging time-sensitive opportunities
  Branch and satellite campus development
  Significant changes in role and mission
  Mergers and partnerships
- Operational and programmatic efficiency
  Sustainability (energy conservation and efficiency)
  Operational efficiency (optimization of O&M costs)
  Innovative and cost effective delivery of academic programs
  Improved space utilization
  Eliminate functional obsolescence of equipment and space

— 5-8 Points

Fulfills a Non-Critical Need — 3 Points

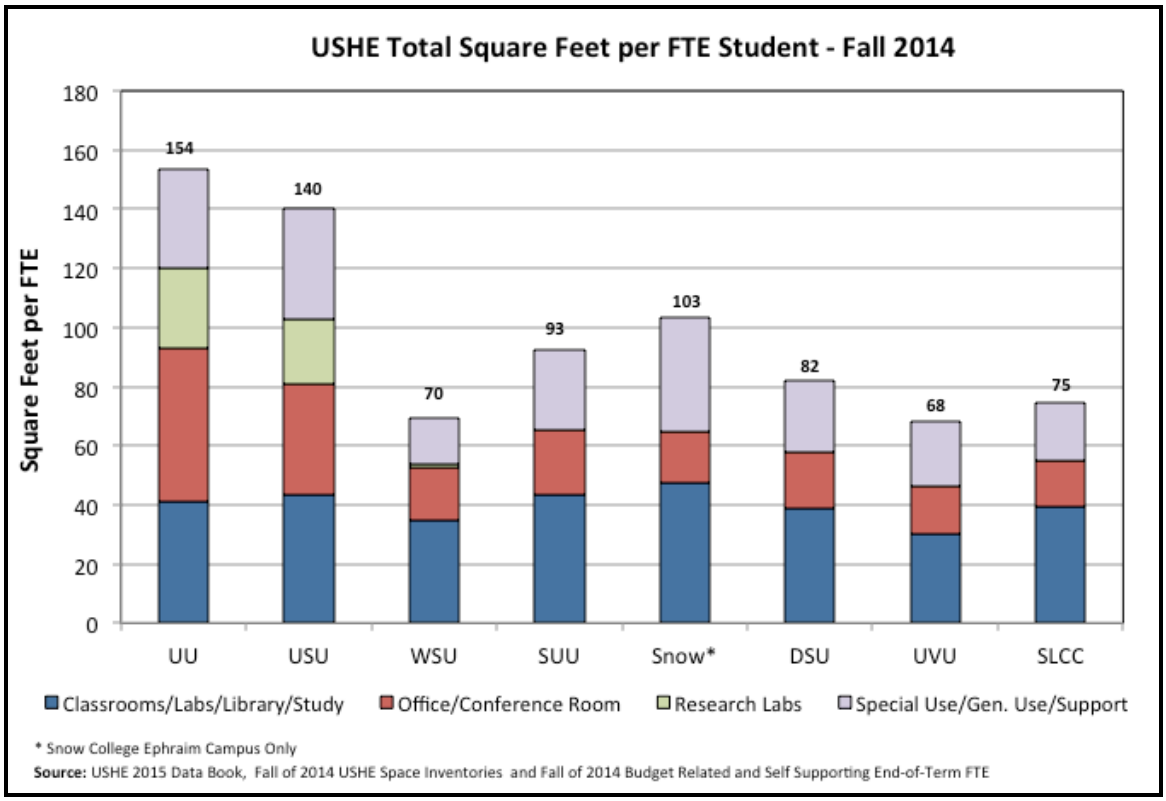
Core programmatic enhancement
Strengthen program deficiencies

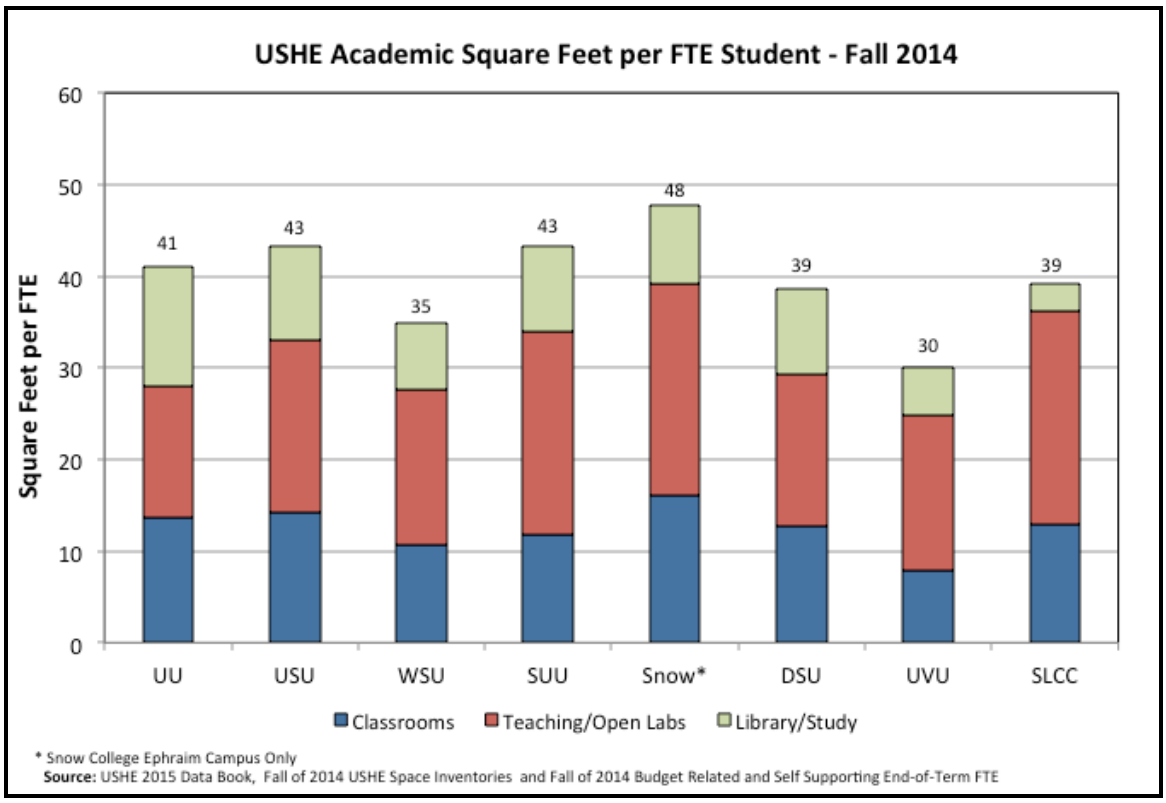
Project Does Not Qualify for Regents' Priority Points — 0 Points

Discretionary Points — ***0-15 Points***

These points are designed to position institutions to further develop and enhance their assigned missions and roles (see R741.3.4.1). It also is the intent of the Regents to give appropriate consideration to projects that respond straightforwardly in helping to achieve the goals and recommendations of the *HigherEdUtah 2020 Plan*. Consideration will also be given, where deemed to be appropriate, to projects with prior approved Legislative planning funding.

Total Regents Discretionary Points — ***25 Points***


USHE Total Square Feet per FTE Student - Fall 2014
Square Feet per FTE
180
160
140
120
100
80
60
40
20
0
154
140
70
93
103
82
68
75
UU
USU
WSU
SUU
Snow*
DSU
UVU
SLCC
Classrooms/Labs/Library/Study
Office/Conference Room
Research Labs
Special Use/Gen. Use/Support
* Snow College Ephraim Campus Only
Source: USHE 2015 Data Book, Fall of 2014 USHE Space Inventories and Fall of 2014 Budget Related and Self Supporting End-of-Term FTE


USHE Academic Square Feet per FTE Student - Fall 2014
Square Feet per FTE
60
50
40
30
20
10
0
41
43
35
43
48
39
30
39
UU
USU
WSU
SUU
Snow*
DSU
UVU
SLCC
Classrooms
Teaching/Open Labs
Library/Study
* Snow College Ephraim Campus Only
Source: USHE 2015 Data Book, Fall of 2014 USHE Space Inventories and Fall of 2014 Budget Related and Self Supporting End-of-Term FTE

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September 9, 2015

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Institutional Non-State Funded Capital Development Projects and Land Bank Requests for 2016-17

Background

In addition to the state-funded projects reviewed and recommended by the Regents for funding each year, the Regents also deliberate capital development needs in two other categories:

- Projects funded entirely with non-state appropriations (private donations, revenue bonds, federal funds, et al.) that require Regent and legislative approval
- Land bank purchases for future expansion

Only one non-state funded project was submitted by the USHE institutions for consideration by the Regents as a 2016 legislative session request. This project needs legislative authorization for bonding, but is not requesting future state-appropriated operation and maintenance (O&M) dollars. The project is summarized in the attachment. No land banking requests were submitted for consideration.

- University of Utah – David Eccles School of Business Executive Education Center

Commissioner's Recommendation

The Commissioner recommends that the Regents review this project carefully and recommend it for legislative action if it is deemed to be appropriate.

_____
David L Buhler
Commissioner of Higher Education

DLB/GLS/RPA
Attachment

UNIVERSITY OF UTAH – DAVID ECCLES SCHOOL OF BUSINESS EXECUTIVE EDUCATION CENTER

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
$50.0 M	150,000	$0	Donated Funds & Bonding

This new Executive Education Building will become the home for the Executive Master of Business Administration (MBA) program and Career Services that are currently housed in the C. Roland Christensen Center (CRCC) and the Spencer Fox Eccles Business Building (SFEBB). Moving these programs out of existing buildings will allow them to be even more useful for expanding undergraduate and non-MBA graduate program growth.

The building will be a core academic facility consisting of classrooms, collaborative program spaces, faculty and staff offices, and student lounges and will also be conducive to receiving and hosting business executives. It will enable the School to meet goals of decreasing class size from 66 towards the industry average of 44. O&M funding for the building will be provided from the existing estimated $403,500 of O&M funding for Milton Bennion Hall, which is scheduled to be demolished. Any additional funding required for O&M will be provided from executive education program revenues.

The major source of capital funding for the project will be $30 million of donated funds, $16 million of which has been committed to date. The remaining $20 million will come from a revenue bond to be defeased with funds from projected growth in the Executive and MBA programs that will be housed in this facility.