

STATE BOARD OF REGENTS
UNIVERSITY OF UTAH
ALUMNI HOUSE
THURSDAY/FRIDAY SEPTEMBER 20-21, 2018

AGENDA
Thursday September 20, 2018

12:00 – 1:30 PM LUNCH PROVIDED FOR REGENTS AT THE UNIVERSITY OF UTAH
PRESIDENTIAL INAUGURATION SYMPOSIUM
Location: OC Tanner Charitable Trust Ballroom – A&B

1:30 – 4:00 PM COMMITTEE OF THE WHOLE
Location: OC Tanner Charitable Trust Ballroom - C

1. Presentation of State Funded Capital Development Projects

TAB A

AGENDA
Friday September 21, 2018

7:30 – 8:50AM BREAKFAST MEETING – STATE BOARD OF REGENTS, UNIVERSITY OF UTAH
BOARD OF TRUSTEES, PRESIDENT WATKINS, COMMISSIONER BUHLER
Location: OC Tanner Charitable Trust Ballroom - C

9:00 – 10:00 AM DISCUSSION – REGENTS, COMMISSIONER, PRESIDENTS
Topic: Strategic Plan Metrics
Location: OC Tanner Charitable Trust Ballroom - C

10:00 AM – 10:15 AM TRANSITIONAL BREAK

10:15 AM – 11:15 PM MEETINGS OF BOARD COMMITTEES

TAB B

ACADEMIC AND STUDENT AFFAIRS COMMITTEE
Regent Teresa L. Theurer, Chair
Location: Dr. Ezekiel R & Edna Wattis Dumke Foundation Reception Room

ACTION:

1. Revision of Regent Policy R401, *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports*
2. Statewide College Advisors

TAB C
TAB D

INFORMATION:

1. Access, Affordability, Completion, and Workforce Development Pass-through Funds to Institutions
2. Outreach & Access Updates: USHE Conference for Counselors and School Administrators and The Expect the Great Conference for Students
3. University of Utah – Enrollment Strategies Presentation

TAB E
TAB F

FINANCE/FACILITIES COMMITTEE

Regent Mark R. Stoddard, Chair

Location: Ron Henriksen Conference Room

DISCUSSION:

- | | |
|---|-------|
| 1. USHE – Tuition and Student Aid Policy and Study Update | TAB G |
| 2. USHE – Adoption of Policy R572, <i>Noncapital Asset Inventory and Tracking</i> | TAB H |

ACTION:

- | | |
|---|-------|
| 1. Southern Utah University – Institutional Residence Repurposing and Designation | TAB I |
| 2. Utah Valley University – Property Acquisition | TAB J |
| 3. Salt Lake Community College – Trustee Property Actions | TAB K |
| 4. USHE – Revision of Regent Policy R571, <i>Procurement</i> | TAB L |

INFORMATION:

- | | |
|---|-------|
| 1. Utah State University – Trustee Property Actions | TAB M |
| 2. Salt Lake Community College – Trustee Property Actions | TAB N |
| 3. USHE – Annual Report on Foreign Gifts and/or Donations | TAB O |

11:15 – 12:15 PM

LUNCH

Location: OC Tanner Charitable Trust Ballroom – A&B

12:15 – 12:45 PM

PRESIDENT'S REPORT

Location: OC Tanner Charitable Trust Ballroom - C

12:45 – 2:30 PM

COMMITTEE OF THE WHOLE

Location: OC Tanner Charitable Trust Ballroom - C

- | | |
|---|-------|
| 1. General Consent Calendar | TAB P |
| 2. Statewide College Advisors | TAB D |
| 3. Utah State Board of Regents 2019-2020 Meeting Schedule Approval | TAB Q |
| 4. USHE – FY2020 Operating Budget Request | TAB R |
| 5. USHE – Prioritization of Institutional State-Funded Capital Development Projects for 2019-20 | TAB A |
| 6. Reports of Board Committees | |

2:30 PM

ADJOURN (President Watkins' Inauguration, 3:00 PM, Kingsbury Hall)

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.

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Presentation and Prioritization of Institutional State-Funded Capital Development Projects for 2019-20

Issue

Regent Policy R741, *Capital Development Prioritization* requires that the Board of Regents annually review state-funded capital development project requests and rank capital facility projects based on the most pressing and critical needs in the system.

Background

In accordance with Regent Policy R741, *Capital Development Prioritization* the Board of Regents reviews capital development project requests annually for the purpose of assigning priorities based on the most pressing and critical needs in the system. The eight projects included in the request for the 2019-20 funding cycle are:

- University of Utah – Interdisciplinary Physical Science Education and Research
- Utah State University – Center for Languages and Cultures
- Weber State University – Noorda Engineering and Applied Science Building
- Southern Utah University – Technology, Engineering and Design Building
- Snow College – Social Science and General Education Building
- Dixie State University – Science Building
- Utah Valley University – New Business School Building
- Salt Lake Community College – Herriman Campus General Education Building

Summaries of the requested projects may be found in Attachment 1 and charts depicting institutional space inventories are included in Attachment 2. The preliminary quantitative scoring by the Commissioner's Office in accordance with Board policy (R741) is included in Attachment 3 and a summary of prior legislative funding from the last five years is included in Attachment 4.

Guidelines adopted in May provide all members of the Board with the opportunity to score the institutional projects during the Thursday presentations based on specific criteria. Attachment 5 contains the adopted Guidelines and an explanation of the scoring criteria and instructions for Board member scoring.

Following the institutional presentations and Board criteria point scoring, the Capital Facilities Committee will meet to deliberate the merits of the projects based on site visits, quantitative project scoring, and the Board's criteria point scores. On Friday, September 21, the Committee will then recommend assignment of points and project rankings to the full Board. The full 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.

Commissioner's Recommendation

The Commissioner recommends that the Board

- 1) become knowledgeable about the institutional project requests;
- 2) discuss and score projects on how the projects support the highest and most pressing needs in USHE; and,
- 3) take final action after receiving the Board's Capital Facilities Committee recommendation to approve a priority rank for each project after for submission to the Governor, State Building Board and 2019 Legislature.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachments

UNIVERSITY OF UTAH – INTERDISCIPLINARY PHYSICAL SCIENCE EDUCATION AND RESEARCH

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$60,000,000	\$24,723,000	\$84,723,000	\$611,700	100,000	40,729	53,863

The proposed project consolidates physical science faculty and programs from across the campus and provides improved and expanded space for physical science education to meet growing student demand. Currently the U provides 40 percent of Utah's total STEM graduates, the majority of which are required to take physical science courses. STEM-related majors include engineering, mathematics, computer science, health and medicine and are among the most demanded in the workforce. Limited class sizes and course offerings in physical science currently result from inadequate and functionally obsolete classrooms and laboratories in the James C. Fletcher and South Physics buildings. These facilities were built in the 1960s and 1930s respectively for a much smaller student population. A modern science building will increase the capacity to serve a growing student population in STEM areas as well as drive externally-funded research.

The new facility will renovate and seismically retrofit the historic Stewart Building, built in 1919, located directly south of the Crocker Science Center as well as add an additional 100,000 square feet of new space. Structural deficiencies in the Fletcher building preclude a cost-effective remodel or replacement. Occupants of the Stewart building are relocating to the new Gardner Commons Building providing an opportunity to rehabilitate the historic building. The existing Fletcher Building will be demolished and the South Physics Building will be retained for faculty offices. The new physical science building will provide modern experimental and computing laboratory space in addition to classroom, study, and faculty office space to facilitate interdisciplinary research across campus and improve teaching and research capacity.

UTAH STATE UNIVERSITY – CENTER FOR LANGUAGES AND CULTURES

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$24,000,000	\$0	\$24,000,000	\$495,551	60,641	0	10,819

This facility will consolidate and provide enhanced space for programs within the College of Humanities and Social Sciences. It will support classrooms, teaching and research laboratories, study space, faculty offices, and seminar rooms for the Department of Languages, Philosophy and Communication Studies (relocating from space in the Geology building and Old Main) and the Department of Sociology, Social Work, and Anthropology (relocating from space in Old Main). Both departments have added faculty over the last several years as demand for linguistic and cultural skills has expanded. Moving these programs to the new facility will alleviate overcrowding around campus and provide for future growth within the College.

The proposed facility will also provide 5,700 square feet for a new Anthropology Museum that will accommodate student research and a growing ethnographic and archaeological collection. The facility will also accommodate 6,700 square feet for studios, production space, and offices for Utah Public Radio, which is a member station of National Public Radio and provides locally produced offerings and student education in journalism and communications. The Utah Public Radio Station and staff are currently located in a building known as the "Quonset Hut" due to its corrugated metal skin and semi-circular shape. This facility, constructed in 1941 as a temporary facility, would be demolished as part of the new project. The facility does not meet current seismic, ADA, or fire code requirements and its metal design, coupled with uninsulated portions of the additions, results in energy inefficiency.

WEBER STATE UNIVERSITY – NOORDA ENGINEERING AND APPLIED SCIENCE BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$43,937,901	\$11,700,000	\$55,637,901	\$659,211	129,200	19,200	68,700

The Technical Education Building, built in 1957, will be replaced with a larger engineering and computer science facility that will provide modern classrooms, laboratories, offices, and study space for engineering and applied science programs. Programs in the College of Engineering, Applied Sciences, and Technology (EAST) benefiting from this facility include electrical, mechanical, and computer engineering; as well as computer science and programs associated with the University's technical college mission. EAST is one of the largest Colleges at the University and has experienced substantial student growth over the last decade. The new facility will alleviate student and faculty crowding and continue to integrate Master's, Bachelor's, and Associate's degrees.

In addition to academic programs, the new facility will also house the University's central server farm as well as space for the NUAMES charter school, which will expand operations at the Ogden campus to target under-represented populations and provide a pathway from high school to college. The University anticipates issuing a \$7.5 million revenue bond that will be repaid by NUAMES lease payments for 25,000 square feet of space in the new facility. The current Technical Education Building does not meet current ADA, fire code, or seismic requirements and its "U" shape design takes up unnecessary space on campus and provides poor energy efficiency. Approximately 19,200 square feet of seismically-sound, high bay automotive space in the facility will be retained and remodeled while the remaining portion of the existing building will be demolished and replaced by the new facility.

SOUTHERN UTAH UNIVERSITY – TECHNOLOGY, ENGINEERING AND DESIGN BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$38,373,000	\$0	\$38,373,000	\$702,400	80,000	0	0

The new 80,000 square foot academic facility will consolidate faculty and programs in technology, engineering, and design (TED) and improve workforce-demanded opportunities for students. New programs such as the Master in Cyber Security and Information Assurance and the Bachelor's of Mechanical Engineering will have space in the new facility to grow and develop. The facility will accommodate the relocation of the Mathematics Department to a permanent home from four buildings scattered across campus allowing for improved coordination and collaboration. Purpose-built art and design laboratories including digital art, 2D and 3D design, animation, and digital printing and fabrication for the Department of Art and Design will provide improved accommodations for these programs and fix deficiencies identified from previous accreditation reviews.

The facility will be designed to create technologically advanced classroom space, to maximize classroom and laboratory utilization, and to meet the growing educational needs of SUU. The new building will benefit the University's growing student population and provide educational opportunities in high-demand jobs in technology, engineering, and design. The site for the new facility will be located south of the America First Event Center and will take advantage of existing parking.

SNOW COLLEGE – SOCIAL SCIENCE AND GENERAL EDUCATION BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$17,200,000	\$0	\$17,200,000	\$238,246	45,000	0	17,200

A new facility will allow the College to consolidate social science programs spread throughout the campus and improve the delivery of courses with new technology and flexible classroom arrangements. Currently, Social Science Division faculty are located in two separate buildings and classes are taught in as many as five different buildings across campus that are not designed to best accommodate the coursework offered. The new facility would provide laboratory space for geography, food science, clothing and textiles, and criminal justice. These labs will provide more student capacity, update 1970s-era equipment, allow for the storage and projection of geographic charts, and allow for forensics science coursework. The facility will also house an expanded and updated preschool that will continue to provide practicum experiences for early childhood education students and childcare options for students.

The Home and Family Sciences building was originally built in 1965 as an Institute of Religion and acquired by the College when a new Institute building was constructed. Over the years, the building has been remodeled by the College to accommodate social science programs, but the facility has outgrown its useful and functional life and will be demolished to make room for the new facility. Two additional married student residential facilities will also be demolished as part of this project – the 4,264 square foot Greenwood Residence Hall and a 2,080 square foot portion of The Cottages. Space vacated by programs currently housed in the Social Science Building will be repurposed for use by the mathematics program.

DIXIE STATE UNIVERSITY – SCIENCE BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$59,900,000	\$0	\$59,900,000	\$821,276	120,000	0	52,014

The proposed project will provide biological science facilities needed to accommodate the University's focus on health sciences. The facility will replace aging and inadequate existing space with state-of-the-art laboratory and classroom facilities. An anatomy laboratory will provide expanded and more functional space for cadavers and the facility will allow for more than one physiology laboratory to accommodate student demand. Larger classrooms in the new facility will also accommodate class sizes of more than 100 students.

The proposed project involves three existing facilities: the Science Building, the Education Building, and the Music Building. The existing Science Building was constructed in 1963 and lacks the functionality to provide adequate laboratory space for biology, physics, and anatomy. The building, however, is still able to function adequately as a classroom facility and the University proposes to repurpose the building for the Education department through a remodel that is not part of this request. The Education Building (where the Education department is currently housed) was also constructed in 1963, but originally functioned as a Religious Institute that was later acquired by the University. The University proposes to demolish this facility as the concrete floors are deteriorating and the converted space has become functionally obsolete. Finally, the 18,352 square foot Music Building, built in 1963, has also become functionally obsolete and the concrete floors are deteriorating. The University would demolish the Music Building to make room for the new Science building.

UTAH VALLEY UNIVERSITY – NEW BUSINESS SCHOOL BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$56,000,000	\$14,000,000	\$70,000,000	\$1,466,913	175,000	5,000	0

The Woodbury School of Business offers some of the fastest growing coursework at UVU including business management, accounting, and finance. Students and faculty have gained national recognition from programs in sales, entrepreneurship, and finance. The School has out-grown its current home in one of the four original Utah Technical College buildings constructed in 1979. While the 78,000 square foot facility has been well-maintained over the years, it cannot accommodate the renovations desired to train future business leaders. The masonry building has a post-tensioned cable floor system that cannot be penetrated to run cables or make infrastructure upgrades.

A new 180,000 square foot facility will provide expanded classroom labs, office space, and specialty space for a Money Management Resource Center, an Innovations Center, a Smart Lab, a Digital Buzz Lab, a Bloomberg Lab, as well as graduate program space. Laboratories, classrooms, and shared teaching space will be used to further educate students and Utah County residents on topics such as budgeting, taxation, investments, and savings. As the existing facility is in good condition and is suitable to provide general academic classroom space, it will be retained to support other academic classrooms and offices.

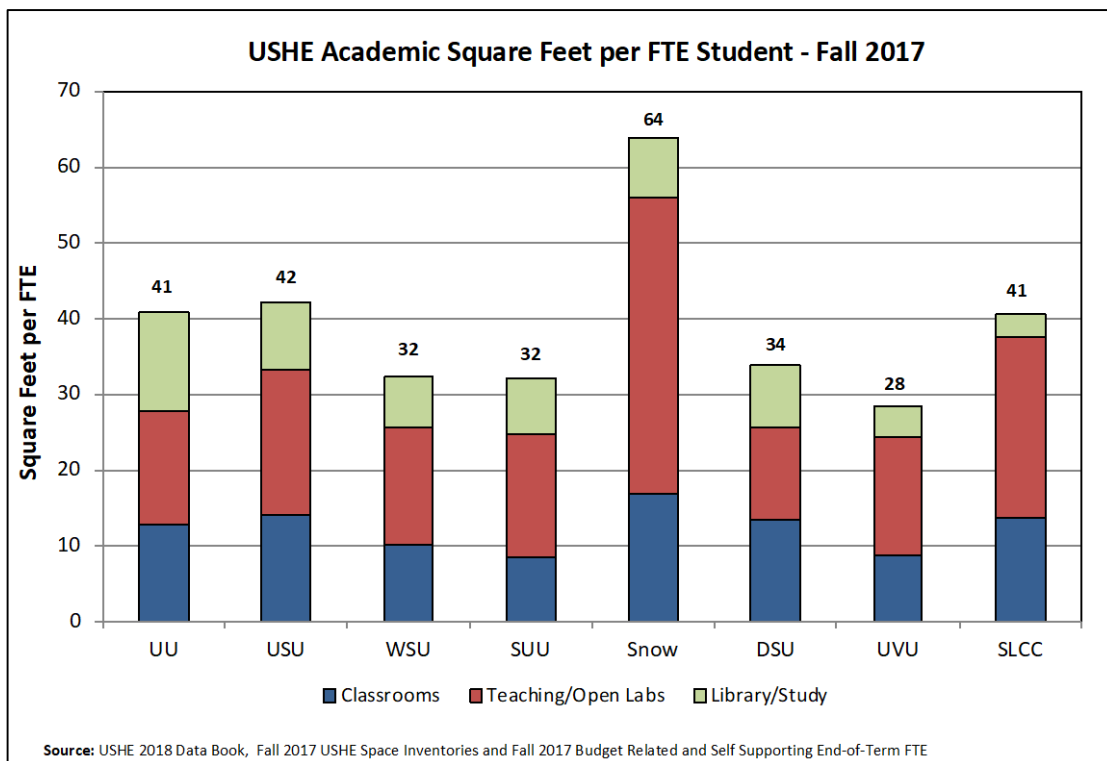
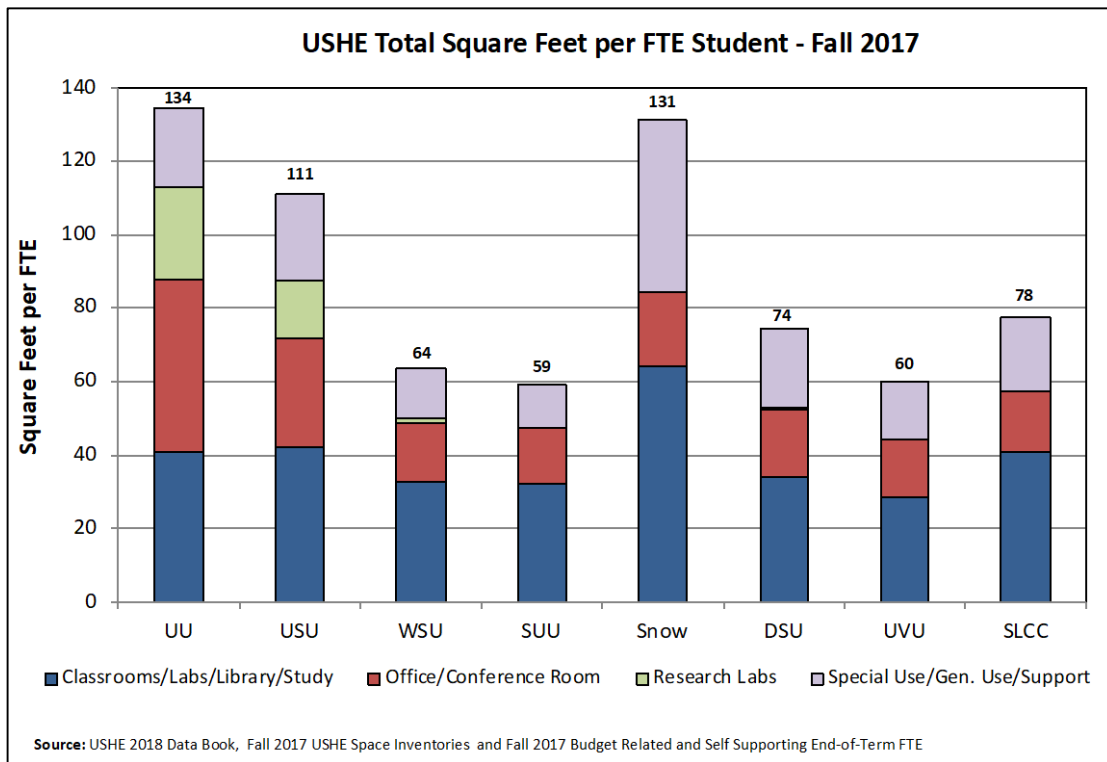
SALT LAKE COMMUNITY COLLEGE – HERRIMAN CAMPUS GENERAL EDUCATION BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
Current State Funds Request	Other Funds	Total Project Cost*	O&M Funds	New	Renovated	Demolished
\$34,279,687	\$18,400,000	\$52,679,687	\$1,067,850	90,000	0	0

In the 2011 General Session the Utah Legislature appropriated \$3 million to purchase 90 acres in Herriman for a future SLCC campus. The first facility built on this property will be a 90,000 square foot general education building that will serve approximately 650 FTE students. Herriman and the surrounding southwest quadrant of Salt Lake County are the fastest growing areas in the County. A physical campus in Herriman will allow SLCC to prepare students with the knowledge and skills necessary to transfer to four-year institutions and gain improved employment. SLCC is currently working with the University of Utah to offer bachelor degree programs in the proposed facility. Such offerings will provide seamless transitions between two-year and four-year degrees and make the goal of baccalaureate degree attainment even more accessible. The University of Utah will support the project with a \$5 million contribution. Targeted undergraduate degree completion programs at the SLCC Herriman Campus include: Nursing, Business Administration, Social Work, Economics, Information Systems, and Computer Science among others.

The general education building will be the cornerstone of the Herriman Campus development. Future development will accommodate increasing student population growth over the next several decades and will allow for up to 5,200 FTE students in the next half century. This property represents some of the last buildable acreage in Salt Lake County and is one of the last places that higher education institutions may build in the County.

USHE INSTITUTIONAL SPACE CHARTS



CAPITAL DEVELOPMENT PRIORITIZATION: SUMMARY OF SCORING POINTS FOR 2019-2020

Regent policy R741, *Capital Development Prioritization (CDP)* prescribes the process for ranking institutional state-funded capital facility requests by the Board of Regents. The prioritization process is comprised of two main components: a quantitative needs assessment made by staff at the Commissioner's Office and a qualitative appraisal by the Regents' Capital Facilities Committee.

The quantitative assessment (shown below) scores capital projects based on how well the project fills particular institutional space needs as determined by enrollment data and existing space inventories. The quantitative assessment also scores the projects based on the amount of institutional and donor funds contributed, the condition of the facility, and institutional priority. Projects receive up to 105 points for this component of the CDP.

Institutions may adjust the scope and budget for these projects as well as acquire additional donations and other funding (for scoring purposes) until September 17, 2018 when all projects must be finalized. Any changes to the scope or budget of the project after this date will need to be re-approved by both the Board of Regents and the State Building Board. Preliminary scores for the quantitative component of the CDP for the 2019-20 capital requests, subject to any changes in final numbers, are as follows:

Institution	Project Name	Project Points				
		Need Analysis	Other Funds	Facility Condition	Institutional Priority	Total Score
WSU	Noorda Engineering	43	5	9	25	82
DSU	New Science Building	50	0	7	25	82
UVU	Business School	47	3	0	25	75
UU	Interdisciplinary Physical Science	39	0	10	25	74
SUU	Technology Engineering Design	45	0	0	25	70
SLCC	Herriman Campus General Ed.	41	4	0	25	70
Snow	Social Science and General Ed.	37	0	6	25	68
USU	Center Languages and Cultures	37	0	3	25	65

LEGISLATIVE FUNDING OF USHE CAPITAL DEVELOPMENT PROJECTS 2014-2018

Institution	Year	Building/Project	Funded Amount	Funded O&M
USU	2014	USU Eastern Central Instruction Building	\$19,000,000	\$328,900
USU	2014	Brigham City Regional Campus	\$7,500,000	\$365,400
WSU	2014	New Science Building	\$56,400,000	\$711,000
			\$82,900,000	\$1,405,300
UU	2015	Crocker Science Center	\$34,000,000	\$682,700
USU	2015	Clinical Services Building	\$10,000,000	\$630,500
Snow	2015	New Science Building	\$19,937,000	\$322,000
			\$63,937,000	\$1,635,200
SLCC	2016	CTE Learning Resource & Classroom Bldg.	\$42,590,500	\$1,080,500
Snow	2016	New Science Building	\$4,724,600	\$322,000
SUU	2016	New Business Building and Repurposing	\$8,000,000	\$349,000
USU	2016	Biological Sciences Building	\$28,000,000	\$941,700
UVU	2016	Performing Arts Building	\$22,000,000	\$1,168,000
			\$105,315,100	\$3,861,200
USU	2017	Biological Sciences Building	\$10,000,000	
UVU	2017	Performing Arts Building	\$10,000,000	
UU	2017	Medical Education and Discovery Complex	\$5,000,000	\$473,400
DSU	2017	Human Performance Center	\$8,000,000	\$595,000
WSU	2017	Social Sciences Building (Lindquist Hall)	\$14,000,000	\$432,200
			\$47,000,000	\$1,500,600
UU	2018	Medical Education and Discovery Complex	\$45,000,000	
DSU	2018	Human Performance Center	\$17,000,000	
WSU	2018	Social Sciences Building (Lindquist Hall)	\$15,940,000	
USU	2018	Biological and Natural Resources Building	\$23,000,000	\$211,700
Snow	2018	Stadium and Sports Complex	\$5,000,000	
			\$105,940,000	\$211,700

CAPITAL DEVELOPMENT PRIORITY GUIDELINES FOR 2019-20

Regent Priority Points – In addition to the quantitative “Scoring Points,” Regent Policy R741, *Capital Development Prioritization*, allows the Regents to award up to 25 additional points per institution to address critical USHE needs. For 2019-20, the award of Regent Priority points will be made in two steps: 1. Regent Criteria Points (up to 10 points) awarded by the full Board based on Institutional presentations and 2. Regent Discretionary Points (up to 15 points) awarded by the Capital Facilities Committee based on facility tours, institutional presentation, and capital project needs statements.

Regent Criteria Points

0-10 Points

Each institution requesting state funding consideration for a capital development project will present the project to the full Board of Regents on Thursday, September 20, 2018. Each Board member will score the presentation according to the following criteria. Board member scores will be collected anonymously and will be aggregated and averaged to produce a score for each institutional project.

Regent 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). Consideration will also be given to projects that directly improve performance or achieve the goals included in the *Strategic Plan 2025*. Consideration will also be given, where deemed to be appropriate, to projects with prior approved Legislative design and programming funding.

Total Regents Points

Up to 25 Points

INSTRUCTIONS FOR REGENT SCORING

The following pages provide a scoring sheet for each of the eight USHE capital facility requests. Board members should score each project based on information presented by the institution in their presentation on Thursday, September 20 according to ten criteria in four categories: 1) Completion, 2) Capacity, 3) Affordability, and 4). Workforce.

Scores are made by checking the box corresponding to Full Points, Half Points, or No Points for a specific criterion. Institutions have been advised to address the criteria in their presentations in order to provide the Board with the information necessary to adequately score the projects. Board member scores will be collected anonymously and will be aggregated and averaged to produce a score for each institutional project. The Capital Facilities Committee will then use those average scores to guide them as they allocate Regent Criteria Points and Regent Discretionary Points.

Scores for Utah State University Project – Center for Languages and Cultures

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for Snow College – Social Science and General Education Building

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for Dixie State University Project – Science Building

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for Salt Lake Community College Project – Herriman Campus Building

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for Utah Valley University Project – New Business School Building

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for University of Utah Project – Interdisciplinary Physical Science Education and Research

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for Weber State University Project – Noorda Engineering and Applied Science Building

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scores for Southern Utah University Project – Technology, Engineering, and Design Building

Strategic Objective	Regent Criteria	Possible Points	Full Points	Half Points	No Points
Completion	The project will improve timely completion of students graduating with degrees and certificates.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Capacity	The project will improve space utilization through the elimination of space and equipment that is functionally obsolete or will improve institutional capacity to serve growing student populations.	4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Affordability	The project leverages cost-effective partnerships with other USHE institutions, state agencies, or other external partners.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workforce	The project addresses a time-sensitive emerging opportunity to enhance state or regional workforce needs.	2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Strategic Metrics Discussion

Issue

As part of the Board's ongoing strategic planning efforts, the Board directed the Commissioner to develop a list of system metrics that help to measure and assess the Board's progress in achieving its overarching goal to "[i]ncrease the educational attainment of Utahns to enhance their overall quality of life, and to meet Utah's current and future workforce needs" to discuss at the September Board meeting.

Background

In January 2016, the Board adopted its 2025 Strategic Plan. At the time the Board focused on identifying the key performance areas for the Utah System of Higher Education. These key performance areas have evolved over the last 2 years to the following four areas: (1) Affordable Access, (2) Timely Completion, (3) Workforce and Research, and (4) Capacity and Growth.

In 2017, the Board received its first progress report and noted the need to create meaningful metrics for both the system and the institutions designed to measure the impact and efficiency of the Utah System of Higher Education (USHE). Also in 2017, the Utah State Legislature passed Senate Bill 238, which explicitly empowered the Board to "establish measurable goals and metrics and delineate the expected contributions of individual institutions of higher education towards these goals."

In addition to the enactment of SB 238, the legislature's education standing committee created the P20 Education Dashboard which is designed focused on statewide education metrics that included K-12, UTEC, USHE, and DWS. At the same time, Executive Appropriations Committee (EAC) directed the Legislative Fiscal Analyst to include performance metrics for each budget line item (including institutions of higher education) in the base budget bills of each fiscal year.

As a result, over the last several months, the Commissioner and his staff have worked with USHE institutions to develop metrics for the P20 Dashboard, the EAC base budget bill performance metrics, and USHE system metrics for the Board, with an eye to align these metrics as best as possible.

At the July 2018 Board meeting, the Board received an initial draft of possible system metrics for their discussion and consideration. At that time, the Board, directed the Commissioner to continue to work with the institutions to refine and clarify the metrics and report back to the Board in September.

As a result of the work over the last two months the Commissioner's Office is advancing six system metrics forward for the Board's discussion and consideration. Several of these metrics have been tracked over the last few years by the Board, while others such as Classroom Space Utilization are new. These metrics are designed as a starting point for the Board and may evolve over time to different metrics that may better capture what the Board is trying to accomplish and measure. These six metrics include the following:

- Five-year college participation rate for high school graduates
- Utah's tuition and fee rates as compared to other states
- Total number of certificates and degrees awarded between 2011 and 2020
- The annual change in total cost per award compare to the annual change in the higher education price index
- Classroom space utilization
- 30-year estimated return on state tax funds invested in higher education

Included in the attachments is a document that provides the following information for each metric for the Board's review and consideration.

- Name & description
- Definition of the metric
- Benchmark
- Current baseline and relevant data points
- Goal
- Where the data are currently reported
- Challenges with the metric
- Alternative metrics (if available)

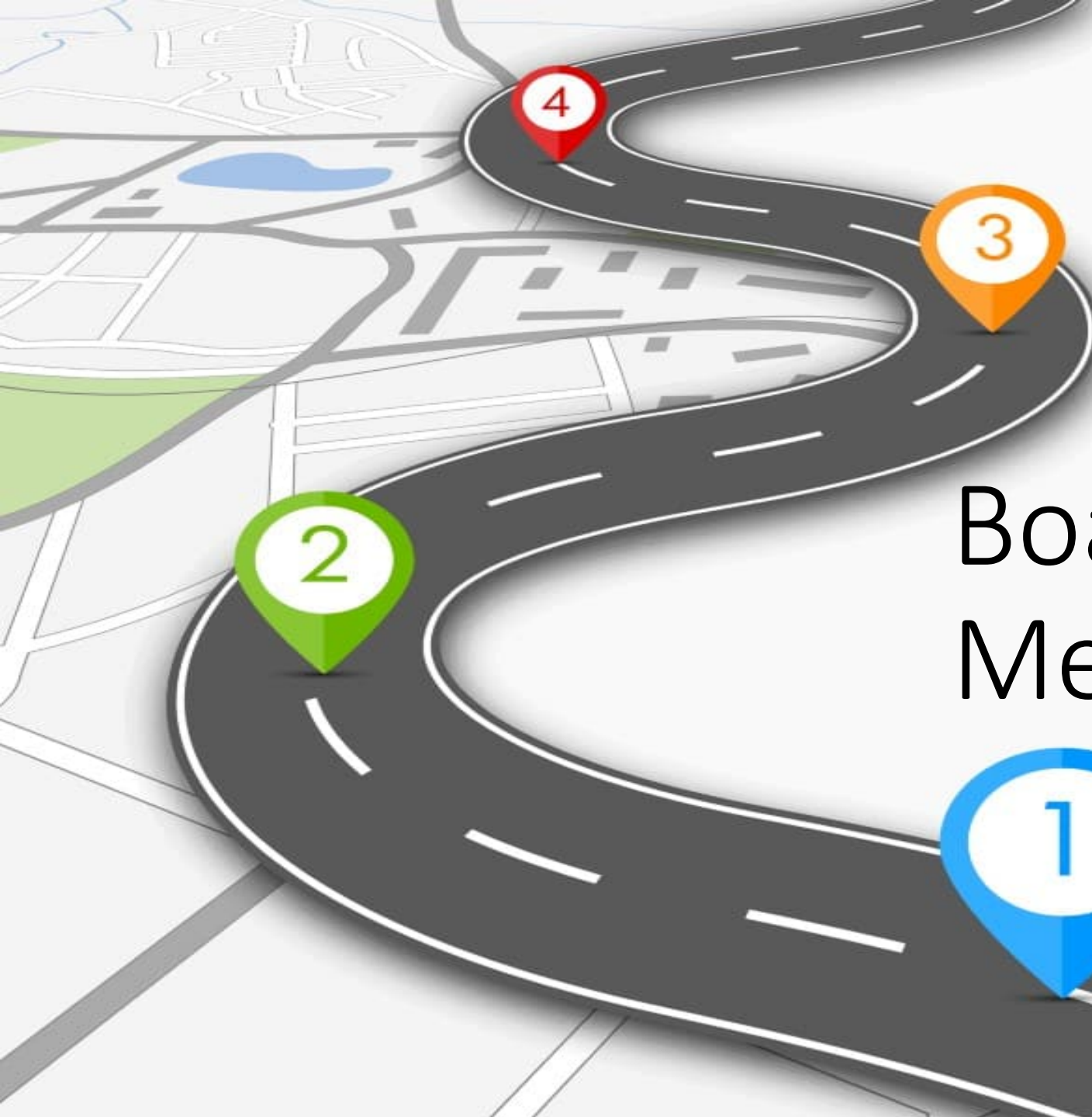
The Board is asked to discuss these various metrics and determine if they would like to adopt as the initial starting point. Once system metrics have been identified, the Board can then begin to set institution performance metrics and goals which can best leverage the strengths of the individual institutions, improve areas of concern, and ensure accountability and efficient use of system resources.

Commissioner's Recommendation

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

DLB/KLH
Attachments

David L. Buhler
Commissioner of Higher Education



Board of Regents' Metrics Roadmap



Understanding the role of the Board in setting metrics

- Measure and assess whether the Board is achieving its overarching goal to:

“Increase the educational attainment of Utahns to enhance their overall quality of life, and to meet Utah’s current and future workforce needs.”

- Provide “Advocacy” and “Accountability”

- Enhance the impact and efficiency of the system
- Establish measurable goals and metrics and delineate the expected contributions of individual institutions of higher education toward these goals
- Provide system leadership on issues that have a system-wide impact



Source: <https://le.utah.gov/xcode/Title53B/Chapter1/53B-1-S103.html>

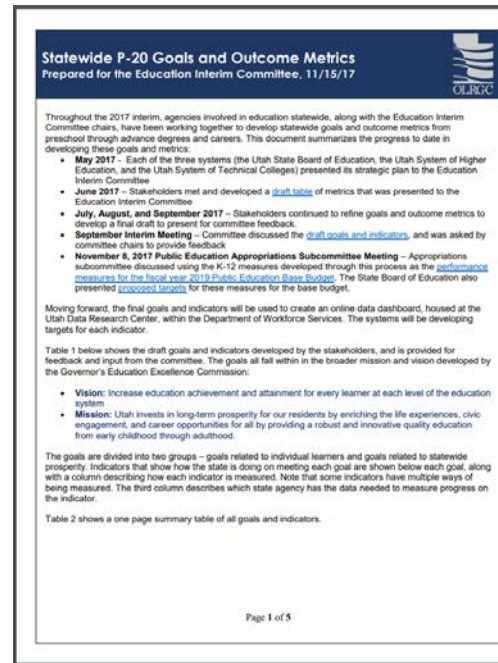


Understanding our primary audience

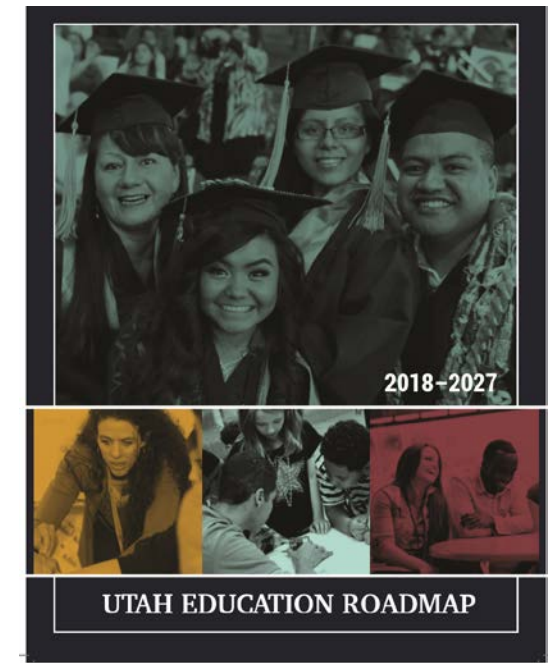
The Board of Regents



The Legislature



The Governor





Establish System Metrics and Goals

July 2018, the Board

- Reaffirmed the need to **establish both system and institution metrics.**
- Directed the Commissioner to work with institutions to review proposed metrics, institution data where applicable, and possible alternatives and **report back in September.**

	Affordable Access		Timely Completion
Metric	College Participation of High School Graduates	Affordable Tuition & Fees	Time to Graduation
Definition	Percentage of Utah high school graduates who enroll in college within 5 years of high school graduation	Percentage of full-time, resident students who do not require loans, grants, or scholarships to pay for college	Number of semesters needed to complete a college degree
Benchmark	Current average enrollment within 5 years for 2007-2012 high school graduates Value: 69%	Percentage of USHE full-time, resident students who pay full-price Value: 19%	Standard: Bachelor's degree: 12 semesters Associate degree: 6 semesters Average Value: 2017 Benchmark Bachelor's Average 11.8 Median 11.5 (50%) 55.48% 12 Semesters or less Associate Average 9.7 Median 9.0 (50%) 49.54% have 6 Semesters or less
Goal	75% of the Utah high school graduating class of 2020 will enroll in college within 5 years of high school graduation	Minimum of 20% of full-time, resident students will not need loans, grants, or scholarships to pay for college	Goal: 70% of students completing their first bachelor's degree will do so in 12 semesters or less by 2025 30% of students completing their first degree as an associate degree will do so in 6 semesters or less by 2025
Sources	https://higheredutah.org/wp-content/uploads/2013/03/2017-5-Five-Year-Participation-and-Completion-David-Ma.pdf	https://higheredutah.org/wp-content/uploads/2013/03/2017-3-United-Financial-Need-Joe-Curtin.pdf	https://higheredutah.org/pdf/reports/CompletionParticipation2017.pdf



System vs. Institution Metrics

System Metrics

Reflect the direct responsibility of the Board

- **Access** to Utah higher education institutions
- Creating **affordable** higher education options for Utah Students
- Establishing higher education **attainment expectations** to meet state economic needs
- **Defining and monitoring effective use of resources** across higher education institutions

Institution Metrics

Reflect Board guidance and expectations regarding institution performance

- **Institution specific** metrics and goals based on mission and role within the system
- **Accountability** framework for efficient uses of resources



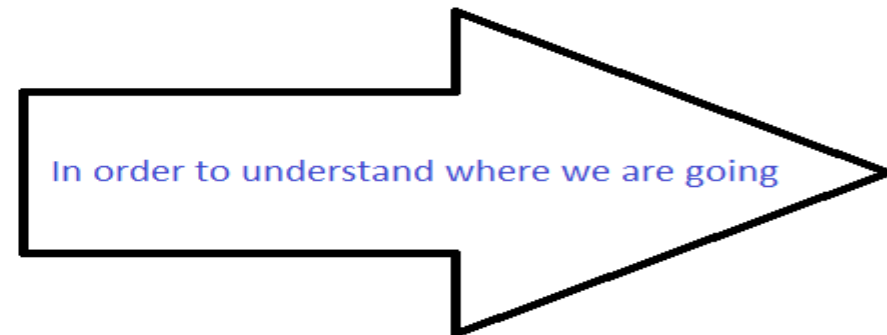
System Metrics and Goals

- Identify key performance areas
- Identify appropriate metrics
- Establish a goals
- Track performance
- Evaluate progress and adjust



USHE Key Performance Areas

- Access & Affordability
- Completion
- Workforce Connection
- Effective Use of Institutional Resources and Capacity





System Metrics for Considered

Access

- 5-Year college participation for high school graduates
- Enrollment levels statistics disaggregated by demographic details

Affordability

- Utah's tuition and fee rates as compared to other states
- Student debt levels at graduation compared to other states
- Unmet student financial need

Completion

- Total number of certificates & degrees awarded
- Overall USHE graduation rates
- Average USHE first-year to second-year retention rates
- Performance funding metrics

Workforce & Research

- Research funding received by Utah and USU
- Where are Utah College Graduates employed
- Utah Wage Information by Field of Study
- Job Placement Rates of USHE Graduates by Degree Type and Discipline

Effective Use of Capacity & Resources

- Change in annual cost per award compared to annual change in HEPI
- Classroom space utilization rates
- Change in annual cost per FTE compared to annual change in HEPI
- Employee count and turnover reports
- Faculty workload vs. USHE standards

Return on Investment

- Return on state tax fund investment
- Student's expected lifetime earnings increase after graduation by degree type
- Investment by private industry in higher education institutions



System Metrics Proposal

Access

- 5-Year college participation for high school graduates

Affordability

- Utah's tuition and fee rates as compared to other states

Completion

- Total number of certificates & degrees awarded

Effective Use of Capacity & Resources

- Change in annual cost per award compared to annual change in HEPI
- Classroom space utilization rate

Return on Investment

- Return on state tax fund investment

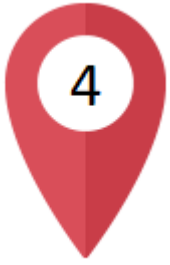
These metrics represent an initial starting point for the system and are expected to evolve over time. It is anticipated that the Board may want to add additional metrics for both the system and institutions



Next Steps: Institution Metrics & Goals

Considerations

1. Capitalize on individual institution missions and roles within the system
2. A one metric fits all institutions approach may not be appropriate in all cases.
3. Strengths and areas of improvement are not the same for each institution.
4. Standard institution metrics already exist



Identifying Possible Institution Metrics

1. Standard institution metrics already exist nationally



Common Data Set Initiative

*A collaborative effort between publishers
and the educational community*

2. Institutions have identified metrics for the Legislature
3. The Board has established metrics included in the Fiscal Health Dashboard

DISCUSSION

Are these the system metrics you would like to support?

Are the goals reflective of the Board's broader strategic objectives?

Identify how the Board would like to move forward with Institution specific metrics.

Board of Regents Strategic Plan 2025
System Metrics Update

Affordable Access Metric #1: The Five-year College Participation Rate of High School Graduates

Reported at system level: This is an access metric that looks specifically at the college-going rates of Utah students aged 18-24. This population represents approximately 54% of the total student headcount for Fall 2018.

Definition: The percentage of Utah high school graduates who enroll in college within five years of high school graduation.

Benchmark: The metric will be measured against the average college enrollment within five years of graduation for Utah high school graduates for the 2007 – 2013 student cohorts.

Current Baseline: On average, 69.4% of Utah high school graduates enroll within five years of high school graduation

Cohort	Size	1 Year	2 Years	3 Years	4 Years	5 Years	6 Years	7 Years	8 Years	9 Years	10 Years
2007	29,110	50.1%	55.5%	61.1%	66.1%	68.2%	69.5%	70.3%	70.9%	71.3%	71.7%
2008	30,151	50.8%	56.7%	61.9%	66.4%	68.2%	69.4%	70.2%	70.7%	71.1%	71.4%
2009	30,560	52.5%	58.0%	63.1%	67.2%	69.0%	70.0%	70.8%	71.3%	71.7%	
2010	32,114	53.6%	59.5%	64.4%	68.4%	70.3%	71.5%	72.2%	72.7%		
2011	31,640	54.6%	59.7%	64.6%	69.0%	70.8%	71.7%	72.3%			
2012	33,283	52.9%	58.4%	63.4%	67.7%	69.3%	70.3%				
2013	34,753	45.7%	51.2%	64.2%	68.0%	69.5%					
2014	35,661	45.6%	51.0%	63.8%	67.6%						
2015	36,933	45.7%	51.5%	63.7%							
2016	38,326	46.0%	51.6%								
2017	40,099	45.4%									
Total	372,630	49.1%	55.1%	63.4%	67.6%	69.4%	70.4%	71.2%	71.4%	71.4%	71.6%

Goal: 75% of the Utah high school graduating class of 2020 will enroll in college within five years of graduation.

Data report: Annual report prepared by USHE Institutional Research (IR) found on the [highereducation.org](https://higheredutah.org/pdf/reports/CompletionParticipation2017.pdf) website <https://higheredutah.org/pdf/reports/CompletionParticipation2017.pdf>

Challenges: This metric only addresses college access for high school graduates. It does not capture adult student participation rates.

Affordable Access Metric #2: Utah's Tuition and Fee Rates as Compared to Other States

Reported at the system level. Published by the College Board annually as part of its *Trends in College Pricing Report*. This metric compares average published tuition and fee rates for similar institutions nationally.

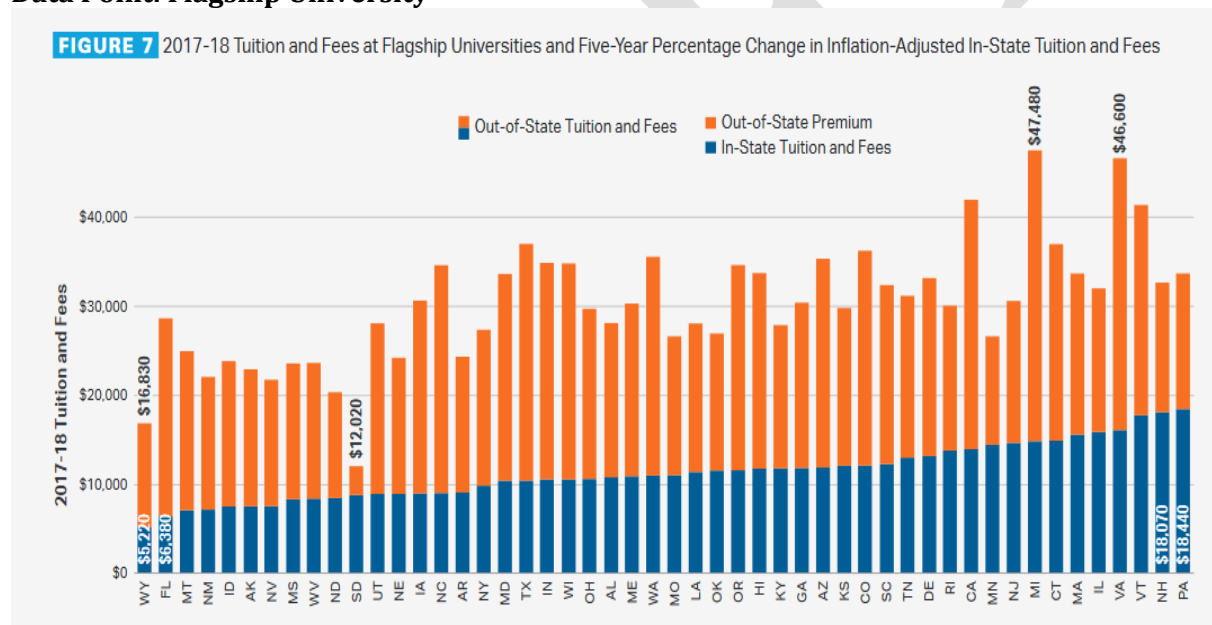
Definition: Rank of USHE's average published tuition and fee rates compared to other states by institution type.

Benchmark: The College Board *Trends in College Pricing Report*, will be used to track and monitor this metric.

Current Baseline:

- Flagship (University of Utah) Ranked 12th lowest in published tuition and fees in 2017-18 (24th Percentile)
- Four-year Institutions: Ranked 3rd lowest in published tuition and fees in 2017-18 (6th Percentile)
- Two-year Institutions: Ranked 16th lowest in published tuition and fees in 2017-18 (32nd Percentile)

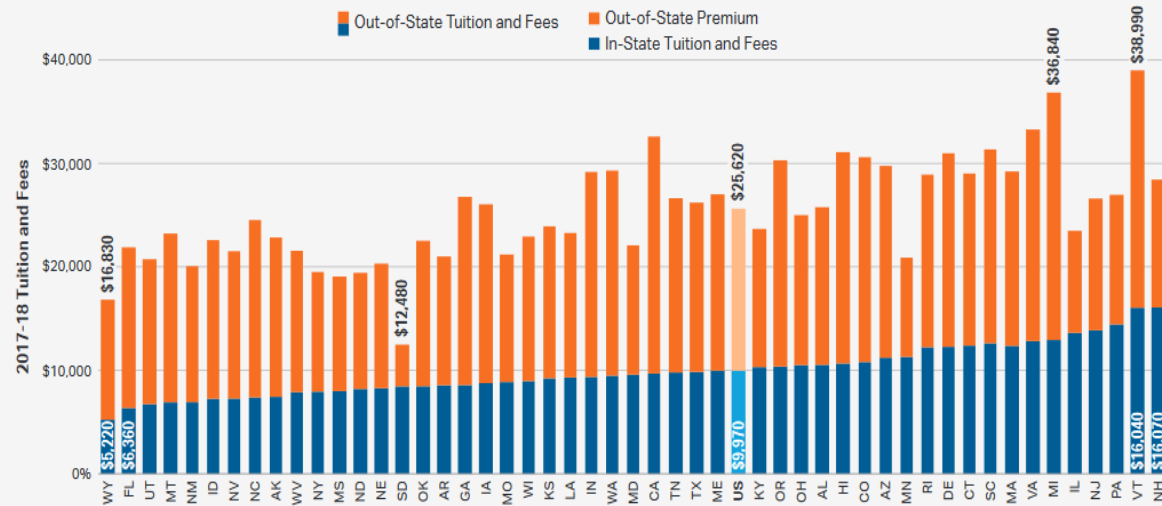
Data Point: Flagship University



Year	Ranked
2017-18	12 th Lowest (24 th Percentile)
2016-17	13 th Lowest (26 th Percentile)
2015-16	12 th Lowest (24 th Percentile)
2014-15	11 th Lowest (22 nd Percentile)
2013-14	10 th Lowest (20 th Percentile)

Data Point: 4-year Universities

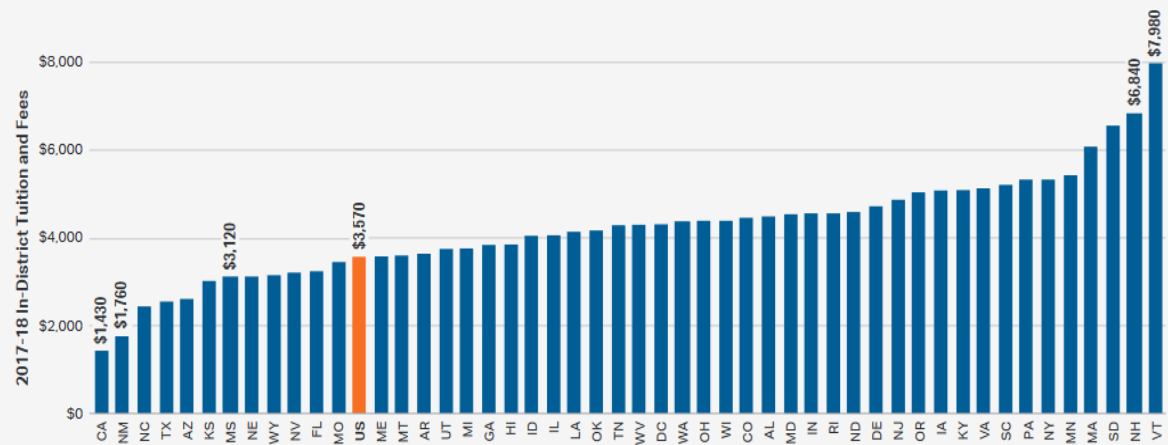
FIGURE 6 Average 2017-18 Tuition and Fees at Public Four-Year Institutions and Five-Year Percentage Change in Inflation-Adjusted In-State Tuition and Fees, by State



Year	Ranked
2017-18	3 rd Lowest (6 th Percentile)
2016-17	4 th Lowest (8 th Percentile)
2015-16	5 th Lowest (10 th Percentile)
2014-15	3 rd Lowest (6 th Percentile)
2013-14	3 rd Lowest (6 th Percentile)

Data Point: 2-Year Community Colleges

FIGURE 5 Average 2017-18 In-District Tuition and Fees at Public Two-Year Institutions and Five-Year Percentage Change in Inflation-Adjusted In-District Tuition and Fees, by State



Academic Year	Ranked
2017-18	16 th Lowest (32 nd Percentile)
2016-17	18 th Lowest (36 th Percentile)
2015-16	18 th Lowest (36 th Percentile)
2014-15	16 th Lowest (32 nd Percentile)
2013-14	21 st Lowest (42 nd Percentile)

Goal:

- Flagship (University of Utah): Manage increases in tuition and fee rates to ensure that the University of Utah continues to be priced in the lower 25th percentile for flagship universities
- Four-year Institutions: Manage increases in tuition and fee rates to ensure that the USHE four-year institutions continue to be priced in the lower 10th percentile for four-year universities
- Two-year Institutions (Community Colleges): Manage increases in tuition and fee rates to ensure that the USHE community colleges published tuition and fee rates are ranked below the 25th percentile for Community Colleges by 2025.

Data report: Annual report prepared by The College Board

https://trends.collegeboard.org/sites/default/files/2017-trends-in-college-pricing_1.pdf

Challenges: This metric reflects how Utah's published prices compare within the Higher Ed market. It shows that Utah is priced lower than others. It has been used in the past as a proxy for affordability. The Board should consider that this is an extremely hard concept to measure due to lack of a common definition of what is meant by affordability and how it is measured. Affordability is unique to each person and his/her individual circumstances. A challenge with measuring affordability is how the pricing structure works for the higher education product. The more credit hours one takes, the more it costs – so where does one set the affordability measure? If the objective is to get students to attend full-time to graduate in a timely fashion should the focus be on ensuring that price is not out of range, or should it focus on cost per class? What is an effective way to measure affordability from a student

perspective vs. institution perspective? If a student has to go into debt to attend an institution, is it affordable? Is there an acceptable level for % of students incurring debt? Students who attend part-time have already identified a way to make college more affordable based on their individual circumstances. How do you uncouple the concept of aid and cost to a student? Not all students are eligible to receive aid.

Possible Alternative Metrics for consideration

1. Track tuition & fees (or net tuition & fees) as a percentage of income (e.g., median, 25th percentile) with the goal of seeing the percentage decrease. While this may not address individual perspectives about the definition of affordable, it would result in a data series that clearly captures the *trend* in tuition & fees vis-à-vis income, which suggests a direction of affordability.
2. Track the percentage of full-time tuition & fees that the maximum Pell grant covers. This might suggest a direction of affordability for the population of students that is may generally be most sensitive to cost.

Timely Completion Metric: The total number of certificates and degrees awarded by USHE

Reported at the system level. Adopted by the Board in 2012, this metric measures the cumulative number of USHE awards from 2011 through 2020 compared to the 2020 goal.

Definition: The cumulative number of certificates and degrees awarded by USHE institutions within the system as compared to the 2020 goal.

Benchmark: The benchmark for this measure is the cumulative total increase beginning in the FY2011 academic year.

Current Baseline Data:

Academic Year	USHE 2020 Goal				USHE Actual			
	Increase Over 2011	% Increase Since 2011	Annual Awards	Cumulative Awards Since 2011	Annual Awards	Cumulative Awards Since 2011	Increase Over 2011	% of Goal Achieved
2010-11†		0%	30,000	30,000	29,981	29,981		
2011-12	800	3%	30,800	60,800	31,339	61,320	1,358	170%
2012-13	1,600	5%	31,600	92,400	31,741	93,061	1,760	110%
2013-14	2,400	8%	32,400	124,800	32,549	125,610	2,568	107%
2014-15	3,200	11%	33,200	158,000	32,797	158,407	2,816	88%
2015-16	4,010	13%	34,010	192,010	33,822	192,229	3,841	96%
2016-17	4,900	16%	34,900	226,910	36,071	228,300	6,090	124%
2017-18	5,790	19%	35,790	262,700				
2018-19	6,680	22%	36,680	299,380				
2019-20	7,570	25%	37,570	336,950				

Goal: A cumulative total amount of 336,950 USHE certificates and degrees awarded from 2011 to 2020.

Data report: Higher Education 2020 Report, Annual reports from USHE IR

Challenges: This metric is primarily an output measure and does not specifically measure what we may deem as timely completion. The Board may want to consider also adopting a metric that focuses on defining and measuring timely completion for both full-time and part-time students.

Capacity and Growth Metric #1: Change in Total Cost per Award

System metric. This is a capacity and growth metric that measures the annual change in the amount spent on producing an award (certificate to graduate degree) within the system as compared to the change in the Higher Education Price Index (HEPI). It is meant to track how the annual change in institution spending compares to the HEPI.

Definition: Change in the total cost per award as calculated by the total awards granted by an institution divided by the corresponding year's operating budget compared to the previous year.

Benchmark: This metric will be measured against the annual percentage change in the HEPI for the corresponding year.

Current Baseline:

- USHE average annual change in total cost per award granted from FY16 to FY17: -2.0%
- HEPI annual change from FY16 to FY17: 3.7%

Year	USHE Change in Cost per Award	95% Annual Change in HEPI
2016-17	-2.0%	3.5%
2015-16	2.2%	1.7%
2014-15	6.1%	2.0%
2013-14	1.2%	2.8%
2012-13	1.4%	1.5%

Goal: Annual percentage change in total cost per award granted is no more than 95% of the average annual change in HEPI for the corresponding year.

Data reports:

<https://www.commonfund.org/commonfund-institute/higher-education-price-index-hepi/> <https://le.utah.gov/interim/2018/pdf/00001219.pdf>

Challenges and Questions: This metric works better at the system level given the volatility that may happen annually at each institution. More awards may be granted due to an enrollment surge, driving the cost down in a given year. However, increases in funding, may initially drive costs up as students complete the cycle and should be noted in dramatic swings. It has been suggested that the cost per award should be compared against itself year over year rather than the Higher Education Price Index and that the goal should be "see an annual decrease in the cost per award than an annual increase."

Capacity and Growth Metric #2: Instruction-related Classroom Space Utilization

Institution Metric. This is a capacity and growth metric that measures the utilization rates for classrooms at the USHE institutions. The utilization is based on two measures: (1) room utilization, and (2) station occupancy rates. This metric is intended to show the Board how well an institution is meeting the standard utilization expectation and, in the case where the institution is not meeting or exceeding the standard, give the Board an opportunity to identify and discuss the reasons why.

Definition: Average instruction-related classroom use calculated by multiplying an institution's fall classroom utilization and station occupancy rate as defined [in Regent Policy R751, Institutional Facilities Space Utilization](#).

Benchmark: This metric will be measured against the Board-approved utilization standards for classroom use and station occupancy.

Current Baseline:

- USHE Classroom Utilization Rate Standard: 33.75 hours per week
- USHE Classroom Station Occupancy Rate Standard: 66.7% full

Fall 2016 Institution Space Utilization Scores

<i>Institution</i>	<i>Score</i>
<i>University of Utah</i>	15.7
<i>Utah State University (Logan)</i>	16.8
<i>Weber State University (Ogden)</i>	13.3
<i>Southern Utah University</i>	18.6
<i>Snow College (Ephraim)</i>	24.0
<i>Dixie State University</i>	20.5
<i>Utah Valley University</i>	28.0
<i>Salt Lake Community College (Redwood)</i>	21.3
<i>USHE System Average Score</i>	19.8

Goal: A minimum score of 22.5 for instruction-related classroom utilization. The goal is calculated by the expected standard average hours per week (33.75) multiplied by the average expected station occupancy rate (66.7%).

Data report:

<https://higheredutah.org/wp-content/uploads/2018/05/2018-4-Space-Utilization-Richard-Amon.pdf>

https://higheredutah.org/pdf/agendas/20180330/TABL_2018-03-30.pdf

Challenges and Questions: This is a new metric and we have limited data. This metric may need to evolve as the data collection for this metric evolves. There are some outstanding questions as to whether the standard is adequate and whether it should be adjusted to more directly encourage the use of classrooms during evenings and weekends and to hire adjunct faculty members to teach during these additional hours.

Capacity and Growth Metric #3: Return on State Tax Fund Investment in Higher Education

System level metric only. This is a capacity and growth metric that measures the 30-year

return on investment for every tax dollar invested in higher education based on the estimated increase in income tax collection over a 30-year window.

Definition: Ratio of increased tax contributions over 30 years as a result of earning a higher education credential compared to the state tax fund appropriations to higher education.

Benchmark: This metric will be measured against the FY16 estimated 30-year return in tax contributions compared to the annual higher education state tax fund appropriation.

Current Baseline:

- Value added in tax contribution (\$1,630,955,468) divided by FY 2016 State tax fund Appropriation (760,999,100) = \$2.21 Return on Investment
- The FY16 State's 30-year return on investment of approximately 2.21:1

The estimated 30-year return on investment calculation assumes the lowest estimated tax contribution rate of 9.63% and no additional wage growth. The actual ROI is likely higher due to higher contribution rates and increasing wage growth over time.

Graduation Year	Estimated State Return
2015-16	\$2.21 in new tax funds to \$1 invested
2014-15	\$2.23 in new tax funds to \$1 invested
2013-14	\$2.57 in new tax funds to \$1 invested
2012-13	\$2.85 in new tax funds to \$1 invested
2011-12	\$2.58 in new tax funds to \$1 invested

Data Point: Impact of 2015-16 Graduates

	New Degrees	Work Force Participation Rates ++	New Degrees in Workforce	Amount Earned over High School	Total Added Annual Income to Utah's Economy	Estimated Additional Tax Contribution 8.99%	Estimated Additional Tax & Fees Contribution 13.21%	Estimated Additional Tax & Fees Exc. Tuition Contribution 11.89%
Certificate	1,741	77.6%	1,351	\$3,092	\$4,177,292	\$375,539	\$551,820	\$496,680
Associate	11,483	77.6%	8,906	\$3,092	\$27,537,352	\$2,475,608	\$3,637,684	\$3,274,191
Bachelors	16,298	83.6%	13,620	\$16,241	\$221,202,420	\$19,886,098	\$29,220,840	\$26,300,968
Masters	3,483	83.6%	2,912	\$39,103	\$113,867,936	\$10,236,727	\$15,041,954	\$13,538,898
Doctorate	817	83.6%	683	\$39,103	\$26,707,349	\$2,400,991	\$3,528,041	\$3,175,504
Annual Impact -Post Graduation	33,822		27,472		\$393,492,349	\$35,374,962	\$51,980,339	\$46,786,240
Assumed 30 years of Employment					\$11,804,770,470	\$1,061,248,865	\$1,559,410,179	\$1,403,587,209
Economic Multiplier (1.2) Additional*					\$2,360,954,094	\$212,249,773	\$311,882,036	\$280,717,442
Value Added to Utah's Economy and Tax Base (30 Year Estimate)					\$14,165,724,564	\$1,273,498,638	\$1,871,292,215	\$1,684,304,651

++ ACS Table S2301 Employment Status 1 year estimates (in labor force)

*ACS Table B20004 Median Earnings in Past 12 Month (25 over) 1 yr Estimates

Goal: Maintain a minimum 30-year return on investment of 2:1.

Data report: <https://higheredutah.org/the-roi-of-utahs-college-graduates/>

Challenges and Questions: USHE does not control the wages and taxes for university graduates or the level of state investment in higher education; as a result, USHE cannot directly influence this measure. The goal of maintaining the current return may not be considered an ambitious goal unless there is a significant threat to the return.

Alternative Metrics: Track placement/employment rates of USHE graduates and ask that USHE institution engage more deliberately with Utah employers to work out unprecedented agreements that directly impact placement/employment rates.

DRAFT

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

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

Issue

In an effort to meet workforce needs a new type of baccalaureate degree, Bachelor of Applied Science (BAS), is being proposed for consideration and approval. The attached modifications to R401 include provisions for this new degree.

Background

The idea for this degree sprang from conversations with the Regents' Workforce Working Group and legislative leaders who expressed a desire to create additional opportunities for students to seek baccalaureate degrees that prepare them to meet growing labor market needs. Members of the commissioner's staff identified the BAS degree, built upon a stackable credential model, as a possible option to accomplish this objective. The degree concept was shared and discussed with Chief Academic Officers who expressed support. One institution has already begun work on such a program in a high demand area.

While the degree maintains the same general education standards required for Bachelor of Arts and Bachelor of Science degrees, it has two distinguishing characteristics: 1) flexible preparation in the first two years of the degree based on learning developed through a variety of programs, higher education institutions, or applied learning contexts; 2) program requirements that allow for integration of applied learning from industry or organizations.

This degree will allow institutions to develop a variety of new educational pathways, with the BAS degree as the final step of a student's undergraduate preparation. It is anticipated that demonstration projects utilizing the BAS degree, perhaps funded through grant initiatives, will develop prototypes for statewide stackable credential pathways. Upon approval of this degree, Utah will join a growing number of states in providing students flexible and targeted preparation for specific workforce needs that culminate in a BAS degree.

The policy changes included herein provide definitional language for the new degree as well as a few minor edits to the Associate of Applied Science degree. Edits also reflect a name change from the Regents' "Program Review Committee" to the "Academic and Student Affairs Committee."

Two versions of the policy are provided as attachments. The first version documents proposed changes to existing policy. The second shows the revised R401 as it would read with the proposed changes.

Policy Issues

This policy change will provide a formal description for the BAS degree, thus providing an avenue for institutions to provide additional programing options through the undergraduate level.

Commissioner's Recommendation

The commissioner recommends the Board of Regents approve the revisions to Regent Policy R401, *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports.*

David L. Buhler
Commissioner of Higher Education

DLB/BKC
Attachment



R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports¹

R401-1.Purpose. To establish criteria and procedures for new programs of instruction that ensure rigorous scrutiny—beginning at the institutional level and then by an institution's peers—and encourage a range of sustainable degrees and other credentials within each institution's mission and that meet or exceed national standards. This policy also creates procedures for approving or discontinuing programs and notifying the Board of Regents of changes to academic program and administrative units.

R401-2.References.

- 2.1. Utah Code §53B-16-102, Changes in Curriculum
- 2.2. Regents Policy R220, Delegation of Responsibilities to the President and Board of Trustees
- 2.3. Regents Policy R312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles
- 2.4. Regents Policy R315, Service Area Designations and Coordination of Off-Campus Courses and Programs
- 2.5. Regents Policy R411, Cyclical Institutional Program Reviews
- 2.6. Regents Policy R470, General Education, Common Course Numbering, Lower-Division Pre-Major Requirements, Transfer of Credits, and Credit by Examination

R401-3.Definitions.

3.1. **Academic Awards.** Academic awards range from certificates to doctoral degrees. The following definitions describe common characteristics of each award. In compliance with accreditation, institutions may establish additional requirements and course work

3.1.1. **Certificate of Proficiency.** A program of study that prepares students for an occupation. It does not require, but may include, general education courses. The certificate requires 16 to 29 semester credit hours or 600 to 899 clock hours. It consists

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, September 18, 2015, and July 21, 2017.

entirely of undergraduate courses but does not require prerequisite courses, conditions, or degrees for admission to the program.

3.1.1.1. CTE Certificate of Proficiency. A certificate of proficiency that prepares students for gainful employment in a recognized occupation, meets Perkins eligibility requirements and federal financial aid requirements, and consists entirely of lower division courses.

NOTE: Institutional certificates of proficiency require less than 30 semester credit hours, or 900 clock hours) and are not eligible for federal financial aid. Institutions may establish institutional certificates without notifying the Regents. Institutions may use these certificates to address varying needs, including workforce preparation, bridging student pathways from high school, avocational interests, or development of specialized skills.

3.1.2. Certificate of Completion. A program of study that prepares students for an occupation. It requires a recognizable general education core in communication, computation, and human relations. The general education core may be embedded within program courses. The certificate requires a minimum of 30 semester credit hours or 900 clock hours and typically does not exceed 33 semester credit hours or 990 clock hours. It consists entirely of undergraduate courses and has no prerequisite courses, conditions, or degrees required for admission to the program. Institutions should demonstrate how certificates requiring more than 36 semester credit hours or more than 1,080 clock hours can lead to an associate's and/or bachelor's degree within the normal credit hour requirements for that degree. When appropriate, institutions should include transfer agreements in the program proposal.

3.1.2.1. CTE Certificate of Completion. A certificate of completion that prepares students for gainful employment in a recognized occupation, meets Perkins eligibility requirements and federal financial aid requirements, and consists entirely of lower division courses.

3.1.3. 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. These degrees require a minimum of 63 and a maximum of 69 semester credit hours. General education requirements are typically less extensive than in AA or AS degrees—generally 9 hours in, and include composition, computation, and human relations. General education courses/learning outcomes may be embedded within a course in the discipline, but must be identifiable courses, and the institution documents how and where the learning outcomes are embedded. Institutions structure AAS degrees to enable students to complete requirements and electives without upper-division coursework.

3.1.4. 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 responsible citizenship. The degree

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. Institutions structure associate degrees to enable students to complete requirements and electives without upper-division coursework.

3.1.4.1. 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. These degrees require 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 may 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.

3.1.4.2. Pre-Major. Associate's degrees that include a set of courses designed to prepare students for upper-division work in a specific major. Pre-major courses in an AA or AS degree should be the same or similar to courses offered at four-year institutions as determined by the USHE major 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, sponsoring institutions should pursue formal articulation agreements 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 should generally be able to complete the baccalaureate degree in two additional years of full-time study.

3.1.5. Baccalaureate Degrees: Bachelor of Arts (BA), Bachelor of Science (BS), and Bachelor of Applied Science (BAS) Degrees. Programs of study ~~which~~that include general education, and major course work, and that prepare students for employment in a career field and ~~for~~ responsible citizenship. Bachelor's Students can typically complete these degrees in four years of full-time study. Baccalaureate degrees require a minimum of 120 and ~~a~~ maximum of 126 semester credit hours.

3.1.5.1. Professional Bachelor's Degrees. A professional degree that 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. It may exceed the maximum of 126 credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

3.1.5.2. 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 USHE major committees.

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

3.1.5.4. Bachelor of Applied Science (BAS) Degrees. Programs of study typically designed as completion programs that build upon a prerequisite core of learning acquired from previous educational attainment that may have occurred through a variety of programs, higher education institutions, or applied learning contexts. The degree focuses on workforce or other specific applied preparation, and links to industry or organizations where opportunities for applied learning are available to students and are integrated into program requirements. When a BAS program is designed to receive an AAS program as a stackable credential, students can typically complete the BAS within two years of full-time study beyond the AAS degree.

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

3.1.5.6. K-12 Teaching Endorsement. A collection of courses, built upon an approved teacher education program that prepares K-12 teachers or teacher candidates to meet specific area certification as established by the Utah State Board of Education.

3.1.6. Post-baccalaureate Certificate. A program of study requiring less than 30 semester credit hours and composed of undergraduate and/or graduate courses. The program requires a bachelor's degree for admission.

3.1.7. Post-master's Certificate. A program of study less than 30 semester credit hours and composed entirely of graduate-level courses. The program requires a master's degree for admission.

3.1.8. Master of Arts (MA) and Master of Science (MS) Degrees. Graduate-level programs of study beyond the bachelor's degree. A master's degree requires a minimum of 30 and maximum of 36 semester credit hours of course work.

3.1.8.1. 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 semester credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

3.1.9. 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. Doctoral degrees generally require three to six years of study, preparation and defense of a dissertation based on original research, or planning or execution of an original project demonstrating substantial artistic or scholarly achievement.

3.1.9.1. Professional Practice Doctoral Degrees. Provide knowledge and skills for credentials or licenses 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.

3.2. Academic and Student Affairs Committee- (ASAC). A Board of Regents committee responsible for academic and student affairs planning and program review. The committee provides feedback and guidance for proposed new programs, colleges or professional schools and general guidance on academic policies and strategies.

3.3. Articulation Agreement. A formal agreement between two or more institutions documenting the transfer policies for a specific academic program or degree. Agreements may cover any course of study, including certificates and/or degree programs. Institutions shall address transfer and articulation agreements between lower and upper-division programs at the annual USHE major committee meetings. Institutions may enter into additional transfer and articulation agreements, such as those in Career and Technical Education (CTE). If the CTE agreements affect general education transfer and articulation, the sponsoring institution shall inform other USHE institutions through the USHE majors committee.

3.4 Branch Campus/Extension Center. For the purposes of this policy, a location of an institution that is geographically apart and independent of the main campus and is permanent in nature.

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

3.6 Centers, Institutes, or Bureaus. Administrative entities that primarily perform 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. Chief Academic Officer (CAO). The institution's chief academic officer responsible for the institution's academic affairs.

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

3.9. College or Professional School. An academic unit within a Utah System of Higher Education (USHE) institution that is headed by an academic dean.

3.10. **Council of Chief Academic Officers.** The CAOs of all USHE institutions.

3.11. **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.

3.12. **Institution of higher education/Institution.** An institution that is part of the Utah System of Higher Education described in Utah Code 53B-1-102(1)(a)-(i).

3.13. **Major.** The discipline in which the degree resides.

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

3.15. **Peer Review Committee:** The Council of Chief Academic Officers or designees who review programs of instruction, new colleges or schools.

3.16. **Program.** A program of curriculum that leads to the completion of a degree, certificate, or other credential.

~~3.17. **Program Review Committee (PRC).** A Board of Regents workgroup that provides initial feedback and guidance for proposed new programs, colleges or professional schools and general guidance on academic policies and strategies.~~

R401-4. Authority for Program Approval and Mission Alignment.

4.1. An institution may, with the approval of its Board of Trustees, establish a new program of instruction that is within the institution's primary role as established in Regent Policy R312 and Utah Code Section 53B-16-102(4)(b).

4.2. An institution may not establish the following without Board of Regents approval:

4.2.1. A branch, extension center, college, or professional school;

4.2.2. A new program of instruction that is outside of the institution's primary role.

4.3. The following chart shows the program levels for which institutions are authorized to offer programs without Board of Regents approval:

Approved Degree Types by USHE Institution													
USHE INSTITUTION	Undergraduate Certificate	Post-baccalaureate/Post-graduate Certificate	Associate Degrees (AAS, AA, AS, AFA)	Baccalaureate Degree (BA, BS, BFA)/Other Professional (e.g., BSN)	Master's Degree (MA, MS, MBA, MFA)/Other Professional (e.g., MSN, MAT)	Doctorate (PhD)	JD	DDS	MD	EdD	DVM	Other Professional Doctorates (e.g., DPT, DAud)	
U of U	X	X	X	X	X	X	X	X	X	X	X	X	
USU	X	X	X	X	X	X							
WSU	X	X	X	X	X								
SUU	X	X	X	X	X								
DSU	X	X**	X	X	X**								
UNU	X	X	X	X	X								
SICC	X		X	X***									
SNOW	X		X	X***									
**After NWCCU requirements for offering graduate programs in place													
***Considered out of mission but approved on rare occasions													
Approved Degree Types by USHE Institution													
USHE INSTITUTION	Undergraduate Certificate	Post-baccalaureate/Post-graduate Certificate	Associate Degrees (AAS, AA, AS, AFA)	Baccalaureate Degree (BA, BS, BFA)/Other Professional (e.g., BSN)	Master's Degree (MA, MS, MBA, MFA)/Other Professional (e.g., MSN, MAT)	Doctorate (PhD)	JD	DDS	MD	EdD	DVM	Other Professional Doctorates (e.g., DPT, DAud)	
U of U	X	X	X	X	X	X	X	X	X	X	X	X	
USU	X	X	X	X	X	X							
WSU	X	X	X	X	X								
SUU	X	X	X	X	X								
DSU	X	X**	X	X	X**								
UNU	X	X	X	X	X								
SICC	X		X	X***									
SNOW	X		X	X***									
**After NWCCU requirements for offering graduate programs in place													
***Considered out of mission but approved on rare occasions													

Field Code Changed

4.3.1. Institutions unsure whether a proposed program is within their mission may consult the Office of the Commissioner for a determination from the [PRCASAC](#).

4.3.2. Programs determined to be outside an institution's mission may be approved under the process described in R401-5.

R401-5. Notification of New Programs, Credentials, Reviews and Other Changes.

5.1. Institutions shall notify OCHE for the following new programs, credentials or changes:

- 5.1.1. All programs considered for peer review under section 6.1.
- 5.1.2. New Certificates of Proficiency (except Institutional Certificates of Proficiency);
- 5.1.3. New Certificates of Completion;
- 5.1.4. New Post-baccalaureate and Post-masters Certificates;
- 5.1.5. New Minors;
- 5.1.6. New Emphases within an -approved degree;
- 5.1.7. New K-12 Endorsements;

5.1.8. Existing Program Changes including:

- 5.1.8.1. Program Transfer;
- 5.1.8.2. Program Restructure;
- 5.1.8.3. Program Consolidation;
- 5.1.8.4. Program Suspension;
- 5.1.8.5. Program Discontinuation;
- 5.1.8.6. Program Name Change;
- 5.1.8.7. Out-of-Service Area Delivery of a Program; and
- 5.1.8.8. Reinstatement of a Previously Suspended Program.

5.1.9. Program Reports including:

- 5.1.9.1. Three-Year Follow Up Reports; and
- 5.1.9.2. Cyclical Institution Program Reviews (R411).

5.1.10. Administrative Unit Changes including:

- 5.1.10.1. New Administrative Units;
- 5.1.10.2. Administrative Unit Transfer;
- 5.1.10.3. Administrative Unit Restructure;
- 5.1.10.4. Administrative Unit Consolidation; and
- 5.1.10.5. Reinstatement of Previously Suspended Administrative Units.

5.1.11. Creation of Non-Administrative Units including:

- 5.1.11.1. New Centers;
- 5.1.11.2. New Institutes;
- 5.1.11.3. New Bureaus.

5.2. Institutions shall follow R401-7, *Proposal and Notification Submission Procedures*, and appropriate template instructions. Notification items will be posted to the OCHE database and will appear as an information item on the Board of Regents agenda. Notification items do not require Regent approval but may be examined to ensure they are congruent with the institution's mission under R401-4.

5.3. Notification Guidelines.

5.3.1. Out-of-Service-Area Delivery of Programs. Institutions that offer programs outside their designated service area must seek approval (see R315, *Geographic Service Regions*; R312, *Institutional Mission and Roles*).

5.3.2. Discontinuing or Suspending Programs. An institution discontinues a program when it removes the program from the institution's and the Regents' list of approved programs, but only after current students have an opportunity to complete. An institution suspends a program when it temporarily prohibits students from enrolling in the program. The program remains on the Regents' list of approved programs and may, at the institution's discretion, remain in the online and/or printed catalog until fully discontinued.

5.3.2.1. Student Completion in Discontinued or Suspended Programs.

Students currently admitted to the program must be provided a path to complete

the program in a reasonable period of time compatible with accreditation standards. This may require: (1) enrolling students at other institutions of higher education; or (2) offering courses for a maximum of two years after discontinuing the program or until there are no other admitted students who are entitled to complete the program, whichever comes first.

5.3.2.2. 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 discontinuing unnecessary duplicative programs within the USHE, particularly programs that may be high cost and/or low producing.

5.3.3. 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 shall notify the Board of Regents using the notification template. Notice should include a statement verifying the program name, administrative unit structure and/or the curricular content that are identical to the original program. If either the name or curricular content of the program have changed, the institution will submit the program as a new program and discontinue the suspended program.

R401-6. Peer Review for New Proposed Programs.

6.1. The following Programs Require Peer Review before being approved by either the Board of Trustees or the Board of Regents:

- 6.1.1.** Associate of Applied Science (AAS) Degrees.
- 6.1.2.** Associate of Arts (AA) and Associate of Science (AS) Degrees.
- 6.1.3.** Baccalaureate Degrees.
- 6.1.4.** Master's Degrees.
- 6.1.5.** Doctoral Degrees.
- 6.1.6.–** New colleges or professional schools.

6.2. Peer Review Process. The Commissioner's staff will coordinate the peer review process.

6.2.1. Review by the Commissioner's Staff. Institutions shall submit full program proposals, including financial and budget analyses, to the Commissioner's staff for review and comment.

6.2.2. Peer Review by Council of Chief Academic Officers. After the Commissioner's staff has determined the proposal is ready for peer review, they will forward the proposal to the CAOs. The CAOs will review the proposal and may submit comments or questions for response from the other CAOs. The Peer Review Committee will meet with the

Commissioner's staff to discuss the proposal, the peer institutions' comments or questions, external reviews (if applicable), and the Commissioner's staff's evaluation. Feedback from the CAOs may be included in the Peer Review Report.

6.2.3.— Report on Peer Review. The Commissioner's staff shall issue a report with the results of the peer review to the board of trustees for its consideration when determining whether to approve the proposed program. The Commissioner will convey the final report to the Board of Regents. If the proposed program is within the institution's mission, the report will be an information item for the Board of Regents. If the proposed program is outside of the institution's mission, the institution and its board of trustees shall determine whether they wish pursue the program by seeking Board of Regents approval as outlined in section 7.1.

6.2.3.1. 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, such as differential tuition or building appropriations, shall be submitted separately through the regular budget procedure.

6.3. Review by Specialized Groups. Review by specialized groups may be conducted concurrently with peer review. The following types of programs require specialized review as noted.

6.3.1. 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 notification.

R401-7. Regents' Review, Approval, or Elimination of Programs.

7.1 Proposed New Programs Outside an Institution's Mission. An institution may submit a program determined to be outside of its mission to the Board of Regents for consideration as follows:

7.1.1. Institutions shall first submit their proposal in accordance with the *Proposal and Notification Submission Procedures* established in section 9.

7.1.2. The institution's CAO will forward full program proposals to the Commissioner's Academic and Student Affairs staff for review and comment.

7.1.3. Once they have reviewed the proposed program, the Commissioner's staff will submit the full program proposal and all attendant issues to the **PRCASAC** for review. The **PRCASAC** will review the program proposal and request additional information or consultation as appropriate. The **PRCASAC** will determine whether or not to forward the program proposal to the Board of Regents for approval.

7.2. Board Review and Termination of a Program Outside an Institution's Mission.

7.2.1. If the Board of Regents determines a Board of Trustees has approved a program that is outside the institution's mission, the Board of Regents may call for review of that program.

7.2.2. The Commissioner shall notify the institution's President and Board of Trustees Chair in writing that the Board will review the program.

7.2.3. Within 30 days of notification, the institution shall submit to OCHE the materials the Board of Trustees reviewed in approving the program.

7.2.4. The [PRGASAC](#) will review the materials, request additional information or documentation as necessary, conduct a hearing in which the institution may participate, and make a recommendation to the Board of Regents for final action.

R401-8. Reports. Within three years of implementation, institutions shall submit a report on all programs that require a peer review under R401. Institutions shall submit reports using the appropriate USHE report template.

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

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

R401-9. Proposal and Notification Procedures.

9.1. Proposal Templates. Proposals for new programs, administrative units, changes to existing programs and administrative units, out-of-service area delivery, or program reports are submitted to the Commissioner's office using the designated USHE Full Template, Abbreviated Template, or Notification Template (see R401-7 and R401-8). Current versions of all proposal and report templates are available online. Institutions must follow the template's instructions.

9.1.1. Classification of Instructional Program (CIP) Codes. When preparing the Full, Abbreviated, or Notification 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.

9.1.2. Transmission of Proposals. The Chief Academic Officer will submit proposals to the Academic and Student Affairs Staff (academicaffairs@ushe.edu).

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

Appendix A: General Studies Bachelor's Degree Guidelines

A General Studies 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.

R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports¹

R401-1.Purpose. To establish criteria and procedures for new programs of instruction that ensure rigorous scrutiny—beginning at the institutional level and then by an institution’s peers—and encourage a range of sustainable degrees and other credentials within each institution’s mission and that meet or exceed national standards. This policy also creates procedures for approving or discontinuing programs and notifying the Board of Regents of changes to academic program and administrative units.

R401-2.References.

- 2.1. Utah Code §53B-16-102, Changes in Curriculum
- 2.2. Regents Policy R220, Delegation of Responsibilities to the President and Board of Trustees
- 2.3. Regents Policy R312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles
- 2.4. Regents Policy R315, Service Area Designations and Coordination of Off-Campus Courses and Programs
- 2.5. Regents Policy R411, Cyclical Institutional Program Reviews
- 2.6. Regents Policy R470, General Education, Common Course Numbering, Lower-Division Pre-Major Requirements, Transfer of Credits, and Credit by Examination

R401-3.Definitions.

3.1. Academic Awards. Academic awards range from certificates to doctoral degrees. The following definitions describe common characteristics of each award. In compliance with accreditation, institutions may establish additional requirements and course work

3.1.1. Certificate of Proficiency. A program of study that prepares students for an occupation. It does not require, but may include, general education courses. The certificate requires 16 to 29 semester credit hours or 600 to 899 clock hours. It consists

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, September 18, 2015, and July 21, 2017.

entirely of undergraduate courses but does not require prerequisite courses, conditions, or degrees for admission to the program.

3.1.1.1. CTE Certificate of Proficiency. A certificate of proficiency that prepares students for gainful employment in a recognized occupation, meets Perkins eligibility requirements and federal financial aid requirements, and consists entirely of lower division courses.

NOTE: Institutional certificates of proficiency require less than 30 semester credit hours, or 900 clock hours) and are not eligible for federal financial aid. Institutions may establish institutional certificates without notifying the Regents. Institutions may use these certificates to address varying needs, including workforce preparation, bridging student pathways from high school, avocational interests, or development of specialized skills.

3.1.2. Certificate of Completion. A program of study that prepares students for an occupation. It requires a recognizable general education core in communication, computation, and human relations. The general education core may be embedded within program courses. The certificate requires a minimum of 30 semester credit hours or 900 clock hours and typically does not exceed 33 semester credit hours or 990 clock hours. It consists entirely of undergraduate courses and has no prerequisite courses, conditions, or degrees required for admission to the program. Institutions should demonstrate how certificates requiring more than 36 semester credit hours or more than 1,080 clock hours can lead to an associate's and/or bachelor's degree within the normal credit hour requirements for that degree. When appropriate, institutions should include transfer agreements in the program proposal.

3.1.2.1. CTE Certificate of Completion. A certificate of completion that prepares students for gainful employment in a recognized occupation, meets Perkins eligibility requirements and federal financial aid requirements, and consists entirely of lower division courses.

3.1.3. 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. These degrees require a minimum of 63 and a maximum of 69 semester credit hours. General education requirements are typically less extensive than in AA or AS degrees, and include composition, computation, and human relations. General education learning outcomes may be embedded in discipline courses, and the institution documents how and where the learning outcomes are embedded. Institutions structure AAS degrees to enable students to complete requirements and electives without upper-division coursework.

3.1.4. 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 responsible citizenship. The degree 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. Institutions structure associate degrees to enable students to complete requirements and electives without upper-division coursework.

3.1.4.1. 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. These degrees require 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 may 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.

3.1.4.2. Pre-Major. Associate's degrees that include a set of courses designed to prepare students for upper-division work in a specific major. Pre-major courses in an AA or AS degree should be the same or similar to courses offered at four-year institutions as determined by the USHE major 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, sponsoring institutions should pursue formal articulation agreements 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 should generally be able to complete the baccalaureate degree in two additional years of full-time study.

3.1.5. Baccalaureate Degrees: Bachelor of Arts (BA), Bachelor of Science (BS), and Bachelor of Applied Science (BAS). Programs of study that include general education and major course work, and that prepare students for employment in a career field and responsible citizenship. Students can typically complete these degrees in four years of full-time study. Baccalaureate degrees require a minimum of 120 and maximum of 126 semester credit hours.

3.1.5.1. Professional Bachelor's Degrees. A professional degree that 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. It may exceed the maximum of 126 credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

3.1.5.2. 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 USHE major committees.

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

3.1.5.4. Bachelor of Applied Science (BAS) Degrees. Programs of study typically designed as completion programs that build upon a prerequisite core of learning acquired from previous educational attainment that may have occurred through a variety of programs, higher education institutions, or applied learning contexts. The degree focuses on workforce or other specific applied preparation, and links to industry or organizations where opportunities for applied learning are available to students and are integrated into program requirements. When a BAS program is designed to receive an AAS program as a stackable credential, students can typically complete the BAS within two years of full-time study beyond the AAS degree.

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

3.1.5.6. K-12 Teaching Endorsement. A collection of courses, built upon an approved teacher education program that prepares K-12 teachers or teacher candidates to meet specific area certification as established by the Utah State Board of Education.

3.1.6. Post-baccalaureate Certificate. A program of study requiring less than 30 semester credit hours and composed of undergraduate and/or graduate courses. The program requires a bachelor's degree for admission.

3.1.7. Post-master's Certificate. A program of study less than 30 semester credit hours and composed entirely of graduate-level courses. The program requires a master's degree for admission.

3.1.8. Master of Arts (MA) and Master of Science (MS) Degrees. Graduate-level programs of study beyond the bachelor's degree. A master's degree requires a minimum of 30 and maximum of 36 semester credit hours of course work.

3.1.8.1. 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 semester credit hours to meet accreditation requirements. Professional degrees often lead to third-party licensure.

3.1.9. 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. Doctoral degrees generally require three to six years of study, preparation and defense of a dissertation based on original research, or planning or execution of an original project demonstrating substantial artistic or scholarly achievement.

3.1.9.1. Professional Practice Doctoral Degrees. Provide knowledge and skills for credentials or licenses 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.

3.2. Academic and Student Affairs Committee (ASAC). A Board of Regents committee responsible for academic and student affairs planning and program review. The committee provides feedback and guidance for proposed new programs, colleges or professional schools and general guidance on academic policies and strategies.

3.3. Articulation Agreement. A formal agreement between two or more institutions documenting the transfer policies for a specific academic program or degree. Agreements may cover any course of study, including certificates and/or degree programs. Institutions shall address transfer and articulation agreements between lower and upper-division programs at the annual USHE major committee meetings. Institutions may enter into additional transfer and articulation agreements, such as those in Career and Technical Education (CTE). If the CTE agreements affect general education transfer and articulation, the sponsoring institution shall inform other USHE institutions through the USHE majors committee.

3.4 Branch Campus/Extension Center. For the purposes of this policy, a location of an institution that is geographically apart and independent of the main campus and is permanent in nature.

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

3.6 Centers, Institutes, or Bureaus. Administrative entities that primarily perform 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. Chief Academic Officer (CAO). The institution's chief academic officer responsible for the institution's academic affairs.

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

3.9. College or Professional School. An academic unit within a Utah System of Higher Education (USHE) institution that is headed by an academic dean.

3.10. Council of Chief Academic Officers. The CAOs of all USHE institutions.

3.11. 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.

3.12. Institution of higher education/Institution. An institution that is part of the Utah System of Higher Education described in Utah Code 53B-1-102(1)(a)-(i).

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

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

3.15. Peer Review Committee: The Council of Chief Academic Officers or designees who review programs of instruction, new colleges or schools.

3.16. Program. A program of curriculum that leads to the completion of a degree, certificate, or other credential.

R401-4. Authority for Program Approval and Mission Alignment.

4.1. An institution may, with the approval of its Board of Trustees, establish a new program of instruction that is within the institution's primary role as established in Regent Policy R312 and Utah Code Section 53B-16-102(4)(b).

4.2. An institution may not establish the following without Board of Regents approval:

4.2.1. A branch, extension center, college, or professional school;

4.2.2. A new program of instruction that is outside of the institution's primary role.

4.3. The following chart shows the program levels for which institutions are authorized to offer programs without Board of Regents approval:

Approved Degree Types by USHE Institution													
USHE INSTITUTION	Undergrad- uate Certificate	Post- baccalaure ate/Post- masters Certificate	Associate Degrees (AAS, AA, AS, AFA)	Baccalaureate Degree (BA, BS, BFA)/Other Professional (e.g., BSN)	Master's Degree (MA, MS, MBA, MFA)/Other Professional (e.g., MSN, MAT)	Doctorate (PhD)	JD	DDS	MD	EdD	DVM	Other Professional Doctorates (e.g., DPT, DAud)	
U of U	X	X	X	X	X	X	X	X	X	X		X	
USU	X	X	X	X	X	X				X	X	X	
WSU	X	X	X	X	X								
SUU	X	X	X	X	X								
DSU	X	X**	X	X	X**								
UVU	X	X	X	X	X								
SLCC	X		X	X***									
SNOW	X		X	X***									
**After NWCCU requirements for offering graduate programs in place													
***Considered out of mission but approved on rare occasions													

4.3.1. Institutions unsure whether a proposed program is within their mission may consult the Office of the Commissioner for a determination from the ASAC.

4.3.2. Programs determined to be outside an institution's mission may be approved under the process described in R401-5.

R401-5. Notification of New Programs, Credentials, Reviews and Other Changes.

5.1. Institutions shall notify OCHE for the following new programs, credentials or changes:

5.1.1. All programs considered for peer review under section 6.1.

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

5.1.3. New Certificates of Completion;

5.1.4. New Post-baccalaureate and Post-masters Certificates;

5.1.5. New Minors;

5.1.6. New Emphases within an -approved degree;

5.1.7. New K-12 Endorsements;

5.1.8. Existing Program Changes including:

5.1.8.1. Program Transfer;

5.1.8.2. Program Restructure;

5.1.8.3. Program Consolidation;

5.1.8.4. Program Suspension;

5.1.8.5. Program Discontinuation;

5.1.8.6. Program Name Change;

5.1.8.7. Out-of-Service Area Delivery of a Program; and

5.1.8.8. Reinstatement of a Previously Suspended Program.

5.1.9. Program Reports including:

5.1.9.1. Three-Year Follow Up Reports; and

5.1.9.2. Cyclical Institution Program Reviews (R411).

5.1.10. Administrative Unit Changes including:

- 5.1.10.1. New Administrative Units;
- 5.1.10.2. Administrative Unit Transfer;
- 5.1.10.3. Administrative Unit Restructure;
- 5.1.10.4. Administrative Unit Consolidation; and
- 5.1.10.5. Reinstatement of Previously Suspended Administrative Units.

5.1.11. Creation of Non-Administrative Units including:

- 5.1.11.1. New Centers;
- 5.1.11.2. New Institutes;
- 5.1.11.3. New Bureaus.

5.2. Institutions shall follow R401-7, *Proposal and Notification Submission Procedures*, and appropriate template instructions. Notification items will be posted to the OCHE database and will appear as an information item on the Board of Regents agenda. Notification items do not require Regent approval but may be examined to ensure they are congruent with the institution's mission under R401-4.

5.3. Notification Guidelines.

5.3.1. Out-of-Service-Area Delivery of Programs. Institutions that offer programs outside their designated service area must seek approval (see R315, *Geographic Service Regions*; R312, *Institutional Mission and Roles*).

5.3.2. Discontinuing or Suspending Programs. An institution discontinues a program when it removes the program from the institution's and the Regents' list of approved programs, but only after current students have an opportunity to complete. An institution suspends a program when it temporarily prohibits students from enrolling in the program. The program remains on the Regents' list of approved programs and may, at the institution's discretion, remain in the online and/or printed catalog until fully discontinued.

5.3.2.1. Student Completion in Discontinued or Suspended Programs.

Students currently admitted to the program must be provided a path to complete the program in a reasonable period of time compatible with accreditation standards. This may require: (1) enrolling students at other institutions of higher education; or (2) offering courses for a maximum of two years after discontinuing the program or until there are no other admitted students who are entitled to complete the program, whichever comes first.

5.3.2.2. 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 discontinuing unnecessary duplicative programs within the USHE, particularly programs that may be high cost and/or low producing.

5.3.3. 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 shall notify the Board of Regents using the notification template. Notice should

include a statement verifying the program name, administrative unit structure and/or the curricular content that are identical to the original program. If either the name or curricular content of the program have changed, the institution will submit the program as a new program and discontinue the suspended program.

R401-6. Peer Review for New Proposed Programs.

6.1. The following Programs Require Peer Review before being approved by either the Board of Trustees or the Board of Regents:

6.1.1. Associate of Applied Science (AAS) Degrees.

6.1.2. Associate of Arts (AA) and Associate of Science (AS) Degrees.

6.1.3. Baccalaureate Degrees.

6.1.4. Master's Degrees.

6.1.5. Doctoral Degrees.

6.1.6. New colleges or professional schools.

6.2. Peer Review Process. The Commissioner's staff will coordinate the peer review process.

6.2.1. Review by the Commissioner's Staff. Institutions shall submit full program proposals, including financial and budget analyses, to the Commissioner's staff for review and comment.

6.2.2. Peer Review by Council of Chief Academic Officers. After the Commissioner's staff has determined the proposal is ready for peer review, they will forward the proposal to the CAOs. The CAOs will review the proposal and may submit comments or questions for response from the other CAOs. The Peer Review Committee will meet with the Commissioner's staff to discuss the proposal, the peer institutions' comments or questions, external reviews (if applicable), and the Commissioner's staff's evaluation. Feedback from the CAOs may be included in the Peer Review Report.

6.2.3. Report on Peer Review. The Commissioner's staff shall issue a report with the results of the peer review to the board of trustees for its consideration when determining whether to approve the proposed program. The Commissioner will convey the final report to the Board of Regents. If the proposed program is within the institution's mission, the report will be an information item for the Board of Regents. If the proposed program is outside of the institution's mission, the institution and its board of trustees shall determine whether they wish pursue the program by seeking Board of Regents approval as outlined in section 7.1.

6.2.3.1. 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, such as differential tuition or building

appropriations, shall be submitted separately through the regular budget procedure.

6.3. Review by Specialized Groups. Review by specialized groups may be conducted concurrently with peer review. The following types of programs require specialized review as noted.

6.3.1. 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 notification.

R401-7. Regents' Review, Approval, or Elimination of Programs.

7.1 Proposed New Programs Outside an Institution's Mission. An institution may submit a program determined to be outside of its mission to the Board of Regents for consideration as follows:

7.1.1. Institutions shall first submit their proposal in accordance with the *Proposal and Notification Submission Procedures* established in section 9.

7.1.2. The institution's CAO will forward full program proposals to the Commissioner's Academic and Student Affairs staff for review and comment.

7.1.3. Once they have reviewed the proposed program, the Commissioner's staff will submit the full program proposal and all attendant issues to the ASAC for review. The ASAC will review the program proposal and request additional information or consultation as appropriate. The ASAC will determine whether or not to forward the program proposal to the Board of Regents for approval.

7.2. Board Review and Termination of a Program Outside an Institution's Mission.

7.2.1. If the Board of Regents determines a Board of Trustees has approved a program that is outside the institution's mission, the Board of Regents may call for review of that program.

7.2.2. The Commissioner shall notify the institution's President and Board of Trustees Chair in writing that the Board will review the program.

7.2.3. Within 30 days of notification, the institution shall submit to OCHE the materials the Board of Trustees reviewed in approving the program.

7.2.4. The ASAC will review the materials, request additional information or documentation as necessary, conduct a hearing in which the institution may participate, and make a recommendation to the Board of Regents for final action.

R401-8. Reports. Within three years of implementation, institutions shall submit a report on all programs that require a peer review under R401. Institutions shall submit reports using the appropriate USHE report template.

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

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

R401-9. Proposal and Notification Procedures.

9.1. Proposal Templates. Proposals for new programs, administrative units, changes to existing programs and administrative units, out-of-service area delivery, or program reports are submitted to the Commissioner's office using the designated USHE Full Template, Abbreviated Template, or Notification Template (see R401-7 and R401-8). Current versions of all proposal and report templates are available online. Institutions must follow the template's instructions.

9.1.1. Classification of Instructional Program (CIP) Codes. When preparing the Full, Abbreviated, or Notification 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.

9.1.2. Transmission of Proposals. The Chief Academic Officer will submit proposals to the Academic and Student Affairs Staff (academicaffairs@ushe.edu).

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

Appendix A: General Studies Bachelor's Degree Guidelines

A General Studies 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.

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Statewide College Advisors

The Utah Board of Regents is introducing a statewide program that will put a permanent, full-time college access advisor in every high school in Utah. This keystone initiative of the Board is the culmination of the efforts of the Working Groups and reflects the Board's prioritization of access and affordability issues over the past year.

Just 45 percent of Utah high school seniors make it to college. Many don't think it's possible for them, or they have no idea where to even start. The on-the-ground, near-peer college access advisor will help students register for and complete college entrance exams, submit college applications, apply for scholarships and financial aid, and connect them to first year experience programs to ensure a smooth transition from high school to college.

This statewide college access advising program would be an expansion of the Utah College Advising Corps, which has been operated by the University of Utah since 2007. The program was initially established under a joint grant from the Board of Regents and the University of Utah from the Jack Kent Cook Foundation, with the original intent to take this program statewide. Under the current program, 12 schools in Utah have a full-time advisor (11 along the Wasatch Front and 1 in St. George, as a partnership between the University of Utah and Dixie State University).

The Utah College Advising Corps model is proven to improve college enrollment and college graduation rates:

- Only 45% of Utah high school seniors make it to college immediately after high school. Students in the 12 schools with college access advisors enrolled at a rate of 58%.
- For every meeting with a college access advisor, students are 13% more likely to actually enroll in college.
- Students who met three to five times with a college access advisor are 42% more likely to enroll in college. After six meetings, they are 145% more likely to enroll in college.
- For every meeting with a college access advisor, students are 5% more likely to graduate from college.
- First-generation college students, specifically, are 8% more likely to graduate from college.

This proposal is to scale the program statewide, under the direction of the State Board of Regents, into every high school in Utah by the school year 2021-2022. As it is implemented across the state, the program will be regionally integrated into local USHE institutions to tie in with their programming and access efforts.

The current projected cost for state tax funds to implement this program is \$5,995,000, which will be refined as the Board pursues additional funding options and internal reprioritizations. The current funding request will include a one-time funding reduction the first year as the program prepares to scale statewide.

Commissioner's Recommendation

1. The Commissioner recommends the Board review and adopt the statewide college access advising program as its keystone initiative in support of the Board's strategic priorities.
2. The Commissioner recommends the Board require regular reporting on the implementation and scaling of the statewide college access advising program, including metrics on cost and student outcomes related to postsecondary enrollment and completion.
3. The Commissioner recommends the Board prioritize the statewide college access advising program as a top funding request in the Board of Regents' statutorily-obligated unified budget priorities for the Utah System of Higher Education.
4. The Commissioner recommends the Board instruct the Commissioner's Office to explore potential alternative funding opportunities to offset the total cost of this initiative, including internal reallocations and non-state funding sources in preparation for the 2019 Legislative Session.

David L. Buhler
Commissioner of Higher Education

DLB/SJ
Attachment

Too many Utah high school students are not going on to college. Though college is accessible to everyone in Utah—the majority of the public colleges and universities in the state are open-access, meaning anyone can attend—many high school students don’t think college is possible for them. And even if they do, many have no idea where to even start. These problems are often especially true for those with significant barriers to college entry, such as students who are low-income and first-generation.

A recent survey commissioned by the Utah Board of Regents found 90% of Utah parents expect their children to attend college, yet only about two-thirds of all Utah’s high school graduates enroll in college within five years. The cost of attending college is the top higher education issue for Utah parents, but only about half feel confident in finding information on scholarships, grants and financial aid.

To better support Utah high school students on their path to college, and to change the outcome for a generation of Utahns, the Utah Board of Regents is introducing a statewide program that will put a permanent, full-time college access advisor in every high school in Utah.

The program will help high school students:

- Register for and complete college entrance exams
- Submit college applications
- Apply for scholarships, grants and financial aid
- Connect to first-year experience programs for a seamless transition into higher education

Advisors will be available to every high school student, but will have an intentional focus on supporting low-income and first-generation students.

Advisors are recent college graduates. This “near-peer” model allows the advisors to speak from experience about navigating college systems, sharing college experiences, and supporting students who are experiencing similar barriers to entry.

The program expands the Utah College Advising Corps, a program of the University of Utah that, for over 10 years, has successfully helped students navigate the process of getting into college. This program has been in 12 Utah high schools since 2007, and has demonstrated effectiveness in improving college enrollment and college graduation rates.

College enrollment

Meeting with a college access advisor increases likelihood of enrollment

- One advisor meeting (13%)

- Three to five advisory meetings (42%)
- Six advisory meetings (145%)

College graduation

For every meeting with a college access advisor, the likelihood of college graduation increases:

- Five percent
- Eight percent for a first-generation student

Timeline

The statewide college advisor program will be implemented over a period of two years. By the 2020-2021 school year, an advisor will be available in half of Utah high schools. By the school year 2021-2022, advisors will be permanently in all Utah high schools.

Investment

The program is estimated to cost \$7 million. The projected state investment is \$5,995,000 with the remainder of the funding coming from existing resources.

Long-term Benefits

Utah needs more high school graduates to earn a college credential to ensure the state has the educated workforce necessary to continue to strengthen Utah's economic growth, meet workforce needs, and provide an opportunity for every Utahn to better their circumstance.

As the Board of Regents enters into its 50th year, it is making a permanent mark on Utah's future landscape with the program. By making this landmark investment in getting more students to attend—and graduate from—college, especially those who likely would not have otherwise attended, this first-in-the-nation, statewide college access advisor program will:

- Increase college enrollment
- Increase college graduation
- Change the course of intergenerational poverty

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Access, Affordability, Completion, and Workforce Development Pass-through Funds to Institutions

Background

The Utah State Legislature provides ongoing Education Excellence/College Readiness funding to the Outreach and Access unit of the Commissioner's Office each year. Some of that funding can be used as "pass-through" money for initiatives at institutions within the Utah System of Higher Education. In 2018, institutions were eligible for up to \$100,000 for the creation of new initiatives to address priorities from the State Board of Regents' priorities of Access, Affordable Participation, Timely Completion, and Workforce Development. In order to ensure that the pass-through funds met institutional priorities as well as the Regents' strategic goals, the Commissioner's Office asked the institutional Chief Academic Officers to select one initiative or a cluster of initiatives from their institution to receive the funding (not all institutions requested pass-through funding this year.) The funds are one-time money meant to jump start ongoing, sustainable projects at the institutions. The Commissioner's Office earmarked additional pass-through funds for institutions that were willing to organize statewide meetings to address regents' priority topics on behalf of the system. Smaller amounts were also available to bring training from USHE's annual Access and Completion Retreat back to faculty and staff on the campuses.

Description

Institutional Initiatives:

Weber State University (WSU) and Southern Utah University (SUU) will use their institutional pass-through funding to develop courses for first-year students in alignment with the Regent's High Impact Practices (HIPs) strategy passed in November of 2017. Weber State University will create a digitally enhanced, high impact practice Freshmen English Composition course that will be available to most first-year students. Southern Utah University will develop a Student Connections program to increase retention of students with low admissions index scores. The program will include a high impact practice UNIV 1050 course and personal mentoring meetings with both a Student Connections Coordinator and a Peer Academic Coach. SUU will also expand its Academic Probation interventions to increase odds of completion for students who are struggling academically.

Utah Valley University (UVU), Dixie State University (DSU), and Snow College will use their funds in support of the Regents' Timely Completion working group's data strategy initiative. UVU will explore five years of predictive analytics data on course scheduling efficiencies by department. A new faculty senate committee will design interventions based on that data such as innovative course schedules, a year-round

academic calendar, flexible start and end times, cohort models, prepopulated student schedules, block schedules, critical path analyses, and scheduling policies. Dixie State University will purchase and implement an enterprise-level predictive analytics technology to link administrators, advisors, deans, faculty, other staff, and students in a coordinated student support network designed to proactively manage student success and improve timely completion. Snow will purchase a predictive analytics system to provide teaching analytics, student learning analytics, and early intervention alerts.

Utah State University is splitting its funding across three initiatives: First-generation student onboarding; implementation of the Degree Works data system that will provide guided degree pathways for students; exploration of an integrated studies degree completion alternative for students who are in good academic standing but unable to matriculate into majors.

Statewide Initiatives: Salt Lake Community College received funds to host statewide forums on Academic Scheduling (aligned with access and completion focuses) and Open Educational Resources (aligned with access and affordability). Utah State University (USU) also received funds to begin work on Competency-based General Education courses for an AS degree on behalf of all USHE institutions, in alignment with the foci on access and affordability. Salt Lake Community College received direct legislative rather than Educational Excellence pass-through funds to develop General Education courses for an AAS degree on behalf of the system. USU also began hosting bi-monthly meetings on Student Analytics for teams from each institution in support of the Regents' Timely Completion working group's data strategy.

Bringing USHE-sponsored trainings to institutions: Dixie State University and Salt Lake Community College requested funds to bring consultants to their campuses to continue training on the Beyond Financial Aid access affordability interventions begun at USHE's annual Access and Completion Retreat in May.

Commissioner's Recommendation

This is an information item only; no formal action by the Board is required.

David L. Buhler
Commissioner of Higher Education

DLB/JH

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Outreach & Access Updates: USHE Conference for Counselors and School Administrators and the Expect the Great Conference for Students

USHE Conference for Counselors and School Administrators, September 14, 2018

This year marks the 10th anniversary of the Utah System of Higher Education's Conference for Counselors and School Administrators. The conference will be held September 14 at the Provo Marriott Hotel with the theme "College: Together We Can!" The keynote addresses will be given by Assistant Commissioner Dr. Julie Hartley and by inspirational speaker Justin Jones-Fosu. The conference is organized by Richard Gonzalez in the commissioner's Office of Outreach and Access.

The conference is a free training event for high school, junior high, and elementary school counselors and administrators, who can earn Utah State Board of Education recognized professional development credits for attending. The conference provides attendees with tools to create a college-going culture in their schools, to support college preparation, and to increase students' access to higher education. Participants can choose from 30 sessions with multiple topics, including training on college financial aid, the Board of Regents' recommended high school curriculum (Regents' Scholarship), the Three Rs of College Mental Health, effective counseling for students from underrepresented populations, and tools for successful career and college readiness meetings with students and parents. Two special sessions will provide training for counselors of schools participating in the Board of Regents' StepUp Schools Initiative.

Conference attendance has more than tripled in the ten years since it was first organized. This year's enrollment is capped at 665 attendees and all slots were filled by the end of August.

Expect the Great Conference, October 5-6 2018

The Expect the Great Conference is a free college and career awareness event for African, African-American, and black students and their families. The conference also includes an overnight retreat for Black Student Association Officers from across the state and a career and college fair. Aimed at increasing college participation, retention, and graduation, it was initiated eight years ago by former Board of Regents Vice-Chair France A. Davis.

Salt Lake Community College will host the 2018 conference on October 5 and 6.

Presidents of the USHE institutions each provide \$3,000 of financial support for the conference and assign staff members to work collaboratively as a planning team. The conference also receives leadership support through Lais Martinez of the office of Outreach and Access as well as \$4,000 of funding. This year's committee chairs are Dr. Roderick Land and Rita Branch-Davis of Salt Lake Community College.

Commissioner's Recommendation

This is an information item only; no formal action by the Board is required.

David L. Buhler
Commissioner of Higher Education

DLB/JH

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Tuition and Student Aid Policy Study Update

Issue

The Finance and Facilities committee of the Board of Regents has been assigned to serve as the steering committee for the Board's strategic initiative focused on tuition and student aid policies. This report serves as the status update regarding the initiative and highlights several questions for the steering committee to consider as it expands its discussion regarding college affordability and tuition and student aid policies.

Background

The Board of Regents recognizes that Utah must increase the proportion of its population with a college education to build state prosperity into the future. This can only be accomplished by ensuring higher education remains accessible and affordable for Utahns. Affordability is an issue of concern for Utahns, given larger family sizes (3.12 persons per household, compared with 2.63 nationally) and thus the likelihood of more students attending college from the same family, simultaneously. As the Board considers an affordability strategy, it will be important to recognize that although tuition at Utah's four-year public institutions is the third-lowest in the nation, Utah community colleges rank 16th lowest in the nation, which creates questions about college affordability for students pursuing career and technical training, an associate's degree, or a cost-effective alternative way to complete their first two years of school before transferring to a four-year institution.

In May 2018, the Board adopted three strategic priority initiatives including the request that the Commissioner and his staff engage in a comprehensive evaluation study of the Board's current tuition and student aid policies in order to create an affordability strategy and framework; recommend revisions to tuition and student aid policies to support the affordability strategy; identify the economic benefit of nonresident students for the state of Utah; and create system and institution metrics and benchmarks to review system and institution performance against the affordability strategy.

The Commissioner's staff has initiated the study and has completed the following tasks:

- Develop an initial timeline associated with the completion of the project (attached)
- Engage the Kem C. Gardner Institute to conduct the study
- Identify and meet with system-wide institutional representatives to gather institutional perspective regarding the project scope

- Meet with Kem C. Gardner to clarify initial questions regarding scope and anticipated deliverables

Over the next several weeks, the Commissioner's office will complete the following additional tasks

- Reconvene the institution representatives to review and refine the initial scope document prepared by Kem C. Gardner (September 24)
- Schedule a meeting with the Finance and Facilities committee to review the project scope to ensure that the study addresses the Board's specific questions (October or in conjunction with the November Board meeting).

Board questions to consider:

- How does the Board define affordability?
- How does the current tuition and fee policy create unintentional affordability barriers for students?
 - Does a uniform first-tier tuition increase policy adversely impact student affordability across the system institutions?
 - Does a two-tier tuition system result in higher average tuition rate increases across the system more than an individual tuition rate developed specifically for each institution?
 - To encourage summer enrollment, should new-year tuition increases be delayed to fall semester?
 - Should a separate summer tuition schedule or adjusted plateau schedule be adopted to encourage summer enrollment and timely completion efforts?
 - Should the Board consider changing the non-resident tuition surcharge from 3.0 times the resident rate to be at least equivalent to the full-cost for resident students?
 - Regent policy currently allows institutions to implement undergraduate tuition differentials, do these differentials adversely impact first-generation and underrepresented students' access to these programs?
 - Program and course fees are managed at the institution level, with limited Board involvement which has resulted in a multitude of additional fees that students are required to pay in addition to tuition, differential tuition, and general student fees. Should the Board take a more active role in program and course fee management?
 - Is there a benefit to directing institutions to do a tuition reset to calculate the cost of eliminating all student fees and creating a single tuition rate for students? What would be the short-term and long-term impact for students and institutions?
- How will institutions be impacted financially by tuition policy revisions?
- What additional information does the Board need to make informed tuition rate increases?
- What types of institution accountability would the Board like to see related to tuition and fees?
- Should there be a separate Regent workgroup to focus on tuition issues?

Attachments to this memo include

- Regent Policy R510, *Tuition and Fees*
- Tuition and Student Aid Policy Study Work plan and timeline
- Tuition and Student Aid Policy Institution Representative Workgroup

Commissioner's Recommendation

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

DLB/KLH
Attachments

David L. Buhler
Commissioner of Higher Education

R510-1. Purpose: To establish a tuition and general fee policy.

R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)

R510-3. General Policy

3.1. Uniform First Tier Tuition Rate Increases: A first tier tuition rate increase shall be uniform for all institutions, shall be implemented at the same time, and shall be based on evaluations of current data on inflation and national and regional tuition increases and justified by specific increasing needs in the Utah System of Higher Education.

3.2. Optional Second Tier Tuition Rate Increases: Each institutional President, with the approval of the institutional Board of Trustees, may recommend a second tier tuition rate increase to meet specific institutional needs. Second tier tuition rate increases may apply to all programs equally or may be different for specific programs.

3.3. Application of Increases in Tuition Revenues in Appropriated Operating Budget Requests: In developing its appropriated operating budget recommendations, it is the policy of the Board to include tuition revenues from projected additional annualized FTE enrollments as a portion of the projected financing for proposed expenditure increases to accommodate the additional students. Revenues from a proposed uniform first tier tuition rate increase pursuant to Section 3.1 will be included as partial financing for other proposed expenditure increases. Revenues from recommended second tier tuition rate increases pursuant to Section 3.2 will not be included as partial financing for other proposed expenditure increases.

3.4. Effective Date for New Tuition Schedules: Tuition changes approved by the Board take effect for the subsequent semester.

3.5. Resident/Nonresident Tuition Relationships: Undergraduate nonresident tuition shall be set at no less than 3.0 times the institutional undergraduate resident tuition rate. The Board may grant exceptions on a case-by-case basis.

3.6. Graduate/Undergraduate Tuition Relationships: Tuition for resident and non-resident graduate students will be set at no less than one hundred ten percent (110%) of tuition for undergraduate students. For this purpose, a graduate student is a student who has been formally admitted to a graduate program at the institution.

3.7. Annual Review for Fairness and Price Competitiveness: Annually, the tuition relationship targets, comparisons with national and regional tuition and fee data, institutional cost data, general and

¹ Approved October 24, 1986; amended June 19, 1987, August 7, 1987, July 27, 1990, March 21, 1992, September 18, 1992, November 6, 1992, September 24, 1993, September 23, 1994, November 4, 1994, June 23, 1995, November 3, 1995, August 1, 1996, September 11, 1997, November 13, 1998, January 21, 2000, March 17, 2000, March 16, 2001, March 14, 2002, July 2, 2002 and December 14, 2007, January 11, 2012, November 16, 2012, and May 16, 2014.

course fee data, and other factors shall be reviewed to determine if modifications are necessary to maintain fairness and price competitiveness.

R510-4. Tuition Charges

4.1. Alternative Tuition Models: Institutions may use either: (1) a linear tuition model, in which the incremental tuition charge per student credit hour is the same without regard to the number of hours for which a student is enrolled, or (2) a plateau model, in which students carrying a defined full-time load are charged a uniform rate within a defined range of credit hours.

4.1.1. Maximum Range for the Plateau Model: The plateau, or number of credit hours for which a full-time tuition rate may be charged, may be any range between 10 and 20 credit hours. Where the plateau model is used, tuition per credit hour between one credit hour and the beginning of the plateau range shall increase in linear increments. Students enrolled for credit hours beyond the plateau range shall be charged at the same rate per credit hour as those before the plateau range.

4.1.2. Online Tuition: Alternative tuition schedules for online courses may be authorized by the Board on a case by case basis

4.2. Differential Tuition: Differential tuition schedules for undergraduate and graduate programs may be authorized by the Board on a case by case basis. In addition to initially approving differential tuition rates for academic programs, differential tuition increases beyond the regular institutional tuition increase proposal should be approved by the Board. The increased revenues from the differential tuition rate charges shall be used by the institution to benefit the impacted program and to help support related campus services. Institutions requesting differential tuition schedules should consult with students in the program and consider the following:

- 4.2.1. the student and market demand for the program;
- 4.2.2. the impact of differential tuition rates on student access and retention;
- 4.2.3. the tuition rates of comparable programs at other institutions;
- 4.2.4. the potential earnings capacity of program graduates; and
- 4.2.5. the societal importance of the program.

4.3. Inclusion of Registration Costs: Registration costs shall be included in tuition, not assessed as a separate fee category.

4.4. Apprenticeship Programs: Tuition for courses offered specifically for apprenticeship programs shall be at least one-half of, and no greater than, tuition for other credit courses at the institution.

4.5. Non-Credit Programs: Short-term intensive training (STIT) funds are appropriated by the Legislature to each participating USHE institution. Tuition for non-credit CTE programs funded with STIT dollars will be established by each institution at a level sufficient to cover program costs and in accordance with USHE guidelines and legislative intent.

4.6. Other Non-Credit Instruction: Tuition for other non-credit programs and courses shall be established by each USHE institution. The total of all available funds, including tuition, shall be sufficient to pay the total direct cost of providing such programs and courses, in the aggregate, for the institution.

4.7. Summer School: Resident summer school students shall be assessed the same tuition per credit hour or full-time load as that assessed resident students during the regular academic year.

4.8. Contract Credit Courses: Charges for credit courses provided under contract to outside agencies shall be at least sufficient to pay the total direct costs of providing such courses, in the aggregate for the institution.

4.9. Continuing Education Credit Enrollments: Students enrolled in Continuing Education credit courses other than contract courses shall be assessed tuition at no less than the regular charge per credit hour.

4.10. Medicine and Law: Tuition for Medicine and Law programs will be considered separately.

4.11. Course Audit Registrations: Students must register to audit any class. Such audit hours will be part of their total load and they shall pay tuition at the same rate as paid by students registering for credit in the course.

4.12. Correction Facility Program Tuition: Reduced tuition for programs provided to inmates at state correctional facilities will be considered separately. The State Board of Education advisory council overseeing corrections education and recidivism reduction issues will determine inmate eligibility for participation in Board of Regents authorized tuition reductions.

4.13. Excess Credit Hours: Institutional policies and practices shall encourage students not to accumulate credit hours beyond those needed to successfully complete a program of study.

4.13.1. Definitions: For the purpose of Section 4.13 only, the following terms are defined for the application of and administration of the excess credit hour surcharge.

4.13.1.1. Program of study- A group of academic courses required for a baccalaureate degree.

4.13.1.2. Excess Credit Hour Surcharge- For resident students, the surcharge amount to be charged is double the current year's resident tuition rates, pertaining to that institution, for the number of excess credit hours taken. Non-resident students paying non-resident tuition rates are not subject to excess credit hour surcharges.

4.13.2. Excess Credit Hour Surcharge: An institution may charge a student the excess credit surcharge subject to conditions set forth in Section 4.13.4 for credit hours in excess of 125% of a student's program of study.

4.13.3. Notification: Each USHE institution must establish a process by which students are notified of this policy when enrolling at the institution. Strategies to assist student completion shall be employed and may include such things as encouraging a student to meet with an adviser before or upon hitting the 125% of degree completion, and/or encouraging the student to establish a plan for program completion by meeting with a counselor or advisor.

4.13.4. Determination of Number of Credit Hours Necessary for the Program of Study

4.13.4.1. Allowances for Program of Study- The number of credit hours for completion of the program of study may include the hours needed for a double major, dual degree, additional minor, certification(s), and/or emphasis(es) related to the student's major area of study. Second bachelor degrees will also be allowed and will be considered new programs of study for purposes of the excess credit hour calculation.

4.13.4.2. Credit Hours Excluded- Excluded from the calculation of the credits required for completion of a student's program of study are credit hours: (1) earned through concurrent enrollment, advanced placement, and credit by examination, (2) resulting from re-entry into the educational system by a student who may have accumulated a large number of credits, or even completed degrees, but where employment requirements obligate his or her return to college, (3) resulting from a defensible change in major, and (4) developmental education credit.

4.14. Tuition Surcharge for Course Repetition: Tuition for repeating a course more than once shall be charged at the full cost of the instruction unless the institution determines that the repetition is a result of illness, accident or other cause beyond the student's control or unless the course is prescribed by the student's program of study.

R510-5. General Fees Other Than Tuition

5.1. Approval by the Board: All general student fees are subject to Board of Regents approval, normally in conjunction with annual determination of tuition rates. Course fees do not require Board approval but the Board will monitor such fees. Course fees will also be included in determining financial aid cost of attendance and the level of student contribution toward their total education costs.

5.2. Variation Among Institutions: General fees other than tuition may vary according to specific institutional needs.

5.3 General Student Fee Policy: Each USHE institution shall develop a student fee policy to address the following:

5.3.1. Advisory Board: Each institution shall establish a student fee advisory board to oversee the creation, review and maintenance of required student fees.

5.3.1.1. The advisory board membership shall include currently enrolled students.

5.3.2 Institutional Policy: The institutional policy shall contain processes for the student fee advisory board to follow in the creation, review and maintenance of student fees. The institutional policy shall include the following:

5.3.2.1. Fee Creation: The creation of new student fees shall be supported by a demonstrated need, clear statement describing the fee, and a sound budgetary plan.

5.3.2.2. Fee Review: The student fee advisory board shall periodically monitor and annually review student fees. Processes and discussions should focus primarily on— but not be limited to— the adequacy of the fee in accomplishing the stated objective. Fee

account fund balances should be minimal or, in cases where fund balances are accumulating, be supported by a plan for use of the funding.

5.3.2.3. Fee Maintenance: Fee amounts may be increased or decreased as necessary to adequately accomplish the stated objective. Changes resulting from a fee increase shall be supported with adequate documentation describing the rationale for the increase and the planned uses of the additional fee revenue.

5.3.3. Fee Reporting: The student fee advisory board may require an annual report from each student fee program manager.

5.4 Fee Percentage Rate Increase above 1st Tier Tuition Percentage Rate Increase: If an institution is proposing to increase general student fees at a percentage rate greater than the percentage rate the system is proposing to increase 1st tier tuition, the institution shall submit a letter to the Board regarding fee increases from student leadership at the institution.

5.5. Option to Waive General Student Fees: General fees other than tuition may, at the institution's option, be waived in whole or in part for students.

R510-6 . Refunds of tuition, fees, and other student charges

6.1. Refund Policy: Each institution shall provide refunds of tuition, fees, housing and meal, and other student charges to all students who either fail to enroll or who withdraw after enrolling. The refunds shall be at least as large as prescribed in this policy. This policy is designed to provide a fair and equitable refund policy for all students who withdraw, whether or not receiving Federal student financial aid, and also for specific compliance with the provisions of Section 484B of the Federal Higher Education Act, as amended (20 USC 1091b.), as applicable to students who receive Federal student financial aid (Federal campus-based student financial aid, Federal Pell Grants, Leveraging Educational Assistance Partnership Program aid, Federal Family Education Loan Program loans or Federal Direct Student Loan Program loans), and who fail to register or who withdraw after enrolling.

6.2. General Refund Policy for Students Who Withdraw from the Institution and Who Are Not First Time Enrollees in the Institution and Also Receiving Federal Student Financial Aid: Students who are not first time enrollees in the institution and also receiving Federal student financial aid, both as defined in Federal regulations, 34 CFR Section 668.22 and who withdraw from the institution or drop courses shall be entitled to refunds of tuition, fees, and other student charges (including housing and meal contract charges) paid to the institution which meet or exceed the following requirements:

Refund Period	Portion Refundable
Prior to 15th calendar day of the quarter, semester, or other period of enrollment	at least 70%
From the 15th calendar day to close of business on the 21st calendar day of the period of enrollment	at least 50%
After the 21st calendar day	none

6.2.1. Non Refundability of Application, Admission, and Late Registration Fees: Late registration, application and admission fees are not required to be refunded for students who are not enrolled at the institution for the first time in the current enrollment period and also receiving Federal student financial aid.

6.2.2. Refunds in the Case of Meal Tickets or Contracts with Dollar Value Rather than Time Periods: Where students purchase meal tickets or contracts with dollar value rather than covering specific time periods, a student who withdraws is entitled only to a refund of the unused portion of the dollar value of the ticket or contract.

6.3. Special Pro Rata Refund Policy for Students Who Fail to Enroll or Who Withdraw from the Institution and Who are First Time Enrollees in the Institution and are Also Receiving Federal Student Financial Aid: Any student who is a first time enrollee in the institution and is also receiving Federal student financial aid, both as defined in Federal regulations, 34 CFR Section 668.22 and who fails to register or who withdraws from the institution or otherwise fails to complete the period of enrollment for which registered, on or before the 60 percent point (in time) in the period of enrollment for which the student has paid tuition, fees, room and board, or other charges, shall be entitled to a pro rata refund of such tuition, fees, room and board, and other charges. The institution's pro rata refund policy for such students, and all calculations and determinations there under, are required to conform to the requirements of 34 CFR Section 668.22.

6.4. Refunds for Students Who Withdraw from the Institution After the 60 Percent Point: The institution may, but is not required to, provide for refunds for students described in Section 6.3 who withdraw from the institution after the 60 percent point (in time) in the period of enrollment for which the student has paid tuition, fees, room and board, or other charges.

6.5. Exceptions for Hardship: Refunds greater than provided for in this refund policy may be granted by the President or the President's designee for unusual hardship cases.

Work Plan Template

Initiative Name: USHE Affordability Framework and Student Aid and Tuition Policy Redesign

Staff Lead: Kimberly Henrie

Lead Work Group: Access & Affordability

Scope:

Project Description and Objective: Create a USHE Affordability Strategy and framework that aligns USHE tuition and student aid policies to the affordability strategy, and create system and institution metrics and benchmarks to review system and institution performance against the affordability strategy.

Project Deliverables:

- Baseline Study reviewing Tuition and Student Aid Policies including:
 - a cost benefit analysis of the discounted aid vs the benefit of additional money brought into the state
 - Determination of the impact of the multiplier effect of nonresident students for USHE institutions and the state of Utah at large
 - Recommendations for policy revisions and performance metrics related to student affordability
- USHE Affordability Framework and Guiding Principles
- Recommended Statutory Changes
- Updated Tuition Policies (including Tuition Waivers)
- Updated Student Aid Policies
- System Metric and Benchmarks (designed to measure affordability)
- Institution Metrics and Benchmarks (designed to measure affordability)

Project Milestones & Timeline: Estimated Completion Date: June 2019

- Stakeholder Engagement
 - Identification of stakeholders (June 2018)
 - Board Initiative Advisory Group
 - Institution Representatives
 - External Representatives
 - Orientation Meeting (July - August 2018)
 - Monthly/Quarterly Meeting (August 2018 – March 2019)
 - Final Assessment and Review of report (January 2019)
- Consultant Engagement (July 2018 – May 2019)
 - Identification
 - Orientation Meeting
 - Monthly Coordination Meeting
 - Final Presentation
- Study (August 2018 – May 2019)
 - Design Study
 - Collect Data
 - Work with Consultant through monthly coordination meetings
 - Review initial findings
 - Receive Final Report
- Policy and Metric Development (May 2019)
- Board Action (May 2019)
- Annual Evaluation (March/April Board Meeting)

**Utah System of Higher Education
Board of Regents Strategic Priority Initiative
FY 2019**

Student Aid and Tuition Policy Review and Evaluation

The return on investment for a college education for both the student and the State continues to be high, but paying for a college education can be a challenge for Utah families, with many believing higher education is not affordable for them.

Paying for college is a complex function of tuition and financial aid, combined with fees, housing, transportation, and other personal costs. The Board of Regents is developing a comprehensive evaluation and redesign of existing tuition and student aid policies. In early 2018, the Board took initial steps to seek a more deliberate allocation of tuition waivers—a state-sanctioned mechanism for student scholarships and aid. Subsequently, the Board recognizes an urgent need to understand the impact of tuition waiver use in relation to the economic return to the state, the student, and the institution. The evaluation will also address how tuition waivers fit into broader affordability strategies of the Board.

Primary Goal: Create a USHE affordability strategy and framework and recommend revisions to tuition and student aid policies to support the Board's affordability strategy; identify the economic benefit of nonresident students for the state of Utah; and create system and institution metrics and benchmarks to review system and institution performance against the affordability strategy.

**Board of Regents Steering and Advisory Committee
Finance and Facilities Standing Committee**

Mark Stoddard, Chair
Ron Jibson
Thomas Wright
Harris Simmons

Jessie Anderson, Vice Chair
Dan Campbell
Pat Jones

Bob Marquardt
Wilfred Clyde
Bob Prince

USHE Institution Workgroup Representatives

<u>Institution</u>	<u>Representative</u>	<u>Email</u>
University of Utah	Cathy Anderson Mary Parker Sandy Hughes Mark Winter	cathy.anderson@utah.edu mgparker@sa.utah.edu sandy.hughes@utah.edu mark.winter@utah.edu
Utah State University	Whitney Pugh	whitney.pugh@usu.edu
Weber State University	Bruce Bowen	babowen@weber.edu
Southern Utah University	Marvin Dodge	marvindodge@suu.edu
Snow College	Jake Dettinger	Jacob.dettinger@snow.edu
Dixie State University	Paul Morris	morris@dixie.edu
Utah Valley University	Linda Makin John Curl	linda.makin@uvu.edu JCurl@uvu.edu
Salt Lake Community College	Alisa Woodbrey	alisa.woodbrey@slcc.edu

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Adoption of Policy R572, *Noncapital Asset Inventory and Tracking*

Issue

The Board is being asked to review and discuss a new Noncapital Asset Tracking policy as requested in the legislative audit: *A Performance Audit of Inventory and Security Controls at Institutions of Higher Education*.

Background

In *A Performance Audit of Inventory and Security Controls at Institutions of Higher Education* audit, the Office of the Legislative Auditor General recommended,

“the Utah State Board of Regents create and document a policy specifying requirements for noncapital asset tracking procedures. This policy should plainly define the value and types of assets to be tracked and the methods to be used.”

Noncapital assets would be defined by policy as “equipment or other physical asset with an acquisition cost of less than \$5,000 per unit and with a useful life of greater than one year.” Institutions currently track and review capital assets, which includes assets greater than \$5,000.

This proposed policy would address the audit recommendation by creating a system policy that would require tracking and regular review of the following noncapital assets:

1. Assets with an acquisition cost greater than or equal to \$3,000.
2. All electronic assets (e.g., computers, tablets, mobile devices) of any value.
3. Assets that could be easily lost or stolen, and whose loss would create an expected financial burden on the institution that would be greater than the cost of tracking the asset.

Institutions also would be required to report missing noncapital assets to institution management at least annually.

Commissioner's Recommendation

The Commissioner recommends that the Board review and consider the proposed policy on Noncapital Asset Tracking and advise staff of any recommended changes to be made when presented for formal adoption at the November Board meeting.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/DSP
Attachment

R572-1. Purpose: To establish policies and standards governing noncapital asset inventory and tracking within the Utah System of Higher Education (USHE).

R572-2. References

- 2.1. *Utah Code §63G-2 (Utah Government Records Access Management Act)*
- 2.2. 20 U.S.C. §1232g; 34 CFR Part 99 (*Family Education Rights and Privacy Act*)
- 2.3. HIPAA; Pub.L. 104–191, 110 Stat. 1936 (*Health Insurance Portability and Accountability Act of 1996*)

R572-3. Definitions

- 3.1 **Acquisition Cost:** The net invoice unit price including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the property usable for the purpose for which it is acquired.
- 3.2 **Disposal:** To pass or part with, in relieving custodial responsibility when an asset is sold, lost, obsolete, or damaged beyond economic repair.
- 3.3 **Noncapital Asset:** Equipment or other physical asset with an acquisition cost of less than \$5,000 per unit and with a useful life of greater than one year.
- 3.4 **Personally Identifiable Information (PII):** Information protected by federal and state laws and regulations, including federal regulations administered by the U.S. the Department of Homeland Security (DHS), and is defined by DHS as “any information that permits the identity of an individual to be directly or indirectly inferred, which if lost, compromised, or disclosed without authorization could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.” PII must be protected prior to release in accordance with the *Utah Government Records Access Management Act* or other disclosures required by law.

PII does not include “public information” as defined by the *Utah Government Records Access and Management Act*, or in the case of student records, “directory information” as defined by the *Family Education Rights and Privacy Act*.

PII includes but is not limited to the following:

- 3.4.1. Full Social Security Number
- 3.4.2. Driver's license or State ID number
- 3.4.3. Passport number
- 3.4.4. Visa number

- 3.4.5. Alien Registration Number
- 3.4.6. Fingerprints or other biometric identifiers
- 3.4.7. Full name in combination with:
 - 3.4.7.1. Mother's maiden name
 - 3.4.7.2. Date of birth, last 4 digits of SSN
 - 3.4.7.3. Citizenship or immigration status
 - 3.4.7.4. Ethnic or religious affiliation
- 3.4.8. Protected Health Information, as defined by the *Health Insurance Portability and Accountability Act of 1996*.

R572-4. Policy

- 4.1. **Noncapital Asset Inventory:** Each institution shall affix an asset tag with a unique identifier to and maintain an inventory of the following non-capital assets:
 - 4.1.1. Assets with an acquisition cost greater than or equal to \$3,000.
 - 4.1.2. Institution-owned electronic assets of any dollar value—including computers, tablets, printers, and mobile devices—that may contain PII at any point during the institution's ownership of the asset.
 - 4.1.3. Any other noncapital asset of any amount that easily could be pilfered or lost and whose loss would create an expected financial burden on the institution that would be greater than the cost of tracking the asset.
- 4.2. Each institution shall retain an updated list of all inventoried noncapital assets until such items are processed for disposal. This list should include the names of the custodian to whom each asset is assigned.
- 4.3. Each institution shall review the existence and ownership of all inventoried noncapital assets at least annually to ensure the asset is in possession of the designated custodian.
- 4.4. Noncapital asset custodians shall immediately report any lost or stolen noncapital assets to the their immediate supervisor.
- 4.5. A list of missing institution assets shall be reported to the institution's vice president for business or finance at least annually.
- 4.6. Institutions may create policies that are more restrictive than this policy.

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Southern Utah University – Institutional Residence Repurposing and Designation

Issue

Regent Policy R207, *Institutional Residences for Colleges and Universities in the Utah System of Higher Education* allows the Board of Regents to designate an official institutional residence for each college and university. Southern Utah University (SUU) requests Board approval to repurpose the current institutional residence into a Sorenson Legacy Foundation Child and Family Development Center and designate the recently acquired residence at 11 North 200 West in Cedar City as the institutional residence as allowed under R207.

Background

Southern Utah University built the current institutional residence for the president in 1996. Last year the University requested \$5 million of state funds to construct a Sorenson Legacy Foundation Child and Family Development Center to provide affordable childcare options for students and teaching laboratories for early childhood development and elementary education students. While the University did not receive state funding, it did raise \$1.2 million of private funds for the project. Instead of requesting state funds again this year, SUU requests authorization to repurpose the institutional residence for the child care and education facility. The institutional residence has sufficient space to accommodate the Center and the \$1.2 million of private donations will fund necessary remodeling to comply with state and federal child care requirements.

Southern Utah University concurrently requests the Board designate the recently acquired property at 11 North 200 West in Cedar City as the new institutional residence for the president. The Board approved the purchase of this property with institutional funds in the July 2018 meeting. The property is located across the street from the Beverley Taylor Sorenson Center for the Arts. Institutional funds will be used to remodel the residence and expand off-street parking for visitors.

The SUU Board of Trustees approved the proposal in the July 2018 meeting. Additional information about this request may be found in the attached letter from the University and an accompanying map. Representatives from Southern Utah University will be in attendance at the meeting to provide additional information and respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board authorize Southern Utah University to repurpose the current Institutional Residence into a Sorenson Legacy Foundation Child and Family Development Center and to designate the property at 11 North 200 West in Cedar City, UT as the institutional residence for the president.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachments

August 29, 2018

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

Dear Commissioner Buhler,

Southern Utah University (SUU) requests Board of Regent approval to repurpose its current institutional residence located at 302 S 1100 W; and to designate a new institutional residence at 11 N 200 W, in Cedar City, in accordance with Regent Policy R207, *Institutional Residences for Colleges and Universities in the Utah System of Higher Education*.

The current institutional residence was constructed in 1996 and consists of 11,314 square feet. With the endorsement of President Scott Wyatt and his wife Kathy, we are requesting approval to repurpose the residence to fulfill our immediate need to create the Sorenson Legacy Foundation Child and Family Development Center (Center). This Center was SUU's capital development request for FY 2019. The Center is intended to replace the child development lab SUU leased at North Elementary school in Cedar City, which was demolished in 2017. The School District did not include new lab space for SUU when constructing a replacement school building.

The new Center will provide much needed affordable drop-off daycare for students. SUU is one of only two Utah institutions not currently providing daycare on campus. Early childhood development and elementary education students within the College of Education will be provided practicum opportunities within the Center. The Center will also provide service learning opportunities and rural community support through tutoring, and community education classes including parenting, marital preparation, and personal and family finance.

The \$1.2 million previously raised for construction of a new Center will be redirected to cover the remodeling costs associated with bringing the residence into compliance with State Code relative to daycare centers and other modifications as necessary.


We further request the Board of Regents designate the "Warthen home," recently purchased by the University at 11 N 200 W, as the new institutional residence for the President. This home, constructed in 1979, includes 6,028 square feet of space, a two car garage, sitting on a .31 acre lot contiguous to campus and located directly north of the new Beverley Center for the Performing Arts. The purchase of this home was consistent with the University's effort to expand its footprint and secure all properties on the "Renaissance block."

This home will require some modifications to enhance open spaces for the President to host events and dignitaries. Since the home is largely in the same condition as it was following construction, these modifications will include updating the kitchen, restrooms, flooring, and repainting. We also anticipate expanding the footprint of the yard to include space already owned by the University north and west of current property lines. This expansion would allow for construction of off-street parking for visitors to the residence.

The SUU Board of Trustees approved the concepts outlined within this proposal, along with the purchase of the Warthen home, during their July 19, 2018 meeting. Funding for the remodeling efforts will come from existing fund balances designated for remodel projects.

We appreciate your consideration of this proposal and look forward to answering any question you may have at the September Board of Regents meeting.

Best regards,



Marvin L. Dodge

cc: President Scott Wyatt
Tiger Funk, Asst. VP Facilities

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah Valley University – Property Acquisition

Issue

Regent Policy R703, *Acquisition of Real Property* requires the Board of Regents to approve institutional property purchases that exceed \$500,000. Utah Valley University (UVU) requests Board approval to purchase approximately 60 acres of commercial/industrial land adjacent to UVU-owned property at 1200 North Mill Road in Vineyard, Utah for \$12,900,000 using institutional funds.

Background

Utah Valley University currently owns approximately 225 acres on the site of the former Geneva Steel plant in Vineyard, Utah. The Vineyard campus currently houses the University's intramural soccer field and is the site of the partnership with the Real Salt Lake Youth Academy Foundation to construct a shared indoor soccer facility that was approved by the Regents in the May 2018 meeting. The master plan of the University envisions the Vineyard campus as a significant satellite campus serving the growing needs of northern Utah County.

UVU requests authorization to acquire an additional 59.65 acres adjacent to the current Vineyard Campus that would extend the University's property to the proposed main road at 1200 North providing increased access to the campus and space for future growth. The property appraised for \$13,000,000 and the University has agreed on a purchase price of \$12,900,000 with the seller. Institutional funds from within the University budget will be used for the acquisition of the property over a three-year period. Given the previous use of the land, an environmental remediation of the property by the seller is a condition of the property purchase.

Additional information about this request may be found in the attached letter from the University, maps, and the executive summary of the property appraisal. Representatives from Utah Valley University will be in attendance at the meeting to provide additional information and respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board authorize Utah Valley University to acquire property located at approximately 1200 North Mill Road in Vineyard, Utah.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachments



UTAH VALLEY UNIVERSITY

VICE PRESIDENT FOR FINANCE & ADMINISTRATION

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

Dear Commissioner Buhler,

Utah Valley University is requesting approval to purchase an additional 60 acres of property, contiguous to the 225 acres currently owned by the University, at \$5.00 per square foot for a purchase price of \$12.9 million. The purchase is structured in three 20 acre increments, spread over three years at \$4.3 million per year. Institutional funds will be used for the purchase. The purchase of the 60 acres of real property is subject to approval of the contract by the Attorney General's Office.

UVU desires to purchase the ground from the North boundary of the University's property and the proposed 1200 North road. This allows the University to have a defined footprint with natural buffers of the road network in Vineyard.

Final purchase of the parcel requires:

- a) the property be mitigated to a minimum of a commercial standard;
- b) a Letter of Assurance must be issued by the Utah Department of Environmental Quality prior to closing on the property; and
- c) completion of a Phase I environmental assessment of the property.

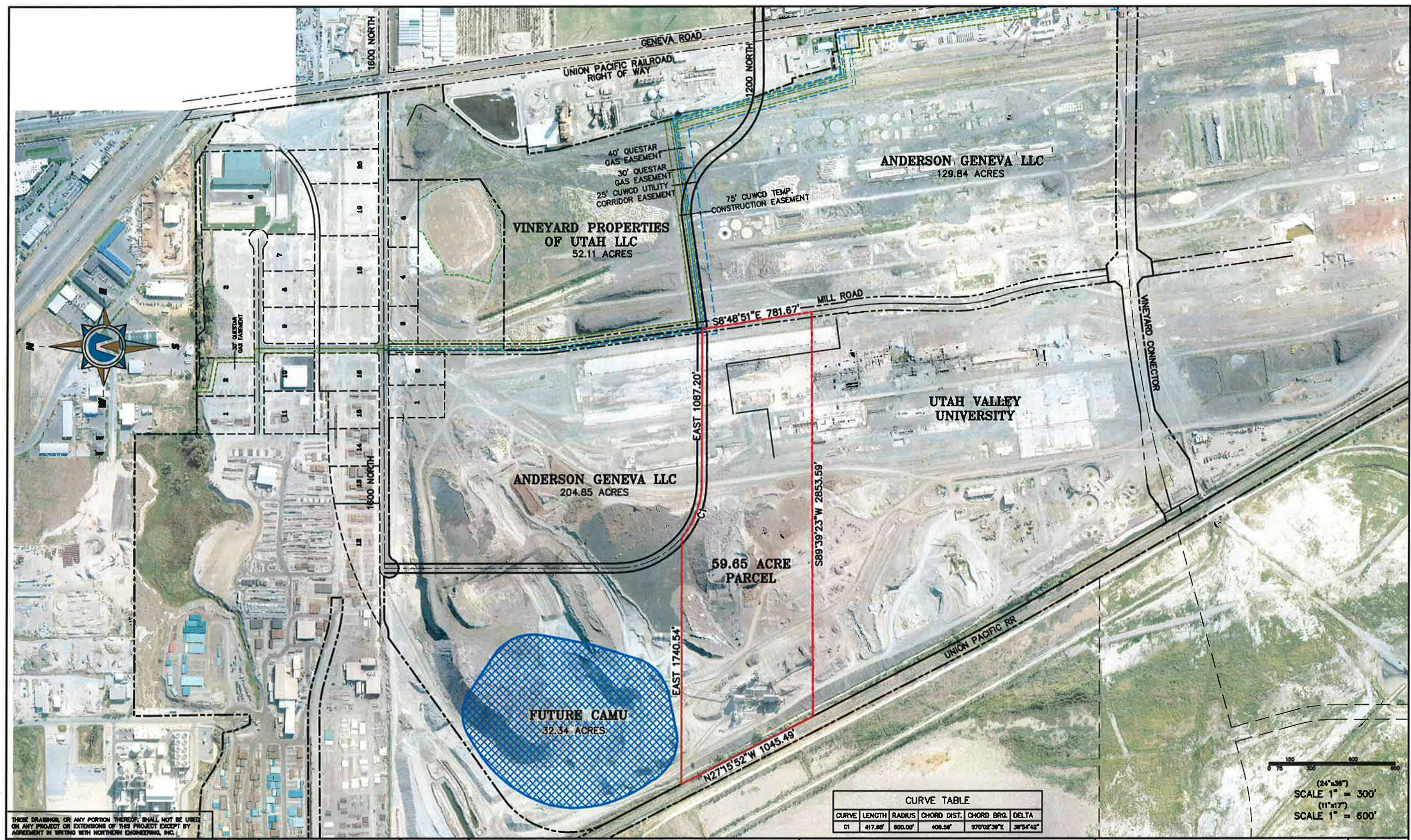
The University is currently soliciting funds for this project. If funds are received, the University will reduce the amount of the loan from the UVU Foundation.

Thank you for your consideration of this real property proposal. If you have any questions please feel free to contact me at (801)863-8424 or email at Petersva@uvu.edu.

Sincerely,

A handwritten signature in green ink, appearing to read 'Val Peterson', with a long horizontal line extending to the right.

Val L. Peterson



THESE DRAWINGS, OR ANY PORTION THEREOF, SHALL NOT BE USED ON ANY PROJECT OR EXTENSIONS OF THIS PROJECT EXCEPT BY AGREEMENT IN WRITING WITH NORTHERN ENGINEERING, INC.

5	DESIGNED BY	DATE
4	DRAWN BY	DATE
3	CHECKED BY	DATE
2	APPROVED BY	DATE
1	DATE	DATE
REVISIONS		
NO.	BY	DATE
1	REV. 0000 FILE	DATE
REV-07-045-00 EAST LAKE VINEYARD MILL ROAD MILL ROAD NORTH EAST-1200N-00-02-17.dwg 5/22/2017 4:08:28 PM		



**Northern
ENGINEERING INC**
ENGINEERING-LAND PLANNING
CONSTRUCTION MANAGEMENT
1040 E. 800 N.
OREM, UTAH 84097
(801) 802-8992

CURVE TABLE				
CURVE	LENGTH	RADIUS	CHORD DIST.	CHORD BRG.
C1	417.95'	800.00'	408.56'	S70°02'38"E 38°54'42"

**ANDERSON GENEVA
DEVELOPMENT, INC.**

1200 NORTH UVU PARCEL	JOB NO. 3-07-045-00
VINEYARD, UTAH	SHEET NO. 1



SOLD

UNDER CONTRACT

@geneva

A Master Planned Community

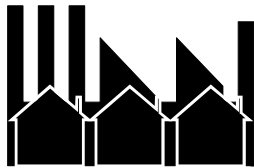
APPRAISAL REPORT

**59.65 Acres Commercial/Industrial Land
Appx. 1200 North Mill Road
Vineyard, Utah 84057**



GURNEY & ASSOCIATES REAL ESTATE APPRAISERS

Phone: 801.610.9555 • 45 N. 490 W. (Cypress Park) American Fork, Utah 84003 • Fax: 801.763.5992



GURNEY & ASSOCIATES

REAL ESTATE APPRAISERS

Todd Gurney, MAI
Tyler Gurney

August 1, 2018

Utah Valley University
Attn: Jeana Miner
500 W. 1200 S.
Orem, Utah 84058

**RE: 59.65 Acres Commercial/Industrial Land
Appx. 1200 North Mill Road
Vineyard, Utah 84057**

Dear Jeana:

At your request, I have performed an appraisal analysis of the above-referenced real estate; it is zoned FOI Flex Office Industrial. The subject is currently recorded as a portion of parcel 17-019-044 on Utah County records; the subject is identified on the Site Plan and the other exhibits of this report. This appraisal provides an estimate of the current as-is market value. The property rights appraised are fee simple.

Based on the results of my analysis, I estimate the market value of the subject property, as of the effective appraisal date (July 14, 2018), to be *\$5.00 per sq. ft. of land*, or the following rounded total:

\$13,000,000

*** * THIRTEEN MILLION DOLLARS * ***

This value is contingent upon the Extraordinary Assumptions on pages 10-11 of this report.

Extraordinary Assumptions

The following extraordinary assumptions (continued on the following page) apply in this analysis. These are items I believe to be true but cannot verify. These assumptions may affect the assignment results of this report.

1. The subject site was formerly part of the large Geneva Steel mill operation. Significant environmental contamination occurred on the subject site and other adjoining properties as part of this operation. I have reviewed a Phase I Environmental Site Assessment for adjoining property to the south; this assessment noted that there have been many environmental risks associated with the subject property; however, I understand and assume that these risks will be mitigated by the current owner and seller prior to the proposed sale occurring.

Stewart Park of Anderson Geneva LLC reports that the subject site will be cleaned up environmentally by the seller for commercial/industrial use. I assume that this is correct for purposes of this appraisal. I understand that one of the conditions of the pending purchase will be that the seller obtains enforceable written assurances from the Utah Department of Environmental Quality (DEQ) that will eliminate any liability to UVU (the buyer) for previous activities on the property; I assume that such DEQ assurances will indeed be in place very soon.

Anderson Geneva LLC will reportedly create a new CAMU (Corrective Action Management Unit) to the northwest of the subject property to mitigate any remaining environmental contamination on the overall Geneva Steel property; this clean-up process is expected to last for the next 2-3 years. I assume that no residential contamination from the nearby CAMU will affect the subject property.

I am not an expert in environmental issues. There is some excess material—particularly at the west end of the property—reportedly being removed by Harsco Crushed Rock. There are also some foundations for former building improvements on the property. Don Overson, Vineyard City Engineer, reports that these foundations can likely be left in place when future development occurs (with new structures built on top) because it would not be economically feasible to remove some of them; this strategy has already reportedly been implemented in building Mill Road farther south, which was partially built over a former building foundation. I assume that this input is correct. Overson notes, though, that some cuts in the existing building foundations may be needed in order extend utilities through the subject site if the foundations are not removed. Should a significant amount of additional environmental work be needed at the proposed buyer's expense, the as-is value of this report would likely differ. The future site development costs to the buyer in relation to the excess material and existing building foundations are anticipated and assumed to be somewhat expensive but not excessive in terms of future project viability.

2. I assume that the land size of 59.65 acres shown on the Site Plan is accurate. No legal description was provided for my review; however, I assume that the subject is accurately identified on the Site Plan and the other exhibits of this report.
3. A title report was not provided for my review. I assume that no significant adverse title or easement issues exist. Mill Road and 1200 North will eventually have easements (for half of the width of these roads) at the far east and northeast ends, but these also are not a detriment to the overall layout of the site.
4. Don Overson of Vineyard reports that Vineyard Redevelopment Agency (RDA) will eventually extend Mill Road along the subject eastern boundary at its own expense. Overson reports that it is likely that Vineyard RDA will also improve 1200 North along part of the northern subject boundary at its own expense. Overson reports that the timing of the construction of these streets has not yet been determined will likely coincide with plans for new development from nearby property owners. Public utilities will reportedly be extended to the subject property with the construction of these streets; I assume that this is correct.
5. The subject appears to be located in a FEMA Flood Zone X, which is outside the 500-year flood plain with less than 0.2% annual probability of flooding. I assume that this is correct.
6. Utah is a non-disclosure state; in other words, sale prices for property transactions are not made public as in most other states. The sources of comparable information are identified in this report -- both they and the data are considered reliable and have been confirmed whenever possible with at least one party that had direct knowledge of the transaction. When conflicting information was provided, the source deemed most reliable has been used. Data believed to be unreliable has not been included in the report nor used as a basis for the value conclusion.

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Salt Lake Community College – Property Disposal

Issue

Regent Policy R704, *Disposal of Real Property* requires the Board of Regents to approve institutional property disposals that exceed \$500,000. Salt Lake Community College (SLCC) requests Board approval to sell 38.3 acres of undeveloped property at the Jordan Campus above the appraised value of \$5,840,000.

Background

The Jordan Campus of Salt Lake Community College occupies approximately 115 acres along the border between the cities of South Jordan and West Jordan. The College requests authority to declare 38.3 acres of the Jordan Campus surplus and sell the property above the appraised market value of \$5,840,000. A private party has recently offered SLCC \$6,000,000 for the property, which the College proposes to use towards the construction of a Herriman Campus capital development project. SLCC believes future demand for educational services in southwest Salt Lake County are better served by developing the Herriman Campus than by building out the Jordan Campus. The College's Board of Trustees approved the sale of the property in the August 2018 meeting.

Additional information about this request may be found in the attached letter from the College with an accompanying map and the executive summary of the property appraisal. Representatives from Salt Lake Community College will be in attendance at the meeting to provide additional information and respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board authorize Salt Lake Community College to sell property on the Jordan Campus as proposed.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachments



28 August 2018

Board of Regents
c/o Commissioner David L. Buhler
Board of Regents Building, Two Gateway
60 South 400 West
Salt Lake City, UT 84101-1284

RE: Disposal of 38.31 +/- acres located at approximately 9301 South Wights Fort Road, South Jordan, UT

Commissioner:

In accordance with the R704, Disposal of Real Property; SLCC is requesting the disposal/sale of property to be placed on the approval calendar agenda for the next Board of Regents meeting. The property is located at 9301 South Wights Fort Road, South Jordan, UT and:

- (1) The 38.31 +/- acres is located at the south end vacant land at our Jordan Campus
- (2) The College has been offered \$6,000,000 for the property
- (3) The property was appraised at \$5,800,000
- (4) The proceeds of the sale will be used towards the proposed Herriman Campus Building

It is proposed that Salt Lake Community College sell 38.31 +/- acres of the Jordan Campus undeveloped land, located approximately at 9301 South Wights Fort Road, South Jordan Utah. The property has remained undeveloped since the original purchase of the property for over 20 years.

In accordance with R704-3 Disposal of Property, the College has received approval to sell this portion of the undeveloped land from the Board of Trustees and is now seeking approval from the Board of Regents. With the growth in the southwest quadrant of the Salt Lake Valley, specifically Herriman, Riverton, Daybreak and Bluffdale, the College sees the need to address and support the growth in this sector of the valley. In support of our mission to provide quality higher education, the College will use these proceeds to contribute toward our #1 Capital Development Request of the building on our 90 acres in Herriman. The remaining undeveloped acres will allow for ample future expansion and growth on the Jordan Campus.

An official appraisal was completed and an offer from the prospective buyer is in possession of the College pending approval from Legal. In compliance with R704-5 Fair Market Value: the appraisal came in at \$5.84 M, with an offer of \$6.0 M from the buyer.

Respectfully submitted,

Malin B. Francis

Director, Planning & Design

SALT LAKE COMMUNITY COLLEGE • FACILITIES SERVICES — PLANNING & DESIGN
TAYLORSVILLE REDWOOD CAMPUS — GUNDERSEN FACILITIES SERVICES BUILDING
P.O. Box 30808, Salt Lake City, UT 84130-0808 | Phone 801-957-5177 | Fax 801-957-3839 | www.slcc.edu





Ms. Lori Anderson

July 3, 2018

Page 2

Conclusions of value have been obtained using the sales comparison approach. This is the practiced and accepted method of valuing land in the local market. Cost and income approaches typically apply to building improvements and will not be necessary for the valuation since the property is vacant land. Based on current market conditions and discussions with local real estate brokers and agents, the estimated marketing time would be 9 to 12 months.

Based on the analysis contained in the following report, my value conclusions involving the subject property are summarized as follows:

Value Conclusions

Valuation Scenario	Effective Date of Value	Value Conclusion
Fee Simple Title Market Value	June 28, 2018	\$5,840,000

The acceptance of this appraisal assignment and the completion of the appraisal report submitted herewith are contingent on the following extraordinary assumptions and/or hypothetical conditions:

Extraordinary Assumptions:

The appraised value is based on the extraordinary assumption that the soil is clean of contamination. The presence of contamination exceeding action levels will substantially reduce the market value of the real property. It is assumed that the information provided by the ownership representative and city or county officials is accurate. Any material deviation from how this information was presented could result in a change in opinion of value.

Hypothetical Conditions:

None

This letter of transmittal is *not* to be misconstrued as a complete appraisal report, but merely indicates the final value estimate developed in the following narrative appraisal report. The following narrative appraisal report provides supporting data, assumptions, and justifications for our final value conclusions. The appraisal is made subject to the general assumptions and limiting conditions stated on following pages.

Respectfully submitted,

VALBRIDGE PROPERTY ADVISORS | Utah

Tyler Free, MAI
Senior Appraiser

Utah State - Certified General Appraiser
License # 6050225-CG00 (Exp. 12/31/18)

Douglas Fairbanks
Appraiser

Utah State - Licensed Appraiser
License #5478267-LA00 (Exp. 11/30/19)

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Revision of Policy R571, *Procurement*

Issue

Recent changes to State's Procurement Code require additional revisions to Regent Policy R571, *Procurement* since it was last updated in the January 2017 meeting. The proposed changes will align the Regent policy with statute and continue to provide procurement governance for the System of Higher Education.

Background

The State Procurement Code allows each of the eight USHE institutions the ability to procure items with "independent procurement authority" without the supervision or control of the State Division of Purchasing. The Code provides for three levels of procurement governance:

1. statutory provisions in the Code
2. rules by "rulemaking authorities"
3. procedures and policies at each institution

The Procurement Code designates the Board of Regents as the "rulemaking authority" for the eight USHE institutions with regard to procurement and requires the Board to make specific rules which have been incorporated into Regent Policy R571, *Procurement* as well as a formal rule in the Utah Administrative Code (R765-571) filed with the State Division of Administrative Rules.

In the January 2017 meeting the Board made significant changes to Policy R751 to modernize the policy and align it with major statutory changes made by the state legislature to the State Procurement Code. Since that time the legislature has continued to modify the Procurement Code, which requires additional changes in Policy R751 and its associated administrative rule. Institutional procurement officers reviewed these changes and made a few additional requests to provide governance for their procurement practices. The changes recommended in this item include:

- Clarification that while USHE institutions may adopt some or all of the state procurement rule R.33 as part of their own procedures, the Board of Regents has not adopted that rule for the System
- Removal of the seven-day minimum standard for solicitations and requests for proposal

- Clarification of the definition of a Request for Information (RFI)
- Inclusion of the requirement to provide notice for certain procurements as required by law
- Enumeration of items, services, and circumstances for which sole source procurements are acceptable including as a condition of a grant or a donation
- Minor edits for clarification and grammar.

Commissioner's Recommendation

The Commissioner recommends the Regents approve the changes to Policy R571, effective immediately and authorize the Commissioner's Office to file an Administrative Rule adopting these changes into Administrative Code R765-571.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachments

R571-1 Purpose: As required by the Utah Procurement Code, this policy and corresponding Utah Administrative Rule Code R765-571 govern the management and control of procurements and procurement procedures conducted by the institutions in the state system of higher education.

R571-2 References

2.1 Utah Code §53B-1-102(4)

2.2 Utah Code §53B-7-101(12)

2.3 Utah Code §§63G-6a-101-2407 (Utah Procurement Code)

R571-3 Definitions

3.1 The terms used in this policy shall be defined as they are in 63G-6a-103 and 104.

3.2 In addition, the following definition shall apply:

3.2.1 "Institution" means an institution of higher education listed in 53B-1-102, except the Utah College of Applied Technology.

R571-4 Delegation of Authority: As established in 63G-6a-103(13)(f), the State Board of Regents is the body designated with rulemaking authority over procurement for institutions of Higher Education. The Board does not formally adopt any part of Utah Admin. Code R.33. However, each institution may adopt, in whole or in part, any rule listed in Utah Admin. Code R.33. Such adoption must be in writing. In the event of any conflict, inconsistency, or discrepancy between this policy and Utah Admin. Code R.33, this policy will govern. The Board delegates to each institution the authority to adopt and administer procurement policies and processes that conform with the Utah Procurement Code and this general policy and Utah Administrative Code R765-571. Each president, or designee, is given authority over procurements at their respective institution.

R571-5 Guiding Principles: Each institution is charged to provide efficient and timely procurement services, that maximize the institution's resources and promote its instruction, research, extension, and professional service programs. Each institution shall strive to obtain the maximum value for each dollar expended, utilizing open competition and impartial evaluation of alternate products. They should also foster fair, ethical, and legal trade practices, which develop a strong vendor community and promote public trust in the institution and the system of higher education.

R571-6 Small Purchases: Each institution shall establish policies, and processes governing small purchases.

6.1 Each institution shall establish the maximum expenditure that may qualify as a small purchase.

6.2 Each institution may establish expenditure thresholds and procurement requirements related to those thresholds in relation to small purchases, including, but not limited to:

¹ Approved September, 14, 2012, amended May 15, 2015, January 20, 2017, and September 21, 2018.

6.2.1 Purchasing Cards (P-Card): Purchasing card programs establish a more efficient method of paying for low-dollar transactions. Institutions shall establish procedures that govern card issuance, card-holder training, and auditing of purchasing card transactions.

6.2.2 Requests for Quotation (RFQ): Institutions shall seek competition whenever practicable. RFQs involve soliciting quotes from two or more known vendors. Each institution should establish procedures regarding the acceptance of phone, fax, and email quotes.

6.2.3 Small-dollar Purchase Orders

6.2.4 Reimbursements

6.2.5 Petty Cash

R571-7 Solicitations: When procuring items **over an established threshold for small purchases outlined in section 6.1**, each institution shall use a standard procurement process or an exception to the standard procurement process described in R571-8, comply with the Utah Procurement Code and comply with this policy. Each institution shall establish policies, and processes governing solicitations, including:

7.1 Invitation for Bid (IFB): The Invitation for Bids is used to initiate a competitive sealed bid procurement.

7.1.1 An IFB shall comply with the requirements of 63G-6a-603(2).

~~**7.1.2** A minimum of seven (7) days shall be provided for response.~~

~~**7.1.3**~~ IFBs must be public~~ally~~ advertised as outlined in the Utah Procurement Code.

~~**7.1.4**~~ Bids shall be submitted using a sealed bid process.

~~**7.1.5**~~ Bids shall be opened ~~publically~~ in accordance with 63G-6a-604.

~~**7.1.6**~~ Institutions shall evaluate bids based on the requirements set forth in the IFB, including objective evaluation criteria. Criteria not included in the IFB may not be used to evaluate bids.

~~**7.1.7**~~ Contracts shall be awarded with reasonable promptness by notice to the lowest responsible and responsive bidder whose bid meets the requirements and criteria set forth in the IFB.

~~**7.1.8**~~ IFBs may be performed in multiple steps as established in the 63G-6a-609.

~~**7.1.9**~~ Unless otherwise established by policy, institutions shall resolve tie bids by having the president or designee toss a coin in the presence of a minimum of two witnesses with the firm first in alphabetical order being heads.

~~**7.1.10**~~ Institutions may handle bids as otherwise permitted by the Utah Procurement Code, including, but not limited to, rejecting bids, cancelling the IFB, and using a reverse auction process.

7.2 Request for Proposal (RFP): An RFP process may be used instead of the IFB process if the procurement officer determines, in writing, that the RFP process will provide the best value to the institution.

7.2.1 An RFP shall comply with 63G-6a-703.

~~7.2.2 A minimum of seven (7) days shall be provided for response.~~

7.2.32 RFPs must be publically advertised as outlined in the Utah Procurement Code.

7.2.43 Proposals shall be processed as outlined in the Procurement Code.

7.2.54 The institution shall establish an evaluation committee of at least three (3) individuals.

7.2.65 The evaluation committee will rate proposals based on the criteria outlined in the RFP. Criteria not included in the RFP may not be used to evaluate proposals.

7.2.76 The RFP process may be conducted in multiple steps, including presentations/discussions and requests for best and final proposals.

7.2.87 Each institution shall establish policies and processes governing best and final offers in accordance with the Utah Procurement Code, this policy and Utah Admin.istrative Code R765-571.

7.2.98 Institutions shall complete a justification statement as required by Utah Procurement Code.

7.3 Request for Information (RFI): The purpose of an RFI is to obtain information, comments, or suggestions from potential bidders or offerors before issuing an IFB or RFP. An RFI is ~~a supplemental~~ not a procurement process ~~described in Section 63G-6a-409.~~ and may not be used to (a) solicit cost, pricing, or rate information; (b) negotiate fees; (c) make a purchase; or (d) enter into a contract.

7.4 Request for Statement of Qualifications (RFSQ): An institution may use a RFSQ process to prequalify potential bidders or offerors to provide any type of procurement item and limit participation in an IFB or RFP to the prequalified potential bidders or offerors. An institution may also use a RFSQ process to create an approved vendor list. A RFSQ process is a supplemental procurement process described in ~~Section~~ 63G-6a-410.

7.4.1 A RFSQ in multiple-stage procurement process shall comply with 63G-6a-410(4).

7.4.2 A RFSQ in an approved vendor list process shall comply with 63G-6a-410(5).

7.5 Approved Vendor List Procurement Process: Each institution may establish policies and processes governing approved vendor lists and award contracts using methods that comply with the Utah Procurement Code, this policy and Utah Admin.istrative Code R765-561.

7.5.1 **Award:** Institutions choosing to use a vendor list may award a contract to a vendor on an approved vendor list at an established price based on a price list, rate schedule, or pricing catalog in accordance with ~~Section~~ 63G-6a-113.

7.5.2 **Selection of Vendors:** Institutions choosing to use a vendor list shall select vendors based on a rotation system, the assignment of ~~venders~~ vendors to a specified geographic area, classifying vendors by particular expertise, qualifications or field, or some other method in accordance with a written, public, and fair process.

7.5.3 **Removal of Vendors from the Approved Vendor List:** Institutions choosing to use an approved ~~vendor~~ vendor list shall include a statement indicating that vendors whose performance

does not meet the minimum performance rating threshold may be disqualified and removed from the approved vendor list.

R571-8 Exceptions to Procurement Requirements: Each institution shall establish policies, rules, and processes governing exceptions to procurement requirements that comply with the Utah Procurement Code, this policy and ~~corresponding administrative rule~~ Utah Admin. Code R765-561. Institutions may award a contract for a procurement item without using a standard procurement process under the following circumstances and in compliance with 63G-6a-802:

8.1 Sole Source Procurement: A standard procurement process is not required where there is only one source for a procurement item. The institution's president or designee shall determine in writing whether a procurement shall be made as a sole source. ~~In cases of reasonable doubt, institutions should use competitive processes.~~ Notice of a sole source procurement must be published in accordance with 63G-6a-112 if the cost of the procurement item exceeds the amount established by the Utah Procurement Code except where excluded under section 8.6.

8.2 Transitional Cost: A standard procurement process is not required where transitional costs are a significant consideration in selecting a procurement item and the results of a cost benefit analysis demonstrate that transitional costs are unreasonable or cost-prohibitive and that the awarding of a contract without engaging in a standard procurement process is in the best interest of the institution. Notice of a procurement based on transitional cost must be published in accordance with 63G-6a-112 if the cost of the procurement item exceeds the amount established by the Utah Procurement Code except where excluded under section 8.6.

8.3 Circumstances in which the Standard Procurement Process is Impractical and Not in Institution's Best Interests: Institutions may establish policies and procedures that designate circumstances under which the standard procurement process is impractical and not in the best interest of the institution. Although the president or designee may add additional criteria, the following are ~~examples of~~ procurements that are deemed to make the awarding of a contract through a standard procurement process impractical or contrary to the institution's best interests:

8.3.1 public utility services.

8.3.2 a procurement item where the; most important consideration in obtaining the item is the compatibility of equipment, technology, software, accessories, replacement parts, or service;

~~8.3.3 an item which is a condition of a donation and subject to section 8.4;~~

8.3.3. unique research materials;

8.3.4 instructional materials or other needed items for curriculum purposes based on pedagogical need and academic freedom of instructors;

8.3.5 membership fees, conference registrations, seminars, subscriptions to intellectual content;

8.3.6 conference venues and associated meals and entertainment at said venues;

8.3.7 used equipment when determined to be more practical or advantageous to the institution;

8.3.8 placement advertising in magazines, journals, newspapers, radio, television, online, buses, billboards, etc.;

8.3.9 library journals, periodicals, and rare books;

8.3.10 athletic game guarantees;

8.3.11 guest lecturers, performers, entertainers, convocations;

8.3.12 broadcasting rights, television programming, and associated fees;

8.3.13 original works of art;

8.3.14 study abroad travel expenses; and

8.3.15 travel, including commercial airfare and hotels;

8.3.16 sub-recipients of sponsored projects contributing to the scope of work for the project;

8.3.17 supplies and/or services required by the National Collegiate Athletic Association (NCAA) or the institution's athletic conference;

8.3.18 institutional sponsorship of third parties;

8.3.19 a procurement item from a specific supplier, service provider, or contractor that is a condition of a grant that will fund the cost of the supply, service, or construction item;

8.3.20 a procurement item from a specific supplier, service provider, or contractor that is a condition of a donation(s) or sponsorship(s) that will fund the cost of the supply, service, or construction item. Neither state funds nor institutional funds may be added to the donation or sponsorship in order to make an award under the provisions of this section;

8.3.21 Publications of an article, manuscript, research paper, etc., in a professional journal, periodical, or other source;

8.3.22 Original equipment manufacturer (OEM) parts, supplies, maintenance, and service when determined to be in the best interest of the institution.

~~8.4 Condition of a Donation: The institution may award a contract for a procurement item without competition if the president or designee determine in writing that the award to a specific supplier, service provider, or contractor is a condition of a donation or sponsorship that will fund the cost of the supply, service, or construction item. These procurements do not require publication of notice. Neither state funds nor institutional funds may be added to the donation or sponsorship in order to make an award under the provisions of this section.~~

8.54 Trial Use: The institution may award a contract for a procurement item without competition if the requirements of ~~Section~~ 63G-6a-802.3 are met and the president or designee determine in writing that the procurement item is needed for trial use or testing to determine whether the procurement item will benefit the institution.

8.65 Emergency Procurement: Emergency procurement is appropriate when an emergency condition exists that limits the capability of the institution to obtain competition. An emergency condition is a situation described in 63G-6a-803(1). These procurements shall be made with as much competition as reasonably practical while (1) avoiding a lapse in a critical government service; (2) avoiding harm, or a

risk of harm, to the public health, safety, welfare, or property; (3) protecting the legal interests of the institution.

8.76 Publication of Notice Not Required. Publication of notice under ~~Section~~ 63G-6a-802(3) is not required when the award is made under the circumstances described in R571-8.

R571-9 Protests: Aggrieved bidders, offerors, or potential bidders or offerors, may protest the solicitation's specifications or award decision in accordance with the Utah Procurement Code. The aggrieved party may appeal a protest decision in accordance with the Utah Procurement Code. Each institution shall establish policies and processes governing protests related to procurement in accordance with the Utah Procurement Code.

R571-10 Ethics: The institution's employees shall discharge their duties impartially so as to assure fair competitive access to procurements. Employees' conduct should foster public confidence in the integrity of the system of higher education.

R571-11 Multi-Year Contracts: Multi-year contracts, including renewals, may exceed five years if the president or designee determines in writing that (1) a longer period is necessary in order to obtain the item, (2) a longer period is customary for industry standards, or (3) a longer period is in the best interest of the Institution. The written determination must be included in the procurement file.

R571-1 Purpose: As required by the Utah Procurement Code, this policy and corresponding Utah Admin. Code R765-571 govern the management and control of procurements and procurement procedures conducted by the institutions in the state system of higher education.

R571-2 References

2.1 Utah Code §53B-1-102(4)

2.2 Utah Code §53B-7-101(11)

2.3 Utah Code §§63G-6a-101-2407 (Utah Procurement Code)

R571-3 Definitions

3.1 The terms used in this policy shall be defined as they are in 63G-6a-103 and 104.

3.2 In addition, the following definition shall apply:

3.2.1 "Institution" means an institution of higher education listed in 53B-1-102, except the Utah College of Applied Technology.

R571-4 Delegation of Authority: As established in 63G-6a-103(1)(f), the State Board of Regents is the body designated with rulemaking authority over procurement for institutions of Higher Education. The Board does not formally adopt any part of Utah Admin. Code R.33. However, each institution may adopt, in whole or in part, any rule listed in Utah Admin. Code R.33. Such adoption must be in writing. In the event of any conflict, inconsistency, or discrepancy between this policy and Utah Admin. Code R.33, this policy will govern. The Board delegates to each institution the authority to adopt and administer procurement policies and processes that conform with the Utah Procurement Code and this general policy and Utah Admin Code R765-571. Each president, or designee, is given authority over procurements at their respective institution.

R571-5 Guiding Principles: Each institution is charged to provide efficient and timely procurement services that maximizes the institution's resources and promotes its instruction, research, extension, and professional service programs. Each institution shall strive to obtain the maximum value for each dollar expended, utilizing open competition and impartial evaluation of alternate products. They should also foster fair, ethical, and legal trade practices, which develop a strong vendor community and promote public trust in the institution and the system of higher education.

R571-6 Small Purchases: Each institution shall establish policies, and processes governing small purchases.

6.1 Each institution shall establish the maximum expenditure that may qualify as a small purchase.

6.2 Each institution may establish expenditure thresholds and procurement requirements related to those thresholds in relation to small purchases, including, but not limited to:

¹ Approved September, 14, 2012, amended May 15, 2015 and January 20, 2017.

6.2.1 Purchasing Cards (P-Card): Purchasing card programs establish a more efficient method of paying for low-dollar transactions. Institutions shall establish procedures that govern card issuance, card-holder training, and auditing of purchasing card transactions.

6.2.2 Requests for Quotation (RFQ): Institutions shall seek competition whenever practicable. RFQs involve soliciting quotes from two or more known vendors. Each institution should establish procedures regarding the acceptance of phone, fax, and email quotes.

6.2.3 Small-dollar Purchase Orders

6.2.4 Reimbursements

6.2.5 Petty Cash

R571-7 Solicitations: When procuring items over an established threshold for small purchases outlined in section 6.1, each institution shall use a standard procurement process or an exception to the standard procurement process described in R571-8, comply with the Utah Procurement Code and comply with this policy. Each institution shall establish policies, and processes governing solicitations, including:

7.1 Invitation for Bid (IFB): The Invitation for Bids is used to initiate a competitive sealed bid procurement.

7.1.1 An IFB shall comply with the requirements of 63G-6a-603(2).

7.1.2 IFBs must be publicly advertised as outlined in the Utah Procurement Code.

7.1.3 Bids shall be submitted using a sealed bid process.

7.1.4 Bids shall be opened in accordance with 63G-6a-604.

7.1.5 Institutions shall evaluate bids based on the requirements set forth in the IFB, including objective evaluation criteria. Criteria not included in the IFB may not be used to evaluate bids.

7.1.6 Contracts shall be awarded with reasonable promptness by notice to the lowest responsible and responsive bidder whose bid meets the requirements and criteria set forth in the IFB.

7.1.7 IFBs may be performed in multiple steps as established in the 63G-6a-609.

7.1.8 Unless otherwise established by policy, institutions shall resolve tie bids by having the president or designee toss a coin in the presence of a minimum of two witnesses with the firm first in alphabetical order being heads.

7.1.9 Institutions may handle bids as otherwise permitted by the Utah Procurement Code, including, but not limited to, rejecting bids, cancelling the IFB, and using a reverse auction process.

7.2 Request for Proposal (RFP): An RFP process may be used instead of the IFB process if the procurement officer determines, in writing, that the RFP process will provide the best value to the institution.

7.2.1 An RFP shall comply with 63G-6a-703.

7.2.2 RFPs must be publicly advertised as outlined in the Utah Procurement Code.

7.2.3 Proposals shall be processed as outlined in the Procurement Code.

7.2.4 The institution shall establish an evaluation committee of at least three (3) individuals.

7.2.5 The evaluation committee will rate proposals based on the criteria outlined in the RFP. Criteria not included in the RFP may not be used to evaluate proposals.

7.2.6 The RFP process may be conducted in multiple steps, including presentations/discussions and requests for best and final proposals.

7.2.7 Each institution shall establish policies and processes governing best and final offers in accordance with the Utah Procurement Code, this policy and Utah Admin Code R765-571.

7.2.8 Institutions shall complete a justification statement as required by the Utah Procurement Code.

7.3 Request for Information (RFI): The purpose of an RFI is to obtain information, comments, or suggestions from potential bidders or offerors before issuing an IFB or RFP. An RFI is not a procurement process and may not be used to (a) solicit cost, pricing, or rate information; (b) negotiate fees; (c) make a purchase; or (d) enter into a contract.

7.4 Request for Statement of Qualifications (RFSQ): An institution may use a RFSQ process to prequalify potential bidders or offerors to provide any type of procurement item and limit participation in an IFB or RFP to the prequalified potential bidders or offerors. An institution may also use a RFSQ process to create an approved vendor list. A RFSQ process is a supplemental procurement process described in 63G-6a-410.

7.4.1 A RFSQ in multiple-stage procurement process shall comply with 63G-6a-410(4).

7.4.2 A RFSQ in an approved vendor list process shall comply with 63G-6a-410(5).

7.5 Approved Vendor List Procurement Process: Each institution may establish policies and processes governing approved vendor lists and award contracts using methods that comply with the Utah Procurement Code, this policy and Utah Admin Code R765-561.

7.5.1 **Award:** Institutions choosing to use a vendor list may award a contract to a vendor on an approved vendor list at an established price based on a price list, rate schedule, or pricing catalog in accordance with 63G-6a-113.

7.5.2 **Selection of Vendors:** Institutions choosing to use a vendor list shall select vendors based on a rotation system, the assignment of vendors to a specified geographic area, classifying vendors by particular expertise, qualifications or field, or some other method in accordance with a written, public, and fair process.

7.5.3 **Removal of Vendors from the Approved Vendor List:** Institutions choosing to use an approved vendor list shall include a statement indicating that vendors whose performance does not meet the minimum performance rating threshold may be disqualified and removed from the approved vendor list.

R571-8 Exceptions to Procurement Requirements: Each institution shall establish policies, rules, and processes governing exceptions to procurement requirements that comply with the Utah Procurement Code, this policy and Utah Admin. Code R765-561. Institutions may award a contract for a procurement item without using a standard procurement process under the following circumstances and in compliance with 63G-6a-802:

8.1 Sole Source Procurement: A standard procurement process is not required where there is only one source for a procurement item. The institution's president or designee shall determine in writing whether a procurement shall be made as a sole source. Notice of a sole source procurement must be published in accordance with 63G-6a-112 if the cost of the procurement item exceeds the amount established by the Utah Procurement Code except where excluded under section 8.6.

8.2 Transitional Cost: A standard procurement process is not required where transitional costs are a significant consideration in selecting a procurement item and the results of a cost benefit analysis demonstrate that transitional costs are unreasonable or cost-prohibitive and that the awarding of a contract without engaging in a standard procurement process is in the best interest of the institution. Notice of a procurement based on transitional cost must be published in accordance with 63G-6a-112 if the cost of the procurement item exceeds the amount established by the Utah Procurement Code except where excluded under section 8.6.

8.3 Circumstances in which the Standard Procurement Process is Impractical and Not in Institution's Best Interests: Institutions may establish policies and procedures that designate circumstances under which the standard procurement process is impractical and not in the best interest of the institution. Although the president or designee may add additional criteria, the following are procurements that are deemed to make the awarding of a contract through a standard procurement process impractical or contrary to the institution's best interests:

8.3.1 public utility services.

8.3.2 a procurement item where the; most important consideration in obtaining the item is the compatibility of equipment, technology, software, accessories, replacement parts, or service;

8.3.3. unique research materials;

8.3.4 instructional materials or other needed items for curriculum purposes based on pedagogical need and academic freedom of instructors;

8.3.5 membership fees, conference registrations, seminars, subscriptions to intellectual content;

8.3.6 conference venues and associated meals and entertainment at said venues;

8.3.7 used equipment when determined to be more practical or advantageous to the institution;

8.3.8 placement advertising in magazines, journals, newspapers, radio, television, online, buses, billboards, etc.;

8.3.9 library journals, periodicals, and rare books;

8.3.10 athletic game guarantees;

8.3.11 guest lecturers, performers, entertainers, convocations;

8.3.12 broadcasting rights, television programming, and associated fees;

8.3.13 original works of art;

8.3.14 study abroad travel expenses; and

8.3.15 travel, including commercial airfare and hotels;

8.3.16 sub-recipients of sponsored projects contributing to the scope of work for the project;

8.3.17 supplies and/or services required by the National Collegiate Athletic Association (NCAA) or the institution's athletic conference;

8.3.18 institutional sponsorship of third parties;

8.3.19 a procurement item from a specific supplier, service provider, or contractor that is a condition of a grant that will fund the cost of the supply, service, or construction item;

8.3.20 a procurement item from a specific supplier, service provider, or contractor that is a condition of a donation(s) or sponsorship(s) that will fund the cost of the supply, service, or construction item. Neither state funds nor institutional funds may be added to the donation or sponsorship in order to make an award under the provisions of this section;

8.3.21 Publications of an article, manuscript, research paper, etc., in a professional journal, periodical, or other source; and

8.3.22 Original equipment manufacturer (OEM) parts, supplies, maintenance, and service when determined to be in the best interest of the institution.

8.4 Trial Use: The institution may award a contract for a procurement item without competition if the requirements of 63G-6a-802.3 are met and the president or designee determine in writing that the procurement item is needed for trial use or testing to determine whether the procurement item will benefit the institution.

8.5 Emergency Procurement: Emergency procurement is appropriate when an emergency condition exists that limits the capability of the institution to obtain competition. An emergency condition is a situation described in 63G-6a-803(1). These procurements shall be made with as much competition as reasonably practical while (1) avoiding a lapse in a critical government service; (2) avoiding harm, or a risk of harm, to the public health, safety, welfare, or property; (3) protecting the legal interests of the institution.

8.6 Publication of Notice Not Required. Publication of notice under 63G-6a-802(3) is not required when the award is made under the circumstances described in R571-8.

R571-9 Protests: Aggrieved bidders, offerors, or potential bidders or offerors, may protest the solicitation's specifications or award decision in accordance with the Utah Procurement Code. The aggrieved party may appeal a protest decision in accordance with the Utah Procurement Code. Each institution shall establish policies and processes governing protests related to procurement in accordance with the Utah Procurement Code.

R571-10 Ethics: The institution's employees shall discharge their duties impartially so as to assure fair competitive access to procurements. Employees' conduct should foster public confidence in the integrity of the system of higher education.

R571-11 Multi-Year Contracts: Multi-year contracts, including renewals, may exceed five years if the president or designee determines in writing that (1) a longer period is necessary in order to obtain the item, (2) a longer period is customary for industry standards, or (3) a longer period is in the best interest of the Institution. The written determination must be included in the procurement file.

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State University – Trustee Property Actions

Issue

As required by Regent Policy R704, *Disposal of Real Property* Utah State University (USU) is notifying the Board that the USU Board of Trustees approved the disposal of 0.07 acres at its June 2018 meeting.

Background

Regent Policy R704, *Disposal of Real Property* delegates authority to the institutional Board of Trustees to dispose of institutional property valued at less than \$500,000. The policy requires institutions to notify the Board regarding any Trustee property transactions approved under the policy in the next regularly scheduled State Board of Regents Meeting.

During the June 22, 2018 meeting, the Utah State University Board of Trustees approved the disposal of 0.07 acres adjacent to the property on the west of campus where the May Swenson House will be constructed. USU sold the property for the appraised value of \$25,000. The attached letter from the University provides additional details on the Board of Trustee action and fulfills the requirement of the Regent policy.

Commissioner's Recommendation

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

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachment

August 28, 2018

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: Reporting the Disposal of .07 Acres of Property

Dear Commissioner Buhler:

Utah State University desires to report the disposal of .07 acres (3,047 square feet) of property for the appraised and disposal price of \$25,000. The parcel is located at approximately 550 North and 650 East, Logan, Utah as illustrated in Exhibit A. As USU is moving forward with construction of the recently approved May Swenson House, it needed to end a long-standing lease of a gravel parking area with an adjacent student housing property owner. The property sold to the adjacent property owner was a much smaller area on a different portion of USU property to provide a minimum amount of parking for student housing. The Utah State University Board of Trustees approved this action during the June 22, 2018 meeting.

Following Board of Regents policy R704, Disposal of Real Property, the policy delegates authority to the Board of Trustees to dispose of property when the disposal price does not exceed \$500,000. When exercising this option, the Board of Regents requires institutions to report the action after the fact.

We appreciate your support and request that you share this item with the Board of Regents during the September 20-21, 2018 meeting.

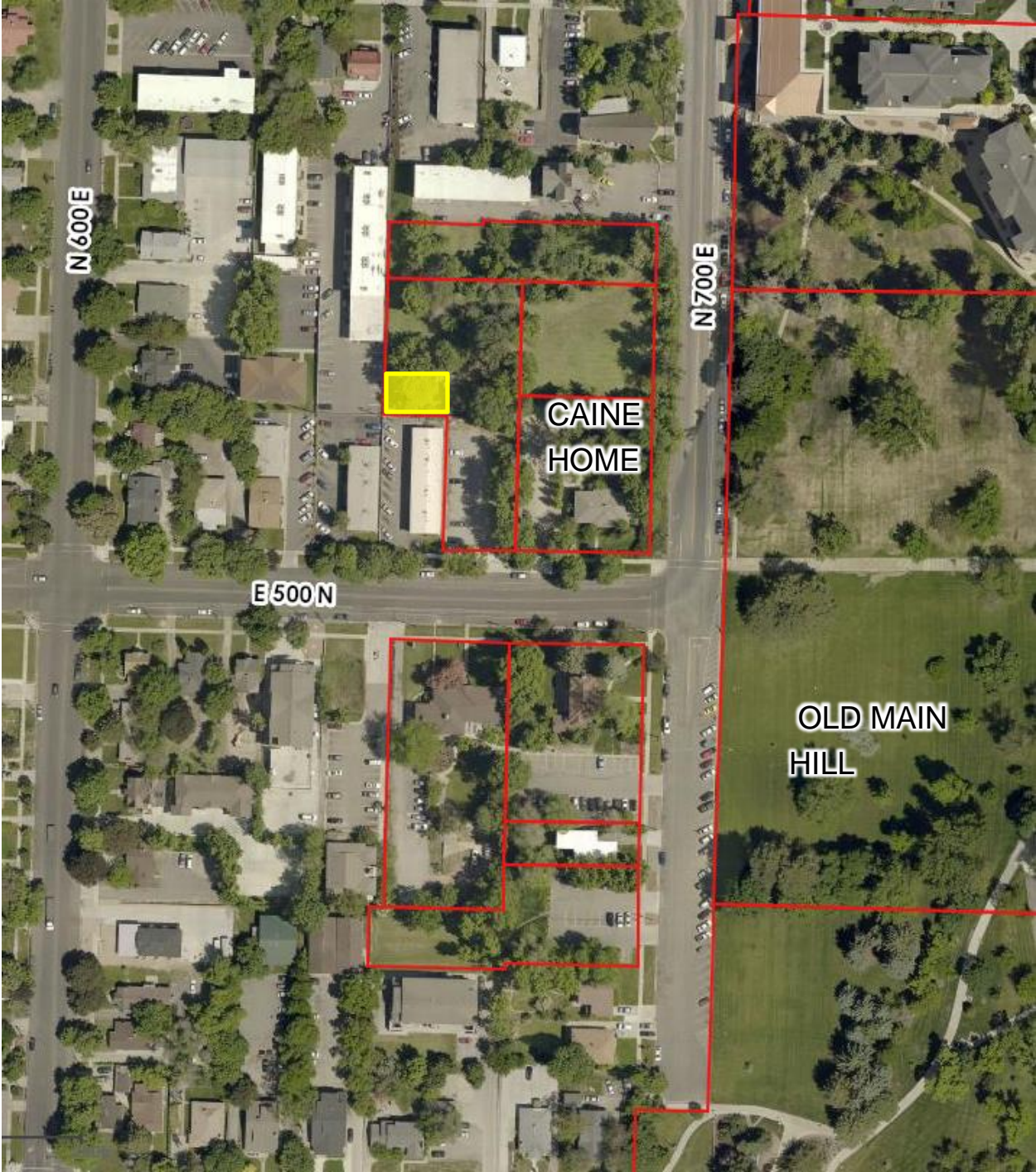
Sincerely,



David T. Cowley
Vice President for Business & Finance

cc: Kimberly Henrie, Associate Commissioner for Finance, Facilities, and Research
Noelle Cockett, USU President

EXHIBIT A



-  Property Disposal
-  USU Property

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Salt Lake Community College – Trustee Property Actions

Issue

As required by Regent Policy R704, *Disposal of Real Property* Salt Lake Community College (SLCC) is notifying the Board that the SLCC Board of Trustees approved the disposal of property contiguous to the Taylorsville Redwood Campus at its August 2018 meeting.

Background

Regent Policy R704, *Disposal of Real Property* delegates authority to the institutional Board of Trustees to dispose of institutional property valued at less than \$500,000. The policy requires institutions to notify the Board regarding any Trustee property transactions approved under the policy in the next regularly scheduled State Board of Regents Meeting.

During the August, 2018 meeting, the SLCC Board of Trustees approved the disposal of property at 1779 West Kirkham Way in Taylorsville, Utah. The College received approval to purchase the property from the Board of Trustees and presented an informational item to the Board of Regents in the May meeting. The College subsequently elected to sell the property for \$340,000, which is more than the appraised value of \$330,000. The attached letter from the College provides additional details on the Board of Trustee action and fulfills the requirement of the Regent policy.

Commissioner's Recommendation

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

David L. Buhler
Commissioner of Higher Education

DLB/KLH/RPA
Attachment



17 August 2018

Board of Regents
c/o Commissioner David L. Buhler
Board of Regents Building, Two Gateway
60 South 400 West
Salt Lake City, UT 84101-1284

RE: Disposal of property located at 1779 Kirkham Way, Salt Lake City, UT

Commissioner:

In accordance with the R704, Disposal of Real Property; SLCC is requesting the disposal/sale of property to be placed on the information calendar agenda for the next Board of Regents meeting. The property is located at 1779 Kirkham Way, Salt Lake City, UT and is:

- (1) The appraised of the property is under \$500,000
- (2) The pending offer is \$340,000
- (3) The offer is a cash sale and requires no appraisal for closing
- (4) In February 2018 the College acquired the property for \$330,000 (appraised value)

It is proposed that Salt Lake Community College sell the property/house located at 1779 West Kirkham Way, in Taylorsville, Utah. This property was originally purchased in February 2018. The purchase originated from a conversation between two neighbors that resulted in one homeowner requesting that the College purchase his property. The College met with the two homeowners and made the decision to buy both adjoining parcels of land. The second homeowner subsequently decided not to sell his home to the College.

Due to a change in plans from one of the homeowners, and neighborhood concerns that included discussion with the local community and state legislative representatives. The College has made the decision to sell the property to maintain good community relations.

Prior to purchasing the property, an official appraisal was completed. The College is listing this property to recoup the College's expenses. The cash sale offer will net the College a small profit.

Respectfully submitted,

Malin B. Francis
Director, Planning & Design



September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Annual Report on Foreign Gifts and/or Donations

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 ninth 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, Utah State University and Utah Valley University receiving a total of \$3,030,000 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/KLH/BLS
Attachment

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 ninth 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 2017-18 fiscal year, only the University of Utah, Utah State University and Utah Valley University have reportable donations to disclose. The summary table and donation details are presented below.

USHE Institution	Reportable Foreign Donations FY 2017-18
*University of Utah	\$ 2,548,000
*Utah State University	\$ 432,000
Weber State University	None
Southern Utah University	None
Snow College	None
Dixie State University	None
*Utah Valley University	\$ 50,000
Salt Lake Community College	None
Total	\$ 3,030,000

*A Gift from a Foreign Person Aggregating \$50,000 or More - QR - 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 2017-18
University of Utah, Utah State University and Utah Valley 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	1/23/2018	\$ 2,120,000	\$ 2,120,000	Lassonde Studios Program
Nihon Medi-Physics Co., LTD	Japan	2/9/2018	\$ 100,000	\$ 100,000	Neuroimaging and Biotechnology Lab
Dennis W. Monson	Germany	10/16/2017	\$ 100,000	\$ 100,000	Monson Chair Endowment
The Shaw Foundation Hong Kong	China	9/27/2017	\$ 100,000	\$ 100,000	Kollár Endowed Assistant Professorship
Petroleo Brasileiro S.A.	Brazil	1/10/2018	\$ 64,000	\$ 128,000	Electromagnetics
		4/30/2018	\$ 64,000		
Total			\$ 2,548,000	\$ 2,548,000	

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	8/8/2017	\$ 300,000	\$ 432,000	Ardeshir Zahedi International Endowment
		2/15/2018	\$ 80,000		
		10/20/2017	\$ 2,000		
		2/15/2018	\$ 20,000		Noelle & John Cockett Graduate Fellowship Endowment
		11/6/2017	\$ 20,000		Daines Concert Hall Seat Campaign
		12/19/2017	\$ 10,000		Stan L. Albrecht Agriculture Endowment
Total		\$ 432,000	\$ 432,000		

Utah Valley 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
Li Ka Shing Foundation	Hong Kong/Canada	3/20/2018	\$ 50,000	\$ 50,000	
Total			\$ 50,000	\$ 50,000	

September 12 11, 2018

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 20, 2018, Southern Utah University, Cedar City, Utah (Attachment).

B. Grant Proposals

1. University of Utah – US Department of Education; "Project Fact +R2C2"; \$1,047,240. Sharlene Akemi Kiuahara, Principal Investigator.
2. University of Utah – DHHS National Institutes of Health; "3D printed Nanovesicle Sorting"; \$2,742,047. Roseanne Warren, Principal Investigator.
3. University of Utah – NIH National Inst Child Hlth & Human Dev; "Lightweight Prosthesis"; \$2,579,160. Tommaso Lenzi, Principal Investigator.
4. University of Utah – NIH Natl Inst Arthrit Muscoskel Skin Dis; "Bowles Sequence-Specific Cris"; \$1,906,250. Robert Daniel Bowles, Principal Investigator.
5. University of Utah – NIH Natl Inst Arthrit Muscoskel Skin Dis; "Bowles R01 Resub Crispr BP"; \$1,906,250. Robert Daniel Bowles, Principal Investigator.
6. University of Utah – DHHS National Institutes of health; "Extracellular Vesicles"; \$1,800,000. Mikhail Skliar, Principal Investigator.
7. University of Utah – US Department of Defense; "JWMRP_Microindentation_Pre"; \$1,367,869. Brittany Coats, Principal Investigator.
8. University of Utah – US Department of Energy; "NETL-1820"; \$1,229,590. Pania Newell, Principal Investigator.

9. University of Utah – National Science Foundation; “Vectorized Representation”; \$1,113,725. Jeffrey Phillips, Principal Investigator.
10. Utah State University – UT Department of Health; “Up to 3 Baby Watch Early Intervention Program”; \$1,266,521. Susan E Thain Olsen, Principal Investigator.
11. Utah State University – US National Science Foundation; “Measuring IMPACT: Integrated Mathematics Programming & Computational Thinking in Early Childhood”; \$1,120,808. Jody Clarke Midura, Principal Investigator.
12. University of Utah – NIH Natl Inst Deaf & Other Comm Disorder; “Treatments for Aphasia”; \$5,613,460. Julie L Wambaugh, Principal Investigator.
13. University of Utah – NIH Natl Inst Diabetes Digest Kidney Dis; “J Kim Niddk R01”; \$1,631,133. Jaewhan Kim, Principal Investigator.
14. University of Utah – Cleveland Clinic Foundation; “Cleveland Clinic Subaward”; \$1,302,373. Leland E Dibble, Principal Investigator.
15. University of Utah – US Department of Education; “IMCLAS Title VI NRC”; \$2,760,000. Claudio A Holzner, Principal Investigator.
16. University of Utah – Us Department of Education; “IMCAPS Title VI NRC”; \$1,080,000. Kim Korinek, Principal Investigator.
17. University of Utah – DHHS Health Resources & Services Admin; “Wilson HRSA NWD Nov 2016”; \$1,993,970. Rebecca D Wilson, Principal Investigator.
18. University of Utah – NIH National Institute on Drug Abuse; “Interactive Meth & DA”; \$3,287,014. Kristen A Keefe, Principal Investigator.
19. University of Utah – NIH National Institute Environl Hlth Sci; “TRP and Air Pollution”; \$3,023,550. Christopher A Reilly, Principal Investigator.
20. University of Utah – NIH Natl Int Neurgolog Disorders Stroke; “Hypothalamic Hamartoma Model” \$1,143,750. Peter J West, Principal Investigator.
21. University of Utah – Army Medical Research Acquisition Activity; “Combo Chemoimmunotherapy”; \$1,143,750. Jiyuan Yang, Principal Investigator.

22. University of Utah – National Science Foundation; “Research Training in Mathbio”; \$2,499,192. Aaron L Fogelson, Principal Investigator.
23. University of Utah – National Science Foundation; “Algebra, Geometry, & Topology”; \$2,492,843. Karl E Schwede, Principal Investigator.
24. University of Utah – DHHS National Institutes of Health; “ZBTBS and Chromatin”; \$1,906,250. Bethany Anne Koehntop, Principal Investigator.
25. University of Utah – DHHS National Institutes of Health; “Photoelectrocyclizations”; \$1,525,000. Jon D Rainier, Principal Investigator.
26. University of Utah – US Department of Defense; “BCBT Replication Studey-Lejeune”; \$4,854,659. Craig Bryan, Principal Investigator.
27. University of Utah – Univ of North Carolina at Chapel Hill; “Predicting Binge and Burge”; \$1,154,095. Jonathan Butner, Principal Investigator.
28. University of Utah – National Science Foundation; “People with Visual Impairment”; \$1,124,594. Sarah Hope Creem-Regehr, Principal Investigator.
29. University of Utah – NIH National Cancer Institute; “ORACLE”; \$3,829,544. Mia Hashibe, Principal Investigator.
30. University of Utah – NIH National Heart Lung & Blood Inst; “Post-Op AFIB in Cardiac”; \$3,042,851. Derek James Dossdall, Principal Investigator.
31. University of Utah – NIH National Cancer Institute; “Carly_06.05.18_NIH_R01”; \$1,906,250. Katherine Elena, Principal Investigator.
32. University of Utah – NIH National Cancer Institute; “06.05.18_GERTZ_06.05.18”; \$1,906,250. Jason Gertz, Principal Investigator.
33. University of Utah – DHHS Institutes of Health; “Holmen_R01_July_2018_Resub”; \$1,906,250. Sheri L Holmen, Principal Investigator.
34. University of Utah – NIH National Cancer Institute; “06.05.18_KIRCHHOFF_NIH_R01”; \$1,525,000. Anne C Kirchhoff, Principal Investigator.
35. University of Utah – University of Pennsylvania; “Serous Ovarian Cancer”; \$1,515,817. Jennifer Anne Doherty, Principal Investigator.

36. University of Utah – University of Michigan; “06.05.18_UOFMICH_SUB”; \$1,309,350. Joshua David Schiffman, Principal Investigator.
37. University of Utah – American Association for Cancer Research; “07.02.18_MCMAHON_AACR”; \$1,000,000. Martin McMahon, Principal Investigator.
38. University of Utah – DHHS National Institutes of Health; “Grossman_R01)_07.05.18”; \$2,433,562. Douglas Grossman, Principal Investigator.
39. University of Utah – NIH National Int of General Medical Sci; “Hedgehog Pathway”; \$1,906,250. Benjamin R Myers, Principal Investigator.
40. University of Utah – DHHS National Institutes of Health; “Spike R01 06.05.2018”; \$1,906,250. Benjamin T Spike, Principal Investigator.
41. University of Utah – NIH Natl Inst Neurology Disorders Stroke; “ESTH1”; \$9,907,244. John R W Kestle, Principal Investigator.
42. University of Utah – Laura and John Arnold Foundation; “Family Planning Elevate”; \$7,959,669. David Turok, Principal Investigator.
43. University of Utah – NIH National Institute of Mental Health; “Depression and the Aging Brain”; \$3,811,250. Sara L Weisenbach, Principal Investigator.
44. University of Utah – DHHS National Institutes of Health; “Transcranial MRI”; \$3,354,047. Dennis L Parker, Principal Investigator.
45. University of Utah – NIH National Inst of General Medical Sci; “NRMN”; \$3,107,432. Kolawole S Okuyemi, Principal Investigator.
46. University of Utah – DHHS National Institutes of Health; “New R01 FOXN3”; \$3,065,760. Amnon Schlegel, Principal Investigator.
47. University of Utah – NIH Natl Inst Diabetes Digest Kidney Dis; “Agarwal R01 June2018”; \$2,638,709. Jayant Agarwal, Principal Investigator.
48. University of Utah – NIH national Heart Lung & Blood Inst; “Casper U24 June 2018”; \$2,913,338. Theron Charles Casper, Principal Investigator.

49. University of Utah – DHHS National Institutes of Health; “Evaluation of Myelin Damage”; \$2,806,300. Eun-Kee Jeong, Principal Investigator.
50. University of Utah – NIH Natl Inst Diabetes Digest Kidney Dis; “Partner CKD”; \$2,710,030. Srinivasan Beddhu, Principal Investigator.
51. University of Utah – DHHS National Institutes of Health; “Agarwal R01 June2018”; \$2,638,709. Jayant Agarwal, Principal Investigator.
52. University of Utah – DHHS National Institutes of Health; “Megan Williams R01 PA-18-484”; \$2,620,246. Megan E Williams, Principal Investigator.
53. University of Utah – DHHS National Institutes of Health; “The Effects of Dietary Seleniu”; \$2,162,190. Michael Therron Howard, Principal Investigator.
54. University of Utah – NIH National Inst Child Hlth & Human Dev; “Endometriosis R01”; \$2,157,097. Matthew Peterson, Principal Investigator.
55. University of Utah – CDC Natl Center for Inj Prev & Control; “Opioid Overdose”; \$2,027,593. Adam Joseph Gordon, Principal Investigator.
56. University of Utah – DHHS National Institutes of Health; “NIH S10 High-End Instrument”; \$1,999,999. Dennis L Parker, Principal Investigator.
57. University of Utah – DHHS National Institutes of Health; “Microtubule Stabilization”; \$1,964,172. Donna Cross, Principal Investigator.
58. University of Utah – DHHS National Institutes of Health; “P62/SQATM1”; \$1,916,414. Sihem Boudina, Principal Investigator.
59. University of Utah – DHHS National Institutes of Health; “Understanding Adrenoleukodyst”; \$1,906,250 Anthea Letsou, Principal Investigator.
60. University of Utah – NIH Natl Inst Diabetes digest Kidney Dis; “TIE-2 Gene Therapy in diabetes”; \$1,906,250. Yuffeng Huang, Principal Investigator.
61. University of Utah – DHHS National Institutes of Health; “Hypoglycemia-Mortality”; \$1,906,250. Simon J Fisher, Principal Investigator.
62. University of Utah – DHHS National Institutes of Health; “R01_Adam Douglas”; \$1,906,250. Adam Douglass, Principal Investigator.

63. University of Utah – DHHS National Institutes of Health; “R01_Jessica Brown”; \$1,906,250. Jessica C S Brown, Principal Investigator.
64. University of Utah –DHHS National Eye Institute; “2018 R01 VEGF-TIE2”; \$1,906,250. Balamurali Krishna Ambati, Principal Investigator.
65. University of Utah – NIH National Heart Lung & Blood Inst; “Neural Crest Cardiomyocytes”; \$1,906,250. H Joseph Yost, Principal Investigator.
66. University of Utah – NIH Natl Inst Neurology Disorders Stroke; “Cell Death and Epilepsy”; \$1,906,250. Jay Spampinato, Principal Investigator.
67. University of Utah – HRSA Bureau of Health Professions; “Rocky Mtn Health Workforce CE”; \$1,786,372. Kimberley I Shoaf, Principal Investigator.
68. University of Utah – DHHS National Institutes of Health; “Holland Alpha DK112826”; \$1,143,750. William Louis Holland, Principal Investigator.
69. University of Utah – DHHS National Institutes of Health; “Fellow: Nasser Sharareh”; \$1,111,824. Rachel Hess, Principal Investigator.
70. University of Utah – Merck Sharp & Dohme Corp; “Merck Research Agreement”; \$1,067,500. Stavros George Drakos, Principal Investigator.
71. University of Utah – George Washington University; “R01 PA-18-484 GWU SUB”; \$1,036,017. Bruce Earl Bray, Principal Investigator.
72. University of Utah – DHHS Substance Abuse & Mntl Hlth Svc Adm; “WM-PTTC”; \$2,958,516. Jason Burrow-Sanchez, Principal Investigator.
73. University of Utah – US Department of Education; “SPEP Grant”; \$1,233,089. Elaine Clark, Principal Investigator.
74. University of Utah – US Department of Education; “BABA”; \$1,230,930. Aaron Jason Fischer, Principal Investigator.
75. University of Utah – DOD Defense Advanced Research Projects Agency; “Nano Particle Based Neuro Tech”; \$4,497,414. Carlos Mastrangelo, Principal Investigator.

76. University of Utah – New York University; “OASIS”; \$3,358,224. Florian Solzbacher, Principal Investigator.
77. University of Utah – DHHS National Institutes of Health; “Hermetically Packaged Chiplets”; \$3,226,162. Ross M Walker, Principal Investigator.
78. University of Utah – National Science Foundation; “Preevents-Wind Damage”; \$1,681,264. Jeremy Alan Gibbs, Principal Investigator.
79. University of Utah – National Science Foundation; “Preevents Wind”; \$1,588,983. Jeremy Alan, Principal Investigator
80. University of Utah – National Science of Foundation; “Selects”; \$1,064,832. Eliane Stampfer Wiese, Principal Investigator.
81. University of Utah – US Department of Education; “Imclas Title VI Flas”; \$2,760,000. Claudio A Holzner, Principal Investigator.
82. University of Utah – DHHS National Institutes of health; “C-Fig”; \$9,010,153. Erin Witter Rothwell, Principal Investigator.
83. University of Utah – NIH Natl Inst Allergy & Infectious Dis; “PD-1 In Autoimmunity”; \$2,690,265. Mingnan Chen, Principal Investigator.
84. University of Utah – NIH national Inst Child Hlth & Human Dev; “Resub-Translational Control”; \$1,906,250. Randall Theodore Peterson, Principal Investigator.
85. University of Utah – NIH Natl Int Neurology Disorders Stroke; “Resubmit Microglia Epilepsy”; \$1,906,250. Karen S Wilcox, Principal Investigator.
86. University of Utah – DHHS National Institutes of Health; “High-Throughput Analysis”; \$1,052,250. Ming Ming Chen Hammond, Principal Investigator.
87. University of Utah – AAA Foundation for Traffic Safety; “AV and Driver Workload”; \$4,434,987. David lee Strayer, Principal Investigator.
88. University of Utah – DHHS National Institutes of Health; “Effects of Air Pollution”; \$2,111,079. Sara Elizabeth Grineski, Principal Investigator.
89. University of Utah – NIH National Cancer Institute; “07.05.18_O’Hare_NIH_Renewal”; \$2,717,885. Thomas J O’Hare, Principal Investigator.

90. University of Utah – Washington University of in St Louis; “PQ10 The Gut Microbiome”; \$2,041,637. Cornelia Ulrich, Principal Investigator.
91. University of Utah – DHHS National Institutes of Health; “Holmen/Vanbrocklin – 10/05/18”; \$1,906,250. Sheri L Holmen, Principal Investigator.
92. University of Utah – NIH National Cancer Institute; “Fuel Choice – Triple Neg”; \$1,906,250. Donald E Ayer, Principal Investigator.
93. University of Utah – DHHS National Institutes of Health; “Holmen_NIH_R01_BRAF_2018_Renew”; \$1,906,250. Sheri L Holmen, Principal Investigator.
94. University of Utah – Cedars Sinai Medical Center; “Post-Diagnosis Diet”; \$1,748,290. Cornelia Ulrich, Principal Investigator.
95. University of Utah – National Science Foundation; “NSF Career: Molecular Control”; \$1,531,240. Michelle C Mendoza, Principal Investigator.
96. University of Utah – NIH National Institute of Mental Health; “R01 MPI MH116998”; \$3,812,116. Samir Abdelrahman, Principal Investigator.
97. University of Utah – NIH National heart Lung & Blood Inst; “Atrial Tissue Remodeling”; \$3,628,833. Shireen Yousef Elhabian, Principal Investigator.
98. University of Utah – DHHS National Institutes of Health; “Targeting Oxidative Stress”; \$3,053,485. Joel D Trinity, Principal Investigator.
99. University of Utah – DHHS national Institutes of health; “Marth//Tristani Gen. Medicine”; \$3,046,183. Gabor T Marth, Principal Investigator.
100. University of Utah – NIH Natl Inst diabetes Digest Kidney Dis; “R01 Par-16-121 July 2018”; \$3,008,894. Hung-Chieh Chou, Principal Investigator.
101. University of Utah – NIH Natl Inst Arthrit Muscoskel Skin Dis; “R01 Antimicrobial pouch-Resub”; \$2,999,168. Dustin lee Williams, Principal Investigator.
102. University of Utah – DHHS National Institutes of Health; “Diane Ward R01 Renewal”; \$2,928,278. Diane M Ward, Principal Investigator.

103. University of Utah – DHHS National Institutes of Health; “ER01 Resubmission_Villanueva”; \$2,707,914. Claudio Javier Villanueva, Principal Investigator.
104. University of Utah – NIH Natl Inst Arthrit Muscoskel Skin Dis; “Morphometrics & Biomechanics”; \$2,321,261. Andrew Edward Anderson, Principal Investigator.
105. University of Utah – DHHS National Institutes of Health; “R01 PA-18-484 Rothenfluh”; \$1,906,250. Adrian Rothenfluh, Principal Investigator.
106. University of Utah – DHHS National Institutes of Health; “R01 Ren-Inflam Arthritis”; \$1,906,250. Shannon J Odelberg, Principal Investigator.
107. University of Utah – DHHS National Institutes of Health; “R01-Hypoglycemia Trial”; \$1,906,250. Simon J Fisher, Principal Investigator.
108. University of Utah – DHHS National Institutes of Health; “R01 Resubmission_Kikani”; \$1,906,250. Chintan Kirandhai Kikani, Principal Investigator.
109. University of Utah – DHHS National Institutes of Health; “R01 PA-18-144 Bryan Gibson”; \$1,906,250. Bryan Smith Gibson, Principal Investigator.
110. University of Utah – NIH National Eye Institute; “New R01 7.16.18”; \$1,906,250. Monica L Vetter, Principal Investigator.
111. University of Utah – NIH Inst of General Medical Sci; “R01 GM112080 Renewal”; \$1,906,250. Wesley I Sundquist, Principal Investigator.
112. University of Utah – DHHS National Institutes of Health; “Impact of T Cells”; \$1,905,917. Anthony Donata, Principal Investigator.
113. University of Utah – DHHS National Institutes of Health; “R01 NS106232 Resub”; \$1,830,738. Donna Cross, Principal Investigator.
114. University of Utah – NIH Natl Inst Diabetes Digest Kidney dis; “Colon and Microbiome RNA”; \$1,823,518. Don A Delker, Principal Investigator.
115. University of Utah – US Department of Defense; “Spinal cord Perfusion Strategy”; \$1,793,441. Candace Lorraine Floyd, Principal Investigator.
116. University of Utah – NIH Natl Inst Neurolog Disorders Stroke; “Calcium Dynamics of Microglia”; \$1,746,285. Mario R Capecchi, Principal Investigator.

117. University of Utah – American Diabetes Association; “ADA Visionary Award June Round”; \$1,625,000. June Louise Round, Principal Investigator.
118. University of Utah – Protalix LTD; “PB-102-F60”; \$1,493,075. Nicola Longo; \$1,493,075. Nicola Longo, Principal Investigator.
119. University of Utah – NIH Natl Inst Diabetes Digest Kidney Dis; “Acidosis and TXP Survival”; \$1,021,500. Kalani Lukela Raphael, Principal Investigator.
120. University of Utah - NIH Natl Inst Neurology Disorders Stroke; “De Havenon K23 Ninds June 2017”; \$1,004,400. Adam Helme De Havenon, Principal Investigator.
121. Utah State University – USD Dept of Energy; “Developing High Performance and Low Cost Aqueous Organic Redox Flow Batteries”; \$1,056,751. Tianbiao Liu, Principal Investigator.
122. Utah State University – US Dept of Education; “Utah State University STARS! GEAR UP Partnership”; \$16,871,415. James T Dorward, Principal Investigator.
123. Utah State University – UT Sys. of High. Ed. – Space Dynamics Laboratory; “AWE- Atmospheric Waves Experiment”; \$4,261,639. Michael John Taylor, Principal Investigator. Pierre Dominique Pautet, Tao Yuan, Yucheng Zhao, Co-Investigators.
124. Utah State University – UT Sys. of High. Ed. – Space Dynamics Laboratory; “AWE- Atmospheric Waves Experiment”; \$3,670,422. Michael John Taylor, Principal Investigator. Pierre Dominique Pautet, Tao Yuan, Yucheng Zhao, Co-Investigators.
125. Utah State University – US National Science Foundation; “Understanding the effects of above-and below ground linkages on carbon cycling in a high latitude, coastal wetland”; \$1,264,495. Trisha Brooke Atwood, Principal Investigator.
126. Utah State University – US Dept of Comm. – Economic Development Admin.; “Building capacity for economic development in local economies through rural innovation in business expansion, entrepreneurship and regional workforce development”; \$1,000,000. Ruby Ward, Principal Investigator. Don Earl Albrecht, Karin E Allen, Kynda Curtis, Jody A Gale, Paul Allen Hill, Paul Mark Jakus, Mankeun Kim, Co-Investigators.
127. Utah State University – US National Science Foundation; “CAREER” An integrated approach to understanding selection and evolution in heterogeneous environments”; \$1,092,788. Zachariah Compert, Principal Investigator.

128. Utah State University – US National Science Foundation; “ CAREER” Understanding the role of developmental plasticity in behavioral innovation through a comparative analysis of social evolution in bees”; \$1,298,255. Karen Marie Kapheim, Principal Investigator.
129. Utah State University – Administration for Community Living; “Utah Person Centered Support Plan Monitoring and Capacity Building Project”; \$2,139,914. Matthew Thomas Wappett, Principal Investigator.

C. Awards

1. University of Utah – Army Medical Research Acquisition Activity; “BCBT Replication Study-Lejeune”; \$2,636,694. Craig Bryan, Principal Investigator.
2. University of Utah – UT Governor’s Office of Economic Dev; “Stem AC Evaluation”; \$1,499,395. Andrea K Rorrer, Principal Investigator.
3. University of Utah – US Agency for International Development; “SAID-PCASW”; \$2,000,565. Steven John Burian, Principal Investigator.
4. University of Utah – National Science Foundation; “Deeplog”; \$1,099,999. Feifei Li, Principal Investigator.
5. University of Utah – NIH Natl Inst Dental Craniofacial Rsrch; “Connect, Compare, and Change”; \$1,077,499. Kathy Chapman, Principal Investigator.
6. University of Utah – June Therapeutics Inc; “Juno 17004”; \$1,191,809. Deborah Marie Stephens, Principal Investigator.
7. University of Utah – NIH Natl Ctr for Advncing Translt Scnces; “Dean U24 NCATS Sept 2015”; \$3,539,199. J Michael Dean, Principal Investigator.
8. Utah State University – US Department of Education; “STARS! (science, technology, arithmetic, reading students) GEAR UP”; \$2,040,000. Nicole Faye Pyle, Principal Investigator.
9. Utah State University – US Department of Education; “Utah State University STARS! GEAR UP Partnership”; \$2,366,400 James T Dorward, Principal Investigator.
10. Utah State University – UT Department of Workforce Services; “CCPDI”; \$2,017,290. Ann Marie Berghout Austin, Principal Investigator.

11. Utah State University – US Dept of Hlt and Hum Svcs – Office of Family Assistance; “Steps to Health Fatherhood”; \$1,574,870. Brian J Higginbotham, Principal Investigator.
12. Utah State University – US Department of Education; “GEAR UP 3: Utah State University STARS! GEAR UP Partnership”; \$2,084,651. James T Dorward, Principal Investigator.
13. Utah State University – SERDP; “A Date-Driven Decision Support System to Identify Optimal land use Alternatives for Protecting Species of Concern on D)D and Surrounding Lands”; \$1,571,962. Charles P Hawkins, Principal Investigator.

D. Academic and Student Affairs Items

Information Items:

New Programs:

- University of Utah – Master of Science and Technology in Earth Resource Management
- University of Utah – PhD in Human Development and Social Policy
- Utah State University – Bachelor of Arts in Portuguese
- Utah State University – Bachelor of Science in Dietetics
- Utah State University – Bachelor of Science in Food Science
- Utah State University – Bachelor of Science in Nutrition Science
- Utah State University – Master of Science in Data Science
- Southern Utah University – Bachelor of Arts in Geosciences
- Southern Utah University – Master of Science in Business Analytics

Notification Items:

New Programs:

- University of Utah – Emphasis in Advanced Financial Analysis within the BA/BS in Finance
- University of Utah – Minor in Advanced Financial Analysis
- University of Utah – Minor in Occupational Safety and Health
- Utah Valley University – Emphasis in Educational Leadership within the Master of Education
- Utah Valley University – Emphasis in National Security Studies within the BS in Integrated Studies
- Salt Lake Community College – Certificate of Completion in Pharmacy Technician Training

Name Change:

- University of Utah – BS in Operations Management to BS in Operations and Supply Chain
- Utah Valley University – BS in Aviation Science to BS in Professional Pilot
- Utah Valley University – Emphasis in Emergency Management to Emphasis in Emergency Leadership within the BS in Emergency Services Administration

Program Discontinuation

- Utah Valley University - Emphasis in Aviation Administration within the BS in Aviation Science
- Utah Valley University - Emphasis in Professional Pilot within the BS in Aviation Science

New Administrative Unit

- Utah Valley University – Department of Engineering

E. Revision of Policy R686, *Student Prosperity Savings Program* (Attachment)

This policy was a legislatively mandated savings partnership with My529 and community partners. Having administered the program for over a year, My529 staff have requested minor changes that do not substantively impact the program, but will assist in administering it efficiently and to impact the intended population. Specifically, the age and grade restrictions are lowered so more children may benefit.

F. Revision of Policies R924, R951, and R964 (Attachment)

Policies R924, R951 and R964 are recent revisions to the internal personnel policies within the Office of the Commissioner of Higher Education (OCHE). The changes clarify the grievance process for adverse employment actions and provide administrative steps to handle a grievance. The revisions provide additional guidance on determining appropriate levels of discipline and performance planning.

Internal personnel policies are generally presented to the Board as consent calendar items.

David L. Buhler
Commissioner of Higher Education

STATE BOARD OF REGENTS
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH
R HAZE HUNTER CONFERENCE CENTER
JULY 20, 2018

Contents of Minutes

Attendance	1
Discussion – Review of Thursday’s Meeting, Completion of Annual Forms	1
President’s Report	2
Oath of Office	2
Resolution.....	2
General Consent Calendar	2
Adoption of Policy R250, <i>Legislative Communications</i>	3
Revision of Policy R714, <i>Capital Facilities Community Impact</i>	3
USHE – Board of Regents Strategic Plan Update – 2018 Progress Report	3
Open Meetings Training	4
Finance and Facilities	4
Southern Utah University – Campus Master Plan Approval	
Southern Utah University – Property Acquisition	
Utah State University – Horse Barn Non-state Funded Project	
Snow College – Campus Master plan Amendment	
Snow College – Non-Traditional Arrangement for Student Housing in Richfield	
USHE – FY20 Budgeted Development Process (BDP) Guidelines	
USHE – Review of Finance & Facilities Committee FY18	
USHE – Revenue Bond Results	
USHE – 2018-19 Budget Initiatives Use of Funds Received	
USHE – 2018-19 Performance Based Funding Initiatives	
Adjournment	9

STATE BOARD OF REGENTS
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH
R HAZE HUNTER CONFERENCE CENTER
JULY 20, 2018

COMMITTEE OF THE WHOLE
MINUTES

Regents Present

Harris H. Simmons, Chair
Nina R. Barnes, Vice Chair
Jessellie B. Anderson
Wilford Clyde
Marlin K. Jensen
Ron Jibson
Jakell Larson
Robert S. Marquardt
Cristina Ortega
Robert W. Prince
Teresa L. Theurer

Regents Absent

Steven Lund
Patricia Jones
Steven Lund
Mark Stoddard
Thomas E. Wright

Office of the Commissioner

David L. Buhler, Commissioner of Higher Education
Kimberly L. Henrie, Associate Commissioner for Planning, Finance and Facilities
Elizabeth Hitch, Associate Commissioner of Academic Affairs

Institutional Presidents Present

Ruth V. Watkins, University of Utah
Noelle Cockett, Utah State University
Scott L. Wyatt, Southern Utah University
Gary Carlston, Snow College
Jeff Olson, Utah Valley University
Richard B. Williams, Dixie State University
Deneece G. Huftalin, Salt Lake Community College
Norm Tarbox, Weber State University

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

Discussion – Review of Thursday's Meeting, Completion of Annual Forms

A discussion on success of Regent/Trustee Retreat. Regents signed annual Conflict of Interest forms.

Chair Harris Simmons called the Committee of Whole meeting to order at 10:49 a.m.

President's Report

President Wyatt began stating Regents have asked him to report on the Regents' Strategic Objectives of Timely Completion and Mental Health. Beginning with Timely Completion, the goal is to increase the percentage of students completing. SUU has not only met but exceeded the goal of 28 awards per 100 FTE, ahead of time and under budget. SUU has grown by about 24% over the last 10 years, but the awarding of degrees has grown by 61%. He said he is often asked how the selective admissions process impacts retention. From 1993 – 2006, the admission standard at SUU was 80. During which the highest annual retention rate was 70%. In 2007, the admission standard was increased to 85, and retention actually dropped. The highest retention rate during this period of time was 69%. In 2011 the standard was increased to 90, and the highest retention rate was 66%. In 2014, the university got serious about increasing retention rates and since then has seen more than a 10% increase in retention. SUU was highlighted last month in the Higher Education Chronical for the things they are doing to increase retention. It takes an all-encompassing campus working together in a coordinating effort to be engaged.

President Wyatt said he would like to highlight four strategies for Timely Completion, presented in two separate initiatives: 1) A collaboration with Southwest Tech and SUU. They have created a dual-enrollment program, which means every student at Southwest Tech will receive credit at SUU, and students from SUU will received credit at Southwest Tech, ultimately providing flexibility and cost savings to students. 2) SUU's new three-year bachelor degree concept. The concept being if we can take students from four years to three; instead of the fourth year the students will take two summers, they will get the same amount of work in three years, saving the student money and time. SUU benefits because instead of hiring three faculty members with three offices, they can hire two faculty members with two offices.

The next issue is Mental Health. President Wyatt said this is a big challenge, but one that SUU welcomes. The industry standard is to have one senior full-time counselor for every 1000-1500 students. SUU now has a ratio of 1-1195; adding the three doctoral interns they have, who work full-time, the ratio becomes 1-896. Even with this ratio, during peak times, there is still a wait time of 5-6 weeks. SUU will continue to work on this.

Oath of Office

Having been appointed to the Board of Regents, Jakell Larson took the Oath of Office, administered by Chair Simmons.

Resolution

Regent Barnes shared comments regarding the resolution for Regent Valdez. She said Regent Valdez was a great contributor to the Board of Regents and has been very involved with issues concerning women and diversity. **Regent Barnes made a motion to approve the resolution; the motion was seconded by Regent Theurer and the motion carried.**

Consent Calendar (TAB A)

On a motion by Regent Prince and seconded by Regent Clyde the following items were approved on the Regents' General Consent Calendar:

- A. Minutes – Minutes of the Board meeting May 18, 2018 Salt Lake Community College, Salt Lake City, Utah.

- B. Grant Proposals
- C. Awards
- D. Academic items Received and Approved
- E. Revision to wording of Policy R704, *Disposal of Real Property*

Adoption of Policy R250, *Legislative Communications* (TAB B)

Commissioner Buhler noted there has been a lot of discussion about how higher education institutions might appropriately engage with state legislators. The current executive order prevents any expenditures towards legislators. For example: if a legislator was invited to an event at an institution and a sweet roll was provided, the legislator was expected to pay for that. We did not feel this was the most workable way to approach this. Board leadership, presidents, and Commissioner's staff met with the Governor's staff to develop a new policy. This proposed policy includes: who may by policy represent an institution at the legislature; ties into policy the current state law that involves lobbyist's disclosures and regulations, with some exceptions. These exceptions include: food and beverage may be provided at events as long as it does not exceed state per diem; allows items of nominal value may be provided; provides an exemption if there is an event where all legislators are invited; institutions may host legislators at events with the following limitations – legislators are limited to be invited to two institution sponsored men's football or basketball events per calendar year; institutions provide an annual report of any expenditures on legislators. **Regent Theurer made a motion to approve as outlined in TAB B; the motion was seconded by Regent Campbell and the motion carried.**

Revision of Policy R714, *Capital Facilities Community Impact* (TAB C)

Associate Commissioner Jenkins said the Commissioner's office was asked what USHE institutions are doing to inform students of their immunization opportunities. We found that several institutions notify students of this when they live on campus. This policy standardizes the requirements for all USHE institutions to notify students living on campus of their immunization opportunities. **Regent Clyde made a motion to approve as outlined in TAB C; the motion was seconded by Regent Barned and the motion carried.**

USHE – Board of Regents Strategic Plan Update – 2018 Progress Report (TAB D)

Associate Commissioner Henrie stated in order to advance the Regents' strategic metrics, we recognize the key component is to measure progress. The Board adopted its strategic plan in 2015 with two metrics; we are asking the Board to consider expanding these metrics to a list of eight. In addition to identifying and defining the metric, we have also identified benchmarks. These benchmarks are new and the goals should be considered a starting point for the Board. Regents can adjust these in the future, but we need a place to start. We expect this process to be reviewed annually to look at metrics, discuss whether they are effective and whether the goals should be adjusted. There are two metrics being advanced under Affordable Access: The current metric College Participation Rate of High School Graduates – which measures the percentage of Utah high school graduates who enroll within five years of high school graduation. Affordability is difficult to assess. A metric which helps display what that means for students may be a starting point to measure affordability. The metric selected is the percentage of full-time resident students who do not require loans, grants, or scholarship to pay for college; this represents 19% of our student population. The goal is to maintain this percentage as we grow. The next metric is Timely Completion. This metric will be adjusted to Time to Graduation by measuring the number of semesters needed to

complete a college degree. Under Workforce, we have determined a metric is the Return on a Students' Investment by measuring the wage premium a student experiences for every \$1 they pay in tuition based on whether the student earns an associate or a bachelor's degree. The final four metrics include: Total Cost per Award, Functional Cost per Full-time Student, Space Utilization, and Return on the State Tax Fund Investment. These metrics will begin to provide a baseline related to cost per award, cost per FTE, and space utilization, while measuring the impact higher education has on the economy through the return on investment realized by additional income tax paid by USHE graduates over a 30 year time frame.

President Cockett noted presidents have not seen this and would like time to review. She would like to see a break out for each benchmark per institution. Regent Clyde said he likes seeing the metrics, whether these are the right metrics or not, we should allow the presidents time to review. He also said it would be hard to adopt today just receiving the information and may be better to adopt in the September Board meeting. Chair Simmons said we need to figure it out, even if we don't have the data by institution. Ultimately if we have a system wide goal, we need to break down the components for each institution and have a discussion on what that means for each institution. It would be helpful to take another step and say what does this look like by institution, have a discussion with the Council of Presidents on whether these are the right metrics. President Huftalin agreed metrics are important, but would be nice to have some time, specifically for SLCC, she is concerned about the affordability metric. Commissioner Buhler stated these are intended to be system metrics. If the sense of the Board is to take more time we can do that. President Watkins stated on the Capacity and Growth section, there are some innovative ideas she would praise, particularly the ROI. She applauds the work done on this and in some ways this is a path breaking effort. Regent Campbell noted this is a situation where we won't all end up where we want to be, but this is an important process. He agreed we are looking for system goals, but the institutions need to know how they contribute to the system goal and how they roll up in that number. He applauds the effort and said we are moving in the right direction. Chair Simmons said he would like the institutions to take this back to their Board of Trustees. President Wyatt said he thinks we can have a system metric that may only apply to a subset of schools. He encourages the effort, but feels we should divide it out because institutions are not all the same. Regent Clyde noted if something doesn't work, the institutions should work to come up with a solution. Regent Larson said she would like to see metrics for each institution and then have a conversation on whether these are the right metrics. Regent Barnes asked the Regents if the work they did in their working groups is reflected in the document. Regent Prince stated this is an example where the discussion and conversation is as important as the resolution. Chair Simmons asked to table this item and revisit in the September Board meeting.

Open Meetings Training

Commissioner Buhler reminded Regents of the requirement to hold Open Meetings Training annually. The training was provided by showing a 12 minute video prepared by the state auditors.

FINANCE AND FACILTITES

Southern Utah University – Campus Master Plan Approval (TAB E)

Marvin Dodge, VP of Finance and Administration, SUU highlighted a couple of changes over the last few years. **Regent Anderson moved to approve as outlined in TAB E; the motion was seconded by Regent Barnes and the motion carried.**

Southern Utah University – Property Acquisition (TAB F)

Marvin Dodge, VP of Finance and Administration, SUU noted this property is across the street from the Southern Museum of Arts. The house is currently under contract; they were asking \$650,000 and SUU is paying \$575,000. This is a strategic purchase as SUU tries to purchase the entire block. **Regent Anderson made a motion to approve as outlined in TAB F; the motion was seconded by Regent Campbell and the motion carried.**

Utah State University – Horse Barn Non-state Funded Project (TAB G)

Dave Cowley, VP for Business and Finance, USU noted this property is necessary to accommodate the growing Equine Science and Management Program. This is a 1.8 million project; institutional funds will be used, with no state funds requested. **Regent Anderson made a motion to approve as outlined in TAB G; the motion was seconded by Regent Clyde and the motion carried.**

Snow College – Campus Master Plan Amendment (TAB H)

Jake Dettinger, Business VP, Snow noted this is for a proposed amendment to the Richfield campus. This is an updated location for student housing; there is no infrastructure at the current location. **Regent Anderson made a motion to approve as outlined in TAB H; the motion was seconded by Regent Larson and the motion carried.**

Snow College – Non-Traditional Arrangement for Student Housing in Richfield (TAB I)

Jake Dettinger, Business VP, noted the Snow College, Richfield campus is currently land-locked, and they have plateaued in enrollment. They are asking to move forward with an RFP to find a developer to partner with to develop and build student housing. **Regent Anderson moved to approve as outlined in TAB I; the motion was seconded by Regent Prince and the motion carried.**

USHE – FY20 Budgeted Development Process (BDP) Guidelines (TAB J)

Commissioner Buhler noted this outlines the BDP process and shows it will be constructed around the Regents' strategic objectives, and we will be receiving input from the institutions. Associate Commissioner Henrie noted it's pretty standard and straight forward, and highlighted the process. Regent Marquardt asked if any changes were made to the way the presentations would be made after questions were brought up by a few legislators and GOB about the format of the budget presentation. Henrie said they met with Kris Cox over the summer and noted most of her concerns were with the way the metrics were presented. They want to understand how they can evaluate higher education as compared to other state agencies. They have been working to find common ground and have a follow up meeting in a couple of weeks. **Regent Anderson made a motion to approve as outlined in TAB J; the motion was seconded by Regent Jibson and the motion carried.**

USHE – Review of Finance & Facilities Committee FY18 (TAB K)

Regent Anderson noted over the year, the committee took action on 34 different items including approval of budget and capital development guidelines, student fees, 6 policy related items, 2 campus master plans, 5 non-state funded projects, and 6 property transactions. In addition, the committee received 30 information items highlighting the enrollment levels, debt managements, auxiliary operations, institutional residences, leases, the annual legislative session, intuition benefits and many other reports. **This is an information item only; no action was taken.**

USHE – Revenue Bond Results (TAB L)

Regent Anderson noted three institutions recently issued revenue bonds to construct facilities approved by the 2018 Utah State Legislature. SLCC closed on \$11,735,000 of bonds on June 20, 2018 with an all-inclusive interest cost of 2.83%. USU Closed on \$32,210,000 of bonds on June 21, 2018 with an all-inclusive interest cost of 3.54%. The U closed on \$80,040,000 of bonds on July 17, 2018 with an all-inclusive interest cost of 3.62%. **This is an information item only; no action was taken.**

USHE – 2018-19 Budget Initiatives Use of Funds Received (TAB M)

Regent Anderson noted each institution has submitted detailed Student Growth & Capacity, Completion, and Workforce initiatives for fiscal year 2018-19. This information will be included in legislative budget item follow-up reports and other requests. **This is an information item only; no action was taken.**

USHE – 2018-19 Performance Based Funding Initiatives (TAB N)

Regent Anderson noted each institution has submitted detailed Performance Based funding initiatives for the \$3,850,000 on-going appropriation in fiscal year 2018-19, with descriptions, rationale, justification, outcomes, assessment, and budgetary plan. This information will be included in legislative budget item follow-up reports and other requests. **This is an information item only; no action was taken.**

Regent Marquardt motioned to move into executive session on this date for the purpose of discussing the character, professional competence, or physical or mental health of individuals, and discussion regarding deployment of security personnel, devices, or system. The motion was seconded by Regent Prince and the motion carried.

The meeting adjourned at 1:56 p.m.

Loreen Olney, Executive Secretary

Date Approved: September 21, 2018

R686-1. Purpose: To establish the process for awarding funding from the Student Prosperity Savings Program under Utah Code Section 53B-8a-202.

R686-2. References

- 2.1. Utah Code Section 53B-8a-202

R686-3. Definitions

- 3.1. "Applicant" means Community Partner as defined below who has requested Program funding.
- 3.2. "Basis" means the sum of contributions made to an account.
- 3.3. "Board" means the Utah State Board of Regents.
- 3.4. "Children's Savings Account" or "CSA" means an account that is opened as part of a Program to encourage and assist educational savings among low- and middle-income families.
- 3.5. "Child" means an individual younger than 20 years old.
- 3.6. "Community Partner" means a nonprofit organization that provides services to an Economically disadvantaged Child or to a family member, legal guardian, or legal custodian of an Economically disadvantaged Child.
- 3.7. "Donation" means a gift, grant, donation, or any other conveyance of money by a person other than the Legislature that is not made directly for the benefit or on behalf of a particular individual.
- 3.8. "Earnings/loss" means the market gains, losses, dividends and interest received.
- 3.9. "Economically disadvantaged" means that a child is:
 - 3.9.1. experiencing Intergenerational poverty (see definition below);
 - 3.9.2. a member or foster Child of a family with an annual income at or below 185 percent of the Federal poverty level; or
 - 3.9.3. living with a legal custodian or legal guardian with an annual family income at or below 185 percent of the Federal poverty level.
- 3.10. "Eligible individual" is an individual who meets all of the following conditions:
 - 3.10.1. is younger than 20 years old at the time of the application and is a Utah resident;

¹ Adopted July 21, 2017.

- 3.10.3. is economically disadvantaged; and
- 3.10.1. receives—or has a family member, a foster family member, or a legal custodian or legal guardian who receives—services from a Community Partner.
- 3.11. "Federal poverty level" is defined by the most recently revised poverty income guidelines published by the United States Department of Health and Human Services in the Federal Register.
- 3.12. "Higher education costs" is defined in Section 53B-8a-102.5 of Utah State Code, except that the expenses must be incurred at:
 - 3.12.1. a credit-granting institution of higher education within the Utah System of Higher Education;
 - 3.12.2. a private, nonprofit college or university in the state that is accredited by the Northwestern Association of Schools and Colleges; or
 - 3.12.3. a college within the Utah College of Applied Technology.
- 3.13. "Intergenerational poverty" is defined in Section 35A-9-102 of Utah State Code.
- 3.14. "Master Account" means the Program account where the sponsor can deposit money dedicated for their CSA program without the requirement of designating a beneficiary.
- 3.15. "Program" means the Student Savings Prosperity Program as created by 53B-8a-202 of the Utah State Code.
- 3.16. "Scholarship Account" means an account opened by the Program sponsor (entity) for a participating Child. Each Scholarship Account has a specified beneficiary.
- 3.17. "UESP" means the Utah Educational Savings Plan.

R686-4. Appropriations and Donations: The program is funded by appropriations from the Legislature and donations made in accordance with Section 53B-8a-203.

- 4.1. **Legislative Appropriations:** The Legislature may appropriate funds to the Utah Board of Regents for the Program. The Board will transfer the appropriated funds to UESP.
- 4.2. **Donations:** Individuals or organizations may donate funds directly to the Program. Donations must be sent via check and include in correspondence that the funds are to be used for the Program. UESP will mail a receipt to the donor within five business days. The receipt should include the donor's name, the amount donated, and the date the plan received the donation. UESP will hold all received funds in the UESP Administrative Fund until they are transferred to the Master Accounts of Community Partners who have been awarded the funds.

R686-5. Application Procedures

- 5.1. Community partners may apply for Program funding by completing UESP's application, which will be available on the UESP website. The application will request information about the community partner's strategic plan to establish children's savings accounts with the targeted students, to identify and verify

eligible individuals, and to provide additional matching funds (if any). Community partners must mail completed applications to UESP.

5.2. To be eligible for the funds, a community partner must be a nonprofit organization that provides services to a child who is economically disadvantaged; or a family member, legal guardian, or legal custodian of a child who is economically disadvantaged.

5.3. Community partners may apply for funding once per year. Funding awarded can be used over multiple years provided the child remains eligible.

R686-6. Scoring Applications.

6.1. At least two UESP employees will review and score applications on a quarterly basis. UESP may also include outside community members to review applications.

6.2. The application will include the methodology by which reviewers will score. UESP may reject applications if any portion of the application does not satisfactorily meet the minimum requirements of the Program.

6.3. After scoring applications, the reviewers will recommend distribution of funding to the UESP Executive Director for final approval of award amounts. UESP will send award letters and rejection letters to all applicants.

6.4. If the amount of funding available is less than \$1,000, applications will be held for up to one year, and reviewed again each quarter.

R686-7. Award Amounts and Funding Distribution.

7.1. On an annual basis, the UESP Executive Director will determine the maximum award amount that a community partner may receive from the UESP Student Prosperity funding for an eligible individual.

7.2. To receive awarded funds, community partners shall sign an agreement with UESP, which will establish the terms and conditions of receiving Program funding for community partner and UESP.

7.3. Community partners shall establish through UESP a master account for the organization and scholarship accounts for the eligible individuals identified by the community partners. The funds awarded through the Program will be transferred only after the community partner has established scholarship accounts.

7.4. Community partners are encouraged to add additional funding to the scholarship accounts set up through the Program.

7.4.1. If Community Partners wish to reallocate non-Program moneys from scholarship accounts that have received Program funds, the proportion of the account's current basis to earnings—excluding administrative fees and any other administrative adjustments—will be applied to original awarded amount to determine the amount of funds that must remain in the account or be returned to UESP for reallocation.

R686-8. Community Partner Responsibilities.

8.1. Community partners are required to track the progress of each child who is awarded funding, to determine whether the child has met the Program's requirements as established the child's plan.

8.2. Community partners will report to UESP the name, grade or high school graduation date, and student's enrollment status. The Community Partner will alert UESP of any students who received Program funds but have not met the requirements of the Program.

R686-9. Rescinded Funds.

9.1. Students who have received Program funds but have not enrolled at a qualifying institution of higher education within three years of high school graduation will forfeit the Program funds. Those funds will be returned to UESP, who may reallocate to the same community partner or to other community partners.

9.2. The proportion of the account's current basis to earnings—excluding administrative fees and any other administrative adjustments—will be applied to original awarded amount to determine the amount of funds that must be returned to UESP. The community partner may request transfer non-Program money to other accounts owned by the Community Partner.

R686-10. Community Partner Dissolution.

10.1. If a community partner dissolves, it shall inform UESP with as much advance notice as possible. The Community Partner should make reasonable attempts to find another nonprofit entity that meets the requirements for the Program to take over the program responsibilities. If another community partner cannot be located, UESP will take over as account owner of the scholarship accounts.

10.2. In the event that the community partner dissolves, UESP will send correspondence to the scholars with instructions on how to maintain the account and withdraw their funds. Any non-Program funds that are still in the scholarship accounts may be withdrawn by the scholar. Program funds in the scholarship accounts still require the student to enroll in a qualifying higher education institution within three years of graduation.

R686-1. Purpose: To establish the process for awarding funding from the Student Prosperity Savings Program under Utah Code Section 53B-8a-202.

R686-2. References

- 2.1. Utah Code Section 53B-8a-202

R686-3. Definitions

- 3.1. "Applicant" means Community Partner as defined below who has requested Program funding.
- 3.2. "Basis" means the sum of contributions made to an account.
- 3.3. "Board" means the Utah State Board of Regents.
- 3.4. "Children's Savings Account" or "CSA" means an account that is opened as part of a Program to encourage and assist educational savings among low- and middle-income families.
- 3.5. "Child" means an individual younger than 20 years old.
- 3.6. "Community Partner" means a nonprofit organization that provides services to an Economically disadvantaged Child or to a family member, legal guardian, or legal custodian of an Economically disadvantaged Child.
- 3.7. "Donation" means a gift, grant, donation, or any other conveyance of money by a person other than the Legislature that is not made directly for the benefit or on behalf of a particular individual.
- 3.8. "Earnings/loss" means the market gains, losses, dividends and interest received.
- 3.9. "Economically disadvantaged" means that a child is:
 - 3.9.1. experiencing Intergenerational poverty (see definition below);
 - 3.9.2. a member or foster Child of a family with an annual income at or below 185 percent of the Federal poverty level; or
 - 3.9.3. living with a legal custodian or legal guardian with an annual family income at or below 185 percent of the Federal poverty level.
- 3.10. "Eligible individual" is an individual who meets all of the following conditions:
 - 3.10.1. is ~~at least 15 years old and~~ younger than 20 years old at the time of the application and is a Utah resident;

¹ Adopted July 21, 2017.

~~3.10.2. is a student in grade 10, grade 11, or grade 12 in Utah at the time of the application;~~

3.10.3. is economically disadvantaged; and

3.10.1. receives—or has a family member, a foster family member, or a legal custodian or legal guardian who receives—services from a Community Partner.

3.11. "Federal poverty level" is defined by the most recently revised poverty income guidelines published by the United States Department of Health and Human Services in the Federal Register.

3.12. "Higher education costs" is defined in Section 53B-8a-102.5 of Utah State Code, except that the expenses must be incurred at:

3.12.1. a credit-granting institution of higher education within the Utah System of Higher Education;

3.12.2. a private, nonprofit college or university in the state that is accredited by the Northwestern Association of Schools and Colleges; or

3.12.3. a college within the Utah College of Applied Technology.

3.13. "Intergenerational poverty" is defined in Section 35A-9-102 of Utah State Code.

3.14. "Master Account" means the Program account where the sponsor can deposit money dedicated for their CSA program without the requirement of designating a beneficiary.

3.15. "Program" means the Student Savings Prosperity Program as created by 53B-8a-202 of the Utah State Code.

3.16. "Scholarship Account" means an account opened by the Program sponsor (entity) for a participating Child. Each Scholarship Account has a specified beneficiary.

3.17. "UESP" means the Utah Educational Savings Plan.

R686-4. Appropriations and Donations: The program is funded by appropriations from the Legislature and donations made in accordance with Section 53B-8a-203.

4.1. **Legislative Appropriations:** The Legislature may appropriate funds to the Utah Board of Regents for the Program. The Board will transfer the appropriated funds to UESP.

4.2. **Donations:** Individuals or organizations may donate funds directly to the Program. Donations must be sent via check and include in correspondence that the funds are to be used for the Program. UESP will mail a receipt to the donor within five business days. The receipt should include the donor's name, the amount donated, and the date the plan received the donation. UESP will hold all received funds in the UESP Administrative Fund until they are transferred to the Master Accounts of Community Partners who have been awarded the funds.

R686-5. Application Procedures

5.1. Community partners may apply for Program funding by completing UESP's application, which will be available on the UESP website. The application will request information about the community partner's strategic plan to establish children's savings accounts with the targeted students, to identify and verify eligible individuals, and to provide additional matching funds (if any). Community partners must mail completed applications to UESP.

5.2. To be eligible for the funds, a community partner must be a nonprofit organization that provides services to a child who is economically disadvantaged; or a family member, legal guardian, or legal custodian of a child who is economically disadvantaged.

5.3. Community partners may apply for funding once per year. Funding awarded can be used over multiple years provided the child remains eligible.

R686-6. Scoring Applications.

6.1. At least two UESP employees will review and score applications on a quarterly basis. UESP may also include outside community members to review applications.

6.2. The application will include the methodology by which reviewers will score. UESP may reject applications if any portion of the application does not satisfactorily meet the minimum requirements of the Program.

6.3. After scoring applications, the reviewers will recommend distribution of funding to the UESP Executive Director for final approval of award amounts. UESP will send award letters and rejection letters to all applicants.

6.4. If the amount of funding available is less than \$1,000, applications will be held for up to one year, and reviewed again each quarter.

R686-7. Award Amounts and Funding Distribution.

7.1. Community partners may receive up to \$100 per year for each eligible individual. On an annual basis, the UESP Executive Director will determine the maximum award amount that a community partner may receive from the UESP Student Prosperity funding for an eligible individual.

7.2. To receive awarded funds, community partners shall sign an agreement with UESP, which will establish the terms and conditions of receiving Program funding for community partner and UESP.

7.3. Community partners shall establish through UESP a master account for the organization and scholarship accounts for the eligible individuals identified by the community partners. The funds awarded through the Program will be transferred only after the community partner has established scholarship accounts.

7.4. Community partners are encouraged to add additional funding to the scholarship accounts set up through the Program.

7.4.1. If Community Partners wish to reallocate non-Program moneys from scholarship accounts that have received Program funds, the proportion of the account's current basis to earnings—excluding administrative fees and any other administrative adjustments—will be applied to original awarded amount to determine the amount of funds that must remain in the account or be returned to UESP for reallocation.

R686-8. Community Partner Responsibilities.

8.1. Community partners are required to track the progress of each child who is awarded funding, to determine whether the child has met the Program's requirements as established the child's plan.

8.2. Community partners will report to UESP the name, grade or high school graduation date, and student's enrollment status. The Community Partner will alert UESP of any students who received Program funds but have not met the requirements of the Program.

R686-9. Rescinded Funds.

9.1. Students who have received Program funds but have not enrolled at a qualifying institution of higher education within three years of high school graduation will forfeit the Program funds. Those funds will be returned to UESP, who may reallocate to the same community partner or to other community partners.

9.2. The proportion of the account's current basis to earnings—excluding administrative fees and any other administrative adjustments—will be applied to original awarded amount to determine the amount of funds that must be returned to UESP. The community partner may request transfer non-Program money to other accounts owned by the Community Partner.

R686-10. Community Partner Dissolution.

10.1. If a community partner dissolves, it shall inform UESP with as much advance notice as possible. The Community Partner should make reasonable attempts to find another nonprofit entity that meets the requirements for the Program to take over the program responsibilities. If another community partner cannot be located, UESP will take over as account owner of the scholarship accounts.

10.2. In the event that the community partner dissolves, UESP will send correspondence to the scholars with instructions on how to maintain the account and withdraw their funds. Any non-Program funds that are still in the scholarship accounts may be withdrawn by the scholar. Program funds in the scholarship accounts still require the student to enroll in a qualifying higher education institution within three years of graduation.

R924-1. Purpose: To establish a process through which a supervisor or manager can address an employee's poor performance.

R924-2. References

- 2.1. Policy R910, Equal Opportunity and Nondiscrimination
- 2.2. Policy R941, Staff Compensation
- 2.3. Policy R951, Staff Employee Grievances
- 2.4. Policy R964, Corrective Action and Termination of Staff Personnel

R924-3. Scope: This policy applies to all permanent staff employees of OCHE who have satisfactorily completed their probationary period.

R924-4. Policy: When an employee's performance does not meet established standards due to failure to maintain skills, incompetence, or inefficiency, and after consulting with the Director of Human Resources or their designee, management may place an employee on a documented performance improvement plan in accordance with the following guidelines:

- 4.1. The supervisor shall discuss the substandard performance with the employee and determine appropriate action.
- 4.2. An employee shall have the right to submit written comment to accompany the performance improvement plan.
- 4.3. Performance improvement plans shall identify or provide for:
 - 4.3.1. a designated period of time for improvement, but no longer than ninety days
 - 4.3.2. an opportunity for remediation;
 - 4.3.3. performance expectations;
 - 4.3.4. closer supervision to include regular feedback of the employee's progress;
 - 4.3.5. notice of disciplinary action for failure to improve; and,
 - 4.3.6. written performance evaluation at the conclusion of the performance improvement plan.
- 4.4. Performance improvement plans may also identify or provide for the following based on the nature of the performance issue:
 - 4.4.1. training;

¹ Adopted July 19, 1983, amended January 9, 1987 and June 4, 1999; replaced April 21, 2006.

4.4.2. reassignment;

4.4.3. use of appropriate leave,

4.5. If an employee fails to meet performance expectations of his or her performance improvement plan, management may take appropriate action under R964, Corrective Action and Termination of Staff Personnel, including treating the failure as a second incident and subjecting the employee to substantial corrective action.

4.6. If an employee successfully completes a performance improvement plan, management shall notify the employee of disciplinary consequences if the employee begins demonstrating deficient work performance, up to and including dismissal.

4.7. A written warning may also be used as an appropriate form of performance improvement as determined by the supervisor.

4.8. A Permanent Staff employee has the right to the grievance process found in R951, Staff Employee Grievances, but only if the employee has reason to believe that the procedures pertaining to this policy have been violated.

R964R924-1. Purpose: To establish a process through which a supervisor or manager can address an employee's poor performance.

R964R924-2. References

- 2.1. Policy ~~and Procedure~~ R910, Equal Opportunity and Nondiscrimination
- 2.2. Policy ~~and Procedure~~ R941, Staff Compensation
- 2.3. [Policy ~~and Procedure~~ R951, Staff Employee Grievances](#)
- 2.4. [Policy ~~and Procedure~~ R964, Disciplinary Action](#) [Corrective Action and Termination of Staff Personnel](#)

R964R924-3. Scope: This policy applies to all permanent staff employees of OCHE who have satisfactorily completed their probationary period.

R964R924-4. Policy: When an employee's performance does not meet established standards due to failure to maintain skills, incompetence, or inefficiency, and after consulting with [the Director of Human Resources](#) [or their designee](#), management may place an employee on a documented performance improvement plan in accordance with the following guidelines:

- 4.1. The supervisor shall discuss the substandard performance with the employee and determine appropriate action.
- 4.2. An employee shall have the right to submit written comment to accompany the performance improvement plan.
- 4.3. Performance improvement plans shall identify or provide for:
 - 4.3.1. a designated period of time for improvement, but no longer than ninety days
 - 4.3.2. an opportunity for remediation;
 - 4.3.3. performance expectations;
 - 4.3.4. closer supervision to include regular feedback of the employee's progress;
 - 4.3.5. notice of disciplinary action for failure to improve; and,
 - 4.3.6. written performance evaluation at the conclusion of the performance improvement plan.
- 4.4. Performance improvement plans may also identify or provide for the following based on the nature of the performance issue:

¹ Adopted July 19, 1983, amended January 9, 1987 and June 4, 1999; replaced April 21, 2006.

4.4.1. training;

4.4.2. reassignment;

4.4.3. use of appropriate leave.

4.5. If an employee fails to meet performance expectations ~~after completing~~ his or her performance improvement plan, management may take appropriate ~~disciplinary~~ action under R964, Disciplinary Corrective Action and Termination of Staff Personnel, including treating the failure as a second incident and subjecting the employee to substantial corrective action. ~~Management shall then give the employee an additional thirty days to meet expectations. If the employee fails to meet expectations after thirty days, management may dismiss the employee from employment.~~

4.6. If an employee successfully completes a performance improvement plan, management shall notify the employee of disciplinary consequences if the employee begins demonstrating deficient work performance, up to and including dismissal.

4.7. A written warning may also be used as an appropriate form of performance improvement as determined by the supervisor.

4.8. A Permanent Staff employee has the right to the grievance process found in R951, Staff Employee Grievances, but only if the employee has reason to believe that the procedures pertaining to this policy have been violated.

R951-1. Purpose: To provide an effective means of ensuring fair treatment for regular staff employees seeking to resolve work-related problems or conditions of employment believed to be unfair, inequitable, or a hindrance to effective job performance.

R951-2. References

- 2.1. Regent Policy **R901**, Personnel Definitions
- 2.2. Regent Policy **R910**, Equal Opportunity and Nondiscrimination
- 2.3. Regent Policy R915, Staff Employee Separations
- 2.4. Regent Policy R924, Performance Improvement
- 2.5. Regent Policy **R952**, Discrimination and Sexual Harassment Complaints
- 2.6. Regent Policy **R954**, Sexual Harassment and Consensual Relationships
- 2.7. Regent Policy **R963**, Reduction in Force
- 2.8. Regent Policy **R964**, Corrective Action and Termination of Staff Personnel

R952-3. Definitions

- 3.1. **Adverse Employment Action:** Includes corrective actions, involuntary termination, separation, and reduction in force.
- 3.2. **Advisor:** A person that the grievant and/or respondent has chosen to assist them in the grievance process. The advisor may be an attorney. An advisor may only be present during Step III of the grievance process.
- 3.3. **Corrective Action:** Includes Written Warning, Final Written Warning, Suspension Without Pay, Demotion, and Performance Improvement Plan.
- 3.4. **Employment "At-will":** Employees who are "at will" do not have access to the Staff Employee Grievance process.
- 3.5. **Final and Binding Decision:** A final decision in the grievance process. The grievance is considered closed.
- 3.6. **Grievance:** The act of appealing an adverse employment action as defined in R915, R963 or R964.
- 3.7. **Grievant/Petitioner:** A staff employee who has filed a grievance.

3.8. Mediation: A process by which a trained, neutral third person assists both parties in reaching a mutually acceptable resolution to a work-related grievance. Mediation is completely voluntary. Mediation will occur only when both parties willingly agree to participate. When a party is interested in exploring mediation, that party should contact Human Resources.

3.9. Probationary Staff: Those staff employees hired for, or reinstated to, a Regular Staff full-time or part-time position and serving a probationary period of at least six (6) months. Probationary staff employees are "at will" employees

3.10. Regular Staff: Those staff employees who are regularly scheduled to work 20 or more hours per week. Regular staff employees may be full-time (1.0 FTE) or part-time (equal to or greater than .5 FTE but less than 1.0 FTE).

3.11. Respondent(s): A supervisor and/or manager who responds to a grievance.

3.12. Temporary Staff: Temporary staff employees may be full-time or part-time, receive no benefits, and are employed "at will." Temporary staff employees are either:

3.12.1. Those staff whose employment is expected to last less than nine (9) months; or

3.12.2. Those staff employees whose employment is expected to last nine (9) months or longer but who do not work at least 20 hours each week for nine (9) continuous months.

R951-4. Policy

4.1. Informal Resolution: OCHE encourages employees to first discuss potential grievances with their supervisors as appropriate and to seek an informal resolution of work-related problems or conditions of employment that they believe to be unfair.

4.2. Availability of Step I Grievance: The grievance process set forth in Section 5 is available to all regular full and part-time staff employees who have completed their probationary period. The staff grievance process is not available to at-will employees or other employees who may be excluded from use of this policy by employment contract.

4.3. Grieving Adverse Employment Actions: This process is available for contesting adverse employment actions, which are defined as a corrective action (written warning, final written warning, suspension without pay, demotion, and performance improvement plan), involuntary termination, separation, and reduction in force.

4.4. Grievable Aspects of Corrective Action: There are two aspects of a corrective action that can be grieved as outlined in this policy. First, employees can grieve the decision of a manager to take corrective action based on the facts of the situation. Second, employees may grieve the level of corrective action taken. The employee must

show that one or both of these decisions made by the manager were arbitrary and capricious.

4.5. Reductions in Force: A Reduction in Force is not grievable except insofar as it is alleged that appropriate OCHE procedures have been violated (see R963).

4.6. Performance Improvement Plan: A performance improvement plan is not grievable except insofar as the employee has reason to believe that the procedures pertaining to Policy R924 have been violated.

4.7. Non-Disciplinary Staff Separations: There are two aspects of an R915 separation that can be grieved. First, employees can grieve if they believe that appropriate OCHE procedures have been violated. Second, they can grieve the decision of a manager to separate the employee from employment based on the facts of the situation.

4.8. Confidentiality: Information disclosed by an employee shall be treated as confidential insofar as it does not interfere with OCHE's legal obligation to investigate allegations of misconduct and to take corrective action or as otherwise provided by law.

4.9. Retaliation: Employees shall not be subjected to retaliation for initiating the grievance process or for participating in the grievance process as witnesses.

4.10. Sexual Harassment or Discrimination: Any employee who feels s/he has been subject to sexual harassment or discrimination on the basis of race, color, national origin, ethnicity, religion, sex, age, disability, sexual orientation, or veteran's status may file a complaint with Human Resources in accordance with R952.

4.11. Time Off with Pay: Reasonable time away from regular work duties with pay during scheduled working hours shall be provided to the parties, their representatives, or any witnesses called to testify, for reasonable time spent participating in the grievance resolution process. Prior to taking time off, employees should first contact Human Resources to determine what constitutes "reasonable time off" given the level of grievance and the impact on the work unit.

4.12. Exceptions to OCHE Policy: A proposed resolution of a grievance that involves an exception to an OCHE policy requires the prior approval of the cognizant Associate Commissioner and the Director of Human Resources, or the Commissioner, as appropriate.

4.13. Strict Timelines: The timeline associated with the grievance process is strict. Exceptions may be granted in advance by the Director for Human Resources or designee for good cause. Time limits stated refer to normal working days and do not include weekends or holidays.

4.14. Grievance of Loss of Employment: Grievances regarding loss of employment will proceed directly to Step III, which is the choice of either a hearing by the Staff Grievance Committee or a review by a higher level supervisor. Such grievances are to

be submitted to Human Resources within five (5) working days of receipt of written notice of such termination.

4.15. Dismissal of Grievance: If the employee receives a decision at any step of the grievance process and does not ask for further review of the grievance within the specified time limit, that particular grievance will be closed and not considered further.

4.16. Mediation: At any stage of the grievance process, either party may request mediation to resolve a potential grievance. Mediation will only occur when both parties willingly agree to participate. Mediation is a free service offered to all employees.

4.16.1. If resolution is not reached through mediation, the grievant may withdraw the grievance or engage in the grievance process as discussed below.

R951-5. Step I Grievance—Discussion between Employee and Immediate Supervisor

5.1. Step I Grievance: Written warnings, demotions, suspensions without pay, and performance improvement plans begin at Step I. Loss of employment moves directly to Step III.

5.2. Informal Resolution: Regular employees who wish to pursue a grievance shall initially attempt to informally resolve the grievance with their immediate supervisor. The grievant should present the grievance to his/her immediate supervisor within five (5) working days of the event prompting the grievance.

5.3. Supervisor Response: The supervisor will respond to the grievance within five (5) working days of the discussion.

5.4. Request to Progress to Step II: If the grievant feels the matter cannot be prudently discussed or resolved with the immediate supervisor at Step I, the grievant should inform Human Resources that they wish to progress to Step II. In such cases, Human Resources should be notified within five (5) working days of the event prompting the grievance.

R951-6. Step II Grievance—Review by Higher Level Supervisor

6.1. Five Days to Request Step II: A grievant has five (5) working days to request a Step II grievance (in writing) upon:

6.1.1. notification of the adverse employment action, if the grievant waives Step I, or

6.1.2. receipt of the Step I decision, if the grievant is not satisfied, or

6.1.3. failure of the supervisor to respond to the Step I grievance within five (5) working days. In this case, the grievant must then make a written request to move to Step II, or

6.1.4. the occurrence of the event prompting the grievance if seeking to skip Step I pursuant to 5.4.

6.2. First Written Warning: A Step II grievance of a first written warning or performance improvement plan is conducted by the appropriate higher-level supervisor or manager who was not involved in the Step I grievance and was not involved in the actions being grieved.

6.2.1. Upon receipt of the grievance, the higher-level supervisor should render a Step II decision within five (5) working days. In cases of written warnings, this will be the final decision, and the matter will be considered closed.

6.3. Final Written Warning: A Step II grievance of a final written warning will be conducted the same as a written warning, except that the employee may request a review by the cognizant Associate Commissioner or designee (see section 6.5 below).

6.4. Demotion or Suspension without Pay: A Step II grievance of a demotion or suspension without pay consists of a hearing conducted by a hearing committee according to the same rules and procedures that govern a Step III grievance hearing.

6.4.1. The employee who is grieving a demotion or suspension without pay may waive a hearing by a hearing committee and instead opt to have a Step II grievance conducted by the higher-level supervisor.

6.4.2. Once an employee chooses either a hearing officer or a higher-level supervisor, they may not change their decision.

6.5. Request for Final Review: For final written warnings and suspensions or demotions where the Step III grievance process is waived, upon receipt of the decision by the higher-level supervisor, the parties have five (5) working days to request a final review and decision by the appropriate Associate Commissioner or designee. The appropriate Associate Commissioner or designee should issue a final decision within ten (10) working days of receipt of the grievance.

R951-7. Step III—Grievance of Loss of Employment

7.1. Loss of Employment: In case of a loss of employment, the grievant may request a hearing by a Committee comprised of an objective panel of staff members.

7.2. Time Limit: Requests must be made within five (5) working days of notification of the employment action being grieved.

7.3. Review and Recommendations: Upon conclusion of the hearing, the committee will report its findings and recommendation(s) to the cognizant Associate Commissioner within five (5) working days.

7.4. Review and Written Decision: Upon receipt of the grievance, the Cognizant Associate Commissioner will review the submitted documentation and recommendations

and will issue a written decision within ten (10) working days. In the event that the Associate Commissioner was involved in the action being grieved, another Associate Commissioner will review the recommendations and issue a written decision.

7.5. When Commissioner is a Respondent: In cases where the Commissioner is a respondent or otherwise involved in the decision being reviewed, the final decision will be made by an appropriate person designated by the Director for Human Resources in consultation with the Office of the Attorney General.

R951-8. Step III Grievance Hearing Process

8.1. Selection of Hearing Committee: Upon receipt of the employee's timely request for a hearing, the Director of Human Resources will select the individuals who will serve on the hearing panel. The hearing committee will be composed of three (3) persons who are not involved with the action being grieved and who are impartial to the outcome of the hearing. The Director of Human Resources will designate one of the persons to serve as Chair. The Chair will make sure the proceedings of the hearing are orderly and fair.

8.2 Assistance From Director of Human Resources: To facilitate the work of the hearing committee, the Director of Human Resources will provide the hearing committee with copies of the employee's grievance, the Respondent's decision, and any other information submitted by the parties during the grievance process. The Director of Human Resources will provide the hearing committee with such other information and any investigatory and support services as the hearing committee may request. However, the Director of Human Resources will not participate in the deliberations of the hearing committee nor have any vote in the hearing committee's findings and recommendation.

8.3. Notice of Hearing: The hearing committee will give to the employee and Respondent written notice of the date and time set for the hearing at least ten (10) days prior to the hearing. A copy of this policy shall be included with the notice. Electronic notice is sufficient provided prior communication with the employee during the grievance process has been done electronically. It is the employee's responsibility to ensure that the hearing committee has accurate contact information throughout the grievance process.

8.4. Advisors: Advisors may participate at the hearing. The parties must notify the hearing committee of the advisors selected at least five (5) days prior to the date of the hearing.

8.5. Submission of Evidence and Materials: Whenever possible, all materials submitted for consideration by a party will be made available to the hearing panel and the other party at least five (5) days prior to the hearing. In exceptional circumstances, the hearing panel may allow a party to submit evidence or materials at the time of the hearing.

8.6. Communication Between Parties: Other than making materials available to the other party as set forth above, the parties will not communicate directly with each other about the grievance and will direct their communications to the Chair.

8.7. Record of Hearing: The hearing will be recorded.

8.8. Confidentiality of Hearing: The hearing will be closed to the public.

8.9. Conduct of Hearing: Both parties will present their respective positions. The employee will present his or her position first. Both parties will be given the opportunity to respond to the presentation of the other party and to cross-examine witnesses. The Chair will assist in clarifying issues and determining facts, as well as with the general conduct of the hearing. Committee members may ask questions of both parties to help better understand the facts.

8.10. Witnesses: The Chair or either party may invite witnesses to testify at the hearing. However, the Chair is charged with controlling the hearing and avoiding repetitive testimonies. Witnesses will be invited into the hearing and excused by the Chair. Character witnesses with information that is deemed to be not applicable to the relevant issues will be dismissed.

8.11. Rules of Evidence and Procedure: The hearing committee will not be bound by rules of evidence or procedure and may consider any evidence deemed relevant.

8.12. Burden of Proof: The employee has the burden of establishing by a preponderance of the evidence that the Respondent's decision was arbitrary and capricious as set forth in section 4.4 above. The hearing committee may not substitute its judgment for the judgment of the Respondent. In addition, the hearing committee may not re-adjudicate prior disciplinary actions.

8.13. Failure to Attend Hearing: If the employee fails to attend the hearing without prior notification and good cause, the grievance will be dismissed and the original employment action will remain unchanged. If the Respondent fails to attend, the hearing committee will suspend the hearing until another person can be identified to fill this role.

R9512-1. Purpose: To provide an effective means of ensuring fair treatment for regular staff employees seeking to resolve work-related problems or conditions of employment believed to be unfair, inequitable, or a hindrance to effective job performance.

R9512-2. References

2.1. [Regent](#) Policy ~~and Procedures~~ R901, Personnel Definitions

2.2. [Regent](#) Policy ~~and Procedures~~ R910, Equal Opportunity and Nondiscrimination

~~2.3. [Regent](#) Policy ~~and Procedures~~ R915, Staff Employee Separations~~

2.4. [Regent](#) Policy ~~and Procedures~~ R924, Performance Improvement

~~2.35. [Regent](#) Policy ~~and Procedures~~ R952, Discrimination and Sexual Harassment Complaints~~

~~2.46. [Regent](#) Policy ~~and Procedures~~ R954, Sexual Harassment and Consensual Relationships~~

~~2.57. [Regent](#) Policy ~~and Procedures~~ R963, Reduction in Force~~

~~2.68. [Regent](#) Policy ~~and Procedures~~ R964, Corrective Action and Termination of Staff Personnel~~

R952-3. Definitions

3.1. Adverse Employment Action: Includes corrective actions, involuntary termination, separation, and reduction in force.

3.2. Advisor: A person that the grievant and/or respondent has chosen to assist them in the grievance process. The advisor may be an attorney. An advisor may only be present during Step III of the grievance process.

3.3. Corrective Action: Includes Written Warning, Final Written Warning, Suspension Without Pay, Demotion, and Performance Improvement Plan.

3.4. Employment "At-will": Employees who are "at will" do not have access to the Staff Employee Grievance process.

3.5. Final and Binding Decision: A final decision in the grievance process. The grievance is considered closed.

3.6. Grievance: The act of appealing an adverse employment action as defined in R915, R963 or R964.

3.7. Grievant/Petitioner: A staff employee who has filed a grievance.

3.8. Mediation: A process by which a trained, neutral third person assists both parties in reaching a mutually acceptable resolution to a work-related grievance. Mediation is completely voluntary. Mediation will occur only when both parties willingly agree to participate. When a party is interested in exploring mediation, that party should contact Human Resources.

3.9. Probationary Staff: Those staff employees hired for, or reinstated to, a Regular Staff full-time or part-time position and serving a probationary period of at least six (6) months. Probationary staff employees are "at will" employees

3.10. Regular Staff: Those staff employees who are regularly scheduled to work 20 or more hours per week. Regular staff employees may be full-time (1.0 FTE) or part-time (equal to or greater than .5 FTE but less than 1.0 FTE).

3.11. Respondent(s): A supervisor and/or manager who responds to a grievance.

3.12. Temporary Staff: Temporary staff employees may be full-time or part-time, receive no benefits, and are employed "at will." Temporary staff employees are either:

3.12.1. Those staff whose employment is expected to last less than nine (9) months; or

3.12.2. Those staff employees whose employment is expected to last nine (9) months or longer but who do not work at least 20 hours each week for nine (9) continuous months.

R951-4. Policy

4.1. Informal Resolution: OCHE encourages employees to first discuss potential grievances with their supervisors as appropriate and to seek an informal resolution of work-related problems or conditions of employment that they believe to be unfair.

4.2. Availability of Step I Grievance: The ~~Staff Employee~~ Grievance process set forth in Section 5 is available to all regular full and part-time staff employees who have completed their probationary period. The staff grievance process is not available to at-will employees or other employees who may be excluded from use of this policy by employment contract.

4.3. Grieving Adverse Employment Actions: This process is available for ~~grieving~~ contesting adverse employment actions, which are defined as a corrective action (written warning, final written warning, suspension without pay, ~~and demotion, and~~ performance improvement plan), involuntary termination, separation, and reduction in force.

4.4. Grievable Aspects of Corrective Action: There are two aspects of a corrective action that can be grieved as outlined in this policy. First, employees can grieve the decision of a manager to take corrective action based on the facts of the situation. Second, employees may grieve the level of corrective action taken. The employee must show that one or both of these decisions made by the manager were arbitrary and capricious.

4.5. Reductions in Force: A Reduction in Force is not grievable except insofar as it is alleged that appropriate OCHE procedures have been violated (see R963).

4.6. Performance Improvement Plan: A performance improvement plan is not grievable except insofar as the employee has reason to believe that the procedures pertaining to Policy R924 have been violated.

4.67. Non-Disciplinary Staff Separations: There are two aspects of an R915 separation that can be grieved. First, employees can grieve if they believe that appropriate OCHE procedures have been violated. Second, they can grieve the decision of a manager to separate the employee from employment based on the facts of the situation.

4.78. Confidentiality: Information disclosed by an employee shall be treated as confidential insofar as it does not interfere with OCHE's legal obligation to investigate allegations of misconduct and to take corrective action or as otherwise provided by law.

4.89. Retaliation: Employees shall not be subjected to retaliation for initiating the grievance process or for participating in the grievance process as witnesses.

4.910. Sexual Harassment or Discrimination: Any employee who feels s/he has been subject to sexual harassment or discrimination on the basis of race, color, national origin, ethnicity, religion, sex, age, disability, sexual orientation, or veteran's status may file a complaint with Human Resources in accordance with R952.

4.1011. Time Off with Pay: Reasonable time away from regular work duties with pay during scheduled working hours shall be provided to the parties, their representatives, or any witnesses called to testify, for reasonable time spent participating in the grievance resolution process. Prior to taking time off, employees should first contact Human Resources to determine what constitutes "reasonable time off" given the level of grievance and the impact on the work unit.

4.1112. Exceptions to OCHE Policy: A proposed resolution of a grievance that involves an exception to an OCHE policy requires the prior approval of the cognizant Associate Commissioner and the Director of Human Resources, or the Commissioner, as appropriate.

4.1213. Strict Timelines: The timeline associated with the grievance process is strict. Exceptions may be granted in advance by the Director for Human Resources or designee for good cause. Time limits stated refer to normal working days and do not include weekends or holidays.

4.1314. Grievance of Loss of Employment: Grievances regarding loss of employment will proceed directly to Step III, which is the choice of either a hearing by the Staff Grievance Committee or a review by a higher level supervisor. Such grievances are to be submitted to Human Resources within five (5) working days of receipt of written notice of such termination.

4.1415. Dismissal of Grievance: If the employee receives a decision at any step of the grievance process and does not ask for further review of the grievance within the specified time limit, that particular grievance will be closed and not considered further.

4.1516. Mediation: At any stage of the grievance process, either party may request mediation to resolve a potential grievance. Mediation will only occur when both parties willingly agree to participate. Mediation is a free service offered to all employees.

4.1516.1. If resolution is not reached through mediation, the grievant may withdraw the grievance or engage in the grievance process as discussed below.

R951-5. Step I Grievance—Discussion between Employee and Immediate Supervisor

5.1. Step I Grievance: Written warnings, demotions, ~~and~~ suspensions without pay, and performance improvement plans begin at Step I. Loss of employment moves directly to Step III.

5.2. Informal Resolution: Regular employees who wish to pursue a grievance shall initially attempt to informally resolve the grievance with their immediate supervisor. The grievant should present the grievance to his/her immediate supervisor within five (5) working days of the event prompting the grievance.

5.3. Supervisor Response: The supervisor will respond to the grievance within five (5) working days of the discussion.

5.4. Request to Progress to Step II: If the grievant feels the matter cannot be prudently discussed or resolved with the immediate supervisor at Step I, the grievant should inform Human Resources that they wish to progress to Step II. In such cases, Human Resources should be notified within five (5) working days of the event prompting the grievance.

R951-6. Step II Grievance—Review by Higher Level Supervisor ~~or Hearing by a Hearing Officer~~

6.1. Five Days to Request Step II: A grievant has five (5) working days to request a Step II grievance (in writing) upon:

6.1.1. notification of the adverse employment action, if the grievant waives Step I, ~~or~~, or

6.1.2. receipt of the Step I decision, if the grievant is not satisfied, or

6.1.3. failure of the supervisor to respond to the Step I grievance within five (5) working days. In this case, the grievant must then make a written request to move to Step II, or

6.1.4. the occurrence of the event prompting the grievance if seeking to skip Step I pursuant to 5.4.

6.2. First Written Warning: A Step II grievance of a first written warning or performance improvement plan is conducted by the appropriate higher-level supervisor or manager who was not involved in the Step I grievance and was not involved in the actions being grieved.

6.2.1. Upon receipt of the grievance, the higher-level supervisor should render a Step II decision within five (5) working days. In cases of written warnings, this will be the final decision, and the matter will be considered closed.

6.3. Final Written Warning: A Step II grievance of a final written warning will be conducted the same as a written warning, except that the employee may request a review by the cognizant Associate Commissioner or designee (see section 6.6-5 below).

6.4. Demotion or Suspension without Pay: A Step II grievance of a demotion or suspension without pay consists of a hearing conducted by a ~~"Hearing Officer" chosen from the Hearing Panel committee. The hearing will be conducted~~ according to the same rules and procedures that govern a Step III grievance hearing.

6.4.1. The employee who is grieving a demotion or suspension without pay may waive a hearing by a hearing ~~officer~~ committee and instead opt to have a Step II grievance conducted by the higher-level supervisor.

6.4.2. Once an employee chooses either a hearing officer or a higher-level supervisor, they may not change their decision.

6.5. Request for Final Review: For final written warnings and, suspensions or demotions where the Step III grievance process is waived, upon receipt of the decision by the higher-level supervisor ~~or the hearing officer~~, the parties have five (5) working days to request a final review and decision by the ~~cognizant~~ appropriate Associate Commissioner or designee. The ~~cognizant~~ appropriate Associate Commissioner or designee should issue a final decision within ten (10) working days of receipt of the grievance.

R951-7. Step III—Grievance of Loss of Employment

7.1. Loss of Employment: In case of a loss of employment, the grievant may request:

~~7.1.1. A review by a higher-level supervisor or manager who was not involved in the Step I grievance and was not involved in the actions being grieved, or~~

~~7.1.2. A~~ a hearing by a Committee comprised of an objective panel of staff members.

~~7.1.3. Once an employee chooses either a Committee or a higher-level supervisor, they may not change their decision.~~

7.2. Time Limit: Requests must be made within five (5) working days of notification of the employment action being grieved.

7.3. Review and Recommendations: Upon conclusion of the ~~review by the higher-level supervisor/manager or the hearing by the Committee, they should~~ hearing, the committee will report ~~their—its~~ findings and recommendation(s) to the cognizant Associate Commissioner within five (5) working days.

7.4. Review and Written Decision: Upon receipt of the grievance, the Cognizant Associate Commissioner will review the submitted documentation and recommendations and ~~should~~ will issue a written decision within ten (10) working days. In the event that the Associate Commissioner was involved in the action being grieved, another Associate Commissioner will review the recommendations and issue a written decision.

7.5. When Commissioner is a Respondent: In cases where the Commissioner is a respondent or otherwise involved in the decision being reviewed, the final decision will be made by an appropriate person designated by the Director for Human Resources in consultation with the Office of the Attorney General.

R951-8. Step III Grievance Hearing Process

8.1. Selection of Hearing Committee: Upon receipt of the employee's timely request for a hearing, the Director of Human Resources will select the individuals who will serve on the hearing panel. The hearing committee will be composed of three (3) persons who are not involved with the action being grieved and who are impartial to the outcome of the hearing. The Director of Human Resources will designate one of the persons to serve as Chair. The Chair will make sure the proceedings of the hearing are orderly and fair.

8.2 Assistance From Director of Human Resources: To facilitate the work of the hearing committee, the Director of Human Resources will provide the hearing committee with copies of the employee's grievance, the Respondent's decision, and any other information submitted by the parties during the grievance process. The Director of Human Resources will provide the hearing committee with such other information and any investigatory and support services as the hearing committee may request. However, the Director of Human Resources will not participate in the deliberations of the hearing committee nor have any vote in the hearing committee's findings and recommendation.

8.3. Notice of Hearing: The hearing committee will give to the employee and Respondent written notice of the date and time set for the hearing at least ten (10) days prior to the hearing. A copy of this policy shall be included with the notice. Electronic notice is sufficient provided prior communication with the employee during the grievance process has been done electronically. It is the employee's responsibility to ensure that

the hearing committee has accurate contact information throughout the grievance process.

8.4. Advisors: Advisors may participate at the hearing. The parties must notify the hearing committee of the advisors selected at least five (5) days prior to the date of the hearing.

8.5. Submission of Evidence and Materials: Whenever possible, all materials submitted for consideration by a party will be made available to the hearing panel and the other party at least five (5) days prior to the hearing. In exceptional circumstances, the hearing panel may allow a party to submit evidence or materials at the time of the hearing.

8.6. Communication Between Parties: Other than making materials available to the other party as set forth above, the parties will not communicate directly with each other about the grievance and will direct their communications to the Chair.

8.7. Record of Hearing: The hearing will be recorded.

8.8. Confidentiality of Hearing: The hearing will be closed to the public.

8.9. Conduct of Hearing: Both parties will present their respective positions. The employee will present his or her position first. Both parties will be given the opportunity to respond to the presentation of the other party and to cross-examine witnesses. The Chair will assist in clarifying issues and determining facts, as well as with the general conduct of the hearing. Committee members may ask questions of both parties to help better understand the facts.

8.10. Witnesses: The Chair or either party may invite witnesses to testify at the hearing. However, the Chair is charged with controlling the hearing and avoiding repetitive testimonies. Witnesses will be invited into the hearing and excused by the Chair. Character witnesses with information that is deemed to be not applicable to the relevant issues will be dismissed.

8.11. Rules of Evidence and Procedure: The hearing committee will not be bound by rules of evidence or procedure and may consider any evidence deemed relevant.

8.12. Burden of Proof: The employee has the burden of establishing by a preponderance of the evidence that the Respondent's decision was arbitrary and capricious as set forth in section 4.4 above. The hearing committee may not substitute its judgment for the judgment of the Respondent. In addition, the hearing committee may not re-adjudicate prior disciplinary actions.

8.13. Failure to Attend Hearing: If the employee fails to attend the hearing without prior notification and good cause, the grievance will be dismissed and the original employment action will remain unchanged. If the Respondent fails to attend, the hearing committee will suspend the hearing until another person can be identified to fill this role.

R964, Corrective Action and Termination of Staff Personnel

R964-1. Purpose: To ensure that the corrective action process is administered in a fair and consistent manner and that any action reflects the severity of the behavior.

R964-2. References

- 2.1. Policy R910, Equal Opportunity and Nondiscrimination
- 2.2. Policy R924, Performance Improvement.
- 2.3. Policy R941, Staff Compensation
- 2.4. Policy R951, Staff Employee Grievances
- 2.5. Policy R952, Discrimination and Sexual Harassment Complaints
- 2.6. Policy R963, Reduction in Force and Severance Pay

R964-3. Scope

3.1. Permanent Staff: This policy applies to all permanent staff employees of OCHE who have satisfactorily completed their probationary period.

3.2. Appointed, Temporary, and Probationary Staff: Appointed, temporary, and probationary staff employees are not included within the scope of the policy as they are designated “at will” employees and, as such, may be terminated by OCHE without advance notice and without staff employee grievance rights. However, they do have grievance rights if they believe they have been subjected to illegal discrimination as outlined in Policy R952.

3.3. Necessary Conditions: Before any corrective action is taken the Employee’s immediate Supervisor or Manager will make sure one of the following conditions has been met:

3.3.1. the employee was made aware of the expectations of the job as outlined in previous corrective actions,

3.3.2. the employee was made aware of the expectations of the job, through the job description, communicated in the hiring process, orientation, or performance evaluation processes, or

3.3.3. the behavior or performance concern, in the reasonable opinion of the immediate Supervisor, is such that no reasonable person should expect to receive prior warning.

R964-4. Policy

4.1. Consideration of Actual and Potential Impact and Consequences of

Behavior: In determining the level of corrective action which may be taken, consideration will be given to both the actual or potential impact and to the consequences of the behavior. The factors which will be considered within the decision-making process will include:

4.1.1. Physical/Safety Issues

4.1.2. Service Impact

4.1.3. Financial Implications

4.1.4. Resultant Disruption Level

4.1.5. Violation of OCHE or Work Unit policies, procedures, or standards

4.1.6. Violation of Law

4.2. Level of Corrective Action: The level of corrective action will be the result of an evaluation of each current incident based on the following factors:

4.2.1. the six factors listed above (actual and potential impact)

4.2.2. past history:

4.2.2.1. previous corrective actions taken.

4.2.2.2. the current incident need not be of the same type as previous incidents.

4.2.3. The corrective action will fall into one of the following general categories of increasing seriousness:

4.2.3.1. corrective actions based on a concern,

4.2.3.2. substantial corrective actions, or

4.2.3.3. serious corrective actions.

4.2.4. Supervisors or Managers, in consultation with the Director of Human Resources and others as deemed appropriate, will determine the category of seriousness. The decision will stand unless found during appeal to be arbitrary and capricious.

4.3. Possible Corrective Actions: Possible corrective actions include Performance Improvement Plan implemented in accordance with R924, Written Warning, Final Written Warning, Suspension without Pay, Demotion and Termination.

4.4. Repeated Corrective Action: In the event of future circumstances requiring corrective action, higher levels of seriousness will be assigned based on either violations of prior written warnings or the seriousness of the future behavior.

4.5. Corrective Action without Warning: In some instances corrective action may be applied without prior warnings having been issued to the employee, depending on the nature and severity of the issue.

4.6. Human Resources Review and Approval: Prior to imposing any corrective action of Written Warning, Final Written Warning, Suspension Without Pay, Demotion or Termination, supervisors or managers must consult with the Human Resources office for review and approval of the action.

4.7. OCHE Issues: Where OCHE issues, rather than work unit issues, are involved, the appropriate OCHE representative may take responsibility for any corrective action to be taken.

4.8. Written Action and Details of Grievance Process: The employee will be advised, in writing, of the corrective action being taken and the details of the relevant grievance process. The document will include notice of the employee's right to file a grievance under R951, Staff Employee Grievances.

4.9. Egregious Violations: The following are considered "egregious violations" within the meaning of this policy and procedure:

4.9.1. Theft

4.9.2. Violence or threat of violence

4.9.3. Falsification of OCHE documents or lying to take advantage of OCHE benefits or procedures

4.9.4. A conviction of, or a plea of guilty or no contest to any crime that is detrimental to or impacts the OCHE community

4.9.5. Child pornography

4.9.6. Intentional privacy violation (GRAMA or HIPAA)

4.9.7. A for Cause finding of discrimination or harassment

4.9.8. Other behaviors that, in the judgment of the supervisor and Human Resources, constitute serious misconduct, including but not limited to violations that pose a serious risk of harm to people or resources.

4.10. Performance Improvement Plans. The failure of an employee to meet performance expectations of his or her performance improvement plan implemented in accordance with R924 will be considered a second incident and will subject the employee to substantial corrective action.

R964-5. Procedures

5.1. Factors to Be Considered: In determining the level of corrective action which may be taken, consideration will be given to both the actual or potential impact and to the consequences of the behavior. The factors which will be considered within the decision-making process will include:

- Physical/Safety Issues
- Service Impact
- Financial Implications
- Resultant Disruption Level
- Violation of OCHE Policies, Procedures, or Standards
- Violation of Law

5.2. Criteria for Corrective Action Based on a Concern: Taking into account the specific job duties and circumstances and evaluating the situation based on the six factors listed above, a “Concern” event occurs when:

5.2.1. The actual or potential impact is low, and

5.2.2. It involved a first incident, and

5.2.3. It is not on the list of “Egregious” violations

Typical Action—First Written Warning. Possible Examples:

- First attendance/tardiness problem—depends on the employee’s role and the actual or potential impact based on the six factors above.
- Error or poor performance—depends on error and the actual or potential impact based on the six factors above.

5.3. Criteria for Substantial Corrective Action: Taking into account the specific job duties and circumstances and evaluating the situation based on the six factors listed above, a “Substantial” event occurs when:

5.3.1. A second “Concern” event (does not need to be the same type of issue) becomes “Substantial” after an initial corrective action was taken, or

5.3.2. A first incident that involves a greater impact than a “Concern”

Typical Action—Final Written Warning and Possible Suspension without Pay or Demotion. Possible Examples:

- Continued errors after a first written warning—depends on the employee's role and the actual or potential impact based on the six factors above.
- Inappropriate interaction with a customer—depends on the employee's role and the actual or potential impact based on the six factors above.
- Insubordination- depends on the employee's role and the actual or potential impact based on the six factors above.

5.4. Criteria for Serious Corrective Action: Taking into account the specific job duties and circumstances and evaluating the situation based on the six factors listed above, a "Serious" event occurs when:

- 5.4.1.** There is an additional "Concern" or "Substantial" event (does not need to be the same type of issue) after a final written warning was issued, or
- 5.4.2.** A "Substantial" event follows a first written warning, or
- 5.4.3.** The behavior is on the list of "Egregious" violations

Typical Action—Termination of Employment, Final Written Warning including a Suspension without Pay, or a Demotion. Possible Examples:

- Continued errors or absenteeism after a final written warning.
- Physically striking a co-worker.
- Theft.

5.5. Administrative Leave: If management determines, after consultation with the Director of Human Resources, that an employee has committed an egregious violation, management may immediately place the employee on paid administrative leave pending the outcome of an investigation or corrective action under this policy.

R964, Corrective Action and Termination of Staff Personnel⁴

R964-1. Purpose: To ensure that the corrective action process is administered in a fair and consistent manner and that any action reflects the severity of the behavior.

R964-2. References

2.1. Policy ~~and Procedure~~ R910, Equal Opportunity and Nondiscrimination

~~2.2. Policy and Procedure R924, Performance Improvement.~~

~~2.23. Policy and Procedure R941, Staff Compensation~~

~~2.4. Policy and Procedure R951, Staff Employee Grievances~~

~~2.35. Policy and Procedure R952, Discrimination and Sexual Harassment Complaints~~

~~2.46. Policy and Procedure R963, Reduction in Force and Severance Pay~~

R964-3. Scope

3.1. **Permanent Staff:** This policy applies to all permanent staff employees of OCHE who have satisfactorily completed their probationary period.

3.2. **Appointed, Temporary, and Probationary Staff:** ~~Appointed, Temporary temporary,~~ and probationary staff employees are not included within the scope of the policy as they are designated “at will” employees and, as such, may be terminated by OCHE without advance notice and without staff employee grievance rights. However, ~~They~~ they do have grievance rights if they believe they have been subjected to illegal discrimination as outlined in Policy ~~and Procedure~~ R952.

3.3. **Necessary Conditions:** Before any corrective action is taken the Employee’s immediate Supervisor or Manager will make sure one of the following conditions has been met:

3.3.1. the employee was made aware of the expectations of the job as outlined in previous corrective actions.

~~3.3.12. the employee was made aware of the expectations of the job, as outlined in through the job description, and as communicated in the hiring process, orientation, and or performance evaluation processes, or~~

⁴ ~~Adopted July 19, 1983, amended January 9, 1987 and June 4, 1999; replaced April 21, 2006.~~

3.3.23. the behavior [or performance concern](#), in the reasonable opinion of the immediate Supervisor, is such that no reasonable person should expect to receive prior warning.

R964-4. Policy

4.1. Consideration of Actual and Potential Impact and Consequences of Behavior: In determining the level of corrective action which may be taken, consideration will be given to both the actual or potential impact and to the consequences of the behavior. The factors which will be considered within the ~~decision making~~[decision-making](#) process will include:

4.1.1. Physical/Safety Issues

4.1.2. Service Impact

4.1.3. Financial Implications

4.1.4. Resultant Disruption Level

4.1.5. Violation of OCHE or Work Unit policies, procedures, or standards

4.1.6. Violation of Law

4.2. Level of Corrective Action: The level of corrective action will be the result of an evaluation of each current incident based on the following factors:

4.2.1. the six factors listed above (actual and potential impact)

4.2.2. past history:

4.2.2.1. previous corrective actions taken.

4.2.2.2. the current incident need not be of the same type as previous incidents.

4.2.3. The corrective action will fall into one of the following general categories of increasing seriousness:

4.2.3.1. corrective actions based on a concern,

4.2.3.2. substantial corrective actions, or

4.2.3.3. serious corrective actions.

4.2.4. Supervisors or Managers, in consultation with [the Director of Human Resources](#) and others as deemed appropriate, will determine the category of

seriousness. The decision will stand unless found during appeal to be arbitrary and capricious.

4.3. Possible Corrective Actions: Possible corrective actions include [Performance Improvement Plan implemented in accordance with R924](#), Written Warning, Final Written Warning, Suspension without Pay, Demotion and Termination.

4.4. Repeated Corrective Action: In the event of future circumstances requiring corrective action, higher levels of seriousness will be assigned based on either violations of prior written warnings or the seriousness of the future behavior.

4.5. Corrective Action without Warning: In some instances corrective action may be applied without prior warnings having been issued to the employee, depending on the nature and severity of the issue.

4.6. Human Resources Review and Approval: Prior to imposing any corrective action of Written Warning, Final Written Warning, Suspension Without Pay, Demotion or Termination, supervisors or managers must consult with the Human Resources office for review and approval of the action.

4.7. OCHE Issues: Where OCHE issues, rather than work unit issues, are involved, the appropriate OCHE representative may take responsibility for any corrective action to be taken.

4.8. Written Action and Details of Grievance Process: The employee will be advised, in writing, of the corrective action being taken and the details of the relevant grievance process. [The writing document will include notice of the employee's right to file a grievance under R951, Staff Employee Grievances.](#)

4.9. Egregious Violations: The following are considered "egregious violations" within the meaning of this policy and procedure:

4.9.1. Theft

4.9.2. Violence or threat of violence

4.9.3. Falsification of OCHE documents or lying to take advantage of OCHE benefits or procedures

4.9.4. A conviction of, or a plea of guilty or no contest to any crime that is detrimental to or impacts the OCHE community

4.9.5. Child pornography

4.9.6. Intentional privacy violation (GRAMA or HIPAA)

4.9.7. A for Cause finding of discrimination or harassment

4.9.8. Other behaviors that, in the judgment of the supervisor and Human Resources, constitute serious misconduct, including but not limited to violations that pose a serious risk of harm to people or resources.

4.10. Performance Improvement Plans. The failure of an employee to meet performance expectations of his or her performance improvement plan implemented in accordance with R924 will be considered a second incident and will subject the employee to substantial corrective action.

R964-5. Procedures

5.1. Factors to Be Considered: In determining the level of corrective action which may be taken, consideration will be given to both the actual or potential impact and to the consequences of the behavior. The factors which will be considered within the ~~decision-making~~ decision-making process will include:

- Physical/Safety Issues
- Service Impact
- Financial Implications
- Resultant Disruption Level
- Violation of OCHE Policies, Procedures, or Standards
- Violation of Law

5.2. Criteria for Corrective Action Based on a Concern: Taking into account the specific job duties and circumstances and evaluating the situation based on the six factors listed above, a “Concern” event occurs when:

5.2.1. The actual or potential impact is low, and

5.2.2. It involved a first incident, and

5.2.3. It is not on the list of “Egregious” violations

Typical Action—First Written Warning. Possible Examples:

- First attendance/tardiness problem—depends on the employee’s role and the actual or potential impact based on the six factors above.
- Error or poor performance—depends on error and the actual or potential impact based on the six factors above.

5.3. Criteria for Substantial Corrective Action: Taking into account the specific job duties and circumstances and evaluating the situation based on the six factors listed above, a “Substantial” event occurs when:

5.3.1. A second “Concern” event (does not need to be the same type of issue) becomes “Substantial” after an initial corrective action was taken, or
~~“Substantial” after an initial corrective action was taken, or~~

5.3.2. A first incident that involves a greater impact than a “Concern”

Typical Action—Final Written Warning and Possible Suspension without Pay or Demotion. Possible Examples:

- Continued errors after a first written warning—depends on the employee’s role and the actual or potential impact based on the six factors above.
- Inappropriate interaction with a customer—depends on the employee’s role and the actual or potential impact based on the six factors above.
- Insubordination- depends on the employee’s role and the actual or potential impact based on the six factors above.

5.4. Criteria for Serious Corrective Action: Taking into account the specific job duties and circumstances and evaluating the situation based on the six factors listed above, a “Serious” event occurs when:

5.4.1. There is an additional “Concern” or “Substantial” event (does not need to be the same type of issue) after a final written warning was issued, or

5.4.2. A “Substantial” event follows a first written warning, or

5.4.3. The behavior is on the list of “Egregious” violations

Typical Action—Termination of Employment, Final Written Warning including a Suspension without Pay, or a Demotion. Possible Examples:

- Continued errors or absenteeism after a final written warning.
- Physically striking a co-worker.
- Theft.

5.5. Administrative Leave: If management determines, after consultation with the Director of Human Resources, that an employee has committed an egregious violation, management may immediately place the employee on paid administrative leave pending the outcome of an investigation or corrective action under this policy.

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Utah State Board of Regents 2019-2020 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 2019-2020 academic year is attached for Board approval. The proposed meeting dates are as follows:

- August 1 & 2, 2019
- September 12 & 13, 2019
- November 15, 2019
- January 24, 2020
- March 27, 2020
- May 15, 2020

Commissioner's Recommendation

The Commissioner recommends the approval of the proposed State Board of Regents meeting schedule for the academic year 2019-2020.

David L. Buhler
Commissioner of Higher Education

DLB/LO



UTAH STATE BOARD OF REGENTS 2019-2020 MEETING SCHEDULE

Thursday, August 1 , 2019	8:00 AM - 5:00 PM	
Friday, August 2 , 2019	8:00 AM - 5:00 PM	Southern Utah University
Thursday, September 12 , 2019	12:00 PM – 5:00 PM	
Friday, September 13 , 2019	8:00 AM - 5:00 PM	Weber State University
Friday, November 15 , 2019	8:00 AM - 5:00 PM	Salt Lake Community College
Friday, January 24 , 2020	8:00 AM - 5:00 PM	University of Utah
Friday, March 27 , 2020	8:00 AM - 5:00 PM	Dixie State University
Friday, May 15 , 2020	8:00 AM - 5:00 PM	Utah State University

September 12, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – FY2020 Operating Budget Request

Issue

The Commissioner requests that the Board of Regents approve the FY2020 Operating Budget Request for the Utah System of Higher Education (USHE), which will be presented to the Governor and the State Legislature later this fall for their consideration.

Background

The Commissioner's Office developed the FY2020 USHE Operating Budget Request with substantial consultation and discussion with the Council of Presidents, Business Vice Presidents, and Budget Officers for each institution and ties directly to the Board of Regents' Strategic Plan 2025 - adopted in January 2016.

In addition, the proposed budget request complies with the Board's Budget Development Process Guidelines, specifically advancing the Board's strategic objectives of Affordable Access, Timely Completion, Workforce and Research, and Capacity and Growth. Furthermore, the request aligns with the Board's expectations to request adequate annual state tax funding for higher education to fulfill institutional missions and maintain affordability for students by minimizing reliance on increased tuition revenues as outlined in its Strategic Plan. For FY2020, the plan calls for an annual revenue increase equivalent to approximately \$58.2 million in new tax funds in addition to a state-funded compensation package equivalent to other state employees and state-funded internal service rate increases to support the system of higher education.

Similar to last year's budget development process, institutions were asked to submit their top budget and regional workforce priorities for the upcoming year which resulted in an initial budget request of approximately \$76 million in new priorities for the Board's consideration – approximately \$18 million more than called for in the Board's Strategic Plan. In an effort to identify a budget request that aligned with the Board's Strategic Plan and that honored each institution's top budget priorities, the Commissioner considered the following factors in developing his recommendation:

- Institution Prioritization
- Share of Student Enrollment
- Current Tax Fund and Tuition Funding Mix

- Expenditures Per Resident Student
- Emerging Institution Needs
- Student Growth

The proposed budget request asks for a 5.7% percent increase (\$58,213,087) in state tax fund support in addition to compensation and internal service rate fund increases. The Board is committed to keeping tuition as low as possible for FY2020. The following budget priorities are being advanced for Board consideration and are highlighted in more detail in the attached Executive Summary:

<u>Institution</u>	<u>Affordable Access</u>	<u>Completion</u>	<u>Workforce</u>	<u>Capacity</u>	<u>Priorities Only</u>
UU	500,000	2,000,000	4,000,000	2,000,000	8,500,000
USU	500,000	1,600,000	2,200,000		4,300,000
WSU	1,000,000	2,500,000	600,000	1,400,000	5,500,000
SUU		4,117,987	380,000		4,497,987
SNOW		215,000		1,010,000	1,225,000
DSU		1,150,000	1,300,000	2,000,000	4,450,000
UVU	1,435,200	1,372,300	639,800	3,901,800	7,349,100
SLCC	1,000,000	2,756,000	300,000	1,190,000	5,246,000
SBR	9,995,000			7,150,000	17,145,000
Total	14,430,200	15,711,287	9,419,800	18,651,800	58,213,087

Attachments include:

- FY2020 USHE Operating Budget Request
- FY2020 USHE Operating Budget Request Executive Summary
- FY2020 USHE Operating Budget Request Detail

As part of the budget request process, institutions have submitted details regarding their budget priorities, identifying how the funds will be used, how many new positions will be supported, expected outcomes or results of the use of these funds, and how they will measure or evaluate success of the use of these funds. This detailed information will be shared with both the Governor's Office and the Legislature as part of the annual budget request process.

Commissioner's Recommendation

The Commissioner recommends that the Board discuss and approve the final FY2020 USHE Budget Request and authorize the Commissioner to:

1. adjust the requested amount for Regent Scholarships by February 15, 2019 based on actual student application and participation in the Regent Scholarship program; and
2. make any subsequent technical adjustments, including rounding, necessary to finalize the budget prior to submitting to the Governor and Legislature.

David L. Buhler
Commissioner of Higher Education

DLB/KLH/BLS
Attachments

Budget Request Summary

ESTIMATED FY 2019-20 STATE TAX FUNDS BEGINNING BASE BUDGET

\$1,019,164,000

Proposed

USHE OPERATING BUDGET PRIORITIES (Ongoing Increase)¹

\$58,213,087

Compensation^{2,3}Internal Service Rate Fund Increases⁴

Affordable Access

14,430,200

Regents' & New Century Scholarships

Statewide College Advising Corps

Institution Based Student Aid, Student Employment & Internships

First Gen and Underserved Student Access Programs

Timely Completion

15,711,287

3-year Bachelor Degree Pilot Program (SUU)

Advising, Retention, and Student Success Programs

Online Programs

Workforce and Research

9,419,800

Health Professions and Related Programs

Engineering, IT, and Related Technologies

Construction, Composites and Diesel Technologies/Technicians

Student Growth & Capacity

18,651,800

Cyber Security (HETI)

Noncredit CTE Investment (Hinkins)

New Faculty for High Demand, High Growth Programs

Student Services and Operational Support

Institution IT, Classroom Equipment & Data Technology

Institution Salary Equity

Total - USHE Operating Budget Priorities

\$58,213,087

5.7%

Notes:¹ Based on form B-1 Institutional Budget Needs² Compensation estimate based on a 2.0% salary increase and 5% health (\$34,375,310) - a 25% match in Tuition would be \$8,213,200 or an average tuition increase of 1%³ USHE would also request any state retirement increases approved by Legislature for employees on the URS plans⁴ The estimated Internal State Rate Funds increase for FY20 would require approximately \$1,177,949 in additional tuition dollars.

FY2020 USHE Operating Budget Request Executive Summary

The USHE operating budget request reinforces the Board of Regents' Strategic Priorities of Affordable Access, Timely Completion, Workforce and Research, and Student Growth and Capacity. The request for FY2020 is \$58,213,087, in addition to a state-funded compensation increase equivalent to state employees and state-funded internal service rate increases. The \$58,213,087 would result in a 5.7% increase in state tax funds for the Utah System of Higher Education.

AFFORDABLE ACCESS

\$14,430,200

Utah has the highest birthrate in the nation, and as a percent of population has a [larger share](#) of young people under age 18 than any other state (30.9% compared to 23.3% for the U.S.). It is the fourth-fastest growing state in population, and has the seventh-fastest growing economy. As Utah continues to grow, its population is becoming much more ethnically and socioeconomically diverse. Access to an affordable higher education is critical to sustaining the state's unprecedented population growth and economic expansion. The Board of Regents has specifically identified Affordable Access as a key performance area for the Utah System of Higher Education (USHE) and institutions have prioritized several initiatives for legislative funding consideration.

Statewide College Advising Program: The Board of Regents is prioritizing a multi-year statewide initiative to have a college advisor for every high school. For the past ten years such a program has led to significant college enrollment and completion improvements in 12 Utah high schools. The Board plans to scale this statewide as its primary initiative to increase student access and success in college.

State and Institutional Aid: Increased funding for the state's Regents' and New Century scholarships as well as institution-based program focused on specific student populations increasing first-generation and underserved populations. Additionally, funding to expand student employment opportunities and internships that enhance students' hands-on experiences.

TIMELY COMPLETION

\$15,711,287

Increasing the number of students who successfully complete a degree or certificate in a timely manner has been an explicit goal of the Board of Regents for nearly a decade. In July 2013, the Board passed a [College Completion](#) resolution, identifying specific strategies for institutions to increase college success and [graduation rates](#). To continue the work that institutions have been doing to support timely completion, institutions have identified several initiatives for legislative funding consideration.

3-year Bachelor Degree (SUU): Southern Utah University is piloting a new university-wide 3-year degree program, legislative funding is needed to expand course offerings, especially during summer semesters.

Advising and real-time student intervention software: Several institutions are prioritizing initiatives to enhance advising to be more individualized, automated and real-time. New technologies are enabling the major overhauls of long-standing advisement practices that will lead to improved and more cost-effective completion outcomes for both students and the institution through better-coordinated advising, scheduling and resourcing of instructional resources.

PROPOSED

Online Courses: Enrollment in online courses continues to significantly grow. With over 50 online certificate and degree programs, USHE institutions are part of a major transformation in which students receive course instruction. Institutions are prioritizing their funding request to expand online offerings in high demand and new courses including first-ever competency-based programs.

WORKFORCE AND RESEARCH

\$9,419,800

With the seventh-fastest growing and the most diverse economy in the nation according to the most recent Hachman Index, Utah has been designated the number one state for business seven of the last 10 years. Higher education plays critical role in the supplying the talent force to sustain such growth. USHE institutions enable Utahns to adapt to the seismic shifts in today's global economy. The base of Utah's economic activity is formed by students becoming lifelong learners and creators through cutting-edge research and real workforce opportunities while in college. The Board has charged institutions to work with local, regional and state business and industry partners to support workforce needs, especially in high demand, high wage occupations including:

- 1) Nursing and other health professions: \$5,619,800
- 2) Engineering, Computer Science and IT: \$3,500,000
- 3) Plastics and Composites Technicians: \$300,000

STUDENT GROWTH AND CAPACITY

\$18,651,800

Utah uniquely stands out across the country with its white-hot economy amidst an increasing population, buttressed by a vibrant and growing number of K-12 students. While positive, these factors are also stretching the current capacity limits of Utah's public colleges and universities, requiring cost-effectiveness and thoughtful oversight of limited resources to ensure a student's quality education. The Board is working with institutions to ensure that institutions are leveraging their existing resources to maximize what can be accomplished especially in areas regarding use of technology, energy efficiency, and business process reviews and evaluations. However, even with these efforts, the Board has recognized that additional state resources are necessary to support the basic operational needs of the institutions while minimizing the reliance on future tuition revenues. Operational needs include:

- information technology and cyber security cost increases
- ensuring sufficient availability of general education and gateway courses
- support staff in place for students and faculty members in business and student service operations
- Replace outdated classroom and instructional equipment.

***Compensation Note:** A 2% performance based compensation increase and an estimated 5% health premium increase would equal approximately \$34,375,300. If required to pay for 25% of the compensation package with tuition, it would require an additional \$8,213,300 or an estimated 1% tuition increase on average for the system. USHE would also request any state retirement increases approved by Legislature for employees on the URS plans. The Internal Service Rate Fund required tuition match for FY20 is estimated at \$1,177,949.

UTAH SYSTEM OF HIGHER EDUCATION 2018-2019 OPERATING BUDGET REQUEST

AFFORDABLE ACCESS

USHE TOTAL: \$14,430,200

Utah has the highest birthrate in the nation, and as a percent of population has a [larger share](#) of young people under age 18 than any other state (30.9% compared to 23.3% for the U.S.). It is the fourth-fastest growing state in population, and has the seventh-fastest growing economy. As Utah continues to grow, its population is becoming much more ethnically and socioeconomically diverse. Access to an affordable higher education is critical to sustaining the state's unprecedented population growth and economic expansion. The Board of Regents has specifically identified Affordable Access as a key performance area for the Utah System of Higher Education (USHE) and institutions have prioritized several initiatives for legislative funding consideration.

STATE BOARD OF REGENTS (SBR)

TOTAL: \$9,995,000

Regents' Scholarship

\$4,000,000

Description – The Regents' Scholarship encourages Utah high school students to prepare for college academically and financially by taking a core course of study and saving for college.

The Regents' Scholarship aims to address affordability and completion for students who participate in the program. By preparing for college by following the scholarship's required high school curriculum, students can not only earn scholarship dollars, but are also less likely to enroll in remedial courses, thus saving the student time and money as they pursue a degree. In addition, students who participate in the program historically have completed a degree within six years at a higher rate than their peers who did not participate.

Justification – Due to the growth of the program, one-time funds of \$4,000,000 are needed in order to award the full scholarship amount specified in state statute.

Outcomes – With the additional funds, the near 8000 students who are currently participating in the program will receive full award amounts.

Assessment – We will continue to review completion rates, first year GPA, first year credit completion of those participating in the program and compare them to those of students who do not participate in the program.

Budgetary Plan – These funds will use to support additional students participating in the program.

Operating Expenses

\$4,000,000

Statewide College Advising Program

\$5,995,000

Description – As recent college graduates, College Access Advisors serve as “near peer” mentors to help high school students register for and complete college entrance exams, submit college applications, and apply for scholarships and financial aid. College Access Advisors are full time, 40-hour/week employees and can serve in their position for up to three years. College Access Advisors serve under a USBE site supervisor, usually a school counselor, and report to UCAC Regional Coordinators based in the commissioner’s office or at USHE institutions depending on region.

Justification – The Utah College Advising Corps is a well-established initiative that has had significant impact on college-going rates of the 12 high schools in which it has operated over the last 10 years. Scaling the project across the state will improve college access statewide, but especially in underserved communities and rural areas.

Outcomes – Two research studies have shown that the current UCAC model helps students enroll in college:

- For every meeting with a UCAC College Access Advisor, students were 13% more likely to enroll in college.*
- If a student met 3 to 5 times with a UCAC College Access Advisor, they were almost 42% more likely to enroll in college. If they had met more than 6 times, they were 145% more likely to enroll in college. **
- 58.2% of students served by a UCAC College Access Advisor enrolled in college, compared to 45% statewide. **

It may also help more students graduate from college:

- For every meeting with a UCAC College Access Advisor, students were 5% more likely to graduate from college.*
- First-generation college students specifically were 8% more likely to graduate.*

*Tao and Gunnerson, 2017

**Rodriguez, 2015

Assessment – For each high school with a UCAC advisor; 1) tracking the number of students served; 2) number of visits per student; 3) number of students completing college applications; 4) number of student completing FAFSA applications; 5) number of students enrolling in college 1 year after high school graduation and 5 years after high school graduation; 6) correlation between these student actions; 7) visits with a UCAC advisor or participation in school-specific initiatives organized by a UCAC advisor.

Budgetary Plan – 1 Director, 1 Assistant Director, 16 Regional Coordinators, 166 advisors

Salaries, Wages & Benefits	\$ 7,130,000
Operating Expenses	\$ 250,000
Estimated USHE Contribution	<u>\$-1,385,000</u>
Total	\$ 5,995,000

First Generation Students Summer Academy**\$500,000**

Regents' Strategic Priorities – Investment in this area will advance the Regents' strategic priority of affordable access and timely completion. Affordability comes from this initiative providing funding to help first generation students get a jump-start on their first year of college by participating on campus during the summer prior to their fall start. Getting first generation students started and on the path to success at the University prior to fall should increase their confidence as other students join them on campus in fall.

Description – The Summer Student Success Academy will provide an opportunity for first generation students to enroll as a cohort and complete 6 credit hours toward their college education and then enroll in a learning community for the following two semesters. Courses will be those that are most critical to have early in a college career to ensure student success. This will be based on predictive analytics and the data that we have been gathering in the last several years. The Summer Student Success Academy will provide a transition experience for students who will benefit from the added support and the smaller class size afforded by the summer program.

Justification – Data indicate this program should reduce barriers and help students transition to college. The University has several programs already funded that will be involved in supporting this new initiative. These include Student Success Advocates, a financial literacy program and tutoring. The largest part of financial support is needed to assist with student funding. Due to federal aid constraints, many students will not qualify for financial aid until they have matriculated to the University.

Outcomes – This program will facilitate enrollment of first generation students at the University and promote retention through graduation. Given demographic changes in Utah, enrollment and degree completion for first-generation students will be essential to meet workforce needs.

Assessment – We will be able to obtain data and with the help of data analytics determine if this program is effective in first generation students being successful at the University of Utah.

Budgetary Plan – The program will need faculty to teach additional summer courses. We will need additional staff time to champion the program and guide it through the summer. Financial assistance will support 200-250 students.

Salaries, Wages & Benefits	\$110,000
Student Financial Assistance	<u>\$390,000</u>
Total	\$500,000

Underserved Student Programs**\$500,000**

Regents' Strategic Priorities – Affordable access. Several services and resources offered by the University are essential for timely and efficient progress of underserved students through their course of study.

Description – USU is committed to improving student retention and time to graduation. However, the University is experiencing ever-increasing pressure on student-based services such as career advisement, first-year orientation, tutoring and early-alert intervention, as well as health and wellbeing issues including mental health. Funding under this initiative will allow expansion of several services that are known to influence successful completion of a college degree, especially critical for recruiting and retaining underserved students.

Rationale – Increasing access to services and resources such as advising, tutoring, remediation, access/diversity and career advisement will significantly improve student academic success. Retention and time to graduation will also be improved through frequent interactions with advisors and program staff. Special programs targeted towards minority and first generation college students will ensure their recruitment and retention at Utah State University.

Specifically, we will add staff in Exploratory Advising, which handles undeclared students, and University Advising, which advises high-risk students identified at time of first-enrollment. Enhanced and repeated interactions between service-orientated staff and high-risk students are known to improve retention and completion in this vulnerable population.

There are also several software packages that will improve communication with students and provide them answers in a timely manner. For example, we will purchase software that allows the FAFSA (Free Application for Federal Student Aid) verification process to be conducted electronically. Improvements in FAFSA processing will increase access to financial aid, which is so critical for disadvantaged and first-generation college students. As another example, early-alert software will identify those students who could benefit from intervention, tutoring and/or remediation. Those students needing extra help, or who appear to be at risk, will be contacted by staff in offices such as the USU Academic Success Center, the Student Health and Wellness Center, the Access and Diversity Center and the Veterans Resource Office.

Targeted career advisement will provide students with degree options that are in their best interests and are enrolled in classes that will result in a timely completion. The USU Career Advisement Center works closely with Exploratory Advising so that students understand career opportunities that are available following degrees of interest. This office also identifies internship opportunities for students which provide real-life experience in a career of choice as well as an introduction to potential employees.

Outcomes – Additional staff in several offices that serve students, as well as software that helps staff identify and resolve issues, will be added across the USU campus system. Students will have access to the types of help and assistance they need when they need it.

Assessment – Number of program staff hired, number of students served by advisors, number of students assisted by student service offices, retention rates.

Budgetary Plan – Salaries & Benefits (4 Staff FTE)	\$400,000
Operating Expenses	<u>\$100,000</u>
Total	\$500,000

WEBER STATE UNIVERSITY (WSU)	TOTAL: \$1,000,000
-------------------------------------	---------------------------

Strategic Recruiting & Scholarships	\$1,000,000
--	--------------------

Regents' Strategic Priorities – Fund strategies to recruit and provide affordable education to a diverse student body.

Description – Funds are needed to enhance our strategic approach to recruiting students and providing scholarship assistance.

Rationale – WSU hired an external consultant to provide a comprehensive approach to student enrollment. This funding will be used to adopt methods deemed most appropriate for our institution going forward. These include a consistent scholarship model to be made available to all students with the goal of enhancing diversity on our campus and preparing students for living in a global economy.

Outcomes – The intended outcomes are to increase overall enrollment at WSU, thereby providing a greater number of students the opportunity to experience higher education and enjoy the benefits that follow completion of a degree. Having a larger number of students enrolled generates more income for the institution, allowing us to enhance our offerings and our support systems for these students.

Assessment – We will assess these programs through surveying and conducting focus groups with program participants and through tracking retention and graduation rates, GPA, time to degree completion, and specific learning outcomes.

Budgetary Plan – Salaries, Wages & Benefits	\$ 150,000
Scholarships	\$ 700,000
Operating Expenses	<u>\$ 150,000</u>
Total	\$1,000,000
2 FTE staff	

UTAH VALLEY UNIVERSITY (UVU)	TOTAL: \$1,435,200
-------------------------------------	---------------------------

Recruitment and Scholarship	\$1,435,200
------------------------------------	--------------------

Description – Enhance affordable access-through-completion utilizing a multi-pronged approach of

- Implementing financial aid outreach and communications (including social media) strategies to inform students and parents of the range of financial aid opportunities and encourage students to access those opportunities
- Expanding targeted need-based aid and PELL gap programs such as Wolverine Completion Grants, First Generation Scholarships, and Some College/No Degree Scholarships
- Enhancing development efforts to secure private funds for need-based student scholarships
- Increasing instructional current expense funds to eliminate a portion of course-based fees
- Expanding on-campus student employment opportunities such as peer-to-peer tutoring

Rationale and Justification – As an open-admission institution, UVU serves students with varying levels of preparation, social support systems, and economic status. For example, 38 percent of UVU students are first generation, 39 percent are married/partnered, and 80 percent are employed (the average student works 22 hours per week). Recognizing the financial challenges UVU students face, several affordability initiatives have been undertaken including reducing students’ costs for texts through open source resources, eliminating course-based fees of less than \$10, and launching a Money Management Resource Center for students. Research indicates that students who work on campus have higher levels of integration with the university and a positive effect on the student’s chances of graduating.

In many cases, students and their parents or spouses are unaware of financial aid opportunities available to help them enroll and stay in college. In some cases, a difference of \$100-\$300 between tuition/fees and a PELL grant will cause students to discontinue their educational pursuits. PELL gap grant programs such as Wolverine Pathways provide students funding to fill the financial gap. Additional instructional current expense funds will allow UVU to eliminate other course-based fees such as specialized software licensing fees.

Outcomes – More students with financial need will receive financial aid resources to access and persist in their educational programs at UVU; course-based fees will be reduced; on-campus student employment opportunities will increase; privately funded scholarships will increase.

Assessment – Increase percent of degree-seeking students receiving federal financial; increase number of students receiving need-based institutional aid; increase amount of private funding for scholarships; increase number of student employees; decrease course-based fees

Budgetary Plan – Funding will support the addition of 3 full-time staff, hourly student employees, marketing materials, current expense for instructional materials, and need-based scholarships.

Salaries, Wages & Benefits	\$ 620,500
Scholarships	\$ 300,000
Operating Expenses	<u>\$ 514,700</u>
Total	\$1,435,200

Need Based Aid**\$1,000,000**

Description – Provide an institutional need-based grant for middle-income students who have completed the FAFSA, but are deemed ineligible to receive a Pell Grant.

Justification – The Pell Grant is the primary form of financial aid SLCC students pursue to assist in paying for college. Previous qualification criteria for Pell Grants allowed for a higher percentage of SLCC middle-income students to qualify for and receive the Pell Grant. However, a growing number of middle-income students are being excluded either partially or entirely from receiving Pell Grant, typically due to household income being weighted heavier than other criteria. These students still need assistance to pay for college and increasingly loans are the next best option. Based on a middle-income level of \$40,000-\$70,000, there were just over 1600 students who requested financial aid assistance. Of that number, 859 students registered for classes during the 2017-18 school year.

Outcomes – Increased enrollment and higher credit loads for middle-income students.

Assessment – To assess the effectiveness of this program, we will review student persistence and credit loads for these students at the end of the 2020-21 year. We would also conduct a survey of these students to determine if they would have attended (and whether PT/FT) without this grant.

Budgetary Plan – These need-based grants would support 260 students at the current full-time tuition and fees rate of \$3,843 for two semesters. This funding may also be used to provide partial scholarships to students.

Operating Expenses

\$1,000,000

TIMELY COMPLETION

USHE TOTAL: \$15,711,287

Increasing the number of students who successfully complete a degree or certificate in a timely manner has been an explicit goal of the Board of Regents for nearly a decade. In July 2013, the Board passed a [College Completion](#) resolution, identifying specific strategies for institutions to increase college success and [graduation rates](#). To continue the work that institutions have been doing to support timely completion, institutions have identified several initiatives for legislative funding consideration.

UNIVERSITY OF UTAH

TOTAL: \$2,000,000

Online / Critical Workforce Credentials

\$2,000,000

Regents' Strategic Priorities – Investment in this area will impact the Regents' strategic priorities of timely completion and innovation. UOnline is focused on contributing to overall university enrollments, student persistence, and timely completion.

Description – This initiative will help students flexibly adjust to life situations and complete their degrees, broaden access to University of Utah degrees, address regional workforce educational needs, and support industry partners. As the demand for online courses has grown, it is clear that there are efficiencies that can be gained by providing centralized technology services and processes for course development and delivery.

Justification – The University of Utah has achieved robust growth in online offerings and enrollments over the past decade. Demand from students has continued to escalate beyond capacity. To meet student needs as well as remain competitive, especially in graduate professional programs among our PAC12 peers, we need to strategically focus on the development, support and marketing of fully online courses and degrees. We also need to focus on strategic stacked credentials, including certificates and “badges”, to augment skills needed by students to be successful as they transition to their careers and/or to assist adults returning to retrain in new fields.

Outcomes – The intended outcomes are to promote timely college completion, increase number of students enrolled full-time, and meet the needs of an expanded student base that cannot be present on campus or needs flexibility to continue progress toward degree. Promoting graduation and student success, particularly in new degree programs that meet employer demands, aligns well with Regent goals.

Assessment – We will measure success and persistence of students who enroll in online classes. For undergraduates, this will provide an additional means of dealing with bottleneck classes and meeting student scheduling needs. For professional students, this will help address a market need for professionals in critical areas of the Utah business community.

Budgetary Plan – We will use these funds to develop additional online degree programs as well as certificates and stackable credentials in high-demand areas. We will need to contribute to faculty time while developing courses, and add new faculty and support staff to deliver education.

Salaries, Wages & Benefits	\$1,250,000
Equipment	\$ 500,000
Operating Expenses	\$ 250,000
Total	\$2,000,000

UTAH STATE UNIVERSITY (USU)

TOTAL: \$1,600,000

Student Success

\$1,600,000

Regents' Strategic Priorities – Timely completion. Increasing the number of academic advisors will improve students' pathways to completion. Students will receive professional advising in scheduling, appropriate course sequencing, advice, and counsel when the student begins to struggle. Successful intervention will help ensure students' timely progression towards a college degree or certificate. Another strategy for improving completion rates will focus on enhanced instructional capacity in high-enrollment classes and laboratories. Increasing the number of teaching assistants in high-demand sections will allow students to receive increased touch-points both inside and outside of the classes. These touch-points will enhance the students' experiences and help instructors identify and help at-risk students. The result will be more timely progress through the students' degree programs.

Description – Academic advising is a key component of a student's success in college because they can monitor and advise students on the appropriate progression through their degree program. By increasing the number of academic advisors across the university, USU can better serve students who need intervention. In addition, additional advisors will result in a more favorable ratio of students per advisor, which will result in more targeted and timely advisement.

To help academic advisors better advise students, USU has recently purchased and implemented Civitas Learning, Inc. analytics software. This software will allow advisors to assess the academic success of a student in "real time" by analyzing student performance in specific courses throughout the semester and then alert instructors and academic advisors about students who are struggling and need intervention. Ongoing funding is needed for the Civitas software and a dedicated programmer.

USU has addressed the pressure of increasing enrollments by increasing the number of students within sections of high demand courses. While this has allowed the university to mitigate increased student demand without adding more faculty, the attention that the instructor can give to each student is limited in large enrollment classes. To maintain the quality of instruction that USU prides itself in, ongoing funding is requested for teaching assistants who will be assigned to these high-demand courses. The teaching assistants will help instructors set up laboratories, answer student questions, organize study sections, provide tutoring, etc.

Rationale - An improved student-to-advisor ratio makes it possible for students to meet more frequently with an advisor. Given the critical role that advisors play in a student's academic career, investment in advisement is an investment in student success.

Increased enrollment at USU over the last four years has resulted in large sections of high-demand courses. Additional instructional support through the use of teaching assistants is needed in order for students to succeed in their classes. Timely completion of classes will allow students to progress through their college degree programs in an appropriate timeline.

Outcomes – An increase in the number of University advisors will result in enhanced and timely academic information distributed to students. The result will be an increase in student retention rates by FY20 and student graduation rates by FY21.

Programs receiving teaching assistant funds will gain instructional capacity. Students will have better access to instructors, as well as the academic support that can be provided by the teaching assistants. Thus, students will be able to complete required courses at the appropriate point in their academic pathways, thereby ensuring timely completion of their degrees.

Assessment – Increased number of students served by advisors starting in the 2018-19 academic year compared to previous years. Improved quality of advisement based on student surveys conducted in the 2018-19 academic year compared to previous years.

Number of teaching assistants hired, number of students enrolled, number of student credit hours per academic year.

Budgetary Plan – Salaries & Benefits (8 Staff FTE)	\$ 550,000
Operating Expense for Advising	\$ 50,000
Civitas Software and Programmer (1 Staff FTE)	\$ 400,000
Wages & Benefits (24 Graduate Students x .5 FTE)	<u>\$ 600,000</u>
Total	\$1,600,000

WEBER STATE UNIVERSITY (WSU)	TOTAL: \$2,500,000
-------------------------------------	---------------------------

Retention and Student Success Initiatives	\$2,500,000
---	-------------

Regents' Strategic Priorities - Implement and expand proven student success initiatives to improve student retention and timely degree completion, including specific strategies for at-risk student cohorts. This includes preparing students for a contemporary workforce.

Description – Funds are needed to enhance our strategic approach to retaining a diverse student body, raising awareness of high impact opportunities, and ensuring student success. Cohorts of interest include first-generation, economically disadvantaged students, and those who may need extra support to be successful. Proven strategies/initiatives we plan to enhance include learning communities, digital literacy skills, peer mentoring, meaningful high impact experiences such as on-campus employment and internships, need based completion scholarships, and more individualized advising strategies to help students over road bumps, which includes technology to facilitate communication and annual maintenance and upgrades for software for early warning/student tracking, financial aid, visual scheduling, and student orientation. Funding will also provide for the continuation and expansion of the Wildcat Scholars program, which supports underrepresented students. Along with Wildcat Scholars,

we will enhance our First Year Experience program, offering more sections connected to specific major areas.

Rationale – Weber State has conducted research both quantitatively and qualitatively to examine ways to improve institutional graduation rates. In this process, we have identified key variables that both increase and decrease the odds of students graduating in a timely manner. As we continue to collect and analyze data regarding efforts that improve the success of our students, these funds will be used for retention-based initiatives that demonstrate student success through data and assessment.

Outcomes – The intended outcomes for students include increased retention from semester to semester, a greater overall sense of belonging, and increased graduation rates as well as specific learning outcomes articulated for each program.

Assessment – We will assess these programs through surveying and conducting focus groups with program participants and through tracking retention and graduation rates, GPA, time to degree completion, and specific learning outcomes.

Budgetary Plan –	Salaries, Wages & Benefits	\$1,273,000
	Annual Software Maintenance	\$ 400,000
	Need Based Scholarships	\$ 450,000
	Operating Expenses	<u>\$ 377,000</u>
	Total	\$2,500,000

6-8 FTE faculty and 6-8 FTE staff (includes advisors/mentors/tutors)

SOUTHERN UTAH UNIVERSITY (SUU)	TOTAL \$4,117,987
---------------------------------------	--------------------------

Three-year Bachelor's Degree Pilot Program	\$2,800,000
---	--------------------

Description – Southern Utah University is seeking funding to implement a three-year bachelor's degree (pilot project) for the State and USHE. The effect of this program will be to dramatically increase efficiencies at SUU and ultimately at other colleges and universities in Utah. Students who elect to participate in the program (estimated to be 50%) will attend SUU for the standard eight semesters, however they will study during three regular years plus the two summers in between. As students shift to three years, they will be on campus one fall and one spring semester less than normal, and be fully engaged in the two summer semesters in between. As SUU grows, this program will significantly moderate demand for new buildings, classrooms, offices, faculty and staff members, student housing, and increase student success.

Rationale and Justification – Condensing bachelor's degrees into three years (eight semesters) will not only save students time and money, but also will improve the efficiency of campus facilities and institutional resources. SUU proposes to do this by creating academic pathways for students to graduate with a bachelor's degree by maximizing the summer terms and online course offerings. The funds requested will increase compensation for faculty

members who move from two-semester-per-year contracts to three-semesters, increase staff support during the summer months, and provide student wages for summer employment.

Outcomes – A three-year (eight semester) program would reduce the stress on all aspects of campus during fall and spring semesters and increase participation during summer semester. Faculty members who choose a full teaching load for three semesters each year would receive an increase in salary. The University would realize the equivalent of one new full-time faculty member for every two faculty members who convert to year round teaching. Two faculty members teaching three semesters per year require less office space than three faculty members teaching two semesters per year. We would also better utilize our classroom space.

Assessment – The number of students participating in the pilot program and how many graduate in an advanced timeline. The number of Faculty participating in three-semester contracts.

Budgetary Plan – Up to 60 contract extensions for Faculty and Staff to support implementation of the three-year degree program. Budget to support increased operating costs.

Salaries, Wages & Benefits	\$2,700,000
Operating Expenses	<u>\$ 100,000</u>
Total	\$2,800,000

Science, Technology, Engineering, & Math

\$692,207

Description – Funds will be used to create greater instructional capacity to meet the growing demands and ensure timely completion for students participating in STEM related fields and coursework at SUU.

Rationale and Justification - Overall, the number of students pursuing degrees in STEM related programs has increased about 10% per year over the past three years. Furthermore, the majority of SUU students now graduate in STEM majors. Foundational and lower division courses in STEM fields are at capacity and creating bottleneck challenges to timely graduation. SUU is committed to providing sufficient courses to meet student demand and increase the number of graduates annually. Additional full-time faculty are needed to ensure students have access to high-demand, foundational Math, Biology, Chemistry, Physics, Engineering and Aviation courses. Each of these disciplines are also responsible for providing introductory courses (many of which are GE) that are quick to fill, thus creating waitlists and bottlenecks to graduation.

Outcomes – Increase in number of students majoring and graduating in STEM related programs and increase capacity in providing STEM related foundational and general education courses.

Assessment – Performance will be assessed based on the increase in graduates in STEM programs and increased enrollment and sections in STEM foundational and general education courses.

Budgetary Plan – Funding will support up to five new full-time faculty and transition up to three faculty and administrative staff from class-fees to E&G funding for STEM programs. Operating budget will also be augmented to support additional personnel and lab-based instruction.

Salaries, Wages & Benefits	\$601,475
Operating Expenses	<u>\$ 90,732</u>
Total	\$692,207

General Education and First-Year Success **\$625,780**

Description –SUU is advancing two initiatives focused on reducing barriers to completion: 1) Expansion and completion of the first-year seminar program; 2) Enhancing general education completion.

Rationale and Justification – Research has shown that many students make the decision to either stay or leave college within the first two months of their first semester. SUU believes enhancements to its first-year seminar will increase connections students make to the institution, thereby increasing their commitment to earn a degree. SUU has designed an academic component to the student “first-year experience” in support of their transition to higher education. This initiative will, if successful, ultimately result in increased student success, higher retention rates, and greater degree attainment. While there will be increased costs associated with this experience, University leaders are confident that the gains in retention and completion will make the investment a wise one.

Additionally, funds will be used to enhance general education outcomes by enhancing and implementing a meaningful approach to assessment of General Education, which is an integral part of student success. Meaningful assessment of student learning informs decisions regarding improvements to the General Education curriculum, changes to teaching methods, and updates to course sequencing and pre-requisites, all of which will help to reduce DFW rates, increase student completion of General Education requirements, and ultimately support degree completion.

Outcomes – Through the first-year seminar and an enhanced approach to General Education assessment, we hope to support timely completion in three ways:

1. Retention rates will increase;
2. Students’ first-year grade-point-average (GPA) will increase; and
3. DFW rates will decrease.

These outcomes have been shown to be predictors of increased completion rates.

Assessment – The Office of Institutional Research will track students who successfully complete SUU’s revised first-year seminar to determine if they are retained at higher rates, are more academically successful as measured by first-year GPA, and have decreased DFW rates.

Budgetary Plan – Up to 3 new FTE non-tenure track student success instructors, student TA's, and operating budget to support the First-year Seminar course. Up to 3 FTE in new faculty teaching GE courses, overload/supplemental wages for existing faculty to assess and re-design courses with high DFW rates, and operating budget to support GE assessment.

Salaries, Wages & Benefits	\$578,500
Operating Expenses	<u>\$ 47,280</u>
Total	\$625,780

SNOW COLLEGE (SC)

TOTAL: \$215,000

Predictive Analytics Software and Student Success Expansion \$215,000

Regents' Strategic Priorities – Timely Completion—Predictive analytics software is needed to meet the growing demands of assessing student progress. We need to better identify potential barriers to completion. Analytic software programs have proven to be valuable assets in identifying ways colleges can assist students in their curricular plans. We also face increased demands in our advising office. Two additional full-time advisers will greatly help us meet student demand.

Description – While Snow College has one of the highest completion and transfer rates among two-year colleges in the country, we know we can do more. Students who can complete college often drop out because they encounter barriers in the form of inadequate course preparation, enrollment in courses that may not be the best options for major preparation, poor course sequence planning, and other related challenges. Predictive data analytics packages such as *Civitas* and *Starfish* provide institutions of higher learning with tools that identify barriers and provide data that can be used to help students get past these barriers. With the passage of S.B. 206, all institutions are seeking ways to better access and use data to assist them in directing students into paths that will increase success.

We would like every first-year student to meet regularly with academic advisers. Advisers serve in the trenches in helping to direct students in course selection and planning for majors. They also help students understand the need for proper sequencing of courses and direct them to get help from special courses that can help them succeed in areas such as course testing, homework skills, seeking assistance in math and writing, time management and so forth. Increasing our full-time advising office with two additional advisers will greatly expand our abilities to serve more students and relieve some of the burden on existing advisers so they can be more effective in following up with students who are more likely to need help.

Justification – We have utilized data resources such as *Argos*, *Banner*, and *Qualtrics*. While all of these software packages are helpful, none of them “talk” to one another. We need a predictive data analytics system that enables us to do quick studies and longer-term studies of courses, student choices and enrollment trends. Studies done by Utah State University and the University of Utah have shown that data analytics programs such as *Civitas* and *Starfish* are highly effective in identifying student preferences, student challenges and trends that help institutions adapt quickly to meet the needs of students. In addition, these data are also of

great interest to USHE and the legislature because they provide the most accurate picture of how resources can be deployed to increase student completion rates.

Based on *NACADA 2011 National Survey of Academic Advising* the national median case load of advisees per full-time professional academic advisor was 296:1. Currently Snow College has a ratio of approximately 554:1 on the Ephraim Campus. The student to advisor ratio on the Richfield campus is currently close enough to the suggested guideline to be adequate there. It is also important to note that most Student Success Advisors currently have additional duties in excess of their normal academic advising responsibilities (ex: 4-Year University visit coordination, Help Sessions & Supplemental Instruction coordination, etc.). The addition of two additional advisors would reduce the Snow College ratio to 364:1 and allow Snow College to: (1) assign academic advisors for all first-year students (2) become more proactive in the way we interact with assigned advising caseloads (3) better leverage existing and emerging technologies to identify "at-risk" student populations early and intervene in a timely manner.

Outcomes – The University of Utah estimates that their predictive analytics tool helped retain 250 students who otherwise would have dropped out of college. In addition to being a \$750,000 savings to the university, the data analytics tools helped them identify areas they were unaware of that created barriers to student completion. In addition, they note that studies can be done in a day that help them determine program effectiveness. These studies used to take weeks and months to complete. We believe we can do more to help students complete and to finish. We are confident from conferences we have attended and our conversations with colleagues in our sister USHE institutions that the predictive analytics software will be a boon to student retention and success.

In recent years, the Student Success Advisement Office has expanded office hours, adopted new technology, changed their advising practices, and implemented a peer-mentoring program. These efforts have greatly improved our advising outreach and abilities. The additional advisers will enable us to reduce our Ephraim campus student to adviser ration to 364:1 from 554:1. This will greatly improve the quality of advising.

Assessment – Predictive analytic tools require one to two years to implement fully. We will be able to assess the tool's performance as we go as we share data with the Office of Institutional Research, Academic Affairs, Students Success, Enrollment Management, Trio and academic departments. We keep a statistical yearbook and an environmental scan of current and prospective students. These data books will be able to report the increase of usable data and the outcomes achieved. We expect to see student completion improve by several percentage points in the first three years of usage as we learn of areas we can improve.

Our advising office keeps records of advising caseloads. We will easily be able to gather statistics that shows how the advising load has been distributed and we will be able to follow student course completion per adviser. These are statistics that we keep on a regular basis.

Budgetary Plan – Salary, Wages and Benefits (2 FTE)	\$150,000
Predictive Analytics tool	<u>\$ 65,000</u>
Total	\$215,000

Advising, Retention, Success**\$1,150,000****Student Success and Retention Programs****\$750,000**

Regents' Strategic Priorities – This initiative primarily supports the Regents' Strategic Priority of Timely Completion while also increasing Affordable Access for newly admitted students with low admissions index scores.

Description – DSU continues to explore new ways to improve retention of first-year students. The proposed Summer Jumpstart Program would be available to a selected group of 250 new freshman students with low admissions index scores. This program would be fully funded by DSU at no cost to the students selected. Students would be placed into cohort groups and enrolled in intensive developmental math, English, and student success courses during the summer block immediately preceding their first fall semester of enrollment. Courses will be credit bearing and will prepare students to succeed in math and English during their college careers. After completing the Summer Jumpstart Program, cohort groups will continue to participate in the Structured Enrollment Program through the fall and spring semesters of the freshman year as part of the comprehensive Student Success Program. Additional peer coaches will be hired to facilitate the Summer Jumpstart Program and coordinate increased participation in student success programs and courses throughout the freshman year.

Justification – DSU has significantly developed its student success infrastructure in recent years, but additional funding is needed to scale and leverage existing programs. A positive first-year experience is one of the fundamental keys to ensuring the successful persistence of at-risk students.

Outcomes – The typical first to second year retention rate of students with low admissions index scores is 35%. DSU seeks to significantly increase this retention rate through targeted first year programs and expanded peer mentoring.

Assessment – First to second year retention rate and total number of students participating in Summer Jumpstart, structured enrollment, peer mentoring, and other first year student success programs.

Budgetary Plan – Two part-time program coordinators		\$ 50,000
30 peer coaches (part-time students)		\$ 75,000
Summer Jumpstart course instruction		\$ 75,000
Summer Jumpstart tuition, room, and board		<u>\$550,000</u>
Total		<u>\$750,000</u>

Academic Advising**\$400,000**

Description – DSU has undertaken a comprehensive reorganization of academic advisement to meet the needs of a rapidly growing and changing student population. This effort has included the conversion of several part-time advisor positions to full-time, as well as the

reassignment of advisors to high-growth academic programs. Advisors have also been provided with increased professional development opportunities to improve their productivity and effectiveness. Despite these efforts, enrollment growth has outpaced the capacity of existing advisement resources and additional advisors are needed.

Justification – The recommended ratio of students to full-time advisors for an open access four-year institution is 300:1. Due to recent enrollment growth, the ratio at DSU has climbed to nearly 400:1. Additional advisors will serve a crucial role in ensuring that more students remain on track to successfully complete their degree programs and enter the workforce on a timely basis.

Outcomes – Increased access to general and program-specific academic advisement for all DSU students.

Assessment – Ratio of students per full-time academic advisor.

Budgetary Plan – Five new full-time academic advisors	\$360,000
Advisor support and professional development	<u>\$ 40,000</u>
Total	\$400,000

UTAH VALLEY UNIVERSITY (UVU)	TOTAL: \$1,372,300
-------------------------------------	---------------------------

Retention, Success, High Practice	\$1,372,300
--	--------------------

Description – Improve student retention, persistence, and timely completion utilizing predictive analytics, proactive advising, and peer retention mentoring.

Rationale and Justification – As part of a comprehensive strategy to promote timely completion, UVU is implementing a student analytics platform to enable proactive intervention by academic advisors and peer retention mentors with students at risk of not persisting. To fully implement the coordinated care network recommended by data-informed student success practitioners and to support students on guided pathways, additional academic advisors and peer retention mentors are needed.

Outcomes – Identification of students at risk of not persisting will enable academic advisors and support staff to proactively intervene and support students to timely completion.

Assessment – Increased retention rates, increased graduation rates, and increased number of academic awards.

Budgetary Plan – Funding will support the addition of 6 academic advisors, 10 part-time peer retention mentors (student employees), and the annual predictive analytics and degree map software licensing and consulting costs.

Salaries, Wages & Benefits	\$ 697,300
Operating Expenses	<u>\$ 675,000</u>
Total	\$1,372,300

Student Success**Diverse Faculty Initiative****\$486,000**

Description – Salt Lake Community College (SLCC) has launched recruitment initiatives to develop a more diverse full-time faculty cohort in order to meet the instructional and completion needs of an increasingly diverse student body and service area. In addition to current initiatives underway SLCC requests funding for positions to recruit and develop diverse faculty to more closely reflect community and student demographics, sensibilities and education support needs, particularly with respect to retention, persistence and completion.

Justification – Students enrolled at SLCC constitute the most ethnic and socio-economic diverse population of any higher education institution in Utah. Ethnic minority students comprise 23% of SLCC enrollment, with Hispanic enrollment at 15%. These enrollment percentages lag behind the demographics of the current Salt Lake County college-aged population. At SLCC, retention, persistence and degree attainment rates for ethnic minorities are not keeping pace with the overall student population. SLCC's Vision, Mission and Values prioritize inclusivity and diversity as key components of success for all students.

Outcomes – The addition of diverse faculty will improve several features of SLCC instructional delivery such as student access to full-time faculty, faculty support in advising and co-curricular student development activities and faculty engagement with our service area communities. Most important, diverse faculty, will provide needed input and assistance to academic departments and Student Affairs for improving retention and completion for diverse populations.

Assessment – Early success indicators include rapid recruitment of Diverse Faculty Fellows in key instructional areas and, within 3-years, their ability to successfully compete in formal search processes for open tenure-track positions. Long term impact will be to improve instruction and narrow the completion gaps for diverse populations.

Budgetary Plan – The funding will support 6 full-time diversity faculty fellows with a compensation cost of \$81,000 each.

Salaries, Wages & Benefits

\$486,000

High Demand Faculty in Critical Course Areas**\$270,000**

Description – This initiative is intended to (1) meet student demand for instruction in critical gateway and General Education courses and degree pathways and (2) provide more consistent and improved instructional quality in community college gateway courses taught by full-time and adjunct instructors.

Justification – Increasing the number of qualified SLCC faculty is critical for high student demand subject areas. SLCC degree and transfer students must successfully complete mandatory Quantitative Literacy, Writing, General Education and STEM major requirements for timely degree attainment and efficient transfer to baccalaureate institutions. Student demand in these subject areas consistently outpaces SLCC’s ability to provide qualified instructors. Additionally, SLCC must compete for a limited adjunct talent pool with nearby higher education institutions. Further, research results clearly demonstrate the advantages of full time faculty in gateway and critical subject areas upon student learning, instructional quality and innovation, and student success.

Outcomes – Addition of 3 faculty in critical course areas (Mathematics, English, Biology) will meet instructional demand for an additional 28 class sections of regular faculty load serving 700-800 students per academic year (depending upon faculty overload, an additional 75-100 students could be served per academic year). This would also alleviate perennial stress associated with finding well-trained qualified adjunct instructors and challenges associated with maintaining high quality adjunct instruction in high-demand gateway courses.

Assessment – Salt Lake Community College will assess this initiative by (1) monitoring enrollment and enrollment increases in English, Math and Biology classes (2) tracking impact upon ability to meet student demand for classes (fill rates, decreases in course cancellations due to lack of instructor availability), and (3) analyzing the impact of additional full-time faculty upon current SLCC initiatives to improve student access, academic engagement and learning outcomes.

Budgetary Plan – Funding will support three FTE faculty with a compensation cost of \$90,000 each.

Salaries, Wages & Benefits	\$270,000
----------------------------	-----------

Curriculum and Articulation Support	\$180,000
-------------------------------------	-----------

Description – Two full-time positions are needed to facilitate SLCC’s curricular process for faculty and academic administrators. The duties include develop and assess internal and external curriculum compliance, create articulation best practices, support and supervise curriculum and articulation teams, manage curriculum and articulation systems, and engage in and support college-wide committees. To meet this need, one year ago, the stand-alone Curriculum and Articulation Office was created with a director, an administrative assistant, and a coordinator for the University Partnerships program.

Justification – The articulation coordinator’s duties include managing the transfer articulation process to ensure SLCC students’ successfully transfer to a 4-year institution and coordinating communication with university partnerships. The curriculum coordinator provides academic and institutional support in managing the curriculum library and processes.

Outcomes – Key outcomes include improved communications and processes, strategic program development with academic departments and divisions as aligned with local transfer and workplace needs, and, when warranted, produce articulation documentation.

Assessment – SLCC will be able to assess whether the curriculum and articulation processes are clear to stakeholders. In addition, these enhancements should improve time to completion for our students whether they complete at SLCC or transfer to another institution.

Budgetary Plan – Funding and support for these two full-time academic support positions equals \$180,000.

Salaries, Wages & Benefits	\$150,000
Operating Expenses	\$ 30,000
Total	\$180,000

QL and STEM Completion Specialist **\$75,000**

Description – The math department received three years of one-time funding as part of a math completion improvement initiative. Using these funds, the department built a system to flag students at risk for early failure and connect those students to effective support services. As the project has moved forward, it has become apparent that similar needs also exist in other STEM gateway courses warranting expansion of the system to include those students as well. The department would like to base fund the completion specialist initiative to continue its goals and objectives.

Justification – The focus of this ask is based on the success of Math 0980 students. Math 0980 is the gateway course for the SLCC Math Pathway. We are conducting an extensive research project which began in Fall 2016 aimed to improve the student pass rate by providing support services, e.g. workshops, companion courses, exam retakes, and one-on-one counseling. Each student's exam grade is vital information for the research project. It helps map the deficits in learning objectives and helps improve the course design and delivery. Initial data collected from the past year already indicates some positive impact. In addition, just as Math 0980 is a major attrition point for students in achieving QL, there are key STEM courses in Life Science and Physical Science that are significant attrition points in STEM completion. The system built to support the QL completion initiative is equally useful in the STEM completion effort and could be expanded to support those students as well.

Outcomes – This program gives students who are not quite ready for college a second chance at taking the first exam in the developmental math gateway course, "Algebra for College Success". This second chance for engaged learners shows the value of studying and working with instructors and peers to be successful in a math course. We would expect to see an improvement in student pass rates over prior semesters in both QL and STEM courses.

Assessment – SLCC will monitor student success in QL math, biology, and chemistry and compare the results to prior years.

Budgetary Plan – The funding will support 1 FTE academic support position.

Salaries, Wages & Benefits	\$75,000
----------------------------	----------

CBE Program Manager and Support Staff **\$353,000**

Description – Competency Based Education (CBE) allows students to advance at their own pace to gain mastery of essential knowledge and skills in specific workforce areas. Students who have prior learning in these areas will be able to validate competencies at an accelerated pace as they progress toward completion and certification. As the College begins to expand these programs, it will be important to properly fund the project as it phases off grant funding. We have identified two main areas of need. The first deals with a program manager to head up existing and new development of CBE courses and programs. This person will serve as a conduit between the dean and e-Learning and will focus on process and data analytics. We have also identified a need for up to two more full-time positions in the areas of instructional and assessment design. These positions are necessitated due to the increase in projects we envision taking on as CBE expands.

Justification – CBE is expanding from the SAT into the broader college, which brings added budgetary expenses. Instructional design and continuous analysis and assessment expertise are essential to effective course development for this learning environment and for sustainable implementation, as well as, continuous improvement and program alignment with industry and career expectations.

Outcomes – With increased funding, SLCC can continue to lead the way for USHE in the area of Gen-Ed CBE. Hiring these positions will provide needed support for CBE efforts which should then result in increases in enrollment, and completion and certification rates for workforce training and Gen-Ed courses.

Assessment – An assessment plan is already in place with one-time funding granted by the legislature this past year. We will use the same plan to assess any added funding. The plan revolves around: increased student completion, increased enrollment from non-traditional areas, and increased student satisfaction.

Budgetary Plan – Funding will support 4 FTE positions and \$8,000 in operating expenses: CBE Program Manager \$95,000; Administrative Support 70,000; e-Learning specialists (2 positions) \$180,000.

Salaries, Wages & Benefits	\$345,000
Operating Expenses	<u>\$ 8,000</u>
Total	\$353,000

Career and Student Employment Advisors **\$146,000**

Description –SLCC serves over 60,000 credit and non-credit students annually. As part of our service to students and alumni, two additional career/employment advisors are needed to assist current students and graduates with career development and employment strategies. Additionally, the career/employment advisors will provide career exploration and career assessment for all undecided students and help them select an appropriate Pathway and academic program that leads to successful transfer or completion.

Justification – As SLCC moves to a Pathways model, additional career/employment advisors will increase the capacity of Career Services to provide career exploration, career development, and career assessments for credit and non-credit students and alumni.

Outcomes – Increased retention for students actively receiving support from the Office of Career Services. Undecided students would declare an area of study and academic program after participating in career exploration and career assessment activities.

Assessment – Measure the number of undecided students who declare an area of study or an academic program within the first year of attendance at SLCC. Additionally, measure the number of graduate who are employed within one-year of completion.

Budgetary Plan – The funding will support two full-time advisor positions in career and student employment.

Salaries, Wages & Benefits \$146,000

Mental Health Safety Interventions \$232,000

Description – In order to address the public mental health crisis in Utah, the Board of Regents' Mental Health Working Group has provided a list of recommendations to each Utah System of Higher Education (USHE). Two of the recommendations include: support and implement the higher education expansion of the SafeUT mobile app, including personalizing the SafeUT app for each institution; and improve mental health education for all staff and faculty and to require students to receive mental health literacy. Funding will be needed to implement the SafeUT mobile app and hire two mental health counselors.

Justification – More college students are seeking on-campus services. This is evident from the number of mental health counseling appointments in SLCC's Center for Health and Counseling displayed below.

Counseling	Fiscal Year 2017	Fiscal Year 2018	% Increase
Taylorsville/Redwood	1,775	2,309	30%
Jordan	76	184	142%
South City	492	761	55%
Total	2,343	3,254	39%

More college students are dealing with significant mental health issues. Data gathered from our own SLCC students in the 2017 American College Health Association (ACHA), National College Health Assessment (NCHA) indicated significant levels of depression (41%), anxiety (59%) and suicidal ideation (11%), consistent with national figures. College student's mental health problems have significant negative academic impacts.

Outcomes – The impact of the funding will be measured by decreased wait times for counseling visits, 24-hour crisis intervention with a local phone and text line, and expanded

services at other institutional sites. Further, we will increase mental health counseling appointments by 48 more sessions per week.

Assessment – We will be able to assess the number of students using the SafeUT mobile app as well as the number and nature of safety tips reported. We will also be able to gauge the mental health counseling utilization rates and wait times.

Budgetary Plan – The funding will support the SafeUT app software, licensing, and two full-time mental health counselors

Salaries, Wages & Benefits	\$140,000
Operating Expenses	<u>\$ 92,000</u>
Total	\$232,000

Pathways Academic Advisors **\$438,000**

Description – Case management advising will provide direct advising to students by guiding them to clustered courses designed to create a more efficient educational path. Research indicates that intrusive academic advising utilizing a case management approach significantly improves student academic success, retention and persistence, and degree/credential attainment. SLCC's department of Academic Advising will implement an intrusive case management approach utilizing Starfish Retention Solution's Early Alert and Connect modules. Additional academic advisors are needed to move in this direction.

Justification – The role of Academic Advisor will shift in the Guided Pathways model from being the provider of information to directly tracking student success in a more meaningful way through personal connection and relationship building. In order to achieve that sort of developmental advising the National Academic Advising Association recommends a student to advisor ratio of approximately 300 students to one full-time academic advisor. Currently, SLCC's student to advisor ratio is approximately 900:1.

Outcomes – Decrease the ratio of students to advisor. Increase student persistence and decrease the time for degree completion.

Assessment – Identify ratio improvements between students and advisors. Increase SLCC student persistence and graduation rates.

Budgetary Plan –The funding will support six full-time advisor positions.

Salaries, Wages & Benefits	\$438,000
----------------------------	-----------

Admissions Advisors **\$146,000**

Description – SLCC requests funding for two (2) additional Admissions Advisors within the Office of Admissions.

Justification – Prior to 2015, Salt Lake Community College did not have an Office of Admissions. Since that time, the College has reallocated internal funds, as well as utilized new E&G funding, to establish a fully functional Office of Admissions. Currently, Salt Lake Community College has seven (7) Admission Advisors that interface with every public high school within Salt Lake County, as well as several private, alternative, and charter high schools. SLCC’s Office of Admissions processes over 30,000 student applications each year and has established a case-management approach to increase the number of college applications and the college-going rate within its service region. As a result, these additional staff positions are needed to fully implement case-management and to expand services to additional alternative and charter high schools, as well as community organizations.

Outcomes – Increased recruitment of prospective, traditional and non-traditional aged students through the expansion of services to additional alternative and charter high schools as well as community organizations.

Assessment – To assess the effectiveness of our efforts, we will conduct a year-by-year application and enrollment comparison of the schools we intend to offer more structured services to. Additionally, we will track the outcomes of these school visits where students are in the enrollment process.

Budgetary Plan – The funding will be used to hire two additional full-time Admissions Advisors.

Salaries, Wages & Benefits	\$146,000
----------------------------	-----------

Process Improvement Director	\$120,000
------------------------------	-----------

Description – Students want streamlined and simple processes. We want to make sure that all our business processes are student-centric; that is, the process is centered round the student needs. Sometimes because of federal requirements or simply isolated decision-making, our own internal processes hinder instead of support students. We want to improve our processes so that the student can focus on learning. This new position will work directly with departments in continuous improvement of key organizational processes (admission, registration, scheduling, financial aid, graduation, curriculum development, transfer, placement, etc.).

Justification – From a financial point of view, this position will allow us to test our hypothesis that there are considerable cost savings in personnel and resources if we create better processes for students. We hope to create a team of process improvement analysts funded from the savings created by this initiative. This funding is needed to get our first processes redesigned and then, over time, scale the improvement initiative across the institution.

Outcomes – First and foremost, by engaging in process improvement we will have better ways to measure process outcomes. We currently have big outcome measures (completion, enrollment, transfer, and employment) but we struggle to clearly measure the student and institutional processes that impact the larger outcomes. This is often because the processes are designed in ways that are not measurable. They are not standardized and students engage in too many different ways to accurately measure the efficiency of the process.

We believe that as we develop process measures we will then be able to identify process constraints and better remedy those for students. We anticipate seeing significant gains in key outcomes such as application yield, registration, financial aid, and graduation.

Assessment – An initial step in process improvement is to identify how to measure the process. The position will develop these measures as a matter of course. We hope to decrease process time, improve student satisfaction, and ultimately impact big measures like student engagement, learning, and completion.

Budgetary Plan – The funding will support one FTE position.

Salaries, Wages & Benefits	\$120,000
----------------------------	-----------

Course Evaluation Coordinator	\$90,000
--------------------------------------	-----------------

Description – As SLCC increases its focus on improving student learning, it is imperative that we develop more sophisticated and helpful student course evaluations. There are certain things that only the student can tell us (e.g., the learning practices the instructor uses regularly, the learning climate in the course, etc.). Our current system needs to be expertly redesigned to improve the quality of information we receive.

Justification – The college system is currently maintained by an administrative assistant without training or background in qualitative or survey research. The new dollars will allow SLCC to hire a full-time coordinator with the necessary background and expertise. Improved course feedback will help to improve our student success and retention efforts.

Outcomes – Participation in course evaluations has been declining. Faculty and deans occasionally cannot use the results we have because too few students fill them out. This is a critical data point for learning improvement. With a qualified coordinator we can improve the instrument (increasing the reliability and validity of the data) and create a strategy to increase participation.

Assessment – We will consider the number of evaluations. We also hope to be able to set a baseline on certain measures from the instrument which can be used to track improvement in instructor practices over time.

Budgetary Plan – This funding will support one full-time position in institutional research.

Salaries, Wages & Benefits	\$90,000
----------------------------	----------

Hearing Impaired Funding Shortfall	\$220,000
---	------------------

Description – When possible, equal access for individuals with disabilities will be sought. The Americans with Disabilities Act (ADA) has defined that those individuals who have a hearing impairment can receive assistance for interpreter services. This funding request will offset the costs to the institution to provide these services.

Justification – SLCC receives reimbursement from the Utah System of Higher Education for less than half of the total cost of interpreter services. These federally mandated interpreter services provide the necessary assistance to help hearing impaired students be successful in college.

Outcomes – We will be able to more fully support our hearing-impaired students. This funding helps offset institutional costs.

Assessment – We will continue to report the number students served and total program cost as required biannually by USHE.

Budgetary Plan – This funding supports contracted interpreter services.

Operating Expenses	\$220,000
--------------------	-----------

WORKFORCE AND RESEARCH

USHE Total: \$9,719,800

With the seventh-fastest growing and the most diverse economy in the nation according to the most recent Hachman Index, Utah has been designated the number one state for business seven of the last 10 years. Higher education plays critical role in the supplying the talent force to sustain such growth. USHE institutions enable Utahns to adapt to the seismic shifts in today's global economy. The base of Utah's economic activity is formed by students becoming lifelong learners and creators through cutting-edge research and real workforce opportunities while in college. The Board has charged institutions to work with local, regional and state business and industry partners to support workforce needs, especially in high demand, high wage occupations including:

- 1) Nursing and other health professions: \$5,619,800
- 2) Engineering, Computer Science and IT: \$3,500,000
- 3) Plastics and Composites Technicians: \$300,000

UNIVERSITY OF UTAH

TOTAL: \$4,000,000

Nursing and Health Related Professions

\$1,500,000

Regents' Strategic Priorities – This initiative will help with the Regents' strategic priorities of timely completion and affordability. Funding from the Legislature will mean that tuition will not be the only source to provide the educators for students. There are high demands from both students and the workforce for prepared graduates in nursing and graduates in related health fields. Additional opportunities for enrollment in these areas with help with completion.

Description – The University of Utah educates many of the students who receive professional and graduate degrees in nursing and in the fields of health and wellness that are in high demand in Utah's healthcare settings. At the present time, we do not have capacity to meet demands for admission of talented students to nursing and other allied health programs. The University needs to add additional faculty and support in order to expand class size.

As a research institution, the University of Utah's mission includes educating future faculty. This includes nursing and allied health faculty that are needed throughout the state. We would like to expand the number of future educators in the Ph.D. programs and the faculty for training those students.

Justification – We know the demands in the healthcare industry for nurses and allied health professionals are high. We face our own challenges in hiring trained nurses, physical therapists, occupational therapists, physician assistants, etc. for University Health. Without the infrastructure, staff and faculty to expand class sizes, we will continue to have a labor shortage.

Outcomes – Students in nursing and allied health fields will graduate prepared to enter the workforce. This workforce includes Ph.D. students prepared to be the educators at Utah colleges and universities.

Assessment – Success will be measured by recruitment of faculty and the increased number of qualified students who enroll and graduate in these strategic, high demand professional fields.

Budgetary Plan – The expansion of nursing and health-related programs will require additional faculty – both tenure track (4) and clinical faculty (5). We will also need additional staff (2). For infrastructure, we will need additional equipment, updated classrooms, and IT equipment.

Salaries, Wages & Benefits	\$1,090,000
Equipment	\$ 210,000
Operating Expense	<u>\$ 200,000</u>
Total	\$1,500,000

Computing and Technology **\$2,500,000**

Regents' Strategic Priorities – This initiative will address the Regents' strategic priority of completion and affordability. Discussions with industry partners across the state have highlighted the number of open and unfilled positions in computing and technology. Additional enrollment in these areas will help meet employment demands.

Description – We know from our own data as well as data from Workforce Services that students graduating with degrees in these areas are in high demand. We want to expand current programs and build courses and programs as technology needs evolve. It is important to be on the cutting edge of technology education to support industry.

As a research institution, the University of Utah's mission includes educating future faculty. This initiative would expand the number of future educators in the Ph.D. program and the faculty for training those students.

Justification –Without the infrastructure, staff and faculty to expand class sizes, we will continue to have a labor shortage.

Outcomes – This funding will be used to hire new faculty. Successful outcomes include an increase of student enrollment and completion to fill workforce jobs. These jobs include Ph.D. students prepared to be the educators at Utah colleges and universities.

Assessment – Performance will be assessed based on increased graduates and our ability to work with industry to develop cutting edge courses and programs as technology evolves.

Budgetary Plan – The expansion of computing and technology programs will require additional faculty – both tenure track (6) and career-line faculty (2). We will also need additional teaching assistants (10) and additional staff (6), which will include academic advisors and career support. For infrastructure, we will need additional equipment, updated classrooms, and IT equipment.

Salaries, Wages & Benefits	\$1,900,000
Operating Expenses	\$ 160,000
Equipment	\$ 240,000
Remodeling	\$ 200,000
Total	\$2,500,000

UTAH STATE UNIVERSITY (USU)	TOTAL: \$2,200,000
------------------------------------	---------------------------

Health Professions	\$1,200,000
---------------------------	--------------------

Regents' Strategic Priorities – Workforce/Research. Funding for instructional capacity in several high-need areas of the state will allow students to complete degree requirements in a timely manner while receiving exceptional educational experiences.

Description — Funding will be used to recruit faculty, clinical supervisors and graduate teaching assistants who will be directly tied to educational programs such as Nursing, Health Services, Social Work, and Public Health.

Nursing. Utah State University currently offers one-year or two-year Registered Nursing (RN) degrees on five regional campuses (Uintah Basin, Price, Moab, Blanding and Tootle). These programs are meeting local demand for nurses. However, there is also a statewide demand for four-year nursing program graduates. USU would like to add faculty to the Nursing program who are qualified to teach in a four-year nursing degree program delivered on the Logan campus. This program will be housed in the new Clinical Services building on the Logan campus. Training of the nursing students will be greatly augmented by their co-localization with several clinical services programs such as those focused on autism, Alzheimer's and speech-language pathology. USU anticipates graduating twenty to thirty students in the four-year nursing program, which will contribute significantly to addressing the state's shortage in nursing professionals.

Health Services. USU also has several health services certificate programs offered in the areas of medical coding, medical assistant, laboratory technician and pharmacy technician. These programs provide an entrance into a college experience for students as well as a completion point that fills work-force needs in rural communities. Many of the graduates of these programs continue in the nursing program or other health-related associate's and bachelor's degree pathways.

Social Work. Utah House Bill 185 provided funds that made it possible for USU to offer the Bachelor of Social Work (BSW) degree on the USU Tooele, Brigham City, Price, and Moab campuses and we are pleased to report that USU graduates are now filling a workforce gap of social workers in these communities. However, the need for social workers is particularly urgent in other communities served by USU including the Uintah Basin and Blanding. State and federal human services agencies such as the Division of Child and Family Services (DCFS), Juvenile Justice Services (JJS), and Head Start are not able to fill vital positions in these areas with qualified individuals. This is also true for schools, hospitals, and mental health services organizations in the surrounding areas. Tribal agencies tasked with providing these services also face workforce shortages. New faculty members in the BSW program will be located at USU campuses in Blanding and the Uintah Basin where they will form partnerships with human services providers and establish internships. Student interns will have an immediate positive impact on workforce shortages. This impact will continue as graduates fill positions, oftentimes with the agencies that provided the internship experiences. These new faculty members will be expected to work closely with Native American communities to recruit Native American students to the program and mentor them through the professional development process. USU's Social Work program is eager to expand into these communities and is prepared to begin the process as soon as funding is secured.

Master of Public Health. Healthcare in the U.S. is a major industry, with a growing need to provide quality services to an aging population. Associates for Public Health Education estimates 250,000 more public health workers will be needed by 2020. USU is designing and implementing a new Masters of Public Health (MPH) degree to meet the demand of this expanding industry. New faculty lines will be created in four colleges (Agriculture, Education and Human Services, Humanities and Social Sciences, and Science) to direct and deliver curriculum and training in the MPH program. The average salary for MPH graduates in the industry is \$68,000 per year. Possible positions of employment include health services administration, biostatistics, epidemiology, health education and communication, environmental health and community health. The MPH program will be delivered across the USU campuses, thereby filling an important workforce need in many rural Utah communities.

Rationale – Utah State University has identified several programs that will meet work-force demands in specific areas. These programs are ideally suited for USU, building on research and educational strengths that already exist within the institution. USU's four-year Nursing program will address critical shortages of nurses across the state. The Bachelors in Social Work will ensure that rural communities, including Native American populations, will have an appropriately trained workforce to fill positions in agencies, hospitals and schools. Graduates of the Masters of Public Health program will fill a wide range of community service jobs across the state.

Each program will require new faculty, clinical instructors and graduate teaching assistants who can educate and supervise undergraduate and graduate students as they proceed through program requirements.

Outcomes – Investment in faculty, clinical instructors and teaching assistants within these high-demand programs will facilitate the educational success of students who in turn will address work-force needs identified by Utah businesses and rural communities.

Assessment - Number of faculty hired, number of undergraduate and graduate students enrolled, number of undergraduate and graduate students receiving degrees.

Budgetary Plan (Nursing)

Salary & Benefits (3 Faculty FTE)	\$ 360,000
Salary & Benefits (1 Staff FTE)	\$ 60,000
Operating Expense	<u>\$ 180,000</u>
Total	\$ 600,000

Budgetary Plan (Other Health Professions)

Salary & Benefits (3 Faculty FTE)	\$ 360,000
Wages & Benefits (8 Grads x .5 FTE)	\$ 200,000
Operating Expense	<u>\$ 40,000</u>
Total	\$ 600,000

Computer and Data Science/Coding **\$1,000,000**

Regents' Strategic Priorities – Workforce/Research. Funding for instructional capacity across the USU campus system will allow students to complete degree requirements that fill work force needs in the areas of computer and data science, including IT coding.

Description — Utah State University has recently initiated a Data Science program with new and existing faculty across five colleges (Agriculture, Business, Engineering, Natural Resources and Science). We intend for the university to become a regional leader in the development of new ways to analyze massive data structures. These methods of analysis will be applied to several areas of research including the biomolecular analyses of organisms, geospatial analyses of earth and high resolution temporal analyses of data strings.

A professional master's degree in data science will be one of the degrees developed under this program. While in the graduate program, students will work side-by-side with faculty in the Utah Data Solutions Center, which will provide services to Utah businesses that have large datasets that need cleaning and analysis. Not only will this center aid Utah businesses, it will provide real-life experience to students.

The USU-Brigham City campus and Bridgerland Technology College (BTC), in partnership with the K12 school districts in Cache, Rich, and Box Elder Counties, are offering an after-school program for high school juniors and seniors in information technology and cybersecurity beginning in Fall, 2017. Courses are taught after school via IVC broadcast to high schools in the three counties. Each high school is equipped with the computer equipment needed to do

the hands-on learning to apply what is taught via broadcast. The CTE faculty in each high school received the training needed to support the students in their hands-on labs.

After completing the BTC certificate in IT and Cybersecurity, students can stack an Associate of Applied Sciences degree in General Technology onto that certificate by being admitted to USU and earning an additional 33 credits. This is possible because the CTE certificate transfers in as 30 credits toward the requirements for the AAS in General Technology once the 33 USU credits are completed. Some of the USU General Education Courses required for the 33 USU credits can also be taken during high school as Concurrent Enrollment. After completing the AAS, students can then stack on the General Technology bachelor's degree offered through USU. Students can move in and out of the workforce as they choose to pursue educational milestones.

One instructor is currently broadcasting the courses; however, based on the success of this pilot program, USU would like to add instructors and graduate assistants that will allow expansion into other high schools within USU's service regions.

Rationale – The real-life experiences provided through the Data Solutions Center will enhance the students' educational experiences as well as help businesses address their data needs. Once graduated, students in the Data Science program will find employment in businesses along the Wasatch Front, providing critical state-of-the-art data science expertise to the Utah business community. A director or "executive in residence" and half-time staff assistant, as well as graduate assistantships, are needed to set up the center.

Utah State University is committed to helping Utah address work force needs. One such acute need is in the area of IT coding. A stackable pathway has been developed that combines technical skills in coding obtained through career and technical education (CTE) in high school and/or a technical college with USTC with general education courses and additional credits obtained through USU. This program will be piloted in northern Utah in the 2017-18 academic year and available for further expansion across the state in subsequent years. The expanded program will require new faculty and graduate teaching assistants who can educate and supervise undergraduate students as well as coordinate curriculum with the high schools and technical colleges.

Outcomes – The Utah Data Solutions Center facilitates capstone experiences for data analytics students, focusing on applications in business and industry that involve interacting with and working for, a company along the Wasatch Front.

Investment in faculty and teaching assistants within IT coding program will facilitate the educational success of students who in turn will address work-force needs identified by Utah businesses.

Assessment - Number of faculty hired, number of undergraduate students enrolled, number of undergraduate students receiving degrees, number of businesses served, number of students involved in projects.

Budgetary Plan – Salary & Benefits (5 FTE) \$ 600,000

Wages & Benefits (4 x .5 FTE)	\$ 100,000
Operating Expense	\$ 300,000
Total	<u>\$1,000,000</u>

WEBER STATE UNIVERSITY (WSU)	TOTAL: \$600,000
-------------------------------------	-------------------------

Health Care	\$600,000
--------------------	------------------

Regents' Strategic Priorities – Workforce/Research. Funds needed to keep up with workforce demand in health-related professions.

Description – Additional faculty and laboratory resources are needed to provide coursework in the following High-Market-Demand Healthcare areas: Radiologic Sciences, Nursing, Health Administrative Services, and Medical Laboratory Sciences

Rationale – Students graduating with degrees in the areas listed above are in high demand in Utah, regionally, and nationally. As a university, we have been unable to keep up with market demands in these areas because we have not had a sufficient number of tenure-line faculty to offer required courses. We turn to adjuncts or to overload course-work on the part of tenure-line faculty. Neither of these options is tenable over the long term.

Given the reliance on state-of-the-art laboratories for these programs, we also request funding to help equip, maintain and manage these labs and thus reduce the need to charge students additional fees.

Outcomes – A greater number of faculty members will decrease the need for faculty overload teaching, will ensure that students have greater access to faculty, will allow faculty to engage in teaching and research necessary to sustain departmental productivity, and will bolster WSU's capacity to provide well-educated employees in these high-demand areas. Providing sufficient laboratory resources and laboratory managers will assist students with timely degree completion.

Assessment – Comparative number of graduates pre and post-hiring; comparative evaluation of graduation rates; comparative analysis of post-graduate employment options; comparative salary figures for recent graduates.

Budgetary Plan –

Nursing Faculty Salaries & Benefits	\$257,400
Other Faculty Salaries & Benefits	\$171,600
Laboratory Salaries & Benefits	\$ 57,200
Lab/Operating Expenses	<u>\$113,800</u>
Total	\$600,000

5 FTE faculty (3 FTE of which is Nursing) plus 1 FTE staff

SOUTHERN UTAH UNIVERSITY (SUU)	TOTAL: \$380,000
---------------------------------------	-------------------------

Rural Mental Health Providers - Clinical Psychology	\$380,000
--	------------------

Description – Additional faculty for a high-demand, market-driven field of study. A national shortage of mental-health-professionals is part of a larger ongoing problem with health-care providers in the U.S. This shortage is compounded in rural areas of Utah, like Iron County. SUU proposes to create a professional graduate program to train mental health professionals who can provide direct mental health counseling, clinical psychometric assessments, meaningful therapy, and contribute to preventative mental health strategies. This graduate program would include a holistic, practitioner-based curriculum and intensive, supervised, real-world therapy training.

Specifically, we propose the creation of a Doctorate of Psychology (PsyD) in Clinical Psychology. No other PsyD programs exist in the State of Utah; the two closest PsyD programs are at the University of Denver (Colorado) and Baylor University (Texas). Additional PsyD programs exist along the West Coast.

Graduates from the proposed PsyD program at SUU would have the educational preparation and clinical training to immediately contribute to the mental health crisis in Utah. Because students trained in such programs tend to stay in close proximity of after graduation, we believe this new program would generate meaningful contributions to address Utah's acute mental health needs, particularly in rural Utah

Justification – Over the past several years, studies have shown that Utah citizens experience mental health issues at rates higher than the national average, including those related to depression, suicide, and undiagnosed and untreated mental illness. We also know that untreated mental health issues lead to other challenges in Utah, such as homelessness, substance abuse, crime, and unemployment.

The State of Utah is also experiencing a corresponding shortage of available and affordable mental health care to provide sufficient levels of immediate support, long-term meaningful treatment, and robust preventative care. In addition to making mental health care available and affordable to Utah citizens, we must take steps to increase the overall number of mental health professionals working throughout the state.

These mental health challenges are being monitored closely by numerous state agencies, including the Department of Health, the Governor's Office, the Utah State Legislature, the Utah State Board of Education, and the Utah System of Higher Education. Along with these public agencies, numerous other partners are also actively addressing these mental health challenges, including Intermountain Healthcare (IHC), the National Alliance on Mental Illness (NAMI), and dozens of other local, regional, and national partners.

Given Utah's acute mental health crisis, a comprehensive, statewide solution is needed at all levels of state government, educational institutions, nonprofits, national partners, and the private sector. As a USHE institution, Southern Utah University takes this responsibility seriously and would like to propose an educational aspect of a comprehensive solution.

Outcomes – Increase mental health professionals enrolling in and completing the PsyD in Clinical Psychology and the number of graduates with the eligibility to become fully licensed upon graduation from the University.

Assessment – SUU will track enrollment in this post-graduate program, and also track the anticipated increase in the number of graduates from the PsyD program. SUU will also track the number of graduates employed and practicing in rural Utah.

Budgetary Plan – Addition of 2 professional faculty, supplemental compensation for a program and clinical director, administrative staff, and operating budget to support instruction. The first year of funding will be utilized to support facilities and lab renovations in addition to the salaries and benefits needed for program development and securing new faculty teaching in the program by Fall 2020. Total budget request is for \$380,000 of ongoing funding beginning in FY 2019-20.

	FY2020	FY2021
Salary, Wages and Benefits	\$ 70,000	\$320,000
Operating Expenses	<u>\$310,000</u>	<u>\$ 60,000</u>
Total	\$380,000	\$380,000

DIXIE STATE UNIVERSITY (DSU)	TOTAL: \$1,300,000
-------------------------------------	---------------------------

Health and Related Programs	\$1,300,000
------------------------------------	--------------------

Masters of Athletic Training	\$500,000
-------------------------------------	------------------

Description – The College of Health Sciences at DSU is developing a Masters of Athletic Training (MAT) degree program for launch in the 2019-20 academic year. Undergraduate programs in the Department of Health & Human Performance have been very successful in recent years, and the addition of the MAT program will further attract quality students to existing undergraduate programs and provide opportunities for post-baccalaureate education at DSU.

Justification – According to the U.S. Bureau of Labor Statistics, the growth of the Athletic Training profession is estimated to be 23% nationwide from 2016-2026. In Utah, this projected growth is 39.3%. Washington County is host and home to athletic and sporting events year-round, including the Huntsman World Senior Games, St. George Marathon, college athletics, and youth tournaments for a variety of sports. Implementation of the MAT program will provide graduates that can meet the growing need for athletic training services for these events.

Outcomes – Successful approval and launch of MAT program with a goal of 20 students enrolled by the third year after inception.

Assessment – Annual number of students enrolled in the MAT program, number of program graduates, and tracking of student placement outcomes following graduation.

Budgetary Plan – Two full-time faculty	\$240,000
Administrative support (1 FTE)	\$ 60,000
Equipment, supplies, and accreditation	<u>\$200,000</u>
Total	\$500,000

Masters of Marriage and Family Therapy

\$190,000

Description – The College of Humanities and Social Sciences at DSU is developing a Masters of Marriage and Family Therapy (MFT) degree program for launch in the 2019-20 academic year. Rapid population growth in Washington County has generated a need for increased mental health and counseling resources throughout the community. With the addition of this program, DSU will also be able to assist statewide efforts to reduce suicide rates and improve the welfare of individuals and families. The MFT program at DSU will particularly focus on preparing therapists to specialize in the treatment of children and adolescents.

Justification – Employment of marriage and family therapists is projected to grow 23 percent from 2016 to 2026, according to the U.S. Bureau of Labor Statistics. Within the state of Utah, only Utah State and BYU currently offer MFT programs. The addition of this program will help ensure a steady supply of licensed, qualified counselors to fill important mental health needs in Southern Utah and surrounding regions.

Outcomes – Successful approval and launch of MFT program with a goal of 16 students enrolled by the second year after inception.

Assessment – Annual number of students enrolled in the MFT program, number of program graduates, and tracking of student placement outcomes following graduation.

Budgetary Plan – One full-time faculty	\$130,000
Administrative support (1 FTE)	<u>\$ 60,000</u>
Total	\$190,000

Health and Biological Sciences

\$610,000

Description – DSU continues to rapidly expand and develop health sciences programs to meet the needs of the booming Washington County healthcare industry. New undergraduate degree programs including bioinformatics, population health, sport and recreation management, and surgical technology are in high demand and require additional resources to accommodate more students. Additional biology instructors are also needed to ensure that students are able to complete prerequisite courses and labs for health sciences programs.

Justification – Enrollment in health sciences and biology courses at DSU has increased by approximately 50% over the last three years. New degree programs have effectively provided new alternatives for students outside of traditional programs such as nursing and dental hygiene. DSU anticipates continued high student demand for health sciences and biology programs in conjunction with enrollment growth and economic expansion across the Southern Utah region.

Outcomes – Increased enrollment in health sciences degree programs and biology prerequisite classes.

Assessment – Number of graduates from health sciences programs and total enrollment across all health sciences and biology courses.

Budgetary Plan – Four full-time health sciences faculty	\$390,000
Two full-time biology instructors	\$140,000
One biology lab coordinator	<u>\$ 80,000</u>
Total	\$610,000

UTAH VALLEY UNIVERSITY (UVU)	TOTAL: \$639,800
-------------------------------------	-------------------------

Nursing and Health Sciences	\$639,800
------------------------------------	------------------

Description – UVU's Department of Nursing is exploring and implementing strategies to increase number of nursing graduates to meet the substantial need for nurses in the service region and the state. One of those strategies is to increase the number of full-time faculty to provide capacity to add 10 students each Fall and Spring semesters Associate in Science in Nursing cohorts beginning Fall 2019. In addition to Nursing, UVU is completing implementation of a Respiratory Therapy program which replaces the Utah County based program previously provided through Weber State and has increasing student demand in pre-health courses from students preparing for health programs at UVU and other USHE institutions.

Justification – Economic overview and program gap analysis data provided through EMSI for UVU's service region indicates projected job change increases in health care by approximately 8,000 jobs in the next decade. The existing need for nurses in UVU's service region and across the state is great, with Utah health care employers reporting over 1,200 vacancies for RN positions. UVU's Department of Nursing is active in the Utah Nursing Consortium--an organization that has committed to the Utah legislature to increase the number of nursing graduates each year.

Outcomes – With the addition of 20 students each year (10 per cohort), UVU anticipates increasing its annual number of graduates by 20 per year (10 per cohort) based on UVU's 100 percent completion rate in the ASN program. Similarly, UVU anticipates near 100 percent completion in the Respiratory Therapy program for 40 cohort majors annually.

Assessment – Performance will be assessed based on percent of each cohort that achieves timely graduation and on the percent of graduates who successfully meet licensure requirements.

Budgetary Plan – Funding will support the addition of two full-time faculty for Nursing, four full-time faculty for pre-health courses (Biology, Anatomy, Physiology, Microbiology) adjunct/clinical hourly faculty, and operating expenses.

Salaries, Wages & Benefits	\$612,800
Operating Expenses	<u>\$ 27,000</u>
Total	\$639,800

Diesel Systems, Composites, and Construction Programs \$300,000

Description – With the opening of the new Westpointe center and the increase in demand for trade programs, this funding would support 3 full-time faculty for Diesel Systems, Plastics and Composites, and Construction Programs (1 faculty member per program).

Diesel Systems: The Diesel programs at SLCC continue to have high demand and we are in need of another full-time faculty position to help offset the increased student enrollment pressures. In addition, we have secured one of only three nationwide partnerships with Cummins International to be a training provider for their Diesel Apprenticeship Program (TAP).

Construction Management: The Construction Management program continues to be hampered by not having enough full-time instructors. The program is always waitlisted and due to the lack of full-time faculty, we are only able to serve a fraction of the students we would like to with this program. This has been an ongoing need for the past five years.

Composites and Injection Molding: there is high demand for this program as well. This program includes rigorous instruction, dedicated enrollment support, and even stronger relationships with local industry partners.

Justification – A combined industry overview (2013-2018) shows a 19.8% increase in industry jobs over a five-year span in Utah compared to 2.3% nationwide. In addition, there are current enrollment pressures to expand these programs. Further, it is difficult to hire qualified adjunct faculty to teach the courses and support these programs' growing needs.

Outcomes –We will be able to increase student enrollment and offer the program at non-traditional times of day/week. The graduates will help replace the expected retirees of skilled laborers. We will also be able to report on the number of job openings filled each year.

Assessment –These positions will be assessed on the increase of student enrollment, retention, and completion. All should improve with the hiring of these positions.

Budgetary Plan – This funding will support three full-time faculty in Diesel Systems, Composites, and Construction Management programs. \$10,000 will cover operating expenses.

Salaries, Wages & Benefits	\$290,000
Operating Expenses	<u>\$ 10,000</u>
Total	\$300,000

STUDENT GROWTH AND CAPACITY

USHE Total: \$18,651,800

Utah uniquely stands out across the country with its white-hot economy amidst an increasing population, buttressed by a vibrant and growing number of K-12 students. While positive, these factors are also stretching the current capacity limits of Utah's public colleges and universities, requiring cost-effectiveness and thoughtful oversight of limited resources to ensure a student's quality education. The Board is working with institutions to ensure that institutions are leveraging their existing resources to maximize what can be accomplished especially in areas regarding use of technology, energy efficiency, and business process reviews and evaluations. However, even with these efforts, the Board has recognized that additional state resources are necessary to support the basic operational needs of the institutions while minimizing the reliance on future tuition revenues. Operational needs include:

- information technology and cyber security cost increases
- ensuring sufficient availability of general education and gateway courses
- support staff in place for students and faculty members in business and student service operations
- Replace outdated classroom and instructional equipment.

STATE BOARD OF REGENTS (SBR)

TOTAL: \$7,150,000

Cyber Security

\$7,150,000

Description – Information technology is essential to achieve the strategic goals for higher education of affordability, completion and innovation. IT eliminates paper, streamlines processes, provides relevant data and analytics for critical decisions and provides library, counseling, and instruction to students anywhere at any time. It increases productivity of faculty, staff and students, helping students toward faster completion. The baseline of IT that makes these benefits possible is the IT network and secure access to rich online resources and data. The loss of personal private data is damaging and costly to the reputation of a university or college. Staff, faculty and students expect 24 X 7 connectivity and security for their personal data. A network outage and security breach can have significant impact on job productivity. It can also cut essential network connected services such as building, access, HVAC control, fire alarms, security cameras, utility meters, instructional materials, accounting reports, payroll and emergency alerts. IT security and networks have been underfunded for years. Compared to other colleges and universities around the country, Utah institutions of higher education are 1.5% below the norm in IT spending, particularly with security and networks. The requests listed below will catch up Utah colleges and universities on secure network, staffing, security tools, network firewalls and security spending.

Justification – The funding request contains four ongoing budget requests, 1. \$ 4.9 million for replacement of network edge or building network equipment and software, 2. \$ 1 million for an increase of one security staff member for each college and university in the Utah System of Higher Education, 3. \$ 500,000 for the purchase and installation of next generation network firewalls, 4. \$ 750,000 for advanced malware endpoint protection.

The network is the first layer of defense against cyber security threats, but Utah school's dated wireless and network edge components can't maintain the newer advanced network security protocols. These devices must be replaced on a recurring lifecycle in order to have the latest manufacturers' upgrades, which provide the best cyber security protection possible, or Utah schools face a high probability of a cyber security breach.

USHE CIOs have completed a comprehensive network edge inventory, looking at the cost to maintain an industry recommended ten-year replacement for all building network switches and network components and a five-year replacement for all wireless network components and software to meet minimum security standards and network demand.

Additional security staff are needed to address the exponential increase in outside attempts to breach university and college networks. Additional funding is to bring firewalls up to the normative security standards of other colleges and universities in the country. Network firewalls are the first line of protection against outside intrusion, and must be kept at a high standard. Lastly, malware used to be identified by signature detection, but due to the increased complexity of malware intrusion, new advanced malware tools now detect malware by scanning networks and machines and finding malware evidenced by non-normative behavior. None of the universities and colleges has this type of comprehensive protection against malware. The new funding will bring all universities and schools up to the same standard of malware detection and removal.

For \$7.1 million annually, every higher education institution in the state can ensure that the equipment relied on by health, safety, and security services; utility-monitoring efforts; cyber security protection efforts; and faculty, staff, and students for academic instruction will not only meet their ever-growing needs, but also meet minimum security standards to keep Utah schools' data secure.

Outcomes – This funding will bring all colleges and universities networks up-to-date with network industry standard replacement schedules and network security tools. Many network devices are too out-of-date to receive manufacturer updates and are no longer meeting the minimum-security standards or user demand, something that has accelerated exponentially in the past three years as more and more devices show up on campuses.

This funding, if approved, will give each school one additional security employee, which will enable security teams to become proactive rather than reactive to security issues. Current security staff are unable to focus their efforts on a long-term strategic plan, nor are they able to dedicate any time to training and risk assessment. Increasing each team by just one additional employee would drastically improve security and risk mitigation efforts across all Utah schools.

This funding will provide colleges and universities with the most up-to-date firewall and malware end protection which will be installed and become functional within the year the funding is provided.

Assessment – This initiative will be assessed and tracked in the following ways:

1. Network Edge Replacement: Network replacement schedules and new security features will be reviewed in quarterly USHE CIO meetings and up date reports shared with the regents audit committee and the legislature. The reports will include replacement schedules, progress on installation to insure accountability on completion, and activation of security features made available with the new equipment.
2. Security personnel: A job description of the new security personnel and the concrete ways they've improved overall security will be included in a report to the regents audit committee and the legislature.
3. Standardization of firewalls: A report on how funding was used to bring college and university firewalls up to industry standard will be provided, including installation plans, dates installed and standard maturity level compared with best practice in the use and operation of firewalls. This will be reported to the regents audit committee and legislature.
4. Malware detection and prevention: A report on what malware protection tools were purchased, when they were installed and how they have prevented malware attacks will be shared with the regents audit committee and legislature. By upgrading wireless network components, information security teams will be able to 1) better monitor and track how much malware exists that was previously unknown; 2) reduce the amount of malware overall; and 3) shorten the window of opportunity (how long malware is allowed to capture data).

Budgetary Plan –	Salaries, Wages & Benefits	\$1,000,000
	Purchase, install and maintain next generation firewalls	\$ 500,000
	Purchase, install and maintain advanced malware endpoint protection	\$ 750,000
	Update and capitalize edge network equipment to meet LoT, Network Access Control, and security standards	<u>\$4,900,000</u>
	Total	\$7,150,000

UNIVERSITY OF UTAH

TOTAL: \$2,000,000

STEM Education – Expand Capacity

\$2,000,000

Regents' Strategic Priorities – The Regents' strategic priorities of completion and affordability will be helped with this funding. Funding from the Legislature will mean that tuition will not be the only source to provide the educators for students. There are high demands from both students and the workforce for prepared graduates in mathematics, chemistry, physical sciences and biology.

Description – The University of Utah educates many of the students who receive professional and graduate degrees in fields, which are in high demand by Utah businesses and industries. At the present time, we cannot meet the demand for admission to many of these programs.

As a research institution, the U's mission includes educating future faculty. Top graduate students in Ph.D. programs receive graduate stipends as part of their participation in Ph.D. education. The resources to fund these stipends have not kept pace with amounts needed to match the national average for Ph.D. students. This leaves us at a disadvantage for recruiting the caliber of graduate students we need both to maintain the prestige of our programs, to retain quality faculty, and to educate the next generation of STEM faculty. The additional graduate students in key areas will also help us to be able to increase the support for undergraduate students as these graduate students fulfill the teaching part of their training.

The primary purpose of this funding is to allow the University to hire additional faculty and teaching assistants to increase the number of students who can be admitted into sciences fields. For science, we need to invest in faculty to build a robust curriculum and knowledge in data science, and other STEM fields.

Justification – We know the demands in industry for students educated in data science, computational mathematics and other STEM fields. Without adding additional faculty, we will not be able to accommodate these students.

Outcomes – Students in higher demand STEM disciplines will graduate prepared to enter the workforce. This workforce includes Ph.D. students prepared to be the educators and researchers at our colleges and universities.

Assessment – Success will be measured by recruitment of faculty and the increased number of qualified students who enroll and successfully graduate in these strategic, high demand professional fields.

Budgetary Plan – The program will need faculty (7) to teach additional students. We will also need teaching assistants and support staff, including academic advisors and support for career advising.

Salaries, Wages & Benefits	\$1,320,000
Teaching Lab Equip/Supplies	\$ 600,000
Operating Expenses	<u>\$ 80,000</u>
Total	\$2,000,000

WEBER STATE UNIVERSITY (WSU)	TOTAL: \$1,400,000
-------------------------------------	---------------------------

Capacity and Compensation	\$500,000
----------------------------------	------------------

Description – The need for additional salary dollars at WSU is acute. For several years, WSU has lagged behind the other USHE institutions in salary increase percentages. For FY19 WSU's average salary increase is 2.99%, while at the other USHE institutions it is 3.81%.

WSU is now significantly below its peer USHE institutions in terms of overall faculty salaries. For FY17, WSU's average faculty salary was approximately 9% less than that of UVU.

Because of these conditions, WSU has begun losing employees to other USHE institutions and our turnover rate has spiked. For many years, WSU has averaged approximately a 7% turnover rate. For FY18 our rolling employee turnover rate was 16%.

Outcomes – Lower Turnover rate and competitive salaries.

Budgetary Plan – Salary, Wages & Benefits \$500,000

Mandated Cost Increases/ Infrastructure & Security \$300,000

Mandated Costs \$150,000

Regents' Strategic Priorities – Capacity. These bills must be paid. If we do not get funding from the state for these cost increases, ultimately students will pay more for their education. We have been as innovative as possible to manage these costs. Our energy efficiency program is a good example. However, inflation in these areas is relentless, and we must increase these budgets as needed.

Description – Several years ago, the Board of Regents stopped asking for mandated cost increases as part of their annual Operating Budget Request to the legislature. The result of this exclusion is that inflationary increases in items such as Fuel and Power, Water & Sewer, Workers Compensation, State Audit Fees, Risk and Property Insurance have been entirely unfunded or significantly underfunded by the legislature over the past decade. To cope WSU has pushed many of these increases off onto 1-time funding sources or Tier 2 Tuition. This request would provide \$150,000 in current expense to replenish these vital but underfunded budgets.

Outcomes – Full funding for these vital budgets

Budgetary Plan – Current Expense \$150,000

Infrastructure Costs - Wireless \$75,000

Regents' Strategic Priorities – Capacity. Without the ability to deploy current technologies students and faculty are unable to test the latest and greatest items. Without updated network closet infrastructure we are unable to deploy maintainable, secure, and error free networks to the classrooms of older facilities.

Description – With more one-to-one initiatives in K-12 we are seeing a stronger desire to use the wireless when these students reach our campus. The money would be used to fund wireless density increases, additional backend equipment to keep up with increased usage of the wireless. Keep up with the latest wireless standards and fund backend and closet infrastructure needed to support these new more dense wireless installs. A few buildings are in need of closet upgrades to support more wireless in the buildings and allow for other classroom technology use.

Justification – With the increased demand of device usage in the classroom and educational experience as a whole on campus, the infrastructure that support it needs to be continually upgraded.

Outcomes – Updated network underpinnings in older facilities as well as density increases as needed in newer and older facilities.

Assessment – Old unsupported CAT cable removed from buildings. Secure network spaces established where they are currently shared with custodial or electrical (code issues).

Budgetary Plan – Operating Expenses (Equipment) \$75,000

Infrastructure Costs - Security \$75,000

Regents' Strategic Priorities – Capacity. By moving to newer technologies and improving knowledge in our security practices, we are able to cover more ground with the same amount of people and take care of vulnerabilities more quickly and efficiently and to detect anomalies that are likely occurring and are not currently able to be detected.

Description – Provide a mechanism to enhance the security of the University by implementing tools and techniques to detect and react to anomalies that may indicate breaches as well as provide a platform for server and network logs along with alerts that enhance our ability to deal with vulnerabilities in campus in a quick and efficient manner.

Justification – Our current tools are not able to detect anomalies in network traffic that would indicate that intrusion in our network are occurring. We also currently do not have enough storage on-site to handle the amount of storage that would be needed to accommodate the centralization of logs we would like to retain. We are trying to have 90 days on-site and up to a year off-site. This allows us to better discover patterns to be more proactive and investigate network and login activity after an incident.

Outcomes – The implementation of the the intrusion detection system will allow us to detect and react to potential intrusions and better protect our data and resources and the increase in storage will allow us to maintain at least 90 days of centralized logs on-site along with managing vulnerabilities in a quicker and more efficient manner. The creation of a cyber-forensics team to defend the university network and resources and to react to intrusions manner will reduce the likelihood that malicious activities that occur on university resources are incorrectly identified and increase the likelihood that actions taken are legally defensible and treated consistently.

Assessment – *We will measure the number of incidents identified and time it took to have them resolved.*

Budgetary Plan – Hire of an intern or hourly (.5 FTE)	\$17,500
Forensics Training and Certification (4)	\$14,500
Operating Expenses (Equipment)	<u>\$43,000</u>
Total	\$75,000

STEM**\$600,000**

Regents' Strategic Priorities – Capacity. As the number of faculty in Computer Science and Engineering are increased with Engineering Initiative funding, the capacity in STEM support courses must be increased to keep pace.

Description – Additional faculty are needed in the sciences and mathematics to keep up with the demand for Engineering and Computer Science support coursework.

Rationale – Students graduating with degrees in the areas listed above are in high demand in Utah, regionally, and nationally. As a university, while we are on track to increase the number of Engineering and Computer Science faculty, we will be unable to keep up with demand for required support courses in the sciences and mathematics.

Not only will faculty be needed to increase the number of STEM support courses, given the reliance on state-of-the-art laboratories for these programs, we also request funding to help equip, maintain and manage these labs and thus reduce the need to charge students additional fees. This funding would also be used to increase laboratory space.

Outcomes – A greater number of faculty members will decrease the need for faculty overload teaching, will ensure that students have greater access to faculty, will allow faculty to engage in teaching and research necessary to sustain departmental productivity, and will bolster WSU's capacity to provide well-educated employees in these high-demand areas. Providing sufficient laboratory resources and laboratory managers will assist students with timely degree completion.

Assessment – Comparative number of graduates pre and post-hiring; comparative evaluation of graduation rates; comparative analysis of post-graduate employment options; comparative salary figures for recent graduates.

Budgetary Plan –	Salaries, Wages & Benefits	\$400,000
	Operating Expenses	<u>\$200,000</u>
	Total	\$600,000
	4 FTE faculty	

SNOW COLLEGE (SC)**TOTAL: \$1,010,000****IT Upgrades and Employment Needs****\$1,010,000**

Regents' Strategic Priorities – Capacity—Implement needed upgrades to our IT infrastructure; hire an HR specialist to meet increased employee needs and hire five additional faculty in high-demand areas.

Description – As demand for integrated technology needs have increased, Snow College struggles to meet the challenges of IT security, backup, and capacity. We have immediate

needs to update servers and systems that facilitate storage, information access, and growth capacity.

Our Human Resources office has two full-time employees and a part-time employee. The College has 344 full-time employees, 200 part-time employees, approximately 100 adjuncts, and on average 400 student employees. CUPA national standards recommend one HR FTE per 63 full-time FTE employees. This would suggest that Snow College needs 5.5 HR FTE's. An additional full-time specialist will allow us to help reduce the burden currently being placed on our HR office as a result of the growth of the College's full-time FTE's in the recent past. This specialist will be tasked with managing searches, data entry, tracking staff and handling new employee onboarding tasks.

Snow College has seen steady overall enrollment growth. As a two-year institution, we must provide access to General Education courses and courses that prepare students to transfer to four-year institutions. In addition, we have an increased need to better prepare students for the majors they will declare when they transfer to four-year institutions. These additional faculty members will help us meet these challenges.

Justification – Our IT Department has taken many steps to upgrade our computing systems. We have built server modules, made hires in systems analysis, IT security, and improved cabling and distribution. Increased pressure on existing systems has caused internet breakdowns and other temporary system failures because we no longer have enough capacity in our existing systems. Funding in this area will greatly relieve these pressures and give us room to facilitate system growth.

Our HR office has found it difficult to manage searches, process forms and provide service in a timely way because of growth in the number of College employees. Increased reporting requirements, growth in the number of applicants seeking employment, and the need to enter and store data in efficient ways is weighing heavily on our HR employees. An additional specialist will greatly ease this burden and will help our HR office respond to College needs in a timely manner.

As the College rolls-out a new enrollment management plan and a new general education program, we are going to need to adjust to the needs of students in bottleneck courses. Traditionally these bottlenecks have been common in composition, mathematics, life science and physical science courses. Curricular challenges are shifting, however, as we experience high demand for courses in other areas. For this reason, we are experiencing challenges meeting student demand in a number of areas, including typical first-year courses and courses that prepare students for majors.

Outcomes – Funding for IT will enable us to increase server and other technology capacity, add additional employees to address ongoing challenges and be better prepared for IT expansion in the future. It will also give us greater security of data stored in our systems.

The addition of a position in Human Resources will help the College improve HR responsiveness in the following areas:

- Data entry and management;
- Timely management of applications and search processes;
- Tracking of onboarding procedures;
- Division of office responsibilities.

In addition to addressing student demand for General Education courses, additional faculty will help us respond to demands for courses that four-year institutions want students to have completed prior to their transferring to those institutions, including:

- Sophomore-level discipline-specific methodology courses;
- Quantitative methodology courses;
- Prerequisite courses that will enable students to take 3000 and 4000 level courses at four-year institutions.

Assessment – IT oversight is provided by our Chief Information Officer (CIO) and by the Vice President for Finance and Administration (VPFA). The CIO is assisted by the Integrated Technology Advisory Committee (ITAC) which is composed of staff and faculty who work with IT in addressing the needs of the College. ITAC reports regularly to the Faculty Senate and is very aware of the needs of IT and will be a good resource in working with IT as they add staff and equipment. The VPFA meets regularly with the CIO and will be able to monitor and advise as IT hires new employees and adds equipment.

We are conducting an internal audit of our Human Resources office. This audit will help us identify areas where we need to improve. As with all audits done by our internal auditor, and based on the recommendations of the audit, the College will identify priorities that must be met, and we will create a job description and a review process of this position as well of all of HR, to insure that we are addressing our most pressing needs. Snow College completes follow-ups on all audits to insure that best practices are used in addressing areas of concern. In addition, regular performance reviews will be done to make sure that the new full-time HR employee is meeting the needs of this office and the College.

Snow College recently completed a strategic enrollment management plan. Based on this plan, we have identified curricular needs we face now and will face in the future. We have charged our Institutional Research Director and our future Assistant Vice President for Enrollment Management (search underway) to help us follow through in assessing:

- Areas we need to develop in order to meet student applicant interests;
- Areas of bottleneck courses;
- Areas where methodology and prerequisite courses need to be created to prepare students for transfer.

We are guided in our enrollment plan by an ongoing environmental scan of potential students as well as constant analysis of enrolled courses and analysis of student success and transfer plans. Information is gathered and submitted to the Enrollment Management Steering Committee that assesses and makes recommendations in recruiting and retention.

Budgetary Plan – Two IT Positions: Salary and Benefits: \$180,000
Equipment Upgrades: \$400,000
One HR Positions: Salary and Benefits: \$80,000
Four Faculty Positions: Salaries and Benefits: \$350,000
Total: \$1,010,000

DIXIE STATE UNIVERSITY (DSU) **TOTAL: \$2,000,000**

Faculty and Staff Salary Equity **\$1,000,000**

Description – DSU competes in a national market for talented faculty and staff and also strives to be an employer of choice for Southern Utah residents. Additional compensation funding is needed to ensure continued recruitment and retention of high-quality employees at a time of low unemployment and economic expansion. Improved compensation and increased employee retention over a multi-year span is a crucial component of DSU's overall strategic plan.

Justification – Although significant progress has been made in recent years, approximately 40% of full-time positions are still below the comparable median salary at peer institutions. In addition, part-time positions have become more difficult to fill in recent years due to wage increases in the private sector.

Outcomes – DSU anticipates that \$1,000,000 of salary equity funding would be sufficient to achieve full market equity for virtually all full-time positions as measured in comparison to peer benchmarks, while also increasing part-time wages by an average of \$1.50 per hour campus-wide.

Assessment – Number and percentage of positions below market benchmark median salary, and annual turnover percentage of full-time positions.

Budgetary Plan – Employee salaries and part-time wages \$1,000,000

Full-Time Faculty **\$1,000,000**

Regents' Strategic Priorities – This initiative primarily supports the Regents' Strategic Priority of Student Growth and Capacity.

Description – Dixie State University continues to follow a rapid growth trajectory. Budget-related enrollment has increased by more than 700 FTE students (approximately 12%) over the last three years. To accommodate these students and facilitate continued growth, additional instructional capacity is needed in multiple general education disciplines, including English, mathematics, humanities, psychology, and fine arts. Additional faculty are also needed to support program-specific growth in chemistry, digital film, and American Sign Language.

Justification – DSU has relied heavily on adjunct faculty in high demand disciplines to accommodate enrollment growth. Additional full-time faculty will help ease capacity constraints

and are also needed to meet program accreditation standards and support high-impact learning practices such as undergraduate research and experiential learning.

Outcomes – New full-time faculty positions created in bottleneck areas to facilitate continued enrollment growth and academic quality improvements.

Assessment – Total campus-wide enrollment and total enrollment in targeted general education course sections and degree programs after new faculty have been added.

Budgetary Plan – 11 new full-time faculty positions \$1,000,000

UTAH VALLEY UNIVERSITY (UVU)	TOTAL: \$3,901,800
-------------------------------------	---------------------------

Faculty in High Growth/Demand	\$3,901,800
--------------------------------------	--------------------

Description – Funds will be used to meet educational needs of new students enrolling and existing students persisting in their studies by providing additional full-time faculty and instructional support staff for critical-path courses in general education and in high demand program courses.

Rationale and Justification – As an open admission, cost effective university located in a high-growth region of Utah, UVU anticipates continued enrollment growth for the coming decade. Ensuring appropriate access and support for a changing student demographic while simultaneously aligning programs with regional educational needs is a focal point of UVU's strategic and academic planning. Since 2000, approximately 50 percent of K-12 enrollment growth has occurred in Utah County elementary and secondary schools. Similarly, over 47 percent of resident annualized student FTE growth in USHE in the past decade has been at UVU with the largest segment of UVU's growth in continuing students (students persisting toward graduation). Since 2009-10, UVU's CTE course enrollments have experienced a 28 percent increase and upper division course enrollments have grown 75 percent. Significant growth is occurring in the Woodbury School of Business, College of Science, School of the Arts, College of Humanities and Social Sciences, and the College of Engineering and Technology.

In order for these continuing students to successfully complete their programs of study in a timely manner, additional sections of critical path general education and majors' courses (CTE and upper division) must be offered. While UVU students are well served by qualified adjunct faculty, certain disciplines (particularly in STEM, pre-health, and Business) are unable to recruit the increasing number of adjunct faculty needed to meet growing student demand; thus, additional full-time faculty are needed. Utilizing course waitlist data and analyzing students' course enrollment patterns, UVU is able to identify critical-path general education courses which need additional capacity to ensure students can advance appropriately through their major's graduation plan.

Outcomes – Recognizing the importance of full-time faculty in student access, retention, persistence, and completion, UVU, in consultation with USHE, established a university-wide

goal of no less than 55 percent of instruction delivered by full-time faculty. Maintaining this level requires the addition of approximately three full-time faculty per additional 100 FTE students. This funding would allow UVU to hire 25-30 new full-time faculty to teach in high demand general education, CTE, and upper division courses in disciplines such as finance, accounting, business management, digital marketing, computer science, information systems and technology, digital media, English, biology, ethics and values, family science, behavioral sciences, art and design, communications, data analytics, and national security studies. Funding for summer instruction by full-time faculty will also be expanded to meet growing student demand (19 percent increase).

Academic staff play key roles in advising students, supporting high impact learning practices such as internships, assisting students in laboratory courses, and accessing instructional materials. Funding would allow UVU to hire 8-10 full-time instructional support staff including teaching laboratory managers for science and pre-health lab courses.

Assessment – Performance will be assessed based on the percent of instruction delivered by full-time faculty ($\geq 55\%$), reduction in waitlists for critical path courses, expansion of summer enrollments, and improved student retention and completion rates.

Budgetary Plan – Funding will support the addition of 25-30 full-time faculty to teach in high demand general education, CTE, and upper division courses; expansion of summer instruction by full-time faculty; 8-10 new instructional support staff including teaching laboratory managers for science and pre-health lab courses; hourly staff; and general faculty and staff operating expenses.

Salaries, Wages & Benefits	\$3,750,100
Operating Expenses	<u>\$ 151,700</u>
Total	\$3,901,800

SALT LAKE COMMUNITY COLLEGE (SLCC)	TOTAL: \$1,190,000
---	---------------------------

Operations Sustainability	\$1,190,000
----------------------------------	--------------------

Classroom Technology Upgrades	\$300,000
--------------------------------------	------------------

Description – The classroom audio-visual upgrade project will enable high impact teaching and learning that depends upon flexible classroom configurations combined with the most current teaching/learning technologies. National research indicates that student engagement is enhanced by modern, technically advanced, flexible learning spaces, and student engagement is positively correlated with student success and completion.

Justification – SLCC currently allocates \$95,000 in base funding for maintaining all of the college's instructional technologies in over 450 classrooms on 9 campuses. The current expense budget is not sufficient to (1) buy all of the necessary replacement parts (adapters, cables, bulbs) and equipment (projectors, screens, video players, document cameras, control systems etc.) just to keep the existing classroom equipment functional on a daily basis, and (2) support a staff of 10 who need resources (tools, computers, ongoing training, etc.) to manage

over \$3.5 million in classroom equipment and (3) refresh/upgrade all of this equipment on a 5-6 year replacement cycle. Typical upgrade costs average \$4,000-\$5,000 per room, and approximately 60-80 rooms per year will need to be upgraded on a continuing basis.

Outcomes – An additional \$300,000 per year in current expense funding would cover a substantial amount of the ongoing maintenance, replacement and upgrading of A/V equipment in all SLCC learning spaces, including standard classrooms, “Flex” classrooms, lecture halls and conference rooms. These upgrades will ultimately impact instruction and learning for our students which then impacts student retention and graduation.

Assessment – The College will be able to report on the number of class and conference rooms upgraded on an annual basis.

Budgetary Plan – The funding will support the costs of upgrading classrooms on a rotating basis.

Operating Expenses	\$300,000
--------------------	-----------

IT Specialist for WestPointe Center	\$60,000
-------------------------------------	----------

Description – A desktop support technician is needed to help manage IT needs of the newly opened WestPointe campus. This position will also cover three additional buildings in northern Salt Lake County. The funding will allow for us to upgrade the current part-time position to full-time.

Justification – The new WestPointe building recently came online and requires IT support along with three other leased buildings nearby.

Outcomes – Services for the client base will be handled in a more timely fashion due to the added hours a full-time tech would provide. This staff position is needed to maintain basic operations of a new campus.

Assessment – The IT department will continue to log help requests. Work tickets in our Service Now system can be used as an indicator of work performance and client satisfaction.

Budgetary Plan – The funding will support one full-time IT position.

Salaries, Wages & Benefits	\$60,000
----------------------------	----------

Perkins Funded Positions Transition	\$220,000
-------------------------------------	-----------

Description – SLCC is requesting operational funds for positions that provide tutoring, career advising, and support for students with various accommodations in the Career and Technical Education (CTE) fields. These employees are partially funded using Carl Perkins federal grant funds and there is growing pressure to move these individuals fully to other revenues.

Justification – The purpose of Carl Perkins grant funds is to strengthen and build career and technical education (CTE) programs and courses. The purpose of these funds is to allow for

some compensation funding to help with the design, implementation, and support of these programs. The funds used for salaries, wages, and benefits should not exceed a 3-year time frame, but also should not supplant the state's obligation to that area. Over the past year, SLCC has identified that there are positions that should transition off Carl Perkins funding.

Outcomes – The expected outcome is that SLCC will be able to maintain the staffing in these support positions without violating federal regulations. These positions are essential to the success of students.

Assessment – SLCC will be in compliance with Perkins guidelines.

Budgetary Plan – The funding will cover partial salaries of eight current full-time individuals.

Salaries, Wages & Benefits	\$220,000
----------------------------	-----------

Assistant Controller over Tax Compliance	\$125,000
--	-----------

Description – Due to ongoing changes in the Federal and State Tax Code, SLCC intends to hire an assistant controller over tax compliance that would serve as expert for the College and provide professional leadership on all Federal and State tax related issues in regards to payroll, unrelated business income tax (UBIT), sales tax, as well as 1098-T, 1042-S, and 1099 submissions to ensure adherence to Federal and State law applicable to all SLCC campuses.

Justification – Due to changes in the law, limited workload capacity, and being consistent with other USHE institutions, SLCC needs to have an individual dedicated for this purpose. This position is needed to help the institution be in compliance with tax regulations.

Outcomes – Having a dedicated tax accountant will ensure ongoing compliance with tax laws and will allow allocation of time for research related to Federal and State tax code.

Assessment – This initiative would be assessed through ongoing compliance and risk mitigation.

Budgetary Plan – The funding will support one FTE tax accountant positions.

Salaries, Wages & Benefits	\$125,000
----------------------------	-----------

Inventory Software System	\$200,000
---------------------------	-----------

Description – Due to the obligation to provide additional and standardized monitoring of noncapital assets/inventory, the College needs to purchase an inventory tracking system. The College's current Banner Fixed Asset module is not suited for automated tagging, scanning and tracking of inventory, and inventory tracking is onerous to accomplish without some type of automation. This software will enable the College to track movement of inventory/devices as well as the locations and will provide enhanced protection of College assets.

Justification – The recent Legislative audit of noncapital assets highlighted the need for the College to have a standardized and robust software system to protect College resources. Current resources have been dedicated to other initiatives and ongoing operating expenses.

Outcomes – The inventory software will provide increased protection and transparency as to noncapital assets and will reduce loss. The College estimated \$4 million in noncapital asset purchases during fiscal year 2017 and would expect to realize efficiencies in budget due to increased clarity as to inventory and use.

Assessment – The College would expect better stewardship of non-capital assets and possible budgetary efficiencies over time due to added protection of assets.

Budgetary Plan – The funding will support the purchase and maintenance of inventory contract.

Operating Expenses	\$200,000
--------------------	-----------

Campus Safety - UHP Contract	\$100,000
------------------------------	-----------

Description – The College contracts with Utah Highway Patrol to cover Campus Safety. As costs have increased in state employee compensation, UHP did not pass those costs to the College. In 2016, the contract was adjusted to include these cost increases. We were able to base-fund part of the contract increases in 2018 and this is the remaining portion of the contract needs.

Justification – This funding request covers the remaining portion of the UHP contract to cover increased compensation escalations. 18 UHP employees are supported with the current contract.

Outcomes – The funding is needed to provide campus security over 10 campus sites and allow for better coverage of the sites.

Assessment – Assessment can be measured by public safety officer per student, but ultimately we need to provide security to our many campus sites.

Budgetary Plan – The funding will support contracted Utah Highway Patrol officers who provide campus security.

Operating Expenses	\$100,000
--------------------	-----------

College Advancement Database	\$95,000
------------------------------	----------

Description – This is the annual subscription fee for the primary database used by the development office. Blackbaud is the world's leading cloud software company, one of the few comprehensive solutions built for higher education. They connect and empower organizations to increase impact through software, services, expertise and data intelligence.

Justification – The College is seeking more private donations to help fund scholarships and College needs. We are currently in the silent phase of a \$40 Million comprehensive campaign. This software provides a relational database as well as the marketing modules to manage communications and online engagement with the donors and alumni. This subscription will allow us to operate more efficiently, reach and engage new supporters and retain and expand existing supporters. Managing the donor and financial records is essential to this organization. It is essential to have contact information readily available for the fund-raising team including the administration of the College.

Outcomes – It is anticipated that the benchmark for the fund-raising year will exceed \$15 million in this next fiscal year. We will also clean up nearly 300,000 records so that we can maintain regular communication with our donors and graduates. We will improve historical information on past giving and provide a clear path for future development teams to come.

Assessment – This software features a number of key metrics and reports. We will be monitoring progress of the team on a daily basis. Reports will not only include dollars raised but also the activity level of our development staff.

Budgetary Plan – The funding will support the annual subscription of the software database.

Operating Expenses	\$95,000
--------------------	----------

Campus Recycling and Sustainability Efforts	\$90,000
--	-----------------

Description – The institution supports campus recycling and sustainability efforts funded with student fee and other institutional revenues. The program funds student employees and helps contribute to their student success.

Justification – In efforts to keep student fees low, the institution cut the recycling fee in half and is funding the program with other institutional funds on a one-time basis. The program benefits the campus community in that it supports student employees, and faculty and staff feel engaged to be mindful of institutional resources. It also benefits the environment.

Outcomes – The recycling program benefits student employees as well as creates a desire by the campus community to be mindful of institutional resources.

Assessment – We can demonstrate the number of student employees served with these monies. The largest benefit is the benefit to campus morale which is difficult to quantify.

Budgetary Plan – The funding will support student employment and related operating expenses.

Salaries, Wages & Benefits	\$82,000
Operating Expenses	<u>\$ 8,000</u>
Total	\$90,000