

AGENDA

MEETING OF THE
UTAH STATE BOARD OF REGENTS

October 27, 2005

**Utah State Board of Regents
Office of the Commissioner
of Higher Education
Board of Regents Building, The Gateway
60 South 400 West
Salt Lake City, Utah 84101-1284**

STATE BOARD OF REGENTS
UTAH VALLEY STATE COLLEGE, OREM, UTAH
STUDENT CENTER
October 27, 2005

Agenda

8:00 a.m. - BREAKFAST MEETING – STATE BOARD OF REGENTS, UVSC BOARD OF TRUSTEES
9:30 a.m. - PRESIDENT SEDERBURG, COMMISSIONER KENDELL
Room 213-C (Trustees Room)

9:30 a.m. - MEETINGS OF BOARD COMMITTEES
10:45 a.m.

Programs Committee
Room 213-B

ACTION:

1. Utah State University – Ph.D. in Geology Tab A

CONSENT:

2. Consent Calendar, Programs Committee Tab B
A. Dixie State College
i. Discontinuance of Auto Body AAS and Certificate
ii. Office Administration AS, AAS and Certificate
iii. Discontinuance of Drafting AS, AAS and Certificate
B. Southern Utah University – Emphasis in Architectural and Civil Design Technology

INFORMATION/DISCUSSION:

3. Information Calendar, Programs Committee Tab C
College of Eastern Utah – Name Change from Life Science Department to
Department of Biology
4. Program Review Tab D

Finance, Facilities and Accountability Committee
Room 206-A

ACTION:

1. Utah Valley State College – Campus Master Plan Tab E
2. Dixie State College – Follow-up on Building Purchase Tab F

CONSENT:

3. Consent Calendar, Finance Committee Tab G
A. UofU and USU – Capital Facilities Delegation Reports
B. Commissioner Vehicle Allowance

INFORMATION/DISCUSSION:

- | | | |
|----|--|-------|
| 4. | USHE – Fall 2005 Enrollment Report | Tab H |
| 5. | USHE – Report on Recent Bond Activities (UHEAA, WSU) | Tab I |
| 6. | USHE – Five-year Capital Plan | Tab J |

11:00 a.m. - COMMITTEE OF THE WHOLE
12:00 noon Center Stage

- | | | |
|----|--|-------|
| 1. | 2006-2007 USHE Budget Request (including Utah Education Network) | Tab K |
| 2. | State Building Board's Final Recommendations on Capital Projects | Tab L |

12:00 noon - WORKING LUNCHEON
1:00 p.m. Center Stage

Luncheon Speaker: Dr. Gary Cornia

Luncheon Meeting – Chief Academic Officers
Room 214

1:15 p.m. - REGULAR BUSINESS MEETING OF THE STATE BOARD OF REGENTS
2:30 p.m. Center Stage

- | | | |
|----|--------------------------------------|-------|
| 1. | Reports of Board Committees | |
| 2. | General Consent Calendar | Tab M |
| 3. | Strategic Directions Document Update | Tab N |
| 4. | Report of the Commissioner | |
| 5. | Report of the Chair | |

2:30 p.m. - MEETING OF THE STATE BOARD OF REGENTS EXECUTIVE COMMITTEE
3:30 p.m. Room 213-C (Trustees Room)

Projected times for the various meetings are estimates only. The Board Chair retains the right to take action at any time. In compliance with the Americans with Disabilities Act, individuals needing special accommodations (including auxiliary communicative aids and services) during this meeting should notify ADA Coordinator, 60 South 400 West, Salt Lake City, UT 84101-1284 (801-321-7124) at least three working days prior to the meeting. TDD # 801-321-7130.

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Utah State University - Ph.D. in Geology - Action Item

Issue

Utah State University requests approval to offer a Doctor of Philosophy in Geology effective Fall Semester 2006. This program has been approved by the institutional Board of Trustees on 11 February 2005.

Background

Currently only the University of Utah offers a Ph.D. in Geology. Its specific strengths lie primarily in geophysics, structure, economic geology, sedimentary geology, and engineering geology, with additional faculty in a range of programmatic areas. Its primary emphasis is on research-based Ph.D.s in these specialty areas.

Utah State University's proposed Ph.D. in Geology aims to meet current and projected demand from universities, colleges, and community colleges for teaching and research faculty, and to meet current and projected demand for increased energy exploration and production. Institutions of higher education that added large numbers of faculty in the late 60s and 70s are now seeing waves of retirement that will continue to increase over the next two decades. Population growth is also increasing the demand for higher education faculty. Many, if not most, of these faculty will have primary demands in teaching, and doctoral graduates with teaching experience and formal training in pedagogy and curriculum development will have a significant advantage in the job market. There is also an increasing demand for Ph.D. geoscientists in the energy sector, which has been highlighted by recent energy shortages and projected increases in energy use over the next decade and beyond. Because industry employment requires business knowledge at all levels, and presents opportunities for advancement to management, doctoral graduates with training in business will have an advantage in that setting.

The program proposed here represents an expansion of the existing Master's program, which has been successful in producing graduates who are in demand by employers in government, industry, and education, many of whom continue their education at the doctoral level elsewhere. Since the

Ph.D. proposed program builds on the existing Master's program, the curricular and research infrastructure needed to sustain and support the Ph.D. is in place. No new administrative or organizational structures are required to deliver this program. The Department intends to accept Ph.D. students only in those areas where it has both breadth and depth in faculty expertise (sedimentary systems, regional tectonics, structure, Quaternary studies, petrology, and geochemistry).

Policy Issues

No USHE institution raised concerns. However, the market data are not current and should be updated. In addition, the Geology Department will spend some of its resources used in the Master's program to cover the Ph.D. program. While USU wants to expand into more doctoral programs, its Department officials ought to state how the Master's program will not be sacrificed for the Ph.D. given the need for more outside funding.

Commissioner's Recommendation

The Commissioner recommends the Regents review the Utah State University proposal for a Ph.D. Degree program in Geology and discuss the policy issues with USU officials. If the Regents are satisfied with the information they receive through the discussion, then they should approve the request from Utah State University to offer a Ph.D. in Geology, Fall Semester, 2006.

Richard E. Kendell, Commissioner

REK/PCS
Attachment

Academic, Applied Technology and Student Success Committee

Action Item

Request to Offer a Ph.D. Degree in Geology, Fall Semester, 2006

Prepared for
Richard E. Kendell
By
Phyllis C. Safman

October 19, 2005

SECTION I The Request

Utah State University requests approval to offer a Doctor of Philosophy in Geology effective Fall Semester 2006. This program has been approved by the institutional Board of Trustees on *11 February 2005*.

SECTION II Program Description

Complete Program Description

The Doctor of Philosophy in Geology requires original research in a specific area of Geology, demonstration of broad knowledge in the field of Geology, and demonstration of depth of knowledge in at least two areas of Geology. The successful candidate must demonstrate a breadth of understanding in Geology, as well as a depth of understanding in his or her chosen area(s) of emphasis. Potential students must show an ability to do creative research. This research should be carried out over a significant period of time (i.e., at least one year or three semesters in residence). Thus, each successful Ph.D. candidate will produce a significant piece of original research, presented in a written dissertation and defended in an oral examination. This work should be of such scope and quality that more than one journal or conference article can be derived from it.

There are two program tracks for this degree: academic and professional. The academic track is designed to prepare graduates for a career in academia or other teaching-related settings; it includes both coursework in education and classroom teaching experience under the supervision of a faculty teaching mentor. The professional track is designed to prepare graduates for work in professional careers with the petroleum industry, other extractive industries, or environmental and hydrologic consulting. It includes coursework in statistics, information systems, remote sensing, and GIS; completion of a professional internship is encouraged.

Students completing a Ph.D. in Geology must fulfill the following requirements:

1. Complete at least 90 credits of graduate coursework (including at least 21 credits of Geol 7970 dissertation/research) beyond a B.S. or at least 60 credits (including at least 15 credits of GEOL 7970 dissertation/research) beyond an M.S., with a minimum class grade of B and a minimum cumulative GPA of 3.3.
2. If an M.S. is completed first, then no more than 12 credits of the 60 credits required for the Ph.D. may be taken in coursework numbered below the 6000 level. If an M.S. is not completed first, then no more than 21 credits of the 90 credits required for the Ph.D. may be taken in coursework numbered below the 6000 level.
3. Complete at least 30 credits of advanced coursework (6000 level and above) beyond the BS or 21 credits of advanced coursework beyond the M.S., including at least 15 credits of 7000-level geology coursework, and excluding GEOL 6900, 7970, and 7990.
4. Complete 3 credits of Ph.D. Seminar (GEOL 7800).

- 5a. Academic Track: Complete 9-12 credits of department-approved education or instructional technology courses, and successfully teach one Geology course under the supervision of a faculty mentor. EIEd/SecEd 6190 and Geol 6900 (teaching internship) required.
- 5b. Professional Track: Complete 9-12 credits of department-approved courses in statistics, remote sensing, and/or geographic information systems. Completion of professional internship program is encouraged. Approved courses include AWER 4930, 6760, AWER/BIE/BMET 6250, FRWS 6740, 6750, ENVS 6550.
6. Pass a written comprehensive examination showing depth and breadth of knowledge in Geology and the student's area(s) of emphasis. The student may be required to take additional classes to satisfy any deficiencies.
7. Successfully complete a written dissertation research proposal, present that proposal orally to the Department, and defend it during an oral examination. The oral examination will include questions of a deep and probing nature, and may range beyond the dissertation proposal into areas unrelated to the student's specialization.
8. Complete at least 15 credits of dissertation research credits (GEOL 7970) if admitted with a prior master's degree, or 21 credits of dissertation research credits (GEOL 7970) without an earned master's degree.
9. Successfully complete and defend a dissertation. The dissertation will be a written document and may consist of several papers submitted or accepted for publication. The defense will be oral, including a presentation of the work and successful defense of the work to the faculty.

Purpose of Degree

The Ph.D. in Geology is being offered to meet current and projected demand from universities, colleges, and community colleges for teaching and research faculty, and to meet current and projected demand for increased energy exploration and production.

Institutions of higher education that added large numbers of faculty in the late 60s and 70s are now seeing waves of retirement that will continue to increase over the next two decades. Population growth is also increasing the demand for higher education faculty. Many, if not most, of these faculty will have primary demands in teaching, and doctoral graduates with teaching experience and formal training in pedagogy and curriculum development will have a significant advantage in the job market.

"Overly specialized research training leaves future faculty ill-equipped to perform other faculty roles, especially teaching. Improving teaching is a pressing need in light of attention to improving the quality of undergraduate education."

(Golde and Dore, 2001, At Cross Purposes: What the experiences of today's doctoral students reveal about doctoral education, University of Wisconsin Center for Education Research).

There is also an increasing demand for Ph.D. geoscientists in the energy sector, which has been highlighted by recent energy shortages and projected increases in energy use over the next decade and beyond. Because industry employment requires business knowledge at all levels, and

presents opportunities for advancement to management, doctoral graduates with training in business will have an advantage in that setting.

"Business, industry, government, and the non-profit sectors need intelligent, skilled employees. Yet Ph.D. holders often struggle to make the transition out of the academy and into the workforce." (Golde and Dore, 2001).

USU expects to produce doctoral graduates who will be competitive in both business and education, as well as at governmental agencies. These students will also broaden the scope and depth of our graduate education program and of our research programs.

Institutional Readiness

The Department of Geology at Utah State University has had an advanced degree program in Geology at the Master's level for over 75 years, making it one of the older graduate degree programs on campus. The Department has had a graduate program director for several years to coordinate graduate studies and work with the graduate dean and departmental graduate students.

The program proposed here represents an expansion of the existing Master's program, which has been successful in producing graduates that are in great demand by employers in government, industry, and education, many of whom continue their education at the doctoral level elsewhere. Since the Ph.D. proposed program builds on the existing Master's program, the curricular and research infrastructure needed to sustain and support the Ph.D. is in place. No new administrative or organizational structures are required to deliver this program.

Faculty

The Department of Geology at Utah State University comprises 11 headcount faculty (10 FTE, including one FTE in the Deans office), of whom all but one (0.5 FTE) are tenured or hold tenure-track appointments. The Department also houses two adjunct research faculty, plus 5 associate faculty from other earth science units on campus (see Appendix C). The program is not comprehensive in all areas of Geology, but there is great strength in several important areas that are central to nationally-recognized research goals and which are in great demand by employers of geoscience graduates (please see Appendix C for a listing of current faculty, along with their areas of specialization).

The Department intends to accept Ph.D. students only in those areas where it has both breadth and depth in faculty expertise (sedimentary systems, regional tectonics, structure, Quaternary studies, petrology, and geochemistry). In several of these areas the faculty are complemented by faculty in other units who are available to serve on graduate committees and assist with student advisement; these faculty are listed in Appendix C3, along with their areas of specialization. Taken together, earth science faculty at Utah State comprise a broad cross-section of expertise that is comparable to geoscience faculty in most medium-large programs throughout the country.

Current faculty are sufficient to begin a Ph.D. program, albeit at modest enrollment levels. The long-term goal is to build the baseline faculty to 11-12 FTE positions in Geology. This will provide the breadth needed to address curriculum needs at both the undergraduate and graduate levels, as well as some of the depth needed for the graduate program. Department faculty expect that it will take some time to add additional positions; thus, enrollment will be linked to faculty size.

Staff

Technician and computer support person: Technician and computer support are critical to faculty productivity. Currently, inordinate amounts of time are spent dealing with laboratory and computer issues that would be better handled at a technical level, leaving faculty free to teach and do research.

At present, equipment maintenance, instruction on use of equipment, and equipment/instrument supervision are carried out by several faculty members. This equipment now includes several Sun work stations, a relatively new X-ray fluorescence spectrometer (\$180,000 original purchase cost), a new X-ray diffraction spectrometer (\$90,000 purchase cost), a GIS computer lab dedicated to departmental research, two large format color plotters (cost ≈\$7000 each), two total electronic surveying stations (\$4500 each), thin section and sample preparation laboratories (including high temperature furnaces and a \$20,000 device for making fused borosilicate glass disks for XRF analysis), and the departmental computer network and server.

Demands by remaining faculty, graduate students in Geology, and others in the university who use department facilities are sufficient to have a serious impact on faculty time. This technician would not only carry out the duties described above, but would also be responsible for routine department matters such as equipment inventory, key inventory, maintaining collections, purchasing supplies, and general maintenance.

Staff Assistant: A 50 percent time staff assistant is needed to assist the office manager/administrative assistant with office and clerical work. The administrative assistant currently deals with E&G, grant, and development accounts, travel, employment forms for faculty, staff, and students, payroll, inventory, and other departmental business, as well as acting as receptionist and mail clerk, leaving little support for faculty and other general business. As the Department research budget continues to increase dramatically, the demands for account reconciliation, payroll, and travel will continue to increase as well.

"The single administrative support person must fulfill the complete range of needs, from receptionist to budget manager. The result is that undue budget management responsibilities fall on the Department Head. The size and complexity of the department is probably now too great for a single staff person." (2001 external review).

Library and Information Resources

The faculty in Geology have identified 39 journals that are essential to research in Geology at the Ph.D. level, 29 journals that are very useful and should be available, and 11 journals that are useful but do not need to be available on campus. These journals are listed in three tables attached to this proposal. While not all the journals are currently housed in the Merrill Library, those that are not can be accessed through the University of Utah and the interlibrary loan system.

There are a few journals that should be added to the collection at Merrill Library, e.g., *Journal of Asian Earth Sciences*, *International Geology Review*, *Tectonophysics*, and *Precambrian Research*. None the less, it seems clear that for the most part the reference library needs of the Ph.D. Degree in Geology can be met with current resources, especially when resources at the University of Utah are included. Since all university libraries in the state of Utah belong to a consortium that coordinates journal cuts and tries to ensure that all important journals are easily

available, it does not seem possible that all of the journals needed for any advanced degree program will be available on every campus.

In addition to library resources in the Merrill Science Library, the Department of Geology also has two internal libraries housed within the department. The Geology reference library contains several important journals (*GSA Bulletin*, *AAPG Bulletin*, *Journal of Geophysical Research*, *Geochimica et Cosmochimica Acta*, *Journal of Sedimentary Petrology*), as well as important publications from the US Geological Survey. These include complete sets of the *Bulletin of the US Geological Survey* (1886 to present), *USGS Professional Papers* (1900 to present), and *USGS Water Supply Papers* (1901 to present). Our internal library also contains a complete set of *Initial Results of the Deep Sea Drilling Project* and the *Decade of North American Geology* volumes, from the Geologic Society America.

USU is an official Federal Map Repository for the US Geological Survey, and many of these maps are housed in the Claypool Map Library (Geol 204). It contains all of the maps published by the US Geological Survey, including special map products, along with a large selection of Utah state maps, air photos, and satellite images. These maps are especially important for research in Geology and constitute a unique resource for students.

Information and Learning Resources

The computer lab facilities will be expanded to support the proposed Ph.D. program; program needs are expected to be covered with existing facilities or with funds from research grants. Recently, the Department received \$40,000 in funding from the Browning Foundation for a new X-ray diffraction spectrometer. Equipment proposals will be submitted to NSF this year requesting support for a new ICP-MS/LA (inductively-coupled argon plasma optical emission spectrometer with mass spectrometer and laser ablation, for complete trace element analyses of water, soils, rocks, and other materials, with sub-ppb level detection). This proposal will also request funds for technical support personnel.

Current resources for research and learning within the Department of Geology include, and are not limited to:

1. New, fully automated Panalytical X-ray diffraction spectrometer with computer automated control and data processing, including automated peak matching and identification, mineral identification and characterization, installed September 2003;
2. Fully automated Philips 2400 X-ray fluorescence spectrometer with Windows NT workstation for data processing, purchased in 1999 for \$180,000 (NSF equipment grant), for chemical analysis of rocks and soils;
3. Landmark 3D Seismic Modeling Workstation (Sun workstation with Landmark processing software, valued at \$650,000, donated by Chevron Petroleum and Landmark Systems);
4. Sun workstation (\$11,000 purchased with donation) with structural modeling software valued at \$55,000 (2D Move and 3D Move, donated by Midland Valley Software);
5. GIS Computer Laboratory, comprising five PC workstations with Arc Info and other GIS software, a digitizing table, and scanners, and an HP750 large format plotter;
6. Extensive collections of fossils, primarily marine invertebrates and terrestrial vertebrates.

In addition to the equipment listed above in Geology, the students have access to other facilities on campus, including the soils lab, the Water Research lab, and the Scanning Electron Microscope Facility.

Admission Requirements

Students admitted to this program must have a completed Bachelor's Degree in Geology or a related field; completion of a Master's Degree in Geology is required except where students can demonstrate exceptional merit and experience. All candidates must pass a comprehensive written examination and an oral examination, after which their suitability for advancement to candidacy will be reviewed. In all cases, final admission must be approved by the Department Head and the departmental graduate program director.

Student Advisement

There will be a three-tier advising process for students in this program. Each Ph.D. student will have a graduate supervisory committee with at least five members, consisting of the major professor, at least two additional faculty from the Department, and at least one member from another department at Utah State University. This committee will help the candidate define a research program of suitable scope for a doctoral research project and ensure that the research carried out is both original and conforms to the standards associated with doctoral research programs.

In addition, all graduate students are subject to supervision and program review by the graduate program director and Department head. The graduate program director ensures that program goals are met in a timely fashion, and that performance of teaching assignments meets Department standards. Each student will meet with their graduate supervisory committee and the Graduate program Director at least once each year to insure that progress is being made and to insure that a plan exists for future research and learning.

Finally, each Ph.D. candidate in the teaching track will be assigned a faculty mentor to oversee his/her teaching and pedagogy. This mentor will normally be different from their dissertation advisor, and will provide the candidate with insights into teaching and working with students that extend beyond that normally associated with graduate studies (e.g., teaching introductory lab sessions).

"Graduate students, in preparing to teach, also might be asked to work with mentors – veteran faculty who have distinguished themselves by the quality of their instruction. In higher education, a close and continuing relationship between a graduate teaching assistant and a gifted teacher can be an enriching experience for both. The observations, consultations, and discussions about the nature of teaching surely would help foster critical inquiry into good practice."

(Boyer, 1990, Scholarship Reconsidered, Carnegie Foundation for the Advancement of Teaching, Princeton).

Justification for Number of Credits

The number of credit hours required is standard for Ph.D. programs at USU (90 semester hours without master's degree, 60 semester hours with master's degree). This is equivalent to about 12 credits per semester for four years without a master's or two and half years with a master's degree.

The number of credits required ensures that students will have both a formal learning experience in structured classes, as well as an in-depth research experience.

The requirement that Ph.D. students take 21 or 30 credits of advanced Geology courses (including at least 15 credits at the 7000-level) excluding dissertation research credits (7970 and 7990) and internship credits (GEOL 6900) ensures that doctoral students will have a clearly defined structured learning experience that explores topics in Geology at an advanced level. The required minimums of 15 or 21 credit hours of research credit (GEOL 7970) ensures that they will undertake a research project of sufficient depth and breadth to qualify as a Ph.D. and that this project will constitute a significant contribution to the science. Finally, the requirement that 9-12 credit hours be taken outside of the major, in fields that contribute to their professional development goals in academia or industry, ensures that doctoral students will be well-rounded and possess expertise outside of their narrow research topic.

External Review and Accreditation

The program proposed here was developed internally, based on faculty experience and on an examination of similar programs at other research-level institutions. It was also reviewed and approved by an external review team that visited the Department in March 2001.

Projected Enrollment

There are no accreditation requirements for student/faculty ratios. The student FTE enrollment is projected to be around 12 students when the program is fully implemented (Year 5). The mean enrollments and student FTE to faculty FTE ratios for each of the first five years of the program is as follows:

Program Year:	Year 1	Year 2	Year 3	Year 4	Year 5
Faculty FTE	9	9	10	10	11
PhD enrollment	2	4	8	12	12
PhD Student/Faculty FTE:	0.22	0.45	0.8	1.2	1.1
Total Grad Student/Faculty FTE	3.0	3.5	3.2	3.4	3.1

These estimates are based on conservative projections for enrollment growth, as presented in the Department of Geology Compact Plan 2002. Enrollment will be limited by the number of available faculty.

Expansion of Existing Program

The Ph.D. proposed program is an expansion of an existing graduate program in Geology. Enrollments in the M.S. program have been steady at around 20-24 students for the last ten years, while enrollments at the undergraduate level have increased significantly. Student credit hour production has also nearly doubled over the last ten years.

Based on increases in external funding, enrollment in the graduate program is expected to grow from 24 to 30 in the next few years. At least 8 of these are likely to be in the Ph.D. program once it is fully implemented. These numbers are expected to grow with an increase in tenure track faculty within the Department.

SECTION III Need

Program Need

There is currently only one Geology Ph.D.-granting institution in the state of Utah, the University of Utah. Its specific strengths lie primarily in geophysics, structure, economic geology, sedimentary geology, and engineering geology, with additional faculty in a range of programmatic areas. Its primary emphasis is on research-based Ph.D.s in these specialty areas.

USU officials see the need for a second Ph.D. granting program to respond to the needs of higher education institutions which are expanding their faculty with doctoral graduates, but require a balance between teaching and research skills. The proposed Ph.D. program would fill this need by producing research-based Ph.D. graduates with formal training in education and real classroom experience as part of their overall graduate experience. The need for education-oriented Ph.D.s in science has been highlighted by a number of publications in science education.

"...serving as a teaching assistant may not fully prepare a student for running his or her own class. Ideally, students who aspire to become faculty should take progressively responsible roles in teaching (much as many do in research). We found that such opportunities are widely available in the humanities and social sciences, but are much less common in the sciences." (Golde and Dore, 2001).

"Arguably, teaching skills will be important for all Ph.D. recipients, regardless of what career they pursue. Synthesizing and explaining complex material is an asset in many settings. In particular, molecular biologists and geologists seem disadvantaged in developing their teaching skills." (Golde and Dore, 2001).

There is also a need for Ph.D. graduates with a professional orientation who plan to seek careers in the extractive industries, such as petroleum exploration. Candidates in this track will combine a traditional research-based Ph.D. with additional course work in business management to prepare for this career path. This track also would be the most desirable for international students seeking professional advancement in the extractive industries of their home country.

"Today's doctoral students will find work both inside and outside of the academy. The survey results indicate that programs are better at helping students find academic positions than at helping students to explore and secure jobs in government, industry, and the non-profit sectors." (Golde and Dore, 2001).

Labor Market Demand

The Department typically receives 15-20 letters each year advertising jobs at other colleges and universities for entry-level faculty positions in the geosciences. This represents only a fraction of the jobs available. Many programs that expanded in the late 60s and 70s are now seeing waves of retirement that will continue to increase over the next two decades. In addition, children of the Baby Boom generation are now reaching college age (the Baby Boom "echo effect") and are contributing to a burgeoning population of college-bound students. Both factors contribute to the growing need for faculty at colleges and universities of all sizes. Many, if not most, of these faculty will have

primary demands in teaching; doctoral graduates with teaching experience and formal training in pedagogy and curriculum development will have a significant advantage in the job market. These trends have been highlighted in a recent report on the employment of Ph.D.s in Earth Sciences, issued jointly by the *American Geological Institute (AGI)* and the *American Geophysical Union (AGU)*:

"Over the last five years continual improvement has been recorded in the job market through indicators such as time to find employment and starting salaries.... This study documents employment patterns and demographic characteristics of recent PhDs. It summarizes the latest annual survey of recent Earth and space science PhDs conducted by the American Geological Institute (AGI), American Geophysical Union (AGU), and the Statistical Research Center of the American Institute of Physics (AIP). Highlights of the results include the following:

- *Job market indicators for 2000 show that the market for recent PhDs in the geosciences is stronger than each of the previous four years. Starting salaries are up in almost every employment sector, including postdoctoral appointments.*
- *Time spent looking for work is down for the third year in a row. In 1998, graduates spent an average of 5.5 months looking for a job. In 1999, the average was 4.7 months; by 2000, it was only 3.4 months.*
- *Of the PhD class of 2000, 82% found work within the Earth and space sciences and 97% were employed in science or engineering.*
- *Ten percent of new PhDs over the past three years had been employed for more than one year by the time they received their doctorates. Their age, work experience, and salaries differ substantially from those finding initial employment after graduation."*

(Jennifer Giesler, Megan Henly, Nicholas Claudy, October 2001, Earth & Space Science PhDs, Class of 2000, American Geological Institute and the American Geophysical Union).

Geotimes (the official magazine of the American Geological Institute) reports approximately 180 position advertisements in the six month period September 2001 to January 2002, mostly for academic positions. Additional positions have been advertised in *EOS* (American Geophysical Union) and *GSA Today* (Geological Society of America). These advertisements primarily reflect demand for academic or research positions; they do not include industry positions, which are recruited primarily through campus visits.

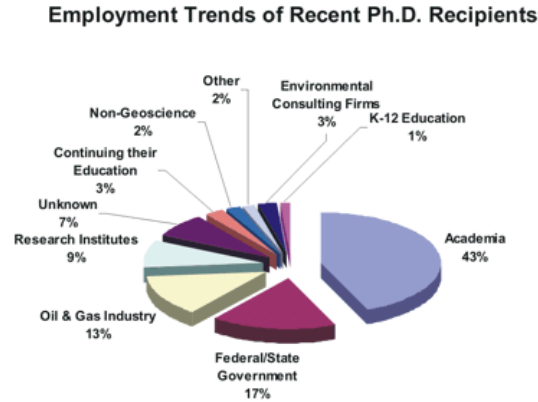


Figure I: Employment trends of recent PhD recipients in Earth Sciences, from Giesler and others, 2001.

Student Demand

The Department routinely receives at least 15 requests from students about a Ph.D. program each year, which students assume already exists based on publications by the faculty and the quality of the research program. Most of the faculty have national and international reputations that attract graduate students and post-doctoral fellows. The Department has had two post-doctoral associates over the last two years, including one Fulbright Scholar, and another Fulbright Scholar has applied to work with USU next year. The Department has successfully competed for graduate students with programs that are much larger (e.g., Stanford, University of Wyoming) and have consistently placed our Master's students in jobs with industry or other Ph.D. programs.

Similar Programs

The only Geology PhD granting institution in the State of Utah is the University of Utah (see above). The USU proposed Ph.D. program would differ from the program at the University of Utah by producing research-based Ph.D. graduates with formal training in education and real classroom experience as part of their overall graduate experience. The need for education-oriented Ph.D.s in science has been highlighted by a number of publications in science education.

"Overly specialized research training leaves future faculty ill-equipped to perform other faculty roles, especially teaching. Improving teaching is a pressing need in light of attention to improving the quality of undergraduate education." (Golde and Dore, 2001).

"Upgrading the preparation of college teachers in graduate schools is therefore fundamentally important not only to improving teaching but to refashioning higher education." (Boyer, 1990).

The need for Ph.D. graduates with a professional orientation was discussed above.

Collaboration with and Impact on Other USHE Institutions

Faculty in USU's Department currently work closely with their counterparts at the University of Utah and use research facilities there as well. No formal collaborative efforts have been discussed at this time, but USU officials expect that faculty from the University of Utah would be available to serve on dissertation committees at USU as members of the faculty sometimes serve on

dissertation committees at the U of U. Because USU's Ph.D. program would be much smaller than the program at the University of Utah, and because the areas of emphasis only partially overlap, there would be no substantive impact on the program at the University of Utah.

In addition, USU is a member of INRA (Inland Northwest Research Alliance), a research and education collaborative among universities in Utah, Idaho, and Washington and National Laboratories located in the NW United States (Batelle NW in Richland, Washington; Idaho National Engineering and Environmental Laboratory, INEEL, in southern Idaho). INRA has proposed a new interdisciplinary, multi-institutional doctoral program in sub-surface science which directly addresses research into the upper portion of the earth's crust. This initiative, which is supported by DOE, will provide funds to support doctoral and post-doctoral fellows in sub-surface science, and access to new research facilities located at INEEL and in Idaho Falls. The initiative has requested \$4M for FY02 from DOE to be used for program development and \$1M per year for each of the subsequent 5 years to support program activities and doctoral stipends. If funded, the INRA universities are committed to enrolling students in the Fall 2002 semester. This program will result in significant benefits to participating universities and departments, and is strongly supported by higher administration at USU (VP Research, Graduate Dean). In order to participate, however, departments must have a Ph.D. program in place.

Benefits

USU currently produces about 70 Ph.D. degrees annually. This is very low for a Carnegie Research I university. Although the contribution of the program will be small initially, it will help bolster USU's position as a Research I institution. It will also raise the stature of USU by producing graduates who will go on to work as college faculty and professionals throughout the state of Utah and the nation.

Financially, USU will benefit from increased access funding. Based on the 1999-2000 access formula, graduate students enrolled in the Ph.D. program will generate 60 percent more access funds than students in a Master's program, and 280 percent more access funds than a senior undergraduate. This is consistent with the institution's goal of increasing graduate enrollment, particularly at the Ph.D. level, to offset the decreases in undergraduate enrollment that will result from more selective admissions policies in the future.

In addition, Earth Sciences produce a large proportion of female Ph.D.s who have employment records equal to those of men. Thus, it is likely that a Ph.D. program in Geology would be well represented with female graduate students, increasing USU's production of female Ph.D.s in the physical sciences where they are traditionally under-represented.

"The Earth and space sciences produce more female PhDs than most physical sciences," noted Jennifer Giesler of AGU... "and their employment characteristics are virtually identical to that of men. With regard to gender issues, no news is good news." (Giesler, Henly, & Claudy, 2001)

Consistency with Institutional Mission

Utah State University is one of two Carnegie I research institutions in the State of Utah. One of USU's primary goals is the production of research-based graduate degrees at the doctoral level. The Department of Geology at USU is the only department in the College of Science that does not grant the Ph.D. Degree. As other institutions in the state take on an expanded role in undergraduate

education, it will be necessary for USU, in general, and the Department of Geology, in particular, to place more emphasis on graduate education.

The Ph.D. program in Geology is also consistent with the university's goals, as promulgated through the compact planning process. These goals include:

- enhancing the University's national reputation for discovery, learning, and engagement.
- enhancing the recruitment, retention, graduation and placement of graduate students.
- building a diverse and inclusive campus community, fostering demographic and intellectual diversity.
- infusing new energy into graduate education on campus, *especially at the doctoral level*.
- fostering new partnerships, both internally, through interdisciplinary, interdepartmental/college, and interdivisional collaboration, and externally, through connections with government and the private economy, in keeping with the new role of the engaged land grant university.

SECTION IV Program and Student Assessment

Program Assessment

USU's intent is to produce doctoral graduates who are competitive in the arenas of education, industry, and government service. The success of the proposed program will be based on the ability of the graduates to obtain employment in their general fields of study, or in related areas.

Candidates must pass a written comprehensive examination showing depth and breadth of knowledge in Geology and the student's area(s) of emphasis. The student may be required to take additional classes to satisfy any deficiencies. The candidate must also successfully complete a written dissertation research proposal, present that proposal orally, and defend it during an oral examination. The oral examination will include questions of a deep and probing nature, and may range beyond the dissertation proposal into areas unrelated to the student's specialization.

In addition, each Ph.D. student will have a graduate supervisory committee with at least five members consisting of the major professor, at least two additional faculty from the Department, and at least one member from another department at Utah State University. This committee will assist the candidate to define a research program of suitable scope for a doctoral research project and ensure the research that is carried out is both original and conforms to the standards associated with doctoral research programs. Each student will meet with their graduate supervisory committee and the graduate program director at least once each year to insure that appropriate progress is being made and to insure that a plan exists for future research and learning.

Expected Standards of Performance

Doctoral graduates should be able to conceive and implement original research projects in their area of expertise, teach basic and advanced subject matter, and address a range of problems in a systematic, scientific fashion. The standards for research and scientific thought are addressed directly through the production of a written and defended dissertation. The standards for teaching are addressed through teaching assistantships and through the formal program of training in the academic track.

These standards are essentially constant with the sciences. Competencies will vary depending on the area of specialization, and will be defined by the dissertation committee at the beginning of each student's program.

Student Assessment

Doctoral students will be assessed using the standard tools for this process: (1) a comprehensive examination, which tests general knowledge of the field and specific knowledge in the area of specialization; (2) the oral examination, which focuses on specific knowledge in the area of specialization, but which can range across a broad range of topics to test the depth of each students knowledge; and (3) the dissertation and oral dissertation defense, which determine the quality and scope of the research carried out, its originality, and whether the conclusions are consistent with the data produced and with other studies in the same general topic.

In addition to these formal procedures, interviews will be conduct yearly with all doctoral students, and exit interviews with all graduating Ph.D.s, to obtain feedback on the strengths and weaknesses of the program, and the need for additional resources or courses. The interview data, along with student performance on the written comprehensive examination and oral examination will be used to fine tune the program and course offerings each year. In addition, every five years a committee of internal and external faculty will review the program's progress and to propose changes to improve both the course offerings and the structure of the program.

**SECTION V
Finance**

Budget

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>
Salary	-	-	-	-	-
Benefits	-	-	-	-	-
Current Expense	-	-	-	-	-
Library	-	-	-	-	-
Equipment	\$5000	\$5000	\$5000	\$5000	\$5000
Travel	<u>\$4000</u>	<u>\$4000</u>	<u>\$5000</u>	<u>\$5000</u>	<u>\$5000</u>
TOTAL	\$9,000	\$9,000	\$10,000	\$10,000	\$10,000

Salaries and Wages

New Ph.D. students will be supported through reallocation of existing teaching assistant slots, and moved to external funding support after their first or second year. This will limit the number of master's students that can be supported on departmental funds, but result in a more robust mix of graduate students.

Current Expense

Current operating expenses are sufficient at this time, in part because of funds added as part of the "Departmental Outstanding Teaching Award". The addition of a Tier 2 faculty position secured additional operating funds in 2004. Any additional funds needed to support this degree (e.g., travel and equipment, see below) will be addressed through development efforts by the Department.

Equipment

Equipment needs, while hard to project, are estimated to be approximately \$5000 per year on average. Equipment funds will be raised entirely through development efforts. Last year, \$40,000 was raised for equipment purchases through the Browning Foundation; the Department obtained an additional \$14,000 in equipment support this year from another foundation.

Travel

An additional \$4000 to \$5000 per year will need to be allocated for travel expenses associated with recruiting doctoral candidates and for partial support of these students to attend national and regional scientific meetings. These funds will be raised through development.

Funding Source

The budget presented above lists only that support which is expected from development efforts. At least two doctoral students (or their equivalent) will be supported entirely on research funds, and all research related expenses will be covered by new or existing research grants. Over the last two years, the Department has raised over \$80,000 for equipment, travel, seminars, and scholarships. To assist with these efforts, a Geology Advisory Board was instituted. The Advisory Board's first meeting was Spring 2003 and they have already had a significant impact on strategies and initiatives for fund raising and student support. The Department anticipates that development efforts will continue to be successful and more than sufficient to support this program.

In view of the current budget climate, increased emphasis is placed on development as a source of external funds to finance programs. Recently, the Department received \$40,000 from the Browning Foundation to replace an x-ray diffraction spectrometer, and the Department continues to receive generous support from the Jones Family Foundation for equipment purchases. Currently, the Department receives \$10,000 each year from Anadarko Petroleum to support graduate student scholarships, student travel to meetings, and a seminar series. ExxonMobil began recruiting at USU Fall 2003 and supporting the Department with a gift of \$5000 each year. Continued success in this arena will allow the Department to offset equipment, travel and current expenses if no new funds are allocated to the operating budget.

Most Ph.D. students will be funded with external research grants after their first year in residence. First year support will come either from research funds or from reallocation of teaching assistant slots from master's students to Ph.D. students (see below).

Reallocation

Enrollments in the Ph.D. program will be offset initially through a decrease in M.S. enrollments. This is essentially an internal reallocation of funds from the support of master's-level students to Ph.D.-level students. This would improve the mix of graduate students in the Department, and would in fact improve the master's program by adding advanced students who will remain in the system longer and serve as student mentors for M.S. students and entering Ph.D. students. The Department would like a mix at the graduate level of approximately 25-30 percent Ph.D. students and 70-75 percent Master's students.

Impact on Existing Budgets

Impact on existing budgets will be minor. Some TA resources will be reallocated to support Ph.D. students as their proportion of graduate student population increases. Other Ph.D. students will be funded through external research grants. With a mix at the graduate level of approximately 25-30

percent Ph.D. students and 70-75 percent Master's students, the Department expects to reallocate about 2 to 3 TA slots to Ph.D. students.

Appendix A: Program Curriculum

New Courses to be Added in the Next Five Years.

* indicates course will be taught alternating years, or as needed.

® indicates repeatable for credit; limitations on number of credits that can be counted for graduation.

<u>Course Number</u>	<u>Title</u>	<u>Credit Hours</u>
*Geol 7050	Graduate Seminar in Tectonics	1-3 credits
*Geol 7100	Graduate Seminar in Structural Geology	1-3 credits
*Geol 7150	Graduate Seminar in Geophysics	1-3 credits
*Geol 7200	Graduate Seminar in Sedimentary Geology	1-3 credits
*Geol 7250	Graduate Seminar in Petroleum Systems	1-3 credits
*Geol 7300	Graduate Seminar in Paleontology & Paleoecology	1-3 credits
*Geol 7400	Graduate Seminar in Geomorphology	1-3 credits
*Geol 7500	Graduate Seminar in Petrology	1-3 credits
*Geol 7600	Graduate Seminar in Geochemistry	1-3 credits
*Geol 7700	Graduate Seminar in Hydrology	1-3 credits
Geol 7800	Graduate Seminar Series ®	1 credit
Geol 7970	Dissertation research ®	1-9 credits
Geol 7990	Continuing Graduate Advisement ®	1-6 credits

All Program Courses

Note: 7000-level courses will not be submitted for approval until this program is approved.

<u>Course Number</u>	<u>Title</u>	<u>Credit Hours</u>
Geol 6150 (d5150)	Fluvial Geomorphology	3 credits (F)
Geol 6160	Hillslope and Landscape Geomorphology	3 credits (Sp)
Geol 6250	Mechanics and Processes in Earth Sciences	3 credits (F)
Geol 6410 (d5410)	Introduction to Clay Mineralogy	2 credits (Sp)
Geol 6440 (d5440)	Paleoecology	2 credits (F)
Geol 6460 (d5460)	Advanced Physical Sedimentology	3 credits (Sp)
Geol 6470 (d5470)	Chemical Sedimentary Rocks	2 credits (Sp)
Geol 6480 (d5480)	Sedimentary Basin Analysis	3 credits (F)
Geol 6500 (d5500)	Advanced Igneous Petrology	4 credits (F)
Geol 6520 (d5520)	Techniques of Groundwater Investigations	3 credits (Sp)
Geol 6540 (d5540)	Quantitative Methods in Geology	3 credits
Geol 6550 (d5550)	Geochemical Application of Electron Microprobe and X-Ray Fluorescence Analysis	4 credits (Sp)
Geol 6610 (d5610)	Tectonic Evolution of North America	3 credits (Sp)

Geol 6620 (d5620)	Global Geophysics	3 credits (Sp)
Geol 6680 (d5680)	Paleoclimatology	3 credits (Sp)
Geol 6900	Graduate Internship/Co-op Experience	1-6 credits
Geol 7050	Graduate Seminar in Tectonics	1-3 credits
Geol 7100	Graduate Seminar in Structural Geology	1-3 credits
Geol 7150	Graduate Seminar in Geophysics	1-3 credits
Geol 7200	Graduate Seminar in Sedimentary Geology	1-3 credits
Geol 7250	Seminar in Petroleum Systems	1-3 credits
Geol 7300	Graduate Seminar in Paleontology & Paleoecology	1-3 credits
Geol 7400	Graduate Seminar in Geomorphology	1-3 credits
Geol 7500	Graduate Seminar in Petrology	1-3 credits
Geol 7600	Graduate Seminar in Geochemistry	1-3 credits
Geol 7700	Graduate Seminar in Hydrology	1-3 credits
Geol 7800	Seminar	1-4 credits
Geol 7970	Dissertation Research	1-9 credits (F,Sp,Su)
Geol 7990	Continuing Graduate Advisement	1-3 credits (F,Sp,Su)

Appendix B: Sample Program Schedules
Sample Program of Study for Geology PhD Student
Professional Track *Without* Prior MS Degree

	Course Number and Title	Credits	Total
Year one -	Fall Semester		
	Geol 5510 Groundwater Geology	3	
	Geol 6480 Sedimentary Basin Analysis	3	
	Geol 6540 Quantitative Methods in Geology	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	1	11
Year one -	Spring Semester		
	Geol 6460 Advanced Physical Sedimentology	3	
	Geol 6470 Chemical Sedimentary Rocks	2	
	Geol 7050 Graduate Seminar in Tectonics	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	1	10
Year one -	Summer		
	Geol 7970 Dissertation Research	3	3
Year two -	Fall Semester		
	Geol 6150 Fluvial Geomorphology	3	
	Geol 6250 Mechanics and Processes in Earth Sciences	3	
	Geol 7200 Graduate Seminar in Sedimentary Geology	3	
	Geol 7800 Graduate Seminar	1	10
Year two -	Spring Semester		
	ProfessionalAWER/BIE/BMET 6250 Remote Sensing of Land Surfaces	4	
	ProfessionalAWER 6930 Geographic Information Analysis	4	
	Geol 7100 Graduate Seminar in Structural Geology	3	
	Geol 7800 Graduate Seminar	1	12
Year two -	Summer		
	Geol 7970 Dissertation Research	3	3
Year three -	Fall Semester		
	ProfessionalFRWS 6750 Applied Remote Sensing	3	
	Geol 7250 Graduate Seminar in Petroleum Systems	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	3	10
Year three -	Spring Semester		
	Geol 6900 Graduate Internship/Co-op Experience	6	
	Geol 7970 Dissertation Research	4	10
Year three -	Summer		
	Geol 7970 Dissertation Research	3	3
Year four -	Fall Semester		
	Geol 7970 Dissertation Research	2	
	Geol 7990 Continuing Graduate Advisement	7	9
Year four -	Spring Semester		
	Geol 7990 Continuing Graduate Advisement	9	9
	TOTAL		90

Sample Program of Study for Geology PhD Student
Professional Track *With* Prior MS Degree

	Course Number and Title	Credits	Total
Year one -	Fall Semester		
	Geol 6250 Mechanics and Processes in Earth Sciences	3	
	Geol 6480 Sedimentary Basin Analysis	3	
	Geol 7200 Graduate Seminar in Sedimentary Geology	3	
	Geol 7800 Graduate Seminar	1	10
Year one -	Spring Semester		
	ProfessionalAWER 6930 Geographic Information Analysis	4	
	ProfessionalFRWS 6250 Remote Sensing of Land Surfaces	4	
	Geol 7100 Graduate Seminar in Structural Geology	3	
	Geol 7800 Graduate Seminar	1	12
Year one -	Summer		
	Geol 7970 Dissertation Research	3	3
Year two -	Fall Semester		
	ProfessionalFRWS 6750 Applied Remote Sensing	3	
	Geol 7250 Graduate Seminar in Petroleum Systems	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	3	10
Year two -	Spring Semester		
	Geol 6900 Graduate Internship/Co-op Experience	6	
	Geol 7990 Continuing Graduate Advisement	3	9
Year two -	Summer		
	Geol 7970 Dissertation Research	3	3
Year three -	Fall Semester		
	Geol 7970 Dissertation Research	5	
	Geol 7990 Continuing Graduate Advisement	3	8
Year three -	Spring Semester		
	Geol 7050 Graduate Seminar in Tectonics	3	
	Geol 7990 Continuing Graduate Advisement	6	9
	TOTAL		64

Sample Program of Study for Geology PhD Student
Academic Track *Without* Prior MS Degree

	Course Number and Title	Credits	Total
Year one -	Fall Semester		
	Geol 5510 Groundwater Geology	3	
	Geol 6480 Sedimentary Basin Analysis	3	
	Geol 6540 Quantitative Methods in Geology	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	1	11
Year one -	Spring Semester		
	Geol 6460 Advanced Physical Sedimentology	3	
	Geol 6470 Chemical Sedimentary Rocks	2	
	Geol 7050 Graduate Seminar in Tectonics	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	1	10
Year one -	Summer		
	Geol 7970 Dissertation Research	3	3
Year two -	Fall Semester		
	Geol 6150 Fluvial Geomorphology	3	
	Geol 6250 Mechanics and Processes in Earth Sci	3	
	Geol 7200 Graduate Seminar in Sedimentary Geology	3	
	Geol 7800 Graduate Seminar	1	10
Year two -	Spring Semester		
	<i>Academic EEd/SecEd 6190 Theories of Teaching and Learning</i>	3	
	Geol 7100 Graduate Seminar in Structural Geology	3	
	Geol 7250 Graduate Seminar in Petroleum Systems	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	1	11
Year two -	Summer		
	Geol 7970 Dissertation Research	3	3
Year three -	Fall Semester		
	Geol 7500 Graduate Seminar in Petrology	2	
	Geol 7600 Graduate Seminar in Geochemistry	2	
	<i>Academic Educ 6410 Educational foundations</i>	2	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	3	10
Year three -	Spring Semester		
	<i>Academic Geol 6900 Graduate Internship/Co-op Experience</i>	6	
	Geol 7970 Dissertation Research	4	10
Year three -	Summer		
	Geol 7970 Dissertation Research	3	3
Year four -	Fall Semester		
	Geol 7970 Dissertation Research	2	
	Geol 7990 Continuing Graduate Advisement	7	9
Year four -	Spring Semester		
	Geol 7990 Continuing Graduate Advisement	9	9
	TOTAL		89

Sample Program of Study for Geology PhD Student
Academic Track *With* Prior MS Degree

	Course Number and Title	Credits	Total
Year one -	Fall Semester		
	Geol 6150 Fluvial Geomorphology	3	
	Geol 6250 Mechanics and Processes in Earth Sci	3	
	Geol 7200 Graduate Seminar in Sedimentary Geology	3	
	Geol 7800 Graduate Seminar	1	11
Year one -	Spring Semester		
	<i>Academic EIEd/ScEd 6190</i> Theories of Teaching and Learning	3	
	Geol 7100 Graduate Seminar in Structural Geology	3	
	Geol 7250 Graduate Seminar in Petroleum Systems	3	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	1	11
Year one -	Summer		
	Geol 7970 Dissertation Research	3	3
Year two -	Fall Semester		
	Geol 7500 Graduate Seminar in Petrology	2	
	Geol 7600 Graduate Seminar in Geochemistry	2	
	<i>Academic Educ 6410 Educational Foundations</i>	2	
	Geol 7800 Graduate Seminar	1	
	Geol 7970 Dissertation Research	3	10
Year two -	Spring Semester		
	<i>Academic Geol 6900</i> Graduate Internship/Co-op Experience	6	
	Geol 7970 Dissertation Research	4	10
Year two -	Summer		
	Geol 7970 Dissertation Research	3	3
Year three -	Fall Semester		
	Geol 7970 Dissertation Research	1	
	Geol 7990 Continuing Graduate Advisement	5	6
Year three -	Spring Semester		
	Geol 7990 Continuing Graduate Advisement	6	6
	Total		60

Appendix C Faculty

List of faculty within the institution, with their qualifications, to be used in support of the program.

1. Carol M. Dehler, PhD, 2001 University of New Mexico <i>Assistant Professor</i>	Sedimentology, low temperature geochemistry, tectonics of the Neoproterozoic.
2. James P. Evans, PhD, 1987 Texas A&M University <i>Professor</i>	Structural geology: structural analyses of deformed rocks; deformation and rock mechanics, field mapping; fault zone processes, and the hydrology of fractures and fault systems.
3. Donald W. Fiesinger, PhD, 1976 University of Calgary <i>Associate Professor and Dean</i>	Igneous petrology; mafic and felsic magma systems in NW Utah. Dean, College of Science.
4. Susanne U. Janecke, PhD, 1991 University of Utah <i>Associate Professor</i>	Regional tectonics, structure, regional tectonic analyses, and extensional deformation; basin analysis, geologic evolution of North American Cordillera.
5. Peter T. Kolesar, PhD, 1973 University of California, Riverside <i>Associate Professor</i>	Low-T geochemistry & carbonate petrology: origin of Tertiary/Quaternary calcite veins and their use in paleoclimatology and groundwater hydrology of the southern Great Basin.
6. Thomas E. Lachmar, PhD, 1989 University of Idaho <i>Associate Professor</i>	Groundwater hydrology: confined aquifers, stream losses and water table depths, groundwater recharge to surface streams and the transport of chemical and radioactive contaminants.
7. W. David Liddell, PhD, 1980 University of Michigan <i>Professor</i>	Paleoecology & sedimentology: coral-reef ecology, sedimentary facies of modern carbonate environments, sequence stratigraphy and cyclicity of Paleozoic rocks.
8. Susan K. Morgan, MS, 1988 Utah State University, <i>Lecturer</i>	Geoscience education, earth history, carbonate petrology, stratigraphy.
9. Joel L. Pederson, PhD, 1999 University of New Mexico <i>Assistant Professor</i>	Geomorphology, sedimentology, paleoclimatology, and geoarchaeology; hillslope processes, climatic controls on landscape evolution (Colorado Plateau, Grand Canyon).
10. Bradley D. Ritts, PhD, 1998 Stanford University <i>Assistant Professor</i>	Sedimentation, tectonics and petroleum geology: intra-continental deformation and basin formation, sediments composition, petroleum systems within tectonically active basins.
11. John W. Shervais, PhD, 1979 University of California, Santa Barbara, <i>Professor and Head</i>	Igneous petrology, geochemistry, tectonics: major and trace element geochemistry of igneous rocks, volcanism, ophiolites and island arcs, mantle metasomatism, formation of the lunar crust.

Table C.2 Listing of Research and Emeritus Faculty	
1. Robert Q. Oaks, PhD, 1969 Yale University; <i>Professor Emeritus</i>	Sedimentology and clastic sedimentation, geology and tectonics of northern Utah; retired but active.
2. James P. McCalpin, PhD, 1981 Colorado School of Mines <i>Adjunct Research Professor</i>	Paleoseismicity, neotectonics, geologic hazard mitigation; GEO-HAZ Consulting, Inc.
3. Craig B. Forster, PhD, 1987 University of British Columbia <i>Adjunct Research Professor</i>	Hydrogeology, geotechnical applications in engineering geology; Research Faculty at University of Utah.

Table C.3 Additional Earth Science Faculty at Utah State University with Adjunct Appointments in Geology	
1. Jack C. Schmidt, PhD, 1987 Johns Hopkins University <i>Associate Professor</i>	Fluvial Geomorphology: <i>Department of Aquatic, Watershed, and Earth Resources, College of Natural Resources.</i>
2. Lynn M. Dudley, PhD, 1983 Washington State University <i>Professor</i>	Soil Geochemistry: <i>Department of Plants, Soils and Biometeorology, College of Agriculture.</i>
3. Janis L. Boettinger, PhD, 1992 University of California, Davis <i>Associate Professor</i>	Soil Mineralogy: <i>Department of Plants, Soils and Biometeorology, College of Agriculture.</i>
4. David G. Chandler, PhD, 1998 Cornell University <i>Assistant Professor</i>	Surface Hydrology: <i>Department of Plants, Soils and Biometeorology, College of Agriculture.</i>
5. David G. Tarboton, Sc.D., 1989 Massachusetts Institute Technology <i>Professor</i>	Water Resources and Hydrology, <i>Utah Water Research Laboratory and Department of Civil and Environmental Civil Engineering.</i>

Appendix D
Complete Course Descriptions
(6000 or above only)

Geol 6150 (d5150). Fluvial Geomorphology. Focuses on physical processes in streams that control their shape, plan form, slope, bed material, and distribution of channel bars. Emphasizes field analysis of these topics, and application of geomorphology to aquatic ecology and environmental restoration. Prerequisite: Geol/AWER 3600. (3 cr) (F)

*Geol 6160 (d5160). Hillslope and Landscape Geomorphology. Includes basics of hillslope weathering, transport, and hydrologic processes. Surveys classic and recent literature on hillslope-scale and landscape-scale geomorphic research. Three lectures and several Saturday field trips. Prerequisite: Geol/AWER 3600. (3 cr) (Sp)

*Geol 6250. Mechanics and Processes in Earth Sciences. Fundamentals of solid and fluid mechanics with applications to the earth sciences. Applications to rock deformation, fluid flow, glacier movement, and slope stability. Designed for graduate students in earth sciences and engineering. Two lectures, one lab per week. Prerequisite-sites: Geol 3700, Math 1210; or permission of instructor. (3 cr) (F)

*Geol 6410 (d5410). Introduction to Clay Mineralogy. Introduction to and application of techniques, such as x-ray diffraction, differential thermal analysis, and chemical analysis, to study of clay minerals. Examination of the effects of clay mineral structures on physical and chemical properties. Three lectures and one lab per week; half semester. Prerequisite: Geol 3500. (2 cr) (Sp)

*Geol 6440 (d5440). Paleoecology. Interrelationships between various organisms and between organisms and their environment. Provides field, laboratory, and quantitative techniques for the interpretation of ancient environments and the analysis of past biotic interrelationships. Three lectures and one lab per week. Half semester, late fall; may be paired with Geol 5430. Prerequisite: Geol 5430. (2 cr) (F)

*Geol 6460 (d5460). Advanced Physical Sedimentology. Detailed interpretation of sedimentary rocks, based on petrography and sedimentary characteristics. Source terranes, tectonic settings, depositional environments, and diagenetic changes during burial. Three lectures and two labs per week. Half semester, may be paired with Geol 6470. Prerequisites: Geol 3500 and 3550. (3 cr) (F)

*Geol 6470 (d5470). Chemical Sedimentary Rocks. Application of field observations, hand-sample, thin-section, and x-ray diffraction analyses to the interpretation of chemical sedimentary rocks. Emphasizes determination of depositional environment and evaluation of diagenetic changes. Three lectures and one lab per week. Half semester; may be paired with Geol 6460. Prerequisites: Geol 3500 and 3550. (2 cr) (Sp)

*Geol 6480 (d5480). Sedimentary Basin Analysis. Detailed coverage of techniques of sedimentary basin analysis, including depositional systems, provenance, basin modeling, and fluid and heat flow history. Survey of types of sedimentary basins worldwide. Prerequisites: Geol 3500 and 3550. (3 cr) (F)

*Geol 6500 (d5500). Advanced Igneous Petrology. Advanced concepts in the origin and evolution of magmatic systems, effects of different tectono-thermal regimes on magma genesis, magma dynamics, and phase equilibria in magmatic systems. Concepts illustrated by rock suites from classic locations. Three lectures and three laboratory hours each week. Prerequisite: Geol 4500 or equivalent. (4 cr) (F)

Geol 6520 (d5520). Techniques of Groundwater Investigations. Survey of techniques used in groundwater investigations for collecting physical and chemical data. Includes well drilling and construction; water level, flow rate, and discharge measurements; hydraulic and tracer tests; and groundwater sampling. Prerequisite: Geol 5510 or permission of instructor. (3 cr) (Sp)

*Geol 6540 (d5540). Quantitative Methods in Geology. Application of various quantitative methodologies to geologic problems. Two lectures and one lab per week. (3 cr)

*Geol 6550 (d5550). Geochemical Application of Electron Microprobe and X-Ray Fluorescence Analysis. Theory and application of X-ray fluorescence spectrometry and the electron microprobe to problems in geochemistry and materials analysis. Two hours lecture and six hours laboratory per week. Prerequisite: Chem 1210 or equivalent, or permission of instructor. (4 cr) (Sp)

*Geol 6610 (d5610). Tectonic Evolution of North America. Survey of tectonic styles and processes along plate margins, using the tectonic evolution of western North America as the prime example. Two lectures and one lab per week. Prerequisite: Geol 3700. (3 cr) (Sp)

*Geol 6620 (d5620). Global Geophysics. Application of physics to understanding geologic processes, the earth's interior, and the theory of plate tectonics. Two lectures and one two-hour lab per week. Prerequisites: Geol 3700 and Phyx 2220. (3 cr) (Sp)

*Geol 6680 (d5680). Paleoclimatology. Covers climate through the past four billion years of geologic time. Explores driving forces behind climate changes. Examines data and methods used in paleoclimate research. Includes discussion of literature and stresses local paleoclimate records. Three lectures per week, along with field trips. Prerequisite: Geol/AWER 3600 or permission of instructor. (3 cr) (Sp)

Geol 6900. Graduate Internship/Co-op Experience. (1-6 cr) (F,Sp,Su) ®

*Geol 7050. Graduate Seminar in Tectonics. (1-3 credits) Advanced topics in tectonics, including global or regional tectonics, and the response of sedimentary, igneous, or metamorphic systems to tectonic processes. Prerequisite: permission of instructor.

*Geol 7100. Graduate Seminar in Structural Geology. (1-3 credits) Advanced topics in structural geology, rock mechanics, or deformational processes in rocks and minerals. Prerequisite: permission of instructor.

*Geol 7150. Graduate Seminar in Geophysics. (1-3 credits) Advanced topics in solid earth geophysics, including seismicity, receiver functions, isostasy, and modelling of dynamic solid earth systems. Prerequisite: permission of instructor.

*Geol 7200. Graduate Seminar in Sedimentary Geology. (1-3 credits) Advanced topics in physical sedimentology, stratigraphy and basin analysis, including siliciclastic, chemical and organic sedimentary rocks. Prerequisite: permission of instructor.

*Geol 7250. Graduate Seminar in Petroleum Systems. (1-3 credits) Advanced topics in petroleum geology, including petroleum systems analysis, source rock geology and geochemistry, reservoir characterization, modeling and architecture of petroleum systems, and regional case-studies. Prerequisite: permission of instructor.

*Geol 7300. Graduate Seminar in Paleontology & Paleoecology. (1-3 credits) Advanced topics in Paleontology & Paleoecology, including punctuated equilibrium in evolution, inter-relationships between organisms and their environment, and quantitative techniques for the interpretation of ancient environments. Prerequisite: permission of instructor.

*Geol 7400. Graduate Seminar in Geomorphology. (1-3 credits) Variable focus may include hillslope or channel processes, regional landscape evolution, tectonics, climate, or base-level controls on landscape evolution, or paleoclimatology. Prerequisite: permission of instructor.

*Geol 7500. Graduate Seminar in Petrology. (1-3 credits) Advanced topics in igneous and metamorphic petrology, including mineral equilibria, paleogeothermobarometry, trace element and isotope geochemistry of igneous systems, petrogenetic modeling, and regional case studies of igneous and metamorphic provinces. Prerequisite: permission of instructor.

*Geol 7600. Graduate Seminar in Geochemistry. (1-3 credits) Advanced topics in either low temperature or high temperature geochemistry or geochemical thermodynamics.

*Geol 7700. Graduate Seminar in Hydrology. (1-3 credits) Advanced topics in hydrogeology, including ground water modeling, ground water chemistry, and federal ground water regulations. Prerequisite: permission of instructor.

Geol 7800. Graduate Seminar Series. (1 cr) ®

Geol 7970. Dissertation Research. (1-9 cr) (F,Sp,Su) ®

Geol 7990. Continuing Graduate Advisement. (1-6 cr) (F,Sp,Su) ®

(Parenthetical numbers preceded by *d* indicate a dual listing)

*This course is taught alternating years, or as needed. Check with department for information about when course will be taught.

® Repeatable for credit. Check with major department for limitations on number of credits that can be counted for graduation.

Note: 7000-level courses will not be submitted for approval until this program is approved by the Regents.

October 12, 2005

MEMORANDUM

TO: State Board of Regents

FROM: Richard E. Kendell

SUBJECT: Consent Calendar: Academic, Career and Technical Education, and Student Success Programs Committee

The following requests have been submitted for consideration by the Regents on the Consent Calendar of the Programs Committee.

A. Dixie State College

Request. Dixie State College requests consent to discontinue the AutoBody AAS and applicable Certificates.

Need. During the fall of 2004 there were 16 students in the autobody classes. In Spring, 2005, there were 17 students, 75 percent of whom were enrolled as full-time high school students. Inasmuch as serving high school vocational students is compatible with the ATC role, Dixie ATC offers autobody instruction that accommodates training for these students through certificate and other short-term training programs.

Finances. No additional costs. As a result of early retirement, funding for one instructor's salary and related program costs will be reallocated to areas with unmet needs.

B. Dixie State College

Request. Dixie State College requests consent to discontinue the Office Administration AS, AAS and applicable Certificates.

Need. In Spring 2005 there were 17 students enrolled in the program; no graduates. The numbers do not appear to justify the continuation of this program. Students can have their needs accommodated through the Dixie ATC that offers short-term instruction or programs leading to certificates.

Finances. No increase in funding. As a result of early retirement, one instructor's salary and related program costs will be reallocated to areas with unmet needs.

C. Dixie State College

Request. Dixie State College requests consent to discontinue the General Drafting AS, AAS and applicable Certificates.

Need. During the fall of 2004 there were 59 students in the various drafting classes, 75 percent of whom were high school students. Inasmuch as serving vocational high school students is compatible with the ATC role, these students can be served through the ATC with short-term training or through certificates.

Finances. No increase in funding. One instructor's salary will be available for reallocation. He is moving to the Applied Technology Center. Related program costs will be reallocated to areas with unmet needs.

D. Southern Utah University

Request. Southern Utah University proposes to offer an emphasis in Architectural/Civil Design Technology within its Engineering Technology major. The proposal was reviewed and approved by the SUU Board of Trustees on January 28, 2005 and on May 6, 2005

Need. By packaging selected classes from Integrated Engineering, Construction Management and Engineering Technology (specifically CAD/CAM), SUU can offer an emphasis that would satisfy a growing need for graduates in this area. This proposal is to offer an emphasis in the current SUU Engineering Technology Major. The new emphasis would be Architectural Technology/Civil Design. The classes and faculty are already in place.

In the last two years, 70 percent of the job offers came from Civil and Architectural firms (local, St. George, Salt Lake City, and particularly Las Vegas). Two of these firms are on the current CAD/CAM Engineering Technology advisory board. Currently, 100 percent of the proposed graduates could be placed with just these two firms. The national market is also increasing as evidenced by the growth of the building industry both at the city and industrial level as well as the home building market.

Students at the high school level are interested in architecture, CAD and engineering. This particular emphasis would be unique because it would train the student to be an architectural designer (technologists), rather than a licensed architect. Students would also be prepared to work in the closely related field of Civil Design which also utilizes CAD. This new emphasis in no way would affect enrollment at other UHSE 4 year institutions offering any type of architectural degree. This new emphasis would simply help SUU serve the students already enrolled in the CAD/CAM program better. This new emphasis is strictly a continuation of the CAD/CAM program and will be housed in the CAD/CAM area. This new emphasis is heavily based in the CAD area of instruction consisting of "applied" academics. Students wishing to become "pure" architects would not be served by this emphasis. For those students wishing to pursue a Master's degree in architecture, this new emphasis would help prepare them for such an endeavor. We are currently working out an articulation agreement with the University of Utah. This proposal was reviewed by all system institutions, none of whom expressed concern.

Financial Impact. Existing and selected courses.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the institutional requests on the Consent Calendar of the Programs Committee as described above.

Richard E. Kendell, Commissioner

JMC/LS/REK

October 13, 2005

MEMORANDUM

TO: State Board of Regents

FROM: Richard E. Kendell

SUBJECT: Information Calendar: Academic, Career and Technical Education, and Student Success Programs Committee

The following requests have been submitted for consideration by the Regents on the Information Calendar of the Programs Committee.

College of Eastern Utah

Request. As a result of the USHE-wide effort to develop a system of common course numbering for general education courses, the Biology working group adopted the prefix "BIO" for Biology courses. Prior to this, all of the CEU Biology courses had LFSC prefixes and were taught by the "***Life Science Department.***" Since there is no longer a LFSC prefix, and to conform to other institutions in the state, CEU proposes changing our Life Science Department name to "***Department of Biology.***"

The CEU Board of Trustees approved this change on June 6, 2005.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the institutional requests on the Information Calendar of the Programs Committee as described above.

Richard E. Kendell, Commissioner

JMC/LS/REK

October 19, 2005

MEMORANDUM

TO: State Board of Regents

FROM: Richard E. Kendell

SUBJECT: Program Review: Information Item, Academic, Career and Technical Education, and Student Success Programs Committee

Strong attention has been paid to the program review process historically. This process, as structured and administered using stringent guidelines and qualified and experienced professionals, results in a report that reflects program strengths, identifies areas needing attention, and details recommendations for improvement.

In 1998, the responsibility for program review was shifted from the Board of Regents at the system level to the Boards of Trustees at individual campuses. Therefore, even though summaries came to the Regents, the responsibility for oversight rested with the institutions and with the trustees. Additionally, the Program Review Policy was rewritten in a much more general format, leaving the institutions and the boards without explicit direction. This more generalized policy coupled with dynamic turnover of chief academic officers, presidents, and trustees has led to a need for a new policy with more specific guidelines that assists the institutions in conducting program reviews and provides the Regents with a stronger sense of program quality than has been possible.

The summary reports to the Regents should include a brief description of the program, the five-year enrollment and budget data, any issues that need highlighting, together with the recommendations and commendations.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the program review changes as described above.

Richard E. Kendell, Commissioner

LS/REK

Attachment

R411, Review of Existing Programs

R411-1. Purpose

To provide policy and procedures for the review of existing programs in the Utah System of Higher Education.

R411-2. References

2.1. Utah Code [§53B-16-102](#) (Changes in Curriculum)

2.2. Policy and Procedures [R220](#), Delegation of Responsibilities to the President and Board of Trustees

2.3. Policy and Procedures [R401](#), Program Approval

R411-3. Policy

3.1. Quality - The primary reason for conducting institutional program review is to improve the quality of education.

3.2. Responsibility - The responsibility for improving quality must be institution based. It is through the combined efforts of presidents, vice presidents, provosts, deans, department chairs, and individual faculty that meaningful change occurs. Consequently, the primary responsibility for reviewing existing programs is assigned to faculty and administrators at the institution, and to institutional Boards of Trustees with accompanying Regent oversight.

3.3. Timing – A cyclical process is recommended in which all programs at doctoral research institutions are reviewed once every seven years. All programs at the remaining institutions are reviewed every five years, thus assuring a thoughtful and careful examination in a timely fashion. It is also recommended timing of these reviews be coordinated with regional and/or specialized accreditation review schedules whenever possible to avoid duplication of effort and expense.

3.4. Institutional Review Procedures - Program reviews will be conducted in accordance with procedures developed by each institution consistent with its respective faculty governance system. Review committees for each program are established that include independent membership external to the program being reviewed. Knowledgeable consultants external to the institution are highly recommended. Program Advisory Committee members or others from industry,

business, or labor should be included in the review for applied technology programs. Departments whose programs are under review shall prepare detailed written materials for review committees based on system and institutional criteria.

3.5. Evaluation Factors – Evaluation factors, both qualitative and quantitative, include: program outcomes and assessment criteria, curricula, students, faculty, staff, equipment, facilities, and other resources. Additionally, reviews shall include an evaluation of the need for and the cost-effectiveness of the program. Results of former institutional reviews and accreditation findings and recommendations should also be included.

R411-4. Procedures

The following information should be included in program review reports submitted to Boards of Trustees and summarized for the Regents. Data reported reflect five-year trends

4.1. Internal and External Reviewers

4.1.1. Names and affiliations

4.2. Program Description

4.2.1 Degrees, certificates, and/other credentials

4.2.2 Support function or interaction with other programs

4.2.3 Outreach efforts

4.3. Faculty

4.3.1 Tenure-track faculty

4.3.2 Contract faculty headcount and FTE

4.3.3 Adjunct faculty and graduate assistants FTE

4.3.4 Faculty-student ratios

4.3.5 Faculty credentials, rank, and diversity information

4.3.6 Student credit hours produced per full-time equivalent faculty

4.4. Staff

4.4.1 Headcount and FTE

4.5. Students

- 4.5.1 Student credit hours generated
- 4.5.2 Number of majors in program for review period
- 4.5.3 Enrollment and attrition trends
- 4.5.4 Graduation and retention rates
- 4.5.5 Student placement rates and salary data if available
- 4.5.6 Transfer data

4.6. Program Costs

- 4.6.1 Instructional costs
- 4.6.2 Support costs

4.7. Program Assessment

- 4.7.1 Examples of goals, measurements, impact
- 4.7.2 Strengths, weaknesses, and recommendations
- 4.7.3 Responses to review committee findings and recommendations

R411-5. Monitoring

5.1. Ongoing Monitoring of Institutional Program Reviews by USHE Institutions and the Office of the Commissioner – The Council of Chief Academic Officers, the Office of Academic Affairs, Commissioner of Higher Education and the Board of Regents shall monitor institutional program review procedures and results.

5.1.2. Institutional CAOs shall provide summaries of the annual results of program reviews to the office of Academic Affairs. The summaries should include institutional procedures, major findings, five year enrollment and budget data, all recommendations, and significant issues.

5.1.3 Program review summaries should be reviewed by the Office of Academic Affairs. These summaries will be brought to the Regents as Information items. Any serious issues will be identified and may be subject to possible subsequent action.

5.1.4 In addition to review summaries, institutional Chief Academic Officers shall provide to the Office of Academic Affairs copies of regional and specialized accreditation reports, including focused and interim reports, and other reports as requested.

(Approved July 15, 1980; amended September 13, 1983, March 20, 1984, April 11, 1986, November 17, 1989, July 27, 1990, May 29, 1998, and October 10, 2005.)

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Utah Valley State College –Campus Master Plan

Background

Utah Valley State College seeks approval of its new master plan. Regent policy requires approval of campus master plans every two years. This is traditionally done during Regent visits to campus.

Issue

Utah Valley State College recently updated its campus master plan. The plan addresses future building locations, campus capacity, vehicle and pedestrian circulation and campus identity. A small graphic version of the plan is attached. UVSC officials will be present with more detailed information and will respond to questions from the Board.

Recommendation

The Commissioner recommends the Board approve the new Utah Valley State College Master Plan.

Richard E. Kendell,

Commissioner

REK/MHS/KGW
Attachment

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Dixie State College - Follow-up on College Building Purchase

Background

The Board of Regents requested that the Commissioner's office follow up on Dixie State College's request to acquire a 20-unit apartment building adjacent to its campus. The offering price for the complex is \$1.625 million. The Board authorized the Commissioner to give final approval to the purchase following a 45-day due diligence period.

Issue

At the time of mailing, staff were still conducting the due diligence effort required by the Regents. Should further action be required of the Board, the Commissioner will provide a recommendation at the meeting.

Richard E. Kendell, Commissioner

REK/MHS/KW

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Action: Consent Calendar, Finance, Facilities, and Accountability Committee

It is the recommendation of the Commissioner that the Regents approve the following items on the Finance Facilities, and Accountability Committee Consent Calendar:

- 1) **USHE – UofU and USU – Capital Facilities Delegation Reports (Attachment 1).** In accordance with the capital facilities delegation policy adopted by the Regents and by the State Building Board, the attached reports are submitted to the Board for review. Officials from the institutions will be available to answer any questions that the Regents may have.

- 2) **Vehicle Allowance** – Commissioner Kendell is authorized by Regent policy to receive a state funded vehicle for business and incidental personal use. The policy also provides for the Commissioner to choose a car allowance rather than drive a state owned vehicle. The Commissioner is choosing to return his vehicle to Fleet Operations and accept the vehicle allowance. The change is cost neutral to the state.

Richard E. Kendell, Commissioner

REK/MHS/MV
Attachments

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Fall 2005-06 Enrollment Report

Issue

The attached report summarizes the 2005-06 Fall 3rd week enrollment figures for the traditional nine institutions. Total budget-related and self-supporting student FTE for Fall 2005 at 3rd week was 98,345. This is a decline in enrollment of 1,720 FTE students or 1.72% when compared to Fall 2004 Fall 3rd week enrollment of 100,065 total FTE students.

The system headcount for Fall Semester at 3rd week totaled 144,226 students – a .45% (647 students) decline compared to last year.

Background

Fall 3rd week enrollments are provided in the attached report and tables. Budget-related and self-supporting figures are both included.

Recommendation

This item is for information only. No action is required.

Richard E. Kendell, Commissioner

REK/MHS/KW/KH

**UTAH SYSTEM OF HIGHER EDUCATION
2005-06 Fall Semester 3rd Week Enrollment Report**

Methodology

After the end of Summer Semester and after the fifteenth day of Fall Semester, USHE institutions (excluding UCAT) send headcount and FTE student enrollment data to the Commissioner's Office containing. From these data OCHE staff members prepare reports summarizing institutional and system-wide enrollments. This report fulfils Board policy requiring institutions to report budget-related and self supporting enrollments according to a prescribed set of enrollment definitions.

Summary Information

The table below compares FTE student enrollments for Fall 2005 Semester to Fall 2004 Semester. The table shows a budget-related FTE, self-supporting FTE, and total FTE enrollment comparison for the time periods indicated. "Budget-related" FTE traditionally receive funding support from the state. "Self-support" FTE participate in correspondence courses, certain contract courses, conferences, workshops, out-of-state courses, external instruction courses, certain concurrent enrollment courses and remedial courses at UofU, USU, WSU, and SUU. No state funds are requested to support students enrolled in these courses.

**Student FTE Enrollment
Fall 2004 Compared to Fall 2005**

Institution	Budget-Related FTE Enrollment			Self-Supporting FTE Enrollment			Total FTE Enrollment		
	Fall 2004	Fall 2005	% Change	Fall 2004	Fall 2005	% Change	Fall 2004	Fall 2005	% Change
UU	23,604	23,941	1.43%	361	148	-59.06%	23,966	24,089	0.51%
USU	16,122	15,623	-3.09%	1,091	960	-12.00%	17,213	16,584	-3.66%
WSU	12,062	11,865	-1.63%	1,274	1,042	-18.24%	13,337	12,907	-3.22%
SUU	4,981	5,074	1.86%	254	296	16.59%	5,235	5,370	2.57%
SNOW	2,683	2,659	-0.90%	301	298	-1.06%	2,984	2,956	-0.92%
DSC	4,253	4,219	-0.81%	265	276	4.19%	4,518	4,495	-0.51%
CEU	1,795	1,608	-10.41%	74	54	-27.49%	1,870	1,662	-11.09%
UVSC	14,585	13,731	-5.86%	1,754	2,350	33.97%	16,339	16,081	-1.58%
SLCC	14,320	13,943	-2.63%	284	257	-9.48%	14,604	14,200	-2.76%
Total	94,406	92,664	-1.85%	5,659	5,681	0.38%	100,065	98,345	-1.72%

The following table summarizes student headcount enrollment information.

**Total Headcount Enrollment
Fall 2004 Compared to Fall 2005**

Institution	Fall 2004	Fall 2005	% Change
UU	30,415	30,506	0.30%
USU	23,908	23,107	-3.35%
WSU	18,875	18,310	-2.99%
SUU	6,672	6,859	2.80%
SNOW	4,108	4,113	0.12%
DSC	8,564	9,114	6.42%
CEU	2,471	2,179	-11.82%
UVSC	24,149	24,487	1.40%
SLCC	25,711	25,551	-0.62%
Total	144,873	144,226	-0.45%

Utah System of Higher Education

Fall Enrollment Reports Fall 2000 to Fall 2005 Summary

Total Fall Headcount Enrollments

	Fall 2000	Fall 2001	Fall 2002	Fall 2003	Fall 2004	Fall 2005
UU	26,180	27,664	29,921	29,878	30,415	30,506
USU	21,490	23,001	22,848	23,474	23,908	23,107
WSU	16,378	17,258	18,654	19,167	18,875	18,310
SUU	5,963	6,095	5,881	6,048	6,672	6,859
SNOW	4,092	4,096	3,768	4,036	4,108	4,113
DSC	6,515	7,255	7,473	7,682	8,564	9,114
CEU	2,706	2,746	2,646	2,692	2,471	2,179
UVSC	20,946	22,609	23,609	23,803	24,149	24,487
SLCC	22,109	24,215	23,872	24,153	25,711	25,551
Total	126,379	134,939	138,672	140,933	144,873	144,226
Net Change		8,560	3,733	2,261	3,940	-647

Total Fall Budget-Related FTE Enrollments

	Fall 2000	Fall 2001	Fall 2002	Fall 2003	Fall 2004	Fall 2005
UU	20,649	21,968	23,099	23,234	23,604	23,941
USU	15,083	16,022	15,974	16,317	16,122	15,623
WSU	11,092	11,688	12,448	12,519	12,062	11,865
SUU	4,829	5,029	4,762	4,788	4,981	5,074
SNOW	2,835	2,895	2,682	2,573	2,683	2,659
DSC	3,763	4,017	4,061	4,298	4,253	4,219
CEU	1,841	1,996	1,949	1,769	1,795	1,608
UVSC	12,313	13,847	14,882	14,865	14,585	13,731
SLCC	12,227	13,604	14,128	14,213	14,320	13,943
Total	84,632	91,066	93,985	94,576	94,406	92,664
Net Change		6,434	2,919	591	-170	-1,742

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: USHE- Report on Recent Bond Activities

Issue

Regents requested periodic updates of bond sales. The information below provides a brief on the three most recent transactions.

Background

WSU Sheperd Union Building Bonds

The Weber State University revenue bond for the Sheperd Union Building sold as a competitive offering on September 14 of this year. Traditionally, USHE revenue bonds are sold on a negotiated basis – that is, underwriters examine the market and sell bonds based on consensus opinions of what the market would bear. Attachment One is an article from The Bond Buyer focusing on WSU's choice to shift to a competitive bid process from the traditional negotiated method. Eight firms submitted bids with a high/low spread of 15 basis points (approximately \$302,000 in gross additional interest costs). The winning bid provided a True Interest Cost of 4.3315%.

SUU Refunding Bonds

At the September meeting the Regents approved a private placement to refund the balance remaining on SUU's 1995A and 1996A bonds. The sale was finalized when a private group came forward with an interest rate of 3.9% on a par amount of \$975,000.

UHEAA Student Loan Revenue Bonds

The Series 2005AA Student Loan Revenue Bonds approved by the Board of Regents at the September 16 meeting were successfully marketed and closed on October 4, 2005. The Bonds were issued in two series (2005AA-1 and 2005AA-2) as Auction Rate Certificates. The principal amount totaled \$185 million. The Certificates are repriced every 28 days with an initial interest rate for each series set at 3.85%.

This report is for information only. No action is required.

Richard E. Kendell, Commissioner

REK/MHS/KGW
Attachment

Arizona • Arkansas • Colorado • Kansas • New Mexico • Oklahoma • Texas • Utah

Deal in Focus

Utah Offers First Competitive Higher-Ed Sale in 30 Years

By Elizabeth Albanese

DALLAS — The Utah State Board of Regents will go to market tomorrow with \$23 million of student facilities revenue bonds, a deal that will mark the first competitive offering by a Utah college or university in about 30 years.

Proceeds will be used to finance a remodeling and expansion of the Shepherd Union Building, the student union for Weber State University in Ogden.

If the deal is successful, it could pave the way for additional competitive higher education bond offerings by other Utah schools.

"The last time any college or university in Utah did a competitive sale was back in the mid-1970s," said Carl Empey, a managing director and manager of public finance for Zions Bank Public Finance, the financial adviser for the transaction.

The triple-A rated state in the late 1990s extended its moral obligation backing to college and university debt, but issuers have been slow to take advantage of that market bond issues competitively.

"In 1997, the Utah Legislature extended the state's moral obligation to all legislatively approved higher education revenue bonds," Empey said. "That equates to an automatic rating of AA from Standard & Poor's. That means we can get high-grade ratings on all state universities and colleges, not just the flagship University of Utah. It also makes it very easy to get insurance."

Empey said that the Board of Regents is eager to see how the Weber State deal is priced. If it attracts a good number of bidders and the spread is more favorable than similar negotiated deals, they could opt to do more competitive offerings in the future.

"Each university has the option," he said. "If this deal is very successful, there would have to be really solid reasons for any university or college to go with a negotiated sale in the future."

Utah colleges and universities began selling their debt through negotiated sales in the 1970s, when underwriters convinced school finance officials to use that method for placing their bonds.

"Although the state Legislature extended the moral obligation in 1997, it has taken a while to reverse the trend," Empey said. "The underwriters came in and really pushed for negotiated sales. Negotiated sale became the norm, but we really believe that this is the issue to reverse the trend."

Empey said that information about the sale is being sent electronically to prospective bidders, adding that his firm has also made phone calls to the sales desks of both regional firms and national ones.

"We expect to get five to seven bids for this sale," Empey said. "I believe there is an appetite in the market for high-grade, triple-A paper from the state of Utah. I also expect that through this competitive sale, we will see a lower underwriting spread and lower interest rates than if we'd done

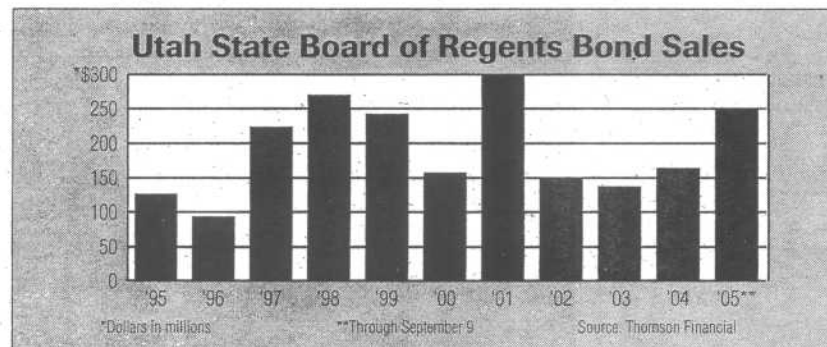
"Although the state Legislature extended the moral obligation in 1997, it has taken a while to reverse the trend" of negotiated transactions, says Carl Empey of Zions Bank Public Finance, the deal's financial adviser.

the deal on a negotiated basis."

He said that two weeks ago, a competitive offering of \$23.5 million of triple-A rated general obligation school bonds for the Iron County School District sold with a 14 basis point spread under similar triple-A deals that were sold through negotiation. That deal, which was underwritten by RBC Dain Rauscher Inc., was priced to yield 3.394% on the 2021 maturity.

Utah gives K-12 public schools its across-the-board triple-A ratings.

The bonds will be sold via i-Deal's Par-



ity electronic bidding system. In addition to the state's moral obligation, which gives the debt an underlying rating of AA, the bonds also carry triple-A insurance from MBIA Insurance Corp.

The debt is currently structured as serials with semiannual interest payments and a final maturity of 2032. However, term bonds will be allowed at the purchaser's option.

guaranteed the market's best rate on that particular day."

Mortensen added that having the state's moral obligation behind the issue adds to its security, making the deal very attractive. In addition, he said that by offering the bonds through competitive bid, Weber State will avoid having to pay for some of the underwriting costs associated with a negotiated transaction.

"Our governing board, the state Board of Regents, is also very excited about this deal," he said. "Any time we can save a few basis points on these multimillion bond transactions, they are happy."

The bond proceeds will finance the first major restoration of the school's student union since 1969.

"The building was built in two phases in 1960 and 1969," Mortensen said. "There have been no major renovations done to the building since that time."

"Part of the project — a big chunk — is upgrading the building to current codes, modernizing the technology and electrical systems, that kind of thing," he added. "The other part of the project is to make the facility more of a gathering place on campus. We involved all the groups on campus in the planning stages to determine what needed to be done to make it more of a hang-out kind of space. I think everyone is excited to be bringing this building up to the 21st century." □

Chapman and Cutler LLP is bond counsel for the transaction.

Brad Mortensen, assistant vice president for support and auxiliary services at Weber State, said that university officials are very excited about the prospect of the competitive sale.

"We have done, thanks to our financial adviser with Zions Bank, quite a bit of homework to make ourselves comfortable with a competitive sale after having been in a negotiated environment for such a long time," he said. "We decided that it makes a lot of sense to pick a day to sell and be

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Review of Institutional Five-Year Plans

Attached is a summary of the five-year plans for each of the nine USHE institutions that submit facility requests to the Board of Regents. Each institution uses its own process to develop five-year plans for approval by its Board of Trustees. Capital development plans must be flexible for a number of reasons:

- The political nature of capital funding at the state level may extend five-year plans many years beyond the original anticipated date or accelerate to include several projects ahead of schedule;
- The dynamic process of raising funds may result in projects moving up or down in priority order within campus prioritization lists;
- Changing needs in economic development can result in new facility needs on campuses;
- Life safety assessments and independent engineering studies may change priorities as new deficiencies are discovered.

Each institution and its Board of Trustees maintain a flexible plan that can be reviewed each year. To ensure this occurs, Regent policy requires approval of campus master plans on a bi-annual basis.

Larger campuses are able to provide more comprehensive plans as part of the work of their facility group. The State Division of Facilities Construction and Management (DFCM) is beginning a new program to build comprehensive five-year plans for all state agencies. Their plan includes working with smaller USHE campuses to ensure that each institution has the resources to provide meaningful long-term planning. DFCM has already been in contact with institutions and will be utilizing the knowledge held on larger campuses to apply to five-year plans across state government.

Attachment One provides a comprehensive list of projects for each of the nine institutions that bring development requests to the Board of Regents. Attachment Two is excerpted from the Q&P workbook. It shows student and faculty counts with anticipated five-year growth. Attachment Three is the anticipated five-year need for Q&P space on each campus. It should be noted that many projects (especially non-state funded projects) do not contain Q&P space.

This report is submitted for information only. No action is required.

REK/MHS/KW
Attachments

Richard E. Kendell, Commissioner

USHE Five Year Capital Development Priorities

		State Funds	Non-State Funds	Estimated Cost
University of Utah		<i>Five Year FTE Projection: 24,050</i>		
<i>State Funded 1</i>	Neuroscience and Biomedical Technology Research Building	\$105,900,000	\$21,900,000	\$127,800,000
<i>State Funded 2</i>	Park Building Restoration	\$2,300,000		\$2,300,000
<i>State Funded 3</i>	College of Law Expansion	\$35,000,000	\$10,000,000	\$45,000,000
<i>State Funded 4</i>	Art and Architecture Technology Center	\$3,100,000	\$3,100,000	\$6,200,000
<i>State Funded 5</i>	Campus Central Plant Upgrades	\$4,200,000	\$17,000,000	\$21,200,000
<i>State Funded 6</i>	College of Nursing	\$12,850,000	\$12,850,000	\$25,700,000
<i>State Funded 7</i>	Campus Learning Center	\$35,100,000		\$35,100,000
<i>State Funded 8</i>	Orson Spencer Hall Renovation	\$24,000,000		\$24,000,000
<i>State Funded 9</i>	Chemistry Expansion	\$10,000,000	\$39,000,000	\$49,000,000
<i>State Funded 10</i>	College of Humanities Phase II	\$12,000,000	\$8,000,000	\$20,000,000
<i>Non-State 1</i>	Student Rec. Center		\$37,900,000	\$37,900,000
<i>Non-State 2</i>	Red Butte Garden Amphitheatre/Rose Garden Facilities		\$2,400,000	\$2,400,000
<i>Non-State 3</i>	Eccles School of Business		\$30,500,000	\$30,500,000
<i>Non-State 4</i>	College of Pharmacy Expansion		\$66,800,000	\$66,800,000
<i>Not Prioritized</i>	Milton Bennion Hall Phase I (College of Education)		\$9,700,000	\$9,700,000
<i>Not Prioritized</i>	Health Sciences Academic Space		\$66,100,000	\$66,100,000
<i>Not Prioritized</i>	Health Sciences Ambulatory Bldg.		\$49,900,000	\$49,900,000
<i>Not Prioritized</i>	HSC Rehabilitation Center		\$46,400,000	\$46,400,000
<i>Not Prioritized</i>	Health Sciences Research Bldg.		\$97,600,000	\$97,600,000
<i>Not Prioritized</i>	Huntsman Cancer Research Hospital Phase II B		\$101,600,000	\$101,600,000
<i>Not Prioritized</i>	Huntsman Cancer Institute Phase III		\$78,100,000	\$78,100,000
<i>Not Prioritized</i>	Medical Sciences Building		\$50,800,000	\$50,800,000
Utah State University		<i>Five Year FTE Projection: 17,610</i>		
<i>State Funded 1</i>	Agriculture Science Replacement and Classroom Bldg.	\$61,000,000		\$61,000,000
<i>State Funded 2</i>	Agriculture Relocation	\$5,000,000		\$5,000,000
<i>State Funded 3</i>	HPER Building Expansion and Renovation	\$25,000,000		\$25,000,000
<i>State Funded 4</i>	Animal Science Renovation	\$7,000,000		\$7,000,000
<i>State Funded 5</i>	Biology and Natural Resources Renovation and Expansion	\$28,000,000		\$28,000,000
<i>State Funded 6</i>	Engineering Lab Renovation	\$6,000,000	\$10,000,000	\$16,000,000
<i>Non-State 1</i>	Child Development Center (College of Education)		\$2,000,000	\$2,000,000
<i>Non-State 2</i>	Stadium Phase II		\$10,000,000	\$10,000,000
Weber State University		<i>Five Year FTE Projection: 13,830</i>		
<i>State Funded 1</i>	Classroom Building	\$20,000,000	\$5,000,000	\$25,000,000
<i>State Funded 2</i>	WSU/Davis School Partnership	\$500,000		\$500,000
<i>State Funded 3</i>	Davis Campus Classroom Building	\$22,000,000		\$22,000,000
<i>State Funded 4</i>	Weber Campus Bldg 3&4 Replacement	\$23,000,000		\$23,000,000
<i>Non-State 1</i>	Hurst Center for Lifelong Learning		\$6,000,000	\$6,000,000
<i>Non-State 2</i>	Student Housing Phase II		\$18,000,000	\$18,000,000
Southern Utah University		<i>Five Year FTE Projection: 5,560</i>		
<i>State Funded 1</i>	Science Center Addition	\$13,800,000		\$13,800,000
<i>State Funded 2</i>	Shakespeare Land Acquisition	\$1,845,000		\$1,845,000
<i>State Funded 3</i>	Business Building Addition	\$3,500,000		\$3,500,000

NOTE: Numbers here are subject to change due to inflation, delays in construction and timing for funding.

USHE Five Year Capital Development Priorities

		State Funds	Non-State Funds	Estimated Cost
Snow College	<i>Five Year FTE Projection: 3,170</i>			
State Funded 1	Snow College-County Library and Classroom Building	\$18,531,000	\$4,100,000	\$22,631,000
State Funded 2	Natural Sciences Laboratory Building		TBD	
Non-State 1	Badger Stadium		\$4,000,000	\$4,000,000
Non-State 2	Traditional Skills Building Technology Building		TBD	
Dixie State College	<i>Five Year FTE Projection: 5,080</i>			
State Funded 1	Science Building Addition and Remodel	\$8,323,700		\$8,323,700
State Funded 2	Student Services	\$40,000,000		\$40,000,000
State Funded 3	Education Building	\$19,000,000		\$19,000,000
Land 1	Property Acquisition	\$10,000,000		\$10,000,000
Non-State 1	Student Housing		TBD	
Non-State 2	Institute for Continued Learning		TBD	
Non-State 3	Elderhostel Facility		TBD	
College of Eastern Utah	<i>Five Year FTE Projection: 2,070</i>			
State Funded 1	Fine Arts Building	\$5,000,000	\$11,500,000	\$16,500,000
State Funded 2	College/Community Library	\$2,500,000	\$3,000,000	\$5,500,000
State Funded 3	Prehistoric Museum	\$12,000,000	\$10,000,000	\$22,000,000
State Funded 4	College/Community Rec Center	\$4,000,000	\$3,000,000	\$7,000,000
Blanding Campus	College/Community Rec Center	\$2,000,000	\$3,000,000	\$5,000,000
Utah Valley State College	<i>Five Year FTE Projection: 17,920</i>			
State Funded 1	Digital Learning Center	\$37,750,000		\$37,750,000
State Funded 2	Science/Health Sciences Bldg.	\$20,000,000		\$20,000,000
State Funded 3	Business Building	\$16,000,000		\$16,000,000
State Funded 4	Student Academic Classroom Building (Purchase of Inst. Bldg.)	\$14,500,000		\$14,500,000
Non-State 1	Fine and Performing Arts Building	\$38,000,000		\$38,000,000
Salt Lake Community College	<i>Five Year FTE Projection: 16,270</i>			
State Funded 1	Digital Design & Comm. Ctr/ South City Campus Student Center	\$30,524,900	\$13,487,000	\$44,011,900
State Funded 2	Conversion of Auto Trades Building	\$18,000,000		\$18,000,000
State Funded 3	Classroom Building - Jordan Campus	\$20,000,000		\$20,000,000
State Funded 4	Draper Classroom/Student Services/Admin	\$28,000,000		\$28,000,000
State Funded 5	Business Bldg. Addition (Redwood)	\$22,000,000		\$22,000,000
Land 1	Sandy Center Purchase	\$21,500,000		\$21,500,000
Land 2	Draper Campus Site	\$6,000,000		\$6,000,000
Land 3	Herriman Campus Site	\$2,000,000		\$2,000,000
Land 4	Tooele Campus Site	\$2,000,000		\$2,000,000
Non-State 1	Challenger Facility (Redwood)		\$3,000,000	\$3,000,000
Non-State 2	Facilities/Campus Service/Parking Service Building (Redwood)		\$1,500,000	\$1,500,000

NOTE: Numbers here are subject to change due to inflation, delays in construction and timing for funding.

Utah System of Higher Education
 Capital Facilities Qualification and Prioritization Process 2006-07

Data Drivers for Q&P Calculations

Table 1. Student Enrollment Data Driver for 100s, 200s, 400s, 520s		U of U	USU	WSU	SUU	Snow	DSC	CEU	UVSC	SLCC
(A)	Fall 3rd Week Enrollment FTEs	23,967	17,213	13,337	5,235	2,984	4,518	1,870	16,339	14,604
(B)	5 Year Projected Enrollment	24,050	17,610	13,830	5,560	3,170	5,080	2,070	17,920	16,270
(C)	5 Year Projected Enrollment % Increase	0.35%	2.31%	3.70%	6.21%	6.23%	12.44%	10.70%	9.68%	11.41%

Table 2. Faculty by Discipline Data Driver for 250s (No longer used)		U of U	USU	WSU	SUU	Snow	DSC	CEU	UVSC	SLCC
---	--	--------	-----	-----	-----	------	-----	-----	------	------

Table 3. Faculty/Staff Data Driver for 300s		U of U	USU	WSU	SUU	Snow	DSC	CEU	UVSC	SLCC
(A)	Current FTE Faculty/Staff	3,345.0	2,107.0	1,095.0	487.0	262.0	252.0	151.0	943.0	834.0
(B)	5-year Projected FTE Faculty/Staff	3,357.0	2,156.0	1,135.0	517.0	278.0	283.0	167.0	1,034.0	929.0

Table 4. FTE Faculty and Program Data Driver for 400s		U of U	USU	WSU	SUU	Snow	DSC	CEU	UVSC	SLCC
(A)	Current FTE Faculty	1,511	933	514	228	162	157	71	602	583
(B)	Current Master's Fields - No doctorate	32	40	6	6					
(C)	Current Master's Fields - w/ doctorate	55	34							
(D)	Current Doctorate Fields	61	41							
(E)	Current Undergraduate Major/Minor Fields	97	118	126	60	0	5		43	
(F)	Current 6th Year Specialist Degrees									
(G)	Current Subject field of Study (Assoc. Degrees)	0	10	49	36	10	23	42	57	75
(H)	5-yr Projected FTE Faculty	1,516.0	954.0	532.0	242.0	172.0	177.0	78.0	660.0	649.0
(I)	5-yr projected Master's - No doctorate	32.0	41.0	6.0	6.0	0.0	0.0	0.0	0.0	0.0
(J)	5-yr projected Master's Fields - w/ doctorate	55.0	35.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
(K)	5-yr projected Doctorate Fields	61.0	42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
(L)	5-yr projected Undergrad. Major/Minor Fields	97.0	121.0	131.0	64.0	0.0	6.0	0.0	47.0	0.0
(M)	5-yr projected 6th Year Specialist Degrees	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
(N)	5-yr projected Subject field of Study	0.0	10.0	51.0	38.0	11.0	26.0	46.0	63.0	84.0

Utah System of Higher Education
 Capital Facilities Qualification and Prioritization Process 2006-07

Incremental Q&P ASF Needs (Projected Q&P Gap)

The gap between the 5-year Projected Space Needs per Q&P Standards and the Existing Inventory + Pipeline. Does not include impact of renovations to existing inventory

Table 1. Incremental 5-year Q&P Gap (ASF Needs)	U of U	USU	WSU	SUU	Snow	DSC	CEU	UVSC	SLCC	USHE TOTAL
100 - Classroom	-	5,900	-	-	4,599	-	-	43,212	850	54,562
200 - Teaching Labs	66,505	86,409	68,236	13,865	7,884	18,265	-	314,990	93,137	669,291
250 - Research Labs	-	-	-	-	-	-	-	-	-	-
300 - Office	-	-	-	-	-	-	-	-	-	-
400 - Study	-	101,052	49,123	10,239	8,932	18,404	-	102,788	69,047	359,584
520 - P.E. Special Use	103,004	134,660	-	39,992	-	-	31,593	69,247	-	378,496
500 - Other Special Use	-	-	-	-	-	-	-	-	-	-
600 - General Use	-	-	-	-	-	-	-	-	-	-
700 - Support	-	-	-	-	-	-	-	-	-	-
800 - Health Care	-	-	-	-	-	-	-	-	-	-
900 - Residential	-	-	-	-	-	-	-	-	-	-
000 - Unclassified	-	-	-	-	-	-	-	-	-	-
Subtotal - Net Assignable	169,509	328,021	117,359	64,096	21,415	36,669	31,593	530,237	163,034	1,461,933
Non-Assignable/Structural	0	0	0	0	0	0	0	0	0	0
Total	169,509	328,021	117,359	64,096	21,415	36,669	31,593	530,237	163,034	1,461,933

Table 2. Q&P Gap as Percent of Inventory	U of U	USU	WSU	SUU	Snow	DSC	CEU	UVSC	SLCC	USHE TOTAL
100 - Classroom	0.0%	3.5%	0.0%	0.0%	14.2%	0.0%	0.0%	26.0%	0.4%	4.6%
200 - Teaching Labs	18.3%	31.9%	28.0%	11.4%	8.3%	12.4%	0.0%	117.8%	21.4%	33.0%
250 - Research Labs	0.0%	0.0%	0.0%	N/A	0.0%	N/A	N/A	N/A	N/A	0.0%
300 - Office	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
400 - Study	0.0%	47.8%	49.8%	16.9%	43.2%	71.2%	0.0%	235.2%	105.5%	36.0%
520 - P.E. Special Use	146.5%	N/A	0.0%	178.8%	0.0%	0.0%	321.5%	102.9%	0.0%	54.9%
500 - Other Special Use	N/A	0.0%	N/A	0.0%	N/A	N/A	0.0%	N/A	0.0%	0.0%
600 - General Use	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
700 - Support	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
800 - Health Care	0.0%	N/A	0.0%	N/A	N/A	N/A	N/A	0.0%	0.0%	N/A
900 - Residential	N/A	N/A	N/A	N/A	0.0%	N/A	0.0%	N/A	N/A	N/A
000 - Unclassified	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	N/A	0.0%	0.0%	0.0%
Subtotal - Net Assignable	164.8%	83.2%	77.7%	207.1%	65.7%	83.6%	321.5%	481.9%	127.3%	128.4%
Non-Assignable/Structural	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total	164.8%	83.2%	77.7%	207.1%	65.7%	83.6%	321.5%	481.9%	127.3%	128.4%

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: 2006-2007 USHE Budget Request

Background

At the time of mailing, the Commissioner and staff were still meeting with the Council of Presidents, institutional CFOs and business officers to finalize a recommendation for the FY 2007 budget request. The final recommendation will be hand-carried to the October 27 meeting.

Richard E. Kendell, Commissioner

REK/MHS/KGW

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: State Building Board's Final Recommendations on Capital Projects

Background

The State Building Board met on October 20 to provide its annual ranking of statewide projects. This meeting occurred after the mailing date for the Regents' Agenda. Staff will provide an updated memo at the meeting regarding the rankings.

Richard E. Kendell, Commissioner

REK/MHS/KGW

October 19, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: General Consent Calendar

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

- A. Minutes – Minutes of the Regular Meeting of the State Board of Regents held September 15-16, 2005, at Utah State University in Logan, Utah (Attached)

- B. Grant Proposals
 - 1. University of Utah – Multiple Sponsors; “Hydrocarbon Exploration Models in Deep Water Rift and Passive Margin Settings;” \$1,080,004. Michal Nemcok, Principal Investigator.
 - 2. University of Utah – National Institutes of Health; “Translational Research in the Dystrophinopathies;” \$5,827,468. Kevin M. Flanigan, Principal Investigator.
 - 3. University of Utah – National Institutes of Health; “Family-Genetic Study of Youth at Risk for Schizophrenia;” \$3,430,438. Marina Worsley, Principal Investigator.
 - 4. University of Utah – National Institutes of Health; “Degradation of Cortical Function in Senescent Monkeys;” \$3,246,074. Audie G. Leventhal, Principal Investigator.
 - 5. University of Utah – National Institutes of Health; “Regulation of Human T-Cell Immunity to Hcv Antigens;” \$2,378,060. David D. Eckels, Principal Investigator.
 - 6. University of Utah – National Institutes of Health; “ELOVL4 and Retinal Disease;” \$1,868,750. Kang Zhang, Principal Investigator.

7. University of Utah – Colorado State University; “Regional Centers for Excellence for Biodefense and Emerging Infectious Disease;” \$1,643,112. Michael J. Bamshad, Principal Investigator.
8. University of Utah – Health and Human Services/Centers for Disease Control and Prevention; “Enhancing Detection of Public Health Events Through Electronic Surveillance;” \$1,524,602. Matthew H. Samore, Principal Investigator.
9. University of Utah – National Institutes of Health/National Institute of Child Health and Human Development; “NICHD Maternal Fetal Medicine Units Network - Multicenter;” \$1,427,517. Michael W. Varner, Principal Investigator.
10. University of Utah – National Institutes of Health; “Age Products and Receptors in AMD;” \$1,308,125. Kimberly A. Howes, Principal Investigator.
11. University of Utah – National Institutes of Health/National Institute of Child Health and Human Development; “NICHD Cooperative Multicenter Research Network - Utah Center;” \$1,300,854. Roger G. Faix, Principal Investigator.
12. University of Utah – National Institutes of Health/National Heart, Lung, and Blood Institute; “Permeability of Heteromeric Heart Gap Junction Channels;” \$1,121,250. Alonso Moreno, Principal Investigator.
13. University of Utah – National Institutes of Health; “Computational Tools for Dynamical Modeling of Thrombosis;” \$3,533,974. Aaron L. Fogelson, Principal Investigator.
14. University of Utah – National Science Foundation; “Advance Institutional Transformation Award - Partnering for Institutional Transformation;” \$3,747,877. Susan M. Olson, Principal Investigator.
15. University of Utah – National Institutes of Health/National Library of Medicine; “National Network of Libraries of Medicine (NN/LM) Services;” \$8,868,298. Wayne J. Peay, Principal Investigator.
16. University of Utah – National Institutes of Health/National Library of Medicine; “National Network of Libraries of Medicine (NN/LM) Outreach Evaluation Resource Center;” \$1,387,511. Wayne J. Peay, Principal Investigator.
17. University of Utah – National Science Foundation; “Microfluidic Systems Addressing Biological Complexity;” \$3,198,046. Timothy A. Ameel, Principal Investigator.
18. University of Utah – Stanford University; “A Climate-Neutral Coal Power Process;” \$1,125,370. Philip J. Smith, Principal Investigator.

19. University of Utah – National Institutes of Health; “Gene and Cell-based Therapies for LVAD Patients;” \$2,616,250. David A. Bull, Principal Investigator.
20. University of Utah – National Institutes of Health; “Age-related Peripheral Nicotinic Cholinergic Dysfunction in Inflammation;” \$1,308,125. Lorise C. Gahring, Principal Investigator.
21. University of Utah – National Science Foundation; “CRI: A Hierarchical Data Storage System for Large Data Simulation, Comparison and Visualization;” \$1,439,343. Steen G. Parker, Principal Investigator.
22. Utah State University – US DOD Missile Defense Agency; “Near-Field Infra-red Experiment Efforts;” \$1,051,016. Vern Thurgood, Principal Investigator.
23. Utah State University – National Science Foundation; “Creation of a Bacterial Proteomics and Metabolic Database;” \$1,054,452. Bart Weimer, Principal Investigator.
24. Utah State University – US Department of Education; “Regional Comprehensive Center to Support Southwest Region (SWRCC);” \$12,276,726. John Copenhaver, Principal Investigator.
25. Utah State University – Colorado Trust Foundation; “Evaluation of the Colorado Trust’s Equality in Health Initiative: Addressing Racial and Ethnic Health Disparities;” \$1,299,996. Vonda Jump, Principal Investigator.
26. Utah State University – Institute of Education Sciences; “Foundation for Reading Comprehension (FORC) for Latino Preschoolers and Kindergartners;” \$1,442,350. Mark Innocenti, Principal Investigator.
27. Utah State University – Rutgers University; “Book-based Observation of Oral Comprehension Skills (BOOCS);” \$1,600,000. Lisa Boyce, Principal Investigator.
28. Utah State University – US Department of Education; “Project Start: Striving to Achieve Kindergarten Readiness for Three- to Five-year-olds;” \$1,810,484. Barbara Glover, Principal Investigator.
29. Utah State University – US Department of Education; “Native American Teacher Education Program for San Juan School District;” \$1,228,415. Boyd Silversmith, Principal Investigator.
30. Utah State University – Institute of Education Sciences; “Administrative Intervention;” \$2,105,523. Richard West, Principal Investigator.

31. Utah State University – US DOD Missile Defense Agency; “Ramos Joint Critical Design Review;” \$3,346,71. Thomas Humpherys, Principal Investigator.
32. Utah State University – National Science Foundation; “National Center for Engineering and Technology Education;” \$1,999,888. Christine Hailey, Principal Investigator.
33. Utah State University – NASA Jet Propulsion Laboratory; “Wide-Field Infra-red Survey Explorer (WISE);” \$2,600,148. Scott Schick, Principal Investigator.
34. Utah State University – US Department of Education; “Utah Assistive Technology Program: Statewide Assistive Technology Grant Program;” \$1,110,828. Martin Blair, Principal Investigator.
35. Utah State University – Millennium Challenge Corporation; “Technical Assistance in Agriculture;” \$1,943,324. Christopher Fawson, Principal Investigator.
36. Utah State University – Hewlett Foundation; “Stimulating the Development and Effective Use of Open Educational Resources;” \$1,500,000. David Wiley, Principal Investigator.
37. Utah State University – US DOD Air Force Space and Missile Systems Center; “Proposal to Develop a Novel Neutral Particle Detector for Space Environment Measurements;” \$3,681,883. James Marshall, Principal Investigator.

C. Grant Awards

1. University of Utah – University of Utah – National Institutes of Health/National Institute of Child Health and Human Development; “Utah Autism Program;” \$1,108,893. William M. McMahon, Principal Investigator.
2. University of Utah – Huntsman Cancer Foundation; “Huntsman Cancer Institute - FY 2005-2006;” \$10,000,000. Randall W. Burt, Principal Investigator.
3. University of Utah – National Institutes of Health/National Cancer Institute; “Surveillance, Epidemiology, and End Results (SEER) Program;” \$1,229,509. Wallace L. Akerley, Principal Investigator.
4. University of Utah – National Institutes of Health/National Library of Medicine; “National Network of Libraries of Medicine (NN/LM);” \$1,187,270. Wayne J. Peay, Principal Investigator.

5. University of Utah – National Institutes of Health/National Heart Lung & Blood Institute; “Genetics and Consequences of Nicotine Addiction;” \$2,359,864. John R. Hoidal, Principal Investigator.
6. University of Utah – National Institutes of Health/National Institute on Drug Abuse; “Differential Effects of Methamphetamine and Cocaine;” \$1,056,611. James W. Gibb, Principal Investigator.
7. University of Utah – Utah Department of Human Services (Prime HHS/Administration on Children and Families); “Title IV-E: Training Grant;” \$1,695,349. Norma J. Harris, Principal Investigator.
8. University of Utah – National Institutes of Health/National Institute on Aging; “The Utah Study of Fertility, Longevity and Aging;” \$1,183,304. Ken R. Smith, Principal Investigator.
9. Utah State University – US DOD/US Navy; “Time Critical Sensor Image/Data Processing Task Order #3;” \$1,050,000. Niel Holt, Principal Investigator.
10. Utah State University – National Science Foundation; “National Center for Engineering and Technology Education;” \$2,341,827. Christine Hailey, Principal Investigator; Kurt Becker and Maurice Thomas, Co-Principal Investigators.
11. Utah State University – Hewlett Foundation; “Stimulating the Development and Use of Open Educational Resources;” \$1,500,000. David Wiley, Principal Investigator.

D. Proposed Policy Revisions (Attached)

- A. Amendments to Policy R603, Terrel H. Bell Teaching Incentive Loan Program. During the 2005 General Session, the Utah Legislature passed H.B. 74 (attached), amending the statute establishing the Terrel H. Bell Teaching Incentive Loan Program. Specifically, H.B. 74 expands eligibility for the program to part-time students and emphasizes that incentive loans shall be awarded to students preparing to teach in critical areas of need, which may include special education teachers, speech or language pathologists, and any other licensed professionals providing services to pupils with disabilities. Therefore, this policy has been revised to reflect these amendments. New language has been added to clarify that part-time students are eligible for the awards, and to emphasize that awards should be made consistent with the Utah State Office of Education’s criticality index of high-need areas.
- B. Amendments to Policy R952, Discrimination, Harassment, and Staff Employment Grievances. The hearing guidelines of this policy are revised to clarify the role of advisors, if any, in the hearing process. Also, the amendments describe the materials

to be considered by the various decision makers, as well as the persons from whom the decision makers may seek advice.

- C. Amendments to Policy R981, *Procurement*. These amendments replace the Office of the Commissioner's adoption by reference of the University of Utah procurement regulations. This more detailed policy is based on the University regulations as modified to meet the needs of the Office of the Commissioner.
- D. New Policy R985, *Personal Communications Device Program*. This policy authorizes the Office of the Commissioner to support the use of personal communications devices by selected employees. The office can either provide the device and pay the activations fees, or subsidize the acquisition of an employee owned device and provide a periodic reimbursement to the employee for activation fees relating to Office business.

Richard E. Kendell, Commissioner

REK:jc
Attachments

MINUTES OF MEETING
 UTAH STATE BOARD OF REGENTS
 UTAH STATE UNIVERSITY, LOGAN, UTAH
 September, 2005

Thursday, September 15

Roll Call 1

COMMITTEE OF THE WHOLE
 Capital Development Projects for 2006-2007 3

Friday, September 16

Roll Call 6

COMMITTEE OF THE WHOLE
 2006 Meeting Schedule 9

Reports of Board Committees

Academic, CTE and Student Success (Programs) Committee

Program Review Policy 9

Institutional Reviews Summary (UU, WSU, SLCC) 9

Utah State University – Doctor of Audiology Third-year Report 10

Southern Utah University – Bachelor of Science Degree in Athletic Training
 Third-year Report 10

Weber State University/Utah Valley State College – Bachelor of Applied
 Technology (BAT) Degree 10

Utah College of Applied Technology – Associate of Applied Technology (AAT)
 Degrees 10

Finance, Facilities and Accountability Committee

University of Utah – 2005-2006 Budget for University Hospitals and Clinics 11

Utah State University – Campus Master Plan 11

Southern Utah University – Authorizing Resolution, Pavilion/Stadium Facilities
 Expansion, Student Building Fee Refunding Note, Series 2005 11

Salt Lake Community College – Property Purchase 12

UHEAA – Approving Resolution, SBR Student Loan Revenue Bonds, Series 2005AA 12

Consent Calendar 13

Dixie State College – Property Purchase 13

Review of Institutional Five-Year Plans 13

Capital Development Priorities 13

“Other Funds” Capital Development Projects for 2006-2007 14

State Board of Education/State Board of Regents Resolution, K-16 Alliance 14

USTAR Presentation	
Overview	14
Technology Innovation Centers	15
USHE Budget Priorities for 2006-2007	16
General Consent Calendar	17
Report of the Commissioner	17
Report of the Chair	18
Joint Meeting of the State Board of Regents/State Building Board	18
Capital Development Projects	18
Institutional Five-year Plans	20
Adjournment	21

MINUTES OF MEETING
UTAH STATE BOARD OF REGENTS
UTAH STATE UNIVERSITY, LOGAN, UTAH

September 15, 2005

Regents Present

Nolan E. Karras, Chair
Jed H. Pitcher, Vice Chair
Jerry C. Atkin
Daryl C. Barrett
Bonnie Jean Beesley
Janet A. Cannon
Rosanita Cespedes
Katharine B. Garff
David J. Grant
Meghan Holbrook
James S. Jardine
Michael R. Jensen
Gaby Bradford Kingery
Josh M. Reid
Sara V. Sinclair
Marlon O. Snow

Regents Excused

David J. Jordan

Office of the Commissioner

Richard E. Kendell, Commissioner
David L. Buhler, Associate Commissioner for Public Affairs
Joyce Cottrell, Executive Secretary
Amanda Covington, Director of Communications
David S. Doty, Assistant Commissioner and Director of Policy Studies
Brian Foisy, Assistant Commissioner for Financial Services
Kimberly Henrie, Budget Officer
Phyllis C. Safman, Assistant Commissioner for Academic Affairs
Mark H. Spencer, Associate Commissioner for Finance and Facilities/Executive Director, UHEAA
Lucille T. Stoddard, Associate Commissioner for Academic Affairs
Kevin Walthers, Assistant Commissioner for Finance and Facilities
Lynne Ward, Assistant Commissioner and Executive Director, UESP
Gary S. Wixom, Assistant Commissioner for CTE and Special Projects

Institutional Representatives

University of Utah

Michael K. Young, President
Paul T. Brinkman, Associate Vice President for Budget and Planning
Arnold B. Combe, Vice President for Administrative Services
Michael Perez, Associate Vice President for Facilities
Raymond F. Gesteland, Vice President for Research

Laura Snow, Special Assistant to the President/Secretary to the University
Charles A. Wight, Assistant Vice President for Academic Affairs and Undergraduate Studies

Utah State University

Stan L. Albrecht, President
Noelle Cockett, Interim Provost
Glenn Ford, Vice President for Business and Finance
Juan Franco, Vice President for Student Services
Darrell Hart, Assistant Vice President for Facilities
Richard W. Jacobs, Budget Director
Stanley Kane, Director of Facilities Planning
Clinton G. Moffitt, Assistant Vice President for Finance/Controller
Sydney Peterson, Chief of Staff
Cody Bingham, Student
Quinn Millett, Student Body President
Spencer Watts, Student

Weber State University

F. Ann Millner, President
Brad Mortensen, Assistant Vice President for Support and Auxiliary Services
Norm Tarbox, Vice President of Administrative Services

Southern Utah University

Steven D. Bennion, President
Abe Harraf, Provost
Dorian Page, Associate Vice President and Treasurer

Snow College

Michael T. Benson, President

Dixie State College

Lee G. Caldwell, President
Donna Dillingham-Evans, Interim Academic Vice President
Frank B. Lojko, Director of Government Relations, Institutional Research & the Hurricane Education Center

College of Eastern Utah

Ryan L. Thomas, President

Utah Valley State College

Val Peterson (Acting President), Vice President for Administration and External Affairs
Linda Makin, Director of Budgets
J. Karl Worthington, Associate Vice President of Academic Affairs

Salt Lake Community College

Cynthia A. Bioteau, President
Richard Bouillon, Marketing Manager

Julie Ann Curtis, Assistant Vice President for Academic Services
Don Porter, Vice President for Administrative Services
David Richardson, Vice President for Academic Services
J. Gordon Storrs, Master Planning Coordinator

Utah College of Applied Technology

Darrell K. White, Interim President
Linda Fife, President, Salt-Lake Tooele ATC
Jared Haynes, Vice President for Academic and Student Services

Representatives of the Media

Steve Speckman, *Deseret Morning News*
Shinika Sykes, *Salt Lake Tribune*

Others

Steve Allred, Office of the Legislative Fiscal Analyst
Kent D. Beers, Division of Facilities Construction and Management
Carrie Flamm, Executive Director, Utah Student Association
Kim Hood, Governor's Office of Planning and Budget
Ken Nye, Deputy Director, Division of Facilities Construction and Management
Spencer Pratt, Office of the Legislative Fiscal Analyst

Capital Development Projects for 2006-2007

Following lunch with the Utah State University Board of Trustees and meetings of the Board Committees, Vice Chair Pitcher called to order the Committee of the Whole at 2:40 p.m. He announced that the only item on the agenda for this session was approval of the USHE capital facilities projects (see Tab N). Institutional Presidents gave presentations on their respective projects as follows:

University of Utah

Neuroscience and Biomedical Technology Research Building
Restoration of Exterior of Park Building

Utah State University

Agriculture/Classroom Replacement Building
Land Purchase and Relocation of Innovation Campus

Weber State University – Classroom Building/Chiller Plant

Southern Utah University – Addition to Science Center

Snow College – College-County Library and Classroom Building

Dixie State College – Addition to Science Building

College of Eastern Utah – Fine Arts Replacement Building

Utah Valley State College – Digital Learning Center

Salt Lake Community College – Digital Design and Community Center/Student Life Center

After running the Qualification and Prioritization (Q&P) process, the recommended rankings were:

1. WSU

2. USU (Replacement Building)
3. UVSC
4. SLCC
5. DSC
6. CEU
7. SUU
7. Snow
9. UU (Research Building)
10. UU (Park Building)
11. USU (Relocation)

Associate Commissioner Spencer reviewed the Q&P process and summary of project costs. He pointed out that the relocation of USU's agricultural functions cannot be ranked because it does not fit within Q&P categories. However, the Legislature had already approved and funded the first phase of the project and it is appropriate for the Regents to endorse it. Dr. Spencer noted that the UCAT capital projects were also shown for the Regents' information, although they are approved by the UCAT Board of Trustees.

A few of the projects were the subject of extensive discussion. Of particular interest was CEU's Fine Arts Building. President Thomas remarked that this was the ninth consecutive year in which he had requested funding for this facility. In the interim, the expected cost had increased from \$11 million to \$16 million. President Thomas said private donors had pledged \$11.5 million for the project, so his funding request was for the remaining \$5 million.

Regent Grant recommended awarding P points for the total amount that had been pledged for the project. Associate Commissioner Spencer explained that P points for donations are based on the amount of firm money in-hand when the Q&P ranking is done. Regent Grant asked President Thomas when he expected to receive the money. President Thomas said he should have the money by the time the 2006 Legislature convenes. Chair Karras asked Associate Commissioner Spencer how the rankings would be affected if CEU's donated funds were considered at the higher rate. Dr. Spencer responded that if CEU's full donation were counted, their project would be ranked #2.

Chair Karras asked if the University of Utah's Neuroscience and Biomedical Technology Research Building would normally be considered in the Regents' ranking process, since it is considered part of the USTAR Initiative. He said he would prefer to have that facility on a separate list so that it did not compete with the other System projects. Regent Grant asked if the Park Building Restoration could be done over two years and funded with capital improvements money. President Young agreed that the restoration could be done in two phases. However, he cautioned that the deterioration is accelerating and the cost of restoring it will escalate accordingly.

President Bioteau asked why student money was assigned points as "other funding." Associate Commissioner Spencer said revenue from student fees has not been considered on a state-funded building. Vice President Porter pointed out that the funds had been accumulating to retire the bond on the Student Center. Dr. Spencer said he would review the bond covenant to see if it specified how the fees could be used. (Were they committed to the Student Center on the Redwood Road Campus, and could they be committed to a Student Center at the South City Campus?) Assistant Commissioner Walthers pointed out that if student fees

were to be considered, every institution could receive additional points for taking SLCC's approach. Non-state funds should be funds external to the system.

President Benson suggested that "Q" points be ranked in relation to the length of time a project had been an institution's top priority.

Regent Grant moved that the University of Utah's Research Building and the USU land purchase be removed from the Capital Development priority list in order to receive special consideration for funding, that the CEU project be ranked higher on the list if President Thomas can verify receipt of the donated funds, and that the Park Building Restoration also be moved higher on the priority list. Regent Atkin seconded the motion. Regent Barrett asked that the motion be amended to request phased funding from AR&I funds for the Park Building. Regents Grant and Atkin agreed to the amendment.

Commissioner Kendell agreed that there may be merit in considering duration of the request in the ranking process, but it was not done this year. He urged caution in taking projects off the list with the expectation that they will be funded in other ways and asked that CEU's ranking not be changed until President Thomas had received the money.

President Albrecht acknowledged that it was not realistic to assume that the USU Agriculture/ Classroom Building would be funded this year. The Agriculture relocation must be funded this year, however. He recommended that the ranking of the USU and UVSC projects be reversed.

Regent Holbrook requested clarification of the existing motion. Regent Grant clarified that the USU relocation would be ranked as a co-#1, the two University of Utah projects would be removed from the list and considered with special USTAR and Capital Improvement (AR&I) funding, CEU would be ranked behind Weber if President Thomas can verify that he has the cash in hand, followed by the USU Agriculture Building, UVSC Digital Learning Center, etc. **Regent Atkin withdrew his second to Regent Grant's motion. Regent Garff then seconded the motion. Chair Karras asked that the motion include the statement that the final priority list be subject to review of the Board Chair or Commissioner's staff. Regent Grant agreed with that stipulation. Regent Atkin seconded the amended motion. Vote was taken, and the motion carried.**

Regent Barrett moved that the USU and UVSC projects be reversed in the rankings. Regent Grant seconded the motion. Commissioner Kendell recommended that the Regents retain the rankings (by not re-ranking CEU and not reversing the USU and UVSC rankings) until we know the Legislature's appetite for funding capital facilities. **Regents Barrett and Grant withdrew their motion and second, respectively.**

Regent Jensen said it was significant that President Albrecht had agreed to relinquish his project and yield to UVSC. The Presidents' agreement and cooperation is commendable.

Chair Karras reviewed the next day's activities and urged all of the Regents to remain for the full meeting. **Regent Barrett moved that the meeting be recessed until the following day. The motion was seconded by Regent Holbrook and carried.**

September 16, 2005

Regents Present Regents Excused

Nolan E. Karras, Chair

Jed H. Pitcher, Vice Chair

Jerry C. Atkin

Daryl C. Barrett

Bonnie Jean Beesley

Janet A. Cannon

Rosanita Cespedes

Katharine B. Garff

David J. Grant

Meghan Holbrook

James S. Jardine

Michael R. Jensen

David J. Jordan

Gaby Bradford Kingery

Josh M. Reid

Sara V. Sinclair

Marlon O. Snow

Office of the Commissioner

Richard E. Kendell, Commissioner

David L. Buhler, Associate Commissioner for Public Affairs

Joyce Cottrell, Executive Secretary

Amanda Covington, Director of Communications

David S. Doty, Assistant Commissioner and Director of Policy Studies

Brian Foisy, Assistant Commissioner for Financial Services

Kimberly Henrie, Budget Officer

Mark H. Spencer, Associate Commissioner for Finance and Facilities/Executive Director, UHEAA

Lucille T. Stoddard, Associate Commissioner for Academic Affairs

Kevin Walthers, Assistant Commissioner for Finance and Facilities

Lynne Ward, Assistant Commissioner and Executive Director, UESP

Gary S. Wixom, Assistant Commissioner for CTE and Special Projects

Institutional Representatives

University of Utah

A. Lorris Betz, Senior Vice President for Health Sciences

Paul T. Brinkman, Associate Vice President for Budget and Planning

Arnold B. Combe, Vice President for Administrative Services

Michael Perez, Associate Vice President for Facilities

Raymond F. Gesteland, Vice President for Research

Laura Snow, Special Assistant to the President/Secretary to the University

Charles A. Wight, Assistant Vice President for Academic Affairs and Undergraduate Studies

Kimberly Wirthlin, Vice President for Government Relations

Utah State University

Stan L. Albrecht, President

Noelle Cockett, Interim Provost

David Cowley, Director of Facilities Business Services
Glenn Ford, Vice President for Business and Finance
Juan Franco, Vice President for Student Services
Darrell Hart, Assistant Vice President for Facilities
Richard W. Jacobs, Budget Director
Stanley Kane, Director of Facilities Planning
Clinton G. Moffitt, Assistant Vice President for Finance/Controller
Sydney Peterson, Chief of Staff
Cody Bingham, Student
Quinn Millett, Student Body President
Spencer Watts, Student

Weber State University

F. Ann Millner, President
Kevin P. Hansen, Assistant Vice President for Facilities Management
Brad Mortensen, Assistant Vice President for Support and Auxiliary Services
Norm Tarbox, Vice President of Administrative Services

Southern Utah University

Steven D. Bennion, President
Abe Harraf, Provost
Dorian Page, Associate Vice President and Treasurer
Gregory L. Stauffer, Vice President for Administrative and Financial Services

Snow College

Michael T. Benson, President

Dixie State College

Lee G. Caldwell, President
Donna Dillingham-Evans, Interim Academic Vice President
Frank B. Lojko, Director of Government Relations, Institutional Research and the Hurricane Education Center

College of Eastern Utah

Ryan L. Thomas, President

Utah Valley State College

Val Peterson (Acting President), Vice President for Administration and External Affairs
Linda Makin, Director of Budgets
James L. Michaelis, Associate Vice President for Facilities Planning
J. Karl Worthington, Associate Vice President of Academic Affairs

Salt Lake Community College

Cynthia A. Bioteau, President
Richard Bouillon, Marketing Manager

Julie Ann Curtis, Assistant Vice President for Academic Services
Don Porter, Vice President for Administrative Services
David Richardson, Vice President for Academic Services
J. Gordon Storrs, Master Planning Coordinator

Representatives of the Media

Denise Albiston, *Herald Journal*
Steve Speckman, *Deseret Morning News*
Shinika Sykes, *Salt Lake Tribune*

Others

Steve Allred, Office of the Legislative Fiscal Analyst
Julee Attig, Jacobsen Construction
Randa Bezzant, Governor's Office of Planning and Budget
Kent D. Beers, Division of Facilities Construction and Management
Barbara Bruno, Herman Miller, Inc.
Carrie Flamm, Executive Director, Utah Student Association
Kim Hood, Governor's Office of Planning and Budget
Thomas Jensen, Architectural Nexus
Jackie McGill, Spectrum Engineers
Ken Nye, Deputy Director, Division of Facilities Construction and Management
Spencer Pratt, Office of the Legislative Fiscal Analyst
Rick Stock, Architectural Nexus

Chair Karras reconvened the Committee of the Whole at 8:07 a.m. and called the meeting to order. He introduced USU Professor Norm Jones and invited him to speak about the Educated Persons Conference. Dr. Jones announced the 8th Educated Persons Conference would be held November 11 in Salt Lake City. He invited everyone to attend the conference.

2006 Meeting Schedule

Chair Karras referred to the proposed 2006 Board of Regents' Meeting Schedule behind Tab P, which had previously been circulated to the Regents and Presidents. **The schedule was approved as presented.**

Reports of Board Committees

Academic, CTE and Student Success (Programs) Committee

Program Review Policy (Tab A). Chair Jardine said the committee had discussed the 1980 version of policy R411 as well as the 1998 revision which delineated responsibility for program review to Boards of Trustees. As that process has evolved, there is a sense that the reviews may not be uniform across the system in a way that is beneficial or appropriate to the Regents. From a Regent perspective, it is very important that program reviews be encouraged, supported, focused and disciplined, but the greatest benefit will occur in the process being conducted appropriately at the institutional level. Reviews by external participants also provide new perspectives. At the end of the review, the appropriate Dean, Department Chair and Division Chair meet

to discuss the review in great detail, and a written report is presented to the Board of Trustees and subsequently to the Regents. The committee agreed that the process should include a "best practices" sharing of views by the Chief Academic Officers (CAOs) in order to know what is practical. The committee asked Associate Commissioner Stoddard and her staff to work with the CAOs to develop appropriate revisions to the policy.

Chair Karras expressed concern about cost effectiveness. He said one example of cost effectiveness would be the availability of jobs in the program in which graduates earn their degrees. Chair Jardine said he would be comfortable asking that cost effectiveness be considered by the CAOs and included in the policy as a criterion. President Bennion pointed out that part of a student's college experience is the ability to get a job, but a college education has other important benefits. Many of our students will change careers over their lifetimes.

Chair Jardine said when the Program Review Committee looks at a new program proposal, they include student demand and labor force demand as well as fiscal notes. They also request three-year follow-up reports to ascertain whether the demands have been met. He noted that this was not an action item.

Institutional Reviews Summary (Tab B). Chair Jardine said the agenda included reviews of a number of programs at the University of Utah, Weber State University, and Salt Lake Community College. The committee determined the reviews should be tied to accreditation reviews as often as possible. Institutional representatives were asked to give brief highlights of their respective programs, and the Regents were pleased with the reports. SLCC noted that they were watching their Aviation Technology/Professional Pilot program carefully because some concerns had been raised. Chair Jardine said in his 17 years as a Trustee or Regent, only one program had been put on probation. Rather, programs are eliminated as a result of program reviews and institutional scrutiny. Spikes of excellence appeared in program reviews, such as the University of Utah's Modern Dance Program, which is ranked first in the nation in its graduate program and third in the undergraduate program. He remarked that the greatest benefit of the program review process is in the peer-to-peer review with external reviewers.

Regent Jensen called attention to the remarkable 37% increase in enrollment in SLCC's Physics program over the past five years. Chair Karras requested that future reports all include the number of students (FTEs) in each program. Regent Cespedes asked if the reports presented to the Regents could follow a standard format so they could be understood more easily. Chair Jardine agreed this process would be beneficial to the Regents. He asked what and how many details the Regents would like to have included in the reviews. Current policy does not give clear direction of what is required in the reviews and what kind of information the Regents should receive. Regent Jordan pointed out that the measures of quality for one program would probably not be the same as for another program. Not everything is comparable; there are always qualitative measures of quality that will not lend themselves to easy comparisons. The Regents must rely in the more detailed work being done by the Trustees to be assured of institutional vigor.

Utah State University – Doctor of Audiology Third-Year Report (Tab C). Chair Jardine recalled the program had been approved three years ago because standards required by the industry had changed. USU's biggest challenge was that they had anticipated a large amount of funding external to the institution which did not materialize, so they had to pursue other avenues for funding. Enrollment met expectations, and the committee was satisfied with the program's success.

Southern Utah University – Bachelor of Science Degree in Athletic Training Third-Year Report (Tab D). Chair Jardine noted the predicted demand had been fulfilled, although there had been a slight change in the program. The original three-year program with eight students per year had changed to a two-year program with twelve students. The program has experienced significant demand and good placement, and the committee was satisfied with its progress.

Weber State University/Utah Valley State College – Bachelor of Applied Technology Degree Third-Year Report (Tab E). Chair Jardine said a proposal had been presented to the Regents two years ago for a four-year Bachelor of Applied Technology (BAT) Degree for students with an Associate of Applied Technology (AAT) Degree. There has been no student enrollment in the BAT program. The committee asked WSU, UVSC and UCAT officials to submit recommendations about whether to terminate the previously approved programs, with the understanding that those recommendations would not be considered before a decision had been made regarding the future of the AAT Degree.

Utah College of Applied Technology – Associate of Applied Technology (AAT) Degrees (Tab F). Chair Jardine said the PRC had recently been presented with two new AAT degree proposals. Because a discussion about AAT degrees generally had not been resolved, the PRC determined to review the larger issue of AAT degrees in general, rather than the specific programs presented for approval. Commissioner Kendell expressed his concern to the committee about the role of AAT degrees and whether that blurs the definition and boundaries between UCAT institutions and community colleges. The PRC then invited President White and representatives of three UCAT campuses to discuss the importance of degrees.

The legislation creating the Utah College of Applied Technology included a statement that UCAT would be able to offer AAT degrees. The three AAT programs now offered do not appear much different from the AAS degrees offered by community colleges. UCAT serves 55,000 (head count) students. To date only 80 students have graduated with AAT degrees. The Program Review Committee decided to get additional information and ultimately move forward a general proposal on AAT degrees. Having done that, they will consider the two new program proposals on their merit. Subsequently, a decision can be made on the BAT degree. Chair Jardine reflected this would be a major discussion topic for all of the Regents.

Commissioner Kendell agreed this was a very important policy issue for the state. Given the fact that there is not a huge demand for the BAT degrees, he suggested no further development in the BAT degree programs until the AAT issue had been resolved.

President Millner requested clarification: Should the institutions counsel students into other programs? Regent Jordan asked the two institutions if it would be a hardship if the Regents were to place a moratorium on BAT program proposals until the investigation had been concluded. Vice President Peterson and President Millner said they could easily counsel students into other programs. President Millner asked if this was a statewide decision or a regional decision. Chair Jardine said it would start on a statewide level. Although the Regents will consider this issue as a system, that does not preclude regional arrangements. Regent Jordan clarified that the institutions could continue what they were already doing on AAT degrees, with the realization that the statewide discussion may alter regional agreements.

Commissioner Kendell reported that he had met with President White and the UCAT campus presidents earlier in the week and outlined his concerns in great detail. These are state issues. The BAT and

AAT degrees are system issues and should be resolved at that level. He acknowledged that there are regional differences, but regional plans are purely conceptual. He urged the Regents to focus on the "design" of UCAT and not to "build" until a clear idea has been determined.

Chair Karras thanked Chair Jardine for his report and for the committee's recommendation on these important issues.

Finance, Facilities and Accountability Committee

University of Utah – 2005-2006 Budget for University Hospitals and Clinics (Tab G). Chair Atkin said the committee had heard an excellent presentation by Rick Fullmer and Gordon Crabtree, hospital administrators. Although the operating margin is a little lower than preceding years, the UUHC continues to be fiscally sound. **Chair Atkin moved adoption of the UUHC proposed budget. The motion was seconded by Regent Holbrook and carried.**

Utah State University – Campus Master Plan (Tab H). Chair Atkin said University officials had provided updates to the Campus Master Plan. Vice President Ford called attention to pages 18-19 of the report, which outlined the institution's five-year development plan. A question arose in committee about the library. University officials plan to demolish the old library; the newly constructed Merrill-Cazier Library will be connected with the Science Technology Library. **Regent Grant moved approval of Utah State University's Campus Master Plan. The motion was seconded by Regent Jensen and carried.**

Southern Utah University – Authorizing Resolution, Pavilion/Stadium Facilities Expansion, Student Building Fee Refunding Note, Series 2005 (Tab I). Chair Atkin explained that University officials proposed to refinance their existing bonds at a lower interest rate through private placement. This has the advantage of lowered interest rates and a cost savings, reduced fees, and other benefits. **Regent Grant moved adoption of the Authorizing Resolution. The motion was seconded by Chair Atkin and adopted by the following vote:**

AYE

Jerry C. Atkin
Daryl C. Barrett
Bonnie Jean Beesley
Rosanita Cespedes
Katharine B. Garff
David J. Grant
Meghan Holbrook
James S. Jardine
Michael R. Jensen
David J. Jordan
Nolan E. Karras
Gaby Kingery
Jed H. Pitcher
Josh M. Reid

NAY

(None)

Salt Lake Community College – Property Purchase (Tab J). Chair Atkin said College officials wished to purchase a small parcel of property adjacent to the South City Campus at the appraised value of \$233,000. Funds for the purchase would come from one-time reserves in the physical plant fund which had been specifically set aside for property acquisition. **Chair Atkin moved approval of the purchase. The motion was seconded by Regent Holbrook and carried.**

UHEEA – Approving Resolution, SBR Student Loan Revenue Bonds, Series 2005AA (Tab K). Chair Atkin explained the regular process that takes place once or twice a year to finance the operation of buying student loans. Parameters of the resolution were shown on page 2 of the Commissioner’s cover letter. Regent Beesley asked why the Series 2005AA-3 bonds had an expected rating of A when the others were rated AAA, and why the bonds were taxable. Associate Commissioner Spencer said they were taxable because we have exceeded the state cap on non-taxable bonds this year. Word had been received prior to the meeting that the ratings had improved cash flow and the \$25 million subordinated bond would not be needed, so all bonds will be rated AAA. **Chair Atkin moved adoption of the resolution. The motion was seconded by Regent Jensen and adopted by the following vote:**

AYE	Jerry C. Atkin Daryl C. Barrett Bonnie Jean Beesley Rosanita Cespedes Katharine B. Garff
(AYE)	David J. Grant Meghan Holbrook James S. Jardine Michael R. Jensen David J. Jordan Nolan E. Karras Gaby Kingery Jed H. Pitcher Josh M. Reid
NAY	(None)

Consent Calendar, Finance, Facilities and Accountability Committee (Tab L)
UofU and USU Capital Facilities Delegation Reports. **Chair Atkin moved approval of the delegation reports. The motion was seconded by Regent Holbrook and carried.**

Dixie State College – Property Purchase. Chair Atkin explained that the College wants to acquire property for additional housing. This will provide more affordable housing for married couples than might otherwise be available. **Chair Atkin moved approval of the purchase with the following stipulations: The purchase would be subject to final review and approval by the Commissioner, following a 45-day due-diligence period and a purchase agreement providing for a refundable deposit. The motion was seconded by Regent Holbrook and adopted.**

Review of Institutional Five-Year Plans (Tab M). Chair Atkin reported that the committee had not had time to discuss this item. He suggested that all Regents review this information because it outlined what each institution is planning for the next five years. He requested a report from the Commissioner's staff to make the data more meaningful for the Regents to understand.

Capital Development Priorities (Tab N). Chair Karras asked the Regents to revisit the Q&P priority list. He requested that USU's land purchase be taken off the list, although it will still be a top priority for the Regents. The subsequent ranking then became:

1. WSU Classroom Building/Chiller Plant
2. CEU Fine Arts Center (subject to verification of donor funds)
3. USU Agriculture/Classroom Replacement Building
4. UVSC Digital Learning Center
5. SLCC Digital Design & Communication Center/South City Campus Student Life Center
6. DSC Science Building Addition
7. SUU Science Center Addition
7. Snow College-Sanpete County Library and Classroom Building

Chair Karras noted that both of the University of Utah's projects had been removed from the list because the Park Building would be eligible for AR&I funding, and the new Neuroscience Building would be funded through a USTAR economic development initiative. President Albrecht clarified that USU's project was not a land purchase but an expansion. Regent Jordan asked why USU's relocation did not fit into the Q&P process. Associate Commissioner Spencer explained that it was for agricultural research space, which doesn't fit well within standard classroom/lab criteria. President Albrecht pointed out that the Legislature had funded half of the project last year. Legislative leadership is aware that the project must be completed this year.

Chair Karras said President Thomas had left early to consult with the donors for the CEU facility. Commissioner Kendell had explained to him that there is a very short time period in which this needs to be resolved. If funds do not materialize, CEU's project will revert to its original ranking (#6).

"Other Funds" Capital Development Projects for 2006-2007 (Tab O). Chair Karras reviewed the list of non-state funded projects. Associate Commissioner Spencer stated that the list required the Regents' approval before it is presented to the Legislature because State funding was being requested for operations and maintenance (O&M) for some of the projects. **Regent Holbrook moved approval of the non-state funded projects. The motion was seconded by Regent Barrett.** Regent Jordan remarked that the O&M request for UVSC's Performing Arts Center seemed disproportionately high. Associate Commissioner Spencer said he would double-check the formula. **Vote was taken on the motion, which carried.**

Chair Karras thanked Chair Atkin for his report and the work of his committee.

State Board of Education/State Board of Regents Resolutions

Commissioner Kendell referred to the resolution behind Tab Q and said he and Chair Karras had been working with the State Board of Education and Governor's Office on a K-16 initiative to address the most pressing issues in the state's educational systems. A number of people have looked at the resolution and asked

that additional individuals be involved. Commissioner Kendell suggested that the proposed Alliance begin with the recommended membership, and that the resolution be modified to read, “. . . the Alliance would consist of **at least** the following members. . .” This would enable others to be brought into the Alliance as necessary, for a limited period of time or for full involvement. Chair Karras added that the State Board of Education would be voting on a similar resolution at its next meeting.

Regent Holbrook moved adoption of the Resolution, as amended. The motion was seconded by Regent Atkin and carried unanimously.

USTAR Presentation

Overview. Commissioner Kendell introduced Dr. Jack Brittain, Dean of the David Eccles School of Business at the University of Utah and head of the planning committee, who provided an overview of the Utah Science, Technology and Research (USTAR) Initiative. Dr. Brittain’s slide presentation can be downloaded from the USTAR web site at <http://www.ustaredi.org/news.html>: “Board of Regents presentation 9/16/05.”

Dr. Brittain explained that USTAR is a continuation of an Economic Development Initiative developed by business leaders in 2004. The long-term decline of Utah’s salaries, as compared with the United States average, coupled with the downturn in employment in technology, led to the development of the USTAR Initiative. USTAR is an economic development initiative, and higher education has multiple roles in economic development: educating the workforce, economic outreach, and the research being done at our research universities, along with the new companies resulting from that research.

In the past five years, a total of \$29.5 billion has been committed to economic research nationally. Thirty-two states are currently investing in university research for economic development. Dr. Brittain noted that USTAR is aligned with the Governor’s Economic Cluster Initiative. USTAR focuses on research investments at the research universities and the support of high technology entrepreneurs and businesses throughout the state. Effective private sector and government support is vital for its success.

Two approaches have been identified for this initiative – a Research Model (Capacity Building) and a Market Model (Outreach/Broker). USTAR is structured around both approaches. It was recommended that the State of Utah take a modern approach in both areas by investing in new research teams and Technology Innovation Centers. The Small Business Administration has identified Provo, Logan and Salt Lake City as “nexus” cities for entrepreneurship. Dr. Brittain reflected that it was no coincidence that these are the cities in Utah with research universities. Many new companies, as well as 6000 professional careers, have resulted from research generated at Utah’s universities. Dr. Brittain noted that salaries coming from these developing companies are in the \$80,000 range.

The 2004 USTAR proposal requested \$25 million per year in ongoing investment in research teams, of which \$4 million has been funded; \$25 million in Technology Innovation Centers, of which \$3 million has been appropriated for research equipment at the University of Utah; and \$250 million to be invested in research infrastructure, of which \$350,000 has been funded to develop an investment prospectus. The 2006 proposal is for \$21 million in new ongoing funding to support 25 new research teams at USU and the University of Utah,

\$175 million in infrastructure support at the two research universities, and \$2.6 million in ongoing funding, to be appropriated to the Utah System of Higher Education to support Technology Innovation Centers.

Regent Jordan pointed out that the other colleges and state universities could also be helpful because the presidents are all involved with their local Chambers of Commerce.

Technology Innovation Centers. Commissioner Kendell thanked Dr. Brittain for his presentation. He pointed out USTAR is a specialized initiative with two major objectives: (1) substantially increase the research and development capacity of our research universities, and (2) connect research universities to regional colleges, communities, and entrepreneurs throughout the state.

The USTAR Technology Commercialization Planning Team surveyed 30 states and narrowed their findings to come up with a few states that have been the most successful. The Team asked what those states were doing that would be helpful for advancing the commercialization process in Utah. After extensive research, the Team then made the following recommendations:

1. Create a Utah Innovation Network (UIN) with the following key elements:
 - A. Web-based connectivity and services
 - B. Entrepreneurial outreach and mentoring
 - C. Brokerage of existing resources and providers, combined with support for regional economic development initiatives
2. Establish five (5) Regional Innovation Centers to be the backbone of the Innovation Network
3. The Innovation Centers should be staffed by experienced, entrepreneurial professionals.
4. The Innovation Centers should be closely connected to Utah's research universities but should also be responsive to regional economic development initiatives undertaken by USHE's teaching colleges and universities.
5. The Innovation Centers should leverage existing assets, utilize existing resources, and align with the State's overall economic development plan.
6. The Utah Innovation Network should be organized as a non-profit 501(c)(3) foundation under the State Board of Regents and rolled out in planned stages.
7. The proposed start-up budget for the Utah Innovation Network and Regional Innovation Centers is \$2,614,000.

Commissioner Kendell said the CEO of the foundation would hire experienced regional directors. He used the image of "circuit riders" to broker ideas on a statewide basis. The idea is to focus on leveraging existing economic assets. The start-up costs could be higher, perhaps as much as \$5 million. Dr. Kendell said the key to the success of this venture is to hire the right people, not to construct new physical facilities. The money would flow through USTAR to the 501(c)(3) foundation. The foundation's board of directors would be made up of key leaders throughout the state who would assume the fiscal responsibility.

USHE Budget Priorities for 2006-2007

Associate Commissioner Spencer referred to Replacement Tab R in the Regents' folders and said that Priorities 1 and 2 were budget priorities common for every institution, whereas priorities 3-6 were institution-specific. Commissioner Kendell referred to Item 6, Economic Development Initiatives. He noted that the budget categories reflected the strategic directions discussed in April when the Board met in St George. Regional initiatives will be part of the budget.

Regent Barrett expressed her support for budgeting according to the strategic direction themes. She asked if other initiatives were being developed to take the place of the Engineering and Nursing Initiatives which were nearing completion. Commissioner Kendell said he hoped the State would continue its interest in the Nursing and Engineering Initiatives. He will discuss the format for the regional initiatives with the USHE presidents. In addition, other economic development initiatives not related to USTAR still need to be addressed.

General Consent Calendar

On motion by Regent Atkin and second by Regent Beesley, the following items were approved on the Regents' General Consent Calendar (Tab T):

- A. Minutes – Minutes of the Regular Meeting of the State Board of Regents on August 18-19, 2005, in Salt Lake City, Utah
- B. Grant Proposals (on file in the Commissioner's Office)
- C. Grant Awards
 - 1. University of Utah – National Park Service; "Assistance for the University of Utah Museum of Natural History;" \$4,930,000. Sarah B. George, Principal Investigator.
 - 2. University of Utah – National Center for Res Resources; "Extramural Research Facilities Construction;" \$3,783,855. Ronald J. Pugmire, Principal Investigator.
 - 3. University of Utah – State of Utah/Legislature; "2004-2005 State of Utah Legislature, USTAR General Fund Appropriation (Brain Institute Equipment Funding); \$3,000,000. A. Lorris Betz, Principal Investigator.
 - 4. Utah State University – USDA Cooperative State Research Service; "Implementation of Western Region Sustainable Agriculture Research and Education (SARE) Proposal;" \$2,682,719. V. Rasmussen, Principal Investigator.
- D. Policy Revisions – Revisions to Policies R831, *Minimum Requirements for Non-Faculty Staff Grievances Policy*, R841, *Minimum Requirements for Disciplinary Sanctions of Staff Personnel Policy*, and R845, *Guidelines for Payment in Lieu of Notice Policy*.

Report of the Commissioner

Erroneous Statistic. Commissioner Kendell said he wanted to correct an erroneous statistic. In the Governor's Education Summit, the Governor's Deputy for Public Education had cited a *Congressional Quarterly* report indicating that Utah leads the nation in per-capita spending for higher education. This figure included federal research and grants and student tuition, as well as sales and services. Commissioner Kendell clarified that State expenditures are tax revenues. Utah is actually 35th in the nation in per-capita spending of tax revenues for higher education. The Commissioner clarified this statistic with Governor Huntsman and his deputy and Assistant Commissioner Walthers contacted the editors of *Congressional Quarterly* to correct their misconception.

Notable Achievements. Commissioner Kendell referred to the Report of Notable Achievements at the USHE institutions. Since there was not time to review them individually, he asked the Regents to take note of the good things our institutions are doing.

Higher Education Appropriations Subcommittee Meeting. Commissioner Kendell reminded the Regents and Presidents that the Legislative Higher Education Appropriations Subcommittee would be meeting on SLCC's Redwood Road Campus on September 22. The committee has adopted the same themes that the Regents developed for strategic planning. The meeting will be held in the Oak Room on the second floor of the student Center, beginning at 9:00 a.m. and ending at approximately 1:00 p.m. Chair Karras pointed out that higher education has unprecedented support from our committee co-chairs. He urged the Regents to attend if possible, even if they could only be there for an hour or two.

Report of the Chair

Chair Karras said he was excited about the future of higher education. He urged the Regents and Presidents to visit with those around them and tell them that the Regents are focusing on what is best for the entire state.

Joint Meeting of the State Board of Regents and State Building Board

Joining the Regents and Presidents were the following representatives of the State Building Board and DFCM staff:

State Building Board

Kerry Casaday, Vice Chair
Steve Bankhead
Katherina Holzhauser
Manuel T. Torres
Richard Ellis, *Ex officio*

DFCM Staff

Keith Stepan, Director
Kenneth Nye, Deputy Director
Kent Beers, Program Director
Shannon Lofgreen, Secretary to the Board
Dana Edwards, VBS Program Coordinator

D'Arcy Dixon-Pignaneli, Executive Director, Department of Administrative Services
Randa Bezzant, Policy Analyst, Governor's Office of Planning and Budget
Steven Allred, Fiscal Analyst

Chair Karras asked everyone at the table to introduce themselves. He also recognized the presence of Representative D. Gregg Buxton, co-chair of the Legislative Capital Facilities Appropriations Subcommittee, and welcomed him to the meeting.

Capital Development Projects. Chair Karras introduced the USHE capital development projects and explained the process by which they had been prioritized. Associate Commissioner Spencer reviewed USHE enrollment projections. He referred to the summary on page 7 of the attachment and said this was the lowest enrollment growth ever predicted. He then explained the process for establishing "Q" points and "P" points.

Chair Karras said the Q&P formula (1) measures space standards to ensure the most important needs are addressed, (2) focuses on maintaining buildings and preserving structures, and (3) levels the playing field so that all requests can be considered on a standard basis. He went on to explain that UCAT reports to another committee and uses another process. The Commissioner's staff is trying to incorporate UCAT into the Regents' Q&P process.

Director Stepan said the projections would help the Building Board plan future state facilities. The Building Board and DFCM staff are working with UCAT on a process to evaluate their facilities and needs. Mr. Stepan said the Building Board's process weighed the projects differently but used some of the Regents' key criteria elements. Representative Buxton said it sometimes seemed like comparing apples and oranges, especially when it comes to leased space of UCAT facilities.

Associate Commissioner Spencer reviewed the items to be funded with capital improvement (AR&I) funds (deferred maintenance). He noted that the system's top three priority projects were replacement buildings. DFCM staff had been consulted in establishing life safety points. He reviewed the Q&P priority list adopted by the Regents the previous afternoon and pointed out that the Regents had taken the University of Utah's projects off the list. The Park Building should be funded with AR&I funds and the research facility through the USTAR Initiative. The remaining items were ranked as follows:

1. WSU – Classroom Building/Chiller Plant
2. CEU – Fine Arts Replacement (subject to verification of donor funds)
3. USU – Agriculture/Classroom Replacement Building
4. UVSC – Digital Learning Center
5. SLCC – Digital Design & Communication Center/South City Campus Student Life Center
6. DSC – Science Building Addition
7. SUU – Science Center Addition
7. Snow College-County Library and Classroom Building

Chair Karras pointed out that the Q&P process had advanced the CEU project to #2 ranking, subject to funds availability. If verification of donor funds is not received in a timely manner, that project will revert to its original rank. The presidents explained their projects briefly and responded to questions from members of the State Building Board. It was suggested that it would be helpful if the Building Board could see the full Q&P scoring for each project, along with appropriate comments.

Mr. Bankhead remarked that the schools with older buildings ranked higher than those with enrollment growth needs. He referred to the second slide of the handout as well as institutional projections. Last year,

Building Board members received a summary of capital facilities appropriations for the past 20 years as well as anticipated allocations for the next 20 years. It was interesting to note that the institutions receiving the most capital facilities funding were those with the lowest projected enrollment growth. He felt the process gives undue weighting to facilities with life safety concerns and does not address long-term growth.

Commissioner Kendell agreed that growth must be balanced against the criteria. However, we must also deal with the reality of growth vs. the popular rate of growth. He urged everyone to consider real numbers and FTE counts in projecting growth. Assistant Commissioner Walthers said it was important to remember that percentage of growth is skewed by the base number of students. The Q&P formula is based on raw student growth. The process also weights heavily the factor of donated funds.

Regent Jardine acknowledged that these are hard choices for the Regents, and it is difficult to make comparisons. The Regents appreciate the perspective of the Building Board and welcome suggestions for improving the Q&P process.

Chair Casaday emphasized that the Building Board does not view the Q&P process as being flawed. Chair Karras asked him to briefly explain their scoring process. Deputy Director Nye reviewed the handout explaining how the Building Board evaluates requests for capital facilities projects. He noted that construction costs have increased by 15-20 percent in the past year. The Building Board considers higher education's priorities in conjunction with other state facilities (prisons, K-12 schools, etc.). He suggested that higher education consider adjusting the Q&P process regarding space shortage and not use two-point increments.

The Commissioner noted that higher education makes a great effort to determine ranking on a mathematical basis. Other factors have been suggested, such as funding older buildings first, funding projects based on the length of the request, funding institutions with the greatest growth, funding projects with vital functions such as new chillers, etc. We will take another look at this process next spring and remain open to other factors which might be considered. Chair Casaday asked if a member of the State Building Board or DFCM staff could be present at that meeting.

Regent Jordan asked if there should be two different standards. Commissioner Kendell agreed that the processes should have more in common. Ms. Holzhauser said she did not mind that there were two processes, but she did want to know the details of the Regents' ranking process so that all factors could be considered in making a decision.

Institutional Five-Year Plans. Chair Karras said the institutions would present their five-year plans to the State Building Board at their October 5 meeting. He asked if members of the Building Board would like to discuss the institutional plans at the present time. There was a general preference to have those discussions in October.

Chair Casaday asked about the USTAR Initiative and how it might affect capital requests. Chair Karras explained that the business community would request legislative funding for the Initiative. The Requests agreed to remove the University's Neuroscience and Biomedical Technology Research Building from the Q&P priority list so it could be considered for funding as part of the USTAR Initiative.

Director Stepan asked about the possibility of funding the project through revenue bonds. Commissioner Kendell said there had been a variety of proposals for funding this initiative. Higher education views USTAR as being about the state's economy and would prefer to keep it separate and maintain the integrity of our higher education request. Chair Karras suggested that USTAR promoters from within the business community be invited to make a presentation to the State Building Board.

Director Stepan discussed the cost of inflation for building construction. The cost estimates on the Q&P list will have to be increased by approximately 15-25 percent for next spring before they are presented to the Legislature. Outside consultants are being used to prepare the most accurate estimates.

Chair Karras expressed the Regents' appreciation for the opportunity to meet with the State Building Board.

Adjournment

The meeting adjourned at 12:20 p.m.

Joyce Cottrell CPS
Executive Secretary

Date Approved

R603, Terrel H. Bell Teaching Incentive Loan Program

R603-1. Purpose

To provide policy and procedures for the administration of the Terrel H. Bell Teaching Incentive Loan Program, ~~and thereby ensuring that the Program accomplishes its purpose, which is~~ to recruit outstanding students to ~~teaching~~ teach in prioritized critical areas of need in Utah's public schools, as defined by the Utah State Office of Education's criticality index, and to recognize teaching as a positive career choice.

R603-2 References

- 2.1. Utah Code Ann. §§ 53B-10-101 & 102 (Terrel H. Bell Teaching Incentive Loans Program)
- 2.2. Utah Code Title 53A, Chapter 6 (Educator Licensure and Professional Practices Act)

R603-3 Definitions

- 3.1. **"Teaching" or "Work in Utah's Public or Private Schools"** - Includes actual classroom instruction, curriculum development, school administration, student counseling, library science, instructional technology, and other similar activities in which the former student uses her or his Program supported training to benefit Utah students.
- 3.2. **"Awards"** - Basic awards under the Program which provide payment towards tuition and fees.
- 3.3. **"Program"** - Terrel H. Bell Teaching Incentive Loan Program.
- 3.4. **"Grace Period"** - A period of time up to two years, commencing after a recipient has graduated and obtained a teaching license, during which time a recipient's repayment obligations are stayed so long as the recipient is actively seeking employment to teach in a Utah public or private school.
- 3.4. **"USOE"** – Utah State Office of Education
- 3.5. **"OCHE"** - Office of the Commissioner of Higher Education
- 3.6. **"SBR"** - State Board of Regents

3.7. "Full-time Registration" - 12 semester hours or such other number of hours as determined by the recipient's institution.

3.8. "Part-time Registration"—6 semester hours in a high need area as determined by the USOE criticality index.

3.8. "High School Program Recipient" - A Utah resident senior high school student Award recipient.

3.9. "Post-secondary Program Recipient" - A Utah resident student Award recipient who has completed at least 24 semester hours of college/university credit.

3.10. "Graduate Recipient" - A Utah resident Award recipient who has earned at least a bachelors degree.

3.11. "State Approved Teacher Preparation Program" - An educator preparation program approved by the State Board of Education pursuant to section 53A-6-107, Program Approval, of the Educator Licensing and Professional Practices Act.

3.11. "License" - A certificate issued by the State Board of Education which attests to the fact that the holder has satisfied the requirements for employment in the public school system.

3.12. "Advanced License" - Graduate degrees and endorsements in high need areas of teaching or work in Utah's schools as determined by the State Board of Education.

3.13. "USOE Criticality Index"—The index of prioritized areas of high need for teachers in Utah public schools developed and distributed by the Utah State Office of Education.

R603-4 Conditions of Awards and of Pay back Obligation

4.1 General Award Conditions

4.1.1. Awards under this incentive loan program provide payment towards tuition and/or general fees (late fees, reinstatement or reactivation fees, insurance premiums or special course fees are not covered) ~~generally~~ for up to four years ~~or at the discretion of OCHE, of full-time equivalent enrollment, or until the requirements for licensing or advanced licensing or other authorized related teacher training goal have been met, whichever is less, as long as the conditions of the program continue to be observed by the student.~~

In addition, specially qualified students may also receive, subject to legislative appropriation, Premier Stipends. Premier Stipends are an additional \$1,500 per semester with a maximum of \$3,000 per year.

4.1.2. To qualify for the Program a student must meet the criteria of Utah residency for tuition purposes provided in board policy R512, Determination of Resident Status.

4.1.3. An Award may be used at any of Utah's state operated institutions or a Utah private institution of higher education that offers a state approved teacher education program.

4.1.4. A postsecondary recipient must remain enrolled as a full-time student at the awarding institution for a minimum of two semesters prior to transferring to another participating institution.

4.2 Application and Award Procedures

4.2.1. High school students make application through the high school counselor at their school. Post-secondary students, who have successfully completed not less than the equivalent of two semesters of formal higher education, make application through the College of Education at a four-year institution or, when legislative appropriations are sufficient to distribute awards through USHE's two-year colleges, through the ~~financial aid office~~ Office of Academic Affairs at a two-year institution. Graduate recipients, who have at least a bachelor's degree, make application through the college of education at a four-year institution. Each College of Education at USHE's four-year institutions, and each Office of Academic Affairs at USHE's two-year institutions, shall develop processes to distribute the awards consistent with USOE's criticality index, and will set application deadlines that accommodate both full- and part-time students.

4.2.2. Prior to receiving a Program voucher or funds, each recipient is required to sign a program Promissory Note.

4.2.3. If a student receives tuition and/or fee waiver from another source, he/she cannot collect the Program voucher in cash, but must forfeit one of the awards. Students may not receive cash payment in lieu of a Program tuition or fee voucher.

4.2.4. If the Program recipient is to receive a reduction in tuition (for example, a 50% reduction as a child of a faculty member), that reduction is to be applied before the voucher is used.

4.2.5. Awards can be used ~~only~~ for full-time or part-time registration as defined herein. ~~If a recipient takes less than a full time course load, he or she forfeits the Award for that or subsequent term, unless a less than full time course load is~~

~~approved by the college of education program administrator or the Director of Financial Aid.~~

4.2.6. If a recipient uses the institutional Program voucher and subsequently withdraws from all classes, the institution will be reimbursed only for the actual cost that the institution charges to the student. If Program funds are used to pay an uncompleted semester, the recipient must pay his/her own tuition and fees for the next full-time semester.

4.2.7. Award recipients are required to keep the OCHE informed of any changes in name, address, social security number, enrollment status and educational service employment status.

4.3 Premier Awards

4.3.1. In addition to Award payment towards tuition and fees, the Program may also provide Premier Stipends, subject to legislative appropriation. ~~State funds support up to 20 Premier Stipends each year, but the number may be increased through private donations.~~

4.3.2. Premier awards may be made to students in their Senior year who are majoring in critical teaching shortage areas.

4.3.3. Premier funds will be distributed from the OCHE to awarding institutions to be given directly to recipients as determined by the institution.

4.3.4. Premier moneys awarded in the Program are subject to the same repayment obligation as basic awards.

4.4 Continuing Eligibility of Students

4.4.1. Award recipients taking lower division classes must maintain established college standards for students in good standing.

4.4.2. Recipients at four-year institutions must meet institutional criteria for admission to a teacher education program and once admitted must maintain academic standards established by the institution for completion of the teacher education program in order to remain eligible for renewal of the Program.

4.4.3. Program recipients transferring from one eligible institution to another will retain their Awards if they continue to meet criteria established for Program recipients at the receiving institution. The names of transfer students will be reported by institutions each quarter/semester to the OCHE. Receiving institutions will be notified of all transferring Award holders by the sending institution.

4.4.4. After no more than ~~six~~ four semesters of full-time, ~~or six semesters of part-time~~, post-secondary course work, ~~such other period as OCHE may determine~~ a Program recipient must apply and be accepted in a teacher education program at a state approved teacher preparation program at an institution of higher education in Utah in order to remain eligible for renewal of the Award.

4.4.5. Program recipients who have not been accepted into a College of Education (COE) after receiving six semesters of Awards may be dropped from the Program and converted to repayment status or, at the discretion of OCHE, may be granted a temporary leave of absence from the Program while they seek acceptance into a COE.

4.4.6. A Program recipient, whether enrolled full- or part-time, ~~even though eligible for renewal of Awards~~, may be denied further program assistance by the institution in which he/she is enrolled if, after notice and a reasonable opportunity for the student to respond orally and in writing, the dean of teacher education at the four-year institution, or the director of financial aid at two-year colleges, determines that the recipient either (a) is failing to make reasonable progress toward ultimate completion of licensure requirements, or (b) has demonstrated to a reasonable certainty that he or she does not intend to teach in Utah after graduation. Upon request by the student, the institution shall provide an opportunity for the student to appeal the determination of the dean or director to a committee of at least three impartial persons.

4.4.7. A Program recipient, whether enrolled full- or part-time, who intends to discontinue his/her studies temporarily to fulfill religious, military, or other personal obligations, must seek, and obtain, a timely Leave of Absence (LOA), as outlined in Section 4.5 of this policy. Failure to do so may result in the Program recipient being dropped from the Program and converted to repayment status.

4.5 Guidelines for Leaves of Absence

4.5.1. A one time Leave of Absence (LOA) may be granted for one semester by the institution. Any LOA requested for more than one semester shall require OCHE approval.

4.5.2. Institution representatives shall report all leaves of absence granted to the OCHE each semester.

4.5.3. Leaves of absence are not automatically granted and are approved only for exceptional circumstances such as, but not limited to, prolonged illness, disability, religious or community service, and unforeseen personal reasons.

4.5.4. If the recipient does not return to pursue his or her teacher education after a leave of absence, that student will be dropped from the program and must repay all Program moneys unless an extended leave is granted by OCHE.

4.6 Standards for Repayment

4.6.1. Realizing that teaching positions may not always be readily available in Utah public or private schools to recipients of Awards from this Program, the recipient is allowed a period of two years (the Grace Period), commencing upon graduation/certification, within which time the recipient's repayment obligations are stayed, but this stay of the repayment obligation is conditioned upon the requirement that the recipient actively, and continually, seek employment for teaching in a Utah public or private school.

If a recipient, who has graduated and obtained a teaching license, is not teaching in a Utah public or private school, and can not certify that he/she is actively seeking employment teaching in a Utah public or private school, then monetary repayment of the loans is due immediately.

4.6.2. Each successive quarter/semester of teaching on a full-time equivalent basis shall be deemed as equal payment for the assistance received during each successive quarter/semester during which such scholarship assistance was received.

4.6.3. The State Board of Education identifies Title I and Necessarily Existent Small Rural Schools. Recipients who teach in Title I or Necessarily Existent Small Rural Schools will receive two quarters/semesters of teaching repayment credit for each quarter/semester of teaching.

4.6.4. With the approval of OCHE, substitute teaching may be used to repay the Award. However, a minimum of twenty substitute teaching days must be earned during a school year in order to repay a pro rata share of a quarter/semester, calculated on a 60 day quarter and a 90 day semester. Full time substitute teaching earns the same credits towards repayment as does full time teaching.

4.6.5. Recipients who attend post-secondary institutions out-of-state, at either the undergraduate or graduate level, shall enter repayment immediately, unless OCHE grants a deferment.

4.6.6. Any recipient who fails to complete requirements for a teacher license, as outlined in the Utah State Board of Education rules, will be required to repay all Award assistance received, with interest, unless the recipient receives OCHE approved relief as defined in Section R603-5.

4.6.7. The OCHE may defer, reduce or waive the recipient's teaching or repayment obligation in whole or in part upon documentation showing extreme personal financial hardship, or the inability of a Program recipient because of prolonged illness, disability, or other cause beyond the control of the student to commence or continue to pursue teaching on a full-time equivalent basis in Utah

within the prescribed period of time despite the good faith effort of the recipient to do so.

4.6.8. A recipient who commences teaching on a timely basis, but who ceases to teach before his or her obligation has been discharged in full for all Award assistance received must repay the balance due, with interest, based upon the uncompleted teaching period. Also, a recipient who has begun monetary repayment may switch to repayment by teaching. Once repayment begins, either through teaching or money, it continues without interruption until paid in full, unless a deferment is approved by the OCHE.

4.6.9. If the maker of the promissory note should die or become permanently disabled before the note is fully paid, the entire balance due thereon, together with accrued and unpaid interest, shall be canceled.

4.7 Terms of Monetary Repayment Obligation

4.7.1. Within 60 days after a recipient of an award receives written notice from the OCHE that he/she is obligated to repay all or part of the amount of assistance received, the recipient shall either pay the amount due in its entirety, or shall begin monthly payments with terms and conditions outlined in the Promissory Note signed by the recipient.

Monetary repayment of the loan will be required to begin:

4.7.1.1. upon expiration of the two year Grace Period, if the recipient is not teaching, or

4.7.1.2. at any time during the Grace Period if recipient does not actively seek employment teaching in a Utah public or private school, or

4.7.1.3. 60 days after student leaves school, either temporarily or permanently, prior to graduation, or

4.7.1.4. 60 days after student ceases to carry a part-time academic class load as defined herein, unless such class load ~~full time academic class load, unless the less than full time class load~~ is approved by the college of education program administrator or the Director of Financial Aid, or

4.7.1.5. 60 days after student graduates, but fails to obtain a teaching certificate, or

4.7.1.6. 60 days after a student fails to qualify for Continuing Eligibility as provided in Section 4.4.

4.7.2. The repayment schedule shall outline the principal and interest in equal monthly installments of not less than fifty dollars (\$50.00) per month unless a lesser amount is approved by OCHE, with a repayment period of ten (10) years or such longer period as may be approved by OCHE. Depending upon the amount owed, the minimum monthly payment may exceed \$50 per month. Once repayment begins, either through teaching or money, it continues until paid in full except as provided in Section R603-5.

4.7.3. All payments shall be credited first to accrued late fees, then to interest, and then to the unpaid principal balance. No interest shall accrue during the Grace Period.

4.7.4. The recipient shall be permitted to prepay all or any part of the principal balance, plus accrued interest thereon, at any time without penalty.

4.7.5. In the event of a change from monetary to teaching as Program repayment, only the amount of monetary repayment applied to the principal will be credited towards the total Program obligation.

4.7.6. If the recipient fails to pay the amount due on a timely basis, the entire amount owed by the recipient shall become immediately due and payable, together with interest accrued from the date of the notification of the repayment obligation, and, in addition thereto, reasonable attorney's fees and other collection charges necessary to collect the amount due.

R603-5 Deferment

5.1. Reasons for Deferment - Upon application by the recipient, the OCHE may grant a deferment of or reduction in the obligation to make payments of interest and principal on the promissory note during such period of time as the applicant establishes he or she is financially unable to make the required payments for the reason that he or she (a) is enrolled and in attendance as a full-time student at a Utah institution of higher education, (b) is suffering from prolonged illness or disability, (c) is engaged in religious or community service without, or at nominal compensation, (d) is unemployed despite the exercise of reasonable diligence to secure suitable employment, or (e) is the victim of other extraordinary circumstances under which a continued obligation of repayment would create a severe personal hardship. OCHE may set time limits for a deferment and grant extensions to the deferment at its discretion.

5.2. No Interest Accrues - During an approved period of deferment granted under paragraph 5.1, interest will not accrue and installment payments need not be made.

5.3. Commissioner's Authority - The State Board of Regents delegates to the Commissioner of Higher Education authority to approve the postponement or waiver of repayment obligations as well as leaves of absence for the Terrel H. Bell Teaching Incentive Loan Program.

(Adopted May 15, 1984; amended November 20, 1984; June 21, 1985; March 14, 1986; January 24, 1997; ~~and~~ August 3, 2001; and October 27, 2005.)

**TUITION PROGRAM FOR STUDENTS SEEKING
TEACHER LICENSURE IN DISABILITY
OR SPECIAL EDUCATION**

2005 GENERAL SESSION

STATE OF UTAH

Chief Sponsor: Ronda Rudd Menlove

Senate Sponsor: Beverly Ann Evans

LONG TITLE

General Description:

This bill modifies the Terrel H. Bell Teaching Incentive Loans program.

Highlighted Provisions:

This bill:

- ▶ modifies the eligibility of students for the Terrel H. Bell Teaching Incentive Loans program;
- ▶ directs the State Board of Education's prioritization of critical areas of need for teaching expertise within the state; and
- ▶ makes technical corrections.

Monies Appropriated in this Bill:

None

Other Special Clauses:

None

Utah Code Sections Affected:

AMENDS:

53B-10-101, as last amended by Chapter 86, Laws of Utah 2001

53B-10-102, as last amended by Chapter 86, Laws of Utah 2001

Be it enacted by the Legislature of the state of Utah:

Section 1. Section **53B-10-101** is amended to read:

**53B-10-101. Terrel H. Bell Teaching Incentive Loans program -- Eligible students
-- Cancellation of incentive loans -- Repayment by recipient who fails to meet requirements
-- Duration of incentive loans.**

(1) (a) A Terrel H. Bell Teaching Incentive Loans program is established to recruit and train superior candidates for teaching in Utah's public school system as a component of the teacher quality continuum referred to in Subsections 53A-1a-104(7) and 53A-6-102(2)(a).

(b) Under the program, the incentive loans may be used in any of Utah's state-operated institutions of higher education or at a private institution of higher education in Utah that offers a state-approved teacher education program.

(2) (a) The State Board of Education or the State Board of Regents shall award the incentive loans to students who have been admitted to, or have made application to and are prepared to enter into, a program preparing students for licensure and who declare an intent to complete the prescribed course of instruction [required for a teaching license] and to teach in [the public schools of] this state in accordance with the priorities described under Subsection (5)(c).

(b) The incentive loan may be canceled at any time by the institution of attendance if:

(i) the student fails to make reasonable progress towards completion of licensing requirements; or

(ii) it appears to be a reasonable certainty that the student does not intend to teach in Utah.

(c) The State Board of Regents may grant leaves of absence to incentive loan holders.

(3) The State Board of Regents may require an incentive loan recipient who fails to complete the requirements for licensing without good cause to repay all tuition and fees provided by the loan, together with appropriate interest.

(4) (a) The State Board of Regents may require an incentive loan recipient who does not work in the state's public school system or a private school within the state within two years after graduation to repay all tuition and fees provided by the loan, together with appropriate interest, unless waived for good cause.

(b) (i) A recipient who does not teach for a term equal to the number of years of the

incentive loan within a reasonable period of time after graduation shall repay a graduated portion of the tuition and fees based upon the uncompleted term.

(ii) One year of teaching is credit for one year's tuition and fees.

(c) All repayments made under this Subsection (4) are for use in the Terrel H. Bell Teaching Incentive Loans program.

(5) (a) Each incentive loan is valid for up to four years of full-time equivalent enrollment, or until requirements for licensing or advanced licensing have been met, whichever is less.

(b) (i) Incentive loans apply to both tuition and fees in amounts and are subject to conditions approved by the State Board of Regents, based upon criteria developed to insure that all recipients of the loans will pursue an education career [~~in Utah's public education system or a private school~~] within the state.

(ii) An incentive loan for tuition and fees at a private institution may not exceed the average scholarship amounts granted for tuition and fees at public institutions of higher education within the state.

(c) Incentive loans shall be awarded in accordance with prioritized critical areas of need for teaching expertise within the [~~state's public education system~~] state as determined by the State Board of Education[~~], and may include preparing persons as:~~

(i) a special education teacher;

(ii) a speech or language pathologist; or

(iii) another licensed professional providing services in the public schools to pupils with disabilities.

Section 2. Section **53B-10-102** is amended to read:

53B-10-102. Number of incentive loans -- Criteria for awarding -- Additional awards.

(1) (a) A total of 365 Terrel H. Bell Teaching Incentive Loans shall be maintained each year in accordance with criteria and procedures established by the State Board of Education and State Board of Regents.

(b) The number of incentive loans to be awarded shall be reviewed annually based on the need to prepare individuals to teach as determined by the supply of and demand for teachers in the ~~[state's public education system]~~ state.

(2) These incentive loans shall be awarded in the following categories:

(a) incentive loans for persons who were originally awarded their loans as high school juniors and seniors selected through statewide competition; ~~[and]~~

(b) incentive loans for persons who have successfully completed not less than the equivalent of two semesters of formal higher education study[-]; and

(c) incentive loans for persons described in Subsection 53B-10-101(5)(c), including:

(i) part-time students;

(ii) students who already hold a bachelor's degree; and

(iii) other nontraditional students.

(3) (a) Additional awards may be given each year to a limited number of scholarship holders to include the following:

(i) 20 state-funded premier scholarships, which provide an additional \$3,000 per year for winners of a widely publicized statewide competition, but the number may be increased through private donations; and

(ii) 100 supplementary stipends paying \$750 per semester, available each year for students granted scholarships under Subsection (1)(b) who declare an intent to be licensed in areas of critical teacher shortage as determined by the State Board of Education.

(b) Subsection (1)(b) applies to the awards made under Subsection (3)(a).

R952, Discrimination, Harassment, and Staff Employment Grievances

...

R952-7 Hearing Procedures

...

7.4. Hearing Guidelines

7.4.1. Hearings shall be closed to the public.

7.4.2. The parties shall be notified in writing of the date of the hearing, the charges, the process for selecting the Committee and these guidelines at least ten (10) working days prior to the hearing.

7.4.3. Both parties may be accompanied and counseled by an advisor of their choice who ~~[will be permitted to attend, but not]~~ may be an attorney, and who may participate in[,] the ~~[proceedings]~~ hearing as described below. The parties must notify the Committee of the advisors selected at least five (5) days prior to the date of the hearing.

7.4.4. Each party shall personally make a narrative opening statement that states her/his position on the issues and the facts. The narrative statement shall also describe the relief sought. Thereafter, the party or his/her advisor (if any), but only one of them, shall conduct the examinations and cross-examinations and make a summary statement at the conclusion of the hearing; however, if the hearing does not arise out of the termination of employment or loss of pay, the advisor will be permitted to attend, but not participate in, the proceedings. The Committee and each party may request the appearance of witnesses and the production of documentary evidence. Whenever possible, advance notice of witnesses to be interviewed shall be given to all parties.

7.4.5. Whenever possible, all materials submitted for consideration by any party or otherwise considered by the Committee shall be made available to all parties at least three (3) days prior to the scheduled hearing. In exceptional circumstances, the Committee may allow a party to submit evidence or materials at the time of the hearing.

7.4.6. The hearing, except for deliberations, shall be recorded and a copy made available to either party upon request.

7.4.7. At the hearing, the parties or their advisors, as determined above, shall have the right (through the Committee Chair) to question witnesses (including the other party), to present evidence and call witnesses on their own behalf, in accordance with the Committee's procedures established for the conduct of hearings.

7.4.8. If either the complainant or the respondent fails to attend the hearing without prior notification and good cause, the Committee may proceed with the hearing and take testimony and evidence, and reach a decision on the basis of such testimony and evidence.

7.4.9. The Committee shall not be bound by strict rules of legal evidence or procedure and may consider any evidence deemed relevant. Regardless of whether or not a party is represented by an advisor, the Committee may ask questions at any time of either party and the parties (not their advisors) shall respond to the questions of the Committee.

7.4.10. The Attorney General's Office shall serve as a resource to the Committee, and a staff attorney may be present at hearings to provide guidance on substantive law and procedural matters.

7.4.11 Committee Chairs and other Committee members are prohibited from discussing any matter related to the hearing with the parties or the witnesses, or with others before or after the hearing. Violation of confidentiality shall result in dismissal from the Committee.

7.4.12 The parties shall not communicate directly to each other about the complaint.

7.4.13. Committee deliberations and voting shall be closed sessions from which all other persons are excluded. Upon request of any member of the Committee, votes shall be taken by secret written ballot.

7.4.14. A majority vote by the members of the Committee who attended the hearing shall be required for decisions. The chairperson shall be entitled to vote on all questions.

7.4.15. If there is more than one hearing in a matter, or if the hearing continues over more than one session, the same members are to be present for all sessions.

7.4.16. In staff employment grievances, the Committee shall confine its determinations to the following: (1) was there a reasonable basis for the supervisor to take the action and (2) whether the action taken was reasonable. In addition, the Committee may examine the procedures followed at any or all stages in the formal review process to determine whether such procedures were consistent with this policy and without substantial defects which operated to deny the complainant basic fairness and due process. The burden of establishing by a

preponderance of evidence that procedural defects, if any, operated to deny basic fairness and due process rests upon the complainant.

7.4.17. The Committee shall make its findings of fact and its recommendations within ten (10) working days after the conclusion of the hearing.

7.4.18 HR shall send a copy of the Committee's findings and recommendations to the cognizant associate commissioner, the complaining party and the responding party.

R952-8 Final and Binding Decision

8.1. Associate Commissioner - The cognizant associate commissioner shall consider all of the documentation s/he feels will be helpful, including the findings and recommendations of the Committee~~[, and]~~ The associate commissioner may not base a decision on new information not presented at the hearing unless the nature of that information is fairly communicated to the parties and a reasonable opportunity to respond is given to the parties. The associate commissioner may seek advice from ~~[other appropriate persons, before making a decision:]~~ his advisors who were not involved in taking the action or making the decision under review. Written notification of the associate commissioner's decision shall be communicated within ten (10) working days to the parties concerned. The decision of the associate commissioner is final and binding, unless either party files a timely, written request with HR for Commissioner review.

8.2. Commissioner - Either party may file with HR a written request for Commissioner review within ten (10) days of notice of the associate commissioner's decision. Upon such request, the associate commissioner shall transmit to the Commissioner the final decision as well as the entire record of the matter including the Committee's findings, and recommendations. The associate commissioner shall also provide written justification for the final decision if it is inconsistent with that of the Committee.

8.2.1. Review of Information - The Commissioner ~~[shall consider and review the record in its entirety, and may solicit whatever counsel and advice the Commissioner deems appropriate to assist in arriving at a final determination. Neither the Commissioner nor associate commissioner may base a decision on confidential]~~ shall consider all of the documentation s/he feels will be helpful, including the findings and recommendations of the Committee. The Commissioner may not base a decision on new information not presented at the hearing unless the nature of that information is fairly communicated to the parties and a reasonable opportunity to respond is given to the parties. The Commissioner may seek advice from his advisors who were not involved in taking the action or making the decision under review.

8.2.2. The Commissioner shall issue a final and binding decision within ten (10) days. For good cause, the Commissioner may extend the time for action specified in this section. It shall be the responsibility of HR to supply the complaining party, the responding party, and the supervisor as appropriate with a copy of the final decision.

R952-9 Sanctions and Remedial Action

9.1. Appropriate Action in Discrimination and Harassment Cases - In discrimination and harassment cases, the corrective and remedial action that may be imposed upon an OCHE staff member under this policy shall be appropriate to the circumstances and may include the imposition of a fine, suspension, or termination.

9.2. Staff Grievance Cases - In staff employment grievance cases, see R964.

(Approved July 19, 1983; replaced March 16, 1995. Replaced R951 and R952, March 18, 2005. Proposed amendments October 27, 2005.)

R981, [Utah] Procurement [Code]

R981-1. Purpose

To carry out the intent of the Utah Procurement Code, Utah Code [Title 63, Chapter 56](#), as amended, for and on behalf of the State Board of Regents in its capacity as an institution of higher education (see [53B-1-102](#)).

R981-2. References

2.1. Utah Code §[53B-7-101](#)(9)

2.2. Policy and Procedures [R141](#), Duties of the Commissioner of Higher Education

R981-3. Definitions

3.1. "Architect-engineer services" - professional services within the scope of the practice of architecture as defined in the Utah Code.

3.2. "Business" - any corporation, partnership, individual sole proprietorship, joint stock company, joint venture or any other private legal entity.

3.2. "Business entity" - a sole proprietorship, partnership, association, joint venture, corporation, firm, trust, foundation, or other organization or entity used in carrying on commercial business activities for profit-making purposes.

3.3. "Change order" - a written order signed by the purchasing agent or designee, directing the contractor to suspend work or make changes, which the appropriate clauses of the contract authorize without the consent of the contractor of any written alteration in specifications, delivery point, rate of delivery, period of performance, price, quantity or other provisions of any contract accomplished by mutual action of the parties to the contract.

3.4. "Compensation" - anything of economic value, however designated, which is paid, loaned, granted, given, donated, or transferred to any person or business entity for or in consideration of personal services, materials, property, or any other thing whatsoever.

3.5. "Construction" - the process of building, renovating or demolishing any OCHE structure or building, major developmental work or landscaping of OCHE real property. It does not include the routine operation, routine repair or routine maintenance of existing structures, buildings or real property.

3.6. "Contract" - any OCHE agreement for the procurement or disposal of supplies, services or construction.

3.7. "Cost-reimbursement contract" - a contract under which a contractor is reimbursed for costs which are allowable and allocable in accordance with the contract terms and the provisions of this handbook, and a fee, if any.

3.8. Emergency - a condition that threatens public health, welfare or safety, arising from natural forces (e.g., fire, wind, flood, storm, earthquake, epidemic or other natural disaster); from riot, unlawful assemble or mob violence; or from hostile acts of a public enemy.

3.9. Employer-Employee Relationship - a relationship that exists when OCHE has the right (whether or not it exercises the right) to supervise and control the manner of performance as well as the result of the service.

3.10. "Established catalogue price" - the price included in a catalogue, price list, schedule or other form that:

3.10.1. is regularly maintained by a manufacturer or contractor;

3.10.2. is either published or otherwise available for inspection by customers; and

3.10.3. states prices at which sales are currently or were last made to a significant number of any category of buyers, or buyers constituting the general buying public, for the supplies or services involved.

3.11. Independent Consultant - an individual or organization under agreement to provide primarily professional services (including legal, accounting, actuarial, scientific, engineering, etc., or technical advice to OCHE) in an independent contractor relationship.

3.12. Independent Contractor - an individual or organization under agreement to provide services at a stated price or rate. An independent professional contractor differs from an independent consultant in that the consultant's service is, for the most part, that of providing professional or technical advice, whereas the contractor's service is to perform specific tasks.

3.13. Independent Contractor Relationship - a relationship that exists when OCHE has the right to control only the result of the service, not the manner of performance.

3.14. "Invitation for bids" - all documents, whether attached or incorporated by reference, utilized for soliciting bids.

3.15. "Multiple primary vendor award" - the award of purchase contracts to more than one vendor to furnish the same or similar supplies, services or construction so as to afford alternate sources to satisfy particular delivery, service or other unique procurement requirements.

3.16. "OCHE employee" - a person permanently employed by OCHE on a full or part-time basis, but does not include members of the Board or of any other advisory commission, board, or committee serving on a part-time basis.

3.17. "Person" - any business, individual, union, committee, club, other organization or group of individuals, not including a state agency, political subdivision, public authority or local public entity.

3.18. "Procurement" - buying, purchasing, renting, leasing or otherwise acquiring any supplies, services or construction. It also includes all functions that pertain to the obtaining of any supply, service or construction, including description of requirements, selection and solicitation of sources, preparation and award of a contract and all phases of contract administration.

3.19. "Procurement Officer" - For purpose of complying with the Utah Procurement Code and these regulations, the Commissioner of Higher Education, and any authorized representative of the Commissioner of Higher Education acting within the limits of authority, is the "procurement officer" for the Board of Regents.

3.20. "Purchasing Agent" - any person duly authorized to enter into and administer contracts and make written determinations with respect thereto. It also includes an authorized representative acting within the limits of authority.

3.21. Purchasing Group - OCHE employees working under the supervision of the Deputy Executive Director for Finance and Administration of UHEAA in the capacity of Administrative Services.

3.22. "Purchase description" - the words used in a solicitation to describe the supplies, services or construction to be purchased, and includes specifications attached to or made a part of the solicitation.

3.23. "Request for proposals" - all documents, whether attached or incorporated by reference, utilized for soliciting proposals.

3.24. Requisition - a form used to initiate the procurement of supplies, and services or construction utilizing approved OCHE purchase orders. Requisitions are not purchase orders and shall not be used or represented as such.

3.25. "Reasonable bidder or offeror" - a person who has the capability in all respects to perform fully the contract requirements and who has the integrity and reliability which will assure good faith performance.

3.26. "Responsive bidder" - a person who has submitted a bid which conforms in all material respects to the invitation for bids.

3.27. Rush Order - a requisition for supplies or services that require expedited handling on a special basis to meet urgent program needs.

2.28. "Services" - the furnishing of labor, time of effort by a contractor, not involving the delivery of a specific end product other than reports which are merely incidental to the required performance. It does not include employment agreements or collective bargaining agreements.

3.29. "Specification" - any description of the physical or functional characteristics, or of the nature of a supply, service or construction item. It may include a description of any requirement for inspecting, testing, or preparing a supply, service or construction item for delivery.

3.30. "Substantial interest" - (1) the ownership, either legally or equitably, by an individual, his/her spouse, or his/her minor children, of at least ten percent of the outstanding capital stock of a corporation or a ten percent interest in any other business entity; or (2) the holding of a position in a business entity as an officer, director, or employee.

3.31. "Supplies" - all property, including but not limited to equipment, materials, printing and leases of real property, excluding land or a permanent interest in land.

3.32. "Surplus supplies" - any supplies that are no longer needed for public use. It includes expendable supplies, scrap materials and nonexpendable supplies that have completed their useful life cycle.

3.33. "Transaction" - a formal or informal contract or agreement, express or implied, to which OCHE is a party, that involves any transfer of consideration or payment of compensation.

R981-4. [Procurement Standards] Policy

4.1. Use Established Purchasing and Fiscal Procedures - For convenience and in the interests of economy, the procurement officer shall, to the maximum feasible extent procure supplies and services through the established purchasing and fiscal procedures, and subject to applicable procurement regulations and approved specifications prepared, issued, revised, and maintained by any of the state institutions of higher education, provided the use of such institutional procedures is approved by the institutional President.

~~**4.1.1. University of Utah Regulations Adopted by Reference**—As an implementation of 4.1 the Board ratifies, approves and adopts by reference, for the procurement purposes of the Board of Regents as an institution of higher education, the procurement regulations duly adopted by the University of Utah (contained in Chapter 4 of University of Utah Policy and Procedures Manual), subject to such modifications of terminology as may be required to adapt such~~

regulations as nearly as may be practicable to the administrative structure of the Office of Commissioner of Higher Education.]

~~4.2. [Procurement by the Commissioner—~~In any case in which the Commissioner of Higher Education determines that procurement under paragraph 4.1 is not feasible or not cost-effective, he or she may proceed to procure supplies and services in accordance with the applicable provisions of the Utah Procurement Code, and in so doing, shall, so far as practicable, adhere to the procedures and guidelines duly adopted by the University of Utah as described in 4.1.1 above.

4.3.] Construction and Architect-Engineering Services - Procurement of construction and architect-engineering services shall be in accordance with legal requirements and implementing rules and regulations promulgated by the Utah State Building Board and State Division of Facilities Construction and Management, so far as they may be applicable.

4.3. No Emoluments or Gratuities - An employee who in any official capacity participates in the procurement of any supplies, services, construction, or insurance is guilty of a felony if the person asks, receives, or offers to receive any emolument, gratuity, contribution, loan, or reward or any promise thereof, either for the employee's own use or benefit of any other person or organization from any person interested in the sale of such supplies, services construction, or insurance.

4.4. Purchasing Group Responsibilities - The Purchasing Group is responsible for the procurement of all supplies and services required by OCHE.

4.4.1. The Purchasing Group shall establish operating procedures with which to locate and ensure adequate and continuing sources of supply, consistent with legal, budgetary and delivery requirements of user groups; to provide the necessary assistance to acquire such supplies and services on a timely and economical basis; to assure compliance with all applicable state and federal laws and State Board of Regents policies during the procurement process; and to provide assistance, consultation, and advice regarding all procurement needs of OCHE.

4.4.2. In discharging its responsibilities, the Purchasing Group may:

4.4.2.1. Initiate, conduct and conclude negotiations for the purchase of goods and services for OCHE.

4.4.2.2. Obligate OCHE for the purchase of goods and services.

4.4.2.3. Recommend changes in quality, quantity or kind of material requisitioned and/or to suggest appropriate alternatives.

4.4.3. The selection of suppliers in accordance with legal requirements is the responsibility of the Purchasing Group; however, suggestions by user groups will be considered whenever they are competitive with other sources or when delivery requirements or other unique requirements so demand.

4.4.4. Collaboration between the Purchasing Group and Computer Services is encouraged early in the purchasing process when computer or network related equipment and supplies are involved.

4.4.5. Information is available from the Purchasing Group for inspection relative to legal and contractual remedies available to OCHE, or vendors contracting business with OCHE, suspension of bidding privileges, vendor procedures, waiver of immunity, and claims procedures and other legal provisions binding upon OCHE.

4.4.6. The Administrative Officer to the Associate Executive Director for Finance and Administration of UHEAA shall maintain a complete and official records file of all OCHE contracts.

4.5. Limitations and Restrictions on Procurement

4.5.1. OCHE is prohibited from making purchases for the personal use of employees.

4.5.2. Purchase of supplies, services or construction from employees is authorized if special procedures are followed to avoid a violation of the Utah Public Officers' and Employees' Ethics Act, and when there is evidence that the purchase price is fair and reasonable.

4.5.3. Procurement from Vendor in which OCHE Employee has an Interest:

4.5.3.1. An OCHE employee is forbidden to participate in his/her official capacity with respect to any transaction between OCHE and a business entity in which the employee has a substantial interest.

4.5.3.2. An OCHE employee is forbidden to receive compensation (in addition to regularly budgeted salary or wages for services to OCHE) as a result of, or in connection with, any transaction between OCHE and a business entity in which the employee has a substantial interest.

4.5.3.3. It is the duty of every OCHE employee to disclose to his/her immediate superior, and to the OCHE Purchasing Group, the existence of a substantial interest which he/she has in any business entity which the employee knows, or has reason to believe, may submit a bid or sealed proposal for, or otherwise seek to enter into, a transaction with OCHE.

4.5.4. Orders or commitments for procurement by employees are not binding on OCHE. Individuals who do not comply with OCHE guidelines when placing procurement orders may become personally liable to the vendor for the contract price.

4.5.5. Honest efforts must be made by the employees and the Purchasing Group to obtain fair and adequate price quotes. Equal consideration must be given to all vendors regardless of race, gender, religion, or national origin.

4.5.6. An employee who in any official capacity participates in the procurement of any supplies, services, construction, or insurance is guilty of a felony if the person asks, receives, or offers to receive any emolument, gratuity, contribution, loan, or reward or any promise thereof, either for the employee's own use or benefit of any other person or organization from any person interested in the sale of such supplies, services construction, or insurance.

4.5.7. The Director for Accounting and Finance may not sign and approve purchase requisitions. UHEAA employees in this group needing an authorizing signature may request approval from the Associate Executive Director for Finance and Administration.

4.5.8. Advance payments may not be made except to specified government agencies, vendors with minimum prepayment requirements and in certain other cases as determined appropriate by the Purchasing Group.

4.6. Use of Requisitions

4.6.1. Except as provided in paragraph 2 below, a requisition must be submitted to initiate the procurement of supplies, services or construction by the Purchasing Group.

4.6.2. Items or services not requiring a requisition include:

4.6.2.1. Payroll or attendance reports.

4.6.2.2. Purchases or payment under contract.

4.6.2.3. Payments for recurring monthly payments such as Telephone and Lease bills.

4.6.2.4. Issued organizational American Express Credit Cards.

4.6.3. Requisitions for nonstandard office furniture, equipment, and accessories require the authorizing signature of an Associate Commissioner.

4.6.4. Requisitions for computer, printing, and copying equipment must be reviewed by the Manager of Computer Services or his/her Designee.

4.7. Use of Credit Cards

4.7.1. An Associate Commissioner has the responsibility for authorizing the issuance of all company credit cards issued to an OCHE employee for business use.

4.7.2. The Accounts Payable group is responsible for making payment of all OCHE obligations incurred through the authorized use of credit cards and matching the credit card charges with the receipts and authorizations.

4.7.3. The Assistant Commissioner/Associate Executive Director of each operating unit to which credit cards have been issued is responsible for controlling the use of such credit cards in accordance with OCHE policies and procedures.

4.7.3.1. Credit Cards are to be used for incidental, immediate need purchases of less than \$300.

4.7.3.2. Written pre-approval from an Associate Commissioner or Assistant Commissioner/ Associate Executive Director must be obtained for estimated purchases over \$300.

4.7.3.3. A receipt and purchase form must be signed by the cognizant Assistant Commissioner/ Associate Executive Director after the purchase is received.

4.7.4. The Cardholder must sign the charge receipt and retain the customer copy. The Cardholder should verify that either the charge receipt or sales receipt complies with the requirements for support documentation.

4.7.5. Each card user is responsible for ensuring that sales tax is not charged when making a purchase. The supplier should be notified of OCHE's tax exempt status at the point of purchase. If sales tax is

charged in error, a request for a credit should be submitted to the supplier, by the cardholder, as soon as possible.

4.7.6. The Credit Card is the property of OCHE. If a card is lost or stolen, the Cognizant Assistant Commissioner/Associate Executive Director and the Card Company should be notified immediately. The Card should be cancelled and written confirmation of the cancellation received.

4.7.7. Cardholders must follow internet and computer usage guidelines when making purchases on the World Wide Web. Purchases should be made with companies that have been used via traditional methods in the past. The purchase should be encrypted in an acceptable manner.

4.7.8. The Cardholder is responsible for purchases made regardless of the method used. It is important to determine whether a Web site is the most appropriate method to use. Convenience should be weighed against price and risk.

4.7.9. Improper use of a card may result in cancellation of the card and disciplinary action, and could result in termination of employment and/or legal action by OCHE. A record of any violations of the Credit Card procedures will be maintained and reviewed.

4.8. Equipment Screening - Equipment purchases are not authorized if OCHE already possesses identical, substantially similar or functionally equivalent equipment that is reasonably available for use by the requisitioning unit.

4.9. Emergency Procurement

4.9.1. Where there exists a threat to public health or safety as the result of emergency conditions, as determined in writing by an Associate Commissioner or his/her designee, the Purchasing Group is authorized to make emergency procurements. Such emergency Procurements shall be made with as much competition as practicable under the circumstances.

4.9.2. The written determination of the existence of the emergency, stating the basis thereof, together with a written statement of justification for the selection of the particular supplier/vendor shall be placed in the contract file.

4.10. Rush Orders

4.10.1. Planned procurement - Work units should anticipate procurement requirements as far in advance as possible to provide sufficient lead time

to apply established purchasing procedures and still meet delivery requirements.

4.10.2. Special handling requests - Upon request, the Purchasing Group will make every effort to obtain requisitioned supplies and services in the most expeditious manner possible, and will attempt to honor special handling and delivery instructions as appropriate.

4.10.3. Expedited procedures - Requisitions for supplies or services needed on an urgent, high priority basis may be delivered to the Purchasing Group with a written request that the requisition be processed on a rush order basis. Such requests will be processed immediately and with maximum feasible speed consistent with bidding and other legal requirements.

4.10.3.1 The cost of long distance telephone calls, FAX and sending required paperwork air overnight to secure rush orders will be charged to the requisitioning work unit.

4.10.3.2 Purchase orders to be placed with vendors outside the continental limits of the United States will ordinarily be sent by facsimile machine or U.S. mail.

4.10.3.3. When appropriate, a requisitioning work unit may be authorized by the Purchasing Group to deliver a duly authorized purchase order directly to a particular vendor and to take immediate possession of the purchased goods. In such cases, all memoranda, receipts, packing lists, invoices and other documents relating to the purchases and received from the vendor must be immediately transmitted to the Purchasing Group. The Purchasing Group will prepare the documents and deliver such documents to accounts payable for payment.

R981-5 Informal Procurement Procedures

5.1. Form and Content of Requisitions

5.1.1. Small purchases of goods and services (i.e., purchases estimated to cost less than \$45,000) may be affected by the Purchasing Group on an informal basis using an OCHE requisition form.

5.1.2. Each requisition must include as a minimum the following information:

5.1.2.1. An accurate description and specification for every article listed, including catalog numbers, size, color, etc., but not so restrictive as to unduly limit competitive bidding.

5.1.2.2. Accounting cost center description.

5.1.2.3. Delivery instructions, stating specifically (1) when delivery is required, and (2) where delivery should be made, e.g., work unit, name of responsible individual.

5.1.2.4. Estimated cost of each item.

5.1.2.5. Possible sources of supply--list suggested sources and provide copies of any price information or correspondence referring to specialty items.

5.1.2.6. Appropriate Signatures are required on all requisitions.

a. Requisitions in amounts less than \$50 may be signed by the direct Manager of the requesting employee.

b. Requisitions in amounts of \$50-\$5,000 must be signed by the Assistant Commissioner/Associate Executive Director responsible for that respective cost center.

c. Requisitions in amounts greater than \$5,000 must be signed by the cognizant Associate Commissioner.

5.1.3. Separate requisitions should be prepared for each different cost center, however; when the cost of a single item is to be allocated to more than one cost center, only one requisition form should be used.

5.1.4. Each requisition should, so far as possible, be limited to similar or related items that are known, or can reasonably be expected, to be available from the same vendor.

5.1.5. All equipment, supplies or services that are intended to be acquired at or about the same time as component parts of a single transaction should be included in the same requisition or series of related requisitions submitted simultaneously. It is improper under the law to divide or split procurement transactions into small units that are artificially devised to avoid the bidding requirements and other procedures applicable to larger unit transactions.

5.1.6. Requests for advertising funds for recruitment of staff must be requisitioned with the standard OCHE requisition form. It should include the proposed advertisement verbiage and be signed by the cognizant Assistant Commissioner/Associate Executive Director.

5.2. Processing of Requisitions

5.2.1. Upon receipt of a properly prepared requisition, the Purchasing Group will initiate proceedings leading to purchase of the requisitioned item in accordance with statutory requirements, OCHE policy and this handbook.

5.2.2. The Purchasing Group will seek to correct by informal means errors and omissions on requisitions in consultation with the requisitioning unit and, so far as possible, consistent with legal requirements.

5.3. Solicitation of Bids

5.3.1. Price quotes should be obtained with the assistance of the Purchasing Group and must be attached to the requisition form. The requestor should indicate which quote has been selected. The least expensive quote should be selected. If it is not, a written explanation must be included.

5.3.1.1. Price quotes are not needed on purchases less than \$1,000.

5.3.1.2. Three documented verbal price quotes are required on purchases of \$1000-\$19,999.

5.3.1.3. Three written price quotes are required on purchases of \$20,000-\$45,000.

5.3.1.4. Purchases greater than \$45,000 must follow the Formal Procurement Procedures.

5.3.1.5. The Purchasing Group need not follow regular solicitation of bid procedures if a supplier has a current contract with the State of Utah, but only if the contract follows the guidelines set forth in the Utah Administrative Code R33-3 (<http://www.rules.utah.gov/publicat/code/r033-003.htm>).

5.3.2. Informal procurement of bids is subject to Formal Procurement Procedures Conflict of Interest specifications outlined in 6.2.5. of this policy.

5.4. Creation of a Purchase Order

5.4.1. After a requisition is received in good order by the Purchasing Group, the Purchasing Group will create an official OCHE Purchase Order containing the following:

5.4.1.1. OCHE assigned Purchase Order number.

5.4.1.2. Appropriate Purchasing Group Signature.

5.4.2. The original requisition and all supporting documentation including bids must be attached to the Purchase Order and scanned into the Procurement Imaging system.

5.5. Processing of a Purchase Order

5.5.1. Work units will receive an e-mail of each purchase order awarded bearing the order number assigned to the transaction. Requests for information related to any requisition should be viewed by purchase order on the Procurement Imaging System.

5.5.2. The Electronic copy of the purchase order should be checked promptly by the requisitioning work unit to assure that the order is correct. Any errors or discrepancies noted should be reported promptly to the Purchasing Group.

5.5.3. Any work unit correspondence relating to acquisition of goods or services must be processed through the Purchasing Group in order to avoid any unnecessary confusion or delay in the procurement process.

5.5.4. Questions regarding existing orders, vendors, product availability or other procurement problems should be directed to the Purchasing Group. Reports of delays and suggestions for improvement of the purchasing process should be directed to the Purchasing Group.

5.6. Receiving

5.6.1. The Purchasing Group is responsible for the receipt and distribution of all materials ordered for delivery.

5.6.2. The Purchasing Group will inspect all shipments for obvious damage, irregularities, or other discrepancies. The original requestor is ultimately responsible for the acceptance of the merchandise.

5.6.3. After receiving and inspecting purchased materials, the Purchasing Group will scan the packing slip and electronically attach it to the Requisition and Purchase Order. All original documents should be placed in a secure file.

5.6.4. The Purchasing Group will deliver the purchased materials to the original employee creating the requisition.

5.6.5. Notification of discovery of any damages, irregularities, nonconformity with specifications, or other discrepancies should be given immediately to the Purchasing Group in writing along with the materials and include the following information.

5.6.5.1. Vendor name and purchase order number.

5.6.5.2. Date received.

5.6.5.3. Item or items damaged or affected by discrepancies, irregularities, or nonconformity with specifications, together with a detailed description thereof.

5.6.5.4. Condition of parcel upon receipt.

5.6.5.5. Location of parcel.

5.6.6. It is the responsibility of the Purchasing Group to arrange the filing of all claims for damaged materials, as well as to initiate requests for replacement shipments. The return of any supplies or materials to the vendor, whether due to damage, misshipment, or other reasons, should be arranged through the Purchasing Group to assure that appropriate credit is received.

5.6.7. All damaged materials should be preserved in the condition in which received and must be kept in the original shipping containers. The materials should be returned to the vendor with a copy of the invoice after calling the vendor to make them aware of the issue and receive any specific return instructions. A written statement regarding the return should be attached to the invoice.

5.7. Reporting - The Purchasing Group is responsible for producing a monthly log of purchases, including orders placed, orders received, and orders outstanding.

R981-6. Formal Procurement Procedures

6.1. Guidelines

6.1.1. Except as otherwise provided in this handbook, procurement of items or services in excess of \$45,000 will be awarded only after formal solicitation of sealed competitive bids or proposals.

6.1.2. Bids and proposals shall be invited from the widest practical selection of firms with proven performance from whom, in the judgment of the Purchasing Department, the procurement needs of OCHE can be satisfied.

6.1.3. All bids and proposals shall be reviewed by OCHE in-house advisor for internal policy compliance.

6.2. Specifications

6.2.1. The Purchasing Group is responsible for the preparation, issuance, revision, maintenance and monitoring of specifications for supplies, and services and construction required by OCHE. In the preparation of specifications, the Purchasing Group shall obtain the advice and assistance of the Associate Executive Director for Finance and Administration of UHEAA and cognizant Associate Commissioner.

6.2.2. All specifications shall seek to promote overall economy and best use for the purposes intended, shall encourage competition when applicable in satisfying OCHE needs and shall not be unduly restrictive.

6.2.3. Bids or proposals may designate a brand name "or equal" as a means to identify the performance or other specific requirements of a procurement. When so used, the salient features of the named brand that must be met by bidders/offers shall be clearly specified.

6.2.4. An individual who has participated in the preparation of a specification shall not be eligible to participate in or receive a contract award for any OCHE procurement using such specification. Exceptions to this rule may be granted by the cognizant Associate Commissioner if (a) an exception is justified by the existence of emergency conditions; (b) there is only one practicable source of supply for the contract requirements.

6.2.5. Conflict of Interest

6.2.5.1. The Purchasing Group shall process requisitions in accordance with established OCHE procurement procedures, and shall attempt to secure bids or proposals from, and to negotiate with, qualified vendors, including vendors in which the existence of a substantial interest on the part of an OCHE employee has been disclosed or otherwise called to the attention of the Purchasing Group.

6.2.5.2. All bids and proposals, and the proposed terms and conditions of all negotiated agreements, shall be subjected to technical and price evaluation in accordance with established OCHE procurement criteria and procedures; provided, however, that the Purchasing Group and all other personnel involved in the evaluation and award process must take appropriate steps to assure that there is no participation therein, direct or indirect, by any OCHE employee who is known to have a substantial interest in any business entity whose bid or proposal is under consideration.

6.2.5.3. If the Purchasing Group determines that in the best interest of OCHE, and in accordance with established criteria, the proposed procurement contract should be awarded or entered into with a business entity in which an OCHE employee is known to have a substantial interest, the Purchasing Group must request and receive from the OCHE employee a duly executed affidavit in substantially the following form:
I, (name) , hereby declare that, in my official capacity, I have not participated in, and that I have not and will not receive compensation (other than my regularly budgeted salary or wages from OCHE) as a result of, or in connection with, proposed contract (or purchase order) number _____.
(date) (signature)

6.2.5.4. Remedies: If any transaction is entered into in violation of the policies and procedures set forth herein:

a. The employee who violated the prohibitions specified, or who knowingly executed and submitted a false affidavit when requested, shall be subject to appropriate disciplinary action, including possible dismissal from OCHE employment, as provided in the Utah Public Officers' and Employees' Ethics Act.

b. OCHE shall have the right to rescind or nullify any contract or subcontract entered into in respect to such transaction without returning any part of the consideration that may have been received by OCHE pursuant thereto.

6.3. Competitive Bidding

6.3.1. Competitive sealed bids shall be used for the procurement of products with defined specifications in excess of \$45,000.

6.3.2. The Purchasing Group is responsible for assuring that all bidding procedures, including the invitation to bid, giving of notice, establishment of criteria for bid

evaluation, opening and evaluation of bids received, acceptance of bids and award of contracts are in compliance with the requirements of the Utah Procurement Code and OCHE regulations.

6.3.3. Public notice of invitations to bid shall be given a reasonable time, not less than ten (10) calendar days, and prior to the date for the opening of bids.

6.3.4. The amount of each bid, together with the name, business address, telephone number and identification number of any applicable contractor's license, of each bidder, shall be recorded at the time and place of bid opening. That record shall be open to public inspection.

6.3.5. Correction or withdrawal of inadvertently erroneous bids before or after award, and the cancellation of awards or contracts based on such bid mistakes, may be authorized by the cognizant Associate Commissioner, when requested in writing and accompanied by full documentation of the facts leading to presentation of the erroneous bid. After bid opening, no changes in bid prices or other provisions of bids prejudicial to the interest of OCHE or fair competition will be permitted. A decision to permit the correction or withdrawal of a bid, or to cancel an award or contract based on an alleged bid mistake shall be in writing, with a statement of reasons that takes into consideration the written evaluation and recommendation of the Purchasing Group.

6.3.6. When it is considered impractical to prepare initially a purchase description to support an award based on price, an invitation for bids may be issued requesting the submission of un-priced offers to be followed by an invitation for bids limited to those bidders whose offers have been qualified under the criteria set forth in the first solicitation.

6.4. Request for Proposals (RFP)

6.4.1. Competitive sealed proposals shall be used for the procurement of services of consultants, professionals, and providers in excess of \$45,000. Proposals shall be solicited through an RFP through public notice and state the relative importance of price and other evaluating factors.

6.4.2. Discussions may be conducted with responsible offerors who submit proposals for the purpose of assuring full understanding of, and responsiveness to solicitation requirements.

6.4.3. Offerors shall be accorded fair and equal treatment with respect to any opportunity for discussion and revision of proposals, and revisions may be permitted after submissions and before the contract is awarded for the purpose of obtaining best and final offers.

6.4.4. In conducting discussions, there shall be no disclosure of any information derived from proposals submitted by competitive offerors.

6.4.5. Award shall be made to the responsible offeror whose proposal is determined in writing to be the most advantageous to OCHE, taking into consideration price and the evaluation factors set forth in the request for proposals. No other factors or criteria shall be used in the evaluation. The contract file shall contain the basis on which the award is made.

6.5. Exceptions: Procurement without Competition

6.5.1. Sole source contracts. A contract may be awarded for a supply, service or construction item without competitive bidding when the Purchasing Group, with the approval of the cognizant Associate Commissioner, determines in writing that there is only one practicable source for the requisitioned item.

6.6. Contractual Terms

6.6.1. The Purchasing Group is responsible for assuring compliance with procedural requirements of the Utah Procurement Code applicable to the terms and provisions of procurement contracts, including requirements that specified determinations be made as a condition precedent to the inclusion or modification of specified contractual provisions.

6.6.2. When the best interests of OCHE so require, the Purchasing Group may include in OCHE procurement contracts any or all contract clauses, so far as relevant, that are authorized by the Utah Procurement Code with respect to adjustments in price, time of performance, scope of contract work, variations between estimated and actual quantities, site conditions, remedies and other contract provisions.

6.7. Procurement of Construction Work

6.7.1. Construction contracts will be entered into with responsible licensed contractors, subject to the provisions of the Utah Procurement Code. For the purpose of this provision, the term "construction" has the same meaning as in the Utah Procurement Code and includes remodeling, renovation and landscaping.

6.7.2. Bid security in an amount equal to at least five (5) percent of the amount of the bid shall be required for all competitive sealed bidding for construction contracts with an estimated cost of \$50,000 or more, and for any other contracts where such bid security is deemed essential by the Purchasing Group. Bid security shall be a bond provided by a surety company authorized to do business in this state, the equivalent in cash or any other form satisfactory to OCHE and consistent with the Utah Procurement Code.

6.7.3. When a bidder fails to comply with the requirement for bid security set forth in the invitation for bids, the bid shall be rejected unless the Purchasing Group determines in writing that the failure to comply with the security requirements is non-substantial.

6.7.4. Performance and Payment Bonding

6.7.4.1. When a construction contract is awarded for an amount exceeding \$50,000 and performance and payment bonding is stipulated in the bid solicitation, performance and payment bonds, or other forms of security satisfactory to OCHE must be delivered to OCHE, and shall be binding on the parties upon the execution of the contract, subject to the provisions of the Utah Procurement Code.

6.7.4.2. The form of the performance and payment bonds shall be substantially the same as for similar bonds required in connection with construction contracts awarded by the Utah State Building Board.

6.7.4.3. Performance and payment bonds may be required for construction contracts of \$50,000 or less in amount; provided that to promote the best interest of OCHE, the Purchasing Group, with the approval of the cognizant Associate Commissioner may waive the requirement of performance and payment bonds on contracts either below or over \$50,000 in amount.

6.8. Lease and Rental Agreements

6.8.1. No lease or rental of equipment or real property, including any interest in land, buildings, office space, or storage space may be entered into or will be binding upon OCHE unless the provisions of this procedure are satisfied.

6.8.2. Any request for leasing, or for the extension or renewal of a lease must be submitted and processed as follows:

6.8.2.1. A written request shall be submitted by the cognizant Associate Commissioner or his/her designee and include the following information:

a. A description of the equipment or property proposed to be leased or of its general location and/or character.

b. An explanation of the need for such space or equipment.

c. A statement addressing the adequacies of power supplies, air handling equipment and general physical structure and floor plan. Estimated costs of any modifications or remodeling necessary to meet user needs should also be included, indicating proposed sources of funding for any such modifications or remodeling.

d. A comparison of lease costs with purchase costs (including alternate methods of financing which have been investigated and the relative merits of such methods), and stating the estimated cost associated with leasing calculated on a simple interest basis.

e. A letter from the Manager of Administration commenting upon and making recommendations relative to the proposed lease and the availability of space or equipment in existing facilities to meet the described need in a timely manner.

f. A proposed lease agreement (a standard lease form used by landlord may be acceptable) which includes, among other things, the following:

1. Term of lease.
2. Monthly rental.
3. Responsibility for utilities, maintenance, snow removal, custodial, grounds care, etc.
4. Parking arrangements.
5. Responsibility for structural and roof maintenance and repairs.
6. Responsibility for insurance of structure, operation and general liability insurance.
7. Responsibility for property taxes, other taxes and assessments, ownership of any improvements made.

6.8.2.2. If the cognizant Associate Commissioner approves the proposed lease the following implementation steps shall be undertaken:

- a.** The lease shall be negotiated and executed in accordance with applicable requirements of the Utah Procurement Code and OCHE regulations.
- b.** The lease shall be signed by the cognizant Associate Commissioner or his/her designee on behalf of OCHE.

6.8.3. Requests for renewals and extensions of leases shall be submitted and reviewed in the same manner and under the same standards as original lease requests.

6.9.. Independent Consultants and Independent Contractor Service Agreements

6.9.1. Guidelines

6.9.1.1. The use of consulting and professional service agreements is expected to be infrequent and primarily for the purpose of solving clearly delineated problems of short-term duration or to provide specific expertise not otherwise available.

- a.** Selection of individuals to perform such services shall be made on the basis of qualifications, resources, experience, needs of OCHE and cost to OCHE.
- b.** An employee of OCHE may be engaged as a consultant or to provide professional services as an independent contractor only if the contract services to be performed (a) are not within the normal performance expectations of OCHE arising from the employee's OCHE position, (b) are to be performed outside of the normal working time and work assignment of the employee and not under the direction, supervision, or control of OCHE and, (c) do not involve a conflict of interest prohibited by the Utah Public Officers' and Employees' Ethics Act.
- c.** The specialized and unique qualifications required of independent consultants and independent professional service contractors are incapable of being evaluated on a comparative basis in relation to objective criteria or specifications. Accordingly, the selection of such individuals shall be done on an informal basis and without competitive bids or proposals.

6.9.1.2. An independent consultant or contractor may not be used to direct or carry out any major portion of a program. If it is desired to engage the services of an individual to

direct or to participate extensively in a continuing program, that person must be employed through established OCHE employment procedures.

6.9.1.3. Independent consultants and independent contractors, as such, are not employees and shall not be entitled to employee benefits. They shall not be described or recognized other than as "consultants or independent contractors" in any published report or other document relating to the services covered by the agreement.

6.9.1.4. An independent consultant or professional service contractor may not hire any employee of OCHE to perform any service covered by the consultant or contractor agreement.

6.9.2. Procedures

6.9.2.1. Written Agreement for Services

a. Any agreement for the services of an independent consultant shall be supported by a written contract, reviewed by in-house legal advisor and/or the Attorney Generals Office.

b. The agreement is binding upon OCHE only if it is signed by an Associate Commissioner or appropriate designee.

6.9.2.2. There shall be no extension of the termination date, expansion of the scope of the original agreement, or increase in amounts payable without prior written approval by the cognizant Associate Commissioner or his/her designee.

6.9.2.3. A purchase order may not be used in lieu of an agreement required by this handbook as a means of securing and paying compensation for the services of an independent consultant or an independent professional service contractor.

6.9.2.4. An honorarium payment may not be used in lieu of an agreement required by this handbook as a means of paying compensation for services to OCHE.

6.9.3. Required Documentation

6.9.3.1. An invoice must be supplied by the contractor or consultant with each request for payment of services covered under this handbook and must specify the following:

a. The date the work was performed.

b. A specific description of the nature of the services rendered.

c. The hourly or daily billing rate, and the total amount claimed to be due.

d. Reimbursable expenses, if any, with supporting vouchers.

6.9.3.2. The invoice must be review and approved by the cognizant Associate Commissioner or his/her designee.

(Adopted March 16, 1982, amended February 15, 1983. Proposed amendments October 27, 2005.)

R985, Personal Communications Device Program (Draft)

R985-1. Purpose

To provide support of personal communications devices for employees whose performance of certain job responsibilities are enhanced by their use. OCHE may elect to obtain and provide an office owned device to an employee whose job duties necessitate the use of such equipment. Alternately, OCHE may elect to monetarily reimburse a portion of the employee's purchase and monthly use of personal communication devices under the provisions of this policy.

R985-2. References

2.1. Utah Code [§53B-1-106](#) (Appointment of Commissioner's Staff)

2.2. Policy and Procedures [R141](#), Duties of the Commissioner of Higher Education

R985-3. Policy for Provision of OCHE owned devices

3.1. Office Owned Equipment and Activation Plan - OCHE may elect to obtain and provide personal communications devices to employees whose job duties require the use of such equipment.

3.2. Approval - Each work unit head is responsible for recommending which positions require the use of personal communications devices and, therefore, qualify for the OCHE owned device. Providing a device to an employee must be directly linked to the employee's job duties and responsibilities.

3.2.1. Copies of the approval forms used to authorize an OCHE owned device will be retained in the employee's official personnel file.

3.3. Incidental Personal Use of Office Owned Device - Incidental personal use of an office owned communications device is permitted under certain conditions:

3.3.1. Personal use of a communications device provided by OCHE is considered to be a misapplication of state equipment if it results in additional costs being incurred by OCHE.

3.3.2. Incidental use of OCHE provided devices must not unduly interfere with the employee's assigned responsibilities or the normal functioning of an office.

3.3.3. The use of telecommunication services for private commercial purposes are strictly prohibited regardless of whether or not it results in an additional charge to OCHE.

Such permitted incidental personal use is not considered taxable compensation subject to required tax withholdings.

3.4. Excessive Personal Use - Personal use that results in an increase in costs to OCHE or which exceeds a reasonable incidental percentage of business use over the same time period is considered excessive. OCHE may require the employee to reimburse the office for excessive personal use of an office owned communications device. Unreimbursed excessive personal use will result in OCHE reporting the value of the device and activation plan as taxable income to the employee.

3.5. Conditions for Providing an Office Owned Device - In providing a device to an employee OCHE shall:

3.5.1. Verify that the employee has a substantial business need for the device;

3.5.2. Provide a device and activation plan to meet the employee's estimated business needs in a cost effective manner; and

3.5.3. Verify that any permitted incidental personal use of the device does not increase the cost of the equipment and activation fees, does not unduly interfere with the employee's assigned responsibilities, and does not involve private commercial purposes.

R985-4. Policy for Communication Reimbursement Program

4.1. Communication Equipment Reimbursement - OCHE may elect to provide an employee with a Communication Equipment Reimbursement to offset the business use of the employee's personal communications equipment purchase and activation fees. A device acquired in accordance with the provisions of this paragraph is the employee's property and may be used in any way the employee deems appropriate. A Communication Reimbursement for the business use of the device is not considered taxable compensation subject to required tax withholdings. The amount of the Communication Reimbursement will be determined by OCHE to correspond to the value to OCHE of the employee's business use of the device.

4.2. Approval - Each work unit head is responsible for recommending which positions require the use of personal communications devices and, therefore, qualify for the Communication Reimbursement Program. Providing a Communication Reimbursement to an employee must be directly linked to the employee's job duties and responsibilities. There must be a valid business purpose for the number of plan minutes provided by OCHE.

4.2.1. Copies of the approval forms used to authorize and process the Communication Reimbursement, will be retained in the employee's official personnel file.

4.3. Establishing Communication Reimbursement Amounts - OCHE will periodically determine the Communication Reimbursement rates for the purchase of cellular telephones, Personal Digital Assistants (PDA) and telephone/PDA combinations. An employee may purchase any such communication equipment, regardless of price; however, the employee will be responsible for any additional expenses above the Communication Reimbursement.

4.3.1. Periodically, OCHE will establish the monthly Communication Reimbursement rates for cellular telephone and PDA service plans (including provisions for the payment of related taxes and selected calling features).

4.3.2. Each work unit head is responsible for recommending the appropriate plan access limit for an employee's monthly Communication Reimbursement based on the responsibilities of the employee's position. Plan access limits should include a determination of an appropriate number of plan minutes, long distance calling options and other plan features.

4.4. Reimbursement for Equipment and Activation Fees - An employee who acquires communication equipment and services after acceptance into the Communication Reimbursement Program will receive a reimbursement in an amount up to the established allowances to offset related expenses. Equipment purchases include cell phones, PDAs, batteries, hands-free devices, cases, carrying devices, chargers and data cabling. An employee may elect to enroll in a service plan that exceeds the approved plan limits selected by the work unit. Regardless of the cost of the plan chosen by the employee, the reimbursement will not exceed the amount approved by OCHE. The employee is responsible for payment of all charges to the provider, including any amount that exceeds the reimbursement. To receive a reimbursement for the purchase of equipment an employee must submit a copy of the receipt showing proof of purchase.

4.4.1. Reimbursements for acquisition of communication equipment will be made no more frequently than once every two years, unless specifically authorized by the Commissioner.

4.4.2. Reimbursements will also be made for activation fees and taxes consistent with one of the established communication reimbursement limits. The employee must submit a copy of his or her monthly bill as proof of expenditure. OCHE may require the employee to identify device use listed in the monthly bill as business related or personal in order to verify the appropriateness of the employee's plan access limit. The employee will be required to return excess Communication Reimbursements.

4.4.3. An employee whose allotted plan access limit is routinely exceeded due solely to business use may request an increase in his or her plan access limit.

4.5. Annual Review Process - During the budget planning cycle, the work unit head must evaluate the Communication Reimbursement monthly reimbursement schedule and the appropriateness of previously selected plan access limits and make necessary recommendations for adjustments.

4.6. Employee Responsibilities - The employee is responsible for the selection of and enrollment in a communication service plan. In addition:

4.6.1. An employee receiving a Communication Reimbursement must provide Human Resources and his or her work unit with the phone and/or PDA number of the communication device within five working days of activation.

4.6.2. The employee is personally responsible for complying with any contract entered into with a communication service provider including payment of all expenses incurred (including long distance, roaming fees and taxes). In the event that an employee leaves the position that qualified for a Communication Reimbursement, he or she continues to be responsible for the contractual obligations of the communication service plan.

4.6.3. An employee receiving a Communication Reimbursement must notify his or her work unit head within five working days of the inactivation of communication service even if it is due to the loss or theft of the communication equipment.

4.6.4. An employee receiving a Communication Reimbursement from OCHE may not receive reimbursement from OCHE or any other USHE component for use of other communication equipment or services. This exclusion does not preclude the use and subsequent payment of charges made on calling cards issued to the OCHE work unit.

(Proposed Draft Policy October 27, 2005.)

October 17, 2005

MEMORANDUM

TO: State Board of Regents
FROM: Richard E. Kendell
SUBJECT: Strategic Directions for Utah Higher Education

Background

Commissioner Kendell agreed to provide to the Regents frequent updates of the Strategic Directions for Utah Higher Education document.

Issue

Attached is the latest update of the Strategic Directions document. Commissioner Kendell will respond to questions or comments at the meeting.

Richard E. Kendell, Commissioner

REK:jc
Attachment

Strategic Directions for Utah Higher Education
2005 - 2007

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
<p align="center">I</p> <p>K-16: Increasing Expectations, Enhancing Student Success</p> <p>Executive Summary: With a focus on enhancing student success in higher education, several issues face Utah’s colleges and universities:</p> <ul style="list-style-type: none"> • Lack of awareness by students and their parents of USHE institution admission standards and expectations for success in achieving a degree. • Inconsistency of placement tests. • The achievement gap/college participation rate between whites and minorities. • Inadequate pre-college counseling and college level academic advising. • No mechanism to “track” students from K-12 through their post-secondary education. • Fewer high school graduates going to college than 10 years ago. 	<ul style="list-style-type: none"> • Develop “expectations for success” document. Distribute to all 8th grade students, parents, counselors, teachers, and school administrators the “Expectations Document” detailing the benefits of higher education and clearly explaining the high school preparation necessary to ensure student success in post-secondary education. • Launch a public information campaign <ul style="list-style-type: none"> a. Direct mailing to students b. Counselor Training c. Media Events • Formalize K-16 Task Force • The Board and Commissioner should seek and obtain the support of the governor, legislators, minority advocates, and religious leaders, emphasizing the vital importance of rigorous high school study, and higher education, to the progress and vitality of individuals, families and communities. • Hold a widely publicized summit on higher education to which various government, education and community leaders (including minority advocates and religious leaders) are invited, to highlight the importance of higher education and narrowing the enrollment gap between K-12 and 	<ul style="list-style-type: none"> • Alignment of Public Education Assessments and Standards with Higher Education Assessments, Standards, and Expectations • For purposes of improved data collection and accountability, the Commissioner’s Office will explore with the State Board of Education and the various USHE institutions, the feasibility of developing and implementing a “common student number” system that would assign each public school student an identification number that would follow each student through the K-12 system and into USHE institutions. • As a follow-up step to the public information campaign, develop a multimedia presentation for 8th-10th grade students to encourage their interest in higher education. This presentation could be made available to schools for assemblies, individual DVD distribution, and use by school counselors. 	<ul style="list-style-type: none"> • Prepare Resource Book for all institutions. Correlates of <ul style="list-style-type: none"> -- Academic achievement -- High school graduation -- College attendance • Prepare data collection strategies and overall plans for identifying and tracking students. Need transition plans from public K-12 system to higher education system.

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
	<p>higher education.</p> <ul style="list-style-type: none">• The Board should require standardization of placement tests and scores at each of the USHE institutions, particularly those used at the “open access” institutions, to ensure more consistent decision making and data collection on issues related to college readiness, remediation, and completion.• Formalize the organization and implementation of <i>one</i> K-16 task force comprised of members of the Board of Regents and State Board of Education, the Governor’s Deputy on Education, and representatives from the Senate and House.• The Commissioner should initiate discipline-specific task forces of both public and higher education to ensure comparability of content for the purpose of facilitating transition to college.		

Institutional Initiatives		Budget Implications	
Year 1	Year 2	Year 1	Year 2

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
<p style="text-align: center;">II</p> <p style="text-align: center;">Improving Student Retention and Graduation Rates; Role of Remedial Education, Access, Concurrent Enrollment</p> <p>Executive Summary: The workshop considered three presentations regarding retention/time to graduation, the role of remedial education and state demographics/college readiness. The value of remedial education is under scrutiny and while there is general agreement that remedial education is an economic investment that is essential to assist some students to complete their credentials, there must be better data to support its role in higher education. There are new and diverse incentives within colleges and universities to improve retention, time to graduation and graduation rates. These issues need further study, better data, and improved institutional performance.</p>	<ul style="list-style-type: none"> • USHE should develop a 'student success or retention/completion initiative' that would have the following elements: <ol style="list-style-type: none"> a. Increase the number of well-trained academic advisors. b. Eliminate barriers to timely program completion and graduation. c. Increase need-based financial aid and student scholarships. d. Better fund student services programs. 	<ul style="list-style-type: none"> • The Board of Regents should request from each institution a plan for improving student retention and graduation with short- and long-term goals. Develop budgets to accomplish these goals. • The Regents should explore alternative methods for delivering remedial/developmental course work based on data collected in year one. • The Board should explore new funding models that would offer students and institutions incentives for completing their baccalaureate degrees in four academic years, such as reduced tuition incentives or payment if completion is within certain guidelines. 	<ul style="list-style-type: none"> • The Commissioner's Office and the USHE should develop a tracking system that monitors retention and graduation of all students by institution. • The Commissioner's Office and USHE should evaluate the progress made by students in remedial programs and measure their success in subsequent coursework and degree/certificate completion. Such findings should drive future remedial opportunities. • Publish best practices regarding retention and graduation. • Formally evaluate concurrent enrollment <ul style="list-style-type: none"> -- College attendance rates -- Persistence rates -- Graduation rates

Institutional Initiatives		Budget Implications	
Year 1	Year 2	Year 1	Year 2

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
<p style="text-align: center;">III Meeting Needs of Disadvantaged and Minority Students</p> <p>Executive Summary: Higher education must prepare students with the knowledge and skills they need in today’s rapidly changing economy. This means all students must have access to a first-class education. Although some progress has been made nationally and as a state, we must work harder to close the achievement gap between rich and poor, and between white and minority students. Workshop participants discussed the following issues: Utah’s participation rate crisis, meeting the needs of disadvantaged and minority students, and the role of concurrent enrollment in providing access and opportunities for Utah students.</p>	<ul style="list-style-type: none"> • The Regents should sponsor symposia with representation from USHE institutions and the community at large to identify educational barriers experienced by minority and disadvantaged students. • The Commissioner’s Office will bring together the minority/ethnic affairs representatives to plan and discuss effective practices and to prepare an action agenda with goals, timelines, and costs for implementation. 	<ul style="list-style-type: none"> • Concerning matters of access the Regents should set reasonable goals for college participation and development initiatives that will expand the capacity of the system to ensure both access and success for all students statewide. • USHE and K-12 institutions should collaborate to develop and implement an early intervention system for minority and disadvantaged students, including but not limited to intervention programs such as Gear Up, TRIO, and Upward Bound, which assist in the recruitment of minority and disadvantaged students to higher education. • The USHE should implement plans outlined by the symposia proceedings to assist minority and disadvantaged students to succeed once they begin their college careers. 	<ul style="list-style-type: none"> • Publish symposia proceedings and a summary of effective practices and strategies • Develop policy initiatives based on symposia results and research of effective practices

Institutional Initiatives		Budget Implications	
Year 1	Year 2	Year 1	Year 2

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
<p style="text-align: center;">IV</p> <p style="text-align: center;">Higher Education: Building Utah's Workforce, Now and Future</p> <p>Executive Summary: Although the Utah System of Higher Education provides qualified graduates to Utah industries in a variety of ways, a perception sometimes exists that USHE is not meeting the needs of today's workforce. Through programs such as Custom Fit, Short Term Intensive Training, and USHE's Nursing and Engineering Initiatives, the System is providing graduates ready to meet the emerging demands of Utah's economy. Nevertheless, the USHE must continue to monitor job needs and stay in front of a rapidly changing job market. The USHE must also publicize success and report strategic plans.</p>	<ul style="list-style-type: none"> • The Commissioner's Office will develop a public information plan targeting students, industry, and key policymakers to communicate how the education provided by the System will benefit students and the state's economy. The plan should include a listing of emerging workforce requirements. Also, the plan should include system resources, such as UHEAA and UtahMentor, that can assist students and employers. • The Jobs Now program initiated during the 2005 legislature will be developed further to meet existing and future employer needs for jobs and economic development activities. • The USHE will sponsor one conference with key business, government, and higher education leaders to monitor changes and trends in Utah's economy and workforce. Such a conference should identify key workforce needs and corresponding funding initiatives. 	<ul style="list-style-type: none"> • The USHE will sponsor one conference with key business, government, and higher education leaders to monitor changes and trends in Utah's economy and workforce. 	<ul style="list-style-type: none"> • Data Availability – The Commissioner's staff will prepare a white paper outlining what the System and State know about workforce needs and what we know about graduates in the workplace. The paper should also address the question of "what we should know" about graduates and offer a plan to implement the findings. • Coordination – Upon completion of the white paper, the System must take specific steps to implement a better data system and better tools on the Web, networked with Workforce Services.

Institutional Initiatives		Budget Implications	
Year 1	Year 2	Year 1	Year 2

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
<p style="text-align: center;"><u>V</u></p> <p style="text-align: center;">Linking Funding to Institutional Missions and Roles</p> <p>Executive Summary: With considerable demands on Utah's tax dollars, it is imperative that the Utah System of Higher Education prioritize and prepare a process for budget requests that is deemed effective and efficient. The Regents have the responsibility to prioritize and articulate the most pressing needs of the entire System. CFOs and the Finance Committee should come to agreement on items to be considered as Mandated Costs. Second, the USHE will consider ways to infuse mission considerations into budget priorities. This could include funding new enrollment growth for freshmen differently for the community colleges and open-access universities than for research universities.</p>	<p>The Commissioner's finance staff will develop a first-draft proposal for an outline of the 2006-2007 USHE BUDGET PRIORITIES.</p> <ul style="list-style-type: none"> • Proposed Category 1 – Compensation. <ul style="list-style-type: none"> a. Develop system-wide and institutional profiles outlining the impact of a 75/25 tuition policy for addressing compensation. b. Prepare comparative data with other states and institutions, and outline a plan for increasing the existing funding for faculty and staff retention. c. Prepare studies indicating the impact on UCAT for funding faculty salaries using the same 75/25 method as used for other higher education institutions. • Proposed Category 2 – Common Mandated Infrastructure Cost Increases. CFOs and the Finance Committee will prepare metrics and budget request amounts. These will likely include: <ul style="list-style-type: none"> a. Utility rate increases above 2004-2005 costs. (Assumes "old" Fuel and Power not funded in 2005 is off the table.) Funding request is for documented new rate increases with a formula and plan. b. Restore Higher Education Technology Initiative Funding (HETI) funding 	<ul style="list-style-type: none"> • Evaluate Year 1 activities and establish agenda for Year 2. 	

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
	<p>capacity. These are funds needed for catch-up of funding for software license cost increases, such as Oracle, Microsoft, and McAfee Antivirus. (No HETI funding increases since 1999).</p> <p>c. Americans with Disabilities ACT (ADA) Cost Increases.</p> <p>d. Internal Service Fund (ISF) Increases. Cost increases imposed by State Risk Management and State Fleet.</p> <ul style="list-style-type: none"> • Proposed Category 3 – Special Initiatives <ul style="list-style-type: none"> • Appoint a Finance Committee and retain consultants to review successful funding formulas/ plans in other states. These may be system-wide or institution-specific, based on particular missions. • Seek models from WICHE, NCHEMS, ECS, ACE and others. Advance for consideration those plans/ideas that may work in Utah • Update the five- and ten-year planning/financial matrix developed for the August 2004 Board of Regents Workshop. 		

Institutional Initiatives		Budget Implications	
Year 1	Year 2	Year 1	Year 2

Strategic Direction	Year 1 Priority	Year 2 Priority	Research Priority
<p style="text-align: center;"><u>VI</u></p> <p style="text-align: center;">Higher Education’s Role in Building Utah’s Economy: Building Institutional and Business Partnerships</p> <p>Executive Summary: While higher education continues to play an important role in the economic development of the state, it has done so without being integrated into any statewide plan or initiative. Higher education’s workforce preparation programs and research and development activities help drive the economy and can successfully be coordinated with other statewide efforts. Other initiatives include the USTAR plan and the potential development of innovation centers strategically placed around the state. Successful innovation center models already exist. Utah does not need to create a new model, but needs to settle on a plan and move it ahead with adequate resources.</p>	<ul style="list-style-type: none"> • The Commissioner and USHE will assist in the development of a framework (structure and funding) for Regional Innovation Centers. The centers will require a clear set of purposes and priorities. • The Commissioner will coordinate efforts with the Governor’s Office, the business community, and others involved in the USTAR initiative. • The Commissioner will present budget requirements to the Board outlining the complementary purposes of the higher education budget and the USTAR initiative. • The Commissioner and USHE will develop a collaborative effort to build legislative support for USTAR and regional economic development plans and initiatives. 		

Institutional Initiatives		Budget Implications	
Year 1	Year 2	Year 1	Year 2