



AGENDA

MEETING OF THE
UTAH STATE BOARD OF REGENTS
TO BE HELD AT
THE COLLEGE OF EASTERN UTAH, PRICE, UTAH
JENNIFER LEAVITT STUDENT CENTER

SEPTEMBER 5, 2008

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 MEETING
COLLEGE OF EASTERN UTAH
JENNIFER LEAVITT STUDENT CENTER
SEPTEMBER 5, 2008

Agenda

7:30 a.m. - BREAKFAST MEETING – STATE BOARD OF REGENTS,
9:00 a.m. CEU BOARD OF TRUSTEES, COMMISSIONER, PRESIDENT KING
Geary Theatre/Stage

9:00 a.m. - COMMITTEE OF THE WHOLE
9:15 a.m. Regent Jed H. Pitcher, Chair
Alumni Room

1. Welcome and Overview
2. Administration of Oath of Office to Regents Teresa Theurer and Bob Marquardt

9:15 a.m. - MEETINGS OF BOARD COMMITTEES
10:45 a.m.

ACADEMIC, CTE, AND STUDENT SUCCESS (PROGRAMS) COMMITTEE
Regent David J. Jordan, Acting Chair
Alumni Room

ACTION:

1. Utah State University – B.S. Degree in Residential Landscape Design and Construction Tab A
2. Utah State University – Ph.D. Degree in Engineering Education Tab B
3. Dixie State College – A.A.S. Degree in Physical Therapist Assistant Tab C

CONSENT:

4. Consent Calendar, Programs Committee Tab D
UCAT – Fast-Track Approval:
 - A. DATC – Certificates of Completion in Managing Bookkeeper, Barbering; Certificates of Proficiency in Bookkeeper, Accounts Payable Management Clerk, Accounts Receivable Management Clerk, eBusiness, Entrepreneurship, Inventory Management Clerk, Payroll Management Clerk, Project Management Technician, Purchasing Management Clerk
 - B. BATC – Certificates of Proficiency in Veterinarian Assistant/Pre-Technician, Esthetician (Basic and Master)

INFORMATION/DISCUSSION:

5. Information Calendar, Programs Committee Tab E
 - A. Utah State University

- i. Implementation of K-16 Licensure Program in the School of Teacher Education and Leadership
 - ii. Name Change: Interior Design
- B. Utah Valley University – Minor in Classical Studies

FINANCE, FACILITIES AND ACCOUNTABILITY COMMITTEE

Regent Nolan E. Karras, Acting Chair

Lee Family Study Room/Library

ACTION:

- 1. USHE – Long-term Enrollment Scenarios Tab F
- 2. USHE – Proposed Range for First-tier Tuition, 2009-2010 Tab G
- 3. USHE – Proposed Revision of Policy R558, *Surplus Property* Tab H
- 4. University of Utah – Campus Master Plan Update Tab I
- 5. College of Eastern Utah – Campus Master Plan Tab J

CONSENT:

- 6. Consent Calendar, Finance Committee Tab K
 - A. USHE – Proposed Revisions to Policy R932, *Vacation Leave*
 - B. Utah Valley University – Sale of Property to Utah Transit Authority

INFORMATION:

- 7. UHEAA Update Tab L
- 8. Utah College of Applied Technology – 2009-2010 Budget Request Tab M
- 9. Utah Education Network – 2009-2010 Budget Request Tab N

STRATEGIC PLANNING AND COMMUNICATIONS COMMITTEE

Regent Meghan Z. Holbrook, Chair

Board Room

INFORMATION:

- 1. Retention Reports – The College of Eastern Utah and Snow College Tab O
- 2. Progress Report: Legislative Higher Education and Applied Technology Governance Committee Tab P
- 3. Update on Regents' Scholarship, 2008 Tab Q
- 4. Report on Utah Scholars Program, 2009-2010 Tab R
- 5. Report on ACT Test Results for Utah Students Tab S

CONSENT:

- 6. Proposed Revisions to Policy R203, *Search Committee Appointment and Function, and Regents' Selection of Presidents of Institutions* Tab T

10:45 a.m. -

11:00 a.m.

BLACKBERRY / REFRESHMENT BREAK

Foyer

11:00 a.m. -
12:00 noon

COMMITTEE OF THE WHOLE
AND REGULAR BUSINESS MEETING OF THE BOARD
Regent Jed H. Pitcher, Chair
Alumni Room

1. State of the College – President King
2. Presentation by Commissioner Sederburg: Initial Plan
3. General Consent Calendar Tab U
4. Resolution of Appreciation for Senator Mike Dmitrich

12:00 noon -
1:30 p.m.

LUNCHEON TO RECOGNIZE SENATOR MIKE DMITRICH
Multipurpose Room
(Everyone is invited)

1:30 p.m. -
3:30 p.m.

COMMITTEE OF THE WHOLE
Alumni Room

1. USHE – Proposed 2009-2010 Budget Request Tab V
2. USHE – Institutional Capital Development Projects for 2009-2010 Tab W
3. USHE – Non-State Funds Capital Projects for 2009-2010 Tab X
4. Reports of Board Committees
 Programs Committee (Tabs A - E)
 Finance Committee (Tabs F - N)
 Planning Committee (Tabs O - T)
5. Report of the Chair
6. Report of the Commissioner
7. Summary – Commissioner Sederburg

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



## MEMORANDUM

August 27, 2008

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah State University – Bachelor of Science in Residential Landscape Design and Construction, Effective Fall 2008 – Action Item

### Issue

Utah State University requests approval to offer a Bachelor of Science in Residential Landscape Design and Construction effective Fall 2008. This program was approved by the institutional Board of Trustees on 23 May 2008.

### Background

The Residential Landscape Design and Construction (RLDC) degree will prepare students for careers in the design, construction, and maintenance of residential landscapes and small-scale gardens. The degree draws heavily from both horticulture and landscape architecture disciplines. These disciplines, while related, are distinct at USU and housed in separate colleges (Agriculture and Humanities, Arts and Social Sciences respectively). While drawing from existing programs, the balanced combination of Horticulture and design makes this degree program unique and distinctly different from existing degrees in Horticulture and Landscape Architecture, in much the same way the related professional societies (American Society for Landscape Architecture, American Society for Horticultural Science, and Association of Professional Landscape Designers) are unique and different.

The core curriculum represents a collaborative effort between two different departments in two different colleges. Courses will be drawn from the Plants, Soils, and Climate (PSC) Department in the College of Agriculture and the Landscape Architecture and Environmental Planning (LAEP) Department in the College of Humanities, Arts, and Social Sciences. Design courses will cover the fundamentals of landscape graphics, design, construction practices, and the use of state-of-the-art personal computer software for landscape design. Horticulture courses will include soils, plant materials, landscape management, pest management, irrigation, weed control, bidding and estimating, and others. This proposed program will place much more emphasis on these areas than traditional landscape architecture. Career opportunities for graduates exist in landscape design and construction through small businesses, retail garden centers, architecture firms, and public/private gardens.

The proposed Residential Landscape Design and Construction baccalaureate program is expected to appeal to those students who are interested in environmental issues such as water conservancy in

landscape and those who are not accepted into the Landscape Architecture degree program because of accreditation limitations on faculty/student ratios. In addition, the students who would be attracted to the program already are enrolled in either Horticulture or Landscape Architecture and would switch to the proposed program. The first and second year courses are the same for all three programs, and many of the same upper-division courses will serve the three programs. USU officials believe that the proposed program would keep students in school and on track to graduate in a viable career field.

All faculty with the exception of a .35 FTE adjunct are in place. Five additional courses will be added over a five year period. The budget is already in place.

### Policy Issues

The USHE institutions were supportive of the program after USU provided information on the program's purpose and rigor. UCAT may offer a certificate for a shorter adaptation of the proposed degree and may want to articulate with USU in the future. Additional questions were raised concerning student demand, market demand, and potential public confusion over which degree a graduate possesses, Landscape Architecture or Residential Landscape Design and Construction. USU officials stated that the proposed program would appeal to students who are already enrolled, although more are expected to enroll over the next five years. The proposal cited job statistics from the Bureau of Labor that support the growth of the industry nationally and especially statewide as Utah's population continues to grow. Also cited were quotes from the realty industry that support residential landscape as an investment in the overall worth of property.

Confusion over the proposed degree and Landscape Architecture is addressed by the different skill sets and licensure requirements for each program. Landscape Architects are required to obtain licensure and their academic programs must be accredited. The Residential Landscape Design and Construction degree does not have accreditation nor licensure requirements. Instead, graduates from the proposed program may take certifications available through the Association of Professional Landscape Designers (APLD), the professional organization for residential landscape designers. The careers each program prepares its graduates to enter are different with the proposed program more limited to small-scale residential landscaping.

### Commissioner's Recommendation

The Commissioner recommends that the Regents review the request from Utah State University to offer the Bachelor of Science in Residential Landscape Design and Construction, raise questions, and, if satisfied, approve the request.

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William A. Sederburg, Commissioner

Academic, Career and Technical Education, and Student Success Committee

Action Item

Request to Offer the Bachelor of Science in Residential Landscape Design and Construction

Utah State University

Prepared for:  
William A. Sederburg  
by  
Phyllis C. Safman

August 27, 2008

## **Section I: The Request**

Utah State University requests approval to offer a Bachelor of Science in Residential Landscape Design and Construction (RLDC) effective Fall 2008. This program has been approved by the institutional Board of Trustees on 23 May 2008.

## **Section II: Program Description**

### **Complete Program Description**

The Residential Landscape Design and Construction (RLDC) degree will prepare students for careers in the design, construction, and maintenance of residential landscapes and small-scale gardens. The degree draws heavily from both horticulture and landscape architecture disciplines. These disciplines, while related, are so distinct at USU as to be housed in separate colleges (Agriculture and Humanities, Arts and Social Sciences respectively). While drawing from existing programs, the balanced combination of horticulture and design makes this degree program unique and distinctly different from existing degrees in horticulture and landscape architecture, in much the same way the related professional societies (American Society for Landscape Architecture, American Society for Horticultural Science, and Association of Professional Landscape Designers) are unique and different.

The core curriculum represents a collaborative arrangement between two different departments in two different colleges. Courses will be drawn from the Plants, Soils, and Climate (PSC) Department in the College of Agriculture and the Landscape Architecture and Environmental Planning (LAEP) Department in the College of Humanities, Arts, and Social Sciences. Design courses will cover the fundamentals of landscape graphics, design, construction practices, and the use of state-of-the-art personal computer software for landscape design. Horticulture courses will include soils, plant materials, landscape management, pest management, irrigation, weed control, bidding and estimating, and others. This degree will place much more emphasis on these areas than traditional landscape architecture students receive. Career opportunities for graduates exist in landscape design and construction through small businesses, retail garden centers, architecture firms, and public/private gardens.

### **Purpose of Degree**

This degree proposes to:

1. Provide a degree option that emphasizes both horticulture and design to meet the needs of the expanding market for environmentally sustainable landscaping in Utah.
2. Provide a degree option which recognizes student demand for a horticulture program with increased emphasis on, and recognition of, skills in landscape plant materials and design.
3. Provide an alternative to the existing Landscape Maintenance and Construction emphasis within the PSC Horticulture major. The emphasis will be eliminated due to accreditation requirements forcing LAEP to deny entrance to PSC students in their upper-division courses.
4. Provide an attractive and efficient alternative degree option for LAEP majors who are not matriculated into the professional program.
5. Provide educational opportunities for the large number of individuals who are interested in gardening courses for their intrinsic value, rather than their ability to foster career opportunities.

## **Institutional Readiness**

Utah State University is fully capable to offer the RLDC degree within existing departments. The only requirement will be a 0.35 position in conjunction with the Utah Botanical Center.

## **Faculty**

The return of two administrative positions to the horticulture faculty during the past year, and the granting of tenure status to another horticulture faculty member, have provided much of the teaching resources required to offer the new degree.

Currently, PLSC 3300 Residential Landscapes, is taught by an adjunct faculty member (Anne Spranger, MLA) who is also an employee of the University at the Utah Botanical Center (UBC). In the new degree program, USU would propose that this position teach two courses (PLSC 3300 and PLSC 3310 Advanced Residential Landscape Design). To make this change, USU would propose the PSC Department fund 35 percent of the position so that it may be shared with the UBC. Such a change will provide needed salary funding to retain the position and also will be an effective use of employee time during the winter when the UBC is less active. This split appointment will also provide a critical linkage between PSC and the UBC. The proposal will require \$17,500 (0.35 FTE) in benefitted E&G funding.

Kelly Kopp (Extension Specialist for Landscape Water Conservation) has recently been tenured and has expressed an interest in teaching PLSC 3420 Landscape Irrigation Design. This teaching assignment will be complementary to her primary assignment as Extension Specialist and with her research. In addition, it is USU's intent to send her to the Irrigation Association Education Foundation's Faculty Academy program for additional training. This fits with the goal of insuring the course is also taught to meet the professional certification requirements of the Irrigation Association.

Of the 21 PSC courses required for the degree, 18 will be taught by regular full-time faculty (both tenure track and instructors), two will be taught by the MLA position shared with the UBC (also full time), and one will be taught by an adjunct (PLSC 2600 Perennial and Annual Plant Materials). The adjunct for PLSC 2600 is Barney Barnett, a local nurseryman who is a nationally-recognized perennial plant grower and holds a Bachelor's degree in horticulture.

## **Staff**

Even though USU expects to increase student numbers, the increase should be well within the capacity of existing secretarial and advising staff. Teaching assistantships for graduate students would be a very helpful addition to the faculty, but are not essential at this point in time.

## **Library and Information Resources**

The RLDC program will require no additional library resources beyond what is already available for an accredited landscape architecture program and the existing horticulture program.

## **Admission Requirements**

Admission requirements will be identical to those required by the University for all students.

## Student Advisement

The PSC Department has advisors who very capably assist students in the various programs. The development of the RLDC degree actually will be a simplification of advising as compared to the existing Landscape Construction and Maintenance Emphasis. It will be a significant challenge to assist students to transfer from one department to another, but the new degree will make it easier to advise students from LAEP who desire to transfer to PSC.

## Justification for Gradation Standards and Number of Credits

As compared to the existing Landscape Maintenance and Construction emphasis, the new program would eliminate eight credits of LAEP courses and a 3-credit irrigation course from ASTE, as well as six credits of fruit or vegetable production and Irrigated Soils from PSC. It will add 13 credits of new PSC courses and 3-credits each in computer aided design, low water landscape design, and site-specific landscape management. The changes will not exceed the 126 semester hour limit for a bachelor's degree.

## External Review and Accreditation

There are no accreditation bodies for landscape design programs as there are for landscape architecture. But there is a certification program for individuals offered through the Association of Professional Landscape Designers (APLD) (<http://www.apld.org/consumers/certification.asp>). USU intends to meet the general accreditation requirements and to insure the establishment of an advisory board including members of the APLD.

## Projected Enrollment

| Year | Student Headcount | # of Faculty | Student-to-Faculty Ratio | Accreditation Req'd Ratio |
|------|-------------------|--------------|--------------------------|---------------------------|
| 1    | 15                | 15           | 1.0                      | NA                        |
| 2    | 20                | 15           | 1.3                      | NA                        |
| 3    | 21                | 15           | 1.4                      | NA                        |
| 4    | 22                | 15           | 1.5                      | NA                        |
| 5    | 22                | 15           | 1.5                      | NA                        |

## Expansion of Existing Program

This program will replace the existing Landscape Maintenance and Construction Emphasis within the Horticulture degree. It expands the landscaping emphasis to a full degree program. It will provide a program more focused on landscape design and will increase the number of students involved in landscaping aspects of horticulture. The program will accommodate the restrictions placed on PSC students taking LAEP courses that are required by LAEP's accreditation needs.

## Section III: Need

### Program Need

The program is needed to meet the demand by both students and industry for additional training in landscape design and construction on a residential level. The proposed program is expected to encourage retention of students who do not matriculate in the Bachelor of Landscape Architecture (BLA) degree program by providing an attractive and rigorous degree path. Many students do not matriculate into the professional program simply due to the low cap placed on admissions by the BLA program's accreditation requirements.

### Labor Market Demand

It is very difficult to quantitatively define the labor market demand for agriculture in general and the green industry in particular. Unlike other career areas such as education which is monitored by human resource divisions and by state agencies, the green industry covers the spectrum from small business owners to large public employers. Such diversity precludes predictions of exact numbers of positions available at any given time.

A review of Bureau of Labor statistics (<http://www.bls.gov/oco/ocos172.htm>) shows no specific category for landscape design. The closest categories are ground maintenance workers and landscape architects. The job outlook for grounds maintenance and landscape architecture is very good with employment expected to grow about 16-18 percent from 2006-16, which is faster than average for all occupations. Locally, there appears to be an increasing demand for individuals to work as landscape designers based on the formation of an Intermountain Region Chapter of the Association of Professional Landscape Designers (APLD) which hosted the annual convention of the national APLD in Salt Lake City in 2005. The intermountain region chapter is also a growing and vibrant component of the Utah Nursery and Landscape Association (the premier professional organization for members of the green industry in Utah).

Growth in this industry is driven by public demand for professional landscaping as shown by the following quotations as cited on the American Society for Landscape Architecture website (<http://www.asla.org/>):

Homes that have been professionally landscaped can fetch 15 percent to 20 percent more at the time of resale than homes that lack landscaping. Professional Landcare Network, 2004

Homeowners should spend between 10 percent and 20 percent of their home's value on landscaping. National Association of Realtors' Realtor Magazine, August 2005

Homes with nice landscaping are likely to see sale prices that are 4 percent to 5 percent higher compared to similar properties in the neighborhood, according to the Guide for Plant Appraisal, published by the International Society of Arboriculture. And homes with landscapes that are not as nice as others in the neighborhood could see sales prices that are 8 percent to 10 percent lower. Eighty-four percent of the real estate agents interviewed for the study said a house with trees would be as much as 20 percent more salable than a house without trees. Guide for Plant Appraisal, 9th ed., Council of Tree & Landscape Appraisers, 2003

The median price of a single family home in Salt Lake County is about \$230,000. This means that an average homeowner may invest more than \$23,000 on landscaping. It is becoming more and more critical that such investments be sustainable. More than ever, today's landscapes need to be water-efficient, disease and pest resistant, low-maintenance, and environmentally sound. Utah is one of the most rapidly growing states in the nation. That growth is demanding the construction of new homes and yards that will impact our very environment. Indeed, it has been stated that in urban areas (i.e., the entire Wasatch Front metropolitan corridor) the cumulative residential landscape literally becomes the environment.

As a state, Utah's tolerance of water-wasting landscapes demanding extensive use of pesticides and fertilizers is waning. But, the need for enhanced quality of life through appropriate landscaping has never been greater. Horticulturists are well trained in the sciences behind the selection and maintenance of landscape plants, but are typically less well trained in design. On the other hand, landscape architects are masters at design, but have less academic background in plant materials, soils, maintenance, and installation; and are less inclined to work at the home landscape level. The need for well designed landscapes which accommodate both design and horticulture and which protect the environment, the investment, and quality of life is great. The future graduates of the proposed degree program are expected to meet these needs and will be prepared to fully engage in a meaningful career. It is highly unlikely that the demand for these services will change, especially given the fundamental shift in western landscape aesthetics due to the increased emphasis on water conservation.

Graduates of this program would obtain positions as self-employed landscape designers, in design/build landscape contractor companies, in public or private gardens, and as designers within garden centers offering both plant materials and design services. In landscape architecture firms, they may play a role similar to that of a nurse practitioner in a medical doctor's office. While an NP is not a licensed physician, she/he plays a critical and valued role in providing medical services. Similarly, landscape designers are not licensed landscape architects, yet they can play a valuable role in providing landscape services.

(USU currently offers the Bachelors of Landscape Architecture degree (BLA) through the Department of Landscape Architecture and Environmental Planning, which is accredited by the American Society of Landscape Architects. Practice and/or title acts in 48 states require landscape architectural licensure to practice and/or use the title of landscape architect. Licensure is gained by passing the Landscape Architects Registration Exam, which in turn requires graduation from an accredited LA program. As described on the LAEP BLA website, "the curriculum is designed to provide a broad-based education, covering the multi-disciplinary role of the landscape architect in areas of both theoretical and applied knowledge within the discipline. Specific courses focus on the development of artistic expression and creative problem-solving, the understanding of environmental processes and human behavioral dimensions of design, and applied site engineering.")

In addition, this degree program offers increased flexibility in the workplace that is less available in typical landscape construction and maintenance programs. With many families being two wage- earner households, or headed by a single parent, employers are trying to be more family friendly. One way of doing this is through telecommuting. Landscape design using computer aided design technology lends itself to telecommuting and allowing employees to work out of their homes. As an option for self-employment, it can easily be done part-time or full-time.



## Student Demand

Currently much of the horticulture program in the Plant, Soils, and Climate Department (PSC) is based on either a specific commodity (such as turfgrass) or on horticultural science. Advisors in the Department find that many students are passionately interested in horticulture, but from a more aesthetic perspective than is presented in a program such as the PSC Horticulture Science emphasis. Such students are more interested in the function and beauty of a landscape than technical topics such as plant nutrition. In the past, the Department has lost excellent horticulture students whose talents and interests were not focused on the sciences. The proposed RLDC degree provides an ideal option for these students while leaving in place the degree options desired by more science oriented students. Students in the RLDC program would still gain a solid foundation in botany, soils, and pest management, but also have an opportunity to emphasize the highly important aesthetic aspects of horticulture through landscape design.

Students in both the on-campus horticulture program and the off-campus Wasatch front program have expressed an interest in such a program. A recent survey of undergraduate students (44 total students, 39 of which were horticulture majors) indicated that 41 percent strongly agreed and 22 percent agreed that, if choosing a major in PSC again, a separate major in landscape design and management would be more attractive than an emphasis in design, construction, and maintenance. Of the remaining students, 37 percent were neutral and none disagreed. This means that 28 students were more interested in the new degree option than the current offering and the remaining 16 were neutral. To further illustrate student demand, there are several students in the off-campus horticulture program who have expressed an interest in completing a second bachelor's degree if the RLDC degree is approved. Even though it has not been advertised, five students in the off-campus program requesting admission to the new degree program. In addition, the University commonly receives requests for more courses in landscape design, especially from off-campus students who make up a significant portion of the undergraduate enrollment.

Following accreditation standards, the LAEP Department must now deny horticulture students admission to upper-division classes requiring a fixed student/faculty ratio. This change in accreditation policy will negatively impact the existing Landscape Maintenance and Construction emphasis in the PSC Department and will prevent the Department from meeting student demand in this program area. The RLDC degree will provide an excellent alternative.

## Retention of Students at USU

The 2007 Self Study for the LAEP Department states:

Both the Bachelor of Landscape Architecture (BLA) and Master of Landscape Architecture (MLA) First Professional Degree Program are accredited by the American Society of Landscape Architects. One of the accreditation standards requires a student: faculty to student ratio in studio classes not to exceed 15:1. While the program has always met this standard, it has required a matriculation review which ultimately reduced the number of undergraduates accepted into upper-division courses of the program to the top 25. There is no restriction on lower division students who wish to declare a major in LAEP, although attrition occurs over those initial two years. The average headcount between 2004 to 2006 of 136 is expected to remain constant.

As a result of the LAEP matriculation review, Utah State University is at risk of losing talented students who are not admitted into the LAEP Department's professional program. Each year approximately three to five students who have completed the prerequisite courses and submitted portfolios are denied matriculation. In addition, 10-20 students leave the program of their own volition because they either realize they will not matriculate, or they come to the conclusion that their real passion lies elsewhere. Early transfer or failure to matriculate does not mean these students are unqualified for a university degree. For these students, the RLDC degree program will provide an efficient and attractive alternative degree. Many of the courses (or equivalents) taken by students during the first two years of the LAEP program will also be required for the RLDC degree. The option for non-matriculating students to switch to a related major that shares required courses is attractive because it allows them to continue in their area of interest. This option will also facilitate efficient degree completion and graduation for students who remain at Utah State University rather than having to begin an entirely new program of study or transfer to another university.

### **Similar Programs**

There are no residential landscape design and construction programs in Utah. Brigham Young University does offer a degree in Landscape Management, and bachelor's degrees in horticulture with design/construction emphases are offered at BYU-Idaho, Colorado State University, and Montana State University which charge non-resident. While these programs can accommodate some students from Utah, they do not address the needs of place-bound off-campus students nor do they do not take advantage of the mix of horticulture and landscape architecture faculty found at USU. The proposed degree program addresses retention of those students who do not matriculate in the USU landscape architecture program.

The BYU-Idaho program offers a Bachelor of Science in Horticulture with a Design Build Emphasis. This program requires similar horticultural courses, additional landscape construction courses, and fewer design courses. Colorado State University offers a major in Landscape Horticulture with a Landscape Design and Contracting Concentration. In addition to the similar horticulture courses offered at Utah State, this program includes 35 credits unique to design. This program focuses much less on the biological aspects of landscape horticulture, and most classes are offered via horticulture rather than landscape architecture.

Montana State University offers a Landscape Design emphasis in Horticulture. It is not affiliated with a landscape architecture program (most courses are in the department of Plant Sciences and Plant Pathology).

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

Horticulture and landscape architecture programs in the USHE exist only within Utah State University. The proposed program is a unique collaboration between USU's two colleges. The new degree will have no impact on any other USHE institutions.

### **Benefits**

The benefits of this program to USU and USHE include: additional students in PSC which will increase the efficient use of faculty and facilities; more graduates to meet the residential landscape needs of the public; and more students who can be accommodated by a design oriented program and who would otherwise have been denied matriculation in landscape architecture.

## Consistency with Institutional Mission

The RLDC program is consistent with the University's goals, role, and mission. USU is dedicated to being one of the "nation's premier student-centered land-grant. . . universities. . ." This program fits entirely within the land-grant mission. The program also facilitates the goals of strengthening "recruitment, retention, graduation, and placement of students and, as part of that goal, reduce the student-faculty ratio." And, it supports the goal of partnerships within the university (PSC and LAEP) and external to the university (the Association of Professional Landscape Designers). It also fits the mission of the College of Agriculture of "teaching students whose future contributions will guide our use of land and water and improve the health and well being of plants, animals, and humans." Probably the most telling evidence of consistency with the institutional mission is that the program will be largely built by reconfiguring curricula that already exist and are taught by existing faculty.

## Section IV: Program and Student Assessment

### Program Assessment

The program goals and means to assess them are as follows:

1. To obtain additional support for landscape design courses, thus reducing faculty/student ratios and facilitating accreditation of LAEP. This will be determined by measuring faculty/student ratios.
2. To increase the number of students in PSC as determined by tracking student enrollment.
3. To provide additional professional expertise to the landscape design industry. This will be determined by tracking career placement statistics of graduates and communicating with employers and the Utah chapter of APLD.
4. To meet demands of students for additional training in landscape design. Attainment of this goal will be determined by using exit and 3-5 year post-graduate interviews to determine student satisfaction with curriculum offerings.
5. To educate students in the discipline such that they reach the learning outcomes, including knowledge of plant materials, soils, design principles, landscape management, general education, communication, pest management, and others. This will be verified by the use of exit interviews, employer surveys, pre- and post-tests in courses to determine progress, and attained certifications (i.e., Certified Pesticide Applicator License).
6. To provide an alternative for non-matriculating students to continue their University studies and graduate within 5 years of continuous enrollment. This will be measured by determining the percentage of students who do not matriculate in LAEP that complete their degrees in PSC, and by measuring the time required for such transfer students to complete their degree.
7. To provide additional courses that are now deficit in the department. Most of these courses should be offered regardless of the status of the new degree. USU will include courses in advanced residential design, bidding and estimating, landscape construction, urban soils, and landscape irrigation design and construction.
8. To improve existing courses to meet student needs. As part of their inclusion in this program USU will monitor courses such as Low Water Landscape Design and the plant materials courses to insure they meet program requirements.

## Expected Standards of Performance

Graduates of the RLDC program will achieve the following standards and competencies: understand the management requirements of a given landscape design, utilize personal computer software and hardware as a medium for landscape design, understand the fundamentals of design, understand landscape irrigation and water conservation, be conversant in the plant materials commonly used for traditional, native, and xeriscape landscapes in the Intermountain west and how they fit together ecologically and in design, understand the role of soil in sustaining a landscape, be able to provide a valid estimate for landscape design and construction, understand the horticultural basis of landscape construction and management practices, understand the role of turf in landscapes and its place in management and design, complete an internship in the subject area, develop communication skills appropriate to explaining the design process, and complete the university general education requirements.

Assessment measures will include course grades, internship feedback, tracking of student success as demonstrated by APLD Certification following two-years post graduate experience, feedback from employers and advisory board, exit interviews, 3-5 year post-graduate interviews, and design portfolios.

## Section V: Finance

| Financial Analysis Form  |         |         |         |         |         |
|--------------------------|---------|---------|---------|---------|---------|
|                          | Year 1  | Year 2  | Year 3  | Year 4  | Year 5  |
| <b>Students</b>          |         |         |         |         |         |
| Projected FTE Enrollment | 15      | 20      | 21      | 22      | 22      |
| Cost Per FTE             | 2493    | 1925    | 1886    | 1855    | 1914    |
| Student/Faculty Ratio    | 1       | 1       | 1       | 1       | 1       |
| Projected Headcount      | 15      | 20      | 21      | 22      | 22      |
|                          |         |         |         |         |         |
| <b>Projected Tuition</b> |         |         |         |         |         |
| Gross Tuition            | 57477   | 79702   | 87034   | 94826   | 98619   |
| Tuition to Program       | 0       | 0       | 0       | 0       | 0       |
|                          |         |         |         |         |         |
| 5 Year Budget Projection |         |         |         |         |         |
|                          | Year 1  | Year 2  | Year 3  | Year 4  | Year 5  |
| <b>Expense</b>           |         |         |         |         |         |
| Salaries & Wages         | 17500   | 18000   | 18500   | 19100   | 19700   |
| Benefits                 | 7900    | 8500    | 9100    | 9700    | 10400   |
| Total Personnel          | 25400   | 26500   | 27600   | 28800   | 30100   |
| Current Expense          | 7000    | 7000    | 7000    | 7000    | 7000    |
| Travel                   | 1000    | 1000    | 1000    | 1000    | 1000    |
| Capital                  | 4000    | 4000    | 4000    | 4000    | 4000    |
| Library Expense          | 0       | 0       | 0       | 0       | 0       |
| Total Expense            | \$37400 | \$38500 | \$39600 | \$40800 | \$42100 |

|                                  |         |         |         |         |         |
|----------------------------------|---------|---------|---------|---------|---------|
|                                  |         |         |         |         |         |
| <b>Revenue</b>                   |         |         |         |         |         |
| <b>Legislative Appropriation</b> |         |         |         |         |         |
| <b>Grants &amp; Contracts</b>    |         |         |         |         |         |
| <b>Donations</b>                 |         |         |         |         |         |
| <b>Reallocation</b>              | 37400   | 38500   | 39600   | 40800   | 42100   |
| <b>Tuition to Program</b>        |         |         |         |         |         |
| <b>Fees</b>                      |         |         |         |         |         |
| <b>Total Revenue</b>             | \$37400 | \$38500 | \$39600 | \$40800 | \$42100 |
|                                  |         |         |         |         |         |
| <b>Difference</b>                |         |         |         |         |         |
| <b>Revenue-Expense</b>           | \$0     | \$0     | \$0     | \$0     | \$0     |

## Budget Comments

In response to student demand, USU proposes expanding an existing emphasis and offering it as a degree program. There will be a small number of student FTE generated, and only minimal additional costs associated with the change. An additional .35 FTE lecturer will be added. Most of the program will be supported through existing courses, although five new courses will be created. These new courses will be funded through reallocation and reassignment of existing resources. Four of the five new courses will be offered regardless of the status of the degree program.

## Funding Sources

Most of this program will be supported by existing courses and instructors at no additional cost beyond what is currently being expended. The primary goal is to use faculty more efficiently by attracting more students and insuring that student efforts will lead to successful degree completion. The amounts shown here represent additional funding that will be required to establish the program. Potential sources of funding for the program are:

- USU Provost's Office (salary)
- Department funds from Distance Education programs (salary)
- PSC Education and General funds (operating)
- Student laboratory/studio fees (operating)

## Reallocation

Currently the department is reassigning faculty members whose change in status will allow them to spend more time teaching. These include Larry Rupp (former department head), Bill Varga (former director of the Utah Botanical Center), and Kelly Kopp (recently tenured and thus eligible for a carefully managed 3-way split appointment). In addition to assigning more teaching to these faculty members, USU will also reallocate assignments within the Department. For example, Craig Aston is an instructor in the Department and is also a very successful landscape contractor. USU will ask Craig to teach the new construction and business management courses and have the other faculty fill in behind him in his old courses. This reallocation is equivalent to a significant expenditure of resources to foster the new program.

### **Impact on Existing Budgets**

It is not USU's intention to negatively impact any programs within the Department or the college. The growth will come from reallocation of existing funds and from new funds made available to the PSC Department. Growth will be managed within the existing infrastructure.

## Appendix A: Program Curriculum

### All Program Courses

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences).

| Course Prefix & Number | Title                                                    | Credit Hours |
|------------------------|----------------------------------------------------------|--------------|
| Core Courses           |                                                          |              |
| LAEP 1030 BCA          | Introduction to Landscape Architecture                   | 3            |
| CHEM 1110 BPS          | General Chemistry I                                      | 4            |
| ENGL 1010 CL1          | Introduction to Writing: Academic Prose                  | 3            |
| ENGL 2010 CL2          | Intermed. Writing: Research Writing/Persuasive Mode      | 3            |
| WILD 2200 BLS          | Ecology of Our Changing World                            | 3            |
| MATH 1050 QI           | College Algebra                                          | 4            |
| PSC 3890 CI            | Preparation for Careers in Plants, Soils, and/or Climate | 1            |
| PSC 4890 CI            | Senior Seminar                                           | 1            |
| ENVS 2340 BSS          | Natural Resources and Society (recommended)              | 3            |
| USU 1300 BAI           | U.S. Institutions                                        | 3            |
| USU                    | University Studies (elective)                            | 3            |
| USU                    | University Studies (elective)                            | 3            |
| PHIL 3510 DHA          | Environmental Ethics (recommended)                       | 3            |
| MHR 3110 DSS           | Managing Organizations and People (recommended)          | 3            |
| ASTE 3050 CI           | Technical Writing                                        | 3            |
| BIOL 1010 BLS          | Biology and the Citizen                                  | 3            |
| ETE 1200               | Computer-Aided Drafting and Design                       | 3            |
| LAEP 1200              | Basic Graphics in Landscape Architecture                 | 4            |
| LAEP 3600              | Landscape Construction Materials                         | 2            |
| PLSC 2100              | Introduction to Horticulture                             | 3            |
| PLSC 2200              | Pest Management Principles and Practices                 | 3            |
| PLSC 2600              | Annual and Perennial Plant Materials                     | 3            |
| PLSC 2620              | Woody Plant Materials for the Landscape                  | 4            |
| PLSC 3300              | Residential Landscapes                                   | 3            |
| PLSC 3310              | Advanced Residential Landscape Design                    | 3            |
| PLSC 3400              | Landscape Management Principles and Practices            | 3            |
| PLSC 3410              | Residential Landscape Construction                       | 2            |
| PLSC 3420              | Landscape Irrigation Design                              | 2            |
| PLSC 3430              | Landscape Business Practices                             | 3            |
| PLSC 3500              | Structure and Function of Economic Crop Plants           | 3            |
| PLSC 3800              | Turfgrass Management                                     | 3            |
| PLSC 5400              | Low Water Landscape Design                               | 3            |
| PLSC 5550              | Weed Biology and Control                                 | 4            |
| PSC 1050               | PSC Orientation                                          | 1            |
| PSC 4250               | Internship in PSC                                        | 2            |

| Course Prefix & Number | Title                                     | Credit Hours |
|------------------------|-------------------------------------------|--------------|
| PSC 5200               | Site-Specific Ag and Landscape Management | 3            |
| SOIL 3000              | Fundamentals of Soil Science              | 4            |
| SOIL 4500              | Soil Reclamation                          | 3            |
|                        |                                           |              |
|                        | Total Number of Credits                   | 110          |

### New Courses to be Added in the Next Five Years

List all new courses to be developed in the next five years by prefix, number, title, and credit hours (or credit equivalences). Use the following format:

There are five courses in various stages of development that will be used in this degree.

| <i>Prefix &amp; Number</i>                                                                                                                                                                                                          | <i>Title</i>                       | <i>Credit Hours</i> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------|
| Course Description                                                                                                                                                                                                                  |                                    |                     |
| PLSC 3310                                                                                                                                                                                                                           | Advanced Residential Design        | 3                   |
| An advanced course in residential landscape design using industry standard, computer aided design software for small-scale designs.                                                                                                 |                                    |                     |
| PLSC 3410                                                                                                                                                                                                                           | Residential Landscape Construction | 2                   |
| An introduction to the methods and equipment used in landscape installation , such as techniques of layout, pavers, water features, planting, sod installation, sprinkler and drip irrigation installation and equipment operation. |                                    |                     |
| PLSC 3420                                                                                                                                                                                                                           | Landscape Irrigation Design        | 2                   |
| An introduction to the design of sprinkler and drip irrigation systems for residential and commercial landscapes.                                                                                                                   |                                    |                     |
| PLSC 3430                                                                                                                                                                                                                           | Landscape Business Practices       | 3                   |
| A small business approach to managing landscape construction companies and using techniques of bidding and estimating.                                                                                                              |                                    |                     |
| SOIL 4500                                                                                                                                                                                                                           | Soil Reclamation                   | 3                   |
| In-depth information on causes of soil degradation (both natural and man-made) and rehabilitation procedures.                                                                                                                       |                                    |                     |



## Appendix B: Program Schedule

For each level of program completion, present, by semester, a suggested class schedule—by prefix, number, title, and credit hours. This section should preferably be presented in tables similar to the table found in Appendix A.

### Semester 1

|           |                            |   |     |   |
|-----------|----------------------------|---|-----|---|
| PLSC 2100 | Intro to Horticulture      | 3 | BLS | 3 |
| LAEP 1030 | Intro to Land Architecture | 3 | BCA | 3 |
| LAEP 1200 | Graphics                   | 4 |     | 4 |
| PSC 1050  | PSC Orientation            | 1 |     | 1 |
| PLSC 2620 | Woody Plants/Taxonomy      | 4 |     | 4 |

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### Semester 2

|           |                         |   |     |   |
|-----------|-------------------------|---|-----|---|
| ETE 1200  | Computer Aided Design   | 3 |     | 3 |
| PLSC 2200 | Pest Management         | 3 |     | 3 |
| ENG 1010  | Introduction to Writing | 3 | CL1 | 3 |
| MATH 1050 | College Algebra         | 4 | QL  | 4 |

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### Semester 3

|           |                                                             |   |     |   |
|-----------|-------------------------------------------------------------|---|-----|---|
| PLSC 3410 | Construction Methods for Residential Landscape Installation | 2 |     | 2 |
| ENG 2010  | Intermediate Writing                                        | 3 | CL2 | 3 |
| USU XXXX  | Elective                                                    | 3 |     | 3 |
| BIOL 1010 | Biology and the Citizen                                     | 3 | BLS | 3 |
| PLSC 2600 | Perennial Plants                                            | 3 |     | 3 |

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### Semester 4

|           |                                  |   |         |   |
|-----------|----------------------------------|---|---------|---|
| USU 1300  | U.S. Institutions                | 3 | BAI-USU | 3 |
| WILD 2200 | Ecology of Our Changing World    | 3 | BLS     | 3 |
| LAEP 3600 | Landscape Construction Materials | 2 |         | 2 |
| PLSC 3420 | Landscape Irrigation Design      | 2 |         | 2 |
| CHEM 1110 | General chemistry I              | 4 | BPS     | 4 |

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### Semester 5

|                |                                   |   |     |   |
|----------------|-----------------------------------|---|-----|---|
| PLSC 5400/6400 | Low Water Landscape Design        | 3 |     | 3 |
| MHR 3110       | Managing Organizations and People | 3 | DSS | 3 |
| SOIL 3000      | Fundamentals of Soil Science      | 4 |     | 4 |
| PLSC 3300      | Residential Landscape Design      | 3 |     | 3 |

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### Semester 6

|           |                                        |   |    |   |
|-----------|----------------------------------------|---|----|---|
| PSC 5200  | Site-Specific Ag and Landscape Mgt.    | 3 |    | 3 |
| ASTE 3050 | Technical Writing                      | 3 | CI | 3 |
| PLSC 3400 | Landscape Mgt Principles and Practices | 3 |    | 3 |

|           |                              |   |  |    |
|-----------|------------------------------|---|--|----|
| PLSC 3430 | Landscape Business Practices | 3 |  | 3  |
|           |                              |   |  | 12 |

Semester 7

|           |                                |     |     |    |
|-----------|--------------------------------|-----|-----|----|
| PLSC 3800 | Turfgrass Management           | 3   |     | 3  |
| PSC 4250  | Internship                     | 1-4 |     | 2  |
| PSC 3890  | Preparation for Careers in PSC | 1   | CI  | 1  |
| PLSC 3500 | Plant Structure and Function   | 3   |     | 3  |
| ENVS 2340 | Natural Resources and Society  | 3   | BSS | 3  |
|           |                                |     |     | 12 |

Semester 8

|           |                             |   |         |    |
|-----------|-----------------------------|---|---------|----|
| PHIL 3510 | Environmental Ethics        | 3 | DHA     | 3  |
| PSC 4890  | Senior Seminar              | 1 | CI      | 1  |
| PLSC 5550 | Weed Science                | 4 |         | 4  |
| SOIL 4500 | Soil Reclamation            | 3 |         | 3  |
| USU XXXX  | Gen Ed                      | 3 | BHU-USU | 3  |
| PLSC 3310 | Advanced Residential Design | 3 |         | 3  |
|           |                             |   |         | 17 |

Grand Total Credits 110

## Appendix C: Faculty

### Professors

Steven A. Dewey, weed science  
Roger K. Kjellgren, urban horticulture  
V. Philip Rasmussen, sustainable agriculture  
Larry A. Rupp, ornamental horticulture  
Ralph Whitesides, weed science

### Associate Professors

Paul R. Grossl, biogeochemist  
Paul G. Johnson, turfgrass science  
Kelly Kopp, landscape water conservation  
Jennifer W. MacAdam, forage production and physiology

### Assistant Professors

Corey V. Ransom, weed science

### Senior Lecturer

Craig Aston, ornamental horticulture

### Lecturer

M. Cathryn Myers-Roche, academic advisor

### Extension Horticulture Specialist

Bill Varga, Landscape Horticulture

### Adjunct Faculty

Anne Spranger, MLA, Utah Botanical Center Landscape Designer  
Barney Barnett, BS, Owner, Willard Bay Gardens

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah State University–Doctorate of Philosophy in Engineering Education–Action Item.

Issue

Officials at Utah State University (USU) request approval to offer a Doctorate of Philosophy in Engineering Education, effective Spring Semester 2009. The USU Institutional Board of Trustees approved this program on 23 May 2008. The Regents' Program Review Committee approved the proposed degree on August 5, 2008.

Background

The proposed degree is the culmination of a multiyear initiative to refocus the department and develop a new emphasis in engineering education. This new focus is supported by a ten million dollar grant from the National Science Foundation to establish the National Center for Engineering and Technology Education at Utah State. While Engineering and Technology Education (ETE) will continue to support a Ph.D. in technology education through the College of Education and Human Services, the new emphasis in engineering education within the department is sufficiently different from the technology education program that a new doctoral degree, with a very different set of requirements, is warranted.

While engineering education has some similarities to existing science, technology, and mathematics education specializations, it has one critical difference. Engineering education emphasizes the learning and teaching of engineering design, a decision-making process which utilizes results from basic sciences, mathematics, and the engineering sciences. The goal of this program is to produce doctoral students with proficiency in developing engineering design skills in others and expertise in research into how those skills are best learned and taught. The Engineering Education doctorate will produce graduates who are familiar with the theory and practice of engineering education, are able to guide and perform research within a specific area of engineering education, and have the ability to design,

implement, and assess both high school and college level engineering curricula. These individuals are expected to enter a variety of professions including engineering education faculty, engineering faculty, and engineering technology faculty.

#### Policy Issues

Other Utah System of Higher Education institutions have reviewed this proposal, have given input, and are supportive of Utah State University offering this degree.

#### Commissioner's Recommendation

The Commissioner recommends that the Regents approve the Request to Offer a Doctorate of Philosophy in Engineering Education at Utah State University, effective Spring Semester, 2009.

---

William A. Sederburg, Commissioner

WAS/GW/HN  
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Request to Offer a Doctorate of Philosophy

in Engineering Education

Utah State University

Prepared for  
William A. Sederburg  
By  
Gary Wixom

August 27, 2008

## Section I

### The Request

Utah State University requests approval to offer a doctorate of philosophy in engineering education effective Fall 2008. This program has been approved by the Institutional Board of Trustees on 23 May 2008.

## Section II: Program Description

The Engineering and Technology Education Department proposes to offer a Doctorate of Philosophy in Engineering Education. While engineering education has some similarities to existing science, technology, and mathematics education specializations, it has one critical difference. Engineering education emphasizes the learning and teaching of engineering design, a decision making process which utilizes results from basic sciences, mathematics, and the engineering sciences. The goal of this program is to produce doctoral students with proficiency in developing engineering design skills in others and expertise in research into how those skills are best learned and taught. This program will produce graduates who:

1. Are familiar with the theory and practice of engineering education and are adept at these aspects within their specific area of engineering specialization
2. Have the ability to conduct research in engineering education in areas such as engineering epistemologies, engineering learning mechanisms, engineering learning systems, engineering diversity and inclusiveness, and engineering assessment.
3. Have the ability to develop/implement/assess engineering curricula at both the high school and university levels.

To achieve these goals, students will complete a minimum of sixty credit hours, combining course work and research. The curriculum has been divided into three components, an engineering education core, an area of specialization, and a research component.

The Engineering Education Core. This curricular component recognizes that engineering education is an emerging discipline. As such, students are unlikely to enter the program with strengths in *both* engineering and education. The core curriculum will be used to fortify the engineers' skills in program design and assessment and to fortify the educators' skills in analysis and design.

The Area of Specialization. This curricular component will allow the students to develop an in-depth knowledge in one area of engineering education. Students will identify a theme for their research and take courses within that area. The theme and courses will be identified and chosen with the advice and approval of the student's doctoral advisory committee. Three credits of these courses must be taken outside the Engineering and Technology Education Department.

The Research Core. The research core ensures that program graduates have the skills necessary for, and experience in, performing engineering education research. This curricular component has two sections. The first is a series of courses in research methods. Education research methodologies fall into two broad categories, quantitative and qualitative. Students will take one course focused on each of these techniques,

followed by an advanced course in the methodology being used in their dissertation. In the second section students develop a research project that culminates in a dissertation.

The Department of Engineering and Technology Education (ETE is administratively housed in the College of Engineering). The department has offered graduate degrees at the master's degree level for many years. In addition, Ph.D. degrees in technology education have been offered to students through the College of Education and Human Services in Curriculum and Instruction specialization. Currently, there are seven full time technology education doctoral students supported on research and teaching assistantships. Three students will receive their Ph.D. degrees in 2008. Graduates have been employed primarily in universities where they are involved in technology teacher education and supporting research.

This proposal requests authorization to offer the Ph.D. degree through the Department of Engineering and Technology Education in the College of Engineering. This degree request is the culmination of a multiyear initiative to refocus the department and develop a new emphasis in engineering education. This new focus was supported by a ten million dollar grant from the National Science Foundation to establish the National Center for Engineering and Technology Education at Utah State. While ETE will continue to support a Ph.D. in technology education through the College of Education and Human Services, the new emphasis in engineering education within the department is sufficiently different from the technology education program that a new doctoral degree with a very different set of requirements is warranted. Approval to offer the Engineering Education Ph.D. through the ETE department will be a major step in meeting the department's established long-range goals.

### **Purpose of the Degree**

The Engineering Education doctorate will produce graduates who are familiar with the theory and practice of engineering education, are able to guide and perform research within a specific area of engineering education, and have the ability to design, implement, and assess both high school and college level engineering curricula. These individuals are expected to enter a variety of professions including engineering education faculty, engineering faculty, and engineering technology faculty.

### **Institutional Readiness**

Utah State University is ready to implement this degree program with no significant additional resource requirements.

### **New Organizational Structures**

Engineering Education will be a program of the College of Engineering. The Engineering Education Program will be lead by the Head of Engineering and Technology Education, reporting to the Dean of the College of Engineering.

### **Impact on Learning Resources and Instructional Technology**

The department has been working with university resources, such as the library, since the change process began. For example, the journal subscriptions required for the new emphasis have already replaced those that are no longer needed. No additional impact on the learning resources, such as the library, or on instructional technology facilities, is expected. (see Appendix D – Letter from Library)



### Impact on the Budget

No impact on the university budget is expected. The new degree program results from changes within the department; no new financial resources will be required.

### Impact on Faculty

No additional faculty will be required for the implementation of this program. This program will primarily use courses already taught by faculty in a number of different departments but primarily within the Engineering and Technology Education Department. Required courses taught by the College of Education will be done so in agreement with the College of Engineering and College of Education and Human Services. (see Appendix E – Letter of Agreement between College of Engineering and College of Education and Human Services). All of the new courses required for this new program have been created as part of the National Center for Engineering and Technology Education and are, therefore, already in existence. Some existing Engineering and Technology Education Department courses will be revised. However, these revisions will occur as part of the normal course updating process. (See Appendix B: Program Curriculum)

### Impact on Staff

This program will use existing staff within the Engineering and Technology Education Department. No additional staff is required.

### **Faculty**

This degree proposal represents the completion of a departmental change in emphasis that began with the name change three years ago. As such, the change is evolutionary rather than revolutionary. Because of the changes within the department, no additional faculty will be required. Using State appropriated funding (Engineering Initiative Funds), the Department will be hiring two new faculty over the next two years. Faculty will teach undergraduate engineering courses for the College of Engineering, and each faculty member will participate in the PhD program. The Engineering and Technology Education Department had a retirement of one professor this past year, and his replacement will be directed toward support of the new degree program by hiring an individual with a background in cognition and a specialization in engineering and technology education. The Program will not depend on the use of adjunct faculty. Adjunct faculty may be utilized to provide special opportunities to students, but tenure track faculty with doctorates will be the norm. For existing faculty, see Appendix C.

### **Staff**

No additional staff members are required. The current resources from within the Department of Engineering and Technology Education will be able to accommodate the new program. Additional office support for the new faculty will be augmented from externally funded research projects.

### **Library and Information Resources**

The new degree program is an evolutionary change of the department. The changes to the library and information resources needed to support excellence in the program have already been made. (see Appendix D – Letter from Library)

### Admission Requirements

Students accepted into the program will be required to meet the current standards for admission to the Graduate School including:

- a master's degree in engineering that will be completed before matriculation in the degree program,
- a 3.0 or higher grade point average (or equivalent) on the last 60 semester or 90 quarter credits,
- a score at or above the 40<sup>th</sup> percentile on Graduate Record Examination, and
- satisfactory letters of recommendation.

In addition, the program will require the submission of a short, typed essay (2 to 3 pages, double-spaced) in which the student identifies his or her particular academic interests and the submission of a current curriculum vita.

### Student Advisement

The Graduate Coordinator of the Engineering and Technology Education Department will act as each student's advisor until the student chooses a research advisor and committee. Once the advisor and committee are chosen, they will take over student advising.

### Justification for Number of Credits

This program will require the completion of 60 credits beyond the completion of a master's degree. The number of credits is consistent with the requirements of the Graduate School.

### External Review and Accreditation

There are no accreditations available for engineering education at the doctoral level. To ensure excellence, the department will assemble an external advisory committee to review the program (as described in Section IV: Program and Student Assessment). This review process is similar to what is being used in the engineering education program at Purdue University.

### Projected Enrollment

Projected FTE Engineering Education majors relative to FTE Engineering and Technology Education dedicated faculty is shown in the chart below. This ratio does not include other faculty providing courses used by Engineering Education majors because they will not be paid from Engineering and Technology Education funds.

| Year    | FTE Students (Doctoral)† | ETE Faculty (Current) | Approximate: Student: Faculty Ratio |
|---------|--------------------------|-----------------------|-------------------------------------|
| 2008-9  | 3                        | 7                     | 1 : 2.33                            |
| 2009-10 | 6                        | 9                     | 0.66 : 1                            |
| 2010-11 | 9                        | 9                     | 1 : 1                               |
| 2011-12 | 12                       | 9                     | 1.33 : 1                            |
| 2012-13 | 15                       | 9                     | 1.66 : 1                            |

† Only students within the new program are included in these numbers. Currently, there are 7 doctoral students enrolled in the Interdepartmental Doctoral Program in the College of Education and Human Services.

No negative impact is expected on the enrollments of other programs. The Engineering and Technology Education Department currently offers a Doctorate through the Interdepartmental Doctoral Program in the College of Education and Human Services. Continued participation in that program is expected.

### Section III: Need

#### Program Need

The Engineering and Technology Education Department is building on the existing strengths in technology education research and K-12 education by the addition of engineering education research and engineering education.

Engineering, as a profession, differs from many science and mathematics disciplines in its emphasis on creation and design rather than inquiry. Rapid changes in the worldwide engineering enterprise have motivated the profession to rethink how future generations of engineers should be educated to build analysis-based design skills. The recent NSF sponsored *Engineering Education Research Colloquies* identified five research areas of importance to the future of engineering. The research areas include engineering epistemologies, engineering learning mechanisms, engineering learning systems, engineering diversity and inclusiveness, and engineering assessment. Success in these areas will require the creation of individuals with expertise in engineering education.

Utah State University is home to one of only three departments in the nation in engineering education, with the other two programs at Purdue University and at Virginia Polytechnic Institute and State University. All three of these departments have been formed within the past three years.

The engineering education program is modeled after those at Purdue and Virginia Tech. The doctoral requirements chart shown in figure 1 indicates the coursework comparison of the three programs. Shown are the requirements for the program in the areas of research, engineering, and education.

Figure 1

Doctoral Program Requirements for Utah State University, Purdue University, and Virginia Tech.

|                                                                     | Utah State University                                                                                                                                                                                    | Purdue                                                                                                | Virginia Tech                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Engineering</b><br><br>(Elective -<br>Area of<br>Specialization) | ETE 7400-Occupational Analysis in Engineering and Technology Education<br>ETE 7020-Design Thinking in ETE<br>ETE 7030-Engr. Design & Analy. for ETE<br>ETE 7040-Dynamic & Netwk. Engr. Processes for ETE | Students are required to complete 15 credit hours of graduate level engineering technical coursework. | 5024-Design in Engr. Education and Practice<br>5204-Design of Laboratory Courses for Engr. & Science Educ.<br>5044-Using Virtual Reality & Visualization Tools in Engr. & Science Educ.<br>5044-Object-oriented Concepts for Engineering Education<br>5104-Preparing for the Engineering Professorate |

|                                     | (9 Credits Required)                                                                                                                                                                                                                                                                                                                                            | (15 Credits Required)                                                                                                                                                                                                                                                                                                 | (9 Credits Required)                                                                                                                                                                                                                                                                                                                                                      |
|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Engineering Education (Core)</b> | ETE 7810-Research Seminar<br>EDUC 7300-Foundations of Education<br>ETE 7010-Role of Cognition in ETE<br>ETE 6150-Evaluation and Assessment<br>ETE 7230-Foundations of Engr. & Technology Education<br>ETE 6450-Administration and Organization<br>EDUC 7310-Teaching & Learning Foundations<br>ETE 7460-Finance & Grant Writing<br><b>(18 Credits Required)</b> | ENE 500 or 600 Level Engineering Education Courses<br><br>Seminar in Engineering Education                                                                                                                                                                                                                            | 5404-Assessment Techniques in Engineering Education<br>5504-Practicum in the Engineering Classroom<br>5004-History, Theory and Practice of Engineering<br>5034-Contemporary Issues in Engineering Education<br>5014-Foundations of Engineering Education                                                                                                                  |
| <b>Research</b>                     | EDUC 6600-Research Design & Analysis I<br>EDUC 7610-Research Design & Analysis II<br>EDUC 6770-Qualitative Methods I<br>EDUC 7780-Qualitative Methods II<br>EDUC/SPED 7700-Single Subject Meth & Design<br>EDUC 7650-Logitudinal Research Design & Analysis<br>PSY 7070 Adv. Measurement Theory & Practice<br><b>(9 Credits Required)</b>                       | <b>(15 Credits Required)</b><br>Introductory Statistics (e.g. STAT 511)<br><br>Introduction to Research (e.g. EDPS 533, TECH 646B)<br><br>Introductory Research Methods Elective (qualitative or quantitative)<br><br>Advanced Research Methods Elective (qualitative or quantitative)<br><b>(6 Credits Required)</b> | <b>(12 Credits Required)</b><br>5604-Quantitative Research Methods in Engineering Education<br>5614-Qualitative Research Methods in Education<br>6604-Advanced Engineering Research Methods<br>5314-Documenting Engineering Research<br>5324-Presenting Engineering Research<br>5624-Contemporary Issues in Engineering Education Research<br><b>(9 Credits Required)</b> |
| <b>Dissertation Credits</b>         | PhD Dissertation Research (students must take an appropriate # of research credit hours to complement their grad program & be consistent with the Graduate School requirements)<br><br><b>(minimum 24 credits)</b>                                                                                                                                              | PhD Dissertation Research (students must take an appropriate # of research credit hours to complement their grad program & be consistent with the Graduate School requirements)<br><br><b>(24 credits)</b>                                                                                                            | PhD Dissertation Research (students must take an appropriate # of research credit hours to complement their grad program & be consistent with the Graduate School requirements)<br><br><b>(30 credits)</b>                                                                                                                                                                |

### Labor Market Demand

Depending on their individual skills and preferences, it is anticipated that graduates of this program would enter one the following careers.

*Engineering Faculty or Engineering Technology Faculty*– There is significant demand for engineering faculty with strength in curriculum development and management in the regional branches of universities, community colleges, and other universities whose primary mission is teaching.

*Engineering Education Faculty*– Engineering education is an emerging discipline. Nationally, we anticipate the addition of 2-4 new programs in the next five years, in addition to the 3 existing programs.

*Industry Trainer* – With corporate needs to educate their employees on a variety of engineering-based subjects (e.g. safety and engineering education), it is anticipated that a number of graduates would enter industry to develop and manage these programs.

Currently there is a national shortage of doctoral level engineering/engineering technology faculty. This shortage is due to high retirement rates in existing programs.

### **Student Demand**

In the past three years, the ETE department has had a substantial increase in the number of inquiries for admission. In that time the number of in-house doctoral students has increased from two to five with a 3:1 application to admission ratio. Based on the applications for the coming year, the department anticipates this growth to continue. In addition, the department has been developing new recruiting materials to support this growth rate.

Two factors have driven this growth. The first is the emergence of engineering education as its own discipline at the university. The National Center for Engineering and Technology Education, located in the Engineering and Technology Education Department, is the most obvious example of this creation. The second is the significant interest in engineering education in K-12 at the state as well as national level. The National Academy of Engineering has convened a special committee to report on the status of P-12 engineering education. Their report should be available in 2008. The ETE department is assisting with the development of the Utah Pre-Engineering Pathway for the Utah State Office of Education.

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

No USHE institution offers a doctoral degree in Engineering Education. There are no similar programs in Utah or the Intermountain West region.

### **Benefits to USU and USHE**

This program will be the first in the State of Utah (and the third in the nation) that explicitly addresses the unique needs of engineering education. The program will generate graduates familiar with the theory and practice of engineering education, are adept at these aspects within their specific area of engineering specialization, have the ability to design, perform, analyze, and report state-of-the-art research in engineering education, and have the ability to design, implement, and assess engineering curricula according to national standards.

### **Consistency with Institutional Mission**

The engineering education doctorate is consistent with the institution's mission to discover, create, and transmit knowledge through education programs at the graduate level, through research and development, and through service programs.

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

### **Program Assessment**

Every five years, the department will assemble an external advisory committee. The committee will examine the program's objectives and outcomes to determine if they continue to meet the needs of the program's stakeholders and to recommend necessary changes. Currently, the program's stakeholders

include the State of Utah, Utah State University, the Utah State Office of Education and its schools, the engineering education community, and our graduates. As currently specified, the five member committee will include members of the engineering education community, the technology education community, the College of Education and Human Services, and local industry. The first meeting of this committee is scheduled for 2012, allowing the graduation of two to three graduate student cadres and data gathering from the graduates.

In addition, the Engineering Education Doctoral Program will be internally assessed using a continuous quality improvement process. Each year the graduate faculty will meet to compare its stated objectives and outcomes with those achieved by the program. Weaknesses will be identified and corrective actions recommended. The following year, the results of the corrective actions will be examined and further changes recommended, if necessary.

### **Expected Standards of Performance**

The students' performance of these outcomes will be determined using a combination of formative and summative assessments. The assessment points will include:

- Engineering Education and Specialization Cores
  - Classroom Performance (formative & summative) – Students are required to maintain a 3.0 overall average in all course, with no less than a C- grade in any single course.
  - Comprehensive Examination (summative) – Students are required to pass a comprehensive written examination based on their degree course work. This examination will be taken after completion of the required degree course work.
- Research Core
  - Research Proposal (formative) – Students are required to write and successfully defend the proposal for their dissertation research.
  - Dissertation (summative) – Students are required to perform research, write a dissertation, and defend the research and dissertation before their research advisor and committee.

## Section V: Finances

### Funding Sources

This program is already funded. Any additional funds required for implementation of the program will be reallocated from the current College of Engineering and Department of Engineering and Technology Education Department Budgets.

### Financial Analysis Form for All R401 Documents

|                          | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 |
|--------------------------|---------|---------|---------|---------|---------|
| <b>Students</b>          |         |         |         |         |         |
| Projected FTE Enrollment | 3       | 6       | 10      | 11      | 12      |
| Cost per FTE             | 20,557  | 18,439  | 17,528  | 17,430  | 17,350  |
| Student/Faculty Ratio    | .43:1   | .67:1   | 1:1     | 1:1     | 1:1     |
| Projected Headcount      | 3       | 6       | 10      | 11      | 12      |

### Projected Tuition

|                    |        |        |        |         |         |
|--------------------|--------|--------|--------|---------|---------|
| Gross Tuition      | 19,740 | 50,391 | 73,757 | 109,006 | 136,459 |
| Tuition to Program |        |        |        |         |         |

### 5 Year Budget Projection

|                  | Year 1 | Year 2  | Year 3  | Year 4  | Year 5  |
|------------------|--------|---------|---------|---------|---------|
| <b>Expense</b>   |        |         |         |         |         |
| Salaries & Wages | 51,000 | 96,240  | 156,490 | 171,750 | 187,020 |
| Benefits         | 5,670  | 9,391   | 13,790  | 14,984  | 16,183  |
| Total Personnel  | 56,670 | 105,631 | 170,280 | 186,734 | 203,203 |
| Current Expense  | 5,000  | 5,000   | 5,000   | 5,000   | 5,000   |
| Travel           |        |         |         |         |         |
| Capital          |        |         |         |         |         |
| Library Expense  |        |         |         |         |         |
| Total Expense    | 61,670 | 110,631 | 175,280 | 191,734 | 208,203 |

### Revenue

|                           |        |         |         |         |         |
|---------------------------|--------|---------|---------|---------|---------|
| Legislative Appropriation |        |         |         |         |         |
| Grants & Contracts        | 52,500 | 105,000 | 174,880 | 191,294 | 207,723 |
| Donations                 |        |         |         |         |         |
| Reallocation              | 9,050  | 5,391   |         |         |         |
| Tuition to Program        |        |         |         |         |         |
| Fees                      | 120    | 240     | 400     | 440     | 480     |
| Total Revenue             | 61,670 | 110,631 | 175,280 | 191,734 | 208,203 |

### Difference

|                    |   |   |   |   |   |
|--------------------|---|---|---|---|---|
| Revenue - Expenses | 0 | 0 | 0 | 0 | 0 |
|--------------------|---|---|---|---|---|

**APPENDIX A: PROGRAM SCHEDULE**  
**Engineering Education Core Courses (18 credits)**

These courses are aimed at strengthening the student's background in engineering education. Students will choose courses to strengthen their existing background.

***Engineering Education Core***

|           |                                                                    |             |
|-----------|--------------------------------------------------------------------|-------------|
| ETE 7010  | Role of Cognition in Engineering and Technology Education          | 3 credits   |
| ETE 6090  | Program Design                                                     | 3 credits   |
| ETE 6150  | Evaluation and Assessment                                          | 3 credits   |
| ETE 6450  | Administration and Organization                                    | 3 credits   |
| ETE 7230  | Foundations of Engineering & Technology Education (revised course) | 3 credits   |
| EDUC 7300 | Historical, Social, and Cultural Foundations of Education          | 3 credits   |
| EDUC 7310 | Teaching & Learning Foundations                                    | 3 credits   |
| ETE 7460  | Finance and Grant Writing                                          | 3 credits   |
| ETE 7810  | Research Seminar                                                   | 1-3 credits |

**Area of Specialization (9 credits)**

Graduates will have an in-depth knowledge of specialization within Engineering Education. This area is to be specified by the student in writing (with approval of their advisor and graduate committee) within the first year of their program of studies. This expertise will be obtained through the use of approved elective courses and regular interaction between the student, their major professor, and their graduate committee. This expertise must be demonstrated in the required written and oral examinations.

To encourage breadth of viewpoint in the students, doctoral students are required to take at least one elective in their area of specialization from another department (e.g. Education, Social Sciences, or Engineering)

***Area of Specialization –Specialization Electives*** **9**  
*credits*

**Research Core (9 + 24 = 33 credits)**

The research core ensures that program graduates have the skills necessary for and experience in performing engineering education research. This curricular component has two sections. The first is a series of courses in research methods. Education research methodologies fall into two broad categories, quantitative and qualitative. Students will take one course in each of these techniques, followed by an advanced course in the methodology being used in their dissertation. In the second section students perform a research project culminating in a dissertation.

**Research Theory Core (9 credits)**

|           |                                         |           |
|-----------|-----------------------------------------|-----------|
| EDUC 6600 | Research Design and Analysis I          | 3 credits |
| EDUC 6770 | Qualitative Methods I                   | 3 credits |
| EDUC 7780 | Qualitative Methods II                  | 3 credits |
| EDUC 7610 | Research Design and Analysis II         | 3 credits |
| EDUC 7700 | Single Subject Methods & Design         | 3 credits |
| EDUC 7650 | Longitudinal Research Design & Analysis | 3 credits |
| PSY 7070  | Advanced Measurement Theory & Practice  | 3 credits |



**Research Practice Core (24 credits)**

ETE 7970      Dissertation Research

minimum 24 credits

**Additional Degree Requirements**

1. Seminar - Students are required to register for ETE 7810 (research seminar) every fall semester during which they are in residence at Utah State University. A minimum of 1 credit and a maximum of 3 credits are applicable to the doctoral degree requirements.
2. Proposal Defense
3. Comprehensive Examination
4. Dissertation Defense/Examination
5. 2 publications submitted to peer reviewed journals
6. Teaching experience including one or more of the following
  - a. One year of experience as a K-12 teacher
  - b. One year of experience as university/college/community college faculty
  - c. Two semesters of guided teaching experience
  - d. Other equivalent experience approved by the department chair and the student's graduate committee
7. Presentation of dissertation research at a regional or national professional society meeting
8. Grant proposal preparation

## Appendix B: PROGRAM CURRICULUM

### Revised Courses

The courses in this group are either new to the Engineering Education Curriculum or have been significantly revised to reflect the new doctoral program's objectives and outcomes.

*ETE 7230 Foundations of Engineering and Technology Education (revised) 3 credits*  
Study of the objectives, legislative foundations, principles, philosophy, impact, and organization of engineering education and technology education. (F, Sp, Su)

*ETE 7460 Research Finance and Grant Writing 3 credits*  
Procedures in financial administration of education and research monies. Budget preparation, budget operation and control, and accounting. In-depth review of steps and techniques needed for grant writing. (F, Sp, Su)

### All Program Courses

*ETE 6100 Contemporary Issues in Engineering and Technology Education 3 credits*  
Study of present and future foundational professional developments in engineering and technology education. Students identify and investigate contemporary trends and issues affecting and facing engineering and technology education. (F, Sp, Su)

*ETE 6250 Internship 1-6 credits*  
Advanced instruction through supervised work experience in teaching, supervising, or administering educational or industrial program. (F, Sp, Su)

*ETE 6440 Technology and Society 3 credits*  
(dual listing 4440)  
Challenges students to develop an understanding of the dynamic interaction between science, technology, and society. Explores the responsibility of humans to direct the utilization of technology as a creative enterprise. Students critically investigate technological innovations, issues, and impacts on society from a global perspective. (F, Sp)

*ETE 6450 Administration and Organization in Engineering and Technology Education 3 credits*  
Administrative and supervisory techniques for successful operation of technology education and applied technology education programs. (F, Sp, Su)

*ETE 6520 Explorations of Engineering Industry 3 credits*  
Study of contemporary industry, business, and service through a series of site visits. Includes various management and finance methods and techniques. (F, Sp, Su)

*ETE 6750 Research Methods and Design in Engineering and Technology Education 3 credits*  
Introduction to practical research planning and design. Guides students from proposal selection to completed proposal to final research report. (F, Sp, Su)

*ETE 6900 Readings and Conference 1-3 credits*  
Advanced individualized study on selected topics in engineering and technology education. Scheduled consultation with faculty member. (F, Sp, Su)

*ETE 6910 Experimental Laboratory 3 credits*  
Introduction to elements of a research report through selection and development of experimental study utilizing tools, equipment, materials, and processes for improving programs and teaching techniques. (F, Sp, Su)

*ETE 7010 The Role of Cognition in Engineering and Technology Education 3 credits*  
Study of cognitive science and research relating to engineering and technology education. (F)

*ETE 7020 Design Thinking in Engineering and Technology 3 credits*  
Engineering design as applied to technology education. (Sp)

*ETE 7030 Engineering Design and Analysis for Engineering and Technology Education 3 credits*  
Engineering design methodology for technology education teacher educators. Focuses on science principles and predictive mathematics comprising the engineering sciences needed to solve problems in a design framework that is analytical, predictive, and repeatable. (F)

*ETE 7040 Dynamic and Network Engineering Processes for Technology Education 3 credits*  
Examines dynamic and network processes in engineering through the use of simulation software. Students use these techniques to develop standards-based engineering curricular modules for use in grades 6 through 12. (Sp)

*ETE 7400 Occupational Analysis and Curriculum Development\* 3 credits*  
Students learn techniques for conducting an occupational analysis (both job and task analysis) and for developing performance-based or competency-based curriculum. Explores industrial and educational applications for this style of curriculum development.

*ETE 7500 Internationalizing Institutions of Higher Education 3 credits*  
Explores the need and methodology of internationalizing higher education institutions, with the purpose of understanding the global society and delivering education worldwide. (F, Sp, Su)

*ETE 7600 Academic Issues and Politics in Higher Education 3 credits*  
Study of higher education, the social political impacts, and the role of faculty members in higher education institutions. (F, Sp, Su)

*ETE 7810 Research Seminar 1-6 credits*  
Identification of research problems, consideration of research strategies and methods, application of research and statistical concepts in departmental focus, and interaction with faculty. (F, Sp, Su)

*ETE 7900 Independent Study 1-3 credits*  
Individually directed reading and conference. Departmental approval required before registration. (F, Su)

*ETE 7970      Dissertation Research* *1-15 credits*  
(F, Sp, Su)

*ETE 7990      Continuing Graduate Advisement* *1-3 credits*  
(F, Sp, Su)

*EDUC 7300      Historical, Social, and Cultural Foundations of Education* *3 credits*  
Examines relationship of modern school in terms of historical, cultural, and social foundations of education. Prerequisites: EDUC 6410, ELED 6020/7020, or permission of instructor. (F)

*EDUC 7310      Teaching & Learning Foundations* *3 credits*  
Seminar in which learning theories and teaching models/skills are demonstrated, critically examined, and integrated. Prerequisite: Graduate course in educational psychology or equivalent. (Sp)

*EDUC 6600      Research Design and Analysis I* *3 credits*  
Research design and statistical concepts for research in education, human services, and psychology, with emphasis on the selection and interpretation of statistical analyses. Prerequisites: EDUC/PSY 6570, passing score on 6600 Pretest via WebCT, and permission of instructor. Also taught as PSY 6600. (F,Sp,Su)

*EDUC 6770      Qualitative Methods I* *3 credits*  
Introduction to qualitative research, including foundations; research designs and strategies of inquiry (case studies, ethnography, phenomenology, grounded theory, biographical, historical, participative inquiry); sampling; fieldwork and data collection; and analysis. Prerequisite: EDUC/PSY 6570. (Sp)

*EDUC 7780      Qualitative Methods II* *3 credits*  
**(dual listing 6780)**  
Builds on and applies concepts covered in EDUC 6770, emphasizing analysis of data, critique of qualitative research, and design and implementation of qualitative research. Students registered for 6780 conduct a qualitative research project. Prerequisite: EDUC 6770. (Sp)

*EDUC 7610      Research Design and Analysis II* *3 credits*  
Advanced treatment of research design and statistical concepts and issues in educational, human services, and psychological research. Prerequisite: EDUC/ PSY 6600. Also taught as PSY 7610. (F,Sp,Su)

*EDUC 7700      Single Subject Methods & Design* *3 credits*  
**(dual listing 6700)**  
Examines single-subject research methodology for applied research in schools, including measurement, design, and analysis issues. Also taught as SPED 7700/6700. (F)

*EDUC 7650      Longitudinal Research Design & Analysis* *3 credits*  
Applied longitudinal study design and analysis for research in behavioral and educational sciences. Explores case-control, cohort, cross-over, complex sample, and randomized controlled trial designs.

Examines analytical methods for observed outcomes of various distributions (e.g., Gaussian, Binomial, Poisson). Prerequisite: EDUC/PSY 7610. Also taught as PSY 7650. (Sp)

*PSY 7070      Advanced Measurement Theory & Practice      3 credits*

Covers psychometric topics, including classical test theory, generalizability theory, item response theory, and issues concerning bias in psychological testing. Prerequisites: PSY 5330/6330, EDUC/PSY 6600. (Sp)

## Appendix C: Existing FACULTY

### ***Kurt H. Becker, Ph.D., Professor, Department Head***

*Technology Education, Texas A&M University*

Teaching Specializations – Teacher Education, Computer-Aided Design and Drafting, Construction

Research Specializations – Adult learning cognition, K-12 engineering and technology education professional development, K-12 engineering and technology education curriculum development, and technical training

### ***Ward Belliston, Ph.D., Associate Professor***

*Vocational Administration and Supervision, Colorado State University, Fort Collins, Colorado*

Teaching Specializations – Electricity and Electronics

Research Specializations – Course curriculum and developing innovative teaching materials, electrical engineering education for non electrical engineering majors.

### ***Ning Fang, Ph.D., Associate Professor***

*Mechanical Engineering, Huazhong University of Science and Technology, China*

Teaching Specializations – Engineering mechanics, manufacturing processes, design

Research Specializations – Developing innovative and effective teaching pedagogy and course curriculum, Engineering and Technology Education reform, the retention of freshmen in engineering, K-12 Engineering and Technology Education

### ***Edward Reeve, Ph.D., Professor***

*Education and Industrial Technology, The Ohio State University, Columbus, Ohio*

Teaching Specializations - Technology education, curriculum development, communication technology.

Research Specializations - Developing standards-based curricula for technology and Engineering and Technology Education, improving teaching and learning in engineering and technology educations, internationalizing the curriculum.

### ***Paul Schreuders, Ph.D., Assistant Professor***

*Biomedical Engineering, University of Texas, Austin*

Teaching Specializations – Engineering systems, engineering design, systems Modeling

Research Specializations – Engineering career decisions, teaching engineering design and simulation, classroom group structures and their relationships with success in engineering

### ***Gary A. Stewardson, Ph.D., Associate Professor***

*Technology Education, University of Maryland, College Park*

- Teaching Specializations – Manufacturing, automation and control systems, student assessment, curriculum development, and instructional strategies
- Research Specializations – Developing innovative curriculum utilizing problem solving and design instructional strategies, K-12 engineering education, occupational and task analysis.

**New Faculty**

***New Tenure Track Faculty Member, PhD., Engineering and Technology Education***

- Teaching Specializations – Introduction to Engineering, K-12 Engineering Education, Graduate Research Methods
- Research Specializations – K-12 Engineering Education and Technology Education

***New Tenure Track Faculty Member, PhD., Civil Engineering***

- Teaching Specializations – Statics, Dynamics, CAD, Graduate Engineering Education
- Research Specializations – Engineering Education

***New Tenure Track Faculty Member, PhD., electrical Engineering***

- Teaching Specializations – Circuits, Electronics, Statics, Graduate Engineering Education
- Research Specializations – Engineering Education

## Appendix D: Support Letter from Library



MERRILL-CAZIER LIBRARY  
3000 Old Main Hill  
Logan, UT 84322-3000  
Telephone: (435) 797-2631  
Fax: (435) 797-2880

March 4, 2008

To Whom It May Concern,

I am the subject librarian for the Department of Engineering and Technology Education. I have been working with the faculty for the past several years to adjust our Library's books and journals to best meet the teaching and research needs of this department.

In recent years we have been able to cancel journals that no longer served the department well, and acquire new journals more focused on the program. I have worked with faculty to assess their needs, and prioritized the journals they listed as essential to their work. To this end, we were able to acquire four new titles identified as necessary to support the department and its plans to launch a doctoral program in Engineering Education.

Currently, Thomson's *Journal Citation Reports* includes seven journals that pertain to engineering education (listed under the headings of "Education, Scientific Disciplines" and "Engineering, Multidisciplinary." We currently have access to all of these journals. Additionally, faculty and graduate students identified 14 journals upon which they heavily relied. We now have access to all but one of these title, which is available to our faculty and students through Interlibrary Loan. In addition to journals focused on Engineering Education, we have a robust collection of journals in the fields of education, general engineering, and specific fields of engineering.

Access to the journal literature is available through a number of databases, including *Ei Compendex*, the full suite of IEEE publications, the *Web of Science*, *Digital Dissertations*, *Wilson's Education Full Text*, and *ERIC*.

The Library's book collection has been updated. Two years ago, I searched *World Cat*, a composite global database of library holdings, for books pertaining to engineering and technology education. I identified key titles not owned by our library and systematically purchased these to complete our collection. I continue to seek out new monographic publications for this field, and am generally able to purchase any book requested by our faculty.



In summary, the Library is well poised to support a new doctoral program in Engineering Education. If you have any questions about the collections or services we can offer, please contact me.

Sincerely,



Betty Rozum  
Associate Director for Technical Services

After reviewing Betty Rozum's assessment, I believe the Merrill-Cazier Library could fully support a Ph.D. program in Engineering Education. Our holdings have been evaluated and greatly improved in this area recently. The collections for engineering topics in general have great depth, as do those for science education.



Steven R. Harris  
Collection Development and Management Librarian

Appendix E: Letter of Agreement between College of Engineering  
and College of Education and Human Services



COLLEGE OF ENGINEERING  
Department of Engineering and Technology Education  
6000 Old Main Hill  
Logan, UT 84322-6000  
Phone: (435) 797-1795  
FAX: (435) 797-2567

February 25, 2008

To Whom It May Concern:

This is a letter of agreement between the **College of Education and Human Services** and the **College of Engineering** in support of the proposed **PhD in Engineering Education** through the College of Engineering. Through the proposed program, 12 credits of education courses will be taught by the College of Education and Human Services. The list of courses that will be offered through the College of Education and Human Services are:

EDUC 6600 Design and Analysis I  
EDUC 6770 Qualitative Methods I  
EDUC 7610 Research Design and Analysis II  
EDUC 7780 Qualitative Methods II  
EDUC 7650 Longitudinal Research Design & Analysis  
EDUC 7700 Single Subject Methods & Design  
EDUC 7300 History, Social, and Cultural Foundations of Education  
EDUC 7310 Teaching and Learning Foundations  
PSY 7070 Advanced Measurement Theory & Practice

The College of Engineering has agreed to provide support for the courses and will negotiate on a yearly basis the cost of instruction for educational research and foundations courses taught by the college of education ~~and human services~~.

Sincerely,

A handwritten signature in black ink, appearing to read "Scott Hinton".

Scott Hinton  
Dean of Engineering

A handwritten signature in black ink, appearing to read "Carol Strong".

Carol Strong  
Dean of Education and Human Services

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Dixie State College–Associate of Applied Science in Physical Therapy Assistant–Action Item.

Issue

Officials at Dixie State College request approval to offer an Associate of Applied Science Degree in Physical Therapy Assistant, Fall Semester 2009. The institutional Board of Trustees approved the program on May 1, 2008. The proposed Physical Therapy Assistant degree has been submitted to the Regional CTE Planning Committee, and was approved by the Regents' Program Review Committee on August 5, 2008.

Background

The need for professionals in all health care fields in the St. George area continues to expand. There is a significant shortage of physical therapist assistants as additional hospitals, sub-acute rehabilitation facilities, extended care facilities, outpatient clinics, rehabilitation hospitals and pediatric rehabilitation centers are developed. The proposed Associate of Applied Science Physical Therapist Assistant program is designed to produce graduates who will be knowledgeable and competent rehabilitation specialists. The graduates will work under the direction and supervision of licensed physical therapists and they will be eligible to work in a variety of rehabilitation environments including, but not limited to hospitals and medical centers, skilled nursing and rehabilitation facilities, orthopedic in-and outpatient facilities, home health, and pediatric clinics.

If approved, the Physical Therapist Assistant program will be housed in the School of Science and Health. The School is also the home for other health science programs including dental hygiene, emergency care and rescue, medical radiography, nursing, phlebotomy, and surgical technology. As a result, the School and College have the support services necessary for recruiting, advising and enrolling students in the Physical Therapist Assistant program. Full-time program faculty also will be available to assist and advise students on physical therapy curricular and professional issues.

### Policy Issues

Other Utah System of Higher Education institutions have reviewed this proposal, have given input, and are supportive of Dixie State College offering this degree.

### Commissioner's Recommendation

The Commissioner recommends that the Regents approve the Request to Offer an Associate of Applied Science in Physical Therapy Assistant at Dixie State College, effective Fall Semester, 2009.

---

William A. Sederburg, Commissioner

WAS/GW/HN  
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Request to Offer an Associate of Applied Science Degree

in Physical Therapy Assistant

Dixie State College

Prepared for  
William A. Sederburg  
By  
Gary Wixom

August 27, 2008

## **Section I**

### **The Request**

Dixie State College of Utah requests approval to offer an Associate of Applied Science Physical Therapist Assistant degree beginning Fall semester, 2009. The institutional Board of Trustees approved the program on May 1, 2008.

## **Section II: Program Description**

### **Complete Program Description**

The proposed Associate of Applied Science Physical Therapist Assistant program degree program is designed to produce graduates who will be knowledgeable and competent rehabilitation specialists eligible for national licensure. The graduates will work under the direction and supervision of licensed physical therapists and they will be eligible to work in a variety of rehabilitation environments including, but not limited to: hospitals and medical centers, skilled nursing and rehabilitation facilities, orthopedic in and outpatient facilities, home health, and pediatric clinics. The proposed curriculum will be composed of 69 credit hours. The enrolled students will participate in selected general and technical education courses that include lecture, laboratory and clinical education experiences. General education lecture and laboratory courses will include English, anatomy, physiology, psychology, mathematics and speech. Technical courses will include kinesiology, physical therapy fundamentals, observation and measurement, physical agents, orthopedic pathophysiology and rehabilitation, neuromuscular pathophysiology and rehabilitation, and rehabilitation procedures for special clientele. The three 5-week full time clinical affiliations will emphasize developing clinical competence in fundamental skills and specific physical therapy treatment approaches used in orthopedic and neuromuscular rehabilitation.

The Commission on Accreditation in Physical Therapy Education (CAPTE) determines physical therapist and physical therapist assistant education curriculum requirements. CAPTE is the only recognized agency that accredits physical therapist assistant education programs. CAPTE has established specific "Evaluative Criteria" that programs must follow when developing and implementing educational programs for future physical therapist assistants. The initial accreditation of the physical therapist assistant program will be for five years.

The curricular design of the physical therapist assistant program will meet the accreditation requirements of CAPTE. The program will be five semesters in length and include 69 credit hours including 21 credit hours of general education and 48 credit hours of technical education. Students will be admitted to the program through a competitive selection, limited-entry process that will help assure graduates of the program are knowledgeable, competent, safe, and ethical physical therapist assistants. Acceptance to the program will require completion of several prerequisite courses. The prerequisite details are outlined in the "Admission Requirements" section. Once students have completed the prerequisite requirements and are accepted into the program, they will complete the second through the fifth semesters as a cohort.

The proposed five-semester curriculum is found in Appendix A. The technical education course descriptions are found in Appendix B.

### **Purpose of the Degree**

The purpose of the proposed degree is threefold. First, DSC is the major source for trained health care professionals in southern Utah. As a result, it is incumbent on DSC to continue to offer more health care educational opportunities in order to meet the expanding community need for various health care professionals. Second, the degree fulfills DSC's mission to provide associate degrees. Third, the community, health-care providers, and the DSC administration have recognized the extreme shortage of qualified physical therapist assistant graduates who have the knowledge and competence necessary to administer a physical therapy treatment program for patients/clients suffering from specific orthopedic or neuromuscular injuries or diseases. These treatment programs can be utilized in a variety of rehabilitation settings including: hospitals, long term care facilities, private physical therapy clinics, home health settings, burn clinics, rehabilitation centers and pediatric centers.

### **Institutional Readiness**

The physical therapist assistant program will be housed in the School of Science and Health. The School also houses many other health science programs including dental hygiene, emergency care and rescue, medical radiography, nursing, phlebotomy, and surgical technology. As a result, the School and College have the support services necessary for recruiting, advising and enrolling students in the physical therapist assistant program. Full time program faculty also will be available to assist and advise students on physical therapy curricular and professional issues. The College has an excellent relationship with Dixie Regional Medical Center administration and they have expressed a need for graduates of the program. In addition, Dixie Regional Medical Center has donated \$240,000 towards start-up costs for the program.

The new DSC Health Sciences building is located on the medical center campus and will be completed in spring, 2008. This three-story building will house all of the existing health science programs and the proposed physical therapist assistant program. The allocated space for the physical therapist assistant program includes two classrooms (1534 sq ft), one laboratory (1118 sq ft) and two storage rooms (537 sq ft). One classroom will be set up for lecture only and one classroom will be set up for lecture and laboratory activities. The facility also will house two typical offices for program faculty.

A list of laboratory equipment, supplies and anatomical models has been developed (the list is on file in the Commissioner's Office). This list includes the lecture/laboratory tables and mats for one classroom, the treatment tables for the laboratory and the equipment, supplies and anatomical models for use during lecture and laboratory activities. The cost of these items can be found in the "Section V: Finance" of this proposal.

The Val A. Browning and the Dixie Regional Medical Center libraries currently have many of the recommended learning resources required for the program. The librarian for the Val A. Browning library was provided a list of specific physical therapy journals and periodicals that would be required for the program faculty and students. See Library and Information Resources for more library detail.

### **Faculty**

The program will require two FTE faculty to provide instruction for the students. In addition to this major responsibility, one faculty will serve as the Program Director (PD), just recently hired, and one faculty member will serve as the Academic Coordinator of Clinical Education (ACCE). Due to workload limitation of the full time faculty, approximately four adjunct faculty will be required to assist with lecture and/or laboratory courses. The responsibilities of the program director will be the overall management of the

program including, but not limited to: leading the selection and hiring process of the ACCE; annual evaluation of the ACCE; identifying, employing and evaluating adjunct faculty; managing the program annual budget; monitoring, reviewing and recommending changes in the curriculum as necessary; hosting and participating in regularly scheduled advisory committee activities; working with other faculty members on program related matters; and participating in faculty governance activities. The many responsibilities of the ACCE will include identifying and contracting with appropriate clinical education sites for student clinical affiliations, as well as monitoring and ensuring student compliance with CPR certification, immunizations, background checks, drug screening, and professional liability insurance.

The program director must hold a Master's degree and may be either a physical therapist or a physical therapist assistant. The ACCE may be either a physical therapist or a physical therapist assistant and hold at least a Bachelor's degree. One of the two faculty members must be a physical therapist. In addition, the physical therapist must be licensed or eligible for licensure in the state of Utah. If eligible, the physical therapist must become licensed before the start of official classes of the first year students. The physical therapist assistant should be eligible for licensure. However, the state of Utah currently does not have licensure requirements for the physical therapist assistant; therefore, licensure is not required for the assistant. The physical therapy adjunct faculty must be licensed in the state of Utah or bordering states if they are from Arizona, Colorado or Nevada.

### **Staff**

Secretarial staff will be needed for the effective management of the program. The proposed budget includes .33 FTE secretarial support for the program. The Health Sciences and Applied Technology Education advisor will provide academic and physical therapy profession-related advisement for interested and enrolled students.

### **Library and Information Resources**

Specific rehabilitation journals and periodicals have been identified and provided to the staff at the Val A. Browning Library. The library has extensive learning resources in the Allied Health Sciences area, including online databases, DVDs, and videotapes. Full text rehabilitation articles can be accessed through MEDLINE, the Biomedical Reference Collection and other databases. The librarian for the health science programs provides assistance for faculty in making new acquisitions, orienting students and developing discipline-specific reference assistance materials. Reference librarians are available online 24 hours a day, 7 days a week. Dixie Regional Medical Center's Medical Library is also available for DSC student use. Funds for the purchase of needed reference materials are included in the proposed start-up budget (see Section V: Finances).

### **Admission Requirements**

The physical therapist assistant program is a limited-entry program. Students applying to the program must successfully complete specific requirements before being accepted into the program. Selection criteria include:

- Submission of a complete Program Application on or before the deadline established by the program;
- Satisfactory communication skills as demonstrated through an interview with the Physical Therapist Assistant Program Selection Committee;
- Three letters of recommendation from instructors or employers from the past 5 years;



- Successful completion of prerequisite courses with a “C” or better;
- Minimum cumulative GPA of 2.75 or higher; and
- 40 hours of work-related or volunteer experience in a physical therapy clinic

The specific prerequisite course requirements included in the first semester of the five-semester program are: Anatomy lecture and lab, English, Speech Communication, Introduction to Physical Therapy, and Practice Issues.

Other program and college requirements such as CPR/First Aid, immunizations, background check, and drug screening can be completed after acceptance into the program and prior to the end of the second semester of course work.

### **Student Advisement**

DSC currently has sufficient professionals to assist with student advisement. There are academic advisors who can assist students with general education and graduation requirements, and the Health Science and Applied Technology Education Advisor can assist students with the requirements and the process to gain acceptance in one of the health science programs. Physical therapist assistant program faculty will be available to provide program specific information and advice about professional issues.

### **Justification for Graduation Standards and Number of Credits**

The USHE has established a maximum of 69 credit hours for Associate of Applied Science Degrees. In addition, the Commission on Accreditation in Physical Therapy Education (CAPTE) also has established 70 credit hours as the maximum for AAS Degree programs. CAPTE also requires that these credit hours be completed in five full-time semesters. Students deciding to take the general education prerequisites at a slower pace can do so; however, once students are accepted into the program they must complete the last four semesters of course work and clinical affiliations in the required sequence. The program curriculum includes three full-time clinical affiliations of 200 hours each. Students must maintain a 75% (C) or better in all of the required program courses. This criterion was established in order to help ensure that students are prepared for the national licensure examination. The criterion for passing the national examination is 75%.

### **External Review and Accreditation**

DSC employed Joe Cracraft, PT, Ph.D. as the consultant to assist with the curriculum design and development of this proposal for the Physical Therapist Assistant program. Dr. Cracraft recently retired from the College of Southern Nevada, Las Vegas, NV. He was physical therapist assistant program director for 16 years prior to his retirement, June 30, 2007.

The DSC Physical Therapist Assistant Advisory Committee has been established in order to assist with determining the community and regional need for the program. Members of the committee include representatives from Dixie Regional Medical Center, Kolob Regional Care and Rehabilitation (Cedar City, UT), Red Cliffs Regional Rehabilitation Center, Advanced Physical Therapy, The Balance Center, DSC Sports Medicine program and DSC Associate Dean of Health Sciences. The committee also will serve as an external review committee in working with the program director to develop assessment of the effectiveness of the established curriculum and implement necessary changes and improvements. Additionally, the advisory committee will assist the program director with clinical affiliation sites and contracts, identifying adjunct faculty and other program related issues that may develop.

The Commission on Accreditation in Physical Therapy Education (CAPTE) is responsible for accrediting all physical therapist and physical therapist assistant education programs. Initial review, completion of the self-study, on-site visit and accreditation of the program will require 2½ to 3 years following official approval of the program by USHE. Final accreditation will be completed in conjunction with the graduation of the first class.

### Projected Enrollment

| Year | Student FTE | # of FTE Faculty | Mean FTE-to-faculty ratio | Accreditation Required Ratio |
|------|-------------|------------------|---------------------------|------------------------------|
| 1    | 16          | 2                | 8 to 1                    | 16 to 1                      |
| 2    | 32          | 2                | 16 to 1                   | 16 to 1                      |
| 3    | 32          | 2                | 16 to 1                   | 16 to 1                      |
| 4    | 32          | 2                | 16 to 1                   | 16 to 1                      |
| 5    | 32          | 2                | 16 to 1                   | 16 to 1                      |

**Note:** This does not include adjunct faculty. The number of adjunct faculty will depend on DSC workload requirements and restrictions.

### Expansion of Existing Program

The Physical Therapist Assistant program is a new program at DSC.

## Section III: Need

### Program Need

The current and projected demand for physical therapist assistants is outlined in the "Labor Market Demand" section below. A significant shortage of physical therapist assistants in St. George has been identified. St. George is one of the fastest growing communities in Utah, and the need for professionals in all health care fields will continue to expand as additional hospitals, sub-acute rehabilitation facilities, extended care facilities, outpatient clinics, rehabilitation hospitals and pediatric rehabilitation centers are developed. This demand will result in the need for a steady pool of rehabilitation specialists including physical therapists and physical therapist assistants.

The important mission of DSC is to provide the local community with needed health care professionals. DSC is the only institution capable of training the needed manpower to fill these projected positions in the greater St. George area.

### Labor Market Demand

Data show significant demand for physical therapy assistants, locally, regionally and nationally. The projected employment outlook for Physical Therapy Assistants by Utah Department of Workforce Services for the period 2004-2014 has been given a Four-Star rating out of a possible Five-Star rating. Four-Star occupations have a good employment outlook and relatively high wages. Utah's projection for PTA job growth during this time is 5.3% annual increase with majority of the job growth being due to growth rather than replacement.

The national annual median wage for physical therapy assistants is \$41,360 (U.S. Bureau of Labor Statistics). The Utah statewide average is \$36,890, with the Ogden-Clearfield metropolitan service area being \$39,170. As recently as February 2008, 50% of the PTA job openings in the state of Utah are in Washington County. The US Department of Labor Occupational Outlook Handbook 2008-2009 indicates that for physical therapist assistants "employment is projected to increase much faster than average." The handbook indicates that the projected growth will be 32% between 2006 and 2016. There is strong evidence supporting the continued need for physical therapist assistants.

An on-line search for future career opportunities for physical therapist assistants indicated that there would be significant employment opportunities for graduates of the DSC program. The projections by the National Employment Matrix indicated that this demand is due to the following: increasing age of the population, increased elderly with chronic and debilitating conditions such as heart attacks, strokes and diabetes-related health problems, advances in medical development; increased survival rates, and demand for rehabilitation. The American Physical Therapy Association's Vision 2020 program projects that all physical therapist educational programs will be transitioned to Doctor of Physical Therapy by the year 2020. This may also lead to an expanded demand for physical therapist assistants. Recent changes in Medicare reimbursement rules will also have a positive effect on demand for licensed physical therapist assistants. These new rules require treatment by licensed personnel in order for the provider to receive payment for patient/client rehabilitation services

Kiplinger.com, "Hot Jobs without a Four-Year Degree" reports that physical therapist assistant ranks number three of the top five professions not requiring a 4-year degree. Kiplinger reports the projected starting salary is \$37,890 per year according to the Bureau of Labor Statistics. Alison Doyle's About.com: "Job Search" indicates physical therapist assistant is one of the fastest growing professions in Health and Technology. Doyle lists physical therapist assistants sixth in the "Top Ten Fastest Growing Occupations: 2004-2014." For the 10 years periods 2004-2014 and 2006-2016, the expected demand for physical therapist assistants will increase 44% and 32%, respectively.

### **Student Demand**

Student demand is currently unknown; however, current anecdotal evidence indicates a potential interest/demand for the program. For example, current enrollments in the Introduction to Physical Therapy course at the College of Southern Nevada are 38 in the Internet course and 26 in the on-campus course. Over the past four years, first year enrollments in the physical therapist assistant program have resulted in full classes. Most recently, students enrolled in the program have traveled from Bullhead City, Arizona, Battle Mountain, and Mesquite, Nevada. The program has also received student inquiries from St. George, Utah. The Health Sciences and Technical Education advisor indicated that a number of students had asked about the program but no official statistics have been kept. The advisor indicated that student inquiries will now be recorded in order to provide accurate data for USHE personnel and the Commission on Accreditation in Physical Therapy Education (CAPTE).

### **Similar Programs**

There are other physical therapist assistant programs in the intermountain region, including programs in Nevada, Idaho, Arizona and Colorado. Salt Lake Community College also offers a physical therapist assistant program. None of the programs are in close proximity to St. George and all would require substantial expenses for local students wishing to attend one of these schools. Out-of-state tuition for the

schools in Nevada, Idaho, Arizona and Colorado, as well as relocation expenses, make these educational options undesirable.

Historical data from the College of Southern Nevada (CSN), Las Vegas, NV indicate that students seeking technical education, including the health care related professions, are older students with ties to their local community. These students prefer to remain in their local community for their education and employment following graduation. For example, less than 1% of the approximately 120 CSN physical therapist assistant program graduates have moved out of the Las Vegas area.

The DSC and SLCC programs have similar curriculum content but the specific courses and clinical education sequencing will be different. Also, a major difference will be in the total program hours, as the DSC program will include a maximum of 69 credit hours as opposed to the 70 credit hours minimum for the SLCC program. Appendix D includes the general information for the physical therapist assistant program, the list of courses and a typical five-semester program schedule for the SLCC program.

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

Currently there is no collaboration with any of the regional institutions offering physical therapist assistant programs and there are no plans to initiate such collaboration. The DSC program should have no effect on enrollments at SLCC or other Utah institutions because of its location in southern Utah and the expenses involved in moving and attending DSC. In addition, the graduates from the program will have an opportunity to complete the Bachelor's degree in a related field at DSC and/or other USHE institutions.

### **Benefits**

DSC is recognized by the local community as the primary educational source for preparing graduates to work in the needed health care and technical professions. The Advisory Committee identified the proposed program as an important area of need. The local rehabilitation community also recognized there is a shortage of qualified physical therapist assistants.

### **Consistency with Institutional Mission**

An important element of the DSC Mission is "to transmit knowledge and skills primarily through education and training programs at the certificate and associate degree level, including career and technical education programs. As a result, DSC has taken steps to develop a healthcare professions core of programs. The proposed physical therapist assistant program is the college's response to meeting the southern Utah community need as well as meeting the DSC and USHE missions.

The mission of the Utah System of Higher Education is to provide knowledge and skills for students enrolled in programs at the associate and baccalaureate levels, including applied science education in high-demand careers. The proposed AAS degree in Physical Therapist Assistant is in a high demand profession and satisfies the role assignment for a Type II institution while fitting within the mission given DSC by the Regents. The key points of the USHE Mission include "...provide high quality academic, professional and applied technology learning opportunities...for the citizens of Utah. The mission of the Board of Regents is to ensure fulfillment of the USHE mission.

The Associate of Applied Science Physical Therapist Assistant degree is consistent with and supports the missions of the USHE, the Board of Regents and the DSC. The program will provide specialized quality technical educational opportunities for students resulting in knowledgeable, competent, caring, ethical and quality-oriented graduates that will be eligible for national licensure. The graduates will provide physical

therapy services to patients/clients who are experiencing disability, pain and temporary or permanent disability. The graduates will understand their responsibilities, role, and scope of practice work under the directions of a licensed physical therapist.

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

### **Program Assessment**

The Commission on Accreditation in Physical Therapy Education (CAPTE) will review all aspects of the program during the initial accreditation process. Once accredited, CAPTE will require annual reports that will allow the commission to determine if the program is meeting the standards established by the commission.

The director of the program will be responsible for establishing the general program goals and the specific goals for the graduates. The general goals of the program will include:

- establishing an exceptional education program that will produce knowledgeable, competent, safe and ethical physical therapist assistants
- establishing an exceptional clinical education program that will enlist excellent clinical education instructors
- providing up-to-date information to potential students and the community on the current and projected need for graduates of the program.

Specific student goals should include development of graduates who:

- demonstrate the cognitive, psychomotor and affective skills necessary for effective treatment of patient/clients
- are familiar with the local, state and national rules and regulations governing the practice of physical therapy
- demonstrate behaviors that ensure patient/client safety
- are capable of passing the national licensing examination

These specific goals will be expanded upon during the accreditation process.

The program director will implement an assessment plan. This plan will provide information on the steps involved in data collection and how the data are used to effect positive changes in the program. The program director will identify the direct linkage between the results of the assessment process and the implemented changes that will enhance the program. The major areas to be covered in this assessment process will include:

- Institutional policies and procedures
- Program policies and procedures, mission and philosophy
- Resources; Goals and Objectives; Curriculum
- Clinical education program
- Performance of recent graduates
- Admissions process, criteria, and prerequisites

- Program enrollments
- Core faculty; Adjunct and support faculty
- Clinical education faculty.

The program director, the program faculty and the program advisory committee will identify specific graduate outcomes. These outcomes may include:

- demonstrating an understanding of their role and scope of practice
- demonstrating the technical skill and competencies required to effectively treat and progress their patients/clients according to the directions of their supervising physical therapist
- understanding of the importance of effective administration in the management of the place of employment
- demonstrating the appropriate safety techniques and precautions required to protect their patients/clients and themselves
- demonstrating effective written and verbal communication skills
- demonstrating an understanding of the psychological and motivational needs of the patients/clients and their families
- explaining why lifelong learning is important in meeting the unique needs of each individual patient/client and the future growth of the profession

These graduate outcomes will provide the foundation for the development of specific course objectives that will be found in the individual course syllabi. As well, students will be evaluated regularly throughout the program by formative and summative student assessments including didactic, laboratory, and clinical examinations; demonstration of lab and clinical skills; and self-assessments.

## Budget

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## APPENDIX A

### PROPOSED PHYSICAL THERAPIST ASSISTANT CURRICULUM

| FIRST SEMESTER |        |                             |              |
|----------------|--------|-----------------------------|--------------|
| Course         | Number | Title                       | Credit Hours |
| BIO            | 2320   | Human Anatomy               | 3            |
| BIO            | 2325   | Human Anatomy Lab           | 2            |
| Eng            | 1010   | Introduction to Writing     | 3            |
| Comm           | 1010   | Introduction to Speech Comm | 3            |
| PTA            |        | Introduction to PT          | 2            |
| PTA            |        | Practice Issues             | 2            |
| TOTAL          |        |                             | 15           |

| SECOND SEMESTER |        |                         |              |
|-----------------|--------|-------------------------|--------------|
| Course          | Number | Title                   | Credit Hours |
| PTA             |        | Kinesiology             | 2            |
| PTA             |        | Kinesiology Lab         | 2            |
| PTA             |        | Fundamentals            | 2            |
| PTA             |        | Fundamentals Lab        | 2            |
| PTA             |        | Observation and Measure | 2            |
| PTA             |        | Observ. and Meas. Lab   | 2            |
| BIO             | 2420   | Human Physiology        | 3            |
| BIO             | 2425   | Human Physiology Lab    | 1            |
| Total           |        |                         | 16           |

| THIRD SEMESTER |        |                           |              |
|----------------|--------|---------------------------|--------------|
| Course         | Number | Title                     | Credit Hours |
| PTA            |        | Special Clientele         | 2            |
| PTA            |        | Special Clientele Lab     | 1            |
| PTA            |        | Physical Agents           | 2            |
| PTA            |        | Physical Agents Lab       | 2            |
| PTA            |        | Orthopedic Rehab          | 3            |
| PTA            |        | Orthopedic Rehab Lab      | 2            |
| PTA            |        | Pathophysiology I         | 2            |
| PTA            |        | Gerontology               | 1            |
| PTA            |        | Orthotics and Prosthetics | 1            |
| TOTAL          |        |                           | 16           |



|        |        | FOURTH SEMESTER           |              |
|--------|--------|---------------------------|--------------|
| Course | Number | Title                     | Credit Hours |
| PTA    |        | Rehabilitation Psychology | 2            |
| PTA    |        | Neuro Rehab               | 3            |
| PTA    |        | Neuro Rehab Lab           | 2            |
| PTA    |        | Pathophysiology II        | 2            |
| PTA    |        | Seminar                   | 1            |
| MATH   | 1030   | Quantitative Reasoning    | 3            |
| PSY    | 1010   | General Psychology        | 3            |
|        |        | TOTAL                     | 16           |

|        |        | FIFTH SEMESTER           |              |
|--------|--------|--------------------------|--------------|
| Course | Number | Title                    | Credit Hours |
| PT     |        | Clinical Affiliation I   | 2            |
| PT     |        | Clinical Affiliation II  | 2            |
| PT     |        | Clinical Affiliation III | 2            |
|        |        | TOTAL                    | 6            |
|        |        | Program Total            | 69           |

**APPENDIX B**  
**PROPOSED**  
**PHYSICAL THERAPIST ASSISTANT CURRICULUM**  
**COURSE DESCRIPTIONS**  
**DIXIE STATE COLLEGE OF UTAH**  
**PROPOSED PHYSICAL THERAPIST ASSISTANT CURRICULUM**

**PTA 001 Introduction of Physical Therapy 2.00 CR**

Students are introduced to the practice and profession of physical therapy including history, philosophy, licensure and ethics. Other topics include documentation and medical terminology,

**PTA 002 Practice Issues 2.00 CR**

Students review the "Guide to Physical Therapy Practice." The role and scope of practice of the physical therapist and physical therapist assistant is addressed. Students are also introduced to other health care professions and their role in the team approach to patient care and rehabilitation.

**PTA 003 Kinesiology 2.00 CR**

Students are introduced to the basic kinesiological and biomechanical principles of normal movement. Emphasis is placed on the importance of these principles in understanding and implementing treatment programs. Examples of how selected pathologies disrupt these principles and affect normal movement patterns are addressed.

**PTA 004 Kinesiology Lab 2.00 CR**

Students develop competencies in identifying anatomical landmarks and symmetry, muscle length relationships and contraction types, joint mechanics and function, and neurological control and effects.

**PTA 005 Physical Therapy Fundamentals 2.00 CR**

This course reviews the fundamental principles required for appropriate patient treatment and care. Included are treatment indications and contraindications for selected treatment interventions.

**PTA 006 Physical Therapy Fundamentals Lab 2.00 CR**

Students develop competence in fundamental skills including ADL's, transfers, mobility, gait and crutch training, architectural barriers, documentation and patient education. Patient age is considered.

**PTA 007 Observation and Measurement 2.00 CR**

Students are introduced to the principles for monitoring patient progress, safety and making recommendations for treatment modifications.

**PTA 008 Observation and Measurement Lab 2.00 CR**

Students develop competencies in observation and measurement techniques including goniometry, manual muscle testing, volumetric measurements, righting and equilibrium reactions, gait, sensory assessment and selected special tests. The influence of patient age and posture on the measurement techniques is emphasized.

**PTA 009 Special Clientele 2.00 CR**

Students are introduced to the therapeutic principles underlying the treatment of patients with cardiopulmonary pathologies, pelvic floor disorders and selected adolescent disorders.

**PTA 010 Special Clientele Lab 1.00 CR**

Students review the anatomy and physiology of the cardiopulmonary system and the techniques used for measuring cardiopulmonary function. Competencies in the application of specific assessment and treatment protocols are emphasized. Students also review the pelvic floor pathologies, and adolescent disorders and develop competencies to help treat these problems.

**PTA 011 Physical Agents 2.00 CR**

Students are introduced to the scientific principles and theories underlying the effects of appropriate application of therapeutic physical agents including heat, cold, ultrasound, radiation, electricity and massage.

**PTA 012 Physical Agents Lab 2.00 CR**

Students develop competence in the correct application of therapeutic modalities including heat and cold, electrotherapy, intermittent compression, massage, short wave diathermy, traction and ultrasound.

**PTA 013 Musculoskeletal Rehabilitation 3.00 CR**

Students are introduced to the basic therapeutic principles underlying the treatment of patients with musculoskeletal pathologies. Geriatric considerations are emphasized.

**PTA 014 Musculoskeletal Rehabilitation Lab 2.00 CR**

Students are introduced to and develop competence in the application of therapeutic exercise and other procedures used when treating musculoskeletal pathologies. Treatment modification for geriatric patients are discussed and developed.

**PTA 015 Pathophysiology I 2.00 CR**

Students review the inflammatory and healing processes of tissue trauma or disease and the disease process associated with specific musculoskeletal pathologies.

**PTA 016 Gerontology 1.00 CR**

Students explore the physiological, psychological and sociological effect of aging and how these changes affect normal activities of daily living and rehabilitation.

**PTA 017 Orthotics and Prosthetics 1.00 CR**

Students are introduced to the various types of orthotic and prosthetic devices and their functional use in patient care and rehabilitation.

**PTA 018 Rehabilitation Psychology 2.00 CR**

Students are introduced to the psychosocial considerations that affect patient rehabilitation. Cultural diversity, work relationships, human relations, geriatric considerations, responses to illness, learned helplessness, grieving, death and dying are discussed.

**PTA 019 Neuromuscular Rehabilitation 3.00 CR**

Introduction to the therapeutic principles used in the treatment of patients with neuromuscular pathologies. Geriatric considerations are emphasized.

**PTA 020 Neuromuscular Rehabilitation Lab 2.00 CR**

Students are introduced to and develop competencies in the application of specific treatment procedures used with neurologically involved children and adults. Treatment modification for geriatric patients are discussed and developed.

**PTA 021 Pathophysiology II 2.00 CR**

Students are introduced to specific neuromuscular pathologies most commonly treated in the physical therapy clinic.

**PTA 022 Seminar for Physical Therapist Assistants 1.00 CR**

Students are introduced to the various components of effective administration of a physical therapy clinic. Effective management techniques, performance evaluations, quality assurance, fiscal management, treatment re-imbursement and other relevant topics are covered.

**PTA 023 Clinical Affiliation I 2.00 CR**

A five-week, full-time clinical affiliation that provides students with an opportunity to practice and further develop competencies in physical therapy fundamentals skills, physical agents, and observation and measurement techniques. Grades assigned on Pass/Fail basis.

**PTA 024 Clinical Affiliation II 2.00 CR**

A five-week, full-time affiliation designed to expand the student's knowledge and competencies in treating musculoskeletal pathologies. Grades assigned on Pass/Fail basis.

**PTA 025 Clinical Affiliation III 2.00 CR**

A five-week, full-time affiliation designed to expand the student's knowledge and competencies in treating neuromuscular pathologies. Grades assigned on Pass/Fail basis.

## APPENDIX C

| <b>SALT LAKE COMMUNITY COLLEGE PTA PROGRAM COURSES</b> |                                        |                |
|--------------------------------------------------------|----------------------------------------|----------------|
| <b>Course Number</b>                                   | <b>Course Name</b>                     | <b>Credits</b> |
| MATH 1010                                              | Algebra                                | 4              |
| ENGL 1010                                              | Introduction to Writing                | 3              |
| BIOL 2320/2325                                         | Anatomy with Lab                       | 4              |
| PSY 1100                                               | Human Growth and Development           | 3              |
| PTA 1010                                               | Intro to Physical Therapy              | 2              |
| PTA 1500                                               | Practice Issues for the PTA            | 2              |
| PTA 2010                                               | Functional Anatomy                     | 4              |
| PTA 2100                                               | Patient Care Skills                    | 2              |
| PTA 2110                                               | Patient Care Skills Lab                | 1              |
| PTA 2200                                               | Therapeutic Modalities                 | 2              |
| PTA 2210                                               | Therapeutic Modalities Lab             | 2              |
| PTA 2300                                               | Principles of Therapeutic Exercise     | 2              |
| PTA 2310                                               | Principles of Therapeutic Exercise Lab | 2              |
| PTA 2350                                               | Clinical Assessment/PTA                | 2              |
| PTA 2360                                               | Clinical Assessment/PTA Lab            | 2              |
| PTA 2400                                               | Musculoskeletal Disorders              | 3              |
| PTA 2410                                               | Musculoskeletal Disorders Lab          | 1              |
| PTA 2450                                               | Neurological Disorders                 | 2              |
| PTA 2460                                               | Neurological Disorders Lab             | 2              |
| PTA 2510                                               | PT for Specific Clientele              | 3              |
| PTA 2520                                               | PT for Specific Clientele Lab          | 1              |
| PTA 2530                                               | Gerontology                            | 2              |
| PTA 2550                                               | Rehabilitation Psychology              | 2              |
| PTA 2600                                               | Clinical Experience I                  | 4              |
| PTA 2700                                               | Clinical Affiliation I                 | 6              |
| PTA 2710                                               | Clinical Affiliation II                | 6              |
| PTA 2740                                               | Seminar for PTAs                       | 1              |
| PTA 2850                                               | Special Topics for PTAs (elective)     | (2)            |
| PTA 2950                                               | Sports Physical Therapy (elective)     | (2)            |
| PTA 2960                                               | PT and OT in the Workplace (elective)  | (2)            |
|                                                        |                                        |                |
|                                                        | <b>TOTAL CREDITS</b>                   | <b>70</b>      |
|                                                        |                                        |                |
|                                                        |                                        |                |
|                                                        |                                        |                |
|                                                        |                                        |                |

## APPENDIX D

### LETTERS OF SUPPORT

To Whom It May Concern,

I would like to take a moment to introduce the company that I represent. We are SimplyRehab, a provider of therapy services in the Kolob Care and Kolob Regional Facilities. We have strived to provide excellent clinical care for over four years in both of these buildings. As a company that provides Therapy Services to the hundreds of individuals on an annual basis in the Cedar City and St. George area, we respectfully submit this letter of support for the development and implementation of a Physical Therapy Assistant Level Degree Program at Dixie State College. We would like to express our rationale for why this program is needed in the community, as well as what our organization has to offer the therapy program.

Currently we budget on a monthly basis for the recruitment of Physical Therapy Personnel within the two buildings we provide services in. Since December 2004, position vacancies and newly added positions can take over 18 months to fill. Over 60% of these individuals are relocating to the greater St. George area. In other geographical regions, vacancies are filled in 90 to 120 days and closer to 90% of the hires are local employees. I have spoken with several administrative personnel regarding the need for Physical Therapy Personnel, and all have reached the same conclusion, there just are not enough of licensed professionals in the region.

With the establishment of the Dixie State College Physical Therapy Assistant Program, more Utah residents will be able to access this training program. This will increase the community's ability to care for the elderly and infirm. Just as important, with the increased presence of therapists, the healthcare system's ability to meet the ever-expanding demand from an advancing elderly population boom. Based on statistical projections from just the Kolob Care and Kolob Regional Facilities we provide therapy care to nearly a 1,000 individuals on an annual basis. This number is expected to grow by 10% on an aggregate basis for the next 30 years. This information would lend support to determining if the need for the program is needed.

Finally, I would like to outline the support SimplyRehab has to offer Dixie State College when the Physical Therapy Assistant Program opens. We have the ability to provide clinical affiliations for four to six students concurrently. During an academic year, we can support up to eighteen clinical assignments. Our clinical instructor staff has over 60 years of field experience. We also are in a position to assist with academic programming via adjunct faculty assignments with our staff. We also provide ongoing continuing education courses to our employees, and in conjunction with Dixie State College, we could bring a greater number of courses to the area. Our two departments can provide a strong foundation for the development of competent and clinically sound students.

Allow me to express my appreciation for your review of this letter. We at SimplyRehab feel strongly that the growing demand for Physical Therapy services will continue unabated. The most beneficial way to address it, from an individual; community; professional perspective, would be by having a community based education program that would increase the likelihood of professionals staying close to where they graduated.

Respectfully,  
Edward A. Thelen, OTR/L  
Western Area Director for SimplyRehab



RIVER ROAD CAMPUS  
DRMC Dixie Medical Center Dixie  
St. George, UT 84770

100 EAST CAMPUS  
900 South 400 East  
St. George, UT 84770

435 251 1000  
435 251 2115 Fax

February 15, 2008

Dixie State College  
700 East 100 South  
St George UT 84770

To Whom It May Concern:

Dixie Regional Medical Center (DRMC) strongly supports a new Physical Therapist Assistant (PTA) program at Dixie State College. Based on the workforce needs of DRMC, we feel this program is justified and would provide a huge benefit to the citizens of Washington County.

National projections for the Physical Therapy (PT) profession, including Physical Therapist Assistants, are high. The PT/PTA delivery system is moving toward greater use of PTAs in the clinic setting, and DRMC has had difficulty recruiting locally for PTAs. A new Outpatient Pavilion on the DRMC campus is currently underway which will result in further expansion of Physical Therapy services in many areas and specialties.

Intermountain Healthcare and Dixie Regional Medical Center fully support a Physical Therapy Assistant program. It is needed in our community, and to meet the workforce needs in the entire state of Utah. DRMC has committed to help Dixie State College with start-up costs in the amount of \$240,000 over a three year period to ensure this program gets implemented as soon as possible.

Thank you for your consideration of this worthwhile program.

Sincerely,

A handwritten signature in blue ink, appearing to read "Terri Kane", is written over a horizontal line.

Terri Kane  
Chief Executive Officer  
Dixie Regional Medical Center

A handwritten signature in blue ink, appearing to read "Vicki R. Wilson", is written over a horizontal line.

Vicki R. Wilson  
HR Director  
Dixie Regional Medical Center



September 5, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

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

The following have been submitted by the Utah College of Applied Technology (UCAT) for consideration by the Regents on the Consent Calendar of the Programs Committee.

***A. Davis Applied Technology Center (DATC)***

In keeping with UCAT's mission, the emphasis of the proposed programs is on hands-on, open-entry/open-exit, competency-based training. All proposed DATC certificates, classroom and laboratory activities are intertwined to provide students with the technical skills necessary to be successful in their respective industries and properly prepared for continuing their education at one of the other USHE institutions, if they so choose.

Demand by students will follow the demand of the economy for these jobs. It is reasonable to assume that as the market demands more employees for these jobs, there will be upward pressure on the annual salaries. The proposed certificates respond to a current and estimated future demand for highly-trained individuals to meet the needs of local businesses in various industries. As Utah continues to expand in all industries, and as a means of promoting economic development, having highly-trained and appropriately qualified employees to meet the demand is essential. The presence of a highly-trained workforce throughout the various regions of the state will attract the attention of potential high-tech, start-up companies, which, in turn, will add significant value to the state's efforts in economic development.

None of the proposed certificates of proficiency has an impact on DATC's existing budgets. It is important to note that the proposed budgets are based upon the current operating budget of existing programs at the DATC. Budget figures include support for high school and adult students, certificate candidates, upgrade training, and apprenticeship students (where appropriate). No additional funds are required.

***i. Certificate of Completion: Managing Bookkeeper***

**Request:** UCAT requests approval to offer a Managing Bookkeeper certificate of completion effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Managing Bookkeeper certificate of completion is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a full-service or managing bookkeeper. Employment could be for an individual who would manage a small business accounting department under the direction of an internal or external accountant. Students completing the program would also have the skills required for the National Professional Bookkeeper certificate.

Upon completion of the program, students will have completed basic and advanced business courses and acquired working knowledge and specific skills required in bookkeeping such as computing, classifying, recording, and verifying numerical data to keep financial records complete and accurate. Completers will be able to set up charts of accounts; prepare financial statements; and provide accounts payable, accounts receivable, payroll management, inventory management, basic purchasing and project management skills with a focus on the use of QuickBooks business management software. This program will also prepare individuals for advanced technical administrative support to financial management personnel.

**Need:** Managing Bookkeepers with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include accounting departments. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$27,500. Average salaries for experienced employees range up to \$38,000. These salaries and the working conditions related to these jobs will lead to a stable demand by those who are qualified.

**Finance:** No additional funds are required; this operating budget is currently in place. There is no impact to the existing budgets. The Managing Bookkeeping certificate of completion is being developed from the business and accounting programs which have already been established at other UCAT campuses and have sufficient funds to continue operation.

## **ii. Certificate of Completion: Barbering**

**Request:** UCAT requests approval to add the DATC as a campus offering the certificate of completion in Barbering, effective summer 2008. The Utah State Board of Regents approved UCAT's certificate of completion in Barbering on 18 December 2007. DATC was not included as a campus offering the complete certificate program at that time. DATC is now ready to implement the full curriculum.

The offering of this certificate was submitted for regional review and was approved by the DATC Campus Board of Directors on 28 February 2008. The UCAT Board of Directors approved the addition of DATC on 5 May 2008.

**Need:** The Davis region need for the Barbering certificate of completion is consistent with the statewide need reflected in the UCAT certificate in terms of industry, labor market demand and student demand. Job opportunities for barbers and other personal appearance workers are projected to grow about as fast as the average for all occupations through 2014, because of an increasing population, rising incomes and a growing demand for personal appearance services. This certificate of completion will create a highly trained workforce, which is essential to the continued and improved economic viability of Utah. Approval to offer the certificate at DATC will allow students who are interested in Barbering to complete the licensing requirements in a shorter period of time.

**Institutional Impact:** A certificate of completion in Cosmetology has been available to DATC students for several years. The campus participation in the Barbering certificate of completion will have no institutional impact because material resources and faculty are in place to support this program. All DATC courses and competencies are as outlined in the UCAT certificate, and open-entry/open-exit enrollment is provided.

The Barbering certificate at DATC was reviewed and is supported by its respective Employer Advisory Committee. As well, DATC has submitted it for regional review with supporting documentation attached to this request.

**Finances:** Financial support for the currently offered Cosmetology program is already in place within the current DATC budget. The curriculum associated with adding the certificate of completion in Barbering is in place, current faculty teaching loads will remain the same, and all expenses will be accommodated within existing campus budgets.

### iii. Certificate of Proficiency: Bookkeeper

**Request:** UCAT requests approval to offer a Bookkeeper certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Bookkeeper certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge necessary for employment as a bookkeeper under the direction of the managing or full-service bookkeeper.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in the bookkeeping function in business. These courses will include all aspects of bookkeeping such as setting up charts of accounts, preparation of and ability to read financial statements, accounts receivable, accounts payable, and payroll management with a focus on the use of QuickBooks software. This program will also prepare individuals to provide technical administrative support to financial management personnel in performing any combination of routine calculating, posting, and verifying duties to obtain primary financial data for use in maintaining accounting records.

The proposed Bookkeeper certificate is an extension of the existing Business program. Due to the increasing specialization of those with skills in the use of QuickBooks to perform bookkeeping functions, the number of students interested in this certificate, the market demand, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Bookkeeping specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be

driven by technology improvement. Because of this drive, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their job efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$27,000. These salaries, and the working conditions related to these jobs will lead to a stable demand by those who are qualified.

**Finance:** The Bookkeeper certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **iv. Certificate of Proficiency: Accounts Payable Management Clerk**

**Request:** UCAT requests approval to offer an Accounts Payable Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Accounts Payable Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an accounts payable management clerk.

Upon completion of the program students will have completed basic business courses with working knowledge and specific skills required in the accounts payable function in business. These courses will include best practices in Accounts Payable Departments through case studies as well as accounts payable theory. Students will demonstrate the ability to manage vendor bills, track reimbursable expenses, receive inventory purchases, enter credit memos and recurring bills, select which bills to pay, apply discounts and credits, make direct disbursements, remit sales tax, and create reports using QuickBooks software.

This certificate is being offered to help students secure employment with small to medium-sized businesses which sell on credit, and therefore have accounts payable that need to be managed efficiently.

The proposed Accounts Payable Management Clerk certificate is an extension of the existing Business program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage accounts payable, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Accounts payable specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star

occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include accounts payable departments. This program is targeted to fulfill the demand from small and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$29,500. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Accounts Payable Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **v. Certificate of Proficiency: Accounts Receivable Management Clerk**

**Request:** UCAT requests approval to offer an Accounts Receivable Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Accounts Receivable Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an accounts receivable management clerk.

Upon completion of the program, students will have completed basic business courses with working knowledge and specific skills required in the accounts receivable function in business. The program courses will include best practices in accounts receivable departments through case studies as well as accounts receivable theory. Students will demonstrate the ability to apply customer payments, apply credits and discounts to invoices, handle cash sales, make bank deposits, track receivables, work with finance charges, send statements to customers, and create reports using QuickBooks.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which sell on credit, and therefore have accounts receivable that need to be managed efficiently.

The proposed Accounts Receivable Management Clerk certificate is an extension of the existing business program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage accounts receivable, the demand of students interested in this certificate, the demand of the industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Accounts receivable specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this movement there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include accounts receivable departments. This program is targeted to employees who can fulfill the demand from industry.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$27,000. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Accounts Receivable Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **vi. Certificate of Proficiency: eBusiness**

**Request:** UCAT requests approval to offer an eBusiness certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The eBusiness certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an eBusiness specialist.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required to implement eBusiness functions in business. Students will demonstrate the ability to perform all aspects of managing an eBusiness including technical writing, Web design, Website usability and testing, management of a small business, marketing, credit card management, products, delivery, and customer service. The student will be able to use technology to implement and manage an eBusiness within a brick and mortar business or within an internet-based company.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which have eBusiness functions that need to be managed efficiently.

The proposed eBusiness certificate of proficiency is an extension of the existing business program. Due to the increasing specialization of those with skills in the management of an eBusiness, the demand of students interested in this certificate, the demand of the industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** eBusiness specialists with training in implementation and operation of an eBusiness will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Therefore demand for those who are trained in the use of eBusiness will allow industry to conduct business efficiently.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include electronic business. This program is targeted to fulfill the demand from these small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,000. Average salaries for experienced employees range up to \$30,000. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The eBusiness certificate of proficiency is being developed from the Business, Accounting, and Media Design Technology programs, which have already been established at DATC and have sufficient funds to continue operation.

#### **vii. Certificate of Proficiency: Entrepreneurship**

**Request:** UCAT requests approval to offer an Entrepreneurship certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Entrepreneurship certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for those starting and managing a small business, or a department of a small business, from start-up to profitability.

Upon completion of the program, students will have completed basic business courses with an emphasis on training the entrepreneur on business functions needed to start a business. The program courses will include focusing on the use of the most popular software tools used for analysis and accounting. The program also focuses on the marketing, sales, and management skills needed to start and run a small business, or a department of a small business. Students will acquire the working knowledge and specific skills required to create a business plan, apply basic business law and ethics, and use software applications. This program will also provide opportunities to increase individual skill levels in a variety of areas pertaining to small business management and entrepreneurship.

This certificate is being offered to help students start and grow their own business, or to work with an existing business in starting and growing a new department within that small business.

The proposed Entrepreneurship certificate of proficiency is an extension of the existing business program. Due to the increasing specialization of those with skills in the start-up of a new business, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Students with entrepreneurial skills will have opportunities to start new businesses in all economic conditions. When jobs are scarce, the self-employed person has a job.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. This program is targeted to fulfill the demand of the start-up and success of many of these small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$29,500. These salaries, and the working conditions related to these jobs will lead to a stable demand by those who are qualified.

**Finance:** The Entrepreneurial Basics certificate of proficiency is being developed from the business, accounting, and media design technology programs, which have already been established at DATC and have sufficient funds to continue operation.

#### **viii. Certificate of Proficiency: Inventory Management Clerk**

**The Request:** UCAT requests approval to offer an Inventory Management Clerk certificate of proficiency effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Inventory Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an inventory management clerk.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in all aspects of inventory management. The program courses will include best practices in inventory management through case studies and theory. Students will demonstrate the ability to receive inventory, create inventory items such as purchase orders, work with physical inventory counts, adjust inventory numbers, create pre-builds, manage backorders, issue inventory to fulfill a sales order, and create reports using QuickBooks business management software.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which sell a product and therefore have inventory that needs to be managed efficiently.

The proposed Inventory Management Clerk certificate is an extension of the existing business program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage inventory, the demand of students interested in this certificate, the demand of the industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Inventory specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include inventory personnel. This program is targeted to fulfill the demand from small- and medium-sized businesses.



The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$23,500. Average salaries for experienced employees range up to \$32,340. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Inventory Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **ix. Certificate of Proficiency: Payroll Management Clerk**

**Request:** UCAT requests approval to offer a Payroll Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Payroll Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a payroll management clerk.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in the payroll management function of business. The program courses will include best practices in Payroll Management Departments through case studies as well as payroll management theory. Students will demonstrate the ability to manage time cards, prepare payroll, set up payroll liability payment schedules, make tax deposits, prepare quarterly and annual forms, create reports, and use time tracking and mileage tracking functions using QuickBooks business management software.

This certificate is being offered to help students secure employment with small- to medium-sized businesses with the need of efficient management of their payroll system.

The proposed Payroll Management Clerk certificate of proficiency is an extension of the existing business and accounting programs. Due to the increasing specialization of those with skills in the use of QuickBooks software to manage payroll, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Payroll management clerks with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses require payroll management skills. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$25,000. Average salaries for experienced employees range up to \$33,000. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Payroll Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **x. Certificate of Proficiency: Project Management Technician**

**Request:** UCAT requests approval to offer a Project Management Technician certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Project Management Technician certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a project management technician. Students enrolled in the Project Management Technician certificate of proficiency will perform project plan maintenance including setting up projects, updating project status, project status reporting, and project closeout; with some use of Microsoft Project and QuickBooks business management software.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which have project-based contracts that need to be managed efficiently.

The proposed Project Management Technician certificate of proficiency is an extension of the existing business program. Due to the increasing specialization of those with skill in the use of Project and QuickBooks software to manage internal business processes, the demand of students interested in this certificate, the demand of industry, and employer advisory committee recommendation, the program warrants its own certificate.

**Need:** Project technicians with training in Project and QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as Project and QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include personnel who work in finance and manage projects. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$23,500. Average salaries for experienced employees range up to \$32,340. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Project Management Technician certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **xi. Certificate of Proficiency: Purchasing Management Clerk**

**Request:** UCAT requests approval to offer a Purchasing Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Purchasing Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a purchasing management clerk.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in the purchasing function in business. The program courses will include best practices in purchasing departments through case studies as well as purchasing theory. Students will demonstrate the ability to create and use purchase orders, use the manufacturer's part number (MPN) on purchase orders, and customize and create purchase order templates using QuickBooks software.

This certificate is being offered to help students secure employment with small to medium-sized businesses with purchasing functions that need to be managed efficiently.

The proposed purchasing management clerk certificate is an extension of the existing Business Program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage purchasing, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Purchasing specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include purchasing departments. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$23,500. Average salaries for experienced employees range up to \$32,340. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Purchasing Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

## ***B. Bridgerland Applied Technology Center (BATC)***

### **i. Certificate of Proficiency: Veterinarian Assistant/Pre-Technician**

**Request:** BATC requests Fast Track approval of its certificate of proficiency in Veterinarian Assistant/Pre-Technician for financial aid, effective July 2008. This certificate was approved by the campus Board of Directors on 21 May 2007. This program was approved by the local BATC board and has been functioning for the past year. The Campus Board of Directors (21 May 2007) and the Bear River CTE Regional Planning Committee (29 April 2008) have all approved the offering of this certificate.

**Need:** The need for Veterinarian Assistants/Pre-technicians is consistent with the statewide need in terms of industry, labor market and student demand. The US Department of Labor estimates indicate the need for veterinarian assistant workers will grow by 18 percent from 2006 to 2016, which is "faster than the average for all occupations." Today, owners of pets and other animals expect state-of-the art veterinary care. To provide this service, veterinarians use the skills of veterinarian assistants/pre-technicians to perform many of the same duties for a veterinarian that medical assistants perform for a physician. Range of duties under the supervision of a veterinarian include animal restraint, nursing care, radiology, routine lab procedures, blood collections, catheterization, dental cleaning, administration of vaccines, cleaning and disinfecting exam rooms and kennels, sterilizing laboratories and surgical equipment, CPR/First Aid, client services, and front office duties.

Approval to offer financial aid eligibility for the certificate at BATC will allow current and future students to qualify for financial aid and provide opportunities for students consistent with those available in other regions of the state.

The certificate of proficiency in Veterinarian Assistant/Pre-technician was available to BATC students for one year. Graduation standards were primarily designed around accreditation standards from the American Veterinarian Medical Association (AVMA) with a primary objective to meet the needs of local veterinarians.

**Finances:** Financial support for the currently offered Veterinarian Assistant/Pre-technician certificate is already in place at BATC and will be handled within current faculty teaching loads and all expenses will be accommodated within existing campus budgets.

### **ii. Certificate of Proficiency: Basic Esthetician and Master Esthetician**

**Request:** BATC requests Fast Track approval of its certificates of proficiency in Basic Esthetician and Master Esthetician for financial aid, effective July 2008. These certificates were approved by the campus Board of Directors on 21 May 2007. This program was approved by the local BATC board and has been

functioning for the past year. The Campus Board of Directors (21 May 2007) and the Bear River CTE Regional Planning Committee (29 April 2008) have all approved the offering of this certificate.

**Need:** The need for Estheticians is consistent with the statewide need in terms of industry, labor market and student demand. The US Department of Labor estimates indicate the need for personal appearance workers will grow by 14 percent from 2006 to 2016, which is “faster than the average for all occupations.” This growth will be primarily a result of an increasing population and from the growing demand for personal appearance services, particularly skin care services. Continued growth in the number of full-service day spas will generate numerous job openings for manicurists, pedicurists, and skin care specialists. Estheticians and other skin care specialists will see large gains in employment. The need for estheticians is expected to grow 34 percent as more facial procedures to improve one’s complexion become available and become more popular in spas and some medical settings. Approval to offer financial aid eligibility for the certificates at BATC will allow current and future students to qualify for financial aid and provide opportunities for students consistent with those available in other regions of the state.

The certificates of proficiency in Basic Esthetician and Master Esthetician have been available to BATC students for one year. Graduation standards are established by the Utah Division of Occupational and Professional Licensing. These rules define the competencies required in the curriculum for a basic esthetician program (600 hours) and a master esthetician program (600 hours). Following completion of instruction, students must apply for licensure to pass NIC Esthetician Theory and Esthetics Practical Examinations.

**Finances:** Financial support for the currently offered Esthetician certificates are already in place at BATC and will be handled within current faculty teaching loads and all expenses will be accommodated within existing campus budgets.

#### Recommendation

The Commissioner recommends approval of the items on the Program’s Consent Calendar as noted.

---

William A. Sederburg  
Commissioner of Higher Education

WAS/amh

September 5, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

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

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

**A. *Utah State University***

**i. *Implement K-6 Licensure Program in the School of Teacher Education and Leadership***

**Request:** Faculty in the Elementary Education Program in the School of Teacher Education and Leadership will implement a new K-6 Utah teacher licensure program. Currently, students admitted to teacher education in the Elementary Education Program can complete a K-3 Utah licensure program (early childhood), a 1-6 Utah licensure program, or a dual major encompassing both Utah licensure programs. This is a new program created with existing courses that essentially pares down the dual major to one major that enables students to teach in grades K-6. It is anticipated that it would be available Fall 2008. This program was approved by the USU Board of Trustees on May 23, 2008.

**Need:** The superintendents in Utah have requested that institutions of higher education create and implement K-6 licensure programs based on the need for more hiring flexibility in this time of teacher shortage in Utah and the nation. More specifically, they requested a K-6 licensure program that teacher candidates can complete within the 120 credits of most bachelor's degrees. The Utah State Office of Education (USOE) concurs with the superintendents and subsequently authorized a K-6 license in addition to the existing K-3 and 1-6 licenses.

Utah and the nation are currently experiencing a teacher shortage, particularly in the areas of early childhood, special education, and secondary math and science. With the current certification programs, many students choose not to commit the time to complete a dual major (K-3 & 1-6); they complete one or the other. The current elementary teaching licenses lead to a lack of flexibility for school districts in moving teachers from one grade level to another, particularly because many first or second grade teachers cannot be assigned to teach kindergarten because they are licensed to teach only grades 1-6.

**Need:** Based on a poll taken (N=78) in all sections of ELED 1010 (taken prior to admission to the program), enrollment in the K-6 licensure program will increase compared to the number currently in the Early Childhood Licensure program. Fifty-eight percent indicated they would enroll in the K-6 licensure program.

It is expected that some additional early childhood course offerings across the Elementary Education Program and the Department of Family, Consumer and Human Development would need to be added to accommodate all interested students. This will impact faculty loads. However, if no new faculty members are hired, there is still capacity to offer the program to 40 students per year.

**Finances:** No additional resources are needed to teach this program to 40 students per year. An additional faculty position to teach courses in Elementary Education and Family, Consumer and Human Development would allow for enrollment growth.

ii. ***Name Change: Bachelor of Interior Design and Bachelor of Arts/Bachelor of Science in Interior Design, Sales and Marketing***

**Request:** The Interior Design Program at Utah State University requests a change in the name of (1) the Bachelor of Arts/Bachelor of Science in Interior Design with Studio Emphasis to a Bachelor of Interior Design (BID) and (2) the Bachelor of Arts/Bachelor of Science in Interior Design with Emphasis in Design, Sales and Marketing to a Bachelor of Arts/Bachelor of Science in Interior Design, Sales and Marketing. This change will not affect any instructional activities. All course requirements for the two separate degrees will stay the same. This name change will more clearly distinguish the differences in content and focus between the two degrees, which is recommended by the Council for Interior Design Accreditation.

**Need:** Utah State University's Interior Design Program is the only accredited interior design program in the state of Utah. The proposed degree name changes will assist USU in maintaining its Council for Interior Design Accreditation (CIDA) accreditation, which encourages as much separation and distinction between degree emphases as possible.

The employment of Interior Designers is projected to grow faster than the average of all occupations through 2012. Workers entering the occupation for the first time are expected to fill 20,000 openings between 2002 and 2012. Local and regional labor market demands follow these same trends.

Currently, market demand outstrips the number of Interior Design graduates available. Students already compete for places (through GPA and portfolio review) in the Studio Emphasis, and student demand supports enrollment in the Studio Emphasis. The same is true for the Design Sales and Marketing Emphasis. The number of graduates in the Studio Emphasis is stable and consistent over the years.

Student interest in the Interior Design Studio Emphasis (BID degree) is high. Students in the Studio Emphasis express support for the BID degree, which they feel more accurately and clearly communicates the nature of their coursework to the larger world. They note that such a degree will also make them more desirable to employers.

**Institutional Impact:** This proposed change will not affect enrollments in these degrees. It will have no effect on existing administrative structures or in existing faculty or staff. No new facilities or equipment will be required.

**Finances:** No new costs or savings are anticipated from this change.

### ***B. Utah Valley University – Minor in Classical Studies***

**Request:** Utah Valley University proposes to offer a Classical Studies Minor effective Fall 2008. This proposal was approved by the institutional Board of Trustees in its meeting on April 10, 2008.

**Need:** The Classical Studies minor is designed to respond to increasing student interest in Ancient Greek and Roman history, literature and civilization, to support student interest in Biblical and religious studies focusing on the Classical era, and to foster interdisciplinary study within the university community.

This proposed Classical Studies minor focuses on the study of the language, literature (usually in translation), history, philosophy, religion, art, and culture of Ancient Greece and Ancient Rome during the classical era. As an interdisciplinary minor, the program draws on the expertise of various faculty members from across campus.

The Classical Studies minor will foster interdisciplinary study within the university community and provide a program for those students who are interested in career paths that are informed by a sophisticated understanding of ancient culture, such as: law, political science, art, architecture, history, medicine, drama, literature, teaching, humanities, business, linguistics, anthropology, religion, archeology, psychology, philosophy, as well as graduate studies in many of the aforementioned fields.

UVU is prepared to host the Classical Studies minor with minimal impact on existing administrative structures. As a stand-alone minor Classical Studies will be under the auspices of the Committee on Interdisciplinary Studies (COIS) which fully supports the program. The University College, in which COIS is housed, also supports the minor. All of the courses and faculty necessary to provide the program are in place. Approval has been received by every department in which a course suitable for the Classical Studies minor will be taught. As such, no additional courses, faculty or funds are needed to implement this minor.

The Classical Studies minor will be administered by an elected coordinator. The Classical Studies coordinator will work with the chair of the Committee on Interdisciplinary Studies (who works directly with the dean of the School of General Academics) to run and assess the program. Thus, staff are already in place and no new staff are required for the minor.

**Institutional Impact:** The institutional impact of the Classical Studies minor will be minimal in regard to the need for new faculty, courses, physical facilities and equipment, as each of the aforementioned is already in place for the minor to be immediately implemented.

From the perspective of the COIS, the impact of Classical Studies will be positive. The courses of the Classical Studies minor will draw students into other COIS-sponsored courses, thus increasing attendance, especially in upper-level courses. In particular, the INST 4900 capstone course, which is a component of the core requirement for the Classical Studies minor, will be enriched by the participation of students who minor in Classical Studies. The Classical Studies minor, by its interdisciplinary nature, will provide opportunities for enhancing cooperative efforts between existing academic departments and schools across the institution.



**Finances:** As the Classical Studies minor requires no new curriculum, personnel or facilities, and as the Committee on Interdisciplinary Studies is already functioning as the de facto department for interdisciplinary stand-alone minors, there are no additional funds needed to realize the minor. The program will increase enrollment in upper-level courses offered by the host departments associated with the minor. As it will also be a draw to students in Utah Valley and other regions who are interested in the rigorous intellectual demands of Classical Studies, it will potentially increase the number of students attending UVU.

#### Recommendation

The Commissioner recommends the Regents review the items on the Program's Information Calendar. No action is required.

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William A. Sederburg  
Commissioner of Higher Education

WAS/amh

August 27, 2008

MEMORANDUM

TO: Utah State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE - Long-term Enrollment Scenarios

Attached are 20-year enrollment projections for the Utah System of Higher Education (with the exception of UCAT). These projections are prepared to assist the Regents and state-level policymakers in mid- to long-range planning. The model estimates enrollment demand for higher education based on the projected population and the propensity of that population to participate in higher education. The attached scenario is based on an assumed constant participation rate based on 2007 data.

Alternate projection scenarios have been computed using differing participation rate scenarios. Some of these additional scenarios include: a regression model based on 20 years of historical data, and a growth model where participation rates are set at a pre-determined rate of growth. These data will be made available to the members upon request.

**Projection Limitations**

When considering the projections for the next 20 years, Regents should keep in mind a few caveats:

- **Population Projections.** The projections are only as good as the assumptions on which they are based. A principal assumption embedded in the USHE enrollment projections is that statewide population estimates promulgated by GOPB will prove to be relatively accurate.
- **Participation Rate Projections.** Major shifts in policy, such as changes in institutional mission and role, changes to residency requirements, availability of nonresident waivers, lack of funding for new enrollment, enrollment freezes, high tuition increases, or other factors could have a direct impact on participation rates.
- **Systematically Reported Enrollments.** Only those enrollments, including both budget-related and self-supporting enrollments, which have been systematically reported, form the basis for future projected enrollments.

- **One state-wide model does not necessarily accurately predict enrollments at the institution level.** Each institution is unique in both its mission and service community. It stands to reason therefore that each institution should develop its own unique projection model. This model should be developed with the aid of the Commissioner's Office so that it accurately predicts future enrollments within acceptable levels of accuracy. The customization of a predictive model at each institution is essential when considering the fact that the resulting data will then be utilized in the Q&P process. These institutional models will be developed over the next three to six months.
- **Projections and Facilities Requests/Q&P.** Institution projections are used as input to the Regents' facilities prioritization process known as the "Q&P." The five-year projection figures along with accepted space-per-student standards will generate estimated space needs for each institution. These estimated space needs are one of several elements weighed in the Q&P process.
- **Projections and Budget Requests.** Projections will not be used for budget request purposes, such as the determination of enrollment growth requests. USHE enrollment growth funding requests have been based for several years on actual enrollments rather than projected enrollments, and institutions receive growth funding a year after student growth has actually occurred

#### Commissioner's Recommendation

The Commissioner recommends that the Regents consider and adopt the long-term enrollment projection scenario as profiled in Attachment 1.

---

William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/JAC  
Attachments

## USHE 2008 Long-term Enrollment Projection Model

*Participation rates held constant at the 2007 level for years 2008-2028*

## UTAH SYSTEM OF HIGHER EDUCATION

System Total Projection *(All line items excluding UCAT; budget-related and self-supporting programs)*

| 20-YEAR ACTUAL HISTORY   |                |          |                |                         |                                              | 20-YEAR PROJECTION       |                |          |                |                         |                                              |
|--------------------------|----------------|----------|----------------|-------------------------|----------------------------------------------|--------------------------|----------------|----------|----------------|-------------------------|----------------------------------------------|
| Year                     | Fall Headcount | Fall FTE | Annualized FTE | Annualized FTE % change | Cumulative Annual FTE % change (Since 88-89) | Year                     | Fall Headcount | Fall FTE | Annualized FTE | Annualized FTE % change | Cumulative Annual FTE % change (Since 07-08) |
| 88-89                    | 74,884         | 56,640   | 58,606         | n/a                     | n/a                                          | 08-09                    | 142,910        | 98,460   | 113,940        | 1.8%                    | 1.8%                                         |
| 89-90                    | 80,430         | 60,028   | 62,368         | 6.4%                    | 6.4%                                         | 09-10                    | 144,820        | 99,790   | 115,490        | 1.4%                    | 3.2%                                         |
| 90-91                    | 86,843         | 63,545   | 66,468         | 6.6%                    | 13.4%                                        | 10-11                    | 146,370        | 100,900  | 116,760        | 1.1%                    | 4.4%                                         |
| 91-92                    | 94,923         | 69,651   | 73,009         | 9.8%                    | 24.6%                                        | 11-12                    | 147,880        | 101,940  | 117,950        | 1.0%                    | 5.4%                                         |
| 92-93                    | 99,163         | 73,224   | 76,957         | 5.4%                    | 31.3%                                        | 12-13                    | 149,130        | 102,810  | 118,950        | 0.8%                    | 6.3%                                         |
| 93-94                    | 103,633        | 75,805   | 79,479         | 3.3%                    | 35.6%                                        | 13-14                    | 150,650        | 103,870  | 120,190        | 1.0%                    | 7.4%                                         |
| 94-95                    | 110,594        | 79,364   | 81,978         | 3.1%                    | 39.9%                                        | 14-15                    | 152,580        | 105,210  | 121,740        | 1.3%                    | 8.8%                                         |
| 95-96                    | 112,666        | 81,713   | 84,068         | 2.5%                    | 43.4%                                        | 15-16                    | 154,850        | 106,770  | 123,530        | 1.5%                    | 10.4%                                        |
| 96-97                    | 116,047        | 83,375   | 87,383         | 3.9%                    | 49.1%                                        | 16-17                    | 157,440        | 108,580  | 125,630        | 1.7%                    | 12.3%                                        |
| 97-98                    | 121,053        | 87,077   | 91,103         | 4.3%                    | 55.4%                                        | 17-18                    | 160,490        | 110,690  | 128,070        | 1.9%                    | 14.5%                                        |
| 98-99                    | 113,704        | 79,393   | 90,453         | -0.7%                   | 54.3%                                        | 18-19                    | 163,920        | 113,060  | 130,820        | 2.1%                    | 16.9%                                        |
| 99-00                    | 122,417        | 84,929   | 96,585         | 6.8%                    | 64.8%                                        | 19-20                    | 167,550        | 115,590  | 133,720        | 2.2%                    | 19.5%                                        |
| 00-01                    | 126,377        | 88,002   | 101,307        | 4.9%                    | 72.9%                                        | 20-21                    | 171,070        | 118,030  | 136,540        | 2.1%                    | 22.0%                                        |
| 01-02                    | 134,939        | 94,698   | 109,302        | 7.9%                    | 86.5%                                        | 21-22                    | 174,820        | 120,620  | 139,510        | 2.2%                    | 24.7%                                        |
| 02-03                    | 138,625        | 98,090   | 114,610        | 4.9%                    | 95.6%                                        | 22-23                    | 178,780        | 123,370  | 142,710        | 2.3%                    | 27.6%                                        |
| 03-04                    | 140,933        | 99,242   | 115,212        | 0.5%                    | 96.6%                                        | 23-24                    | 182,630        | 126,050  | 145,800        | 2.2%                    | 30.3%                                        |
| 04-05                    | 144,937        | 100,067  | 115,188        | 0.0%                    | 96.5%                                        | 24-25                    | 186,790        | 128,930  | 149,120        | 2.3%                    | 33.3%                                        |
| 05-06                    | 144,302        | 98,344   | 112,341        | -2.5%                   | 91.7%                                        | 25-26                    | 190,760        | 131,690  | 152,310        | 2.1%                    | 36.1%                                        |
| 06-07                    | 140,605        | 96,761   | 111,624        | -0.6%                   | 90.5%                                        | 26-27                    | 194,870        | 134,520  | 155,570        | 2.1%                    | 39.0%                                        |
| 07-08                    | 140,332        | 96,666   | 111,883        | 0.2%                    | 90.9%                                        | 27-28                    | 198,560        | 137,110  | 158,550        | 1.9%                    | 41.7%                                        |
| Average Annual Increases |                |          | 2,804          | 3.5%                    |                                              | Average Annual Increases |                |          | 2,333          | 1.8%                    |                                              |

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: First-Tier Tuition Range for 2009-2010

Issue

In 2005, Legislative Counsel advised the Board of Regents that first-tier tuition recommendations should be made prior to the General Session. To comply, Regents are asked to approve a tuition range to cover the required institutional share of the compensation package that will be funded by the Legislature during the 2009 General Session.

Each year the Board of Regents approves two tuition rates. First-tier tuition provides the institutional share of the legislatively-approved compensation package. This equates to 25 percent of the compensation package being funded by tuition and 75 percent being funded from state tax funds. The proposed tuition rate increase would be set equal to the highest institutional rate required to fund compensation increases.

Second-tier tuition is based on institutional need and varies from campus to campus. Statute (UCA 53B-7-101.5) requires each institution to conduct a "truth in tuition" hearing with students prior to Regent approval of second-tier tuition. Institutions will hold the "truth in tuition" hearings during December through February and then bring recommendations to the Regents after the Legislative session.

Commissioner's Recommendation

The Commissioner recommends that the Board formalize first-tier tuition as the amount required to fund the FY 2010 compensation package.

This action will allow staff to comply with the request from Legislative Counsel that the Regents inform the Legislative Fiscal Analyst of proposed tuition rates. A final decision on first-tier tuition will require additional action by the Board of Regents once the compensation package is determined.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH

August 27, 2008

MEMORANDUM

TO: The State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE – Proposed Revision of Policy R558, *Surplus Property*

A request about the continued viability of R558 (Surplus Property) was received by OCHE from the institutions. Upon review, staff found the policy follows Utah Code §63A-9-802. However, discussion with USHE Business Affairs Council found that the reporting element found on 4.7 wasn't necessary to comply with Utah Code and as such a recommended revision to policy R558 is attended. Also note that this recommended change will require changes to policy R220, which will be presented at a future date.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the proposed changes to policy R558, *Surplus Property*.

---

William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/TC  
Attachment

## R558, Surplus Property

### R558-1. Purpose

To provide for certain interaction between the institutions and the State Division of Fleet Operations relating to surplus property.

### R558-2. References

#### 2.1. Utah Code §63A-9-802

### R558-3. Definitions

3.1. Surplus Property - Surplus property means property purchased by, seized by, or donated to, an institution which is no longer needed by the institution and is to be disposed of by the institution. Surplus property does not mean real property.

3.2. Internal Transfer - Internal transfer means transfer of surplus property internally within an institution.

3.3. External Sale - External sale means disposition of property outside of the institution.

### R558-4. Policy

4.1. Institutional Programs - Each institution shall maintain its own surplus property program.

4.2. External Sale - External disposition of property shall be in compliance with applicable restrictions of any donor, the federal government, or other entity from which the property was originally acquired.

4.3. Preference for Internal Use - Institutions are encouraged to transfer surplus property internally before disposing of the property externally.

4.4. Notification to State Division of Fleet Operations - Each institution shall submit to the State Division of Fleet Operations a listing of surplus property available for sale outside the institution, at least 15 days prior to the intended sale date.

4.5. Preference for Acquisitions of Surplus Property - Institutions are encouraged to acquire federal and state surplus property from the State Division of Fleet Operations or from other institutions in order to reduce expenditures.

4.6. Retention of Proceeds - Proceeds from the sale of surplus property are retained by the institution.

~~4.7. Oversight by and Report to the Board of Trustees - The Board of Trustees of each institution is responsible for general oversight of surplus property operations. Each institution shall report annually to its Board of Trustees regarding its surplus property operation. The report shall provide information on revenues, expenditures and allocation of net revenues in a form specified in the annual budget process.~~

(Approved June 15, 1994; amended November 3, 1995 and September 2, 1999.)

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: University of Utah – Campus Master Plan

Regent policy R710 requires approval of campus master plans every two years, a process traditionally done during Regent visits to campus. The University of Utah has completed a comprehensive planning effort to develop a new Campus Master Plan. This effort was driven by a vision of “engagement, preparation, and partnership.”

The Campus Master Plan will guide efficient development in a way that gives physical form to the university's mission, vision, and academic programs. It will provide an analysis of site locations for research and teaching facilities, broader campus land use, landscape, formal and informal open space, as well as pedestrian and vehicular circulation. The analysis will also assess TRAX and public transportation, parking, predominant building use, utility infrastructure, land ownership, campus edges and community interaction, design features, and opportunities.

The Campus Master Plan, administered by the Office of Facilities Planning, is intended to provide a clear framework to guide physical development of the campus over the next twenty years. This Campus Master Plan will supersede the 1997 Long Range Development Plan (LRDP), the 1998 East Campus Plan (ECP), and the 2003 LRDP Supplement. During the planning process, there were a number of opportunities for campus and community involvement and input.

The Commissioner has received one letter of public comment regarding the Master Plan. The letter is attached. The University of Utah Campus Master Plan will be hand carried to the September 5 Regents meeting. College officials will be available to answer any questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Regents accept the current University of Utah master plan.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS  
Attachment



## RESOLUTION

Sunnyside East Neighborhood Association and Bonneville Hills Community Council hereby request that the University of Utah and the Board of Regents revise the proposed master plan by making the following changes:

1. Re-examine the proposed Master Plan to take into consideration the interface between the University and surrounding neighborhoods and require that suitable buffer restrictions be included to protect the quality of the neighborhoods from University developments at the periphery of the University;
2. Revise the proposed Master Plan to take into consideration and minimize the indirect impacts to the surrounding neighborhoods from increased traffic, expanded utility corridors, and loss of open space that may result from future development on the University Campus including Research Park; and
3. As a result of the foregoing revisions, re-consider the options for the use of the 26 acres currently used as married student housing (East of Foothill Blvd. and North of Sunnyside Avenue) and consider retaining the land as student housing rather than using the land for expansion of Research Park.

Dated this 26<sup>th</sup> day of August, 2008

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Diane Barlow, Chair  
Sunnyside East Neighborhood Association

Ellen Reddick  
Ellen Reddick, Chair  
Bonneville Hills Community Council

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: College of Eastern Utah – Campus Master Plan

College of Eastern Utah seeks approval of its Master Plan during the September 2008 State Board of Regents meeting. There have only been minor changes to the College's Master Plan since the Regents last approved it in April 2006. Maps are attached. Detailed plans for College of Eastern Utah will be hand carried to the Board meeting. College officials will be present and will respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board approve the College of Eastern Utah's Campus Master Plan.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/MV



PLANNING LEGEND:

- SHORT TERM PRIORITY
- INTERMEDIATE TERM PRIORITY
- LONG TERM PRIORITY





## PLANNING LEGEND:

- INTERMEDIATE TERM PRIORITY
- LONG TERM PRIORITY

0 80' 160' 320'  
SCALE: 1" = 160'-0"

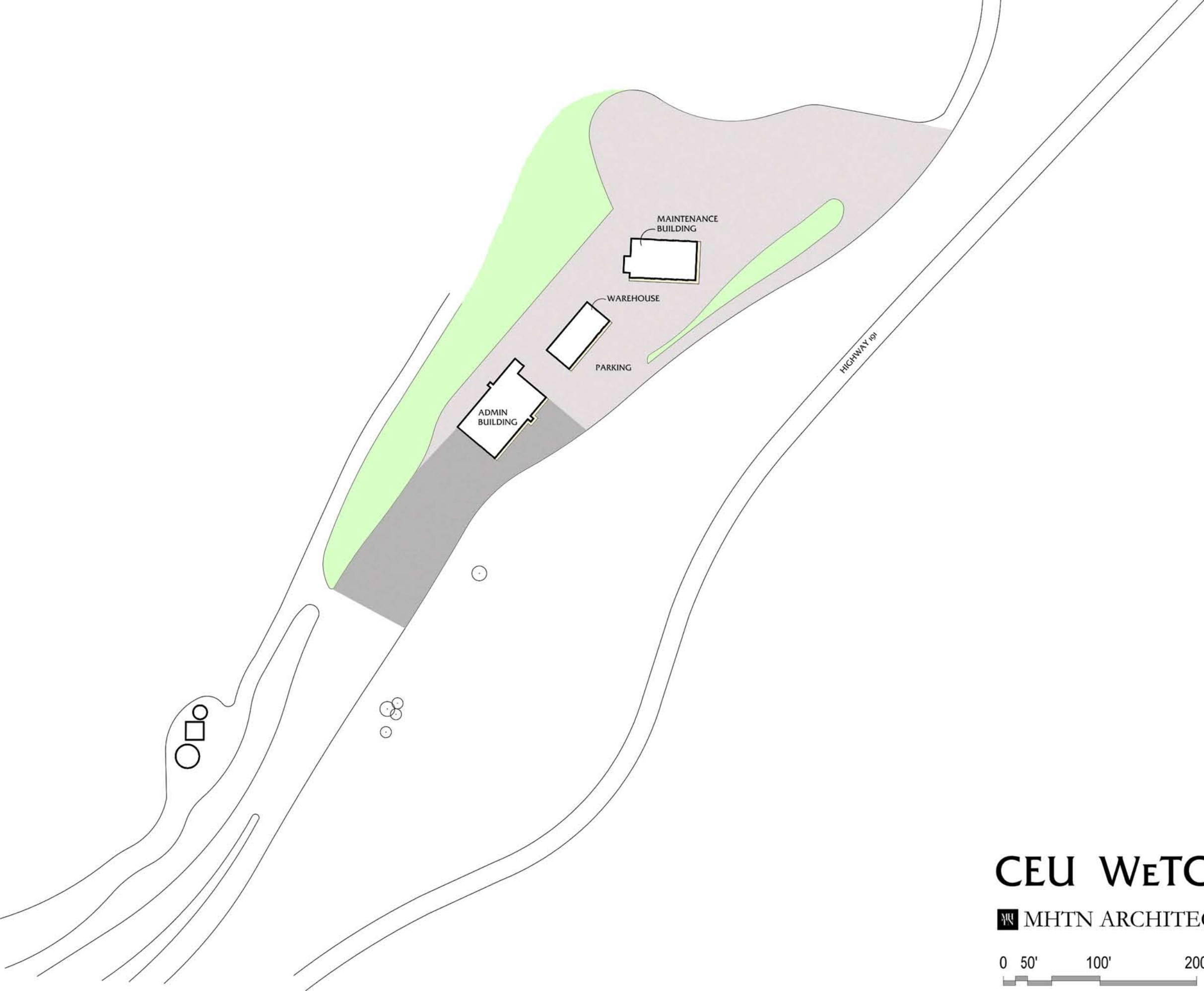


# CEU SAN JUAN CAMPUS

MHTN ARCHITECTS

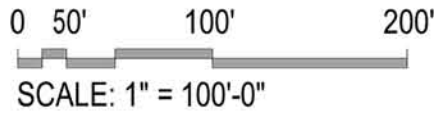
25 JUNE 2008





# CEU WeTC CAMPUS

MHTN ARCHITECTS 25 JUNE 2008



August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Action: Consent Calendar, Finance, Facilities, and Accountability Committee

The Commissioner recommends that the Regents approve the following items on the Finance, Facilities, and Accountability Committee Consent Calendar:

- A. **USHE – Proposed Revision to Policy R932, *Vacation Leave* (Attachment 1).** The proposed revision will amend the policy to provide that all eligible staff members, including employees during the six-month probationary period, are entitled upon termination to payment for vacation leave earned but not taken. The current policy provides payment for vacation leave earned but not taken only to those employees who have completed continuous service of six months or longer. In the employment letter sent to new employees, they are urged to not use all of their earned vacation, but to develop the habit of accumulating sick and vacation leave to demonstrate reliability and to have a safety cushion against illness, accident, or other reason requiring leave. Because we encourage probationary employees to save vacation leave time for emergencies, it is appropriate to treat them the same way as other employees and, upon termination, pay for vacation leave earned but not taken.
- B. **Utah Valley University – Sale of Property to UTA (Attachment 2).** The Utah Valley University campus master plan has for some time included use of some part of the West Campus by the Utah Transit Authority. The University has concluded negotiations to sell 8.33 acres (about one-third of the West Campus total acres) to UTA for \$3.5 million. UTA plans to establish a station and Park-&-Ride lot at this location. These facilities will facilitate campus access for students and staff. This partnership with UTA is also illustrative of the University's commitment to strengthening economic development in its local community.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/HRE  
Attachments

## ***R932, Vacation Leave***

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### **R932-4. Policy**

...

**4.6.1.** An eligible staff member [~~who has completed continuous service of six months or longer in the employ of the Commissioner's Office~~] is [~~thereafter~~] entitled upon termination to payment for vacation leave earned but not taken.

...

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(Approved July 19, 1983, amended March 18, 2005. Proposed amendment September 5, 2008.)



State Board of Regents  
Board of Regents Building, The Gateway  
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Salt Lake City, Utah 84101-1284

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August 27, 2008

## MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: UHEAA Update

### Issue

The challenges facing the student loan program have been well publicized as discussed with the Board previously (see Attachment 1, memorandum from David Feitz, UHEAA Executive Director, for a summary of the major issues facing UHEAA). Despite the difficult environment, UHEAA has developed a plan to meet the demand for student loans for this academic year.

At its August 14, 2008 meeting, the UHEAA Board approved participation in the U.S. Secretary of Education's liquidity plan for student loans (see Attachment 2, UHEAA Board Report C, *UHEAA's Implementation of the U.S. Department of Education's Liquidity Plan for Student Loans*). Under this plan, UHEAA will use its own funding along with loan originations from UHEAA's remaining partner lenders to make loans. After full disbursement, the loans will be sold to the Secretary of Education because the loans cannot be financed economically due to Congressional student loan yield reductions and continued turmoil in the credit markets.

The Secretary of Education's liquidity plan extends only for loans made through June 30, 2009. UHEAA continues to urge Congress to take additional action to ensure the availability of student loans in the long term. In the spring of 2009, UHEAA will examine its options for future lending (see Attachment 3 for *Salt Lake Tribune* article entitled, "State Stepping in as Banks Bail Out of Student Loans").

The Board also took the following actions at the August meeting:

- Approved the suspension of new consolidation loans for applications received on or after September 1, 2008. Consolidation loans cannot be made economically and are not eligible to be sold to the Secretary of Education under the Department's liquidity plan. This action also helps preserve UHEAA's limited capital for loans to students currently in school.
- Approved UESP partnerships with other state 529 college savings plans.
- Approved a UESP low-income matching program, under which UESP will match contributions, up to \$400 per calendar year, for applicants whose income is 200% or less of federal poverty guidelines.



- Approved issuing an RFP for an FDIC-insured money market investment option for UESP.

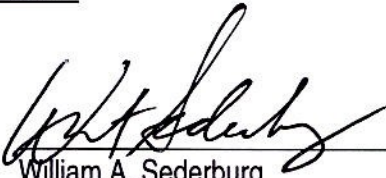
The Board also discussed several information reports including the outreach activities performed by UHEAA and UESP, a review of information security, and the student loan volume by institution and lender (see Attachments 4 and 5 for fiscal year 2008 UHEAA student loan volume reports).

The Student Finance Subcommittee of the Regents Finance Facilities, and Accountability Committee also met on August 14, 2008. The Subcommittee is chaired by Steve Nadauld with Regent Atkin as Vice Chair and Regent Karras, Mr. Ed Alter, Dr. Mark Spencer, and Mr. David Feitz as members.

The Subcommittee reviewed an independent consultant's report concerning UHEAA's financing. The report was written by Mr. Lee Donner, Managing Director of the Student Loan Finance Group for First Southwest Company. Mr. Donner attended the meeting in person to review the report and answer questions. A copy of Mr. Donner's report is included as Attachment 6 with the staff's responses included as Attachment 7. The Subcommittee also reviewed a bond parity analysis, the current status of student loan bonds outstanding, and a three-year cash flow projection.

Commissioner's Recommendation

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

  
William A. Sederburg  
Commissioner of Higher Education

WAS/DAF  
Attachments

## **Memorandum**

**To:** William A. Sederburg

**From:** David A. Feitz  
(801.321.7210)  
dfeitz@utahsbr.edu

**Date:** July 23, 2008

**Subject:** UHEAA

(Confidential)

### **Introduction and Background**

I look forward to working with you and appreciate an opportunity to share a few thoughts. Because of the complexity of the issues surrounding the student loan program, I hope to arrange a series of briefing sessions with you in person when you arrive. In the meantime, this memorandum provides brief background about some of the “worry list” issues facing UHEAA.

These are the most challenging times in the history of the student loan program. The credit crunch that was sparked by problems with residential mortgages has disrupted the student loan credit markets where UHEAA has successfully financed student loans for more than 30 years. Additionally, Congress cut the student loan yield on loans made on or after October 1, 2007 by 0.55% to for-profit lenders and by 0.40% to not-for-profit agencies like UHEAA. Many believe those cuts have gone too far and are a deliberate effort by some in Congress to centralize all student lending in Washington by pushing the market to the Federal Direct Student Loan Program.

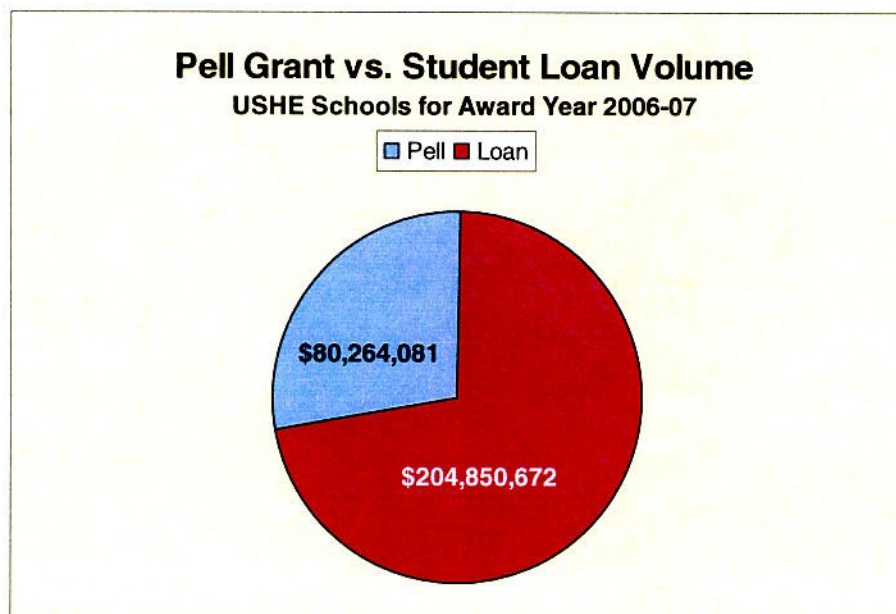
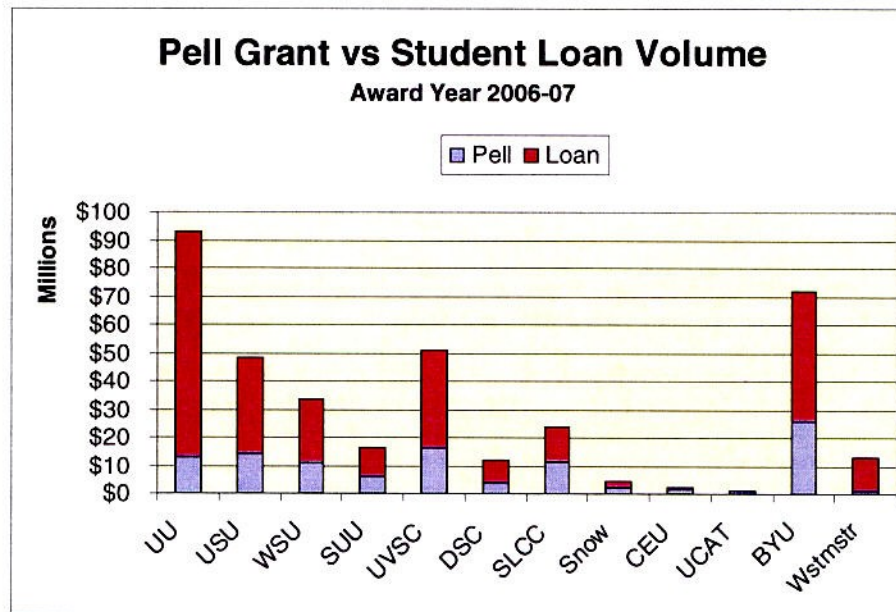
Regardless of the political agenda, the current reality for UHEAA is that the combination of the credit market problems and the student loan yield reduction has resulted in the following:

- Increased UHEAA’s interest costs
- Diminished UHEAA’s ability to raise needed capital to finance student loans
- Reduced UHEAA’s operating margins
- Forced many of our longstanding lending partners to either curtail or suspend student lending (including Zions Bank and Wells Fargo).

This difficult environment creates two major concerns with which we continue to struggle: 1) the availability of student loans for the current 2008-2009 academic year, and 2) the ongoing viability of UHEAA as we explore options to restructure existing debt and monitor federal student loan policy in this presidential election year.

### Worry List #1: Availability of Student Loans for 2008-2009 Academic Year

As shown in the following charts comparing Pell Grant and student loan dollar amounts, student loans are by far the largest source of financial aid at most institutions.





Our first priority is to find enough money to keep the loans flowing to students for the upcoming

school year. Because of the student loan crisis, Congress passed legislation empowering the U.S. Secretary of Education to inject funding into student loan agencies like UHEAA. However, the unexpected complexity of the Secretary's plan and the time needed to implement it are beyond UHEAA's control. While we are doing everything in our power to avoid it, these problems could result in delays for some students receiving their student loans.

The peak student loan demand begins the week of August 18, 2008 when approximately \$50 million of student loan disbursements will be made followed by other high volume weeks through the end of September. We plan to meet the demand with a combination of funding from our remaining lenders (mostly credit unions) and our own available funds. Currently, UHEAA has approximately \$200 million in available funding, which we hope will be enough, provided we can receive timely reimbursement through the implementation of the Secretary's plan. We are very fortunate to have these funds available because of years of conservative fiscal management and low overhead operations.

## **Worry List #2: Refinancing Existing Debt and Obtaining New Capital**

UHEAA has been a huge success story since it was formed in 1977 and has benefited hundreds of thousands of students with low-cost student loans with nation-leading borrower benefits and excellent customer service. UHEAA has one of the best names in the industry and is consistently viewed from Wall Street to the Department of Education as one of the top loan programs in the nation.

However, without the ability to raise capital at cost effective rates, and since the Secretary's plan is only authorized for one year, UHEAA faces continued uncertainties. Currently, UHEAA has \$2.2 billion in outstanding bonds which are backed by high-quality, low-default student loans. We are exploring options to refinance existing debt and obtain new financing. The credit markets remain in turmoil as evidenced by the daily headlines about bank losses, economic downturn, crippling energy costs, etc. How soon viable financing options will be available remains unknown.

Many possibilities exist to improve these circumstances including the potential involvement of the Federal Financing Bank, Congressional action to restore some of the yield reduction, and improvement in the capital markets. Whether any of these remedies will materialize is unknown. Consequently, we have formed a contingency planning team to examine our cash flows and refine our exit strategy. We plan to talk in depth about these issues with the UHEAA Board and the Student Finance Subcommittee on August 14, 2008 beginning at 10:00 a.m. at our Gateway offices. You are welcome to attend if your schedule permits.

Added to this worry list is the retention of key employees in the midst of such uncertainty and the problems associated with unwinding UHEAA since the agency is so intertwined with the institutions not only for financial aid services but also for many other services including college outreach. For example, UHEAA pays the bulk of the expense (\$450,000 annually) for UtahMentor, Utah's college planning Website, which has averaged nearly 2 million page hits per month in fiscal 2008. Also, UHEAA revenues are pledged to pay the bonds for our Gateway offices.

### **Weathering the Storm**

Despite these challenges, we are fortunate to be as well-positioned as we are. Many of our sister agencies have already stopped making loans. We hope to use our available funds as a bridge to better times. With the financial and political winds blowing against us, our intention is to weather the storm and remain a stable source of financial aid and services to the students and institutions we serve.

I hope this information is helpful. I look forward to discussing these issues with you. Please feel free to contact me if you have any questions or need additional information. Best wishes.



**FOR ACTION**

**UHEAA BOARD OF DIRECTORS**

**REPORT C**

**UHEAA's Implementation of the U.S. Department of  
Education's Liquidity Plan for Student Loans**

**August 14, 2008**

**INTRODUCTION**

Formal action by the Board of Directors is requested to authorize the Executive Director to implement the U.S. Secretary of Education's plan for providing liquidity to student loan lenders during the 2008-2009 academic year.

Reductions to lender yield in the Federal Family Education Loan Program enacted by Congress in October 2007 and continuing turmoil in the credit markets have prevented student loan providers across the country, including UHEAA, from obtaining capital to fund new loans from traditional sources. On May 7, 2008, in response to concerns over the availability of capital to make student loans for the 2008-2009 academic year, Congress passed and the President signed the "Ensuring Continued Access to Student Loans Act of 2008" (Pub. L. No. 110-227). This legislation gave the U.S. Department of Education (ED) the authority to address concerns over the availability of capital to student loan providers.

UHEAA's primary mission is to provide a stable source of student loans, a mission it has successfully accomplished for more than thirty years. Because traditional sources of financing are not available, and in order to ensure continued availability of student loans, UHEAA must explore all available sources of capital – including the ED's proposed liquidity plan.

**THE SECRETARY'S LIQUIDITY PROGRAMS**

ED has announced two programs to assist lenders in obtaining financing for student loans during the 2008-2009 academic year. According to the Secretary, Congress did not authorize ED to directly lend money to student loan providers. ED believes it was

only granted authority to purchase existing loans. Thus, student loan providers wishing to participate in either of these programs must originate loans using their own capital, and then recover and recycle that capital through one of the two programs.

Because of UHEAA's borrower benefit program, only loans first disbursed on or after July 1, 2008 and before July 1, 2009 are eligible for these programs. Both programs terminate on September 30, 2009, and it is not known at this time whether these liquidity programs will be extended beyond September 30, 2009.

Lenders may participate in one or both of the programs. In order to provide a loan to every student who needs one, UHEAA intends to implement both the Secretary's Programs.

The following is a brief description of each of the programs:

The Loan Participation Purchase Program (Participation Purchase Program)

Under the Participation Purchase Program, the Secretary will purchase a 100% participation interest in new loans immediately after the initial disbursement. ED will pay UHEAA a purchase price equal to the principal balance of the disbursements. UHEAA will pay ED an annual financing cost equal to the standard Commercial Paper rate plus 0.50% (50 basis points), payable monthly and calculated on the outstanding balance of the loans placed in the Participation Purchase Program. ED has committed to fund participation purchases within seven to ten business days of its receipt of a request.

Under the Participation Purchase Program, UHEAA must contract with a custodian who will hold legal title to the loans in trust for ED. The custodian will also act as ED's intermediary with UHEAA, and will be the paying agent in receiving the participation sale proceeds from the U.S. Treasury and forwarding them to UHEAA. UHEAA will pay all fees and costs associated with the custodian relationship. See Attachment 1 for an illustration of how capital can be recovered and recycled under this program.

UHEAA will retain the servicing of loans on which a participation interest has been sold to ED. It will also retain the right to buy back the participation interest at par (principal plus unpaid accrued interest) plus the financing cost noted above. Because of the lack of affordable capital, however, it is unlikely UHEAA will be able to repurchase participation interests from ED. Therefore, UHEAA must also implement the second of the Secretary's two programs.



The Loan Purchase Program (Put Program)

Under the Put Program, the Secretary will purchase fully-disbursed loans directly from UHEAA. (Loans are “put” to ED – thus the name.) ED will pay a purchase price equal to the principal and accrued interest balances outstanding, will reimburse UHEAA for the 1% Lender Origination Fee it paid to ED when the loan was originated, and will pay UHEAA an administrative fee of \$75 per loan. The \$75 fee per loan is to cover the costs incurred by UHEAA in originating the loan, servicing the loan from initial disbursement to sale after full disbursement, and deconverting the loan to ED’s servicer.

After sale to ED under the Put Program, loan servicing responsibilities must be transferred to a servicer selected by ED. Although UHEAA is making every effort to retain the servicing, it is likely ED will require UHEAA to transfer servicing to ED. Transferring servicing away from UHEAA will have a negative impact on existing borrowers because any student with loans in UHEAA’s portfolio disbursed before July 1, 2008 will have “split” servicing between UHEAA and ED.

In summary, key elements of these two programs are:

- In the Participation Purchase Program:
  - A participation interest in a loan can be sold to ED immediately after each disbursement.
  - Capital can be re-cycled within seven to ten business days.
  - Servicing is retained by UHEAA.
  - The loan can be re-purchased (unlikely because of the unfavorable financing environment.)
- Under the Put Program:
  - A loan can be sold only after it is fully disbursed.
  - The Secretary assumes control over servicing.
  - Once a loan is sold it cannot be repurchased.
- Loans placed in the Participation Purchase Program can subsequently be sold to ED under the Put Program once they are fully disbursed.
- Before the termination date of these programs on September 30, 2009, UHEAA must either:
  - Repurchase the loans from the Participation Purchase Program, or
  - Sell the loans to ED under the Put Program.

**LENDER PARTICIPATION IN THE BOARD OF REGENT’S LOAN  
PURCHASE PROGRAM**

UHEAA’s long-standing relationships with banks and credit unions in Utah will help it weather this funding crisis. Every loan funded and held by one of the banks or credit unions with which UHEAA has a forward-purchase agreement, is a loan UHEAA



does not have to fund with its limited available capital. However, UHEAA's secondary market will purchase the loans when fully disbursed, as discussed below.

Two of Utah's largest student loan lenders recently announced major changes to their programs. Zions terminated its FFELP loan origination program and no longer makes federally guaranteed student loans. Wells Fargo recently announced that effective July 1, 2008, it will no longer participate in UHEAA's Loan Purchase Program and will make all federally guaranteed student loans through its national program. Fortunately, most of the remaining lenders have chosen to continue making student loans. Attachment 2 is a list of the banks and credit unions which continue to participate in UHEAA's loan purchase program.

Because of the changes announced by Zions and Wells Fargo, and because many credit unions have membership restrictions, students attending some schools such as Snow College have a severely limited number of lenders from which to choose. In order to provide access to affordable student loans with the UHEAA borrower benefit package, beginning July 1, 2008 UHEAA began making loans directly as a lender, as approved by Board motion on June 26, 2008.

#### **TIMING & IMPLEMENTATION OF BOTH PROGRAMS**

Using its available capital, UHEAA will disburse those loans on which the borrower selects UHEAA as lender. The loans will be held in the UHEAA portfolio until fully disbursed, which will occur in January 2009. They will then be sold to ED under the Put Program beginning in March 2009.

UHEAA will also purchase the loans originated by UHEAA's participating lenders for the 2008-2009 academic year. These purchases will be scheduled during February, March, April, and May of 2009. After purchase, UHEAA will immediately sell these loans to ED under the Put Program. In order to make these purchases, UHEAA anticipates it may be necessary to re-cycle its available loan funds by selling participation interests in some of the loans to the Secretary under the Participation Purchase Program.

A summary of anticipated loan volume for the 2008-2009 academic year is outlined below. UHEAA has sufficient capital available to fund the initial and subsequent disbursements on loans for which UHEAA is the lender *only if the other lenders continue to fund and hold the majority of student loans*. If additional lenders choose to stop making student loans, the volume of loans which UHEAA must fund will increase and potentially exceed available loan capital. UHEAA will raise additional capital, as needed, by selling participation interests to ED under the Participation Purchase Program and then immediately sell the loans to ED under the Put Program upon full disbursement.

UHEAA loans originated before July 1, 2008 are not eligible for placement in either the Participation Purchase or Put Programs. UHEAA will purchase these loans

from lenders in accordance with the regular purchase schedules contained in existing forward purchase agreements. As outlined in the Estimate of New Loan Volume section below, UHEAA has sufficient available capital to fulfill these purchase commitments.

### **EFFICIENT USE OF THE SECRETARY'S PROGRAMS**

It is important to note that UHEAA is already committed to paying interest on available loan funds under existing bond agreements. When a participation interest is sold to the Secretary under the Participation Purchase Program, UHEAA must pay the additional financing cost of Commercial Paper plus 0.50%. In order to minimize the payment of additional financing costs, UHEAA will employ a "just in time" approach by carefully managing its placement of loans in the Participation Purchase Program through selling participation interests only when it is necessary to recycle its available loan funds. This will also minimize the costs incurred by UHEAA for custodian fees.

Additionally, in order to minimize servicing and overhead expenses, UHEAA will sell loans to ED under the Put Program within 60-90 days after full disbursement. This will reduce the servicing costs which must be covered by the \$75 administrative fee paid to UHEAA after sale of the loan. Given the reduction to lender yield and lack of affordable long-term financing, UHEAA cannot hold student loans made this year in the SBR portfolio. It must sell all loans to ED under the Secretary's Put Program.

### **ESTIMATE OF NEW LOAN VOLUME IN 2008-2009**

The following is a summary of the estimated funding needs for the 2008-2009 academic year:

#### **Estimate of 2008-2009 Annual Volume**

|                                                    |                       |
|----------------------------------------------------|-----------------------|
| Anticipated disbursements by banks & credit unions | \$ 300 million        |
| Anticipated disbursements by UHEAA as lender       | <u>\$ 100 million</u> |
| <b>Anticipated disbursements – all lenders</b>     | <b>\$ 400 million</b> |

#### **Disbursement Timing**

|                                                      |                       |
|------------------------------------------------------|-----------------------|
| Anticipated disbursements by UHEAA – Fall Semester   | \$ 50 million         |
| Anticipated disbursements by UHEAA – Winter Semester | <u>\$ 50 million</u>  |
| <b>Total Disbursements by UHEAA as Lender</b>        | <b>\$ 100 million</b> |

#### **Available Loan Capital**

|                                                            |                              |
|------------------------------------------------------------|------------------------------|
| UHEAA's available loan funds as of August 1, 2008          | \$ 207 million               |
| Less FY08 scheduled purchases of pre-July 1, 2008 loans    | <u>&lt;\$ 86 million&gt;</u> |
| <b>Funds available for disbursement by UHEAA as lender</b> | <b>\$ 121 million</b>        |



### **PROFITABILITY ANALYSIS**

Attachment 3 is a Profitability Analysis for the loans that will be made this academic year. Assumptions used in this analysis are:

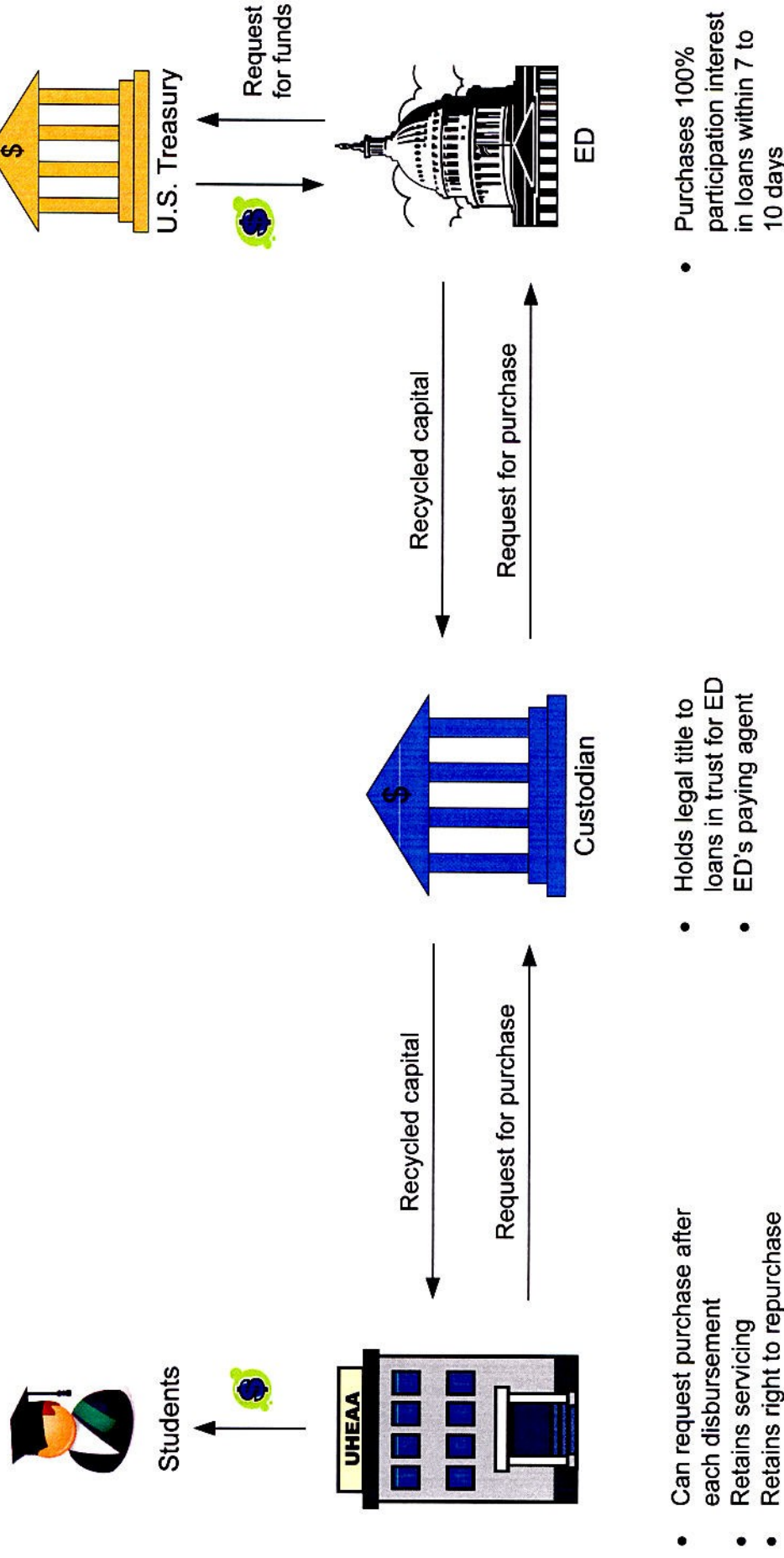
- UHEAA will implement both of the Secretary's liquidity programs.
- The total loan volume for the year will be \$400 million.
- UHEAA's share of the total loan volume will be \$100 million, with the remainder funded by other lenders.
- UHEAA will utilize the Participation Purchase Program only during March, April, May, and June 2009 to fund the purchase of fully-disbursed loans from lenders.
- UHEAA will sell all fully-disbursed loans it originates or purchases from other lenders to ED under the Put Program.
- UHEAA will continue to offer students "no-fee" loans by paying the 1% borrower origination fee and 1% default fee.

The student loans originated in the 2008-2009 academic year are projected to have a net return of \$6.7 million. Consistent with its mission, UHEAA will reduce the cost of financing higher education for students and families by continuing to offer the Board-approved borrower benefit program. After providing borrower benefits to students receiving loans in the 2008-2009 academic year, the net return will be reduced to a \$1.2 million loss.

### **RECOMMENDATION**

It is recommended that the Board authorize the Executive Director to implement both the Secretary's liquidity programs for the 2008-2009 academic year, and to sign the necessary agreements in consultation with the Attorney General's office.

## Recovering and Recycling UHEAA's Available Loan Funds Through the Secretary's Loan Participation Purchase Program



- Can request purchase after each disbursement
- Retains servicing
- Retains right to repurchase

- Holds legal title to loans in trust for ED
- ED's paying agent

- Purchases 100% participation interest in loans within 7 to 10 days

UHEAA pays ED financing cost of Commercial Paper plus 0.50% on loans placed in the Loan Participation Purchase Program

**Utah Higher Education Assistance Authority  
Lenders Participating in the Utah SBR Loan Purchase Program  
2008-2009 Academic Year**

Alliance Credit Union  
America First Federal Credit Union  
American United Family of Credit Unions  
\*Beehive Credit Union  
Deseret First Credit Union  
Family First Credit Union  
\*Goldenwest Credit Union  
Granite Credit Union  
Intermountain Credit Union  
Jordan Credit Union  
\*KeyBank  
Mountain High Credit Union  
Tooele Federal Credit Union  
UHEAA  
US Bank  
USU Charter Credit Union  
University of Utah Credit Union  
Utah Community Credit Union  
Weber State Credit Union

\*Referral Lenders – UHEAA actually funds the loan.

**Utah Higher Education Assistance Authority  
Profitability Analysis - Secretary's Liquidity Plan  
FY 2008-2009 Student Loans**

| <b><u>Revenue</u></b>                          | <b><u>Amount</u></b> |                                  |
|------------------------------------------------|----------------------|----------------------------------|
| Return on FY 2008-2009 Student Loans           | 2,586,417            |                                  |
| Secretary's Administrative Fee @ \$75 Per Loan | 9,375,000            | (Received under the Put Program) |
| Reimbursement of 1% Lender Origination Fee     | 4,000,000            | (Received under the Put Program) |
| <b>Total Revenue Items</b>                     | <b>\$ 15,961,417</b> |                                  |

| <b><u>Expenditures</u></b>                           |                     |            |
|------------------------------------------------------|---------------------|------------|
| Bond Financing Costs                                 | 2,171,584           |            |
| One-Time Loan Origination Costs                      | 937,500             |            |
| Monthly Loan Origination Costs                       | 180,970             |            |
| Servicing Costs                                      | 202,153             |            |
| Deconversion Costs                                   | 1,250,000           |            |
| Federal Default Fee (Paid on behalf of the borrower) | 4,000,000           |            |
| General and Administrative Costs                     | 315,417             |            |
| Custodian and Audit Fees                             | 167,079             | (Estimate) |
| <b>Total Expenditure Items</b>                       | <b>\$ 9,224,703</b> |            |

|                            |                     |
|----------------------------|---------------------|
| <b>Net Return / (Loss)</b> | <b>\$ 6,736,713</b> |
|----------------------------|---------------------|

| <b><u>Expenditures for Borrower Benefits</u></b> |                     |
|--------------------------------------------------|---------------------|
| 1% Borrower Origination Fee                      | 4,000,000           |
| 1% Borrower Default Fee                          | 4,000,000           |
| <b>Total Borrower Benefits</b>                   | <b>\$ 8,000,000</b> |

|                                                    |                       |
|----------------------------------------------------|-----------------------|
| <b>Net Return / (Loss) After Borrower Benefits</b> | <b>\$ (1,263,287)</b> |
|----------------------------------------------------|-----------------------|



Paying for college

## State stepping in as banks bail out of student loans

As the number of private lenders shrinks, Utah agency expects to help thousands of borrowers

**By Brian Maffly**  
**The Salt Lake Tribune**  
**Salt Lake Tribune**

Article Last Updated:08/15/2008 03:35:18 AM MDT

For the first time, the state of Utah has begun originating student loans, a shift that will ensure that any Utah college student who needs financial assistance can get it, although it will cost more.

The Utah Higher Education Assistance Authority (UHEAA), the agency that oversees financial aid to Utah students, is bracing for loan applications worth \$100 million this academic year after big banks all but abandoned the federally guaranteed loan program.

Last fall, Congress cut what participating lenders could make on student loans at the same time money became more scarce. That created a double disincentive for financial institutions to lend to college students. With fewer lenders available, Utah students are expected to flock to UHEAA, agency director David Feitz told his board Thursday.

"We would rather have a full cadre of lenders, but that is unlikely to happen in the near future until Congress raises the yields," he said.

Adding to the pressure was a recent move by Congress to raise the maximum students can borrow by \$2,000 (to \$5,500 for freshman, \$6,500 for sophomores and \$7,500 for upperclassmen). Feitz estimated UHEAA will see applications worth one-fourth of the state's total student loan volume this coming year, but he won't know how much until students begin applying as they return to school.

"It could be \$60 million, it could be \$200 million," Feitz said of a development that represents a profound change in the way UHEAA conducts business.

UHEAA has access to \$121 million to lend over the coming academic year.

The U.S. Department of Education promises to buy participating states' loans issued this year under the Federal Family and Education Loan program (FFELP). This would enable states to "recycle" the money back to students in the form of new loans. The UHEAA board voted unanimously Thursday to approve Utah's participation in the complex arrangement.

Feitz cautioned that the program, which runs only for one year, isn't a permanent solution to the liquidity mess that has caused "tremendous chaos" in the \$50 billion system that subsidizes the popular Stafford and PLUS loan programs.

"Now we're calling on Congress and the departments of Treasury and Education to take additional action to further stabilize the student loan program for years to come," he said.

In recent months four banks - Wells Fargo, Zions, J.P. Morgan Chase and Key - pulled out of Utah's program, leaving only U.S. Bank. Fifteen credit unions, led by America First, still lend to students, but the banks' departure left a vacuum. Wells Fargo and Zions were the top lenders last year, accounting for more than half of the state's student loan volume.

Lenders also have become picky about which institutions they work with. One Utah school, Snow College, found itself with no lenders, so UHEAA last month began lending directly to students at the Ephraim school.

"We're in a pretty good place, a much better place than our sister agencies across the country," board chairman David Jordan said. "From the students' perspective, this will work. We will be able to help them without depleting our resources."

*bmaffly@sltrib.com*

Utah students can expect to pay more for college loans under steps taken by the Utah Higher Education Assistance Authority to preserve universal access to federally guaranteed loans.

But the news isn't all bad.

"I'm not aware of lenders offering better terms than what UHEAA is offering," said John Curl, the University of Utah's financial aid director. "We encourage students to research who they're going to get loans from and find the best terms they can get. They are going to have to pay more interest; that's unfortunate."

Congress last year cut the rate on some student loans from 6.8 to 6 percent. But in order to participate in an emergency federal bail-out measure, Utah slashed two rate reductions. Until now, students who had payments automatically drawn from their accounts received a 1.25-point reduction and another 2-point reduction after four years of timely payments. Losing these benefits adds \$1,763 to the cost of servicing a \$15,000 loan.

On Thursday, the UHEAA board suspended issuing consolidation loans to avoid tying up scarce capital needed to serve current students. Former students looking to simplify repayment plans have other options for consolidating their loans in the federal program.

But Utah students still get breaks on up-front costs of the most common loans, Stafford and PLUS. UHEAA continues to cover the 1 percent origination fee and 1 percent default fee, translating into a \$100 subsidy on a \$5,000 loan.

- *Brian Maffly*

#### Financial aid

\* **Students who are considering borrowing** for college for the upcoming school year should start researching their options now, said John Curl, financial aid director at the University of Utah.

\* **Students should consult the financial aid office** at their school, check Web sites that serve as information clearinghouses, such as [finaid.org](http://finaid.org), or [www.uheaa.org](http://www.uheaa.org), the Web site for the Utah Higher Education Assistance Authority.



# UHEAA Student Loan Volume by School

Attachment 4

## School Rankings by Gross Guarantee Loan Volume for Stafford and PLUS Loans

Fiscal Year 2008

| Rank                           | School                                     | FY 2008 Dollar<br>Volume | Percent of<br>Total UHEAA<br>Volume | Percentage<br>Change From<br>Prior Year |
|--------------------------------|--------------------------------------------|--------------------------|-------------------------------------|-----------------------------------------|
| 1                              | University of Utah                         | 88,100,539               | 23.8%                               | 9.8%                                    |
| 2                              | Brigham Young University                   | 46,565,954               | 12.6%                               | 1.1%                                    |
| 3                              | Utah Valley University                     | 38,855,948               | 10.5%                               | 12.4%                                   |
| 4                              | Utah State University                      | 33,702,653               | 9.1%                                | -0.4%                                   |
| 5                              | Brigham Young University - Idaho           | 26,764,139               | 7.2%                                | -4.1%                                   |
| 6                              | Weber State University                     | 22,554,508               | 6.1%                                | -0.6%                                   |
| 7                              | Salt Lake Community College                | 14,738,187               | 4.0%                                | 16.2%                                   |
| 8                              | Westminster College                        | 13,487,040               | 3.7%                                | 13.4%                                   |
| 9                              | Stevens-Henager College - Ogden            | 11,174,937               | 3.0%                                | -2.2%                                   |
| 10                             | Southern Utah University                   | 10,897,991               | 2.9%                                | 5.7%                                    |
| 11                             | Eagle Gate College                         | 9,667,837                | 2.6%                                | 7.6%                                    |
| 12                             | Paul Mitchell The School (all campuses)    | 8,716,223                | 2.4%                                | 63.9%                                   |
| 13                             | Dixie State College of Utah                | 8,490,628                | 2.3%                                | 6.9%                                    |
| 14                             | Utah Career College                        | 6,091,984                | 1.6%                                |                                         |
| 15                             | Provo College                              | 4,916,098                | 1.3%                                | -2.4%                                   |
| 16                             | AmeriTech College                          | 3,305,218                | 0.9%                                | 53.1%                                   |
| 17                             | Brigham Young University - Hawaii          | 2,271,337                | 0.6%                                | 24.9%                                   |
| 18                             | Snow College                               | 2,126,613                | 0.6%                                | 11.7%                                   |
| 19                             | University of Phoenix **                   | 1,355,286                | 0.4%                                |                                         |
| 20                             | LDS Business College                       | 1,280,195                | 0.3%                                | 6.3%                                    |
| 21                             | College of Eastern Utah                    | 608,187                  | 0.2%                                | -11.6%                                  |
| 22                             | Careers Unlimited                          | 470,042                  | 0.1%                                |                                         |
| 23                             | Bon Losee Academy of Hair Artistry         | 393,270                  | 0.1%                                | -13.2%                                  |
| 24                             | Skinworks School of Advanced Skincare      | 332,455                  | 0.1%                                | 114.8%                                  |
| 25                             | Fran Brown College of Beauty - Layton      | 310,392                  | 0.1%                                | -15.2%                                  |
| 26                             | The Art Institute of Salt Lake City        | 306,059                  | 0.1%                                |                                         |
| 27                             | Healing Mountain Massage School            | 266,179                  | 0.1%                                | 14.5%                                   |
| 28                             | Maximum Style Tech                         | 244,096                  | 0.1%                                | 105.6%                                  |
| 29                             | Echelon Edge Academy of Hair Skin & Nails  | 208,498                  | 0.1%                                | -36.6%                                  |
| 30                             | Neumont University                         | 178,004                  | 0.0%                                | -51.2%                                  |
| 31                             | Stacey's Hands of Champions Beauty College | 161,147                  | 0.0%                                | 177.4%                                  |
| 32                             | Ogden Institute of Massage Therapy         | 137,214                  | 0.0%                                | -8.9%                                   |
| 33                             | Sherman Kendall's Academy                  | 127,389                  | 0.0%                                | 47.2%                                   |
| 34                             | Renaissance School - Therapeutic Massage   | 98,256                   | 0.0%                                | 207.6%                                  |
| 35                             | Evans Hairstyling College - Cedar City     | 92,250                   | 0.0%                                | -6.7%                                   |
| 36                             | Dallas Roberts Academy of Hair Design      | 61,260                   | 0.0%                                |                                         |
| 37                             | Myotherapy Institute of Utah               | 38,090                   | 0.0%                                | -89.6%                                  |
| 38                             | Utah College of Massage Therapy            | 22,858                   | 0.0%                                |                                         |
| 39                             | Everest College                            | 16,083                   | 0.0%                                | -71.5%                                  |
| TOTAL UTAH-AFFILIATED SCHOOLS  |                                            | 359,135,044              | 97.2%                               | 8.3%                                    |
| Remaining out-of-state schools |                                            | 10,299,879               | 2.8%                                | 79.6%                                   |
| GRAND TOTAL                    |                                            | 369,434,923              | 100.0%                              | 9.5%                                    |

# UHEAA Student Loan Volume by Lender

## Lender Rankings by Gross Guarantee Loan Volume for Stafford and PLUS Loans

Fiscal Year 2008

| Rank                                 | Lender                             | FY 08 Dollar<br>Volume | Percent of<br>Market Share | Percent of<br>Change from<br>Prior Year |
|--------------------------------------|------------------------------------|------------------------|----------------------------|-----------------------------------------|
| 1                                    | Wells Fargo-EFS                    | \$ 112,090,635         | 31.38%                     | 5.84%                                   |
| 2                                    | Zions First National Bank          | \$ 64,906,430          | 20.94%                     | -8.17%                                  |
| 3                                    | America First Credit Union         | \$ 51,499,138          | 12.76%                     | 19.58%                                  |
| 4                                    | U.S. Bank                          | \$ 28,910,050          | 6.93%                      | 23.63%                                  |
| 5                                    | Mountain America Credit Union      | \$ 24,901,840          | 6.54%                      | 12.77%                                  |
| 6                                    | JPMorgan Chase                     | \$ 17,664,720          | 4.17%                      | 25.59%                                  |
| 7                                    | Utah Community Credit Union        | \$ 15,436,069          | 4.27%                      | 7.09%                                   |
| 8                                    | KeyBank N.A.                       | \$ 15,109,014          | 3.53%                      | 26.72%                                  |
| 9                                    | University of Utah Credit Union    | \$ 12,923,792          | 3.41%                      | 12.31%                                  |
| 10                                   | Deseret First Credit Union         | \$ 5,062,986           | 1.42%                      | 5.49%                                   |
| 11                                   | UHEAA                              | \$ 4,628,281           | 0.20%                      | 600.84%                                 |
| 12                                   | Weber State Credit Union           | \$ 3,783,600           | 1.03%                      | 9.10%                                   |
| 13                                   | USU Charter Credit Union           | \$ 2,911,951           | 0.79%                      | 9.90%                                   |
| 14                                   | Family First Federal Credit Union  | \$ 1,959,330           | 0.60%                      | -3.20%                                  |
| 15                                   | Granite District Credit Union      | \$ 1,809,922           | 0.52%                      | 2.47%                                   |
| 16                                   | Jordan Credit Union                | \$ 1,690,408           | 0.38%                      | 30.50%                                  |
| 17                                   | Tooele Federal Credit Union        | \$ 1,673,955           | 0.47%                      | 4.75%                                   |
| 18                                   | Salt Lake City Credit Union        | \$ 1,488,689           | 0.45%                      | -2.51%                                  |
| 19                                   | Mountain High Federal Credit Union | \$ 319,144             | 0.09%                      | 90.0%                                   |
| 20                                   | Alliance Credit Union              | \$ 296,267             | 0.08%                      | 38.3%                                   |
| 21                                   | American United Family CU          | \$ 276,668             | 0.07%                      | 15.44%                                  |
| 22                                   | Intermountain Credit Union         | \$ 92,034              | 0.01%                      | 195.69%                                 |
| <b>TOTAL LOAN VOLUME FOR FY 2007</b> |                                    | <b>\$ 369,434,923</b>  |                            | <b>9.5%</b>                             |



Review and Analysis of the Outstanding Student Loan Financing Structures  
And Related Activities  
Of the  
State Board of Regents of the State of Utah  
Student Loan Purchase Program  
As of  
May 28, 2008

By  
 **First Southwest Company**

## **INTRODUCTION**

First Southwest Company ("First Southwest") has received certain documents, reports, financial statements and other items of information (such information and data referred to in this paragraph as the "Information") for the purpose of reviewing the current loan purchase program, and most particularly the financing activities related thereto, of the State Board of Regents of the State of Utah (the "Board"). This analysis and report and all information contained herein is based on the Information provided in reliance on the accuracy and completeness thereof. First Southwest has made no effort to independently verify or confirm the accuracy or completeness of, or supplement the Information, but has relied entirely on the Information provided by the Board and its staff. First Southwest does not assume responsibility for the accuracy or completeness of the Information or any other information it may have received regarding the program, including, but not limited to the work product of any of the Board's other consultants.

## **BACKGROUND**

The Board has established and operates a Loan Purchase Program (LPP), an enterprise fund of the State of Utah, through which it seeks to ensure the availability of Federal Family Education Loan Program (FFELP) loan funds for students and the parents of students attending institutions of higher education in the State of Utah or for Utah residents attending such educational institutions elsewhere. The LPP achieves its goals by providing a ready secondary market for FFELP loans originated by approximately twenty-one eligible lenders in the State of Utah. The LPP has been funded since 1979 through the sale of both taxable and tax-exempt student loan revenue bond issues, all of the currently outstanding principal balances of which were issued under one of two master trust indentures dated July 15, 1988 (the "1988 Trust") and August 1, 1993 (the "1993 Trust"). The bonds issued under these two master trust indentures are secured by, and the debt service thereon is paid from the assets pledged to the applicable trusts, which in both cases consist of a portfolio of FFELP loans in combination with certain other funds invested primarily in the Public Treasurers' Investment Fund. The bonds are not obligations of the State of Utah or any political subdivision thereof. The Board has no taxing power.

## **THE 1988 TRUST**

The 1988 Trust has \$598,905,000 principal balance of bonds currently outstanding in eleven separate series. All of the outstanding bonds of the 1988 Trust are secured on a parity basis, and there is no segregation or designation of assets between series except for tax law purposes (i.e. all of the bonds have equal claim on all the assets of the trust). Six series, in the principal amount of \$356,635,000, are structured as a Variable Rate Demand Obligation (VRDO) with liquidity provided through various Standby Bond Purchase Agreements (SBPA) with DEPFA Bank. One series, in the principal amount of \$99,670,000 is also structured as a VRDO with liquidity provided through an SBPA with Wells Fargo Bank. Four series, in the principal amount of \$142,600,000, are structured as Auction Rate Certificates (ARC). One \$60,000,000 series of the VRDOs is taxable, and one \$35,000,000 series of the ARCs is taxable. There were two series of fixed rate bonds outstanding under the 1988 Trust in the total principal amount of \$2,700,000 and one ARC series in the principal amount of \$33,100,000 that were scheduled to mature on May 1, 2008, and it is assumed for purposes of this analysis that they were paid in full at that time. All of the bonds outstanding under the 1988 Trust are insured by Ambac Assurance Corporation ("Ambac").



As of March 31, 2008 the 1988 Trust owned \$525,148,901 in principal amount of FFELP loans, \$318,411,636 of which is currently serviced internally by Board staff using a system and equipment provided under a contract with the Pennsylvania Higher Education Assistance Agency ("PHEAA"), and \$206,737,265 of which is serviced by Nelnet, Inc. ("Nelnet") under a servicing contract. A little more than \$65,000,000 (12.4%) of the loans in the 1988 Trust have qualified for an interest rate reduction based on payment history, and an additional \$318.3 million (60.62%) are still eligible to qualify. Approximately \$129 million (24.55%) of the loans have been disqualified from receiving an interest rate reduction for payment history. Nearly \$434 million (82.6%) of the portfolio consists of Consolidation loans, which have a 1.05% annual yield reduction payment liability to the Department of Education. Approximately \$36 million of the FFELP loans held in the 1988 Trust have been designated by the Department of Education to continue receiving Special Allowance Payments (SAP) at a rate that, combined with the interest rate on the loan, produces a minimum 9.5% yield.

The unaudited balance sheet for the 1988 Trust as of March 31, 2008 shows an estimated excess earnings or arbitrage rebate liability of \$40,740,916 (6.80% expressed as a percent of the principal amount of bonds currently outstanding), an increase of \$2,575,948 from the June 30, 2007 audited financial statements.

The parity ratio, or ratio of accrued assets over accrued liabilities, of the 1988 Trust as of December 31, 2007, after write-off of unamortized loan premiums, transfer fees and origination fees, unamortized costs of issuance on the bonds, and prepaid expenses, and recognizing the estimated excess earnings noted above as a liability is approximately 111.64%. The unaudited financial statements for the period ending March 31, 2008 have not been finalized, so it is not yet possible to compute the parity ratio for that date, but the balance sheet shows a decline in net assets for the three month period of \$2,884,478, or 0.45% of the par amount of the bonds then outstanding .

### **THE 1993 TRUST**

The 1993 Trust has \$1,556,790,000 principal balance of bonds currently outstanding in twenty three separate series, issued in three Classes of payment priority, with Class I having first priority of payment. There is no segregation or designation of assets between series except for tax law purposes. One series, in the principal amount of \$35,000,000, is structured as a tax-exempt VRDO with credit enhancement and liquidity provided by a Letter of Credit with DEPFA Bank. This series is currently the only series of Class I obligations outstanding. One series, in the principal amount of \$7,565,000 is structured as Class II fixed rate bonds, with \$4,890,000 due on May 1, 2009 and \$2,675,000 due on May 1, 2010. (The \$4,000,000 of fixed rate debt scheduled to mature on May 1, 2008, which includes the last outstanding series of Class III debt, and the \$3,200,000 sinking fund payment for Series 1999N (ARCs) due the same date are assumed for the purposes of this analysis to have been paid in full at that time.) Twenty one series, in the principal amount of \$1,514,225,000, are structured as ARCs, of which \$542,125,000 is tax-exempt, and \$972,100,000 is taxable. Of the total outstanding ARCs, \$1,462,625,000 is Class II debt and \$51,600,000 is Class IV debt. Class IV debt constitutes 3.31%, Class II debt constitutes 94.45%, and Class I debt constitutes 2.24% of the total principal outstanding. There is no external credit enhancement or liquidity on any bonds issued under the 1993 Trust other than the Class I Series 1993A VRDOs in the amount of \$35,000,000.

As of March 31, 2008 the 1993 Trust owned \$1,388,649,892 in principal amount of FFELP loans, \$989,593,769 of which are serviced internally, and \$399,056,122 of which are serviced by Nelnet. A little more than \$96.4 million (6.94%) of the loans in the 1993 Trust have qualified for an interest rate reduction based on payment history, and an additional \$723.7 million (52.12%) are still eligible to qualify. Nearly \$295 million (21%) of the loans have been disqualified from receiving an interest rate reduction for payment history. Nearly \$694 million (49.95%) of the portfolio consists of Consolidation



loans with the attendant 1.05% annual yield reduction payment liability. Approximately \$84 million of the FFELP loans held in the 1993 Trust have been designated by the Department of Education to continue receiving 9.5% "floor yield" SAP payments.

The unaudited balance sheet for the 1993 Trust as of March 31, 2008 shows an estimated excess earnings liability of \$34,918,903 (2.24% expressed as a percent of the principal amount of bonds currently outstanding), an increase of \$756,668 from the June 30, 2007 audited financial statements.

The parity ratio, or ratio of accrued assets over accrued liabilities, of the 1993 Trust as of December 31, 2007, after write-off of unamortized loan premiums, transfer fees and origination fees, unamortized costs of issuance on the bonds, and prepaid expenses, and recognizing the estimated excess earnings noted above as a liability is approximately 102.92% including all Classes of bonds, and is approximately 106.33% excluding the Class IV bonds. As with the 1988 Trust, it is not yet possible to compute the March 31, 2008 parity ratio, but the balance sheet indicates a decline in net assets for the three month period of \$6,699,319, or 0.43% of the par amount of the outstanding bonds on March 31.

## **DISLOCATIONS IN THE CAPITAL MARKETS**

In the fourth quarter of 2007, escalating concerns about the impact of problems in the sub-prime mortgage finance arena that had surfaced earlier in the year began to produce unanticipated negative consequence in other areas of the capital markets. Increasingly concerned about the level of exposure of mono-line bond insurers to sub-prime mortgage finance on several levels, including insurance exposure, direct ownership of mortgage backed securities and credit default swaps on mortgage related debt, the three major rating agencies began to take actions that cast doubt on the ability of some of those insurers, including Ambac, to maintain their coveted AAA rated claims paying ability. As the ratings agencies engaged in a cascade of news releases showing ever greater concerns about the adequacy of the capital reserves of Ambac and other mono-lines, investors began to demand increasingly higher interest rates on securities insured by them, and in certain cases refused to purchase or hold them at any price. On March 5, 2008 Standard & Poor's put Ambac on Watch Negative with Review for Possible Downgrade, and on March 12, 2008 Fitch downgraded Ambac to AA with Negative Outlook (See attached "Municipal Bond Insurers Ratings Summary").

As the mono-line insurer's problems escalated, investor concerns about sub-prime mortgage securities spread to other areas, and ultimately resulted in major market dislocations for all asset-backed securities, including securities backed by both alternative and FFELP loans. This manifested itself in the upward divergence of interest rates on asset-backed ARCs compared to certain benchmark rates as a growing number of investors, both institutional and retail, departed the auction rate market as a result of both credit and liquidity fears with respect to this particular financing structure. Insured ARCs became particularly unattractive to investors and commanded rapidly escalating interest rates to generate bids in the auction process. In the second week of February 2008 student loan auctions began to fail in rapid succession, and within a week the auction rate securities market had completely collapsed. While there has been some recovery in the auction rate arena for general municipal securities, the market for student loan ARCs remains essentially closed.

## **THE CURRENT SITUATION**

### **1988 Trust**

Due to the ratings outlook for Ambac and investor concerns about possible additional erosion of Ambac's capital reserves, all \$456,305,000 of VRDOs issued under the 1988 Trust have been tendered to the SBPA providers and the bonds are bearing interest rates as determined under the terms of those



liquidity facilities, currently in the 5.25% to 5.75% range. The average interest rate borne by these VRDOs since investors began to flee Ambac insured securities has almost certainly exceeded the "net loan rate" (i.e. gross loan yield minus servicing and administrative costs, remarketing fees, trustee fees, bond insurance, liquidity fees, etc.) of the underlying assets (loans and investment securities).

From some time in the fourth quarter of 2007 through the current date, the \$142,600,000 of ARCs outstanding under the 1988 Trust have carried interest rates at or in excess of the Maximum Rate limitations set forth in the trust indentures under which they were issued. Only \$35 million of those ARCs are taxable and subject to the "T-Bill Cap" formula, which is designed to recover over time interest rate expense borne in excess of that which such limitations were designed to permit. The \$40,740,916 of estimated excess earnings cited above, as well as the excess spread on the 9.5% floor yield loans, will provide a cushion against the erosion of the current parity ratio of the 1988 Trust for some time, but if and as additional eligible borrowers qualify for interest rate reductions, and as the terms of the SBPA facilities produce higher Bank Bond interest rates, that cushion will begin to erode at an accelerating rate. This phenomenon will be aggravated by any additional loss of Stafford loans to Consolidation and by the receipt of loan repayments that cannot be invested at rates equal to or greater than at least the average "net loan rate."

### **1993 Trust**

The 1993 Trust is not Ambac insured, and the only series of VRDOs in that trust are secured by a DEPFA Letter of Credit, which series is bearing interest at a normal VRDO market rate. The fixed rate bonds in the 1993 Trust are not an issue due to their size and the fact that they mature within two years as described above. The \$1,514,225,000 of ARCs have been experiencing consecutive failed auctions since February 11, 2008. Recent failed auctions for the \$972,100,000 of taxable ARCs have, as a result of the T-Bill Cap, brought the interest rates on those bonds temporarily down to 0% to adjust for previous periods when the interest rate on those bonds exceeded the net loan rate. However, the failed auction rates on the \$542,125,000 of tax-exempt ARCs are based on a different formula, and are still very high compared to what was anticipated when the bonds were issued. While the interest rate stresses on the 1993 Trust are currently less severe than what is occurring in the 1988 Trust, the cushion provided against erosion of the parity ratio by the estimated excess earnings of \$34,918,903 and the excess spread from 9.5% floor yield loans is, proportionate to the amount of bonds outstanding, much smaller than in the 1988 Trust. In addition, like the 1988 Trust, any protection provided by the estimated excess earnings will be eroded if and as additional eligible borrowers qualify for interest rate reductions, if Stafford portfolio is lost to further Consolidation, and by the receipt of loan principal that cannot be invested at rates equal to or greater than the average "net loan rate."

### **REMEDIAL ACTIVITIES**

The following is a list of some remedial activities that the Board and staff might consider utilizing to address the problems described above. Some or all of the items listed may have already been considered, rejected or implemented. The list is not represented as exhaustive, and while not in any particular order, ranges generally from faster and simpler to more difficult and complex.

- (1.) Terminate FFELP consolidation activities except to the extent necessary to defend the existing portfolios, and even in those cases, every effort should be made to find less expensive alternatives than loan consolidation in the normal sense.
- (2.) Eliminate borrower benefits for loans originated on or after October 1, 2007, and evaluate whether or not, if necessary to stop parity erosion, borrower benefits on currently outstanding loans may be reduced or eliminated.



- (3.) Use available cash in the 1988 Trust to redeem all or as much as possible of the \$60 million taxable VRDOs.
- (4.) Review trust indentures, bond insurance documents and SBPAs to determine whether failed auctions or the existence of Bank Bonds can or will, with the lapse of time, result in limitations on the purchase of additional loans or the requirement to redeem bonds
- (5.) Consider having loan yield and bond yield computations performed on a semi-annual or even quarterly basis. The increase in excess earnings liability between the audited June 30, 2007 financials and the unaudited March 31, 2008 financials is counter-intuitive in light of the interest rates on the bonds over the past 6 months, and appears to be based on some formulaic methodology that assumes a normal interest rate environment. More frequent yield calculations will result in financial statements that are more accurate and informative.
- (6.) Evaluate the cost of loan servicing under the two approaches (in-house and Nelnet) currently utilized, compare those costs to other available servicing alternatives, and take appropriate action to minimize servicing costs and thereby increase net loan yield. As entities such as Nelnet and PHEAA have shifted their business model from originating, buying and securitizing student loan assets to fee-for-service activities they have created an opportunity for the Board to use that transition to leverage down servicing costs, the single biggest cost for a loan holder.
- (7.) Examine the possibility of lowering the broker/dealer fees on the ARCs in the 1988 Trust and the 1993 Trust to reflect the fact that there is effectively no significant function currently being performed by the broker/dealers for the fees they are receiving, and it is unlikely that they will utilize their balance sheets to reanimate this segment of the market in the foreseeable future. This step could be accomplished either through re-negotiation of the fee with the current broker/dealer, or through replacement of the current broker/dealer with another qualifying entity that is amenable to performing the necessary ministerial functions and fill the legally required role of broker/dealer for a fee more commensurate with the magnitude and risk of those activities under current conditions.
- (8.) Negotiate with Ambac for a reduction in the premium on their insurance policies in the 1998 Trust. Under current market conditions the presence of the Ambac insurance policy is a liability rather than an asset, and the insurance premium should be reduced to reflect that economic reality.
- (9.) Evaluate the cost of obtaining and making public the underlying ratings on the outstanding bonds of the 1988 Trust. The expense and time devoted to this undertaking should to be evaluated against proven or carefully vetted projections of improved marketability for the bonds from more than one remarketing agent or potential remarketing agent. This evaluation should include the cost/benefit of an investor accessible web site with expanded financial statement and portfolio data disclosure that is updated on a monthly basis.
- (10.) Run cash flow models on both the 1988 Trust and the 1993 Trust to determine which trust is experiencing the greatest financial stress, to project the extent and duration to which the excess earnings will preclude erosion of parity ratios under various assumption sets, and to evaluate what impact certain remedial actions might reasonably have on projected future performance of the trusts. Cash flow analyses will also assist the Board and staff in directing whatever Letter of Credit or SBPA resources are or might become available to the Trust that is most in need of restructuring.



- (11.) Unless the comparative results of the cash flow modeling described above between the 1988 Trust and 1993 Trust dictates otherwise, move as rapidly as possible to "scrape off" Ambac from the 1988 Trust bonds through an exchange bond process as described in Section 3.6 of Notice 2008-27 issued by the Internal Revenue Service and the Treasury Department and replace the insurance with one or more irrevocable direct-pay Letters of Credit. Investors are currently displaying a very clear preference for LOC transactions over transactions with only external liquidity.
- (12.) Pursue alternative sources of Letters of Credit. There are large amounts of liquidity available, but it is not currently located in the money center banks, and it is not located at institutions that are educated in the well-documented complexities but frequently misunderstood credit quality of the FFELP asset. This process will take considerable time and effort, and is best pursued as a combined effort between Board staff and outside resources that can produce the financial analytics that are required to educate the prospective credit provider.
- (13.) To the extent that a continued shortage of external credit enhancement/liquidity or the absence of other viable solutions for restructuring the ARCs in the 1998 and 1993 Trust becomes protracted, the Board should consider the economics of utilizing available cash within each Trust to purchase its ARCs in the secondary market for cancellation, and/or exercising optional redemptions.

## **SUMMATION**

There has been a significant decline in the net assets of both the 1988 Trust and the 1993 Trust across the quarter ending March 31, 2008. While both trusts are secured by a high quality portfolio of FFELP loans, it is imperative that every effort be made to improve the net loan rate by lowering costs and to bring the interest rate on the bonds down to or below that net loan rate before the estimated excess earnings of the trusts are depleted. While the erosion of net assets in the 1993 Trust has likely decelerated, or possibly stopped, as a function of the re-imposition of "maximum rate" formulae (including the "T-Bill Cap" for the taxable ARCs), the 1988 Trust will likely continue to experience a declining parity ratio until the investor aversion to Ambac insured bonds is adequately addressed. Consequently, the currently scarce LOC facilities that are available should be utilized to restructure the 1988 Trust as quickly as possible if other remedial activities are not adequate to overcome the market aversion to Ambac.

Addendum to  
Review and Analysis on the Outstanding Student Loan Financing Structures  
And Related Activities  
Of the  
State Board of Regents of the State of Utah  
Student Loan Purchase Program  
As of  
June 9, 2008

**SUBSEQUENT EVENTS**

Since submitting the original report on May 28, 2008 there have been some subsequent events that merit discussion.

On May 30, 2008 updated interim unaudited March 31, 2008 financial statements were provided for the 1998 Trust and the 1993 Trust. The primary change in the updated financials, compared to those previously received for that reporting date, is a reduction in the estimated excess earnings liability by \$2,576,668 for the 1988 Trust and \$756,668 for the 1993 Trust. Using the information provided in the updated March 31, 2008 financials and the adjustment methodology described in the original report, the parity ratio for the 1988 Trust at March 31 is 111.50% (compared to 111.60% at December 31, 2007). The parity ratio for the 1993 Trust at March 31 is 102.61% including all Classes of bonds, and is 106.00% excluding the Class IV bonds. This compares to 102.92% and 106.33%, respectively, at December 31, 2007.

On June 5, 2008 Standard & Poor's downgraded the long term claims paying rating on Ambac from AAA to AA and left them on Watch Negative with Review for Possible Downgrade. This ratings action further reduces the probability that the remarketing agents will be able to remarket the VRDNs of the 1988 Trust to open market buyers, and puts additional emphasis on the need to replace the Ambac insurance and SBPA "synthetic LOC" of the 1988 Trust with an irrevocable direct-pay Letter of Credit.



**MANAGEMENT RESPONSES TO  
FIRST SOUTHWEST REMEDIATION ACTIVITIES FOR CONSIDERATION**

The following is a list of some remedial activities that the Board and staff might consider utilizing to address the problems described above. Some or all of the items listed may have already been considered, rejected or implemented. The list is not represented as exhaustive, and while not in any particular order, ranges generally from faster and simpler to more difficult and complex.

- (1.) Terminate FFELP consolidation activities except to the extent necessary to defend the existing portfolios, and even in those cases, every effort should be made to find less expensive alternatives than loan consolidation in the normal sense.

**Response: Consolidation Loan Originations were suspended effective September 1, 2008 by UHEAA Board action taken on August 14, 2008.**

- (2.) Eliminate borrower benefits for loans originated on or after October 1, 2007, and evaluate whether or not, if necessary to stop parity erosion, borrower benefits on currently outstanding loans may be reduced or eliminated.

**Response: Staff has been advised by counsel to avoid making retroactive changes to borrower benefits previously offered to and earned by borrowers. Borrower benefits on new loans going forward were substantially reduced with UHEAA Board action taken in December 2007 and June 2008.**

- (3.) Use available cash in the 1988 Trust to redeem all or as much as possible of the \$60 million taxable VRDOs.

**Response: While consideration was given to redemption of VRDOs in the 1988 Trust, management felt that, in the near term, maintenance of liquidity for the summer and fall lending season took precedence over redemption. Staff will continue to monitor the situation with the goal of redeeming bonds to the extent of available funds.**

- (4.) Review trust indentures, bond insurance documents and SBPAs to determine whether failed auctions or the existence of Bank Bonds can or will, with the lapse of time, result in limitations on the purchase of additional loans or the requirement to redeem bonds.

**Response: Trust indentures were reviewed in February 2008 shortly after the first failed auctions of auction rate bonds and puts of VRDOs to banks under the liquidity facilities to determine operational impacts and restrictions. As interpreted by staff and confirmed by bond counsel there are no limitations on the purchase of additional student loans with available funds under auction rate bond indentures. VRDO indentures require that available funds be used to retire bonds only after the bonds have been held by the liquidity provider for six consecutive months.**



- (5.) Consider having loan yield and bond yield computations performed on a semi-annual or even quarterly basis. The increase in excess earnings liability between the audited June 30, 2007 financials and the unaudited March 31, 2008 financials is counter-intuitive in light of the interest rates on the bonds over the past 6 months, and appears to be based on some formulaic methodology that assumes a normal interest rate environment. More frequent yield calculations will result in financial statements that are more accurate and informative.

**Response:** Consideration was given to having a yield computation performed in conjunction with preparation of the March 2008 quarterly financial statements. In view of the limited distribution of the interim financial statements and due to the cost, approximately \$100,000, it was decided to wait for three months and only have the annual June 30 computation performed. Adjustments to the excess earnings liability is an accounting entry and does not impact current cash on hand. Consideration will be given to performing the analysis more often in the future.

- (6.) Evaluate the cost of loan servicing under the two approaches (in-house and Nelnet) currently utilized, compare those costs to other available servicing alternatives, and take appropriate action to minimize servicing costs and thereby increase net loan yield. As entities such as Nelnet and PHEAA have shifted their business model from originating, buying and securitizing student loan assets to fee-for-service activities they have created an opportunity for the Board to use that transition to leverage down servicing costs, the single biggest cost for a loan holder.

**Response:** Staff has analyzed and monitored the in-house versus Nelnet servicing costs since inception of the in-house servicing operation in 2003 with a plan to eventually transfer the Nelnet portfolio in-house. With the current size of the in-house servicing operation, there are servicing capabilities and economies of scale that now make this plan feasible. While there are projected substantial savings, there is also a transfer of additional servicing risk to UHEAA which will need to be considered. With the current uncertainty in the financial sector and the student loan industry, these plans have been temporarily put on hold.

- (7.) Examine the possibility of lowering the broker/dealer fees on the ARCs in the 1988 Trust and the 1993 Trust to reflect the fact that there is effectively no significant function currently being performed by the broker/dealers for the fees they are receiving, and it is unlikely that they will utilize their balance sheets to reanimate this segment of the market in the foreseeable future. This step could be accomplished either through re-negotiation of the fee with the current broker/dealer, or through replacement of the current broker/dealer with another qualifying entity that is amenable to performing the necessary ministerial functions and fill the legally required role of broker/dealer for a fee more commensurate with the magnitude and risk of those activities under current conditions.

**Response:** This has been discussed with UBS, the broker/dealer, and negotiations are currently in progress.



- (8.) Negotiate with Ambac for a reduction in the premium on their insurance policies in the 1998 Trust. Under current market conditions the presence of the Ambac insurance policy is a liability rather than an asset, and the insurance premium should be reduced to reflect that economic reality.

**Response: AMBAC has not been receptive to negotiating reductions of the premium on their insurance policies.**

- (9.) Evaluate the cost of obtaining and making public the underlying ratings on the outstanding bonds of the 1988 Trust. The expense and time devoted to this undertaking should to be evaluated against proven or carefully vetted projections of improved marketability for the bonds from more than one remarketing agent or potential remarketing agent. This evaluation should include the cost/benefit of an investor accessible web site with expanded financial statement and portfolio data disclosure that is updated on a monthly basis.

**Response: In the first quarter of 2008, staff entertained the idea of obtaining underlying ratings on the 1988 Trust and determined that the cost of obtaining the ratings was in the range of \$350,000 to \$450,000. After consulting with bankers from four separate financial institutions, it was determined that, in the then-current environment, there was no cost benefit as long as the AMBAC name was on the bonds. Staff continues to monitor this possibility while proceeding with plans to move away from the AMBAC insurance by retiring the 1988 Trust through the issuance of new bonds under a new trust. See Recommendation #11 below.**

- (10.) Run cash flow models on both the 1988 Trust and the 1993 Trust to determine which trust is experiencing the greatest financial stress, to project the extent and duration to which the excess earnings will preclude erosion of parity ratios under various assumption sets, and to evaluate what impact certain remedial actions might reasonably have on projected future performance of the trusts. Cash flow analyses will also assist the Board and staff in directing whatever Letter of Credit or SBPA resources are or might become available to the Trust that is most in need of restructuring.

**Response: Staff has been projecting liquidity positions on a quarterly basis during the year and is working toward refinancing the 1988 Trust which is experiencing the greatest financial stress. Cash flow models will be run in conjunction with the restructuring and refinancing of each trust and as necessary and/or required by rating agencies and liquidity providers.**

- (11.) Unless the comparative results of the cash flow modeling described above between the 1988 Trust and 1993 Trust dictates otherwise, move as rapidly as possible to "scrape off" Ambac from the 1988 Trust bonds through an exchange bond process as described in Section 3.6 of Notice 2008-27 issued by the Internal Revenue Service and the Treasury Department and replace the insurance with one or more irrevocable direct-pay Letters of Credit. Investors are

currently displaying a very clear preference for LOC transactions over transactions with only external liquidity.

**Response:** Staff has been working in this direction since early May, now has a commitment for a direct-pay letter of credit in the amount of \$200 million, and is currently waiting to receive a term sheet for a direct-pay letter of credit from another financial institution in the amount of \$400 million. The term sheet for the \$400 million is expected to be received by September 12. Plans are to create two new indentures and close out the 1988 AMBAC insured indenture as quickly as possible.

- (12.) Pursue alternative sources of Letters of Credit. There are large amounts of liquidity available, but it is not currently located in the money center banks, and it is not located at institutions that are educated in the well-documented complexities but frequently misunderstood credit quality of the FFELP asset. This process will take considerable time and effort, and is best pursued as a combined effort between Board staff and outside resources that can produce the financial analytics that are required to educate the prospective credit provider.

**Response:** Letters of credit from non-money-center banks are generally only available in amounts under \$100 million. In order to meet its needs, UHEAA would have to make arrangements with numerous banks, which would be logistically difficult and perhaps impossible in the current environment. However, UHEAA is actively searching for all available sources of letters of credit and additional financing.

- (13.) To the extent that a continued shortage of external credit enhancement/liquidity or the absence of other viable solutions for restructuring the ARCs in the 1998 and 1993 Trust becomes protracted, the Board should consider the economics of utilizing available cash within each Trust to purchase its ARCs in the secondary market for cancellation, and/or exercising optional redemptions.

**Response:** In the current environment, liquidity is of the utmost importance. This recommendation will be considered at a later date if and when it becomes necessary and is in the best interests of the Board of Regents.

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Utah College of Applied Technology – 2009-2010 Budget Request

Issue

Regents will be provided with a courtesy copy of the Utah College of Applied Technology budget request categories for information purposes. UCAT officials will give a brief presentation regarding the 2009-10 UCAT budget request and will be available to answer questions.

Commissioner's Recommendation

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

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Utah Education Network – 2009-2010 Budget Request

The Utah Education Network, as defined by UCA 53B-17-102, is a consortium and partnership between public and higher education established to:

- coordinate and support the telecommunications needs of public and higher education;
- coordinate the various telecommunications technology initiatives of public and higher education;
- provide high-quality, cost-effective Internet access and appropriate interface equipment for schools and school systems;
- procure, install, and maintain telecommunication services and equipment on behalf of public and higher education;
- develop or implement other programs or services for the delivery of distance learning as directed by law; and
- apply for state and federal funding on behalf of public and higher education.

Regents will be provided with a courtesy copy of the 2009-10 Utah Education Network Budget Request for information purposes. UEN officials will give a brief presentation and be available to answer questions.

Commissioner's Recommendation

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

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH



August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Campus Retention Plan Reports from the College of Eastern Utah and Snow College - Information Item

Issue

As a follow-up item to the Board's Planning Retreat on persistence on March 20, 2008, the Board approved the Commissioner's recommendation that each institution should give a report regarding its current and future plans to improve student retention and completion rates. Because each of the institutions has unique student populations and programs designed to address retention, the sharing of such information will benefit not only the Regents but the system campuses as the institutions have the opportunity to learn from each other.

Background

Continuing this month with presentations from the College of Eastern Utah and Snow College, we will hear a presentation from each institution over the next few months about campus efforts to promote student persistence. Presentations will be delivered to the Strategic Planning & Communications Committee according to the following schedule:

May 30 (WSU): Weber State University and Utah State University  
July 11 (SUU): Southern Utah University and Dixie State College  
Sept. 5 (CEU): College of Eastern Utah and Snow College  
Oct. 24 (UVU): UCAT and UVU  
Dec. 5 (U of U): University of Utah and Salt Lake Community College

Commissioner's Recommendation

This item is for information only and requires no action.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd

# Promoting Student Success at Snow College

## Presented to Utah State Board of Regents

### September 5, 2008

#### Opportunities

- Excellent tradition of preparing students to successfully transfer to four year programs
- Strong career and technical programs that prepare students for successful employment
- Partnerships with several universities to provide Registered Nurse, four year, and graduate degree programs in Ephraim and Richfield
- All of this in a friendly, personalized, welcoming environment

#### Challenges

- 27% of entering Fall 07 students came to campus with a range of 3-32 previously earned Snow concurrent enrollment credits
- 30% of entering Fall 07 students come to campus with an average of 16 previously earned transfer credits
- Almost 80% of entering students state they intend to transfer from Snow, with or without a completed Associate degree

#### Principles

- Promoting student retention must be a college wide effort
- Persistence is directly related to being actively academically engaged in the learning experience
- Persistence is directly related to making significant connections with peers and mentors
- Persistence is also related to a positive, supportive "customer experience"

#### Accomplishments

- Appointment of vice president for student success in January 2008
- Appointment of assistant to vice president to emphasize student retention in May 2008
- First college wide retention summit in May 2008
- Start Smart (new student orientation course) taken by almost 70% of all new freshmen
- Stepped up data collection to track and analyze persistence trends and factors
- Opening of Multicultural Student Center in Fall 2008

#### New Initiatives

- Leave of absence policy to be effective December 2008
- Focus on increasing understanding and support for students from diverse backgrounds
- Focus on increasing opportunities for students to engage with academic departments
- Sustain campus wide involvement in retention through regular dialogue with academic and student services leaders
- Explore development of student leadership transcript to document and add value to campus service and leadership experiences
- Systematic review of policies and practices that may negatively impact persistence

DRAFT

August 25, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Report on Legislative Task Force on Applied Technology and Higher Education Governance

Issue

Since the last meeting of the Board of Regents, a working group of the legislative task force met twice, and the Task Force met on August 8, 2008. Prior to the task force meeting, Governor Huntsman sent a letter to the Task Force outlining several principles and specific recommendations (copy attached).

At its most recent meeting, the Task Force discussed at length a draft bill which would rename UCAT, eliminate the Associate of Applied Technology (AAT) degree, and make changes to the UCAT board structure and powers. Of significant concern, the draft bill also proposes removing the Skills Center from Salt Lake Community College and merging it with the Salt Lake-Tooele Applied Technology College. The Task Force agreed to remove the Skills Center portion of the bill for now and to consider the issues related to Salt Lake and Tooele Counties at its next meeting. (More details are included in a report by Associate Commissioner Buhler, which is attached.)

The Task Force members also indicated that once they have finished their work on UCAT, they plan to discuss three other higher education issues: Board of Regents governance and powers, concurrent enrollment, and the state's Engineering and Computer Science Initiative.

The Commissioner, Associate Commissioner Buhler, and institutional presidents and their representatives continue to meet with and have discussions with legislators on the Task Force to make them aware of our concerns and provide our perspective on various issues.

Commissioner's Recommendation

This is an information item; however, discussion and input from the Regents is welcome. Regents are encouraged to attend the next Legislative Task Force meeting, on Tuesday, September 9, 2009, beginning at 9:00 a.m. in the State Capitol in Room 450.

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William A. Sederburg  
Commissioner of Higher Education

WAS/DLB  
Attachments

## **Update on Legislative Task Force on Applied Technology and Higher Education Governance**

Prepared by David Buhler

August 25, 2008

The Legislative Task Force met on August 8, 2008 and discussed at some length a draft bill recommended by their working group, co-chaired by Senator Margaret Dayton and Representative Ron Bigelow. The main features of the draft bill are as follows:

- 1- UCAT becomes the Utah Institute of Technology. While the stated goal is to make it clear that this is an institution that provides non-credit training, and not a credit and degree-granting institution, we have concerns about this name as it is similar to several research universities such as the Massachusetts Institute of Technology, George Tech, Cal Tech, etc. An effort was made in the Task Force to name it the Utah Career & Technical Institute, but this did not pass.
- 2- The Institute is led by a president; it has eight campuses, each led by a campus president.
- 3- It is governed by a board that is basically the current UCAT Board except there will be two representatives of labor unions associated with apprenticeship programs, and representatives of the Department of Workforce Services and the Governor's Office of Economic Development. The State Board of Education will have one member. Originally, the State Board of Regents did not have a member. This was changed by the Task Force to include a Regent but also to allow the new UCAT Board to also appoint one of their members as a Regent.
- 4- Their board retains the current powers of the existing UCAT Board plus the power of hiring/firing the statewide president. The President is given greater authority over the Campus Presidents.
- 5- The local boards are constituted the same except Regent representation is removed. (Trustee representatives from sister USHE institutions remain.)
- 6- The AAT degree is eliminated (current and future) and it is made clearer that UCAT is non-credit only.
- 7- The Institute is part of the Utah System of Higher Education; however, unless specifically authorized by statute, the Regents have no authority or responsibilities over them. So while technically part of USHE, the Regents actually have no role or authority. (The reason they remain technically part of USHE is so they can be eligible for funding from state income tax—education funds—rather than relying on the state's General Fund.) While it is not included in the actual draft bill, there is also discussion about having UCAT present its budget to an appropriations subcommittee other than the Higher Education committee, such as one focused on economic development.
- 8- As drafted, a "reverse merger" is proposed—the SLCC Skills Center would become part of the SLTATC, effective in 2010. Eventually, Tooele would have its own stand-alone ATC (although this isn't specifically stated in the draft bill). The Task Force agreed to remove this "reverse merger" from the draft bill for now and to discuss the Salt Lake and Tooele County issues, including the

report authored by Dr. Gary Carlston and the recommendation by former Commissioner Kendell, at their next meeting.

This bill clarifies the credit and degree issues, but it does not incorporate UCAT more closely into higher education on a par with other institutions. Instead, it provides a “third board” although it is technically within the Utah System of Higher Education. It makes clear, however, that the Board of Regents has no responsibility for UCAT unless specifically authorized later by the Legislature. It also removes language that calls for regional planning and coordination, although this is less significant since they will no longer be granting AAT degrees.

Obviously, the biggest concern we have regarding this proposal is the Skills Center issue. Concerns include:

- Assuming the UCAT keeps its same funding formula, this change will cost the state an estimated \$1.1 million (since the state subsidy is higher for UCAT than the Skills Center).
- As of now, SLTATC students are not eligible for Pell Grants. (This could be remedied, however, if they apply for and qualify for U.S. Department of Education approval.)
- It leaves two higher education providers competing for students and resources within Salt Lake County, and diminishes Salt Lake Community College's traditional role.
- It ignores the fact that, in terms of membership hours, Salt Lake Community College currently provides four times the amount of Career and Technical Education than all of UCAT combined.

The Task Force also decided to ask Legislative Management Committee to authorize “up to” three additional meetings beyond the three more meetings currently approved (for a total of as many as six more meetings). Once they finish with UCAT issues, the Task Force would like to tackle three other issues (order they will be addressed has not been indicated):

- Rep. Dougall's bill in the 2008 Session that would have made major changes in higher education by giving boards of trustees authority for presidential hiring and most program approval
- Concurrent Enrollment
- Engineering & Computer Science Initiative

The next Task Force meeting will be on Sept. 9, at 9:00 a.m. in Room 450 of the State Capitol. Dialogue is continuing between higher education representatives and task force members, and Regents may wish to attend the next Task Force meeting.



August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Update on Regents' Scholarship—Information Item

Issue

On May 30, 2008, the Board adopted a new policy, R609 (Regents' Scholarship), in compliance with S.B. 180, which required the Board to adopt a policy implementing the statute by July 15, 2008. Upon receiving legislative feedback on the policy and reviewing data on the number of anticipated scholarship awards, the Board reaffirmed the policy, and the criteria for making scholarship awards, at its regular meeting on July 11, 2008 at Southern Utah University.

In order to seek and obtain adequate funding for the Regents' Scholarship for the Class of 2009, the Board needs to have data on the number of scholarships awarded to the Class of 2008, and the projected demand for the scholarships in future years. While data is still being collected by the Office of the Commissioner and will not be finalized until late September, given that applicants have until September 20, 2008 to submit all final eligibility documentation, this item provides the data we are currently able to report.

Background

The Regents' Scholarship was established with the singular purpose of providing a monetary incentive to students who demonstrate college readiness by completing the Utah Scholars core course of study, which requires students to complete, in grades 9-12:

- 4 years of English
- 4 years of math, through Algebra II, and a senior year class beyond Algebra II (e.g., pre-calculus, calculus, statistics, concurrent enrollment math, etc.)
- 3.5 years of social science
- 3 years of lab-based natural science (one each of Biology, Chemistry, and Physics)
- 2 years of the same foreign language (may include American Sign Language)

We have been transparent and clear about the link between the Utah Scholars core course of study and the scholarship from the beginning, explaining to legislators, Governor Huntsman, and business leaders that this defined core course of study has been validated as rigorous, and a key predictor of college success,

by multiple national studies conducted by the U.S. Department of Education.<sup>1</sup> We have been particularly emphatic about encouraging more high school students to take advanced mathematics all four years of high school. Clifford Adelman concluded in *The Toolbox Revisited*: “The highest level of mathematics reached in high school continues to be a key marker in precollegiate momentum, with the tipping point of momentum toward a bachelor’s degree now firmly above Algebra 2. But in order for that momentum to pay off, earning credits in truly college-level mathematics on the postsecondary side is *de rigueur*. The world has gone quantitative: business, geography, criminal justice, history, allied health fields—a full range of disciplines and job tasks tells students why math requirements are not just some abstract school exercise.”<sup>2</sup>

The importance of course-taking patterns by high school students has also been repeatedly emphasized by ACT. Out of 22,598 Utah high school students who took the ACT during the 2007-2008 academic year, only 5,649 (25%) were able to meet all four ACT college readiness benchmark scores (English = 18, Math = 22, Reading = 21, Science = 24). Yet students who completed a rigorous core of study in high school experienced impressive gains on their scores.

For example, the average score on the English portion of the ACT for students who completed less than four years of high school English was only 20.3, while students who completed four years of basic core English scored nearly a full point higher (21.2). The average score on the Reading portion of the ACT for students who completed less than three years of social science was only 21.5, while students who completed at least 3.5 years of social science scored nearly a full point higher (22.4).

The impact of course-taking in the content areas of math and science is even more stark. The average score on the math portion of the ACT for students who completed less than three years of high school math was only 17.5 (well below the benchmark score of 22), while students who completed at least four years of math through calculus (Algebra 1, Algebra 2, Geometry, Trig, and Calculus) scored nearly seven points higher (24.4). Likewise, in science, students who completed less than three years of natural science scored only 20.4 (well below the benchmark score of 24), while students who completed Biology, Chemistry, and Physics scored nearly 3.5 points higher (23.8).

Based on legislative feedback we received from the Administrative Rules Committee indicating that the defined Utah Scholars curriculum was too narrow and excluded some students who could demonstrate college readiness without taking all of the courses specified, we agreed to amend the policy and administrative rule by including the following language: “Credit requirements in content areas of the core course of study (English, mathematics, laboratory science, social studies, and foreign language) may be satisfied by completion of an Advanced Placement (A.P.) course in a content area and an A.P. test score of 3 or higher for the course, regardless of when the course and/or test was completed in grades 9-12.”<sup>3</sup> However, because application of this rule to the Class of 2008 would substantially increase the number of eligible applicants and require significant funding beyond the \$900,000 appropriated for FY 2008-2009, the Board determined at its July 11, 2008 meeting to defer application of this rule until the Class of 2009.

On August 11, 2008, we presented this proposed rule and the data regarding the impact of the

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<sup>1</sup> See Clifford Adelman, *Answers in the Tool Box: Academic Intensity, Attendance Patterns, and Bachelor’s Degree Attainment* (U.S. Dept. of Education, 1999); Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School through College* (U.S. Dept. of Education, 2006).

<sup>2</sup> Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School through College* (U.S. Dept. of Education, 2006), p. xix (emphasis added).

<sup>3</sup> Utah Admin. Code R765-603-4.2.1 (Proposed July 1, 2008).

amended rule on scholarship funding, and after vigorous debate, were instructed by legislators to keep the amended language in place but defer its application until a future time when sufficient funding becomes available. However, based on additional concerns that were raised by legislators regarding the scholarship criteria, we have been invited to again appear before the Administrative Rules Committee on September 8, 2008.

The data we plan to present to the Committee on September 8 includes the following:

- Base Scholarship Awards (\$1,000 each) to be awarded: 103
- Funding required for Base Scholarship Awards:  $103 \times \$1,000 = \$103,000$
- Exemplary Academic Achievement (EAA) Awards: 139
- Funding required for EAA Awards:  $139 \times \$2,236.50 (.75 \times \$2982 \text{ (USHE average annual full-time tuition)}) \times 2 \text{ years} = \$621,747$
- Total projected amount of scholarships for Class of 2008 = \$724,747
- Scholarship applications denied: 413

Based on feedback we have received from the Board, legislators, public schools, parents, and others, we are continuing to evaluate the scholarship criteria to ensure that the scholarship accomplishes its intended purpose, which is to motivate better college preparation and readiness among Utah high school students. One idea we have been considering would supplement the existing criteria to allow students who meet all four ACT college readiness benchmark scores to receive the scholarship, regardless of the courses they take or when they complete certain courses. If such an amendment were to be made to the statute and administrative rule, the Board would need an annual appropriation of at least \$5,000,000 to fund scholarships for the approximately 5,000 ACT takers in Utah who currently meet all four benchmarks, with increases required over time as demand for the scholarship grows.

Even if the eligibility criteria are not altered, we expect demand for the scholarship to increase significantly for the Class of 2009. With only about one month to notify students and guidance counselors about the scholarship at the end of the 2007-2008 academic year, we still received over 600 applications, and we believe that number will at least double for the Class of 2009.

#### Commissioner's Recommendation

The Commissioner recommends that the Regents continue their support for this innovative scholarship program and include an appropriate amount in the USHE 2008-2009 budget to grow and sustain the program.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd  
Attachment

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah Scholars and College Access Challenge Grant Update—Information Item

Issue

The first prong of the Regents' "preparation, participation, and completion" agenda is perhaps the most critical, because if high school students do not prepare academically for postsecondary education, they will not enroll, they will not persist, and they will not graduate. Therefore, for the past two years the Office of the Commissioner has dedicated a great deal of time and energy to implementing the State Scholars Initiative in Utah, which is a business/education partnership designed to motivate high school students to complete a rigorous, college-prep curriculum in grades 9-12. While the \$300,000 federal SSI grant will expire in March 2009, the Office of the Commissioner will be able to sustain the Utah Scholars project through a College Access Challenge Grant, which the Board of Regents was awarded on August 14, 2008. This report provides an update of both the State Scholars Initiative and the College Access Challenge Grant.

Background

A. Policy Justification for Utah Scholars

In February 2006, the U.S. Department of Education released a major study titled "The Toolbox Revisited: Paths to Degree Completion from High School Through College," which contains critical data on the issue of academic preparation for college. Drawing its data from the National Education Longitudinal Study of 1988 (NELS:88/2000), this "longitudinal study followed a national sample of over 12,000 students (representing a weighted 2.9 million students) from the time they were in the 8<sup>th</sup> grade in 1988 to roughly age 26 or 27 in December 2000."<sup>1</sup>

In the Executive Summary, Clifford Adelman, the study's author, emphasized the importance of taking a rigorous course of study in high school; he stated:

"The academic intensity of the student's high school curriculum still counts more than anything else in precollegiate history in providing momentum toward completing a

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<sup>1</sup> Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School Through College* (U.S. Dept. of Education, Feb. 2006), p. 3.

bachelor's degree. At the highest level of a 31-level scale describing this academic intensity, one finds students who, through grade 12 in 1992, had accumulated:

- 3.75 or more Carnegie units of English
- 3.75 or more Carnegie units of mathematics
- highest mathematics of either calculus, precalculus, or trigonometry
- 2.5 or more Carnegie units of science or more than 2.0 Carnegie units of core laboratory science (biology, chemistry, and physics)
- more than 2.0 Carnegie Units of foreign languages
- more than 2.0 Carnegie Units of history and social studies
- 1.0 or more Carnegie Units of computer science
- more than one Advanced Placement class
- no remedial English; no remedial mathematics

"These are minimums. In fact, students who reached this level of academic curriculum intensity accumulated much more than these threshold criteria, and 95 percent of these students earned bachelor's degrees (41 percent also earned master's, first professional, or doctoral degrees) by December 2000."<sup>2</sup>

Adelman further explained:

"There is a quantitative theme to the curriculum story that illustrates how students cross the bridge onto and through the postsecondary landscape successfully. The highest level of mathematics reached in high school continues to be a key marker in precollegiate momentum, with the tipping point of momentum toward a bachelor's degree now firmly above Algebra 2. But in order for that momentum to pay off, earning credits in truly college-level mathematics on the postsecondary side is *de rigeur*. The world has gone quantitative: business, geography, criminal justice, history, allied health fields—a full range of disciplines and job tasks tells students why math requirements are not just some abstract school exercise."<sup>3</sup>

Yet too many high school students in Utah do not complete a college-prep course of study. Seniors graduating in the classes of 2008, 2009, and 2010 will only have to complete 15 core credits to graduate from high school (including only three years of English, two years of math, and two years of science), while students in 37 states must now complete at least 20 core credits.<sup>4</sup> Beginning with the class of 2011, Utah high school students will have to complete 18 core credits (including four years of English, three years of math, and three years of science). However, students will still not be required to complete math through Algebra II, or to complete lab science courses in biology, chemistry, and physics.

The Utah Scholars program is a business/education partnership that works with local school districts to motivate high school students to complete the following courses in grades 9-12:

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<sup>2</sup> Id. at xviii.

<sup>3</sup> Id. at xix.

<sup>4</sup> National Center for Education Statistics, U.S. Dept. of Ed., *High School Coursetaking* (June 2007).

- 4 years of English
- 4 years of math (Algebra I, Geometry, Algebra II, and a senior-year advanced math class such as pre-calculus, calculus, statistics, or a concurrent enrollment math course)
- 3.5 years of social studies (e.g., Geography, U.S. History, World History, Economics, Government)
- 3 years of lab science (Biology, Chemistry, and Physics)
- 2 years of the same language other than English (e.g., French, German, Spanish, American Sign Language)

#### B. Initiation and Implementation of Utah Scholars 2006-2008

Utah Scholars was initiated in the 2006-2007 school year with a \$300,000 grant from the U.S. Department of Education and the Western Interstate Commission for Higher Education (WICHE). During the first year of implementation, we implemented the program in 8 middle schools and 5 high schools across the Wasatch Front in the Davis, Granite, Jordan, and Park City School Districts. By the end of the 2006-2007 school year, a State Scholars presentation had been delivered to nearly 2,400 8<sup>th</sup> grade students by 20 different business and community leaders, and approximately 160 high school seniors were recognized as the first class of Utah Scholars.

During the second year of implementation, we expanded the program to 39 middle schools and 36 high schools in the Ogden, Davis, Salt Lake City, Granite, Jordan, Alpine, Provo, Park City, and Washington County school districts. By the end of the 2007-2008 school year, nearly 11,000 8<sup>th</sup> and 9<sup>th</sup> grade students had received the State Scholars presentation from some 105 trained business and community volunteers. In April, 244 high school seniors were recognized as the second class of Utah Scholars, up from 160 in 2007.

Sustainability of the program has been a priority since the day Utah was awarded the State Scholars grant in March 2006. Fortunately, both the political and the business communities in Utah have helped with funding for the program. During the 2007 General Session, the Utah Legislature granted the Regents' request for \$500,000 in one-time funds to sustain the administrative and operational costs of the program, and to allow the program to expand significantly. In addition to using part of these funds for a small staff and other operational costs, some of these funds have been used for strategic partnerships that have been very effective in promoting the program. Such partnerships and projects include:

- A partnership with Utah Campus Compact to support initiatives on several campuses to develop service learning projects tied to Utah Scholars (tutoring and mentoring programs, academic support services for high school students, outreach with Latino students, etc.).
- A partnership with the University of Utah to develop an assessment program for first-year college students to examine the preparedness and success of students completing the Utah Scholars curriculum.
- A partnership with the Academy for Math, Engineering & Science to fund a small project to get all AMES students to take the ACT sequence of tests to gauge college readiness.

- A partnership with the College Advising Corps at the University of Utah, to support the University's grant from the Jack Kent Cooke Foundation that is being used to place trained "advisors" in selected high schools to help juniors and seniors prepare for college.
- A partnership with Ken Garff Automotive and the Utah Blaze to promote literacy and college preparedness in elementary school through the Road to Success program.

In addition, while the Utah Legislature did not fund operational costs for Utah Scholars for FY 2008-2009, it did appropriate \$400,000 in ongoing funds and \$500,000 in one-time money, through S.B. 180, sponsored by Senator Lyle Hillyard, to establish the "Regents' Scholarship" so that students have a monetary incentive to complete the Utah Scholars core course of study. This scholarship provides a base award of \$1,000 to any student who completes the Utah Scholars course of study with a 3.0 GPA or better (and no individual course grade below a "C"), and a two-year, 75% tuition scholarship to any student who completes the Utah Scholars course of study with a 3.5 GPA Or better and a 26 or higher on the ACT.

Finally, the Board of Regents, as the state agency designated by Governor Huntsman, recently applied for, and received, a College Access Challenge Grant from the U.S. Department of Education that will provide \$866,709 in federal funds to the Office of the Commissioner for a two-year period from 2008 to 2010. Pursuant to the grant proposal, the Office of the Commissioner will use the funds on three focused activities, each of which is designed to substantially increase the percentage of Pell-eligible students in Utah who receive federal Academic Competitiveness Grants (ACGs): 1) joint professional development for high school guidance counselors, college admissions officers, and college financial aid administrators; 2) financial support of the Utah Mentor web site contract, which is funded in large part by UHEAA; and 3) targeted implementation of Utah Scholars and Utah Campus Compact college access activities in 20 low-income high schools along the Wasatch Front.

In sum, Regents' staff has brought approximately \$2.5 million into the Office of the Commissioner since 2006 to promote a substantial college readiness agenda and forge meaningful K-16 partnerships between public schools and USHE institutions. These funds have come from the following sources:

- \$300,000 federal State Scholars Initiative grant (U.S. Dept. of Education/WICHE) (2006)
- \$500,000 one-time state appropriation (Utah Legislature) (2007)
- \$900,000 in state appropriations to fund Regents' Scholarship (2008)
- \$866,708 federal College Access Challenge Grant (U.S. Dept. of Education) (2008)

However, the impact of these funds presents some important strategic planning issues for the Board, because the \$300,000 SSI grant and the one-time \$500,000 appropriation will be gone by July 2009.

### C. Future Plans for Utah Scholars and College Access Initiatives

As we look ahead to the 2008-2009 school year and beyond, we have several goals and tasks ahead, including:

- We will be working closely with our state steering committee and advisory committee that represented Utah Scholars at the first National Summit on Academic Rigor and Relevance in



Boston on April 29-30, 2008, hosted by the U.S. Department of Education and WICHE. The steering committee is chaired by Lisa Vehrenkamp from American Express, who chairs the Salt Lake Chamber's newly formed Education Committee, and also includes Pearl Wright, Director of the Energy Solutions Foundation; Mary Shumway, State Career & Technical Education Director, Utah State Office of Education; Al Church, Principal and CEO, Academy for Math, Engineering & Science; and Melissa Miller Kincart, Associate Program Director, Utah Scholars, and Executive Director of Utah Campus Compact. As part of the Summit, we consulted with national authorities and colleagues in other states to develop policy ideas on how to strengthen academic rigor in high school, and presented a status report on Utah Scholars to the State Scholars Initiative National Advisory Board.

- We will continue implementing R609, the new Regents' policy governing the Regents' Scholarship.
- We will continue refining paper and electronic application and promotional materials to send to parents, secondary schools, business leaders, and other stakeholders informing students about the criteria and application procedures required to become a Utah Scholar and obtain a Regents' Scholarship.
- We will continue working with UHEAA, UESP, and institutional admissions and financial aid officers to coordinate the operational procedures of the Regents' Scholarship including, but not limited to, application processes and timelines, transcript review, disbursement of funds, and data collection.
- We will continue meeting with superintendents and other school officials from school districts across the state in an effort to expand the Utah Scholars program to additional school districts during the 2008-2009 school year.
- We will continue to work with the Salt Lake Chamber, Leadership Dixie, the Utah Hispanic Chamber, and other chambers and business groups across the state to recruit classroom presenters, corporate funding, and political support for Utah Scholars.
- We will continue to form and cultivate strategic partnerships with all higher education institutions in Utah Campus Compact to expand the reach and effect of Utah Scholars.
- We will work to develop and train multiple Utah Scholars steering committees, hopefully connected to USHE institutions, and chaired by business owners or institutional trustees, to facilitate the operation and sustainability of Utah Scholars at the local level.
- We will be working to deliver all of the planned activities and objectives identified in our College Access Challenge Grant proposal with the intent of helping many more low-income students in Utah qualify academically for Academic Competitiveness Grants and plan for college.

#### D. Strategic Planning Issues

As far as planning, the Strategic Planning Committee and the Board should consider several planning and policy issues that are critical to the ongoing success of Utah Scholars, as well as other college access initiatives. These issues include:

- The Board will need to develop a clear plan to obtain ongoing state and/or corporate financial support for the operation of Utah Scholars. While the program has been designed to be a relatively low cost, straightforward program, it is very labor intensive to work with the program's multiple stakeholder groups, including public schools, business leaders, institutions of higher education, and national program authorities. Therefore, a source of continuous revenue will be needed to sustain the lean staff needed to run the program and ensure its consistent implementation throughout the state.
- The Board will need to make ongoing funding for the Regents' Scholarship a top priority in its budget in order to meet the demand for the scholarships.
- The Board will need to carefully consider the merits of the state funding three scholarships (Centennial, New Century, and Regents'), all of which reward different things and which may not all be producing college readiness to the same degree.
- The Board, presidents, and institutional Trustees will need to consider institutional admissions and scholarship requirements at USHE institutions and how such requirements align, or lack alignment, with the curriculum being encouraged by Utah Scholars.
- The Board should continue, in collaboration with the State Board of Education and the Utah K-16 Alliance, to explore various policy options related to Utah high school graduation requirements, including the possibility of a default college-prep curriculum for all students or incentives for school districts that voluntarily adopt more rigorous graduation standards.
- The Board should continue, in collaboration with the State Board of Education and the Utah K-16 Alliance, to explore the feasibility of eliminating Utah's high school assessment program (UBSCT) and replacing it with a universal ACT for all high school students.

#### Commissioner's Recommendation

This item is for information only and requires no action.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd  
Attachments

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Report on Utah's ACT Test Results for the Class of 2008—Information Item

Issue

One of the data points Utah should celebrate is the fact that Utah high school students perform above the national average on the ACT. Utah students who took the ACT during the 2007-2008 school year obtained an average composite score of 21.8, above the national average of 21.1. However, upon examining the ACT results in fine detail, one uncovers several issues of concern that bear on the "preparation" focus of the Board's strategic agenda.

Background

Two issues are significant with respect to ACT's most recent report on Utah students, which was released on August 13, 2008. First, while the number of Utah students who take the ACT is not inconsequential (and is on the increase), there remains approximately one-third of all Utah high school graduates who do not take the test. Out of the estimated 33,307 Utah high school graduates in the class of 2008, only 22,598 took the ACT. Although some high school graduates will choose to go to community colleges, applied technology colleges, or for-profit technical schools that do not require the ACT for admission, many of these non-test takers are not planning for college and will not enroll in any type of postsecondary education, thus contributing to the general decline in college participation rates in Utah we have observed over the past several years.

Second, most Utah students who take the ACT, and who are therefore ostensibly college-bound, are not prepared academically for college-level work. As part of its assessment services, ACT has established "college readiness benchmarks" for each of the four content areas tested on the ACT—English, reading (social science), science, and mathematics. According to ACT, a "benchmark score is the minimum score needed on an ACT subject-area test to indicate a 50% chance of obtaining a B or higher or about a 75% chance of obtaining a C or higher in the corresponding credit-bearing college courses." In other words, the college readiness benchmarks "reflect a student's probable readiness for college-level work in credit-bearing English Composition, Algebra, Social Science, and Biology courses by the time he or she graduates from high school."

The current college readiness benchmark scores are the following:

- English—18
- Math—22
- Reading (Social Science)—21
- Science—24

Among the 22,598 Utah test-takers in the Class of 2008, only 25% (5,649) were able to meet all four college readiness benchmarks. This means that 75% of Utah test-takers will need to take one or more remedial courses during their first year of college. Most of this remedial work will take place in the content areas of math and science, as only 44% of students met the math benchmark, and only 32% met the benchmark in science.

This failure to meet the college readiness benchmarks is especially troubling for ethnic minority students in Utah. Percentages of African-American and Hispanic students meeting each content-area benchmark are as follows:

| <u>Content-Area Benchmark</u> | <u>% of African-American/Black</u> | <u>% of Hispanic</u> |
|-------------------------------|------------------------------------|----------------------|
| English=18                    | 50%                                | 51%                  |
| Math=22                       | 16%                                | 24%                  |
| Reading=21                    | 33%                                | 38%                  |
| Science=24                    | 11%                                | 15%                  |

Without question, the best way to improve these scores is to provide access and opportunity for all Utah students to complete a rigorous core course of study in high school. ACT and U.S. Department of Education data are clear that course-taking patterns matter, and result not only in significant improvements in ACT scores, but more importantly, in rates of college attendance and degree completion. The Board's continued support of key college preparation initiatives, including Utah Scholars and the Regents' Scholarship, is expected, over time, to bring substantial improvements in the college readiness of Utah students.

#### Commissioner's Recommendation

This item is for information only and requires no action.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd

## **SECTION I: ABSTRACT**

The Utah State Board of Regents (“Board”), as the state agency designated by Utah Governor Jon M. Huntsman, Jr. to apply for, and administer College Access Challenge Grant (CACG) funds, submits this application for a two-year CACG in response to the Request for Proposals issued by the U.S. Department of Education, Office of Postsecondary Education, on May 12, 2008. In applying for the CACG, the Board has one overriding goal—to dramatically increase the percentage of Pell-eligible students in Utah who qualify for, and receive, federal Academic Competitiveness Grants (ACGs), from 12.8% (2006-2007) to 35% by 2010. Consistent with this goal, the Board plans to expend grant funds on three principal objectives, one focused on local activities, one focused on regional activities, and one focused on statewide activities.

First, the Board will use a third of the funds for intensive implementation of the Utah Scholars Initiative (State Scholars Initiative) in 20 local high schools with high populations of low-income students in order to help students complete a rigorous core of study in high school that will make them academically eligible for ACGs. Second, the Board will use a third of the funds for a series of regional training workshops, attached to public colleges in the Utah System of Higher Education, to enable college financial aid and admissions counselors, public school guidance counselors, and college outreach program staff to better advise and mentor low-income students and their parents. Third, and finally, the Board will use a third of the funds to defray the costs of the UtahMentor Web site, an highly visible and successful Internet portal that provides a wide array of college access information to Utah high school students throughout the state.

U.S. DEPARTMENT OF EDUCATION  
COLLEGE ACCESS CHALLENGE GRANT PROGRAM (CACGP)

# TITLE PAGE

|                                                                                                                                                                                                                                                                                |                                                                                                                                                                                |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a. Legal Name of Applicant Agency<br><br>Utah State Board of Regents                                                                                                                                                                                                           | b. D.U.N.S number: 08-107-0224<br><br>Taxpayer ID Number (TN): 87-6000545                                                                                                      |
| c. Address (include zip):<br><br>Board of Regents Building, The Gateway<br>60 S. 400 W.<br>Salt Lake City, UT 84101                                                                                                                                                            | d. Contact Person<br><br>Name: David S. Doty<br><br>Title: Assistant Commissioner<br><br>Telephone: (801) 321-7111<br><br>Fax: (801) 321-7199<br><br>E-Mail: ddoty@utahsbr.edu |
| e. Type of Applicant: <input checked="" type="checkbox"/> State Agency<br><input type="checkbox"/> Philanthropic Organization (non-profit)                                                                                                                                     |                                                                                                                                                                                |
| f. To the best of my knowledge and belief, all data provided in this application are true and correct. The governing body of the applicant has duly authorized the application and will comply with statutory and regulatory requirements, assurances and certifications, etc. |                                                                                                                                                                                |
| Printed Name and Title of Authorized State Representative:<br>David L. Buhler, Interim Commissioner of Higher Education                                                                                                                                                        | Telephone: (801) 321-7103<br>Fax: (801) 321-7199<br>E-Mail: dbuhler@utahsbr.edu                                                                                                |
| Signature of Authorized State Representative:                                                                                                                                                                                                                                  | Date: June 27, 2008                                                                                                                                                            |

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## **SECTION I: ABSTRACT**

The Utah State Board of Regents (“Board”), as the state agency designated by Utah Governor Jon M. Huntsman, Jr. to apply for, and administer College Access Challenge Grant (CACG) funds, submits this application for a two-year CACG in response to the Request for Proposals issued by the U.S. Department of Education, Office of Postsecondary Education, on May 12, 2008. In applying for the CACG, the Board has one overriding goal—to dramatically increase the percentage of Pell-eligible students in Utah who qualify for, and receive, federal Academic Competitiveness Grants (ACGs), from 12.8% (2006-2007) to 35% by 2010. Consistent with this goal, the Board plans to expend grant funds on three principal objectives, one focused on local activities, one focused on regional activities, and one focused on statewide activities.

First, the Board will use a third of the funds for intensive implementation of the Utah Scholars Initiative (State Scholars Initiative) in 20 local high schools with high populations of low-income students in order to help students complete a rigorous core of study in high school that will make them academically eligible for ACGs. Second, the Board will use a third of the funds for a series of regional training workshops, attached to public colleges in the Utah System of Higher Education, to enable college financial aid and admissions counselors, public school guidance counselors, and college outreach program staff to better advise and mentor low-income students and their parents. Third, and finally, the Board will use a third of the funds to defray the costs of the UtahMentor Web site, an highly visible and successful Internet portal that provides a wide array of college access information to Utah high school students throughout the state.



## SECTION II: PROJECT NARRATIVE INFORMATION

### I. INTRODUCTION

The Utah State Board of Regents (“Board”), as the state agency designated by Utah Governor Jon M. Huntsman, Jr. to apply for, and administer College Access Challenge Grant (CACG) funds, submits this application for a two-year CACG in response to the Request for Proposals issued by the U.S. Department of Education, Office of Postsecondary Education, on May 12, 2008. As described in the Abstract, the Board desires to accomplish one overriding goal with its CACG funds, which is to dramatically increase the percentage of Pell-eligible students in Utah who qualify for, and receive, federal Academic Competitiveness Grants (ACGs), from 12.8% (2006-2007) to 35% by 2010. Consistent with this goal, the Board plans to expend grant funds on three principal objectives, one focused on local activities, one focused on regional activities, and one focused on statewide activities.

### II. PROPOSAL

Consistent with the allowable uses outlined in the CACG legislation and grant application, the Board plans to expend grant funds (which are estimated to be \$433,354 per year, or \$866,708 total for Utah, according to the CACG Tentative Allocation Table published in January 2008) for the following core objectives and activities.

#### **A. OBJECTIVE #1: Increase the Number of Utah Pell-Eligible, First-Time College Students Completing the FAFSA and Qualifying for Academic Competitiveness Grants by Strengthening the Advising Capabilities of Public College Admissions and Financial Aid Counselors, Public School Guidance Counselors, and College Access Program Staff**

As a first priority, approximately one-third of the grant funds (\$283,354) will be used for targeted, focused professional development workshops and other activities designed to strengthen the advising capabilities of public college admissions and financial aid counselors, public school guidance counselors, and college, middle school, and high school staff working on

college access programs for low-income students (e.g., GEAR UP, TRIO, ETS, Upward Bound, Jack Kent Cooke College Advising Corps, etc.) to help secondary school students qualify for Academic Competitiveness Grants and complete the FAFSA. Specifically these funds will be used for the following activities:

## **1. ACTIVITIES**

### **Activity #1: Professional Development for Public School Guidance Counselors, College Outreach Staff, Financial Aid Administrators, and College Admissions Staff**

The Board will develop and deliver twelve (12) regional training workshops (6 each year), at which public college financial aid and admissions counselors, public school guidance counselors, and college access program staff (e.g., GEAR UP, TRIO, ETS, AVID, Upward Bound, Jack Kent Cooke College Advising Corps, Campus Compact service learning volunteers, etc.) will be jointly trained on: a) the importance of a high-rigor curriculum for all high school students, with emphasis on the Utah Scholars (State Scholars) core curriculum; b) the academic requirements and application process for Academic Competitiveness Grants (ACGs) and SMART Grants; c) the UtahMentor web site ([www.utahmentor.org](http://www.utahmentor.org)) and its college and career preparation tools; d) the process for completing the Free Application for Federal Student Aid (FAFSA); and e) scholarship, grant, and other state financial aid opportunities available to Utah students.

These workshops will be held at five different public colleges in the Utah System of Higher Education each year, as follows: Northern Utah (Utah State University or Weber State University); Salt Lake City metro area (University of Utah or Salt Lake Community College); Utah County (Utah Valley University); Central/Eastern Utah (Snow College or College of Eastern Utah); and Southern Utah (Southern Utah University or Dixie State College). In addition, the sixth workshop each year will be held in conjunction with the Utah State Office of

Education's annual Comprehensive Guidance and Counseling Program Conference for all secondary school guidance counselors in June.

This activity will be a natural extension of guidance counselor training on financial literacy and financial preparation for college that employees of the Utah Higher Education Assistance Authority, the nonprofit student loan organization affiliated with, and under the supervision of, the Board of Regents, together with campus financial aid officers, have already undertaken across the state in numerous local school districts. CACG funds will allow those involved with these ongoing UHEAA outreach efforts to expand their efforts to many more schools, and to collaborate with the Office of the Commissioner of Higher Education, college outreach staff at Utah's public colleges and universities, admissions and financial aid staff, and local school district officials to present a unified, comprehensive message on academic, financial, and social preparation for college.

**Activity #2: Statewide Summit on Academic and Financial Preparation for College**

A second activity to be undertaken with this portion of the CACG funds is a statewide summit on academic and financial preparation for college during the 2008-2009 academic year. Invitees will include school superintendents, middle school and high school principals and guidance counselors, local school board members, PTA representatives, state legislators, the Office of the Governor, the State Superintendent of Public Instruction and members of the State Board of Education, members of the State Board of Regents, college presidents, college financial aid and admissions officers, business leaders, religious leaders, and representatives of the media.

The summit will include presentations from local, regional, and national authorities on issues related to high school reform, college savings and financial aid, and college access for underrepresented groups, focusing the following topics:

- the importance of completing a rigorous course of study in high school to college enrollment and completion;
- the importance of saving for college;
- the importance and availability of grant, loan, and merit aid for prospective students;
- strategies for engaging college students, college faculty, and community members in service opportunities directed at increasing college access among underrepresented groups.

Participants will also have the opportunity to collaborate in small work groups to develop ideas and strategies for action directed at increasing the number of Utah students adequately preparing for college.

### **Activity #3: Development and Publication of Implementation Manual**

A third activity to be undertaken with this portion of the CACG funds is the development and publication of an implementation manual, in both paper and electronic formats, for use as an ongoing college access resource by those working with low-income students in outreach activities.

### **Activity #4: Development and Publication of Student and Parent Materials**

A fourth activity to be completed with this portion of the CACG funds is Development and publication of brochures, flyers, posters, and other materials (in both English and Spanish) to be used by college outreach staff and public school guidance counselors with students and parents to encourage college preparation and participation. These materials will present concise, clear information on:

- the academic eligibility requirements for Academic Competitiveness Grants and SMART Grants, with particular emphasis on the Utah Scholars core course of study (State Scholars Initiative);
- two merit scholarships available to Utah students: 1) the Regents' Scholarship (available to students who complete the Utah Scholars rigorous core course of study in high school); and 2) the New Century Scholarship (available to students who complete the requirements of an associate's degree by the time they graduate from high school);
- the UtahMentor web site ([www.utahmentor.org](http://www.utahmentor.org)) and how to access its tools and utilities;
- free ACT and other test preparation services available to low income students; and
- services available to students who need assistance completing the FAFSA or college admissions applications.

#### **Activity #5: Development of Web-Based Resources to Assist Higher Education and Public School Outreach Staff**

Fifth, and finally, the Board will use this portion of the CACG funds to develop Web content specifically designed for public school guidance counselors, college financial aid and admissions staff, and college access program staff that incorporates the core elements of the training workshops, provides on-line refresher training, and delivers access to key research and policy information support, as well as best practices, related to college preparation and access for low income students.

## **2. PROPOSED OUTCOMES**

The anticipated outcomes based on the implementation of these services and activities are the following:

- 2009 and 2010 survey results of participants in the regional training workshops indicating that 95% of participants are more knowledgeable, after the training, about how to advise students on academic and financial preparation for college.
- An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.
- A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.

**B. OBJECTIVE #2: Increase the Number of Utah Pell-Eligible, First-Time College Students Completing the FAFSA and Qualifying for Academic Competitiveness Grants by Expanding Early Awareness of College and Accessibility of College Access Information Through Successful College Access Web Portal**

Second, approximately one-third of the grant funds (\$300,000) will be used to support the costs of an established, successful on-line college access Web portal utilized by the Board of Regents and its affiliate programs called UtahMentor. Since its inception in 2002, [www.utahmentor.org](http://www.utahmentor.org) has been the premier source of information for high school students, parents, and guidance counselors on college and career planning, college preparation, and financial aid. The site has become so popular and so well-used that in February 2008 it received a record 2.9 million hits.

**1. ACTIVITIES**

**Activity #1: Financial Support for the UtahMentor College Access Web Site**

The UtahMentor web site and its utilities are developed and managed by XAP Corporation, a company with which the Utah Higher Education Assistance Authority (UHEAA), an affiliate department of the Utah System of Higher Education under the supervision of the

Board of Regents, contracts. The current two-year contract, which continues XAP involvement with the UtahMentor web site from July 2008 to July 2010, requires payment of \$1,344,855 by the UtahMentor Contract Consortium, which is a partnership between UHEAA and several other state agencies and programs, including the Utah State Board of Education, the Utah Department of Workforce Services, and the state-wide GEAR UP program at Utah Valley University. Under the current contract, each of the participating entities will pay the following amounts over the next two years:

UHEAA: \$900,888

Department of Workforce Services: \$70,000

Utah Valley University—GEAR UP: \$24,360

Utah State Board of Education: \$349,607

Due to the ongoing student loan crisis and the resulting significant decline in revenue facing UHEAA, the Board proposes that \$300,000 of the CACG funds allocated to Utah be dedicated to defraying UHEAA's \$900,888 share of the UtahMentor contract for fiscal years 2008-2009 and 2009-2010. This expenditure of grant funds will ensure the continued viability of an outstanding, well-recognized college access tool that already has a visible and effective state-wide presence.

**Activity #2: Enhancement of UtahMentor Content and Utilities Specifically Geared to Low-Income Students**

In addition, the Board proposes that part of the funds dedicated to the UtahMentor contract be used, as needed, to revise or enhance the content on UtahMentor to ensure that it is relevant, clear, and user-friendly for low-income students who are the target focus of the CACG. Besides defraying costs of the overall contract, CACG funds will be used to add more information to UtahMentor about Academic Competitiveness Grants and SMART Grants, state



scholarships and recognitions tied to the completion of a rigorous core of study in high school, local and regional college access outreach activities, and service opportunities for college students, college faculty, and community members who might be interested in tutoring or mentoring high school and first-year college students.

## **2. PROPOSED OUTCOMES**

The anticipated outcomes based on the implementation of these services and activities are the following:

- A minimum 15% increase in the usage of the UtahMentor web site (e.g., monthly hits, student accounts, etc.) between August 2008 and August 2010.
- An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.
- A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.

### **C. OBJECTIVE #3: Increase the Number of Utah Pell-Eligible, First-Time College Students Who Complete the FAFSA and Qualify for Academic Competitiveness Grants Through Targeted Implementation of the State Scholars Initiative at High Schools with Large Numbers of Low-Income and At-Risk Students**

Third, and finally, approximately one-third of the CACG funds allocated to Utah (\$283,354) will be used to increase the number of low-income and disadvantaged Utah high school students arriving at college with the academic and social/emotional competencies to be successful in the college environment. This objective will be accomplished through a number of related activities.

## **B. ACTIVITIES**

### **Activity #1: Implementation of Utah Scholars in 20 High School Feeder Systems with High Populations of Low-Income Students**

The most important activity to accomplish this objective will be to encourage low-income Utah high school students to complete a rigorous course of study in high school. This will be done by expanding and implementing the Utah Scholars Initiative in 20 high school feeder systems with high populations of low-income and minority students.

In March 2006, the Utah K-16 Alliance applied for, and received, a \$300,000 two-year State Scholars Initiative grant from the U.S. Department of Education and the Western Interstate Commission for Higher Education (WICHE). Acting as fiscal agent for the grant, the Board of Regents and the Office of the Commissioner of Higher Education has implemented a very successful Utah Scholars program, which is based on national research confirming that the “academic intensity of the student’s high school curriculum still counts more than anything else in precollegiate history in providing momentum toward completing a bachelor’s degree.”<sup>1</sup> Indeed, research “shows that a high-quality, rigorous high school curriculum is especially important for African American and Latino students in terms of their completing a college degree.”<sup>2</sup>

Over the past two years (2006-2008) the Board has achieved a number of substantial accomplishments with the Utah Scholars initiative, including:

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<sup>1</sup> Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School to College* (U.S. Dept. of Ed., Feb. 2006), at xviii.

<sup>2</sup> Michael W. Kirst & Andrea Venezia, *From High School to College: Improving Opportunities for Success in Postsecondary Education* (Jossey-Bass, 2004), p. 300.

- presenting the U.S. Department of Education’s State Scholars Initiative classroom presentation to nearly 20,000 8<sup>th</sup> and 9<sup>th</sup> grade students in approximately 75 middle schools and high schools;
- recruiting and training over 100 business, community, and higher education leaders to deliver the State Scholars classroom presentation and speak about the initiative to their peers and colleagues;
- receiving a \$500,000 one-time appropriation from the Utah Legislature during its 2007 General Session to expand and sustain the program;
- receiving a \$900,000 appropriation from the Utah Legislature during its 2008 General Session to establish a “Regents’ Scholarship” connected to completion of the Utah Scholars core course of study.

However, because Utah’s federal State Scholars grant will end in March 2009, it is imperative that the Board secure funding from a variety of sources to ensure the program’s continued viability and expand its reach to more schools with high populations of low-income and minority students.

The most important activity to be done under this objective will be intensive implementation of Utah Scholars in twenty (20) high school feeder systems along the Wasatch Front (Ogden to Provo) corridor with the highest proportions of low income students and the lowest college-going rates. The following high schools, together with their feeder middle schools, have been identified as the targets for Utah Scholars implementation with CACG funds: Ben Lomond High School and Ogden High School (Ogden City School District); Clearfield High School, Layton High School, and Syracuse High School (Davis School District); East High School, West High School, and Highland High School (Salt Lake City School District); Copper

Hills High School, Hillcrest High School, and West Jordan High School (Jordan School District); Murray High School (Murray School District); Mountain View High School and Orem High School (Alpine School District); and Provo High School (Provo City School District).

Because the State Scholars Initiative core course of study is recognized by the U.S. Department of Education as a “rigorous course of study in high school” qualifying students for Academic Competitiveness Grants, this targeted effort will be critical to increasing the numbers of low-income students who receive ACGs in Utah.

### **Activity #2: Development and Publication of Utah Scholars Materials for Students and Parents**

This portion of the CACG funds will also be used to develop, publish, and distribute Utah Scholars materials, including but not limited to: student and parent brochures and forms; training manuals and CDs for guidance counselors and business leaders; Utah Scholars medallions and certificates; and newsletters.

### **Activity #3: Enhancement and Maintenance of Utah Scholars Web Site**

In addition to enhancing and expanding usage of the UtahMentor Web site, CACG funds will also be used to edit, improve, and manage the Utah Scholars Web site ([www.utahscholars.org](http://www.utahscholars.org)). The Utah Scholars Web site will be linked to the UtahMentor Web site and will serve as the central point of information on academic preparation for college in Utah.

### **Activity #4: University of Utah College Readiness/Student Success Project**

A fourth use of this portion of the CACG funds will be financial support for a College Readiness/Student Success Initiative project conducted in partnership between the Office of the Commissioner of Higher Education, Utah Scholars, the University of Utah College of Education, and the Granite School District to develop and pilot a college readiness/student success project

that will target the non-cognitive and motivational determinants of college readiness in low-income and underrepresented school populations.

This project will be grounded in research indicating that multiple non-cognitive psychosocial factors (e.g., achievement motivation, academic goals, institutional commitment, perceived social support, social involvement, academic self-efficacy, contextual influences, and general self-concept about academic-related skills) account for variance in college academic performance and post-secondary persistence beyond that accounted for by past academic performance (high school GPA) and standardized test scores (ACT/SAT scores). The project's key element will be the administration of ACT's "Student Readiness Inventory (SRI)," a 10-scale inventory that measures high school students' motivation, social engagement, and self-management, to students in selected Granite high schools. Having been found to be a reliable instrument for identifying high risk college students and college performance, especially during the first and second years, the data produced by this assessment will help guidance counselors, Utah Scholars staff, GEAR UP, AVID, and other college outreach staff to promote college aspirations among students who may not have considered post-secondary education as a possible option.

In addition, the project will develop short curriculum components and homework activities to help teachers reinforce student readiness concepts in the context of regular coursework, comprehensive guidance curriculum modules for delivery within the regular guidance program, and parent and teacher training workshops to reinforce college readiness efforts at home and in the classroom.

### **Activity #5: Utah Campus Compact Service-Learning and Community Engagement Projects Related to Student Access and Success**

Finally, this objective will be accomplished by providing financial support to both existing and yet-to-be developed campus service-learning and community engagement projects, sponsored by Utah Campus Compact (UCC), directed at improving college access and success among low-income and underrepresented groups. The national Campus Compact, which includes Utah and 32 other state affiliate members, has made bridging the opportunity gap through educational access and success one of its top priorities. Explaining why colleges and universities should focus their service-learning and community engagement efforts on access and success issues, national leaders of Campus Compact have stated: “The divide between the rich and poor continues to grow in our nation, with immigrant and minority populations being particularly hard hit. This divide is reflected in students’ access to, and success in college. . . . A college education is a major predictor not only of individual economic and social improvement but also of civic participation (voting, volunteering, keeping abreast of public issues).”<sup>3</sup>

Based on this philosophy, Utah Campus Compact (UCC), a coalition of all 13 of Utah’s public and private non-profit colleges and universities, recently adopted a new five-year strategic plan to implement its mission, which is to “link and support Utah’s colleges and universities in promoting civic engagement and preparing students for responsible citizenship.” One of the two main goals of UCC under this plan is to “provide leadership and leverage resources that assist interested member institutions in creating and maintaining programs that promote higher education initiatives with statewide importance,” and for 2008-2013 UCC will focus on an Access and Success Initiative. The strategic plan defines Access and Success as “helping disadvantaged elementary, middle school, high school, and first-year college students obtain the

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<sup>3</sup> Barbara Holland & Elizabeth Hollander, *The Next Twenty Years—The Framing Essay* (Campus Compact, Feb. 2006).

fundamental academic, social, and financial skills they need to matriculate in a postsecondary institution of their choice and experience meaningful progress toward a degree or certificate within their first twelve months of enrollment.”

Consequently, UCC’s mission and strategic plan are well aligned with the purposes of the CACG legislation, and the Board proposes that part of the CACG funds be used to financially support both existing and new campus-based service-learning and community engagement projects that target college access for low-income students. Such projects may include but not be limited to:

- A tutoring/mentoring service and learning program delivered by faculty, staff, and students at Weber State University to low-income students at Mt. Ogden Middle School in Ogden, Utah.
- A service and learning program designed to help low-income students at East High School in Salt Lake City prepare for the ACT and college admission, delivered by students at the University of Utah and Westminster College.
- A community engagement initiative delivered by faculty, staff and students at Utah Valley University to low-income Hispanic students in several middle schools and high schools in the Alpine and Provo school districts. This program involves a variety of college outreach efforts by Utah Valley University and a partnership with the Office of the Commissioner and Campus Compact to tutor and mentor Latino students striving to complete the Utah Scholars rigorous high school core.

### **C. PROPOSED OUTCOMES**

The anticipated outcomes based on the implementation of these services and activities are the following:



- An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.
- A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.
- A minimum of 20 low-income students per year in each of the 20 targeted high schools (400 students total each year) qualifying as Utah Scholars and recipients of the Regents' Scholarship in academic years 2008-2009 and 2009-2010.
- Providing the Utah Scholars classroom presentation to at least 25,000 middle school and high school students statewide per year during academic years 2008-2009 and 2009-2010.
- Development of tools for public school guidance counselors, parents, and higher education officials to help at-risk students strengthen the social, emotional, and other non-cognitive skills they need to succeed in postsecondary education.
- Implement and/or strengthen at least five (5) service-learning and community engagement projects through Utah Campus Compact designed to increase postsecondary access and success among low-income students.

### **III. ANSWERS TO SPECIFIC PROGRAM NARRATIVE QUESTIONS**

- 1. Please provide a description of the capacity and structure that the State has in place to administer the authorized services and activities, or the State's plan to develop such administrative capacity.**

The Board currently has the administrative capacity and structure to deliver the proposed services and activities. First, the Board has senior- and middle-level staff currently directing the

Utah Scholars Initiative who are experienced with all aspects of implementing this program with local public schools and business leaders. Second, the Board has experienced college outreach personnel, employed with the Utah Higher Education Assistance Authority (UHEAA), who are experienced with the use of UtahMentor and who deliver trainings on its use to parents, guidance counselors, and students across the state. Third, the Board has experienced staff, in both the Office of the Commissioner and UHEAA, who are well-connected with, and able to deliver high-quality training to, college admissions and financial aid personnel, public school guidance counselors, and staff of GEAR UP, TRIO, AVID, etc. Fourth, and finally, the Board, together with the public institutions of higher education which it governs, has the data personnel, institutional research personnel, and data systems (including Banner and PeopleSoft) with the capability of collecting and tracking relevant data to show progress toward the goals identified in this proposal.

- 2. In the case of a philanthropic organization that operates in more than one State, please describe plans to use funding to benefit students in each State for which your organization is applying for grant funds.**

Not applicable.

- 3. Describe briefly the record keeping system for collecting and reporting student outcome/achievement data and participation in services and activities. Specifically, what method(s) will your project use to collect and maintain student and family participation in activities and outcome data?**

The Board will utilize a number of different methods to collect and maintain activities and outcome data. First, the Board will utilize its Utah Scholars staff (including dedicated data personnel) and guidance counselors at participating high schools to collect and track data on the numbers of students who receive the Utah Scholars classroom presentation, the number of students who sign up to participate in Utah Scholars, and the number of students who complete the Utah Scholars core curriculum. Second, the Board will rely on data tracking utilities already

in use with the UtahMentor Web program to collect and data on UtahMentor usage (monthly hits, student accounts created, etc.). Third, the Board will rely on college financial aid officers to collect and track the numbers of Utah first-time college students who file a completed FAFSA, which they can do through campus-based Banner and PeopleSoft student information systems. Fourth and finally, the Board will rely on college outreach managers working with the Utah Higher Education Assistance Authority and the Office of the Commissioner of Higher Education to collect and track data on regional and local training workshops for college admissions and financial aid officers, public school guidance counselors, and college outreach program staff. Data collected will include data on numbers of participants and survey data on the effectiveness of the training.

4. **If States plan to make sub-grants to non-profit organizations (partnership), describe the process for awarding and monitoring sub-grants to non-profit organizations (i.e., soliciting applications, application review process, timelines, selection criteria, technical assistance, site visits, progress reports, etc.).**

Not applicable.

5. **Please list below the entities (State and local, philanthropic and other organizations) that will be actively involved in providing activities and services.**

Entities that will be actively involved in providing the activities and services described in this proposal include:

Office of the Commissioner of Higher Education; Utah Higher Education Assistance Authority (UHEAA); Utah Campus Compact; University of Utah College of Education; Statewide GEAR UP—Utah Valley University; TRIO; AVID; ETS; University of Utah College Advising Corps (funded with Jack Kent Cooke grant); Weber State University; Westminster College; Utah Valley University.

### SECTION III: GOALS AND OBJECTIVES FORM

Please provide a detailed description of the activities and services that the State plans to provide using CACGP funding in order to address the needs of underrepresented students.

| A. GOALS AND OBJECTIVES                                                                                                                                                                                                                                                                                                                                  | B. ACTIVITIES AND SERVICES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | C. PROPOSED OUTCOMES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Please provide measurable goals and objectives.</b>                                                                                                                                                                                                                                                                                                   | <b>List the activities and services that will be conducted to accomplish the goals and objectives.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>List anticipated outcomes based on the implementation of services and activities.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Example: To increase underrepresented students' and families' knowledge of postsecondary education financial options.                                                                                                                                                                                                                                    | Example: conduct informational workshops with parents and students to share sources and availability of financial aid; develop materials/handouts outlining financial aid opportunities.                                                                                                                                                                                                                                                                                                                                                                                                                                              | Example: 2011 survey results (85% participation rate) indicate that 95% of participating students are more knowledgeable about financial aid opportunities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b><u>Objective #1:</u></b><br>Increase the number of Utah Pell-eligible, first-time college students completing the FAFSA and qualifying for Academic Competitiveness Grants by strengthening the advising capabilities of public college admissions and financial aid counselors, public school guidance counselors, and college access program staff. | <b><u>Activities:</u></b><br>1. Professional Development for Public School Guidance Counselors, College Outreach Staff, Financial Aid administrators, and College Admissions Staff. (see narrative above).<br><br>2. Statewide Summit on Academic and Financial Preparation for College. (see narrative above).<br><br>3. Development and Publication of Implementation Manual. (see narrative above).<br><br>4. Development and Publication of Student and Parent Materials. (see narrative above).<br><br>5. Development of Web-Based Resources to Assist Higher Education and Public School Outreach Staff. (see narrative above). | <b><u>Outcomes:</u></b><br>1. 2009 and 2010 survey results participants in the regional training workshops indicating that 95% of participants are more knowledgeable, after the training, about how to advise students on academic and financial preparation for college.<br><br>2. An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.<br><br>3. A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 year. |

|                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
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| <p><b><u>Objective #2:</u></b><br/> Increase the number of Utah Pell-eligible, first-time college students completing the FAFSA and qualifying for Academic Competitiveness Grants by expanding early awareness of college and accessibility of college access information through Utah's successful college access web portal (UtahMentor).</p> | <p><b><u>Activities:</u></b><br/> 1. Financial Support for the UtahMentor College Access Web Site. (see narrative above).<br/> 2. Enhancement of UtahMentor Content and Utilities Specifically Geared to Low Income Students. (see narrative above).</p> | <p><b><u>Outcomes:</u></b><br/> 1. A minimum 15% increase in the usage of the UtahMentor web site (e.g., monthly hits, student accounts, etc.) between August 2008 and August 2010.<br/> 2. An increase in the percentage of the Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.<br/> 3. A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b><u>Objective #3:</u></b><br/> Increase the number of Utah Pell-eligible, first-time college students completing the FAFSA and qualifying for Academic Competitiveness Grants through targeted implementation of the State Scholars Initiative at high schools with large numbers of low-income and at-risk students.</p> | <p><b><u>Activities:</u></b></p> <ol style="list-style-type: none"> <li>1. Implementation of Utah Scholars in 20 High School Feeder Systems with High Populations of Low-Income Students. (see narrative above).</li> <li>2. Development and Publication of Utah Scholars Materials for Students and Parents. (see narrative above).</li> <li>3. Enhancement and Maintenance of Utah Scholars Web Site. (see narrative above).</li> <li>4. University of Utah College Readiness/Student Success Project. (see narrative above).</li> <li>5. Utah Campus Compact Service-learning and Community Engagement Projects Related to Student Access and Success. (see narrative above).</li> </ol> | <p><b><u>Outcomes:</u></b></p> <ol style="list-style-type: none"> <li>1. An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.</li> <li>2. A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 year.</li> <li>3. A minimum of 20 low-income students per year in each of the 20 targeted high schools (400 students total each year) qualifying as Utah Scholars and recipients of the Regents' Scholarship in academic years 2008-2009 and 2009-2010.</li> <li>4. Providing the Utah Scholars presentation to at least 25,000 middle school and high school students statewide per year during academic years 2008-2009 and 2009-2010.</li> <li>5. Development of tools for public school guidance counselors, parents, and higher education officials to help at-risk students strengthen the social, emotional, and other non-cognitive skills they need to succeed in postsecondary education.</li> <li>6. Implement and/or strengthen at least (5) service-learning and community engagement projects through Utah Campus Compact designed to increase postsecondary access and success among low-income students.</li> </ol> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## SECTION IV: BUDGET SUMMARY FORM

Please provide a complete summary of proposed expenditures (Federal and non-Federal) for each budget year.

| Budget Categories                                                                    | PROJECT YEAR 1   |                  | PROJECT YEAR 2   |                  | TOTAL              |
|--------------------------------------------------------------------------------------|------------------|------------------|------------------|------------------|--------------------|
|                                                                                      | FEDERAL          | NON-FEDERAL      | FEDERAL          | NON-FEDERAL      |                    |
| 1. Salaries and Wages                                                                |                  |                  |                  |                  |                    |
| 2. Employee Benefits                                                                 |                  |                  |                  |                  |                    |
| 3. Travel                                                                            | \$25,000         |                  | \$25,000         |                  | \$50,000           |
| 4. Materials and Supplies                                                            | \$85,000         |                  | \$85,000         |                  | \$170,000          |
| 5. Consultants & (                                                                   | \$190,000        | \$108,176        | \$190,000        | \$108,176        | \$596,352          |
| 6. Other                                                                             | \$133,354        |                  | \$133,354        |                  | \$266,708          |
| <b>A. Total Direct Costs:</b><br>(Sum of lines 1-6)                                  | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$1,083,060</b> |
| <b>B. Total Indirect Costs:</b><br>(cannot be greater than 8% of Total Direct Costs) |                  |                  |                  |                  |                    |
| <b>C. Equipment</b>                                                                  |                  |                  |                  |                  |                    |
| <b>D. Scholarships/Tuition Assistance</b>                                            |                  |                  |                  |                  |                    |
| <b>E. TOTAL REQUESTED</b><br>A + B + C + D                                           | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$1,083,060</b> |

*A grantee may use not more than 6 percent of the total amount of the sum of Federal funds and non-Federal funds for administrative purposes.*

If you are requesting reimbursement for indirect costs on line B, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_ Yes \_\_\_X\_\_\_ No  
 If yes, please provide the following information: Period Covered by the Indirect Cost Rate Agreement:  
 From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)  
 Approving Federal agency: \_\_\_ ED \_\_\_ Other (please specify): \_\_\_\_\_
- (2) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: \_\_\_ Is included in your approved Indirect Cost Rate Agreement? or \_\_\_ Complies with 34 CFR 76.564(c)(2)?



## BUDGET NARRATIVE

Please provide a justification for each budget category addressing Federal and non-Federal expenditures.

| <b>BUDGET CATEGORY</b>     | <b>FEDERAL EXPENDITURE</b>                                                                                                                                                                                                                                                                                                                                                                                             | <b>NON-FEDERAL EXPENDITURE</b>                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Salaries and Wages      | N/A                                                                                                                                                                                                                                                                                                                                                                                                                    | N/A                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 2. Employee Benefits       | N/A                                                                                                                                                                                                                                                                                                                                                                                                                    | N/A                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 3. Travel                  | State and local travel (hotel, gas, mileage, per diem, etc...) for college outreach and outreach personnel to conduct/attend regional professional development workshops and Utah Scholars activities (classroom presentations, parent meetings, business leader trainings, etc.) as needed. Funds to attend one or two national professional development workshops (i.e., FSA, NCAN, State Scholars Initiative, etc.) | State and local travel (hotel, gas, mileage, per diem, etc...) for college access and outreach personnel to conduct/attend regional professional development workshops and Utah Scholars activities (classroom presentations, parent meetings, business leader trainings, etc.) as needed. Funds to attend one or two national professional development workshops (i.e., FSA, NCAN, State Scholars Initiative, etc.) |
| 4. Materials and Supplies  | Printing and distribution of college access and preparation materials, and Utah Scholars materials (brochures, newsletters, policy briefs, CDs, etc.) in English and Spanish for use in regional training workshops and in identified districts/schools involved with CACGP.                                                                                                                                           | N/A                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 5. Consultants & Contracts | \$380,000 of the CACG funds will be used for two contractual purposes: 1) \$300,000 to defray the Board's share of a two-year contract with UtahMentor, Utah's official Web-based college access portal (career exploration, test prep, scholarship research, college applications and admission information, FAFSA, financial aid, etc.); and 2) \$80,000 to pay for the cost of                                      | The Board, in conjunction with the Utah Higher Education Assistance Authority, will contribute \$216,352 toward the UtahMentor contract over the two-year period of the grant, which will represent the Board's 1/3 state match of the total \$866,708 in federal CACG funds Utah expects to receive.                                                                                                                |

|                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |     |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
|                                   | communications/marketing professionals to develop/design printed materials and Web content to be used with the project.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |     |
| 6. Other                          | \$266,708 of the CACG funds will be used in a variety of activities described under Objective #3, as follows: 1) \$150,000 to support a statewide summit and targeted implementation of the Utah Scholars Initiative in 20 Wasatch Front high school feeder systems; 2) \$35,000 to support implementation of University of Utah College of Education's Student Success Initiative for low-income first-time college students; 3) \$60,000 to support Utah Campus Compact service learning and community engagement projects targeting college access and success among low-income students; 4) \$21,708 to support the costs of data collection and evaluation. | N/A |
| 7. Equipment                      | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | N/A |
| 8. Indirect Costs                 | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | N/A |
| 9. Scholarship/Tuition Assistance | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | N/A |

## **SECTION V – GOVERNOR’S LETTER**

Please include a signed letter from the Governor designating the agency that is responsible for administering the CACGP grant (attached).

## SECTION VI – PROGRAM ASSURANCES

The State makes the following assurances that it has policies and procedures in place as required by Title VII, Part E of Higher Education Act of 1965, as amended. Please put ‘**yes**’ (if assurance is given) or ‘**no**’ (if assurance cannot be given) next to the corresponding assurance. If you put ‘**no**’, please provide a date in the column for which the State will complete changes in order to provide assurance.

| Yes | No | Assurances Related to Policies and Procedures                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| X   |    | 1. States will give priority to students and families who are living below the poverty line applicable to students’ family size.                                                                                                                                                                                                                                                                                                                                                                                         |
| X   |    | 2. States must make activities and services available to all qualifying students and families regardless of a) choice of postsecondary institution; b) type of student loan received; c) server of such loan; and d) student’s academic performance.                                                                                                                                                                                                                                                                     |
| X   |    | 3. States will include in any information about financing options for higher education provided through an activity or service:<br><br>a. the availability of federal, state, local institutional, and other grants and loans for postsecondary education; and<br><br>b. information on financial assistance for postsecondary education that is not provided under title IV of the Higher Education Act of 1965 in a manner that is clearly distinct from information on student financial assistance under such title. |
| X   |    | 4. States will ensure that sub-grantees have been in existence prior to September 27, 2007 and have experience in implementing activities and services related to increasing access to higher education.                                                                                                                                                                                                                                                                                                                 |
| X   |    | 5. The State will disclose when making a payment to an eligible not-for-profit holder in the State: the name of the holder and the nature of the holder’s work in connection with any of the activities carried out, or any information or services provided with funds.                                                                                                                                                                                                                                                 |
| X   |    | 6. States will not use funds to promote any lender’s loans.                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| X   |    | 7. States will not use more than 6 percent of the total amount of the sum of Federal funds and non-Federal funds for administrative purposes.                                                                                                                                                                                                                                                                                                                                                                            |

## SECTION VII – STANDARD ASSURANCE FORMS

Please fill out the assurance forms presented in this section according to instructions. These forms must be signed and mailed, along with the title page, to the mailing address listed on Page 14 of this application.

## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
11. Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
12. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other

aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction (0348-0046), Washington, DC 20503

Project

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                    |                                                                                                                                                                                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. Type of Federal Action:</b><br>_____ a. contract<br>_____ b. grant<br>_____ c. cooperative agreement<br>_____ d. loan<br>_____ e. loan guarantee<br>_____ f. loan insurance                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>2. Status of Federal Action:</b><br>_____ a. bid/offer/application<br>_____ b. initial award<br>_____ c. post-award                             | <b>3. Report Type:</b><br>_____ a. initial filing<br>_____ b. material change<br><br><b>For material change only:</b><br>Year _____ quarter _____<br>Date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br>_____ Prime      _____ Subawardee<br>Tier _____, if known:<br><br><br><b>Congressional District, if known:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b><br><br><br><br><br><b>Congressional District, if known:</b> |                                                                                                                                                                                |
| <b>6. Federal Department/Agency:</b><br><br><br>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>7. Federal Program Name/Description:</b><br><br><br>CFDA Number, if applicable: _____                                                           |                                                                                                                                                                                |
| <b>8. Federal Action Number, if known:</b><br><br>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <b>9. Award Amount, if known:</b><br><br>\$ _____                                                                                                  |                                                                                                                                                                                |
| <b>10. a. Name and Address of Lobbying Registrant</b><br><i>(if individual, last name, first name, MI):</i><br><br><br>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a) (last name, first name, MI):</i><br><br><br>            |                                                                                                                                                                                |
| <b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> | <b>Signature:</b> _____<br><b>Print Name:</b> _____<br><b>Title:</b> _____<br><b>Telephone No.:</b> _____ <b>Date:</b> _____                       |                                                                                                                                                                                |
| <b>Federal Use Only</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>Authorized for Local Reproduction</b><br><b>Standard Form - LLL (Rev. 7-97)</b>                                                                 |                                                                                                                                                                                |

## CERTIFICATION REGARDING LOBBYING



Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

|                                                     |                                       |
|-----------------------------------------------------|---------------------------------------|
| NAME OF APPLICANT                                   | PR/AWARD NUMBER AND / OR PROJECT NAME |
| PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE |                                       |
| SIGNATURE                                           | DATE                                  |

ED 80-0013

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

### PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-

based pain in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

|                                             |       |                |
|---------------------------------------------|-------|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |                |
| APPLICANT ORGANIZATION                      |       | DATE SUBMITTED |

Standard Form 424B (Rev. 7-97) Back

April 18, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Amendments to R203 (Search Committee Appointment and Function)--Action Item

Issue

The Board's policy governing the appointment and function of presidential search committees needs minor modifications to ensure it is in full compliance with federal and state anti-discrimination laws, and to ensure that an appropriate number of candidates are forwarded to the Board of Regents as finalists. The necessary modifications are explained below.

Background

Section 3.1 of R203, while well-intended in its effort to ensure an equal opportunity process for applicants, does not adequately comply with current state and federal anti-discrimination laws. This section should be amended to reflect that, in addition to the protected categories listed, the Board will also avoid discrimination on the basis of national origin, marital status, veteran's status, and disability.

Section 3.3 of R203 should be amended to allow the Commissioner of Higher Education to delegate the role of the executive secretary of the search committee to a senior member of his/her staff.

Section 3.6 of R203 should be amended to give the search committee, and the Board, more flexibility in determining the number of finalists to be forwarded to the Regents for final interviews. Previously the policy has required the search committee to forward "at least five" qualified candidates as finalists; it is proposed that this language be replaced with "at least three but no more than five."

Commissioner's Recommendation

The Commissioner recommends that the Board approve these policy changes as proposed.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd  
Attachment

# R203, Search Committee Appointment and Function, and Regents' Selection of Presidents of Institutions

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## R203-1. Purpose

To provide for the establishment and function of presidential search committees and for the selection of presidents by the Board in the System of Higher Education.

## R203-2. References

- 2.1. Utah Code [§53B-2-102](#) (Board to Appoint President of Each Institution)
- 2.2. Policy and Procedures [R120](#), Bylaws of the State Board of Regents; 3.3.2.4. (Selection of President)

## R203-3. Presidential Search Committees

**3.1. Board is Equal Opportunity Employer** - The Utah State Board of Regents is an equal opportunity employer. Board action to employ presidents shall be based upon selection only after extensive advertising of vacancies, screening of applicants, and searching for applicants without regard to race, ethnicity, creed, color, sex, marital status, disability, national origin, veteran's status, or religious persuasion.

**3.2. Early Beginning of Search Process** - It shall be the policy of the Regents to begin the search and selection process for filling institutional presidencies from no less than six and preferably twelve months in advance of the time when the incumbent plans to retire or make his or her resignation effective. This early beginning of the search process is intended to allow sufficient time for advance advertising and search activities that will facilitate the widest possible notice of vacancies and extensive search activities to attract high quality nominees and applicants. In instances where unanticipated vacancies occur without notice and without sufficient time for an extensive search, the Regents may appoint an acting president in order to provide the necessary time. The selection and appointment of presidents, being one of the foremost responsibilities given to the Regents, shall be given the highest priority consideration of the Board.

**3.3. Chair Appoints Search Committee** - The Chair of the State Board of Regents shall appoint a search committee chair and the full membership of a search committee following authorization by the Board and after consultation with the Chair or other members of the Board of Trustees and other constituencies, as is deemed advisable by the Chair of the Board of Regents. All search committee chairs shall be members of the Board of Regents. Additionally, not less than three Regents shall be appointed to all search committees. To the extent possible, the Search Committee will include an equal number of Regents and Trustees. The membership of search committees to be appointed by the Chair shall be broadly representative of the Regents, institutional Board of Trustees, faculty, and administration. In addition, the Chair shall give consideration to appointing representatives of the alumni, the community, the student body, and the college or university staff. Also, consideration shall be given to assure appropriate representation of women and people of color on the search committee. The Commissioner of Higher Education or his/her designee shall serve as executive secretary to the search committee.

**3.4. Advertising** - After the search committee has held its first meeting and has agreed upon qualifications for the position, the Commissioner of Higher Education shall be responsible for advertising nationwide, regionally, and statewide the availability of the position and an invitation to all interested persons to apply for the position or to nominate others. Applications or nominations shall be made to the Commissioner and will be accepted until the position is filled.

**3.5. Aggressive Search** - All Regents, search committee members, the Commissioner of Higher Education, presidents, vice presidents, deans, department heads, faculty, students, alumni, friends of the institution, and members of the community shall be encouraged to take the initiative in nominating qualified individuals and encouraging qualified individuals to apply for the position. All of the above should participate in an aggressive search for qualified persons. The emphasis shall be upon a search for qualified individuals and not the passive acceptance of applications from those seeking the position, and search committees shall organize themselves and implement their search accordingly.

**3.6. Duties of the Search Committee** - The search committee shall meet regularly and shall by majority vote of those present, determine and direct all activities of the committee. The committee shall have the duty to establish qualifications for the position, to search for qualified individuals, to receive nominations and applications, to review the qualifications of nominees and applicants, to seek out information about nominees and applicants, to interview nominees and applicants, and to transmit to the Board the names of ~~no less than five~~ **at least three (3) but no more than five (5)** persons who are fully qualified to serve as president of the institution. Committee members shall study files compiled by the executive secretary on each applicant and nominee and shall become fully informed about applicants and nominees. The Commissioner of Higher Education and her or his staff shall provide information and make confidential inquiries and give reports on the same as requested by the committee.

**3.7. Confidentiality** - The search committee shall keep all information about applicants and nominees strictly confidential. They should exercise special care to avoid disclosure of confidential information and to protect the right of all applicants and nominees to privacy and anonymity insofar as is possible. The chair and the executive secretary shall emphasize and constantly remind all search committee members of the importance of preserving the confidentiality of all information made available to all members of the committee. The Board of Regents will make public the names of finalists to be interviewed by the full membership of the Board.

**3.8. Personal Interviews of Qualified Applicants and Nominees** - The search committee shall review the comprehensive files on all applicants and nominees and shall invite for personal interviews those applicants or nominees that appear to be qualified and that appear to show the highest promise of being capable of serving with distinction as president of the institution.

**3.8.1.** Those who are interviewed shall be given an opportunity to become acquainted with the requirements of and qualifications for the position and with the role, programs and problems of the institution.

**3.8.2.** During or following each interview the committee or the chair shall determine whether or not the interviewee would and could accept the position of president if offered at the salary and benefit level and contractual conditions specified by the Board of Regents, and commence service in that position within the time frame indicated by the Board.

**3.8.3.** At the conclusion of all interviews, the search committee shall discuss openly and fully each nominee or applicant interviewed. The particular strengths and weaknesses of each interviewee should be highlighted and all committee members should give the full committee the benefit of his or her views on each candidate.

**3.9. Search Committee Vote** - Following this discussion, the search committee members shall vote by secret ballot on each interviewee who has indicated her or his willingness to serve as president. The voting procedure shall be as follows:

**3.9.1.** Each committee member shall write the name of the candidate on one side of a sheet of paper.

**3.9.2.** To the question, "Is this candidate fully qualified to be president of this institution?", each search committee member shall write the word "yes" or "no."

**3.9.3.** All papers will be folded and handed to the executive secretary. The executive secretary and the chair will then compile the responses.

**3.9.4.** The chair shall then announce to the search committee the names of those candidates that received a majority of "yes" responses to the question. The response counts on other candidates shall not be reported to the committee.

**3.9.5.** The chair shall report to the Board of Regents the results of the voting of the search committee on all candidates that were interviewed.

**3.9.6.** Unless the Board of Regents calls upon the search committee for more information, or unless the Board votes to reconvene the search committee as provided in 4.7 below, the work of the committee shall be finished after they have concluded their balloting on each candidate and submitted their written report and recommendations to the Board.

**3.10. Proxy Voting by Search Committee Members** - Proxy voting by search committee members will be permitted, but no search committee member shall be permitted to vote on a candidate unless he or she has interviewed the candidate. The proxy vote will be transmitted to the chair of the committee in the form of an informal letter in which the committee member states:

**3.10.1.** "The following candidates, whom I have interviewed are in my judgment fully qualified to be president of this institution:

(The names of the candidates shall follow.)

"All other candidates have either not been interviewed or they are not, in my view, fully qualified."

**3.10.2.** The Search committee member's signature shall be affixed to the letter and the letter shall be labeled: Personal and confidential. The letter shall be delivered to the chair or the executive secretary in a sealed envelope and the envelope shall be labeled: Personal and confidential.

**3.11. Purpose of Search Committee** - The purpose of the search committee is to assist the Regents in appointing a highly qualified person to serve as president. In keeping with this, the committee members should not seek to restrict the names to be placed before the Regents for their consideration. The above process is designed to give the Regents the broadest choice in carrying out the statutory responsibility of appointing presidents of Utah System of Higher Education institutions.

#### **R203-4. President Selection by Regents**

**4.1. Regents May Consider All Candidates and Nominees; Consideration of Search Committee Deliberations and Actions** - All names of all persons that were interviewed by the search committee, and all names of all applicants and nominees that were not interviewed, shall be transmitted to the Regents, and the Regents shall interview any person on either list and shall appoint the individual whom the Regents feel is the best qualified for the position. This shall be done, however, after having weighed very carefully the views expressed by the search committee members and after having given very careful consideration to the voting of the committee members as outlined above, and after consulting with the institutional Board of Trustees.

**4.2. Search Committee Interview and Report Necessary for Regent Interview** - If the Regents determine that an applicant or nominee who was not interviewed by the search committee should be interviewed by the Regents, the search committee shall be notified and convened to interview the applicant, to vote on the person's qualifications, and to advise the Regents on the outcome of the vote.

**4.3. Consideration of Search Committee Findings** - In almost all instances, it is anticipated that the most highly recommended candidates will be the only ones interviewed by the Regents. Search committees, therefore, have a very heavy responsibility, and the Regents have an obligation to give the highest priority consideration to search committee findings in interviewing finalists and in appointing a new president.

**4.4. Selection of Finalists to be Interviewed** - After having reviewed fully the report of the search committee, the Board of Regents shall determine what candidates they want to interview as finalists for the position of president. A schedule of interviews will be established and the Commissioner of Higher Education shall make the necessary arrangements with all finalists. The Board of Regents will make public the names of all finalists to be interviewed by the full Board. Finalist interviews will be held in an executive session pursuant to the Utah Open and Public Meetings Act.



**4.5. Files and Reference Information Available to Regents** - The comprehensive files of all finalists shall be made available to all Regents for their review prior to the time of the scheduled interviews. If the Board deems it to be necessary, the Commissioner will make additional contacts to gather added information on the finalists and report the same to the Board.

**4.6. Deliberations after Interviews** - After the Regents have completed their interviews of the finalists, the strengths and weaknesses of each candidate will be fully and openly discussed by the Board. The Commissioner will be asked to give his or her appraisal of each finalist, and each Regent will be invited to express her or his views.

**4.7. Preliminary Qualification of Candidates** - Prior to seeking to reach consensus to appoint the president, the Regents shall consider the question: "Is one or more of these candidates fully qualified, and will one or more of them, in your judgment, perform the duties as president of this institution with distinction?" If a majority of the members present appear to agree with the above question, the Regents will proceed to appoint a new president. If, however, a majority appear to disagree with this question, the Regents will request the search committee to reconvene and to search for additional qualified persons.

**4.8. Board of Trustees may petition for consultation** - Prior to the final selection of an institutional President, the Board of Trustees may petition the Board to arrange for more extended communications regarding the selection of the President.

**4.9. Voting to Appoint a President** - Voting for appointment of the president shall be in a properly noticed and constituted open meeting of the Board. Nine votes or more will be required to appoint a president.

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(Adopted November 20, 1978; amended May 18, 1982, October 11, 1985, September 12, 1986, September 18, 1992, November 13, 1998, September 13, 2002, and **September 5, 2008**)

August 27, 2008

MEMORANDUM

To: State Board of Regents  
From: William A. Sederburg  
Subject: General Consent Calendar

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

A. Minutes

1. Minutes of the Special Board Meeting held July 8, 2008, at the Regents' Offices in Salt Lake City, Utah
2. Minutes of the Regular Board Meeting held July 10-11, 2008, at Southern Utah University in Cedar City, Utah

B. Grant Proposals

1. University of Utah – National Institutes of Health/National Heart Lung & Blood Institute; "Endothelium and Stenosis"; \$1,505,000. Yan-Ting Shiu, Principal Investigator.
2. University of Utah – National Institutes of Health; "Auditory Prosthesis"; \$1,394,950. Bradley Edward Greger, Principal Investigator.
3. University of Utah – State of Utah; "Juvenile Justice, 2008-2011"; \$2,555,832. Leissa A. Roberts, Principal Investigator.
4. University of Utah – National Institutes of Health; "Select Agent Diagnostics"; \$3,867,858. James N. Herron, Principal Investigator.
5. University of Utah – National Institutes of Health; "Temporal Lobe Epilepsy"; \$3,231,382. Karen S. Wilcox, Principal Investigator.
6. University of Utah – National Institutes of Health; "P450 Metabolism in Asthmatics"; \$2,927,349. Garold S. Yost, Principal Investigator.
7. University of Utah – Howard Hughes Medical; "Chemical Probes for PTPS"; \$1,500,000. Amy M. Barrios, Principal Investigator.

8. University of Utah – National Institutes of Health; “Comp RNAi Screen-Neural Regen”; \$1,881,250. Michael Bastiani, Principal Investigator.
9. University of Utah – National Institutes of Health; “Synthesis of Bioactive Indoles”; \$1,354,500. Jon D. Rainier, Principal Investigator.
10. University of Utah – Administration on Children Youth and Families; “Workforce Initiatives”; \$5,010,128. Norma J. Harris, Principal Investigator.
11. University of Utah – National Institutes of Health/National Institute for Child Health and Human Development; “National Children’s Study”; \$26,571,391. Edward B. Clark, Principal Investigator.
12. University of Utah – National Institutes of Health/National Cancer Institute; “Burt PPG”; \$13,734,352. Randall Walter Burt, Principal Investigator.
13. University of Utah – Howard Hughes Medical; “Epithelial Cell Extrusion”; \$2,309,322. Jody Rosenblatt, Principal Investigator.
14. University of Utah – National Institutes of Health; “EGFR Signaling by Lipid”; \$1,881,250. Matthew K. Topham, Principal Investigator.
15. University of Utah – National Institutes of Health/National Cancer Institute; “Selenium and Melanoma”; \$1,505,000. Pamela B. Cassidy, Principal Investigator.
16. University of Utah – National Institutes of Health; “Shine/Four Corners”; \$4,895,253. Marty Slattery, Principal Investigator.
17. University of Utah – National Institutes of Health; “Dynamic Breast MRI”; \$2,294,556. Matthias Schabel, Principal Investigator.
18. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Filtering Protein Interaction”; \$2,242,988. Alun William Thomas, Principal Investigator.
19. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Role of ECM29-Proteasomes”; \$1,881,250. Martin Carl Rechsteiner, Principal Investigator.
20. University of Utah – National Institutes of Health; “Prevention of Biofilm”; \$1,881,250. Roy D. Bloebaum, Principal Investigator.
21. University of Utah – National Institutes of Health/National Institute for Child Health and Human Development; “Genetics - NRSA T32”; \$1,711,038. David H. Viskochil, Principal Investigator.

22. University of Utah – National Institutes of Health; “Neural Reward Circuits”; \$1,693,125. Sharif A. Taha, Principal Investigator.
23. University of Utah – Howard Hughes Medical; “OCT Proteins at the Junction”; \$1,500,000. Roland D. Tantin, Principal Investigator.
24. University of Utah – Army Medical Research Acquisition; “Viral-Induced Seizures”; \$1,353,840. Robert S. Fujinami, Principal Investigator.
25. University of Utah – Army Medical Research Acquisition; “Auto-reactive CD8 T Cells”; \$1,332,163. Robert S. Fujinami, Principal Investigator.
26. University of Utah – National Institutes of Health; “Mechanisms Regulating”; \$1,316,875. Xinjian Chen, Principal Investigator.
27. University of Utah – National Institutes of Health/National Library of Medicine; “Solving Health Info Needs”; \$1,120,165. Roberto A. Rocha, Principal Investigator.
28. University of Utah – Idaho Technology, Inc.; “STI and Respiratory Pathogen”; \$1,008,609. Carrie L. Byington, Principal Investigator.
29. University of Utah – Virginia Polytechnic Institute; “DHS: Centers of Excellence”; \$2,163,432. Christopher R. Johnson, Principal Investigator.
30. University of Utah – National Institutes of Health; “4D Stereotactic Body Radiation”; \$1,493,767. Sarang Joshi, Principal Investigator.
31. University of Utah – National Institutes of Health; “Cat Walking”; \$3,692,754. Gregory A. Clark, Principal Investigator.
32. University of Utah – National Institutes of Health; “Atlases of the Mouse Heart”; \$1,881,250. Edward W. Hsu, Principal Investigator.
33. University of Utah – National Institute of Health/National Institute of Biomedical Imaging and BioEngineering; “Nanotherapeutics”; \$1,793,064. Hamidreza S. Ghandehari, Principal Investigator.
34. University of Utah – National Institutes of Health/National Institute of Allergy and Infectious Diseases; “Sustained Intra-vaginal Delivery”; \$1,476,406. Patrick F. Kiser, Principal Investigator.
35. University of Utah – National Institutes of Health/National Institute of Allergy and Infectious Diseases; “Oral Delivery Systems for Nov”; \$1,443,774. Patrick F. Kiser, Principal Investigator.

36. University of Utah – National Institutes of Health/National Institute of Neurological Disorders and Strokes; “Novel Therapies for Epilepsy”; \$6,596,290. H. Steve White, Principal Investigator.
37. University of Utah – National Institutes of Health/National Cancer Institute; “Engineered Intelligent Micelle”; \$2,385,096. You Han Bae, Principal Investigator.
38. University of Utah – National Institutes of Health; “RGD-Polymer Targeting”; \$1,693,125. Sung Wan Kim, Principal Investigator.
39. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Multi-functional Gene Carrier”; \$1,693,125.
40. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Novel Globular Macromolecules”; \$1,354,500. Zheng-rong Lu, Principal Investigator.
41. University of Utah – National Institutes of Health/National Institute on Drug Abuse; “Quantif of Drugs of Abuse”; \$1,348,615. David E. Moody, Principal Investigator.
42. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “TRPV1, Endovanilloids, and ALI”; \$1,204,000.
43. University of Utah – National Science Foundation; “Think Globally”; \$2,910,775. Donald H. Feener, Principal Investigator.
44. University of Utah – National Institutes of Health; “Terpene Condensation Reactions”; \$2,406,595. Charles Dale Poulter, Principal Investigator.
45. University of Utah – National Science Foundation; “Forecasting Climate Change”; \$1,324,669. David R. Bowling, Principal Investigator.
46. University of Utah – National Science Foundation; “Analysis of Flagellum Assembly”; \$1,162,335. Fabienne Chevance, Principal Investigator.
47. University of Utah – NASA Space Operations Directorate; “Large Lake Geomorphic Process”; \$1,000,000. Kathleen Nicoll, Principal Investigator.
48. University of Utah – National Institutes of Health/National Cancer Institute; “Erlotinib & Sulindac Chemopreven”; \$3,687,038. Scott K. Kuwada, Principal Investigator.
49. University of Utah – National Institutes of Health/National Institute of Arthritis and Musculoskeletal and Skin Diseases; “Melanoma Progression”; \$1,881,250. Douglas Grossman, Principal Investigator.

50. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “RYRS and Ec-Coupling”; \$1,881,250. John H. B. Bridge, Principal Investigator.
51. University of Utah – National Institutes of Health; “Single Cell Transcriptomes”; \$3,649,625. Erik Jorgensen, Principal Investigator.
52. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “Sprint”; \$44,367,695. Alfred K. Cheung, Principal Investigator.
53. University of Utah – National Institutes of Health/National Cancer Institute; “Chronic Lymphocytic Leukemia”; \$3,229,581. Nicola J. Camp, Principal Investigator.
54. University of Utah – National Institutes of Health/National Institute of Biomedical Imaging and BioEngineering; “MRI AFIB Treatment”; \$3,023,514. Nassir F. Marrouche, Principal Investigator.
55. University of Utah – Army Medical Research Acquisition; “Treating Vascular Eye Diseases”; \$2,989,476. Dean Y. Li, Principal Investigator.
56. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “NAD(P)H Oxidase in Asthma”; \$2,960,655. John R. Hoidal, Principal Investigator.
57. University of Utah – National Institutes of Health/National Institute of Biomedical Imaging and BioEngineering; “Gradients”; \$2,803,696. Dennis L. Parker, Principal Investigator.
58. University of Utah – Mayo Clinic Rochester; “Sprint”; \$2,748,825. Paul N. Hopkins, Principal Investigator.
59. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Mitochondrial Fission”; \$2,530,993. Janet M. Shaw, Principal Investigator.
60. University of Utah – National Institutes of Health/National Institute of Diabetes; “Iron and Metabolism”; \$2,257,500. Donald McClain, Principal Investigator.
61. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Proteasome Activators”; \$1,881,250. Christopher Peter Hill, Principal Investigator.
62. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Iron Regulation of Gene Express”; \$1,881,250. Elizabeth A. Leibold, Principal Investigator.
63. University of Utah – National Institutes of Health; “Mechanisms Controlling RPE Dev”; \$1,881,250. Sabine Fuhrmann, Principal Investigator.

65. University of Utah – National Institutes of Health/National Institute of Neurological Disorders and Strokes; “ALD in a Drosophila Model”; \$1,881,250. Anthea Letsou, Principal Investigator.
66. University of Utah – National Institutes of Health; “Evolving Microbicides”; \$1,739,426. Eric W. Schmidt, Principal Investigator.
67. University of Utah – National Institutes of Health/National Cancer Institute; “OCT1 Target Gene Control”; \$1,693,125. Roland D. Tantin, Principal Investigator.
68. University of Utah – University of Michigan; “Collaborative Genomic Studies”; \$1,684,738. Gerald Gene Kreuger, Principal Investigator.
69. University of Utah – National Institutes of Health/National Cancer Institute; “Genie”; \$1,565,672. Nicola J. Camp, Principal Investigator.
70. University of Utah – Registrat Inc; “Psolar C0168Z03”; \$1,500,000. Gerald Gene Krueger, Principal Investigator.
71. University of Utah – Army Medical Research & Materiel; “MRI of Cervical Spinal Cord;” \$1,344,735. Eun-Kee Jeong, Principal Investigator.
72. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “Angiotejinogen-Mediated HTN”; \$1,128,750. Jean-Marc LaLouel, Principal Investigator.
73. University of Utah – Colorado State University; “Emergency Response for RMRCE”; \$1,007,865. Adishesu Venkata Gundlapalli, Principal Investigator.
74. Utah State University – State Office of Education; “EBLS Charter School Fund”; \$2,081,835. Sue McCormick, Principal Investigator.
75. Utah State University – National Institutes of Health; “Defining and Molecular Determinants of PRMT1 Catalyzed Arginine Methylation”; \$1,567,159. Joan Hevel, Principal Investigator.
76. Utah State University – Department of Health and Human Services; “National Head Start Center for Physical Development and Outdoor Play Environments”; \$11,730,72.33. Keith Christensen, Principal Investigator.
77. Utah State University – National Institutes of Health; “Auditory Processing of Temporally-Complex Sounds”; \$1,753,750. Donal Sinex, Principal Investigator.

78. Utah State University – U.S. Department of the Interior; "Books Just For Me: A Part C Approach and Curriculum to Promoting Communication, Emergent Literacy, and Self-Regulation"; \$1,775,719. Lisa Boyce, Principal Investigator.
79. Utah State University – National Institutes of Health; "Inhibitors of the OSPF Family of Pathogenic Effectors"; \$2,254,033. Alvan Hengge, Principal Investigator.
80. Utah State University – National Institutes of Health; "Fatty Acid Transduction in Taste Cells"; \$1,747,705. Timothy Gilbertson, Principal Investigator.
81. Utah State University – National Science Foundation; "Open Educational Resources for High Schools: A Pathway to Science, Technology, Engineering and Mathematics"; \$2,550,000. Brandon Muramatsu, Principal Investigator.
82. Utah State University – National Institutes of Health; "Nitrogenase Mechanism"; \$1,321,919. Lance Seefeldt, Principal Investigator.
83. Utah State University – Raytheon; "Sharp Pod Compression Suite P/N 350HN6200"; \$2,202,954. Niel Holt, Principal Investigator.
84. Utah State University – Applied Technology Associates Aerospace; "Testing of Jet Propulsion Laboratory Repointing Mirror Engineering Model"; \$3,969,167. Deon Dixon, Principal Investigator.

C. Grant Awards

1. University of Utah – National Institutes of Health/National Cancer Institute; "Natural Anti-cancer Agents"; \$1,115,726. Chris M. Ireland, Principal Investigator.
2. University of Utah – Department of Community and Culture; "HCI Appropriation"; \$7,500,000. Kevin L. Cheney, Principal Investigator.
3. University of Utah – National Institutes of Health/National Center for Research; "University of Utah CTSA"; \$4,513,700. James P. Kushner, Principal Investigator.
4. University of Utah – National Institutes of Health/National Institute for Child Health and Human Development; "MFMU Network Base"; \$1,652,269. Michael W. Varner, Principal Investigator.
5. University of Utah – HRSA Maternal and Child Health; "National EMSC Data Analysis Resource Center"; \$1,300,000. J. Michael Dean, Principal Investigator.



6. University of Utah – National Institutes of Health/National Institute of General and Medical Sciences; "Conus Peptides and Their Receptor Targets"; \$2,092,340. Baldomero M. Olivera, Principal Investigator.
7. University of Utah – National Institutes of Health/National Cancer Institute; "Surveillance, Epidemiology and End Results (SEER) Program"; \$1,1346,449. Wallace Akerley, Principal Investigator.
8. University of Utah – Centers for Disease Control; "ERC Training Grant"; \$1,320,902. Kurt Timothy Hegmann, Principal Investigator.
9. Utah State University – U.S. Naval Research Laboratory; "Time Critical Sensor Image/Data Processing, Naval Research Laboratory Task Order 7"; \$1,229,592. Niel Holt, Principal Investigator.
10. Utah State University – National Science Foundation; "National Center for Engineering and Technology Education"; \$1,999,875. Christine Hailey, Principal Investigator; Kurt Becker, Daniel Householder, and Maurice Thomas Co-Principal Investigators.
11. Utah State University – U.S. Department of Education; "To Operate Regional Resource Center, Region No. 5, Utah State University"; \$1,300,000. John Copenhaver, Principal Investigator.

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William A. Sederburg, Commissioner

WAS:jc  
Attachments

SPECIAL BOARD OF REGENTS MEETING  
REGENTS' OFFICES, SALT LAKE CITY, UTAH  
JULY 8, 2008

Regents Present

Jed H. Pitcher, Chair  
Bonnie Jean Beesley, Vice Chair  
Janet C. Cannon  
Rosanita Cespedes  
Katharine B. Garff  
Patti Harrington  
Meghan Holbrook  
David J. Jordan  
Nolan E. Karras  
Anthony W. Morgan  
Josh M. Reid (by phone)  
Marlon O. Snow  
John H. Zenger

Regents Excused

Jerry C. Atkin  
France A. Davis  
Greg Haws  
Basim Motiwala

Office of the Commissioner

David L. Buhler, Interim Commissioner  
Carrie Beckman, Policy and Special Projects Coordinator  
Troy Caserta, Accounting Officer  
Jorie Colbert, Research Officer  
Joyce Cottrell, Executive Secretary  
David S. Doty, Assistant Commissioner and Director of Policy Studies  
Andrea Worthen Hales, Education Policy and Accountability Director  
Kimberly Henrie, Assistant Commissioner for Budget and Finance  
Stephen Hess, Chief Information Officer  
Spencer Jenkins, Assistant Commissioner for Public Affairs  
Melissa Miller Kinkart, Program Director of State Scholars Initiative  
Phyllis C. Safman, Assistant Commissioner for Academic Affairs  
Mark H. Spencer, Associate Commissioner for Finance and Facilities  
Lucille T. Stoddard, Associate Commissioner for Academic Affairs  
Lynn S. Ward, Director, Utah Educational Savings Plan  
Gary S. Wixom, Assistant Commissioner for Academic Affairs

Representatives of the Media

Amy Stewart, *Deseret News*

(Several members of the Utah Valley University Board of Trustees and Commissioner's staff were also present.)

Chair Jed Pitcher called the meeting to order at 12:00 noon. **Regent Tony Morgan moved that the Board move into closed session to interview for the position of Commissioner of Higher Education. Regent Marlon Snow seconded the motion, which was adopted unanimously.**

The Regents reconvened in open session at 3:18 p.m. Chair Pitcher explained that the Regents had been meeting in closed session to interview a candidate for the position of Commissioner. **Vice Chair Beesley**

**moved the appointment of William A. Sederburg as Commissioner of Higher Education, effective August 18, 2008. The motion was seconded by Regent Garff and carried unanimously.** President and Mrs. Sederburg were escorted into the room to warm applause.

Regent Jordan thanked Dave Buhler for his excellent work as Interim Commissioner. He has done a wonderful job during a challenging period. The Regents and others present gave Dave a standing ovation.

Chair Pitcher welcomed Janette Hales-Beckham, chair of the Utah Valley University Board of Trustees, other trustees and members of President Sederburg's staff, as well as the Commissioner's staff.

Chair Pitcher explained briefly the search process. The Regents' Executive Committee, acting as the search committee, reviewed the names and qualifications of nearly 100 individuals and interviewed seven candidates. The process took longer than anticipated, because the search was temporarily suspended during the Legislative General Session. Chair Pitcher commented that this was only the second time in USHE history that a sitting president had been selected as Utah's Commissioner of Higher Education. (The other such appointment was Wm. Rolfe Kerr, president of Dixie College.)

Chair Pitcher thanked Interim Commissioner Buhler for a job well done and said it had been a pleasure to work with him.

Commissioner Buhler congratulated Dr. Sederburg and said it had been a great honor to serve as Interim Commissioner. He thanked the Regents and his staff for their wonderful support and said he had enjoyed the experience very much. He officially welcomed Dr. Sederburg on behalf of the Commissioner's staff and said we would do everything possible to provide a smooth and seamless transition.

Dr. Sederburg thanked Chair Pitcher, Vice Chair Beesley and the other Regents and said it was a great honor to be chosen as Commissioner. He said he and his wife, Joyce, would do everything possible to make this a very successful endeavor. He thanked Governor Huntsman, the legislators and others for their support. Dr. Sederburg said he look forward to strengthening the system in four areas: 1) integrity, 2) a clear strategic vision and goals, 3) working collaboratively – USHE institutions and the K-12 system, and 4) innovation and change.

Commissioner Sederburg expressed appreciation to the people of Utah and said we need to expand appreciation for higher education in this state. He thanked Interim Commissioner Buhler for doing a wonderful job and thanked the UVU Board of Trustees for driving to Salt Lake City to attend this meeting.

**Regent Holbrook moved that the meeting be adjourned. The motion was seconded by Regent Garff and carried unanimously.** The meeting adjourned at 3:30 p.m.

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Joyce Cottrell, Executive Secretary

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Date Approved

MEETINGS OF THE STATE BOARD OF REGENTS  
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH  
JULY 10-11, 2008  
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JOINT MEETING WITH STATE BOARD OF EDUCATION,  
LEGISLATIVE HIGHER AND PUBLIC EDUCATION APPROPRIATIONS SUBCOMMITTEES,  
AND EDUCATION INTERIM COMMITTEE  
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH  
JULY 10, 2008

Minutes

Regents Present

Jed H. Pitcher, Chair  
Bonnie Jean Beesley, Vice Chair  
Jerry C. Atkin  
Janet C. Cannon  
Rosanita Cespedes  
France A. Davis  
Katharine B. Garff  
Patti Harrington  
Meghan Holbrook  
Basim Motiwala  
Anthony W. Morgan  
Josh M. Reid  
John H. Zenger

Regents Excused

Greg Haws  
David J. Jordan  
Nolan E. Karras  
Marlon O. Snow

Also attending were Teresa Theurer and Joel Wright, who had been nominated to the State Board of Regents but not yet confirmed by the Utah State Senate.

Office of the Commissioner

David L. Buhler, Interim Commissioner  
Joyce Cottrell, Executive Secretary  
Troy Caserta, Accounting Officer  
David S. Doty, Assistant Commissioner and Director of Policy Studies  
Kimberly Henrie, Assistant Commissioner for Budget and Finance  
Stephen Hess, Chief Information Officer  
Spencer Jenkins, Assistant Commissioner for Public Affairs  
Phyllis C. Safman, Assistant Commissioner for Academic Affairs  
Mark H. Spencer, Associate Commissioner for Finance and Facilities  
Lucille T. Stoddard, Associate Commissioner for Academic Affairs  
Gary S. Wixom, Assistant Commissioner for Academic Affairs

Institutional Presidents

Michael T. Benson, Southern Utah University  
Mike King, College of Eastern Utah  
F. Ann Millner, Weber State University  
Stephen D. Nadauld, Dixie State College  
William A. Sederburg, Utah Valley University  
Richard L. White, Utah College of Applied Technology

Representatives of the Media  
Lisa Schencker, *Salt Lake Tribune*  
Amy Stewart, *Deseret News*

In addition, members of the State Board of Education, Higher Education Appropriations Subcommittee, Public Education Appropriations Subcommittee, and Education Interim Committee were present, as well as legislative staff and members of the State Office of Education.

The morning session focused on public education. The luncheon session was a joint meeting of legislators, Governor's Office, and representatives of public education and higher education. Gayle McKeachnie, Kristen Cox, Christine Kearl, Dixie Allen and Janet Cannon reported on the "SMART Sessions" held by the 21<sup>st</sup> Century Workforce Initiative.

Commissioner Buhler introduced Dr. Kim Clark, President of Brigham Young University-Idaho, who was the keynote speaker. Dr. Clark addressed the challenges of higher education (quality, access and affordability), BYU-Idaho's Three Imperatives (1-Improve the quality of every aspect of the student experience, 2-Serve more students, and 3-Lower the relative cost of education), and the three Key Initiatives of his administration, which he identified as The Learning Model, Peer Instruction, and Online Education. He then described experiences with each of those initiatives and the successes BYU-Idaho has experienced as a result. (Dr. Clark's PowerPoint presentation is available on the Regents' web site at [www.utahsbr.edu](http://www.utahsbr.edu), under Reports and Presentations.) President Clark responded to questions from those present.

Following Dr. Clark's remarks, Commissioner Dave Buhler and Superintendent Patti Harrington reported briefly that the two systems are working together to work out the "kinks" in funding for concurrent enrollment. They noted the quality of classes taught in the high schools must be the same as the same classes taught on USHE campuses. The next item on the agenda was a panel of Education Deans (Dr. Richard Young from Brigham Young University, Dr. Michael Hardman from the University of Utah, and Dr. Carol Strong from Utah State University), facilitated by Assistant Commissioner Phyllis Safman. Each of the panelists discussed the programs offered at his/her institution. They noted the great collaboration among the Deans of Education. Following the individual presentations, the panelists responded to questions.

The afternoon session focused on higher education issues. Commissioner Buhler and Associate Commissioner Mark Spencer reported on funded student target levels and reviewed funding methods used by other states. Assistant Commissioner Dave Doty reported on efforts to attract/recruit/retain students to higher education institutions. Staff also discussed higher education's efforts to meet employer demands in targeted areas.

The joint meeting adjourned at 3:15 p.m. All participants were invited to tour the Southwest Applied Technology Campus.

SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH  
JULY 11, 2008

Minutes

Regents Present

Jed H. Pitcher, Chair  
Bonnie Jean Beesley, Vice Chair  
Jerry C. Atkin  
Rosanita Cespedes  
France A. Davis  
Katharine B. Garff  
Meghan Holbrook  
Basim Motiwala  
Anthony W. Morgan  
Josh M. Reid  
John H. Zenger

Regents Excused

Greg Haws  
Janet C. Cannon  
Patti Harrington  
David J. Jordan  
Nolan E. Karras  
Marlon O. Snow

Also attending were Teresa Theurer and Joel Wright, who had been nominated to the State Board of Regents but not yet confirmed by the Utah State Senate.

Regents Harrington and Cannon attended the Legislative Public Education Appropriations Subcommittee meeting, occurring concurrently with the Board of Regents meeting.

Office of the Commissioner

David L. Buhler, Interim Commissioner  
Joyce Cottrell, Executive Secretary  
David S. Doty, Assistant Commissioner and Director of Policy Studies  
Kimberly Henrie, Assistant Commissioner for Budget and Finance  
Stephen Hess, Chief Information Officer  
Spencer Jenkins, Assistant Commissioner for Public Affairs  
Phyllis C. Safman, Assistant Commissioner for Academic Affairs  
Mark H. Spencer, Associate Commissioner for Finance and Facilities  
Lucille T. Stoddard, Associate Commissioner for Academic Affairs  
Gary S. Wixom, Assistant Commissioner for Academic Affairs

INSTITUTIONAL REPRESENTATIVES

University of Utah

Fred C. Esplin, Vice President for Institutional Advancement/University Relations  
Paul T. Brinkman, Associate Vice President for Budget and Planning  
Chuck Wight, Associate Vice President for Academic Affairs



Utah State University

Raymond Coward, Executive Vice President and Provost  
David Cowley, Associate Vice President for Financial Services/Controller  
Michael J. Kennedy, Special Assistant to the President for Federal and State Relations  
Michelle B. Larson, Assistant Provost  
Sydney M. Peterson, Chief of Staff

Weber State University

F. Ann Millner, President  
Brad Mortensen, Vice President for University Advancement

Southern Utah University

Michael T. Benson, President  
Rod Decker, Interim Provost  
Chase Palmer, Graduate Assistant to the President  
Gregory Stauffer, Chief of Staff

Snow College

Bradley A. Winn, Academic Vice President

Dixie State College

Stephen D. Nadauld, Interim President  
Donna Dillingham Evans, Vice President of Academic Services  
Donald R. Hinton, Dean of Education, Humanities, Arts and Social Sciences  
Stanley J. Plewe, Vice President of College Services  
Shandon Gubler, Chair, DSC Board of Trustees

College of Eastern Utah

Mike King, Interim President

Utah Valley University

William A. Sederburg, President  
Cameron Martin, Special Assistant to the President  
Loretta Palmer, Associate Vice President for Undergraduate Research and International Planning

Salt Lake Community College

Joe Peterson, Vice President of Instruction  
Dana Van Dyke, Budget Director

Utah College of Applied Technology

Richard L. White, President  
Jared Haines, Vice President of Academic and Student Services

Student Leaders

Dani Hansen, Dixie State College  
Andrew Hardman, College of Eastern Utah  
Steele Kizerian, Brigham Young University  
Jon McNaughton, Southern Utah University  
Andrew Nelson, Salt Lake Community College  
Patrick Reimherr, University of Utah  
Daniel Schwab, Weber State University  
Kelly Stowell, Director, Utah Student Association  
Joseph Watkins, Utah Valley University

Other Guests

Steven Allred, Office of the Legislative Fiscal Analyst  
Representative Mel Brown, Utah State Legislature  
Brad Cook, Chief Executive Officer, Higher Colleges of Technology, Abu Dhabi, UAE  
Gordon Crabtree, Executive Director, University of Utah Hospitals and Clinics  
Representative Kory M. Holdaway, Utah State Legislature  
Kelly Murdock, Wells Fargo  
John Sutherland, Chair, Technology Initiative Advisory Board (by telephone)  
Blake Wade, Ballard Spahr

Following a breakfast meeting with President Benson and the Southern Utah University Board of Trustees, the Regents met in Committee of the Whole. Chair Jed Pitcher called the meeting to order at 9:05 a.m. He thanked President Benson and his staff for their gracious hospitality. Chair Pitcher excused Regents Karras, Jordan, Snow and Haws and announced that Regents Harrington and Cannon were meeting with the Public Education Appropriations Subcommittee, along with members of the State Board of Education. Chair Pitcher introduced Regents France Davis and Basim Motiwala. He also recognized Teresa Theurer and Joel Wright, who had been nominated for appointment to the Board of Regents. They will be confirmed by the Senate in August and officially welcomed to the Board in September. Chair Pitcher acknowledged President Sederburg, who was appointed Commissioner earlier in the week. He also noted that this was Regent Reid's last meeting as a Regent. He will be missed. Chair Pitcher acknowledged the presence of Representatives Mel Brown and Kory Holdaway.

Administration of Oath of Office

The Oath of Office was administered to **France A. Davis** and **Basim Motiwala**, the newest members of the State Board of Regents. Chair Pitcher asked Regents Davis and Motiwala to briefly explain their background. Regent Davis is Pastor of the Calvary Baptist Church in Salt Lake City. He said he was delighted to have the opportunity to serve on the Board of Regents. His experience with higher education dates back to the urging of his father, who was able to complete only a third grade education. He wanted all of his children to do better. Pastor Davis said he had taught classes at the University of Utah in 1972 and had been a part of the University since then. He still teaches a course in African-American Studies as an adjunct instructor. His

desire is to provide educational opportunities for students who have finished high school. In his work as pastor, he provides tutoring and mentoring for students.

Regent Matiwala said his parents had migrated to America from Pakistan. He attended the University of Utah, where he enjoyed participating in student government. He recently took his MCAT exams and is looking forward to a career in medicine. He said he looked forward to representing Utah's students on the Board of Regents.

#### Report of the Joint Board Meeting

Chair Pitcher asked Commissioner Buhler to review briefly the joint meetings the previous day with the State Board of Education, Legislative Higher Education Appropriations Subcommittee, Public Education Appropriations Subcommittee, and the Education Interim Committee. Commissioner Buhler reported the meetings the previous day were under the direction of the Legislature; Higher education and public education officials were invited to be their guests. The Commissioner commented on the funding formula discussion and gave some background. He invited Representative Holdaway to comment briefly.

#### Announcements

Chair Pitcher reviewed the assignments to Board committees for the 2008-2009 year. Vice Chair Beesley announced assignments to the Presidential Resource and Review Teams and the various UCAT Boards of Directors for the coming year.

Chair Pitcher recognized the student body officers present and asked them to introduce themselves. He then reviewed the contents of the Regents' folders and announced that the October 24 Board of Regents meeting would be held at Utah Valley University.

The Regents were dismissed to their respective committees at 9:35 a.m. and reconvened in Committee of the Whole at 11:15 a.m.

#### Reports of Board Committees

Finance, Facilities and Accountability Committee (Regent Jerry C. Atkin, Chair)

Policy R562, Non-Lapsing Balances (Tab G). Chair Atkin reported the policy was intended to set acceptable benchmarks for non-lapsing balances. Institutions were directed to carry forward at least four percent, but no more than seven percent of appropriated funds for special projects that could not be funded in one academic year. The Council of Presidents agreed on the parameters. Exceptions were allowed, under special, justifiable circumstances. **Chair Atkin moved approval of Policy R562, Non-Lapsing Balances. Regent Reid seconded the motion.** Regent Morgan asked if capital funds appropriated but not spent were funded separately. Associate Commissioner Spencer said funds reserved for capital projects were not to be included in the non-lapsing balances. He noted E&G money includes plant funds. **Chair Atkin amended his**

**motion to include a check to see if the word “appropriated” was used accurately. Regent Reid accepted the amendment. Vote was taken, and the amended motion carried unanimously. [Staff has checked and has agreed to use the term ‘appropriated operating funds.’]**

University of Utah – Resolution Approving the Issuance of Hospital Revenue Refunding Bonds, Series 2008A (Tab H). Chair Atkin reported a refunding amount of \$23 million was authorized a few months ago to substitute a variable-rate bond with a fixed-rate bond. The proposal is to replace the variable-rate bond with another variable-rate bond secured by a letter of credit from a bank (65 basis points/year, 1½ percent). Chair Atkin noted that many times the short-term rate is advantageous. Also, the University of Utah has short-term assets in variable bonds to offset this liability. Attached to the memo for Tab H were a summary of the events leading up to this request and a financing summary, both prepared by Kelly Murdock, Senior Vice President of Wells Fargo. **Chair Atkin moved approval of the resolution to approve the Hospital Revenue Refunding Bonds, Series 2008A. Regent Zenger seconded the motion, and it was adopted unanimously.**

Southern Utah University – Campus Master Plan (Tab I). Chair Atkin referred to the 20-year campus master plan which was distributed to all Regents. President Benson said there had been a high level of community involvement and cooperation with the development of the master plan. It was a very productive and meaningful process. He asked Vice President Greg Stauffer to comment. Dr. Stauffer said the master plan was based on SUU’s three-prong strategic plan: outreach, academic excellence, and residential campus. It recognizes SUU’s role as Utah’s private-public university. He expressed appreciation for the help of DFCM staff in preparing the master plan. The group used the following planning assumptions: SUU must retain its personalized learning environment, and the residential campus experience must be increased. Also, FTE was projected for 20 years, including distance learning and off-campus programs. Dr. Stauffer remarked that the city of Cedar City was undergoing its general plan at the same time SUU was doing its master planning. The new plan resulted in a greater emphasis on pedestrian access. **Chair Atkin commended SUU officials for their work and moved approval of SUU’s Campus Master Plan. Regent Holbrook seconded the motion, which was adopted unanimously.**

College of Eastern Utah – Sale of Institutional Residence (Tab J). Chair Atkin said the current institutional residence at CEU was old and required constant updating and improvements. It is also designed poorly for hosting institutional events, and appliances and fixtures were dated. College officials propose to build a new institutional residence on College-owned property, which will better meet the needs of a college president. The Regents’ final approval of a new residence will be reserved until such time as they receive recommendations from consultants who are currently studying the future of CEU. **Chair Atkin moved approval of the sale of the CEU Institutional Residence. Regent Davis seconded the motion, which was adopted unanimously.**

Consent Calendar, Finance Committee (Tab K). **On motion by Chair Atkin and second by Regent Davis, the following items were approved on the Finance Committee’s Consent Calendar:**

- A. USHE – 2008-2009 Appropriated Operating Budgets
- B. Snow College – Purchase of Property Contiguous to Campus

USHE – 2008-2009 Information Technology Strategic Plan (Tab L). Chair Atkin said the committee had discussed this report in detail. He expressed appreciation to Steve Hess for the plan and for his report to the committee. The Regents are fortunate to have Steve as the System CIO as well as CIO for the University of Utah. Chair Atkin said this was an excellent plan. Vice Chair Beesley asked if the plan contained contingency plans for such events as the recent breach of security at the University of Utah. Chair Atkin responded in the affirmative. In addition, the plan contains a contingency for emergency disasters. Associate Commissioner Spencer said System resources could be used to help any institution. He also commended Dr. Hess for the very comprehensive plan. **Chair Atkin moved approval of the USHE Information Technology Strategic Plan for 2008-2009. Regent Davis seconded the motion, and it was adopted unanimously.**

Update on Institutional Health Plan Changes for 2008-2009 (Tab M). Chair Atkin said the committee had concluded that this was an excellent plan and that good changes have been made in the last five years.

Scope Definitions and Schedule for Campus IT Audits (Year Two) (Tab N). The USHE Security Assessment Team audited systems and networks at USHE institutions last year and provided an overall assessment. Each institution was presented with a list of recommendations for improvement. The proposed assessment for 2008-2009 will determine if the institutions are making the recommended changes and will provide a more in-depth assessment at each institution to further identify IT security risks.

USHE – Annual Research Grants Report (Tab O). Chair Atkin said this agenda item had been deferred until the September 5 Board meeting.

Dixie State College – Action of Regents' Executive Committee – Property Purchase (Tab P). Chair Atkin reported the Regents' Executive Committee had met and approved the purchase of an existing home to be used as an Institutional Residence for Dixie State College. He said it was a good buy on a very nice property.

Academic, CTE and Student Success ("Programs") Committee (Regent Katharine B. Garff, Chair)

Weber State University – Bachelor of Science Degree in Athletic Therapy (Tab B). Chair Garff reported Provost Michael Vaughan and Valerie Herzog, Director of Athletic Training, had made an excellent presentation to the committee. WSU currently offers two academic tracks in Athletic Training Education – the Clinical Track and the Scientific Track. Students in the Scientific Track are not eligible to sit for the Board of Certification exam but may choose to enter a variety of allied health care fields. The Commission on Accreditation of Athletic Training Education (CAATE) notified University officials that they would no longer accredit a specific track, only degree programs. Therefore, the Scientific Track has been separated into a distinct degree. The current curriculum will remain intact. **Chair Garff moved approval of a Bachelor of Science Degree in Athletic Therapy at Weber State University. Regent Cespedes seconded the motion, which carried unanimously.**

Weber State University – Bachelor of Science and Bachelor of Arts Degrees in Dance Education (Tab C). Chair Garff said Provost Vaughan and Amanda Sowerby, Assistant Professor of Dance, had presented this proposal to the committee. The program will share curriculum and resources with the University's College of Education. The Dance Education program combines study in dance pedagogy, choreography, history and performance with secondary education requirements and prepares students for secondary licensure. Two new

courses will be developed (Music for Dance and Dance Kinesiology) to complete the Dance Education curriculum. The program will be housed in the Department of Performing Arts. **Chair Garff moved approval of Bachelor of Arts and Bachelor of Science Degrees in Dance Education at Weber State University. Regent Zenger seconded the motion, which was adopted unanimously.**

Salt Lake Community College – Associate of Applied Science Degree in Interior Design (Tab D). Chair Garff said this program would be offered through the Architectural Technology Department. Students will be trained to assist in the interior design of private homes, public buildings and commercial areas. There is high student and industry demand for this degree. A recent Workforce Services Report projected the annual labor demand for Interior Designers will grow by 70 new positions and 20 replacement positions each year. **Chair Garff moved approval of an Associate of Applied Science Degree in Interior Design at Salt Lake Community College, seconded by Regent Beesley. The motion carried.**

Consent Calendar, Programs Committee (Tab E). **On motion by Chair Garff and second by Regent Beesley, the following items were approved on the Programs Committee's Consent Calendar:**

- A. Dixie State College – Student Media Center
- B. Salt Lake Community College – Certificate of Completion in Fashion Design

Information Calendar, Programs Committee (Tab F). The committee reviewed the following items, which did not require Regent approval:

- A. Utah State University –
  - 1. Name Change: College of Education to the Emma Eccles Jones College of Education and Human Services
  - 2. Department Restructure: Department of Economics in the Huntsman School of Business to the Department of Applied Economics and the Department of Economics and Finance
  - 3. Emphasis Name Change: Human Development Emphasis to Child Development
  - 4. Name Change: Department of Instructional Technology to the Department of Instructional Technology and Learning Sciences
  - 5. Reorganization of Minors in the Department of Animal, Dairy and Veterinary Sciences
- B. Weber State University
  - 1. Minor in International Politics
  - 2. Minor in Public Administration

Strategic Planning and Communications Committee (Regent Meghan Z. Holbrook, Chair)

Campus Retention Plan Reports – Dixie State College and Southern Utah University (Tab Q). Chair Holbrook said there is no uniform System standard to measure retention at USHE institutions. Regent Morgan said he was pleased that the Commissioner's Office had recently hired an Institutional Research Director. This was an important objective of the Regents. Uniformity of data is necessary for understanding of retention rates and to progress toward common goals. Dixie: President Nadauld reported that retention rates were above average for Western States community colleges, although there is still work to be done. He outlined a number of initiatives college officials had made to improve retention. The administrative structure was reorganized to

identify one person responsible for enrollment management, which includes retention. He also supported the idea of a possible uniform reporting system, because at present there is no uniform system for reporting data. Dixie's goal is to provide a four-year culture, to provide additional on-campus housing and opportunities for additional four-year degrees. That should also help to improve retention. Chair Holbrook noted the college had also added an early warning system to let students know early in the year if they were in academic difficulty, after which resources would be provided to help those students.

Provost Decker said university officials were pleased about the increase in retention at SUU over the past four years. The university has had a 11 percent increase in retaining freshmen to return as sophomores. This is due to efforts in enrollment management and the Student Success Center. Other key factors were academic preparation, campus experience, diversity experience, financial arrangements, additional support initiatives and new initiatives to help retain students. SUU is also supportive of a consistent data reporting system. Chair Holbrook said much work has been done to get the institutions to this level.

Regents' Scholarship Administrative Rule and Legislative Feedback on Scholarship Criteria (Tab R). Chair Holbrook expressed appreciation to Senator Hillyard for sponsoring the bill to provide this opportunity to Utah students and for pushing forward until the legislation was enacted. Assistant Commissioner Doty explained that the Policy R609 was approved in May, setting out the criteria for the Regents' Scholarship program. The Legislative Administrative Rules Committee asked the Commissioner's staff to appear and put this policy through the legislative rule-making process because private institutions are eligible for these funds. This has been done, and we are in the feedback period of time. Staff were also asked to respond to the criteria, specifically, should students be allowed to not take four years of math in high school if they have completed AP calculus? He referred to the proposed amendment to R609, which would allow students to waive credit requirements in a specified area by completing an AP course. Based on the applications received to date, if only the original criteria were to be applied, another 40 percent of funding would be required. Assistant Commissioner Doty asked the Regents to consider the implications and to provide direction for the staff.

Chair Holbrook referred to a national summit held in April. Utah is the only state with this kind of scholarship, out of the 24 WICHE state scholarship programs. Regent Morgan said he had seriously considered allowing AP students to "opt in" to this program, but the budget does not allow it this year. Senator Hillyard shared his thoughts and recommendation, which was to stay with the original criteria. If additional funding is appropriated next year, the criteria could be expanded to include AP students. Dr. Doty said he would resubmit the administrative rule without the AP exemption. The policy will be identical to that approved in May. Regent Garff asked if the criteria would accept credit for foreign languages taken in junior high school. She asked Dr. Doty if he would consider not limiting the years in which courses are taken. Assistant Commissioner Doty said he would consider that and other modifications next year after the data have been collected. Credits will be used to evaluate qualifications. **Chair Holbrook moved that the Board endorse the previous criteria for FY 2008 and that Policy R609 not be amended at this time. Regent Zenger seconded the motion, which carried.**

Report on Legislative Higher Education and Applied Technology Governance Task Force (Tab S). Commissioner Buhler referred to the joint memo in the Regents' folders from Chair Pitcher and Don Ipson, Chair of the UCAT Board of Trustees. He noted the actual memo to the task force had been printed on blank

paper, not on Regents' letterhead. The task force asked that the Regents and the UCAT Board come up with an acceptable compromise and report back on July 15. Representatives of two boards met and agreed that statewide articulation for UCAT should be pursued. This will require an additional person on the Commissioner's staff. Articulation agreements should not be limited to a specific region, but should be available statewide. Higher Education officials believe that UCAT should remain a part of the Utah System of Higher Education, but UCAT officials disagree. Commissioner Buhler said higher education is committed to make articulation work, either way. Regarding governance, the group tried to explore a number of options but were not able to come to agreement. Chair Holbrook reported everyone had come together with the spirit of working cooperatively to improve the delivery of higher education in the state. The meeting was very collegial. President White said he appreciated the opportunity to meet with the smaller group. Commissioner Buhler invited the Regents to attend the task force meeting at 8:30 a.m. on July 15, in Room 450 of the State Capitol. Chair Pitcher strongly urged the Regents to attend the meeting, if possible. UCAT has great representation in those task force meetings.

Report on the Governor's 21<sup>st</sup> Century Workforce Initiative (Tab T). Commissioner Buhler said this had been reported extensively the previous day. WSU Vice President Brad Mortensen reported that two separate groups were formed (finance and governance), each of which have five to six projects, with project leaders, on which they will be working this summer. Additional "SMART" sessions will be held in the next several weeks.

Engineering, Computer Science and Technology 2008-2009 Funding Recommendations  
from the Technology Initiative Advisory Board

John Sutherland, TIAB Chair, connected by phone to report to the group, and apologized that he could not have been at the meeting in person. Dr. Sutherland briefly gave the background of the TIAB Board. The board's goal is to graduate more engineers to fill the industry need. The demand for engineers appears to be increasing in this state. Dr. Sutherland reported he had met with the Engineering Deans each year to determine need. The Legislature this year appropriated only one-time funding of \$250,000. The Engineering Deans indicated they need more money for recruitment and retention, so that was the recommendation for the one-time funding this year (see Tab U). Dr. Sutherland noted WSU had not submitted a request, since they had received funding for an Engineering Initiative directly from the Legislature. Commissioner Buhler thanked Dr. Sutherland and his board. They have great credibility with the Legislature. This has been a very successful initiative, one which has been industry-driven. Funding from the past has received good support. **Regent Atkin moved approval of the TIAB funding recommendations. Regent Reid seconded the motion, which carried unanimously.** Chair Pitcher thanked Dr. Sutherland for his participation.

General Consent Calendar

On motion by Regent Reid and second by Regent Holbrook, the following items were unanimously approved on the Regents' General Consent Calendar (Tab V):

- A. Minutes – Minutes of the Regular Board Meeting held May 30, 2008, at the Regents' Offices in Salt Lake City, Utah



B. Grant Proposals (On file in the Commissioner's Office)

C. Grant Awards

1. University of Utah – Department of Energy/Lawrence Livermore National Laboratory; "Center for Simulation of Accidental Fires & Explosions"; \$2,598,312. David W. Pershing, Principal Investigator.
2. University of Utah – National Institutes of Health/National Library of Medicine; "National Network of Libraries of medicine (NL/LM) Service"; \$1,399,864. Joan Stoddart, Principal Investigator.
3. University of Utah – National Institutes of Health/National Institute on Drug Abuse; "Methamphetamine and Cocaine"; \$1,003,186. James W. Gibb, Principal Investigator.
4. University of Utah – Army Medical Research Acquisition; "Attacking Breast Cancer"; \$3,758,542. Alana Lee Welm, Principal Investigator.
5. University of Utah – National Institutes of Health/National Center for Research; "General Clinical Research Center"; \$2,739,209. A. Lorris Betz, Principal Investigator.
6. Utah State University – U.S. Department of Defense/Missile Defense Agency; "Third-Generation Infrared Surveillance Risk Reduction Program (3GIRS-RR) Science Applications International Corporation (SAIC) Sensor Calibration;" \$1,600,000. Dean Wada, Principal Investigator.
7. Utah State University – U.S. Naval Research Laboratory; "Naval Research Laboratory (NRL) Advanced Ground, Air, Space, Systems Integration (AGASSI) Task Order 0001"; \$3,921,947. Niel Holt, Principal Investigator.

State of the University

President Benson gave a PowerPoint presentation, demonstrating the continuing growth of Southern Utah University. He expressed appreciation for the community's involvement in the university's strategic planning process. He also acknowledged the hard work of his cabinet. President Benson announced that Dr. Brad Cook would be joining SUU administration in Fall 2009 as Provost. He thanked Dr. Rod Decker for extending his retirement date for another year until Dr. Cook finishes his assignment in the United Arab Emirates. Some of the highlights of President Benson's presentation included the addition of two new master's programs during the past year. Women's volleyball was added as a Division I sport. SUU now has 17 inter-collegiate programs – ten of which were added in the last five years.

New facilities included a Teacher Education Building, the restoration of Old Main, and the new Carter Carillon. New student housing will be ready for occupancy this fall. A new Center for the Arts and Education

is planned, as well as a new Globe Theatre for Shakespeare productions. A new Hispanic Center for Academic Excellence was established on campus; President Benson thanked Regent Cespedes for her participation. The Capital Campaign continues; \$15.5 million was raised last year – the largest amount for one year in the school's history, and employee giving increased to 85 percent. SUU remains committed to retaining a small class size. President Benson reported nearly one-third of SUU's student athletes had GPAs of 3.5 or better.

The University will entertain some distinguished guests in the coming months (Senator Harry Reid, Elie Wiesel, and Michael O. Leavitt, Secretary of Health and Human Services). President Benson noted SUU alum, Jill Stevens ("GI Jill"), had written a book about her experiences as a Miss America contestant while continuing to serve in the military. He thanked Provost Decker and DSC Vice President Donna Dillingham-Evans for working collaboratively to forge partnerships between Dixie State College and Southern Utah University to offer 150 credits in St. George. President Benson expressed his appreciation for the people with whom he works. He thanked the Regents for coming to the SUU campus.

#### Report of the Chair and Report of the Commissioner

The written reports were provided in the Regents' folders.

#### Resolution of Appreciation

Chair Pitcher presented Regent Josh Reid with a Resolution of Appreciation for his service to the State Board of Regents. He will be greatly missed. Although he served on the Board for only three years, he participated on a number of committees and assignments. **Regent Atkin moved adoption of the Resolution of Appreciation for Regent Reid. Regent Holbrook seconded the motion, and the Resolution was adopted unanimously.** Regent Reid said he had recently moved his family to Nevada. Leaving the Board of Regents was a hard decision. Regent Reid said his parents had taught him that the world is run by the people who show up. This has been a meaningful experience, and many friendships were made as a result. Regent Holbrook said it had been a gift to work with Regent Reid.

Chair Pitcher recognized Dave Pitcher and thanked him for doing an outstanding job as Interim Commissioner. He noted WSU has an Olympic athlete from Morgan County who will go to China for the Summer Olympic Games. He asked President Millner to extend the Regents' congratulations.

#### Adjournment

**Regent Atkin moved that the meeting be adjourned, seconded by Regent Zenger. The meeting was adjourned at 12:37 p.m.**

At its luncheon meeting, the Regents received a written report of the Board's Self-Evaluation from Dr. Jeff Hockaday, who was hired as a consultant to conduct the Self-Evaluation in accordance with Policy R123, which was adopted in April 2007.

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Joyce Cottrell CPS  
Executive Secretary

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Date Approved

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: 2009-2010 USHE Budget Request

Issue

Statute requires the State Board of Regents to "recommend a combined appropriation for the operating budgets of higher education institutions for inclusion in the state appropriations act" (UCA 53B-7-101(1)).

At the time of printing, the budget numbers were still being finalized. The final budget request will be hand carried to the meeting; however, an e-mail copy of the 2009-2010 budget request may be sent to the Regents prior to the meeting for their review.

In addition to the USHE budget request, Regents will receive courtesy copies of the Utah Education Network and the Utah College of Applied Technology Budget Requests for 2009-2010 on the day of the meeting. Staff and institutional representatives will be available to answer questions.

Commissioner's Recommendation

The recommendation will accompany the final version of the 2009-2010 Operating Budget Request.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE - Institutional Capital Development Projects for 2009-2010

Issue

Regent policy *R741 – Capital Facilities Qualification and Prioritization Process* discusses the “Q&P” calculations for state-funded capital development projects. The Q&P process is a quantitative way in which capital development projects are prioritized. The Q&P reviews an institution’s need for new space, how a project addresses life safety concerns of existing space, and the amount of non-state funds that the institution is able to raise to support the cost of building the proposed project. Staff has included as Attachment 1 a brief presentation named “The Q&P Made Easy” as a quick reference regarding the Q&P process.

During the September board meeting, Regents are asked to review the results of the Q&P and finalize facility request priorities to submit to the Governor’s Office, DFCM, Building Board and Legislature. At the time of mailing, staff was still working with institutions and DFCM to finalize costs, life safety rankings and non-state funds. The final ranking will be available for consideration at the September meeting of the Regents. During that meeting, Regents will evaluate individual projects and compare needs among the schools in light of the priority ranking set by the Q&P. Descriptions of the following projects are attached for Regent review in Attachment 2.

**FY 2009-10 USHE Capital Development Priorities**

| <b><u>Project</u></b>                                                                                                                                                              | <b><u>State Funds</u></b> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| UU - David Eccles School of Business                                                                                                                                               | \$28,500,000              |
| UU - Skaggs Pharmacy Building                                                                                                                                                      | \$30,000,000              |
| USU - Business Building Addition & Remodel                                                                                                                                         | \$38,900,000              |
| USU - Kent Concert Hall Addition/Renovation                                                                                                                                        | \$6,000,000               |
| WSU - Professional Programs Classroom Building                                                                                                                                     | \$44,044,795              |
| SUU - Science Center Addition                                                                                                                                                      | \$15,600,000              |
| SNOW - No Project Submitted                                                                                                                                                        | n/a                       |
| DSC - Centennial Building                                                                                                                                                          | \$26,089,500              |
| CEU - Education & Arts Center                                                                                                                                                      | \$21,000,000              |
| UVU - Science/Health Sciences Building Addition                                                                                                                                    | \$52,745,489              |
| SLCC - Digital Design and Communication Technology Center/<br>South City Campus Student Life Center/Salt Lake City School District CTE Center & Auto Trades<br>Building Demolition | \$40,509,194              |
| <b>Total</b>                                                                                                                                                                       | <b>\$303,388,978</b>      |

The Utah College of Applied Technology capital development process allows the UCAT Board of Trustees to submit the college's priorities directly to the Legislature and Governor's office and does not require that the Board of Regents rank or prioritize these projects. However, as a courtesy, the following unranked list has been provided to the members of the Board of Regents for their information. These projects are consistent with what was forwarded in the 2008 General Session. UCAT Trustees are meeting on September 3, 2008 to prioritize the capital development projects. UCAT officials will be available to answer questions regarding the prioritization at the Board of Regents meeting.

## FY 2009-2010 UCAT Capital Development Priorities

| <u>Campus and Project Name</u>                                                                                                                 |
|------------------------------------------------------------------------------------------------------------------------------------------------|
| Mountainland ATC - North County Campus<br>Ogden Weber ATC - Health Technology Building<br>Southwest ATC- Allied Health and Technology Building |

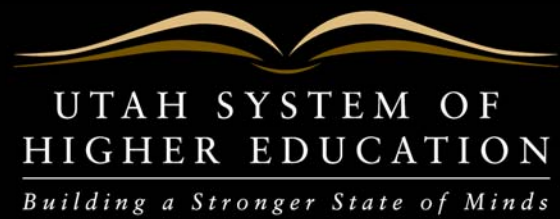
### Commissioner's Recommendation

The Commissioner's recommendation will accompany the final rankings.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH  
Attachments



# The Q&P Made Easy

Dr. Mark H. Spencer



## Governing Statute

- “Funding requests pertaining to capital facilities and land purchases shall be submitted in accordance with procedures prescribed by the State Building Board” (UCA 53B-7-101.(2)).



## Regent Policy

- Regent Policy R710, *Capital Facilities*, outlines responsibilities for
  - Programmatic planning
  - Campus facilities master plans
  - Requests for appropriated funds
  - Projects funded from non-state funds
  - Operation and maintenance costs for non-state projects
  - Leased Space
- Regent Policy R741, *Capital Facilities Q&P Process*
  - Describes the quantitative process used to rank capital development projects





## Key Terms

- **Q Score: Qualification (Quantitative Need)**
  - **Calculated Gap** = Space Standards compared to Five Year Projection for FTE Students
  - **Q Score** = Calculated Gap - Inventory - Request
  - Projects ranked on Q score and assigned descending points with a two point gap



## Key Terms

- **P Score: Prioritization (Institutional Priority and Safety)**
  - Life Safety (electrical, mechanical, fire, seismic)
  - Donated Funds (capital or operation & maintenance)
  - Function Points (infrastructure)
  - Priority Points (Institution's first project gets 25, second gets 22)



UTAH SYSTEM OF HIGHER EDUCATION

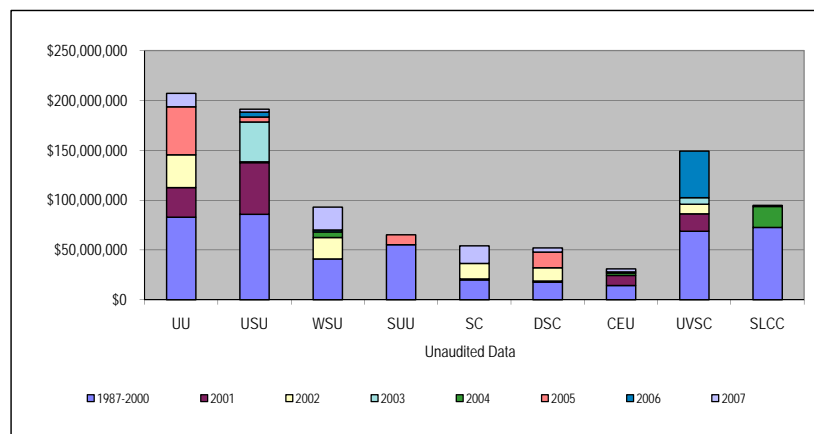
## Strategies for Scoring

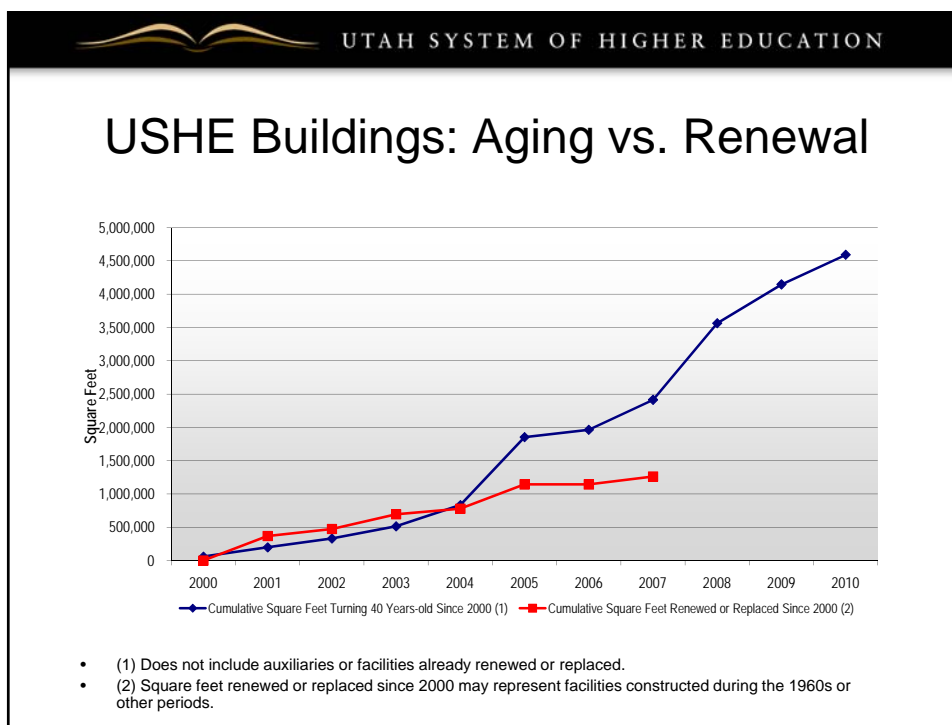
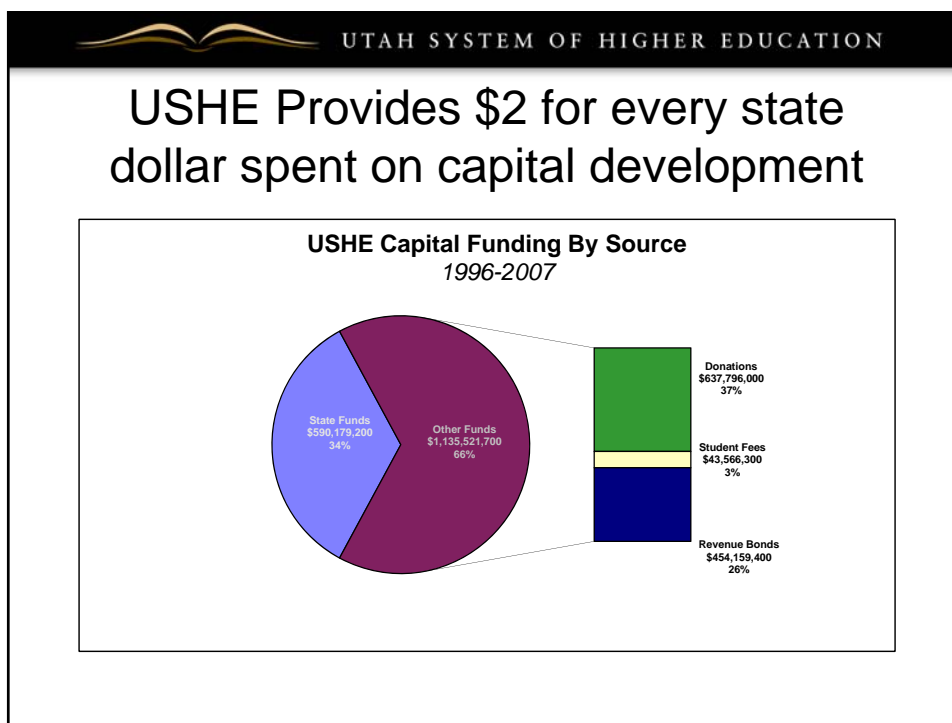
- Choose the Right Project
  - Match project to five-year gap
  - Size building to best match space needs
  - Focus on Renewal of Existing Space
    - Eliminating space that is no longer functional increases the five-year gap.



UTAH SYSTEM OF HIGHER EDUCATION

## State-funded Capital Development History (1987 through 2007 Legislative Sessions)





## USHE 2009-10 CAPITAL DEVELOPMENT PROJECTS

September 5, 2008

### UNIVERSITY OF UTAH - DAVID ECCLES SCHOOL OF BUSINESS REPLACEMENT AND EXPANSION:

| Project Cost Estimates |              |                    |             | Project Space - Gross Square Footage |           |            |
|------------------------|--------------|--------------------|-------------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds   | New                                  | Renovated | Demolished |
| \$28,500,000           | \$71,100,000 | \$99,600,000       | \$1,049,400 | 188,681                              | 0         | 56,611     |

The David Eccles School of Business (DESB) project was approved in the 2006 Legislative session for renovation of 105,833 GSF in the FAMB and KDGB buildings plus the construction of 25,500 GSF of new space. This "Other Funds" project had an estimated cost of \$31 million and was authorized to seek State funds for O&M. As analysis has proceeded further into defining the scope of this project in the programming phase, the university is replacing the approved request with this new FY2010 request.

The David Eccles School of Business requests approval to build approximately 188,681 GSF of replacement and new space at an estimated total project cost of \$99.6 million. This includes a request for State funds of \$28.5 million for general purpose university classrooms that are included in the project. These new general purpose university classrooms will be first step toward addressing the critical need for providing decant space to remodel inferior and outdated classrooms on campus. The removal of two older buildings FAMB and KDGB will provide buildable area needed for new construction. Due to the constraints of the site, it will be necessary to first demolish the FAMB (23,727 GSF) and construct the first portion of the building. The KDGB (32,884 GSF) will then be demolished to allow construction of the balance of the project.

### UNIVERSITY OF UTAH - L.S. SKAGGS PHARMACY RESEARCH BUILDING:

| Project Cost Estimates |              |                    |             | Project Space - Gross Square Footage |           |            |
|------------------------|--------------|--------------------|-------------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds   | New                                  | Renovated | Demolished |
| \$30,000,000           | \$41,600,000 | \$71,600,000       | \$1,008,000 | 120,000                              | 0         | 0          |

In its 2006 session, the Utah Legislature authorized an "Other Funds" request for a 150,000 gross square foot (gsf) research building for the College of Pharmacy. As planning proceeded, it became apparent that construction costs are escalating at an annual rate of 9% to 15%. Given the huge impact on the budget imposed by this rate of inflation, the present request is for a Phase I project of approximately 120,000 gsf. The new building will form the south part of the Skaggs Pharmacy Research complex, with the new and old structures connected through an atrium designed to provide pre- and post-function areas for Skaggs Auditorium. In addition, the atrium structure will provide significant earthquake protection by incorporating additional support for the south side of the old building. Finally, and very importantly, the presence of complete handicapped accessibility to both buildings by means of linkages connecting them through the atrium will correct the serious ADA issues now confronting Skaggs Hall. The new structure will provide expanded research laboratories and academic offices for the College of Pharmacy. It will enable the College to bring many of the research groups now housed in Research Park back to the Health Sciences campus. Common areas in the atrium will greatly enhance positive interactions among faculty and students.

## UTAH STATE UNIVERSITY – BUSINESS BUILDING ADDITION & REMODEL:

| Project Cost Estimates |              |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|--------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$38,900,000           | \$20,000,000 | \$58,900,000       | \$977,967 | 122,579                              | 79,646    | 22,579     |

The College of Business has outgrown its current space and is experiencing significant growth. The College recently received a \$25 million gift from Jon M. Huntsman, the largest gift in USU history, to support and expand its programs. The project consists of two phases: the new addition and, the remodel of the existing building.

The first phase consists of a 130,000 square-foot addition built to the south of the current Business building, and will rest where Lund Hall currently stands. It will be a five story structure, with one level below grade. There will also be a connector between the two buildings that will cover the first three floors, containing informal study areas for students.

The new building is slated to include new classrooms, faculty offices, graduate student spaces, student study spaces, a business library, and three new business centers. The spaces include a 300-seat auditorium and a 125-seat auditorium, two 80-seat tiered classrooms, six 40-seat tiered classrooms, nine team study rooms, 40-plus faculty offices. Three new centers will be designed to meet the three focuses of the college. A new dean's office suite is needed, and the school of accounting will be moved to the new building.

The math and statistics department currently housed in Lund Hall will be displaced by this project. The preferred location for this group is in the proposed Ag Science Building, but there is a possibility that they will need to be accommodated by this project depending on which building is constructed first. This proposal includes the space required to accommodate this group, as well as funding for temporary housing of this group during construction.

The second phase consists of a remodel of the existing building. The basic systems of the current building are beyond their useful life. The building has seismic weaknesses that need to be corrected, as well as worn out mechanical and electrical systems that need to be upgraded. The building does not meet current fire & life safety codes, and improvements will include new fire sprinklers and elevator lobby smoke protection. The windows are single glazed and should be replaced with energy efficient glass. Much of the interior is the original décor and does not adequately reflect the caliber of teaching and research housed in this building. Some renovation of the lower floors is being accomplished this summer. Further renovation of the current facility will not be possible unless additional space is first built so that the existing spaces can be remodeled.

### UTAH STATE UNIVERSITY – KENT CONCERT HALL & RENOVATION:

| Project Cost Estimates |             |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|-------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$6,000,000            | \$0         | \$6,000,000        | \$40,000  | 5,000                                | 102,300   | 0          |

The project consists of a remodel for a portion of the Fine Arts Center, mostly centered on the Kent Concert Hall. It also includes the small addition of a scenery shop that is needed to support both theatres in the building.

Both the music and theatre programs will be greatly enhanced by these improvements, and the entire campus and community will be served by increasing safety and quality of the venue. The improvements to the hall will not add capacity to the hall, but will allow the School of the Arts to attract high quality programs, larger audiences, and potential donors. Their goal is to double ticket sales in the span of two years. In recent history they have seen steady increase in sales of 10% per year.

### WEBER STATE UNIVERSITY –PROFESSIONAL PROGRAMS CLASSROOM BUILDING:

| Project Cost Estimates |             |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|-------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$44,044,795           | \$9,500,000 | \$53,544,795       | \$795,246 | 121,627                              | 0         | 0          |

WSU envisions a multipurpose, multifunctional building that will provide classroom and laboratory space supporting graduate programs, some undergraduate course offerings, and NUAMES charter high school. All of the classrooms and laboratories are envisioned to be usable by both NUAMES during the day and by university programs and graduate programs both day and night. The new building is envisioned to have approximately 50,000 square feet of space dedicated to classrooms, labs, faculty offices, and academic support space.

In addition, approximately 11,000 square feet of space will be dedicated to NUAMES charter high school use for administrative and office space, testing centers, and student services.

Further, the building will house student activities functions normally performed in a student union type facility. We plan for approximately 13,400 square feet of space to be dedicated to these functions. Included in this space will be such essential functions as a bookstore, food services areas, recreation areas, and areas for other student services. No food service areas currently exist at the Davis campus, nor are there recreation facilities.

To support the multi-building campus, a central heat and chilled water plant of approximately 5,700 square feet is part of this project. This facility will be located on the south-eastern edge of the Davis campus, away from the academic core area. The structure shell will be sized to support heating and cooling requirements for the existing buildings, and will be expandable to accommodate anticipated growth through campus build-out. For phase 1, the central plant will be fitted with two boilers generating a total of 40,000 lbs/hr of steam, and also have two chillers generating a total of 1440 tons of cooling. There will also be a two cell

cooling tower located coincident with the central plant. The utility plant will be connected to the main campus buildings through a utility tunnel buried underground.

An electrical substation is also planned that will allow power to be supplied at a much higher voltage, thus at a substantially reduced rate, reducing power costs in perpetuity.

To complete the project, additional parking and landscaping will be provided that is consistent with the campus master plan.

### **SOUTHERN UTAH UNIVERSITY – SCIENCE CENTER ADDITION:**

| Project Cost Estimates |             |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|-------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$15,600,000           | \$4,400,000 | \$20,000,000       | \$324,400 | 42,350                               | 0         | 9,491      |

This project is to construct a 42,350 sq. ft. building addition to the east end of the east wing of the existing Science Center. The Life Science Building is located on a portion of the space required for the new addition. After reviewing the cost analysis conducted by an independent architectural firm the most cost effective solution is to remove the Life Science Building and the antiquated greenhouse (currently connecting the Life Science Building to the Science Building) to accommodate the new addition.

Proposed building:

1. Help relieve SUU's Undergraduate Science bottlenecks caused by limited teaching labs, and enable continued growth in preparing students for employment as science teachers, scientists with state and federal agencies, or post-baccalaureate education in such areas as human and veterinary medicine, dentistry, pharmacy, and other types of professional and graduate schools.
2. Consolidate College of Science space into one building for the Departments of Biology, Nursing, and Physical Sciences.

The new addition would match as nearly as possible the current Science Center Building and would be a 4-story facility with one level below ground and three levels above. It will contain classrooms, teaching labs, offices, animal care rooms, a greenhouse, and a museum of natural history.

Because the primary mission of SUU is undergraduate education, the requested additional space for the College of Science supports the SUU Mission by enabling SUU undergraduates to experience science by doing science in teaching laboratories where hands-on testing and measuring, forming hypotheses, interpreting data, forming conclusions, and communicating these findings for critical analysis by others. Employers tell us that these abilities to read and understand, measure, analyze, interpret, and communicate are essential for employment. Likewise, Deans of Utah Universities tell us that for SUU students to be competitive for graduate school openings, they need undergraduate research experience. Therefore, the current additional space request asks mainly for Class/Labs and Open Labs (categories 210 and 220).

### **SNOW COLLEGE –NO PROJECT SUBMITTED THIS YEAR:**

## DIXIE STATE COLLEGE – CENTENNIAL BUILDING

| Project Cost Estimates |              |                    |           |
|------------------------|--------------|--------------------|-----------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds |
| \$26,089,500           | \$10,000,000 | \$36,089,500       | \$825,329 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 110,170                              | 0         | 63,061     |

This project is a multiple-story, 110,170 estimated square foot new facility replacing three older buildings. The existing Career and Financial Aid Center, the Education and Family Studies Building and Whitehead Student Service Center will be demolished to allow for the new construction.

The new facility will provide for critical expansion or replacement space for multi-disciplined spaces as well as administration and student support. The new multi-use facility design and construction will bring together several departments that are currently scattered throughout campus.

## COLLEGE OF EASTERN UTAH – EDUCATION AND ARTS CENTER

| Project Cost Estimates |             |                    |           |
|------------------------|-------------|--------------------|-----------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds |
| \$21,000,000           | \$1,000,000 | \$22,000,000       | \$231,300 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 49,000                               | 0         | 22,000     |

The Geary Theater and the Music Building are listed as first and second on DFCM's list of the state's most dangerous buildings. The 1960's era buildings no longer meet code. Further, the theater is a core component of the College's community mission. The College invites the community to participate in performances throughout the year, but the building has no accommodation for a scene shop, green room or teaching space for theater. The art department is scattered across campus and has only limited space for displaying student work. The project will bring together theater, music and visual arts into one facility on campus.

## UTAH VALLEY UNIVERSITY – SCIENCE/HEALTH SCIENCES BUILDING ADDITION

| Project Cost Estimates |             |                    |             |
|------------------------|-------------|--------------------|-------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds   |
| \$52,745,489           | \$0         | \$52,745,489       | \$1,546,000 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 140,000                              | 0         | 0          |

The proposed 140,000 square foot addition to the current 80,000 square foot science building will house biology, biotechnology, forensics, nursing, community health and dental hygiene with laboratories appropriate for upper division and graduate work and with the space serving all departments within the College. The building will include much needed up-to-date laboratories which will allow advanced course work and instruction. The building will also contain offices, classrooms and lecture halls necessary for the greatly increased enrollment and expanded course work since 1989 and will build towards the projected growth as estimated by the Utah State Board of Regents. The total project cost is \$52,745,489 and will require hiring an additional FTE related to operation and maintenance of the building.



**SALT LAKE COMMUNITY COLLEGE – DIGITAL DESIGN AND COMMUNICATION TECHNOLOGY  
CENTER/ SOUTH CITY CAMPUS STUDENT LIFE CENTER/ SALT LAKE CITY SCHOOL  
DISTRICT CTE CENTER & AUTO TRADES BUILDING DEMOLITION**

| Project Cost Estimates |             |                    |             |
|------------------------|-------------|--------------------|-------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds   |
| \$40,509,104           | \$9,200,000 | \$52,709,194       | \$1,514,891 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 199,163                              | 17,250    | 110,066    |

The new Digital Design and Communication Center will provide a total of 216,413 square feet of new and renovated classroom space at the South City Campus specifically designed to meet the requirements of preparing graduates to make immediate contributions in the fields of Digital Media Design, Applied Technology Education, Communication, Broadcasting, Animation, Visual Art and Design, and Performing Arts. The space will include fifty-five (55) classrooms/class labs, sufficient offices, conference space, and student support and activity space. It will consist of facilities for SLCC's communication film technology and broadcast degree programs. It will also facilitate a whole range of additional 2+2 partnerships with Salt Lake City School District Career and Technical Education (CTE) programs, creating seamless educational opportunities for Salt Lake City District high school students.

In addition, Student Life functions and programs will be provided in this facility to meet the demand of more than 6,000 students who attend classes at the South City Campus. With this demolition, renovation and construction, SLCC will have a vibrant new center for learning and campus life at the South City Campus.

This proposal provides a solution to the most critical life safety issue at Salt Lake Community College. Many of the Visual Art programs are located in the Auto Trades Building at the Redwood Road Campus which has significant life safety problems. The programs will move out of this building as soon as the new building at South City Campus is complete and the Auto Trades Building will immediately be demolished.

The partnership of Salt Lake Community College (SLCC), the SLCC Student Association, and the Salt Lake City School District will consolidate many of the resources in the proposed new facility at the South City Campus, including:

- Salt Lake City School District CTE Program
- SLCC Communication department and programs including digital design, visual and graphic arts, animation, broadcasting, and so forth
- SLCC Center for Media Innovation
- SLCC Performing Arts/Film Production
- Student Support and Activity Space

The new space will be located to the east of the main South City Campus building and in the location of the existing cafeteria. In order to accommodate this addition, 33,869 square feet of space will be demolished on the east and south sides of the building. Significant space inside the existing building will be remodeled and new space added to meet the identified needs. A new east entrance will provide an attractive portal and facilitate much easier access to student activities and services.

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: USHE – Non-state Funds Capital Development Projects for 2009-2010

Issue

Regent Policy R-710 requires the Regents to approve requests for projects to be constructed on USHE campuses. This includes:

- Approval of institutional project requests for planning and construction of facilities, or remodeling of existing facilities, for which no appropriation of state funds or authority to incur bonded indebtedness is requested (R 710-4.5.5).
- Proposals for projects funded in whole or in part from an adjustment in student fees, incurring of contractual debt, or the disposal or exchange of land or other capital assets (R 710-4.5.5.1).
- Major construction or remodeling projects (defined as projects costing more than \$1,000,000) funded through private sources or a combination of private sources (R 710-4.5.5.2).

The Board of Regents may submit projects directly to the State Building Board. However, non-state projects that do not receive legislative approval are not eligible for state-funded O&M or capital improvement funding. Projects funded with non-state dollars are eligible for state-appropriated O & M when the use of the building is for approved academic and training purposes and is consistent with the institution's master plan (R 710-4.5.6).

Shown on page two is a summary of this year's request for non-state funded projects. Institutional representatives will be on hand to answer questions during the September meeting.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the non-state funded list to be forwarded to the Building Board, Governor and Legislature.

---

William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH  
Attachment

## USHE Non-State Funded Capital Development Request FY 2009-10

| <u>Project</u>                                           | <u>Total Cost</u> | <u>GSF</u> | <u>State<br/>Funded<br/>O&amp;M</u> | <u>Source of<br/>Funds</u>                                                        |
|----------------------------------------------------------|-------------------|------------|-------------------------------------|-----------------------------------------------------------------------------------|
| UU - Meldrum Civil Engineering Building                  | \$4,500,000       | 11,800     | \$73,500                            | Donation,<br>Institutional<br>Funds                                               |
| UU - Universe Project                                    |                   | 40,000     | None                                | Developer<br>Donation,<br>Institutional<br>Funds                                  |
| UU - Dee Glen Smith Training Facility Expansion          | \$1,800,000       | 9,250      | None                                | Donation,<br>Institutional<br>Funds                                               |
| UU - Running Track and Field                             | \$1,700,000       | 1 Acre     | None                                | Donation,<br>Institutional<br>Funds                                               |
| UU - Women's Softball Field Relocation                   | \$3,500,000       | .5 Acre    | None                                | Donation,<br>Institutional<br>Funds                                               |
| UU - Dermatology Center                                  | \$45,000,000      | 80,000     | None                                | Donation,<br>Institutional<br>Funds                                               |
| WSU - Softball Field                                     | \$1,000,000       | 1 Acre     | None                                | Donation,<br>Revenue Bond                                                         |
| WSU - Housing Renovation                                 | \$7,500,000       | 48,000     | None                                | Donations                                                                         |
| SUU - Baseball and Soccer Complex Upgrade                | \$2,000,000       | 6.31 Acres | None                                | Donations                                                                         |
| DSC - Heritage Choir Addition To Centennial Commons Bld. | \$2,725,000       | 10,900     | \$79,515                            | Private Sources                                                                   |
| DSC - Sports Medicine and Athletic Training Center       | \$19,251,293      | 76,466     | \$557,819                           | Donations<br>Private Sources                                                      |
| DSC - Student Health, Wellness and Recreation Center     | \$17,539,412      | 69,539     | \$507,287                           | Revenue Bond<br>repaid by<br>Student Fees                                         |
| DSC - Institute for Continued Learning (ICL)             | \$3,936,220       | 14,090     | \$102,787                           | Donations<br>Private Sources<br>Federal Grant,<br>CEDO,<br>Institutional<br>Funds |
| UVU - Economic Development Building                      | \$2,650,000       | 12,000     | Yes                                 | Donation,<br>Institutional<br>Funds                                               |
| UVU - Athletic Track                                     | \$1,200,000       |            | Yes                                 | Donation,<br>Institutional<br>Funds                                               |
| UVU - Intramural Fields                                  | \$600,000         | 8 Acres    | Yes                                 | Institutional<br>Funds                                                            |

Notes:

USU, SNOW, DSC, CEU, SLCC have all indicated that there will not be any "Other Funds" projects proposed for FY 2010

## MEMORANDUM

August 27, 2008

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah State University – Bachelor of Science in Residential Landscape Design and Construction, Effective Fall 2008 – Action Item

### Issue

Utah State University requests approval to offer a Bachelor of Science in Residential Landscape Design and Construction effective Fall 2008. This program was approved by the institutional Board of Trustees on 23 May 2008.

### Background

The Residential Landscape Design and Construction (RLDC) degree will prepare students for careers in the design, construction, and maintenance of residential landscapes and small-scale gardens. The degree draws heavily from both horticulture and landscape architecture disciplines. These disciplines, while related, are distinct at USU and housed in separate colleges (Agriculture and Humanities, Arts and Social Sciences respectively). While drawing from existing programs, the balanced combination of Horticulture and design makes this degree program unique and distinctly different from existing degrees in Horticulture and Landscape Architecture, in much the same way the related professional societies (American Society for Landscape Architecture, American Society for Horticultural Science, and Association of Professional Landscape Designers) are unique and different.

The core curriculum represents a collaborative effort between two different departments in two different colleges. Courses will be drawn from the Plants, Soils, and Climate (PSC) Department in the College of Agriculture and the Landscape Architecture and Environmental Planning (LAEP) Department in the College of Humanities, Arts, and Social Sciences. Design courses will cover the fundamentals of landscape graphics, design, construction practices, and the use of state-of-the-art personal computer software for landscape design. Horticulture courses will include soils, plant materials, landscape management, pest management, irrigation, weed control, bidding and estimating, and others. This proposed program will place much more emphasis on these areas than traditional landscape architecture. Career opportunities for graduates exist in landscape design and construction through small businesses, retail garden centers, architecture firms, and public/private gardens.

The proposed Residential Landscape Design and Construction baccalaureate program is expected to appeal to those students who are interested in environmental issues such as water conservancy in

landscape and those who are not accepted into the Landscape Architecture degree program because of accreditation limitations on faculty/student ratios. In addition, the students who would be attracted to the program already are enrolled in either Horticulture or Landscape Architecture and would switch to the proposed program. The first and second year courses are the same for all three programs, and many of the same upper-division courses will serve the three programs. USU officials believe that the proposed program would keep students in school and on track to graduate in a viable career field.

All faculty with the exception of a .35 FTE adjunct are in place. Five additional courses will be added over a five year period. The budget is already in place.

### Policy Issues

The USHE institutions were supportive of the program after USU provided information on the program's purpose and rigor. UCAT may offer a certificate for a shorter adaptation of the proposed degree and may want to articulate with USU in the future. Additional questions were raised concerning student demand, market demand, and potential public confusion over which degree a graduate possesses, Landscape Architecture or Residential Landscape Design and Construction. USU officials stated that the proposed program would appeal to students who are already enrolled, although more are expected to enroll over the next five years. The proposal cited job statistics from the Bureau of Labor that support the growth of the industry nationally and especially statewide as Utah's population continues to grow. Also cited were quotes from the realty industry that support residential landscape as an investment in the overall worth of property.

Confusion over the proposed degree and Landscape Architecture is addressed by the different skill sets and licensure requirements for each program. Landscape Architects are required to obtain licensure and their academic programs must be accredited. The Residential Landscape Design and Construction degree does not have accreditation nor licensure requirements. Instead, graduates from the proposed program may take certifications available through the Association of Professional Landscape Designers (APLD), the professional organization for residential landscape designers. The careers each program prepares its graduates to enter are different with the proposed program more limited to small-scale residential landscaping.

### Commissioner's Recommendation

The Commissioner recommends that the Regents review the request from Utah State University to offer the Bachelor of Science in Residential Landscape Design and Construction, raise questions, and, if satisfied, approve the request.

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William A. Sederburg, Commissioner

Academic, Career and Technical Education, and Student Success Committee

Action Item

Request to Offer the Bachelor of Science in Residential Landscape Design and Construction

Utah State University

Prepared for:  
William A. Sederburg  
by  
Phyllis C. Safman

August 27, 2008

## **Section I: The Request**

Utah State University requests approval to offer a Bachelor of Science in Residential Landscape Design and Construction (RLDC) effective Fall 2008. This program has been approved by the institutional Board of Trustees on 23 May 2008.

## **Section II: Program Description**

### **Complete Program Description**

The Residential Landscape Design and Construction (RLDC) degree will prepare students for careers in the design, construction, and maintenance of residential landscapes and small-scale gardens. The degree draws heavily from both horticulture and landscape architecture disciplines. These disciplines, while related, are so distinct at USU as to be housed in separate colleges (Agriculture and Humanities, Arts and Social Sciences respectively). While drawing from existing programs, the balanced combination of horticulture and design makes this degree program unique and distinctly different from existing degrees in horticulture and landscape architecture, in much the same way the related professional societies (American Society for Landscape Architecture, American Society for Horticultural Science, and Association of Professional Landscape Designers) are unique and different.

The core curriculum represents a collaborative arrangement between two different departments in two different colleges. Courses will be drawn the Plants, Soils, and Climate (PSC) Department in the College of Agriculture and the Landscape Architecture and Environmental Planning (LAEP) Department in the College of Humanities, Arts, and Social Sciences. Design courses will cover the fundamentals of landscape graphics, design, construction practices, and the use of state-of-the-art personal computer software for landscape design. Horticulture courses will include soils, plant materials, landscape management, pest management, irrigation, weed control, bidding and estimating, and others. This degree will place much more emphasis on these areas than traditional landscape architecture students receive. Career opportunities for graduates exist in landscape design and construction through small businesses, retail garden centers, architecture firms, and public/private gardens.

### **Purpose of Degree**

This degree proposes to:

1. Provide a degree option that emphasizes both horticulture and design to meet the needs of the expanding market for environmentally sustainable landscaping in Utah.
2. Provide a degree option which recognizes student demand for a horticulture program with increased emphasis on, and recognition of, skills in landscape plant materials and design.
3. Provide an alternative to the existing Landscape Maintenance and Construction emphasis within the PSC Horticulture major. The emphasis will be eliminated due to accreditation requirements forcing LAEP to deny entrance to PSC students in their upper-division courses.
4. Provide an attractive and efficient alternative degree option for LAEP majors who are not matriculated into the professional program.
5. Provide educational opportunities for the large number of individuals who are interested in gardening courses for their intrinsic value, rather than their ability to foster career opportunities.

## **Institutional Readiness**

Utah State University is fully capable to offer the RLDC degree within existing departments. The only requirement will be a 0.35 position in conjunction with the Utah Botanical Center.

## **Faculty**

The return of two administrative positions to the horticulture faculty during the past year, and the granting of tenure status to another horticulture faculty member, have provided much of the teaching resources required to offer the new degree.

Currently, PLSC 3300 Residential Landscapes, is taught by an adjunct faculty member (Anne Spranger, MLA) who is also an employee of the University at the Utah Botanical Center (UBC). In the new degree program, USU would propose that this position teach two courses (PLSC 3300 and PLSC 3310 Advanced Residential Landscape Design). To make this change, USU would propose the PSC Department fund 35 percent of the position so that it may be shared with the UBC. Such a change will provide needed salary funding to retain the position and also will be an effective use of employee time during the winter when the UBC is less active. This split appointment will also provide a critical linkage between PSC and the UBC. The proposal will require \$17,500 (0.35 FTE) in benefitted E&G funding.

Kelly Kopp (Extension Specialist for Landscape Water Conservation) has recently been tenured and has expressed an interest in teaching PLSC 3420 Landscape Irrigation Design. This teaching assignment will be complementary to her primary assignment as Extension Specialist and with her research. In addition, it is USU's intent to send her to the Irrigation Association Education Foundation's Faculty Academy program for additional training. This fits with the goal of insuring the course is also taught to meet the professional certification requirements of the Irrigation Association.

Of the 21 PSC courses required for the degree, 18 will be taught by regular full-time faculty (both tenure track and instructors), two will be taught by the MLA position shared with the UBC (also full time), and one will be taught by an adjunct (PLSC 2600 Perennial and Annual Plant Materials). The adjunct for PLSC 2600 is Barney Barnett, a local nurseryman who is a nationally-recognized perennial plant grower and holds a Bachelor's degree in horticulture.

## **Staff**

Even though USU expects to increase student numbers, the increase should be well within the capacity of existing secretarial and advising staff. Teaching assistantships for graduate students would be a very helpful addition to the faculty, but are not essential at this point in time.

## **Library and Information Resources**

The RLDC program will require no additional library resources beyond what is already available for an accredited landscape architecture program and the existing horticulture program.

## **Admission Requirements**

Admission requirements will be identical to those required by the University for all students.



## Student Advisement

The PSC Department has advisors who very capably assist students in the various programs. The development of the RLDC degree actually will be a simplification of advising as compared to the existing Landscape Construction and Maintenance Emphasis. It will be a significant challenge to assist students to transfer from one department to another, but the new degree will make it easier to advise students from LAEP who desire to transfer to PSC.

## Justification for Gradation Standards and Number of Credits

As compared to the existing Landscape Maintenance and Construction emphasis, the new program would eliminate eight credits of LAEP courses and a 3-credit irrigation course from ASTE, as well as six credits of fruit or vegetable production and Irrigated Soils from PSC. It will add 13 credits of new PSC courses and 3-credits each in computer aided design, low water landscape design, and site-specific landscape management. The changes will not exceed the 126 semester hour limit for a bachelor's degree.

## External Review and Accreditation

There are no accreditation bodies for landscape design programs as there are for landscape architecture. But there is a certification program for individuals offered through the Association of Professional Landscape Designers (APLD) (<http://www.apld.org/consumers/certification.asp>). USU intends to meet the general accreditation requirements and to insure the establishment of an advisory board including members of the APLD.

## Projected Enrollment

| Year | Student Headcount | # of Faculty | Student-to-Faculty Ratio | Accreditation Req'd Ratio |
|------|-------------------|--------------|--------------------------|---------------------------|
| 1    | 15                | 15           | 1.0                      | NA                        |
| 2    | 20                | 15           | 1.3                      | NA                        |
| 3    | 21                | 15           | 1.4                      | NA                        |
| 4    | 22                | 15           | 1.5                      | NA                        |
| 5    | 22                | 15           | 1.5                      | NA                        |

## Expansion of Existing Program

This program will replace the existing Landscape Maintenance and Construction Emphasis within the Horticulture degree. It expands the landscaping emphasis to a full degree program. It will provide a program more focused on landscape design and will increase the number of students involved in landscaping aspects of horticulture. The program will accommodate the restrictions placed on PSC students taking LAEP courses that are required by LAEP's accreditation needs.

## Section III: Need

### Program Need

The program is needed to meet the demand by both students and industry for additional training in landscape design and construction on a residential level. The proposed program is expected to encourage retention of students who do not matriculate in the Bachelor of Landscape Architecture (BLA) degree program by providing an attractive and rigorous degree path. Many students do not matriculate into the professional program simply due to the low cap placed on admissions by the BLA program's accreditation requirements.

### Labor Market Demand

It is very difficult to quantitatively define the labor market demand for agriculture in general and the green industry in particular. Unlike other career areas such as education which is monitored by human resource divisions and by state agencies, the green industry covers the spectrum from small business owners to large public employers. Such diversity precludes predictions of exact numbers of positions available at any given time.

A review of Bureau of Labor statistics (<http://www.bls.gov/oco/ocos172.htm>) shows no specific category for landscape design. The closest categories are ground maintenance workers and landscape architects. The job outlook for grounds maintenance and landscape architecture is very good with employment expected to grow about 16-18 percent from 2006-16, which is faster than average for all occupations. Locally, there appears to be an increasing demand for individuals to work as landscape designers based on the formation of an Intermountain Region Chapter of the Association of Professional Landscape Designers (APLD) which hosted the annual convention of the national APLD in Salt Lake City in 2005. The intermountain region chapter is also a growing and vibrant component of the Utah Nursery and Landscape Association (the premier professional organization for members of the green industry in Utah).

Growth in this industry is driven by public demand for professional landscaping as shown by the following quotations as cited on the American Society for Landscape Architecture website (<http://www.asla.org/>):

Homes that have been professionally landscaped can fetch 15 percent to 20 percent more at the time of resale than homes that lack landscaping. Professional Landcare Network, 2004

Homeowners should spend between 10 percent and 20 percent of their home's value on landscaping. National Association of Realtors' Realtor Magazine, August 2005

Homes with nice landscaping are likely to see sale prices that are 4 percent to 5 percent higher compared to similar properties in the neighborhood, according to the Guide for Plant Appraisal, published by the International Society of Arboriculture. And homes with landscapes that are not as nice as others in the neighborhood could see sales prices that are 8 percent to 10 percent lower. Eighty-four percent of the real estate agents interviewed for the study said a house with trees would be as much as 20 percent more salable than a house without trees. Guide for Plant Appraisal, 9th ed., Council of Tree & Landscape Appraisers, 2003

The median price of a single family home in Salt Lake County is about \$230,000. This means that an average homeowner may invest more than \$23,000 on landscaping. It is becoming more and more critical that such investments be sustainable. More than ever, today's landscapes need to be water-efficient, disease and pest resistant, low-maintenance, and environmentally sound. Utah is one of the most rapidly growing states in the nation. That growth is demanding the construction of new homes and yards that will impact our very environment. Indeed, it has been stated that in urban areas (i.e., the entire Wasatch Front metropolitan corridor) the cumulative residential landscape literally becomes the environment.

As a state, Utah's tolerance of water-wasting landscapes demanding extensive use of pesticides and fertilizers is waning. But, the need for enhanced quality of life through appropriate landscaping has never been greater. Horticulturists are well trained in the sciences behind the selection and maintenance of landscape plants, but are typically less well trained in design. On the other hand, landscape architects are masters at design, but have less academic background in plant materials, soils, maintenance, and installation; and are less inclined to work at the home landscape level. The need for well designed landscapes which accommodate both design and horticulture and which protect the environment, the investment, and quality of life is great. The future graduates of the proposed degree program are expected to meet these needs and will be prepared to fully engage in a meaningful career. It is highly unlikely that the demand for these services will change, especially given the fundamental shift in western landscape aesthetics due to the increased emphasis on water conservation.

Graduates of this program would obtain positions as self-employed landscape designers, in design/build landscape contractor companies, in public or private gardens, and as designers within garden centers offering both plant materials and design services. In landscape architecture firms, they may play a role similar to that of a nurse practitioner in a medical doctor's office. While an NP is not a licensed physician, she/he plays a critical and valued role in providing medical services. Similarly, landscape designers are not licensed landscape architects, yet they can play a valuable role in providing landscape services.

(USU currently offers the Bachelors of Landscape Architecture degree (BLA) through the Department of Landscape Architecture and Environmental Planning, which is accredited by the American Society of Landscape Architects. Practice and/or title acts in 48 states require landscape architectural licensure to practice and/or use the title of landscape architect. Licensure is gained by passing the Landscape Architects Registration Exam, which in turn requires graduation from an accredited LA program. As described on the LAEP BLA website, "the curriculum is designed to provide a broad-based education, covering the multi-disciplinary role of the landscape architect in areas of both theoretical and applied knowledge within the discipline. Specific courses focus on the development of artistic expression and creative problem-solving, the understanding of environmental processes and human behavioral dimensions of design, and applied site engineering.")

In addition, this degree program offers increased flexibility in the workplace that is less available in typical landscape construction and maintenance programs. With many families being two wage-earner households, or headed by a single parent, employers are trying to be more family friendly. One way of doing this is through telecommuting. Landscape design using computer aided design technology lends itself to telecommuting and allowing employees to work out of their homes. As an option for self-employment, it can easily be done part-time or full-time.

## Student Demand

Currently much of the horticulture program in the Plant, Soils, and Climate Department (PSC) is based on either a specific commodity (such as turfgrass) or on horticultural science. Advisors in the Department find that many students are passionately interested in horticulture, but from a more aesthetic perspective than is presented in a program such as the PSC Horticulture Science emphasis. Such students are more interested in the function and beauty of a landscape than technical topics such as plant nutrition. In the past, the Department has lost excellent horticulture students whose talents and interests were not focused on the sciences. The proposed RLDC degree provides an ideal option for these students while leaving in place the degree options desired by more science oriented students. Students in the RLDC program would still gain a solid foundation in botany, soils, and pest management, but also have an opportunity to emphasize the highly important aesthetic aspects of horticulture through landscape design.

Students in both the on-campus horticulture program and the off-campus Wasatch front program have expressed an interest in such a program. A recent survey of undergraduate students (44 total students, 39 of which were horticulture majors) indicated that 41 percent strongly agreed and 22 percent agreed that, if choosing a major in PSC again, a separate major in landscape design and management would be more attractive than an emphasis in design, construction, and maintenance. Of the remaining students, 37 percent were neutral and none disagreed. This means that 28 students were more interested in the new degree option than the current offering and the remaining 16 were neutral. To further illustrate student demand, there are several students in the off-campus horticulture program who have expressed an interest in completing a second bachelor's degree if the RLDC degree is approved. Even though it has not been advertised, five students in the off-campus program requesting admission to the new degree program. In addition, the University commonly receives requests for more courses in landscape design, especially from off-campus students who make up a significant portion of the undergraduate enrollment.

Following accreditation standards, the LAEP Department must now deny horticulture students admission to upper-division classes requiring a fixed student/faculty ratio. This change in accreditation policy will negatively impact the existing Landscape Maintenance and Construction emphasis in the PSC Department and will prevent the Department from meeting student demand in this program area. The RLDC degree will provide an excellent alternative.

## Retention of Students at USU

The 2007 Self Study for the LAEP Department states:

Both the Bachelor of Landscape Architecture (BLA) and Master of Landscape Architecture (MLA) First Professional Degree Program are accredited by the American Society of Landscape Architects. One of the accreditation standards requires a student: faculty to student ratio in studio classes not to exceed 15:1. While the program has always met this standard, it has required a matriculation review which ultimately reduced the number of undergraduates accepted into upper-division courses of the program to the top 25. There is no restriction on lower division students who wish to declare a major in LAEP, although attrition occurs over those initial two years. The average headcount between 2004 to 2006 of 136 is expected to remain constant.

As a result of the LAEP matriculation review, Utah State University is at risk of losing talented students who are not admitted into the LAEP Department's professional program. Each year approximately three to five students who have completed the prerequisite courses and submitted portfolios are denied matriculation. In addition, 10-20 students leave the program of their own volition because they either realize they will not matriculate, or they come to the conclusion that their real passion lies elsewhere. Early transfer or failure to matriculate does not mean these students are unqualified for a university degree. For these students, the RLDC degree program will provide an efficient and attractive alternative degree. Many of the courses (or equivalents) taken by students during the first two years of the LAEP program will also be required for the RLDC degree. The option for non-matriculating students to switch to a related major that shares required courses is attractive because it allows them to continue in their area of interest. This option will also facilitate efficient degree completion and graduation for students who remain at Utah State University rather than having to begin an entirely new program of study or transfer to another university.

### **Similar Programs**

There are no residential landscape design and construction programs in Utah. Brigham Young University does offer a degree in Landscape Management, and bachelor's degrees in horticulture with design/construction emphases are offered at BYU-Idaho, Colorado State University, and Montana State University which charge non-resident. While these programs can accommodate some students from Utah, they do not address the needs of place-bound off-campus students nor do they do not take advantage of the mix of horticulture and landscape architecture faculty found at USU. The proposed degree program addresses retention of those students who do not matriculate in the USU landscape architecture program.

The BYU-Idaho program offers a Bachelor of Science in Horticulture with a Design Build Emphasis. This program requires similar horticultural courses, additional landscape construction courses, and fewer design courses. Colorado State University offers a major in Landscape Horticulture with a Landscape Design and Contracting Concentration. In addition to the similar horticulture courses offered at Utah State, this program includes 35 credits unique to design. This program focuses much less on the biological aspects of landscape horticulture, and most classes are offered via horticulture rather than landscape architecture.

Montana State University offers a Landscape Design emphasis in Horticulture. It is not affiliated with a landscape architecture program (most courses are in the department of Plant Sciences and Plant Pathology).

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

Horticulture and landscape architecture programs in the USHE exist only within Utah State University. The proposed program is a unique collaboration between USU's two colleges. The new degree will have no impact on any other USHE institutions.

### **Benefits**

The benefits of this program to USU and USHE include: additional students in PSC which will increase the efficient use of faculty and facilities; more graduates to meet the residential landscape needs of the public; and more students who can be accommodated by a design oriented program and who would otherwise have been denied matriculation in landscape architecture.

## Consistency with Institutional Mission

The RLDC program is consistent with the University's goals, role, and mission. USU is dedicated to being one of the "nation's premier student-centered land-grant. . . universities. . ." This program fits entirely within the land-grant mission. The program also facilitates the goals of strengthening "recruitment, retention, graduation, and placement of students and, as part of that goal, reduce the student-faculty ratio." And, it supports the goal of partnerships within the university (PSC and LAEP) and external to the university (the Association of Professional Landscape Designers). It also fits the mission of the College of Agriculture of "teaching students whose future contributions will guide our use of land and water and improve the health and well being of plants, animals, and humans." Probably the most telling evidence of consistency with the institutional mission is that the program will be largely built by reconfiguring curricula that already exist and are taught by existing faculty.

## Section IV: Program and Student Assessment

### Program Assessment

The program goals and means to assess them are as follows:

1. To obtain additional support for landscape design courses, thus reducing faculty/student ratios and facilitating accreditation of LAEP. This will be determined by measuring faculty/student ratios.
2. To increase the number of students in PSC as determined by tracking student enrollment.
3. To provide additional professional expertise to the landscape design industry. This will be determined by tracking career placement statistics of graduates and communicating with employers and the Utah chapter of APLD.
4. To meet demands of students for additional training in landscape design. Attainment of this goal will be determined by using exit and 3-5 year post-graduate interviews to determine student satisfaction with curriculum offerings.
5. To educate students in the discipline such that they reach the learning outcomes, including knowledge of plant materials, soils, design principles, landscape management, general education, communication, pest management, and others. This will be verified by the use of exit interviews, employer surveys, pre- and post-tests in courses to determine progress, and attained certifications (i.e., Certified Pesticide Applicator License).
6. To provide an alternative for non-matriculating students to continue their University studies and graduate within 5 years of continuous enrollment. This will be measured by determining the percentage of students who do not matriculate in LAEP that complete their degrees in PSC, and by measuring the time required for such transfer students to complete their degree.
7. To provide additional courses that are now deficit in the department. Most of these courses should be offered regardless of the status of the new degree. USU will include courses in advanced residential design, bidding and estimating, landscape construction, urban soils, and landscape irrigation design and construction.
8. To improve existing courses to meet student needs. As part of their inclusion in this program USU will monitor courses such as Low Water Landscape Design and the plant materials courses to insure they meet program requirements.

## Expected Standards of Performance

Graduates of the RLDC program will achieve the following standards and competencies: understand the management requirements of a given landscape design, utilize personal computer software and hardware as a medium for landscape design, understand the fundamentals of design, understand landscape irrigation and water conservation, be conversant in the plant materials commonly used for traditional, native, and xeriscape landscapes in the Intermountain west and how they fit together ecologically and in design, understand the role of soil in sustaining a landscape, be able to provide a valid estimate for landscape design and construction, understand the horticultural basis of landscape construction and management practices, understand the role of turf in landscapes and its place in management and design, complete an internship in the subject area, develop communication skills appropriate to explaining the design process, and complete the university general education requirements.

Assessment measures will include course grades, internship feedback, tracking of student success as demonstrated by APLD Certification following two-years post graduate experience, feedback from employers and advisory board, exit interviews, 3-5 year post-graduate interviews, and design portfolios.

## Section V: Finance

| Financial Analysis Form  |         |         |         |         |         |
|--------------------------|---------|---------|---------|---------|---------|
|                          | Year 1  | Year 2  | Year 3  | Year 4  | Year 5  |
| <b>Students</b>          |         |         |         |         |         |
| Projected FTE Enrollment | 15      | 20      | 21      | 22      | 22      |
| Cost Per FTE             | 2493    | 1925    | 1886    | 1855    | 1914    |
| Student/Faculty Ratio    | 1       | 1       | 1       | 1       | 1       |
| Projected Headcount      | 15      | 20      | 21      | 22      | 22      |
|                          |         |         |         |         |         |
| <b>Projected Tuition</b> |         |         |         |         |         |
| Gross Tuition            | 57477   | 79702   | 87034   | 94826   | 98619   |
| Tuition to Program       | 0       | 0       | 0       | 0       | 0       |
|                          |         |         |         |         |         |
| 5 Year Budget Projection |         |         |         |         |         |
|                          | Year 1  | Year 2  | Year 3  | Year 4  | Year 5  |
| <b>Expense</b>           |         |         |         |         |         |
| Salaries & Wages         | 17500   | 18000   | 18500   | 19100   | 19700   |
| Benefits                 | 7900    | 8500    | 9100    | 9700    | 10400   |
| Total Personnel          | 25400   | 26500   | 27600   | 28800   | 30100   |
| Current Expense          | 7000    | 7000    | 7000    | 7000    | 7000    |
| Travel                   | 1000    | 1000    | 1000    | 1000    | 1000    |
| Capital                  | 4000    | 4000    | 4000    | 4000    | 4000    |
| Library Expense          | 0       | 0       | 0       | 0       | 0       |
| Total Expense            | \$37400 | \$38500 | \$39600 | \$40800 | \$42100 |

|                                  |         |         |         |         |         |
|----------------------------------|---------|---------|---------|---------|---------|
|                                  |         |         |         |         |         |
| <b>Revenue</b>                   |         |         |         |         |         |
| <b>Legislative Appropriation</b> |         |         |         |         |         |
| <b>Grants &amp; Contracts</b>    |         |         |         |         |         |
| <b>Donations</b>                 |         |         |         |         |         |
| <b>Reallocation</b>              | 37400   | 38500   | 39600   | 40800   | 42100   |
| <b>Tuition to Program</b>        |         |         |         |         |         |
| <b>Fees</b>                      |         |         |         |         |         |
| <b>Total Revenue</b>             | \$37400 | \$38500 | \$39600 | \$40800 | \$42100 |
|                                  |         |         |         |         |         |
| <b>Difference</b>                |         |         |         |         |         |
| <b>Revenue-Expense</b>           | \$0     | \$0     | \$0     | \$0     | \$0     |

### Budget Comments

In response to student demand, USU proposes expanding an existing emphasis and offering it as a degree program. There will be a small number of student FTE generated, and only minimal additional costs associated with the change. An additional .35 FTE lecturer will be added. Most of the program will be supported through existing courses, although five new courses will be created. These new courses will be funded through reallocation and reassignment of existing resources. Four of the five new courses will be offered regardless of the status of the degree program.

### Funding Sources

Most of this program will be supported by existing courses and instructors at no additional cost beyond what is currently being expended. The primary goal is to use faculty more efficiently by attracting more students and insuring that student efforts will lead to successful degree completion. The amounts shown here represent additional funding that will be required to establish the program. Potential sources of funding for the program are:

- USU Provost's Office (salary)
- Department funds from Distance Education programs (salary)
- PSC Education and General funds (operating)
- Student laboratory/studio fees (operating)

### Reallocation

Currently the department is reassigning faculty members whose change in status will allow them to spend more time teaching. These include Larry Rupp (former department head), Bill Varga (former director of the Utah Botanical Center), and Kelly Kopp (recently tenured and thus eligible for a carefully managed 3-way split appointment). In addition to assigning more teaching to these faculty members, USU will also reallocate assignments within the Department. For example, Craig Aston is an instructor in the Department and is also a very successful landscape contractor. USU will ask Craig to teach the new construction and business management courses and have the other faculty fill in behind him in his old courses. This reallocation is equivalent to a significant expenditure of resources to foster the new program.



### **Impact on Existing Budgets**

It is not USU's intention to negatively impact any programs within the Department or the college. The growth will come from reallocation of existing funds and from new funds made available to the PSC Department. Growth will be managed within the existing infrastructure.

## Appendix A: Program Curriculum

### All Program Courses

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences).

| Course Prefix & Number | Title                                                    | Credit Hours |
|------------------------|----------------------------------------------------------|--------------|
| Core Courses           |                                                          |              |
| LAEP 1030 BCA          | Introduction to Landscape Architecture                   | 3            |
| CHEM 1110 BPS          | General Chemistry I                                      | 4            |
| ENGL 1010 CL1          | Introduction to Writing: Academic Prose                  | 3            |
| ENGL 2010 CL2          | Intermed. Writing: Research Writing/Persuasive Mode      | 3            |
| WILD 2200 BLS          | Ecology of Our Changing World                            | 3            |
| MATH 1050 QI           | College Algebra                                          | 4            |
| PSC 3890 CI            | Preparation for Careers in Plants, Soils, and/or Climate | 1            |
| PSC 4890 CI            | Senior Seminar                                           | 1            |
| ENVS 2340 BSS          | Natural Resources and Society (recommended)              | 3            |
| USU 1300 BAI           | U.S. Institutions                                        | 3            |
| USU                    | University Studies (elective)                            | 3            |
| USU                    | University Studies (elective)                            | 3            |
| PHIL 3510 DHA          | Environmental Ethics (recommended)                       | 3            |
| MHR 3110 DSS           | Managing Organizations and People (recommended)          | 3            |
| ASTE 3050 CI           | Technical Writing                                        | 3            |
| BIOL 1010 BLS          | Biology and the Citizen                                  | 3            |
| ETE 1200               | Computer-Aided Drafting and Design                       | 3            |
| LAEP 1200              | Basic Graphics in Landscape Architecture                 | 4            |
| LAEP 3600              | Landscape Construction Materials                         | 2            |
| PLSC 2100              | Introduction to Horticulture                             | 3            |
| PLSC 2200              | Pest Management Principles and Practices                 | 3            |
| PLSC 2600              | Annual and Perennial Plant Materials                     | 3            |
| PLSC 2620              | Woody Plant Materials for the Landscape                  | 4            |
| PLSC 3300              | Residential Landscapes                                   | 3            |
| PLSC 3310              | Advanced Residential Landscape Design                    | 3            |
| PLSC 3400              | Landscape Management Principles and Practices            | 3            |
| PLSC 3410              | Residential Landscape Construction                       | 2            |
| PLSC 3420              | Landscape Irrigation Design                              | 2            |
| PLSC 3430              | Landscape Business Practices                             | 3            |
| PLSC 3500              | Structure and Function of Economic Crop Plants           | 3            |
| PLSC 3800              | Turfgrass Management                                     | 3            |
| PLSC 5400              | Low Water Landscape Design                               | 3            |
| PLSC 5550              | Weed Biology and Control                                 | 4            |
| PSC 1050               | PSC Orientation                                          | 1            |
| PSC 4250               | Internship in PSC                                        | 2            |

| Course Prefix & Number | Title                                     | Credit Hours |
|------------------------|-------------------------------------------|--------------|
| PSC 5200               | Site-Specific Ag and Landscape Management | 3            |
| SOIL 3000              | Fundamentals of Soil Science              | 4            |
| SOIL 4500              | Soil Reclamation                          | 3            |
|                        |                                           |              |
|                        | Total Number of Credits                   | 110          |

### New Courses to be Added in the Next Five Years

List all new courses to be developed in the next five years by prefix, number, title, and credit hours (or credit equivalences). Use the following format:

There are five courses in various stages of development that will be used in this degree.

| <i>Prefix &amp; Number</i>                                                                                                                                                                                                          | <i>Title</i>                       | <i>Credit Hours</i> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|---------------------|
| Course Description                                                                                                                                                                                                                  |                                    |                     |
| PLSC 3310                                                                                                                                                                                                                           | Advanced Residential Design        | 3                   |
| An advanced course in residential landscape design using industry standard, computer aided design software for small-scale designs.                                                                                                 |                                    |                     |
| PLSC 3410                                                                                                                                                                                                                           | Residential Landscape Construction | 2                   |
| An introduction to the methods and equipment used in landscape installation , such as techniques of layout, pavers, water features, planting, sod installation, sprinkler and drip irrigation installation and equipment operation. |                                    |                     |
| PLSC 3420                                                                                                                                                                                                                           | Landscape Irrigation Design        | 2                   |
| An introduction to the design of sprinkler and drip irrigation systems for residential and commercial landscapes.                                                                                                                   |                                    |                     |
| PLSC 3430                                                                                                                                                                                                                           | Landscape Business Practices       | 3                   |
| A small business approach to managing landscape construction companies and using techniques of bidding and estimating.                                                                                                              |                                    |                     |
| SOIL 4500                                                                                                                                                                                                                           | Soil Reclamation                   | 3                   |
| In-depth information on causes of soil degradation (both natural and man-made) and rehabilitation procedures.                                                                                                                       |                                    |                     |

## Appendix B: Program Schedule

For each level of program completion, present, by semester, a suggested class schedule—by prefix, number, title, and credit hours. This section should preferably be presented in tables similar to the table found in Appendix A.

### Semester 1

|           |                            |   |     |   |
|-----------|----------------------------|---|-----|---|
| PLSC 2100 | Intro to Horticulture      | 3 | BLS | 3 |
| LAEP 1030 | Intro to Land Architecture | 3 | BCA | 3 |
| LAEP 1200 | Graphics                   | 4 |     | 4 |
| PSC 1050  | PSC Orientation            | 1 |     | 1 |
| PLSC 2620 | Woody Plants/Taxonomy      | 4 |     | 4 |

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### Semester 2

|           |                         |   |     |   |
|-----------|-------------------------|---|-----|---|
| ETE 1200  | Computer Aided Design   | 3 |     | 3 |
| PLSC 2200 | Pest Management         | 3 |     | 3 |
| ENG 1010  | Introduction to Writing | 3 | CL1 | 3 |
| MATH 1050 | College Algebra         | 4 | QL  | 4 |

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### Semester 3

|           |                                                             |   |     |   |
|-----------|-------------------------------------------------------------|---|-----|---|
| PLSC 3410 | Construction Methods for Residential Landscape Installation | 2 |     | 2 |
| ENG 2010  | Intermediate Writing                                        | 3 | CL2 | 3 |
| USU XXXX  | Elective                                                    | 3 |     | 3 |
| BIOL 1010 | Biology and the Citizen                                     | 3 | BLS | 3 |
| PLSC 2600 | Perennial Plants                                            | 3 |     | 3 |

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### Semester 4

|           |                                  |   |         |   |
|-----------|----------------------------------|---|---------|---|
| USU 1300  | U.S. Institutions                | 3 | BAI-USU | 3 |
| WILD 2200 | Ecology of Our Changing World    | 3 | BLS     | 3 |
| LAEP 3600 | Landscape Construction Materials | 2 |         | 2 |
| PLSC 3420 | Landscape Irrigation Design      | 2 |         | 2 |
| CHEM 1110 | General chemistry I              | 4 | BPS     | 4 |

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### Semester 5

|                |                                   |   |     |   |
|----------------|-----------------------------------|---|-----|---|
| PLSC 5400/6400 | Low Water Landscape Design        | 3 |     | 3 |
| MHR 3110       | Managing Organizations and People | 3 | DSS | 3 |
| SOIL 3000      | Fundamentals of Soil Science      | 4 |     | 4 |
| PLSC 3300      | Residential Landscape Design      | 3 |     | 3 |

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### Semester 6

|           |                                        |   |    |   |
|-----------|----------------------------------------|---|----|---|
| PSC 5200  | Site-Specific Ag and Landscape Mgt.    | 3 |    | 3 |
| ASTE 3050 | Technical Writing                      | 3 | CI | 3 |
| PLSC 3400 | Landscape Mgt Principles and Practices | 3 |    | 3 |

|           |                              |   |  |   |
|-----------|------------------------------|---|--|---|
| PLSC 3430 | Landscape Business Practices | 3 |  | 3 |
|-----------|------------------------------|---|--|---|

12

Semester 7

|           |                                |     |     |   |
|-----------|--------------------------------|-----|-----|---|
| PLSC 3800 | Turfgrass Management           | 3   |     | 3 |
| PSC 4250  | Internship                     | 1-4 |     | 2 |
| PSC 3890  | Preparation for Careers in PSC | 1   | CI  | 1 |
| PLSC 3500 | Plant Structure and Function   | 3   |     | 3 |
| ENVS 2340 | Natural Resources and Society  | 3   | BSS | 3 |

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Semester 8

|           |                             |   |         |   |
|-----------|-----------------------------|---|---------|---|
| PHIL 3510 | Environmental Ethics        | 3 | DHA     | 3 |
| PSC 4890  | Senior Seminar              | 1 | CI      | 1 |
| PLSC 5550 | Weed Science                | 4 |         | 4 |
| SOIL 4500 | Soil Reclamation            | 3 |         | 3 |
| USU XXXX  | Gen Ed                      | 3 | BHU-USU | 3 |
| PLSC 3310 | Advanced Residential Design | 3 |         | 3 |

17

Grand Total Credits

110

## Appendix C: Faculty

### Professors

Steven A. Dewey, weed science  
Roger K. Kjellgren, urban horticulture  
V. Philip Rasmussen, sustainable agriculture  
Larry A. Rupp, ornamental horticulture  
Ralph Whitesides, weed science

### Associate Professors

Paul R. Grossl, biogeochemist  
Paul G. Johnson, turfgrass science  
Kelly Kopp, landscape water conservation  
Jennifer W. MacAdam, forage production and physiology

### Assistant Professors

Corey V. Ransom, weed science

### Senior Lecturer

Craig Aston, ornamental horticulture

### Lecturer

M. Cathryn Myers-Roche, academic advisor

### Extension Horticulture Specialist

Bill Varga, Landscape Horticulture

### Adjunct Faculty

Anne Spranger, MLA, Utah Botanical Center Landscape Designer  
Barney Barnett, BS, Owner, Willard Bay Gardens

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah State University–Doctorate of Philosophy in Engineering Education–Action Item.

Issue

Officials at Utah State University (USU) request approval to offer a Doctorate of Philosophy in Engineering Education, effective Spring Semester 2009. The USU Institutional Board of Trustees approved this program on 23 May 2008. The Regents' Program Review Committee approved the proposed degree on August 5, 2008.

Background

The proposed degree is the culmination of a multiyear initiative to refocus the department and develop a new emphasis in engineering education. This new focus is supported by a ten million dollar grant from the National Science Foundation to establish the National Center for Engineering and Technology Education at Utah State. While Engineering and Technology Education (ETE) will continue to support a Ph.D. in technology education through the College of Education and Human Services, the new emphasis in engineering education within the department is sufficiently different from the technology education program that a new doctoral degree, with a very different set of requirements, is warranted.

While engineering education has some similarities to existing science, technology, and mathematics education specializations, it has one critical difference. Engineering education emphasizes the learning and teaching of engineering design, a decision-making process which utilizes results from basic sciences, mathematics, and the engineering sciences. The goal of this program is to produce doctoral students with proficiency in developing engineering design skills in others and expertise in research into how those skills are best learned and taught. The Engineering Education doctorate will produce graduates who are familiar with the theory and practice of engineering education, are able to guide and perform research within a specific area of engineering education, and have the ability to design,

implement, and assess both high school and college level engineering curricula. These individuals are expected to enter a variety of professions including engineering education faculty, engineering faculty, and engineering technology faculty.

#### Policy Issues

Other Utah System of Higher Education institutions have reviewed this proposal, have given input, and are supportive of Utah State University offering this degree.

#### Commissioner's Recommendation

The Commissioner recommends that the Regents approve the Request to Offer a Doctorate of Philosophy in Engineering Education at Utah State University, effective Spring Semester, 2009.

---

William A. Sederburg, Commissioner

WAS/GW/HN  
Attachment



Academic, Career and Technical Education and Student Success Committee

Action Item

Request to Offer a Doctorate of Philosophy

in Engineering Education

Utah State University

Prepared for  
William A. Sederburg  
By  
Gary Wixom

August 27, 2008

## Section I

### The Request

Utah State University requests approval to offer a doctorate of philosophy in engineering education effective Fall 2008. This program has been approved by the Institutional Board of Trustees on 23 May 2008.

## Section II: Program Description

The Engineering and Technology Education Department proposes to offer a Doctorate of Philosophy in Engineering Education. While engineering education has some similarities to existing science, technology, and mathematics education specializations, it has one critical difference. Engineering education emphasizes the learning and teaching of engineering design, a decision making process which utilizes results from basic sciences, mathematics, and the engineering sciences. The goal of this program is to produce doctoral students with proficiency in developing engineering design skills in others and expertise in research into how those skills are best learned and taught. This program will produce graduates who:

1. Are familiar with the theory and practice of engineering education and are adept at these aspects within their specific area of engineering specialization
2. Have the ability to conduct research in engineering education in areas such as engineering epistemologies, engineering learning mechanisms, engineering learning systems, engineering diversity and inclusiveness, and engineering assessment.
3. Have the ability to develop/implement/assess engineering curricula at both the high school and university levels.

To achieve these goals, students will complete a minimum of sixty credit hours, combining course work and research. The curriculum has been divided into three components, an engineering education core, an area of specialization, and a research component.

The Engineering Education Core. This curricular component recognizes that engineering education is an emerging discipline. As such, students are unlikely to enter the program with strengths in *both* engineering and education. The core curriculum will be used to fortify the engineers' skills in program design and assessment and to fortify the educators' skills in analysis and design.

The Area of Specialization. This curricular component will allow the students to develop an in-depth knowledge in one area of engineering education. Students will identify a theme for their research and take courses within that area. The theme and courses will be identified and chosen with the advice and approval of the student's doctoral advisory committee. Three credits of these courses must be taken outside the Engineering and Technology Education Department.

The Research Core. The research core ensures that program graduates have the skills necessary for, and experience in, performing engineering education research. This curricular component has two sections. The first is a series of courses in research methods. Education research methodologies fall into two broad categories, quantitative and qualitative. Students will take one course focused on each of these techniques,

followed by an advanced course in the methodology being used in their dissertation. In the second section students develop a research project that culminates in a dissertation.

The Department of Engineering and Technology Education (ETE is administratively housed in the College of Engineering). The department has offered graduate degrees at the master's degree level for many years. In addition, Ph.D. degrees in technology education have been offered to students through the College of Education and Human Services in Curriculum and Instruction specialization. Currently, there are seven full time technology education doctoral students supported on research and teaching assistantships. Three students will receive their Ph.D. degrees in 2008. Graduates have been employed primarily in universities where they are involved in technology teacher education and supporting research.

This proposal requests authorization to offer the Ph.D. degree through the Department of Engineering and Technology Education in the College of Engineering. This degree request is the culmination of a multiyear initiative to refocus the department and develop a new emphasis in engineering education. This new focus was supported by a ten million dollar grant from the National Science Foundation to establish the National Center for Engineering and Technology Education at Utah State. While ETE will continue to support a Ph.D. in technology education through the College of Education and Human Services, the new emphasis in engineering education within the department is sufficiently different from the technology education program that a new doctoral degree with a very different set of requirements is warranted. Approval to offer the Engineering Education Ph.D. through the ETE department will be a major step in meeting the department's established long-range goals.

### **Purpose of the Degree**

The Engineering Education doctorate will produce graduates who are familiar with the theory and practice of engineering education, are able to guide and perform research within a specific area of engineering education, and have the ability to design, implement, and assess both high school and college level engineering curricula. These individuals are expected to enter a variety of professions including engineering education faculty, engineering faculty, and engineering technology faculty.

### **Institutional Readiness**

Utah State University is ready to implement this degree program with no significant additional resource requirements.

### **New Organizational Structures**

Engineering Education will be a program of the College of Engineering. The Engineering Education Program will be lead by the Head of Engineering and Technology Education, reporting to the Dean of the College of Engineering.

### **Impact on Learning Resources and Instructional Technology**

The department has been working with university resources, such as the library, since the change process began. For example, the journal subscriptions required for the new emphasis have already replaced those that are no longer needed. No additional impact on the learning resources, such as the library, or on instructional technology facilities, is expected. (see Appendix D – Letter from Library)

### Impact on the Budget

No impact on the university budget is expected. The new degree program results from changes within the department; no new financial resources will be required.

### Impact on Faculty

No additional faculty will be required for the implementation of this program. This program will primarily use courses already taught by faculty in a number of different departments but primarily within the Engineering and Technology Education Department. Required courses taught by the College of Education will be done so in agreement with the College of Engineering and College of Education and Human Services. (see Appendix E – Letter of Agreement between College of Engineering and College of Education and Human Services). All of the new courses required for this new program have been created as part of the National Center for Engineering and Technology Education and are, therefore, already in existence. Some existing Engineering and Technology Education Department courses will be revised. However, these revisions will occur as part of the normal course updating process. (See Appendix B: Program Curriculum)

### Impact on Staff

This program will use existing staff within the Engineering and Technology Education Department. No additional staff is required.

### **Faculty**

This degree proposal represents the completion of a departmental change in emphasis that began with the name change three years ago. As such, the change is evolutionary rather than revolutionary. Because of the changes within the department, no additional faculty will be required. Using State appropriated funding (Engineering Initiative Funds), the Department will be hiring two new faculty over the next two years. Faculty will teach undergraduate engineering courses for the College of Engineering, and each faculty member will participate in the PhD program. The Engineering and Technology Education Department had a retirement of one professor this past year, and his replacement will be directed toward support of the new degree program by hiring an individual with a background in cognition and a specialization in engineering and technology education. The Program will not depend on the use of adjunct faculty. Adjunct faculty may be utilized to provide special opportunities to students, but tenure track faculty with doctorates will be the norm. For existing faculty, see Appendix C.

### **Staff**

No additional staff members are required. The current resources from within the Department of Engineering and Technology Education will be able to accommodate the new program. Additional office support for the new faculty will be augmented from externally funded research projects.

### **Library and Information Resources**

The new degree program is an evolutionary change of the department. The changes to the library and information resources needed to support excellence in the program have already been made. (see Appendix D – Letter from Library)

### Admission Requirements

Students accepted into the program will be required to meet the current standards for admission to the Graduate School including:

- a master's degree in engineering that will be completed before matriculation in the degree program,
- a 3.0 or higher grade point average (or equivalent) on the last 60 semester or 90 quarter credits,
- a score at or above the 40<sup>th</sup> percentile on Graduate Record Examination, and
- satisfactory letters of recommendation.

In addition, the program will require the submission of a short, typed essay (2 to 3 pages, double-spaced) in which the student identifies his or her particular academic interests and the submission of a current curriculum vita.

### Student Advisement

The Graduate Coordinator of the Engineering and Technology Education Department will act as each student's advisor until the student chooses a research advisor and committee. Once the advisor and committee are chosen, they will take over student advising.

### Justification for Number of Credits

This program will require the completion of 60 credits beyond the completion of a master's degree. The number of credits is consistent with the requirements of the Graduate School.

### External Review and Accreditation

There are no accreditations available for engineering education at the doctoral level. To ensure excellence, the department will assemble an external advisory committee to review the program (as described in Section IV: Program and Student Assessment). This review process is similar to what is being used in the engineering education program at Purdue University.

### Projected Enrollment

Projected FTE Engineering Education majors relative to FTE Engineering and Technology Education dedicated faculty is shown in the chart below. This ratio does not include other faculty providing courses used by Engineering Education majors because they will not be paid from Engineering and Technology Education funds.

| Year    | FTE Students (Doctoral)† | ETE Faculty (Current) | Approximate: Student: Faculty Ratio |
|---------|--------------------------|-----------------------|-------------------------------------|
| 2008-9  | 3                        | 7                     | 1 : 2.33                            |
| 2009-10 | 6                        | 9                     | 0.66 : 1                            |
| 2010-11 | 9                        | 9                     | 1 : 1                               |
| 2011-12 | 12                       | 9                     | 1.33 : 1                            |
| 2012-13 | 15                       | 9                     | 1.66 : 1                            |

† Only students within the new program are included in these numbers. Currently, there are 7 doctoral students enrolled in the Interdepartmental Doctoral Program in the College of Education and Human Services.

No negative impact is expected on the enrollments of other programs. The Engineering and Technology Education Department currently offers a Doctorate through the Interdepartmental Doctoral Program in the College of Education and Human Services. Continued participation in that program is expected.

### Section III: Need

#### Program Need

The Engineering and Technology Education Department is building on the existing strengths in technology education research and K-12 education by the addition of engineering education research and engineering education.

Engineering, as a profession, differs from many science and mathematics disciplines in its emphasis on creation and design rather than inquiry. Rapid changes in the worldwide engineering enterprise have motivated the profession to rethink how future generations of engineers should be educated to build analysis-based design skills. The recent NSF sponsored *Engineering Education Research Colloquies* identified five research areas of importance to the future of engineering. The research areas include engineering epistemologies, engineering learning mechanisms, engineering learning systems, engineering diversity and inclusiveness, and engineering assessment. Success in these areas will require the creation of individuals with expertise in engineering education.

Utah State University is home to one of only three departments in the nation in engineering education, with the other two programs at Purdue University and at Virginia Polytechnic Institute and State University. All three of these departments have been formed within the past three years.

The engineering education program is modeled after those at Purdue and Virginia Tech. The doctoral requirements chart shown in figure 1 indicates the coursework comparison of the three programs. Shown are the requirements for the program in the areas of research, engineering, and education.

Figure 1

Doctoral Program Requirements for Utah State University, Purdue University, and Virginia Tech.

|                                                                     | Utah State University                                                                                                                                                                                    | Purdue                                                                                                | Virginia Tech                                                                                                                                                                                                                                                                                         |
|---------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Engineering</b><br><br>(Elective -<br>Area of<br>Specialization) | ETE 7400-Occupational Analysis in Engineering and Technology Education<br>ETE 7020-Design Thinking in ETE<br>ETE 7030-Engr. Design & Analy. for ETE<br>ETE 7040-Dynamic & Netwk. Engr. Processes for ETE | Students are required to complete 15 credit hours of graduate level engineering technical coursework. | 5024-Design in Engr. Education and Practice<br>5204-Design of Laboratory Courses for Engr. & Science Educ.<br>5044-Using Virtual Reality & Visualization Tools in Engr. & Science Educ.<br>5044-Object-oriented Concepts for Engineering Education<br>5104-Preparing for the Engineering Professorate |

|                                     | (9 Credits Required)                                                                                                                                                                                                                                                                                                                                     | (15 Credits Required)                                                                                                                                                                                                                                                                                   | (9 Credits Required)                                                                                                                                                                                                                                                                                                                                        |
|-------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Engineering Education (Core)</b> | ETE 7810-Research Seminar<br>EDUC 7300-Foundations of Education<br>ETE 7010-Role of Cognition in ETE<br>ETE 6150-Evaluation and Assessment<br>ETE 7230-Foundations of Engr. & Technology Education<br>ETE 6450-Administration and Organization<br>EDUC 7310-Teaching & Learning Foundations<br>ETE 7460-Finance & Grant Writing<br>(18 Credits Required) | ENE 500 or 600 Level Engineering Education Courses<br><br>Seminar in Engineering Education                                                                                                                                                                                                              | 5404-Assessment Techniques in Engineering Education<br>5504-Practicum in the Engineering Classroom<br>5004-History, Theory and Practice of Engineering<br>5034-Contemporary Issues in Engineering Education<br>5014-Foundations of Engineering Education                                                                                                    |
| <b>Research</b>                     | EDUC 6600-Research Design & Analysis I<br>EDUC 7610-Research Design & Analysis II<br>EDUC 6770-Qualitative Methods I<br>EDUC 7780-Qualitative Methods II<br>EDUC/SPED 7700-Single Subject Meth & Design<br>EDUC 7650-Logitudinal Research Design & Analysis<br>PSY 7070 Adv. Measurement Theory & Practice<br>(9 Credits Required)                       | (15 Credits Required)<br>Introductory Statistics (e.g. STAT 511)<br><br>Introduction to Research (e.g. EDPS 533, TECH 646B)<br><br>Introductory Research Methods Elective (qualitative or quantitative)<br><br>Advanced Research Methods Elective (qualitative or quantitative)<br>(6 Credits Required) | (12 Credits Required)<br>5604-Quantitative Research Methods in Engineering Education<br>5614-Qualitative Research Methods in Education<br>6604-Advanced Engineering Research Methods<br>5314-Documenting Engineering Research<br>5324-Presenting Engineering Research<br>5624-Contemporary Issues in Engineering Education Research<br>(9 Credits Required) |
| <b>Dissertation Credits</b>         | PhD Dissertation Research (students must take an appropriate # of research credit hours to complement their grad program & be consistent with the Graduate School requirements)<br><br>(minimum 24 credits)                                                                                                                                              | PhD Dissertation Research (students must take an appropriate # of research credit hours to complement their grad program & be consistent with the Graduate School requirements)<br>(24 credits)                                                                                                         | PhD Dissertation Research (students must take an appropriate # of research credit hours to complement their grad program & be consistent with the Graduate School requirements)<br>(30 credits)                                                                                                                                                             |

### Labor Market Demand

Depending on their individual skills and preferences, it is anticipated that graduates of this program would enter one the following careers.

*Engineering Faculty or Engineering Technology Faculty*– There is significant demand for engineering faculty with strength in curriculum development and management in the regional branches of universities, community colleges, and other universities whose primary mission is teaching.

*Engineering Education Faculty*– Engineering education is an emerging discipline. Nationally, we anticipate the addition of 2-4 new programs in the next five years, in addition to the 3 existing programs.

*Industry Trainer* – With corporate needs to educate their employees on a variety of engineering-based subjects (e.g. safety and engineering education), it is anticipated that a number of graduates would enter industry to develop and manage these programs.

Currently there is a national shortage of doctoral level engineering/engineering technology faculty. This shortage is due to high retirement rates in existing programs.

### **Student Demand**

In the past three years, the ETE department has had a substantial increase in the number of inquiries for admission. In that time the number of in-house doctoral students has increased from two to five with a 3:1 application to admission ratio. Based on the applications for the coming year, the department anticipates this growth to continue. In addition, the department has been developing new recruiting materials to support this growth rate.

Two factors have driven this growth. The first is the emergence of engineering education as its own discipline at the university. The National Center for Engineering and Technology Education, located in the Engineering and Technology Education Department, is the most obvious example of this creation. The second is the significant interest in engineering education in K-12 at the state as well as national level. The National Academy of Engineering has convened a special committee to report on the status of P-12 engineering education. Their report should be available in 2008. The ETE department is assisting with the development of the Utah Pre-Engineering Pathway for the Utah State Office of Education.

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

No USHE institution offers a doctoral degree in Engineering Education. There are no similar programs in Utah or the Intermountain West region.

### **Benefits to USU and USHE**

This program will be the first in the State of Utah (and the third in the nation) that explicitly addresses the unique needs of engineering education. The program will generate graduates familiar with the theory and practice of engineering education, are adept at these aspects within their specific area of engineering specialization, have the ability to design, perform, analyze, and report state-of-the-art research in engineering education, and have the ability to design, implement, and assess engineering curricula according to national standards.

### **Consistency with Institutional Mission**

The engineering education doctorate is consistent with the institution's mission to discover, create, and transmit knowledge through education programs at the graduate level, through research and development, and through service programs.

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

### **Program Assessment**

Every five years, the department will assemble an external advisory committee. The committee will examine the program's objectives and outcomes to determine if they continue to meet the needs of the program's stakeholders and to recommend necessary changes. Currently, the program's stakeholders



include the State of Utah, Utah State University, the Utah State Office of Education and its schools, the engineering education community, and our graduates. As currently specified, the five member committee will include members of the engineering education community, the technology education community, the College of Education and Human Services, and local industry. The first meeting of this committee is scheduled for 2012, allowing the graduation of two to three graduate student cadres and data gathering from the graduates.

In addition, the Engineering Education Doctoral Program will be internally assessed using a continuous quality improvement process. Each year the graduate faculty will meet to compare its stated objectives and outcomes with those achieved by the program. Weaknesses will be identified and corrective actions recommended. The following year, the results of the corrective actions will be examined and further changes recommended, if necessary.

### **Expected Standards of Performance**

The students' performance of these outcomes will be determined using a combination of formative and summative assessments. The assessment points will include:

- Engineering Education and Specialization Cores
  - Classroom Performance (formative & summative) – Students are required to maintain a 3.0 overall average in all course, with no less than a C- grade in any single course.
  - Comprehensive Examination (summative) – Students are required to pass a comprehensive written examination based on their degree course work. This examination will be taken after completion of the required degree course work.
- Research Core
  - Research Proposal (formative) – Students are required to write and successfully defend the proposal for their dissertation research.
  - Dissertation (summative) – Students are required to perform research, write a dissertation, and defend the research and dissertation before their research advisor and committee.

## Section V: Finances

### Funding Sources

This program is already funded. Any additional funds required for implementation of the program will be reallocated from the current College of Engineering and Department of Engineering and Technology Education Department Budgets.

### Financial Analysis Form for All R401 Documents

|                          | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 |
|--------------------------|---------|---------|---------|---------|---------|
| <b>Students</b>          |         |         |         |         |         |
| Projected FTE Enrollment | 3       | 6       | 10      | 11      | 12      |
| Cost per FTE             | 20,557  | 18,439  | 17,528  | 17,430  | 17,350  |
| Student/Faculty Ratio    | .43:1   | .67:1   | 1:1     | 1:1     | 1:1     |
| Projected Headcount      | 3       | 6       | 10      | 11      | 12      |

### Projected Tuition

|                    |        |        |        |         |         |
|--------------------|--------|--------|--------|---------|---------|
| Gross Tuition      | 19,740 | 50,391 | 73,757 | 109,006 | 136,459 |
| Tuition to Program |        |        |        |         |         |

### 5 Year Budget Projection

|                  | Year 1 | Year 2  | Year 3  | Year 4  | Year 5  |
|------------------|--------|---------|---------|---------|---------|
| <b>Expense</b>   |        |         |         |         |         |
| Salaries & Wages | 51,000 | 96,240  | 156,490 | 171,750 | 187,020 |
| Benefits         | 5,670  | 9,391   | 13,790  | 14,984  | 16,183  |
| Total Personnel  | 56,670 | 105,631 | 170,280 | 186,734 | 203,203 |
| Current Expense  | 5,000  | 5,000   | 5,000   | 5,000   | 5,000   |
| Travel           |        |         |         |         |         |
| Capital          |        |         |         |         |         |
| Library Expense  |        |         |         |         |         |
| Total Expense    | 61,670 | 110,631 | 175,280 | 191,734 | 208,203 |

### Revenue

|                           |        |         |         |         |         |
|---------------------------|--------|---------|---------|---------|---------|
| Legislative Appropriation |        |         |         |         |         |
| Grants & Contracts        | 52,500 | 105,000 | 174,880 | 191,294 | 207,723 |
| Donations                 |        |         |         |         |         |
| Reallocation              | 9,050  | 5,391   |         |         |         |
| Tuition to Program        |        |         |         |         |         |
| Fees                      | 120    | 240     | 400     | 440     | 480     |
| Total Revenue             | 61,670 | 110,631 | 175,280 | 191,734 | 208,203 |

### Difference

|                    |   |   |   |   |   |
|--------------------|---|---|---|---|---|
| Revenue - Expenses | 0 | 0 | 0 | 0 | 0 |
|--------------------|---|---|---|---|---|

**APPENDIX A: PROGRAM SCHEDULE**  
**Engineering Education Core Courses (18 credits)**

These courses are aimed at strengthening the student's background in engineering education. Students will choose courses to strengthen their existing background.

***Engineering Education Core***

|           |                                                                    |             |
|-----------|--------------------------------------------------------------------|-------------|
| ETE 7010  | Role of Cognition in Engineering and Technology Education          | 3 credits   |
| ETE 6090  | Program Design                                                     | 3 credits   |
| ETE 6150  | Evaluation and Assessment                                          | 3 credits   |
| ETE 6450  | Administration and Organization                                    | 3 credits   |
| ETE 7230  | Foundations of Engineering & Technology Education (revised course) | 3 credits   |
| EDUC 7300 | Historical, Social, and Cultural Foundations of Education          | 3 credits   |
| EDUC 7310 | Teaching & Learning Foundations                                    | 3 credits   |
| ETE 7460  | Finance and Grant Writing                                          | 3 credits   |
| ETE 7810  | Research Seminar                                                   | 1-3 credits |

**Area of Specialization (9 credits)**

Graduates will have an in-depth knowledge of specialization within Engineering Education. This area is to be specified by the student in writing (with approval of their advisor and graduate committee) within the first year of their program of studies. This expertise will be obtained through the use of approved elective courses and regular interaction between the student, their major professor, and their graduate committee. This expertise must be demonstrated in the required written and oral examinations.

To encourage breadth of viewpoint in the students, doctoral students are required to take at least one elective in their area of specialization from another department (e.g. Education, Social Sciences, or Engineering)

***Area of Specialization –Specialization Electives*** **9**  
**credits**

**Research Core (9 + 24 = 33 credits)**

The research core ensures that program graduates have the skills necessary for and experience in performing engineering education research. This curricular component has two sections. The first is a series of courses in research methods. Education research methodologies fall into two broad categories, quantitative and qualitative. Students will take one course in each of these techniques, followed by an advanced course in the methodology being used in their dissertation. In the second section students perform a research project culminating in a dissertation.

**Research Theory Core (9 credits)**

|           |                                         |           |
|-----------|-----------------------------------------|-----------|
| EDUC 6600 | Research Design and Analysis I          | 3 credits |
| EDUC 6770 | Qualitative Methods I                   | 3 credits |
| EDUC 7780 | Qualitative Methods II                  | 3 credits |
| EDUC 7610 | Research Design and Analysis II         | 3 credits |
| EDUC 7700 | Single Subject Methods & Design         | 3 credits |
| EDUC 7650 | Longitudinal Research Design & Analysis | 3 credits |
| PSY 7070  | Advanced Measurement Theory & Practice  | 3 credits |

**Research Practice Core (24 credits)**

ETE 7970      Dissertation Research

minimum 24 credits

**Additional Degree Requirements**

1. Seminar - Students are required to register for ETE 7810 (research seminar) every fall semester during which they are in residence at Utah State University. A minimum of 1 credit and a maximum of 3 credits are applicable to the doctoral degree requirements.
2. Proposal Defense
3. Comprehensive Examination
4. Dissertation Defense/Examination
5. 2 publications submitted to peer reviewed journals
6. Teaching experience including one or more of the following
  - a. One year of experience as a K-12 teacher
  - b. One year of experience as university/college/community college faculty
  - c. Two semesters of guided teaching experience
  - d. Other equivalent experience approved by the department chair and the student's graduate committee
7. Presentation of dissertation research at a regional or national professional society meeting
8. Grant proposal preparation

## Appendix B: PROGRAM CURRICULUM

### Revised Courses

The courses in this group are either new to the Engineering Education Curriculum or have been significantly revised to reflect the new doctoral program's objectives and outcomes.

*ETE 7230 Foundations of Engineering and Technology Education (revised) 3 credits*  
Study of the objectives, legislative foundations, principles, philosophy, impact, and organization of engineering education and technology education. (F, Sp, Su)

*ETE 7460 Research Finance and Grant Writing 3 credits*  
Procedures in financial administration of education and research monies. Budget preparation, budget operation and control, and accounting. In-depth review of steps and techniques needed for grant writing. (F, Sp, Su)

### All Program Courses

*ETE 6100 Contemporary Issues in Engineering and Technology Education 3 credits*  
Study of present and future foundational professional developments in engineering and technology education. Students identify and investigate contemporary trends and issues affecting and facing engineering and technology education. (F, Sp, Su)

*ETE 6250 Internship 1-6 credits*  
Advanced instruction through supervised work experience in teaching, supervising, or administering educational or industrial program. (F, Sp, Su)

*ETE 6440 Technology and Society 3 credits*  
(dual listing 4440)  
Challenges students to develop an understanding of the dynamic interaction between science, technology, and society. Explores the responsibility of humans to direct the utilization of technology as a creative enterprise. Students critically investigate technological innovations, issues, and impacts on society from a global perspective. (F, Sp)

*ETE 6450 Administration and Organization in Engineering and Technology Education 3 credits*  
Administrative and supervisory techniques for successful operation of technology education and applied technology education programs. (F, Sp, Su)

*ETE 6520 Explorations of Engineering Industry 3 credits*  
Study of contemporary industry, business, and service through a series of site visits. Includes various management and finance methods and techniques. (F, Sp, Su)

*ETE 6750 Research Methods and Design in Engineering and Technology Education 3 credits*  
Introduction to practical research planning and design. Guides students from proposal selection to completed proposal to final research report. (F, Sp, Su)

*ETE 6900 Readings and Conference 1-3 credits*  
Advanced individualized study on selected topics in engineering and technology education. Scheduled consultation with faculty member. (F, Sp, Su)

*ETE 6910 Experimental Laboratory 3 credits*  
Introduction to elements of a research report through selection and development of experimental study utilizing tools, equipment, materials, and processes for improving programs and teaching techniques. (F, Sp, Su)

*ETE 7010 The Role of Cognition in Engineering and Technology Education 3 credits*  
Study of cognitive science and research relating to engineering and technology education. (F)

*ETE 7020 Design Thinking in Engineering and Technology 3 credits*  
Engineering design as applied to technology education. (Sp)

*ETE 7030 Engineering Design and Analysis for Engineering and Technology Education 3 credits*  
Engineering design methodology for technology education teacher educators. Focuses on science principles and predictive mathematics comprising the engineering sciences needed to solve problems in a design framework that is analytical, predictive, and repeatable. (F)

*ETE 7040 Dynamic and Network Engineering Processes for Technology Education 3 credits*  
Examines dynamic and network processes in engineering through the use of simulation software. Students use these techniques to develop standards-based engineering curricular modules for use in grades 6 through 12. (Sp)

*ETE 7400 Occupational Analysis and Curriculum Development\* 3 credits*  
Students learn techniques for conducting an occupational analysis (both job and task analysis) and for developing performance-based or competency-based curriculum. Explores industrial and educational applications for this style of curriculum development.

*ETE 7500 Internationalizing Institutions of Higher Education 3 credits*  
Explores the need and methodology of internationalizing higher education institutions, with the purpose of understanding the global society and delivering education worldwide. (F, Sp, Su)

*ETE 7600 Academic Issues and Politics in Higher Education 3 credits*  
Study of higher education, the social political impacts, and the role of faculty members in higher education institutions. (F, Sp, Su)

*ETE 7810 Research Seminar 1-6 credits*  
Identification of research problems, consideration of research strategies and methods, application of research and statistical concepts in departmental focus, and interaction with faculty. (F, Sp, Su)

*ETE 7900 Independent Study 1-3 credits*  
Individually directed reading and conference. Departmental approval required before registration. (F, Su)

*ETE 7970      Dissertation Research* *1-15 credits*  
(F, Sp, Su)

*ETE 7990      Continuing Graduate Advisement* *1-3 credits*  
(F, Sp, Su)

*EDUC 7300      Historical, Social, and Cultural Foundations of Education* *3 credits*  
Examines relationship of modern school in terms of historical, cultural, and social foundations of education. Prerequisites: EDUC 6410, ELED 6020/7020, or permission of instructor. (F)

*EDUC 7310      Teaching & Learning Foundations* *3 credits*  
Seminar in which learning theories and teaching models/skills are demonstrated, critically examined, and integrated. Prerequisite: Graduate course in educational psychology or equivalent. (Sp)

*EDUC 6600      Research Design and Analysis I* *3 credits*  
Research design and statistical concepts for research in education, human services, and psychology, with emphasis on the selection and interpretation of statistical analyses. Prerequisites: EDUC/PSY 6570, passing score on 6600 Pretest via WebCT, and permission of instructor. Also taught as PSY 6600. (F,Sp,Su)

*EDUC 6770      Qualitative Methods I* *3 credits*  
Introduction to qualitative research, including foundations; research designs and strategies of inquiry (case studies, ethnography, phenomenology, grounded theory, biographical, historical, participative inquiry); sampling; fieldwork and data collection; and analysis. Prerequisite: EDUC/PSY 6570. (Sp)

*EDUC 7780      Qualitative Methods II* *3 credits*  
**(dual listing 6780)**  
Builds on and applies concepts covered in EDUC 6770, emphasizing analysis of data, critique of qualitative research, and design and implementation of qualitative research. Students registered for 6780 conduct a qualitative research project. Prerequisite: EDUC 6770. (Sp)

*EDUC 7610      Research Design and Analysis II* *3 credits*  
Advanced treatment of research design and statistical concepts and issues in educational, human services, and psychological research. Prerequisite: EDUC/ PSY 6600. Also taught as PSY 7610. (F,Sp,Su)

*EDUC 7700      Single Subject Methods & Design* *3 credits*  
**(dual listing 6700)**  
Examines single-subject research methodology for applied research in schools, including measurement, design, and analysis issues. Also taught as SPED 7700/6700. (F)

*EDUC 7650      Longitudinal Research Design & Analysis* *3 credits*  
Applied longitudinal study design and analysis for research in behavioral and educational sciences. Explores case-control, cohort, cross-over, complex sample, and randomized controlled trial designs.

Examines analytical methods for observed outcomes of various distributions (e.g., Gaussian, Binomial, Poisson). Prerequisite: EDUC/PSY 7610. Also taught as PSY 7650. (Sp)

*PSY 7070      Advanced Measurement Theory & Practice      3 credits*

Covers psychometric topics, including classical test theory, generalizability theory, item response theory, and issues concerning bias in psychological testing. Prerequisites: PSY 5330/6330, EDUC/PSY 6600. (Sp)



## Appendix C: Existing FACULTY

### ***Kurt H. Becker, Ph.D., Professor, Department Head***

*Technology Education, Texas A&M University*

Teaching Specializations – Teacher Education, Computer-Aided Design and Drafting, Construction

Research Specializations – Adult learning cognition, K-12 engineering and technology education professional development, K-12 engineering and technology education curriculum development, and technical training

### ***Ward Belliston, Ph.D., Associate Professor***

*Vocational Administration and Supervision, Colorado State University, Fort Collins, Colorado*

Teaching Specializations – Electricity and Electronics

Research Specializations – Course curriculum and developing innovative teaching materials, electrical engineering education for non electrical engineering majors.

### ***Ning Fang, Ph.D., Associate Professor***

*Mechanical Engineering, Huazhong University of Science and Technology, China*

Teaching Specializations – Engineering mechanics, manufacturing processes, design

Research Specializations – Developing innovative and effective teaching pedagogy and course curriculum, Engineering and Technology Education reform, the retention of freshmen in engineering, K-12 Engineering and Technology Education

### ***Edward Reeve, Ph.D., Professor***

*Education and Industrial Technology, The Ohio State University, Columbus, Ohio*

Teaching Specializations - Technology education, curriculum development, communication technology.

Research Specializations - Developing standards-based curricula for technology and Engineering and Technology Education, improving teaching and learning in engineering and technology educations, internationalizing the curriculum.

### ***Paul Schreuders, Ph.D., Assistant Professor***

*Biomedical Engineering, University of Texas, Austin*

Teaching Specializations – Engineering systems, engineering design, systems Modeling

Research Specializations – Engineering career decisions, teaching engineering design and simulation, classroom group structures and their relationships with success in engineering

### ***Gary A. Stewardson, Ph.D., Associate Professor***

*Technology Education, University of Maryland, College Park*

- Teaching Specializations – Manufacturing, automation and control systems, student assessment, curriculum development, and instructional strategies
- Research Specializations – Developing innovative curriculum utilizing problem solving and design instructional strategies, K-12 engineering education, occupational and task analysis.

**New Faculty**

***New Tenure Track Faculty Member, PhD., Engineering and Technology Education***

- Teaching Specializations – Introduction to Engineering, K-12 Engineering Education, Graduate Research Methods
- Research Specializations – K-12 Engineering Education and Technology Education

***New Tenure Track Faculty Member, PhD., Civil Engineering***

- Teaching Specializations – Statics, Dynamics, CAD, Graduate Engineering Education
- Research Specializations – Engineering Education

***New Tenure Track Faculty Member, PhD., electrical Engineering***

- Teaching Specializations – Circuits, Electronics, Statics, Graduate Engineering Education
- Research Specializations – Engineering Education

## Appendix D: Support Letter from Library



MERRILL-CAZIER LIBRARY  
3000 Old Main Hill  
Logan, UT 84322-3000  
Telephone: (435) 797-2631  
Fax: (435) 797-2880

March 4, 2008

To Whom It May Concern,

I am the subject librarian for the Department of Engineering and Technology Education. I have been working with the faculty for the past several years to adjust our Library's books and journals to best meet the teaching and research needs of this department.

In recent years we have been able to cancel journals that no longer served the department well, and acquire new journals more focused on the program. I have worked with faculty to assess their needs, and prioritized the journals they listed as essential to their work. To this end, we were able to acquire four new titles identified as necessary to support the department and its plans to launch a doctoral program in Engineering Education.

Currently, Thomson's *Journal Citation Reports* includes seven journals that pertain to engineering education (listed under the headings of "Education, Scientific Disciplines" and "Engineering, Multidisciplinary." We currently have access to all of these journals. Additionally, faculty and graduate students identified 14 journals upon which they heavily relied. We now have access to all but one of these title, which is available to our faculty and students through Interlibrary Loan. In addition to journals focused on Engineering Education, we have a robust collection of journals in the fields of education, general engineering, and specific fields of engineering.

Access to the journal literature is available through a number of databases, including *Ei Compendex*, the full suite of IEEE publications, the *Web of Science*, *Digital Dissertations*, *Wilson's Education Full Text*, and *ERIC*.

The Library's book collection has been updated. Two years ago, I searched *World Cat*, a composite global database of library holdings, for books pertaining to engineering and technology education. I identified key titles not owned by our library and systematically purchased these to complete our collection. I continue to seek out new monographic publications for this field, and am generally able to purchase any book requested by our faculty.

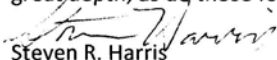
In summary, the Library is well poised to support a new doctoral program in Engineering Education. If you have any questions about the collections or services we can offer, please contact me.

Sincerely,



Betty Rozum  
Associate Director for Technical Services

After reviewing Betty Rozum's assessment, I believe the Merrill-Cazier Library could fully support a Ph.D. program in Engineering Education. Our holdings have been evaluated and greatly improved in this area recently. The collections for engineering topics in general have great depth, as do those for science education.



Steven R. Harris  
Collection Development and Management Librarian

Appendix E: Letter of Agreement between College of Engineering  
and College of Education and Human Services



COLLEGE OF ENGINEERING  
Department of Engineering and Technology Education  
6000 Old Main Hill  
Logan, UT 84322-6000  
Phone: (435) 797-1795  
FAX: (435) 797-2567

February 25, 2008

To Whom It May Concern:

This is a letter of agreement between the **College of Education and Human Services** and the **College of Engineering** in support of the proposed **PhD in Engineering Education** through the College of Engineering. Through the proposed program, 12 credits of education courses will be taught by the College of Education and Human Services. The list of courses that will be offered through the College of Education and Human Services are:

EDUC 6600 Design and Analysis I  
EDUC 6770 Qualitative Methods I  
EDUC 7610 Research Design and Analysis II  
EDUC 7780 Qualitative Methods II  
EDUC 7650 Longitudinal Research Design & Analysis  
EDUC 7700 Single Subject Methods & Design  
EDUC 7300 History, Social, and Cultural Foundations of Education  
EDUC 7310 Teaching and Learning Foundations  
PSY 7070 Advanced Measurement Theory & Practice

The College of Engineering has agreed to provide support for the courses and will negotiate on a yearly basis the cost of instruction for educational research and foundations courses taught by the college of education ~~and human services~~.

Sincerely,

A handwritten signature in black ink, appearing to read "Scott Hinton".

Scott Hinton  
Dean of Engineering

A handwritten signature in black ink, appearing to read "Carol Strong".

Carol Strong  
Dean of Education and Human Services

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Dixie State College–Associate of Applied Science in Physical Therapy Assistant–Action Item.

Issue

Officials at Dixie State College request approval to offer an Associate of Applied Science Degree in Physical Therapy Assistant, Fall Semester 2009. The institutional Board of Trustees approved the program on May 1, 2008. The proposed Physical Therapy Assistant degree has been submitted to the Regional CTE Planning Committee, and was approved by the Regents' Program Review Committee on August 5, 2008.

Background

The need for professionals in all health care fields in the St. George area continues to expand. There is a significant shortage of physical therapist assistants as additional hospitals, sub-acute rehabilitation facilities, extended care facilities, outpatient clinics, rehabilitation hospitals and pediatric rehabilitation centers are developed. The proposed Associate of Applied Science Physical Therapist Assistant program is designed to produce graduates who will be knowledgeable and competent rehabilitation specialists. The graduates will work under the direction and supervision of licensed physical therapists and they will be eligible to work in a variety of rehabilitation environments including, but not limited to hospitals and medical centers, skilled nursing and rehabilitation facilities, orthopedic in-and outpatient facilities, home health, and pediatric clinics.

If approved, the Physical Therapist Assistant program will be housed in the School of Science and Health. The School is also the home for other health science programs including dental hygiene, emergency care and rescue, medical radiography, nursing, phlebotomy, and surgical technology. As a result, the School and College have the support services necessary for recruiting, advising and enrolling students in the Physical Therapist Assistant program. Full-time program faculty also will be available to assist and advise students on physical therapy curricular and professional issues.

### Policy Issues

Other Utah System of Higher Education institutions have reviewed this proposal, have given input, and are supportive of Dixie State College offering this degree.

### Commissioner's Recommendation

The Commissioner recommends that the Regents approve the Request to Offer an Associate of Applied Science in Physical Therapy Assistant at Dixie State College, effective Fall Semester, 2009.

---

William A. Sederburg, Commissioner

WAS/GW/HN  
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Request to Offer an Associate of Applied Science Degree

in Physical Therapy Assistant

Dixie State College

Prepared for  
William A. Sederburg  
By  
Gary Wixom

August 27, 2008



## **Section I**

### **The Request**

Dixie State College of Utah requests approval to offer an Associate of Applied Science Physical Therapist Assistant degree beginning Fall semester, 2009. The institutional Board of Trustees approved the program on May 1, 2008.

## **Section II: Program Description**

### **Complete Program Description**

The proposed Associate of Applied Science Physical Therapist Assistant program degree program is designed to produce graduates who will be knowledgeable and competent rehabilitation specialists eligible for national licensure. The graduates will work under the direction and supervision of licensed physical therapists and they will be eligible to work in a variety of rehabilitation environments including, but not limited to: hospitals and medical centers, skilled nursing and rehabilitation facilities, orthopedic in and outpatient facilities, home health, and pediatric clinics. The proposed curriculum will be composed of 69 credit hours. The enrolled students will participate in selected general and technical education courses that include lecture, laboratory and clinical education experiences. General education lecture and laboratory courses will include English, anatomy, physiology, psychology, mathematics and speech. Technical courses will include kinesiology, physical therapy fundamentals, observation and measurement, physical agents, orthopedic pathophysiology and rehabilitation, neuromuscular pathophysiology and rehabilitation, and rehabilitation procedures for special clientele. The three 5-week full time clinical affiliations will emphasize developing clinical competence in fundamental skills and specific physical therapy treatment approaches used in orthopedic and neuromuscular rehabilitation.

The Commission on Accreditation in Physical Therapy Education (CAPTE) determines physical therapist and physical therapist assistant education curriculum requirements. CAPTE is the only recognized agency that accredits physical therapist assistant education programs. CAPTE has established specific "Evaluative Criteria" that programs must follow when developing and implementing educational programs for future physical therapist assistants. The initial accreditation of the physical therapist assistant program will be for five years.

The curricular design of the physical therapist assistant program will meet the accreditation requirements of CAPTE. The program will be five semesters in length and include 69 credit hours including 21 credit hours of general education and 48 credit hours of technical education. Students will be admitted to the program through a competitive selection, limited-entry process that will help assure graduates of the program are knowledgeable, competent, safe, and ethical physical therapist assistants. Acceptance to the program will require completion of several prerequisite courses. The prerequisite details are outlined in the "Admission Requirements" section. Once students have completed the prerequisite requirements and are accepted into the program, they will complete the second through the fifth semesters as a cohort.

The proposed five-semester curriculum is found in Appendix A. The technical education course descriptions are found in Appendix B.

### **Purpose of the Degree**

The purpose of the proposed degree is threefold. First, DSC is the major source for trained health care professionals in southern Utah. As a result, it is incumbent on DSC to continue to offer more health care educational opportunities in order to meet the expanding community need for various health care professionals. Second, the degree fulfills DSC's mission to provide associate degrees. Third, the community, health-care providers, and the DSC administration have recognized the extreme shortage of qualified physical therapist assistant graduates who have the knowledge and competence necessary to administer a physical therapy treatment program for patients/clients suffering from specific orthopedic or neuromuscular injuries or diseases. These treatment programs can be utilized in a variety of rehabilitation settings including: hospitals, long term care facilities, private physical therapy clinics, home health settings, burn clinics, rehabilitation centers and pediatric centers.

### **Institutional Readiness**

The physical therapist assistant program will be housed in the School of Science and Health. The School also houses many other health science programs including dental hygiene, emergency care and rescue, medical radiography, nursing, phlebotomy, and surgical technology. As a result, the School and College have the support services necessary for recruiting, advising and enrolling students in the physical therapist assistant program. Full time program faculty also will be available to assist and advise students on physical therapy curricular and professional issues. The College has an excellent relationship with Dixie Regional Medical Center administration and they have expressed a need for graduates of the program. In addition, Dixie Regional Medical Center has donated \$240,000 towards start-up costs for the program.

The new DSC Health Sciences building is located on the medical center campus and will be completed in spring, 2008. This three-story building will house all of the existing health science programs and the proposed physical therapist assistant program. The allocated space for the physical therapist assistant program includes two classrooms (1534 sq ft), one laboratory (1118 sq ft) and two storage rooms (537 sq ft). One classroom will be set up for lecture only and one classroom will be set up for lecture and laboratory activities. The facility also will house two typical offices for program faculty.

A list of laboratory equipment, supplies and anatomical models has been developed (the list is on file in the Commissioner's Office). This list includes the lecture/laboratory tables and mats for one classroom, the treatment tables for the laboratory and the equipment, supplies and anatomical models for use during lecture and laboratory activities. The cost of these items can be found in the "Section V: Finance" of this proposal.

The Val A. Browning and the Dixie Regional Medical Center libraries currently have many of the recommended learning resources required for the program. The librarian for the Val A. Browning library was provided a list of specific physical therapy journals and periodicals that would be required for the program faculty and students. See Library and Information Resources for more library detail.

### **Faculty**

The program will require two FTE faculty to provide instruction for the students. In addition to this major responsibility, one faculty will serve as the Program Director (PD), just recently hired, and one faculty member will serve as the Academic Coordinator of Clinical Education (ACCE). Due to workload limitation of the full time faculty, approximately four adjunct faculty will be required to assist with lecture and/or laboratory courses. The responsibilities of the program director will be the overall management of the

program including, but not limited to: leading the selection and hiring process of the ACCE; annual evaluation of the ACCE; identifying, employing and evaluating adjunct faculty; managing the program annual budget; monitoring, reviewing and recommending changes in the curriculum as necessary; hosting and participating in regularly scheduled advisory committee activities; working with other faculty members on program related matters; and participating in faculty governance activities. The many responsibilities of the ACCE will include identifying and contracting with appropriate clinical education sites for student clinical affiliations, as well as monitoring and ensuring student compliance with CPR certification, immunizations, background checks, drug screening, and professional liability insurance.

The program director must hold a Master's degree and may be either a physical therapist or a physical therapist assistant. The ACCE may be either a physical therapist or a physical therapist assistant and hold at least a Bachelor's degree. One of the two faculty members must be a physical therapist. In addition, the physical therapist must be licensed or eligible for licensure in the state of Utah. If eligible, the physical therapist must become licensed before the start of official classes of the first year students. The physical therapist assistant should be eligible for licensure. However, the state of Utah currently does not have licensure requirements for the physical therapist assistant; therefore, licensure is not required for the assistant. The physical therapy adjunct faculty must be licensed in the state of Utah or bordering states if they are from Arizona, Colorado or Nevada.

### **Staff**

Secretarial staff will be needed for the effective management of the program. The proposed budget includes .33 FTE secretarial support for the program. The Health Sciences and Applied Technology Education advisor will provide academic and physical therapy profession-related advisement for interested and enrolled students.

### **Library and Information Resources**

Specific rehabilitation journals and periodicals have been identified and provided to the staff at the Val A. Browning Library. The library has extensive learning resources in the Allied Health Sciences area, including online databases, DVDs, and videotapes. Full text rehabilitation articles can be accessed through MEDLINE, the Biomedical Reference Collection and other databases. The librarian for the health science programs provides assistance for faculty in making new acquisitions, orienting students and developing discipline-specific reference assistance materials. Reference librarians are available online 24 hours a day, 7 days a week. Dixie Regional Medical Center's Medical Library is also available for DSC student use. Funds for the purchase of needed reference materials are included in the proposed start-up budget (see Section V: Finances).

### **Admission Requirements**

The physical therapist assistant program is a limited-entry program. Students applying to the program must successfully complete specific requirements before being accepted into the program. Selection criteria include:

- Submission of a complete Program Application on or before the deadline established by the program;
- Satisfactory communication skills as demonstrated through an interview with the Physical Therapist Assistant Program Selection Committee;
- Three letters of recommendation from instructors or employers from the past 5 years;

- Successful completion of prerequisite courses with a “C” or better;
- Minimum cumulative GPA of 2.75 or higher; and
- 40 hours of work-related or volunteer experience in a physical therapy clinic

The specific prerequisite course requirements included in the first semester of the five-semester program are: Anatomy lecture and lab, English, Speech Communication, Introduction to Physical Therapy, and Practice Issues.

Other program and college requirements such as CPR/First Aid, immunizations, background check, and drug screening can be completed after acceptance into the program and prior to the end of the second semester of course work.

### **Student Advisement**

DSC currently has sufficient professionals to assist with student advisement. There are academic advisors who can assist students with general education and graduation requirements, and the Health Science and Applied Technology Education Advisor can assist students with the requirements and the process to gain acceptance in one of the health science programs. Physical therapist assistant program faculty will be available to provide program specific information and advice about professional issues.

### **Justification for Graduation Standards and Number of Credits**

The USHE has established a maximum of 69 credit hours for Associate of Applied Science Degrees. In addition, the Commission on Accreditation in Physical Therapy Education (CAPTE) also has established 70 credit hours as the maximum for AAS Degree programs. CAPTE also requires that these credit hours be completed in five full-time semesters. Students deciding to take the general education prerequisites at a slower pace can do so; however, once students are accepted into the program they must complete the last four semesters of course work and clinical affiliations in the required sequence. The program curriculum includes three full-time clinical affiliations of 200 hours each. Students must maintain a 75% (C) or better in all of the required program courses. This criterion was established in order to help ensure that students are prepared for the national licensure examination. The criterion for passing the national examination is 75%.

### **External Review and Accreditation**

DSC employed Joe Cracraft, PT, Ph.D. as the consultant to assist with the curriculum design and development of this proposal for the Physical Therapist Assistant program. Dr. Cracraft recently retired from the College of Southern Nevada, Las Vegas, NV. He was physical therapist assistant program director for 16 years prior to his retirement, June 30, 2007.

The DSC Physical Therapist Assistant Advisory Committee has been established in order to assist with determining the community and regional need for the program. Members of the committee include representatives from Dixie Regional Medical Center, Kolob Regional Care and Rehabilitation (Cedar City, UT), Red Cliffs Regional Rehabilitation Center, Advanced Physical Therapy, The Balance Center, DSC Sports Medicine program and DSC Associate Dean of Health Sciences. The committee also will serve as an external review committee in working with the program director to develop assessment of the effectiveness of the established curriculum and implement necessary changes and improvements. Additionally, the advisory committee will assist the program director with clinical affiliation sites and contracts, identifying adjunct faculty and other program related issues that may develop.

The Commission on Accreditation in Physical Therapy Education (CAPTE) is responsible for accrediting all physical therapist and physical therapist assistant education programs. Initial review, completion of the self-study, on-site visit and accreditation of the program will require 2½ to 3 years following official approval of the program by USHE. Final accreditation will be completed in conjunction with the graduation of the first class.

### Projected Enrollment

| Year | Student FTE | # of FTE Faculty | Mean FTE-to-faculty ratio | Accreditation Required Ratio |
|------|-------------|------------------|---------------------------|------------------------------|
| 1    | 16          | 2                | 8 to 1                    | 16 to 1                      |
| 2    | 32          | 2                | 16 to 1                   | 16 to 1                      |
| 3    | 32          | 2                | 16 to 1                   | 16 to 1                      |
| 4    | 32          | 2                | 16 to 1                   | 16 to 1                      |
| 5    | 32          | 2                | 16 to 1                   | 16 to 1                      |

**Note:** This does not include adjunct faculty. The number of adjunct faculty will depend on DSC workload requirements and restrictions.

### Expansion of Existing Program

The Physical Therapist Assistant program is a new program at DSC.

## Section III: Need

### Program Need

The current and projected demand for physical therapist assistants is outlined in the "Labor Market Demand" section below. A significant shortage of physical therapist assistants in St. George has been identified. St. George is one of the fastest growing communities in Utah, and the need for professionals in all health care fields will continue to expand as additional hospitals, sub-acute rehabilitation facilities, extended care facilities, outpatient clinics, rehabilitation hospitals and pediatric rehabilitation centers are developed. This demand will result in the need for a steady pool of rehabilitation specialists including physical therapists and physical therapist assistants.

The important mission of DSC is to provide the local community with needed health care professionals. DSC is the only institution capable of training the needed manpower to fill these projected positions in the greater St. George area.

### Labor Market Demand

Data show significant demand for physical therapy assistants, locally, regionally and nationally. The projected employment outlook for Physical Therapy Assistants by Utah Department of Workforce Services for the period 2004-2014 has been given a Four-Star rating out of a possible Five-Star rating. Four-Star occupations have a good employment outlook and relatively high wages. Utah's projection for PTA job growth during this time is 5.3% annual increase with majority of the job growth being due to growth rather than replacement.

The national annual median wage for physical therapy assistants is \$41,360 (U.S. Bureau of Labor Statistics). The Utah statewide average is \$36,890, with the Ogden-Clearfield metropolitan service area being \$39,170. As recently as February 2008, 50% of the PTA job openings in the state of Utah are in Washington County. The US Department of Labor Occupational Outlook Handbook 2008-2009 indicates that for physical therapist assistants "employment is projected to increase much faster than average." The handbook indicates that the projected growth will be 32% between 2006 and 2016. There is strong evidence supporting the continued need for physical therapist assistants.

An on-line search for future career opportunities for physical therapist assistants indicated that there would be significant employment opportunities for graduates of the DSC program. The projections by the National Employment Matrix indicated that this demand is due to the following: increasing age of the population, increased elderly with chronic and debilitating conditions such as heart attacks, strokes and diabetes-related health problems, advances in medical development; increased survival rates, and demand for rehabilitation. The American Physical Therapy Association's Vision 2020 program projects that all physical therapist educational programs will be transitioned to Doctor of Physical Therapy by the year 2020. This may also lead to an expanded demand for physical therapist assistants. Recent changes in Medicare reimbursement rules will also have a positive effect on demand for licensed physical therapist assistants. These new rules require treatment by licensed personnel in order for the provider to receive payment for patient/client rehabilitation services

Kiplinger.com, "Hot Jobs without a Four-Year Degree" reports that physical therapist assistant ranks number three of the top five professions not requiring a 4-year degree. Kiplinger reports the projected starting salary is \$37,890 per year according to the Bureau of Labor Statistics. Alison Doyle's About.com: "Job Search" indicates physical therapist assistant is one of the fastest growing professions in Health and Technology. Doyle lists physical therapist assistants sixth in the "Top Ten Fastest Growing Occupations: 2004-2014." For the 10 years periods 2004-2014 and 2006-2016, the expected demand for physical therapist assistants will increase 44% and 32%, respectively.

### **Student Demand**

Student demand is currently unknown; however, current anecdotal evidence indicates a potential interest/demand for the program. For example, current enrollments in the Introduction to Physical Therapy course at the College of Southern Nevada are 38 in the Internet course and 26 in the on-campus course. Over the past four years, first year enrollments in the physical therapist assistant program have resulted in full classes. Most recently, students enrolled in the program have traveled from Bullhead City, Arizona, Battle Mountain, and Mesquite, Nevada. The program has also received student inquiries from St. George, Utah. The Health Sciences and Technical Education advisor indicated that a number of students had asked about the program but no official statistics have been kept. The advisor indicated that student inquiries will now be recorded in order to provide accurate data for USHE personnel and the Commission on Accreditation in Physical Therapy Education (CAPTE).

### **Similar Programs**

There are other physical therapist assistant programs in the intermountain region, including programs in Nevada, Idaho, Arizona and Colorado. Salt Lake Community College also offers a physical therapist assistant program. None of the programs are in close proximity to St. George and all would require substantial expenses for local students wishing to attend one of these schools. Out-of-state tuition for the

schools in Nevada, Idaho, Arizona and Colorado, as well as relocation expenses, make these educational options undesirable.

Historical data from the College of Southern Nevada (CSN), Las Vegas, NV indicate that students seeking technical education, including the health care related professions, are older students with ties to their local community. These students prefer to remain in their local community for their education and employment following graduation. For example, less than 1% of the approximately 120 CSN physical therapist assistant program graduates have moved out of the Las Vegas area.

The DSC and SLCC programs have similar curriculum content but the specific courses and clinical education sequencing will be different. Also, a major difference will be in the total program hours, as the DSC program will include a maximum of 69 credit hours as opposed to the 70 credit hours minimum for the SLCC program. Appendix D includes the general information for the physical therapist assistant program, the list of courses and a typical five-semester program schedule for the SLCC program.

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

Currently there is no collaboration with any of the regional institutions offering physical therapist assistant programs and there are no plans to initiate such collaboration. The DSC program should have no effect on enrollments at SLCC or other Utah institutions because of its location in southern Utah and the expenses involved in moving and attending DSC. In addition, the graduates from the program will have an opportunity to complete the Bachelor's degree in a related field at DSC and/or other USHE institutions.

### **Benefits**

DSC is recognized by the local community as the primary educational source for preparing graduates to work in the needed health care and technical professions. The Advisory Committee identified the proposed program as an important area of need. The local rehabilitation community also recognized there is a shortage of qualified physical therapist assistants.

### **Consistency with Institutional Mission**

An important element of the DSC Mission is "to transmit knowledge and skills primarily through education and training programs at the certificate and associate degree level, including career and technical education programs. As a result, DSC has taken steps to develop a healthcare professions core of programs. The proposed physical therapist assistant program is the college's response to meeting the southern Utah community need as well as meeting the DSC and USHE missions.

The mission of the Utah System of Higher Education is to provide knowledge and skills for students enrolled in programs at the associate and baccalaureate levels, including applied science education in high-demand careers. The proposed AAS degree in Physical Therapist Assistant is in a high demand profession and satisfies the role assignment for a Type II institution while fitting within the mission given DSC by the Regents. The key points of the USHE Mission include "...provide high quality academic, professional and applied technology learning opportunities...for the citizens of Utah. The mission of the Board of Regents is to ensure fulfillment of the USHE mission.

The Associate of Applied Science Physical Therapist Assistant degree is consistent with and supports the missions of the USHE, the Board of Regents and the DSC. The program will provide specialized quality technical educational opportunities for students resulting in knowledgeable, competent, caring, ethical and quality-oriented graduates that will be eligible for national licensure. The graduates will provide physical

therapy services to patients/clients who are experiencing disability, pain and temporary or permanent disability. The graduates will understand their responsibilities, role, and scope of practice work under the directions of a licensed physical therapist.

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

### **Program Assessment**

The Commission on Accreditation in Physical Therapy Education (CAPTE) will review all aspects of the program during the initial accreditation process. Once accredited, CAPTE will require annual reports that will allow the commission to determine if the program is meeting the standards established by the commission.

The director of the program will be responsible for establishing the general program goals and the specific goals for the graduates. The general goals of the program will include:

- establishing an exceptional education program that will produce knowledgeable, competent, safe and ethical physical therapist assistants
- establishing an exceptional clinical education program that will enlist excellent clinical education instructors
- providing up-to-date information to potential students and the community on the current and projected need for graduates of the program.

Specific student goals should include development of graduates who:

- demonstrate the cognitive, psychomotor and affective skills necessary for effective treatment of patient/clients
- are familiar with the local, state and national rules and regulations governing the practice of physical therapy
- demonstrate behaviors that ensure patient/client safety
- are capable of passing the national licensing examination

These specific goals will be expanded upon during the accreditation process.

The program director will implement an assessment plan. This plan will provide information on the steps involved in data collection and how the data are used to effect positive changes in the program. The program director will identify the direct linkage between the results of the assessment process and the implemented changes that will enhance the program. The major areas to be covered in this assessment process will include:

- Institutional policies and procedures
- Program policies and procedures, mission and philosophy
- Resources; Goals and Objectives; Curriculum
- Clinical education program
- Performance of recent graduates
- Admissions process, criteria, and prerequisites



- Program enrollments
- Core faculty; Adjunct and support faculty
- Clinical education faculty.

The program director, the program faculty and the program advisory committee will identify specific graduate outcomes. These outcomes may include:

- demonstrating an understanding of their role and scope of practice
- demonstrating the technical skill and competencies required to effectively treat and progress their patients/clients according to the directions of their supervising physical therapist
- understanding of the importance of effective administration in the management of the place of employment
- demonstrating the appropriate safety techniques and precautions required to protect their patients/clients and themselves
- demonstrating effective written and verbal communication skills
- demonstrating an understanding of the psychological and motivational needs of the patients/clients and their families
- explaining why lifelong learning is important in meeting the unique needs of each individual patient/client and the future growth of the profession

These graduate outcomes will provide the foundation for the development of specific course objectives that will be found in the individual course syllabi. As well, students will be evaluated regularly throughout the program by formative and summative student assessments including didactic, laboratory, and clinical examinations; demonstration of lab and clinical skills; and self-assessments.

Section V  
Finance

Budget

| Financial Analysis for All R401 Documents |                                  |               |               |               |               |               |
|-------------------------------------------|----------------------------------|---------------|---------------|---------------|---------------|---------------|
|                                           | Dixie State College PTA Program  |               |               |               |               |               |
|                                           |                                  | Year 1        | Year 2        | Year 3        | Year 4        | Year 5        |
| <b>Students</b>                           |                                  |               |               |               |               |               |
|                                           | Projected FTE Enrollment         | 16.0          | 32.0          | 32.0          | 32.0          | 32.0          |
|                                           | Cost Per FTE                     | \$ 15,737.00  | \$ 6,087.00   | \$ 6,151.00   | \$ 6,480.00   | \$ 6,345.00   |
|                                           | Student/Faculty Ratio            | 8/1           | 16/1          | 16/1          | 16/1          | 16/1          |
|                                           | Projected Headcount              | 16.0          | 32.0          | 32.0          | 32.0          | 32.0          |
| <b>Projected Tuition</b>                  |                                  |               |               |               |               |               |
|                                           | Projected Gross Tuition          | 43744         | 92737         | 98301         | 104200        | 110451        |
|                                           | Tuition Allocated to the Program | 10936         | 23189         | 24576         | 26050         | 27612         |
|                                           | Student Lab Fees                 | 4800          | 9600          | 9600          | 9600          | 9600          |
| 5 Year Budget Projection                  |                                  |               |               |               |               |               |
|                                           |                                  | Year 1        | Year 2        | Year 3        | Year 4        | Year 5        |
| <b>Expense</b>                            |                                  |               |               |               |               |               |
|                                           | Salaries & Wages                 | \$ 138,775.00 | \$ 144,386.00 | \$ 150,318.00 | \$ 154,827.00 | \$ 159,471.00 |
|                                           | Benefits                         | \$ 31,224.00  | \$ 32,486.00  | \$ 33,821.00  | \$ 34,836.00  | \$ 35,880.00  |
|                                           | Total Personnel                  |               |               |               |               |               |
|                                           | Current Expense                  | \$ 3,000.00   | \$ 4,000.00   | \$ 4,000.00   | \$ 4,000.00   | \$ 4,000.00   |
|                                           | Travel                           |               | \$ 2,500.00   | \$ 2,500.00   | \$ 2,500.00   | \$ 2,500.00   |
|                                           | Capital                          | \$ 77,000.00  | \$ 10,000.00  | \$ 5,000.00   | \$ 10,000.00  | \$ -          |
|                                           | Library Expense                  | \$ 5,000.00   | \$ 5,000.00   | \$ 5,000.00   | \$ 5,000.00   | \$ 5,000.00   |
|                                           | Total Expense                    | \$ 254,999.00 | \$ 198,372.00 | \$ 200,639.00 | \$ 211,163.00 | \$ 206,851.00 |
| <b>Revenue</b>                            |                                  |               |               |               |               |               |
|                                           | Legislative Appropriation        | \$ 104,808.00 | \$ 131,583.00 | \$ 132,264.00 | \$ 141,313.00 | \$ 145,439.00 |
|                                           | Grants (DRMC Donation)           | \$ 120,000.00 | \$ 40,000.00  | \$ 40,000.00  | \$ 40,000.00  |               |
|                                           | Reallocated Funds                | \$ 19,255.00  | \$ 3,600.00   | \$ 3,800.00   | \$ 3,800.00   | \$ 33,800.00  |
|                                           | Tuition Allocated to the Program | \$ 10,936.00  | \$ 23,189.00  | \$ 24,575.00  | \$ 26,050.00  | \$ 27,612.00  |
|                                           | Other                            |               |               |               |               |               |
|                                           | Total Revenue                    | \$ 254,999.00 | \$ 198,372.00 | \$ 200,639.00 | \$ 211,163.00 | \$ 206,851.00 |
| <b>Difference</b>                         |                                  |               |               |               |               |               |
|                                           | Revenue-Expense                  | \$ -          | \$ -          | \$ -          | \$ -          | \$ -          |
| <b>Comments</b>                           |                                  |               |               |               |               |               |
|                                           |                                  |               |               |               |               |               |

## APPENDIX A

### PROPOSED PHYSICAL THERAPIST ASSISTANT CURRICULUM

| FIRST SEMESTER |        |                             |              |
|----------------|--------|-----------------------------|--------------|
| Course         | Number | Title                       | Credit Hours |
| BIO            | 2320   | Human Anatomy               | 3            |
| BIO            | 2325   | Human Anatomy Lab           | 2            |
| Eng            | 1010   | Introduction to Writing     | 3            |
| Comm           | 1010   | Introduction to Speech Comm | 3            |
| PTA            |        | Introduction to PT          | 2            |
| PTA            |        | Practice Issues             | 2            |
| TOTAL          |        |                             | 15           |

| SECOND SEMESTER |        |                         |              |
|-----------------|--------|-------------------------|--------------|
| Course          | Number | Title                   | Credit Hours |
| PTA             |        | Kinesiology             | 2            |
| PTA             |        | Kinesiology Lab         | 2            |
| PTA             |        | Fundamentals            | 2            |
| PTA             |        | Fundamentals Lab        | 2            |
| PTA             |        | Observation and Measure | 2            |
| PTA             |        | Observ. and Meas. Lab   | 2            |
| BIO             | 2420   | Human Physiology        | 3            |
| BIO             | 2425   | Human Physiology Lab    | 1            |
| Total           |        |                         | 16           |

| THIRD SEMESTER |        |                           |              |
|----------------|--------|---------------------------|--------------|
| Course         | Number | Title                     | Credit Hours |
| PTA            |        | Special Clientele         | 2            |
| PTA            |        | Special Clientele Lab     | 1            |
| PTA            |        | Physical Agents           | 2            |
| PTA            |        | Physical Agents Lab       | 2            |
| PTA            |        | Orthopedic Rehab          | 3            |
| PTA            |        | Orthopedic Rehab Lab      | 2            |
| PTA            |        | Pathophysiology I         | 2            |
| PTA            |        | Gerontology               | 1            |
| PTA            |        | Orthotics and Prosthetics | 1            |
| TOTAL          |        |                           | 16           |

|        |        | FOURTH SEMESTER           |              |
|--------|--------|---------------------------|--------------|
| Course | Number | Title                     | Credit Hours |
| PTA    |        | Rehabilitation Psychology | 2            |
| PTA    |        | Neuro Rehab               | 3            |
| PTA    |        | Neuro Rehab Lab           | 2            |
| PTA    |        | Pathophysiology II        | 2            |
| PTA    |        | Seminar                   | 1            |
| MATH   | 1030   | Quantitative Reasoning    | 3            |
| PSY    | 1010   | General Psychology        | 3            |
|        |        | TOTAL                     | 16           |

|        |        | FIFTH SEMESTER           |              |
|--------|--------|--------------------------|--------------|
| Course | Number | Title                    | Credit Hours |
| PT     |        | Clinical Affiliation I   | 2            |
| PT     |        | Clinical Affiliation II  | 2            |
| PT     |        | Clinical Affiliation III | 2            |
|        |        | TOTAL                    | 6            |
|        |        | Program Total            | 69           |

**APPENDIX B**  
**PROPOSED**  
**PHYSICAL THERAPIST ASSISTANT CURRICULUM**  
**COURSE DESCRIPTIONS**  
**DIXIE STATE COLLEGE OF UTAH**  
**PROPOSED PHYSICAL THERAPIST ASSISTANT CURRICULUM**

**PTA 001 Introduction of Physical Therapy 2.00 CR**

Students are introduced to the practice and profession of physical therapy including history, philosophy, licensure and ethics. Other topics include documentation and medical terminology,

**PTA 002 Practice Issues 2.00 CR**

Students review the "Guide to Physical Therapy Practice." The role and scope of practice of the physical therapist and physical therapist assistant is addressed. Students are also introduced to other health care professions and their role in the team approach to patient care and rehabilitation.

**PTA 003 Kinesiology 2.00 CR**

Students are introduced to the basic kinesiological and biomechanical principles of normal movement. Emphasis is placed on the importance of these principles in understanding and implementing treatment programs. Examples of how selected pathologies disrupt these principles and affect normal movement patterns are addressed.

**PTA 004 Kinesiology Lab 2.00 CR**

Students develop competencies in identifying anatomical landmarks and symmetry, muscle length relationships and contraction types, joint mechanics and function, and neurological control and effects.

**PTA 005 Physical Therapy Fundamentals 2.00 CR**

This course reviews the fundamental principles required for appropriate patient treatment and care. Included are treatment indications and contraindications for selected treatment interventions.

**PTA 006 Physical Therapy Fundamentals Lab 2.00 CR**

Students develop competence in fundamental skills including ADL's, transfers, mobility, gait and crutch training, architectural barriers, documentation and patient education. Patient age is considered.

**PTA 007 Observation and Measurement 2.00 CR**

Students are introduced to the principles for monitoring patient progress, safety and making recommendations for treatment modifications.

**PTA 008 Observation and Measurement Lab 2.00 CR**

Students develop competencies in observation and measurement techniques including goniometry, manual muscle testing, volumetric measurements, righting and equilibrium reactions, gait, sensory assessment and selected special tests. The influence of patient age and posture on the measurement techniques is emphasized.

**PTA 009 Special Clientele 2.00 CR**

Students are introduced to the therapeutic principles underlying the treatment of patients with cardiopulmonary pathologies, pelvic floor disorders and selected adolescent disorders.

**PTA 010 Special Clientele Lab 1.00 CR**

Students review the anatomy and physiology of the cardiopulmonary system and the techniques used for measuring cardiopulmonary function. Competencies in the application of specific assessment and treatment protocols are emphasized. Students also review the pelvic floor pathologies, and adolescent disorders and develop competencies to help treat these problems.

**PTA 011 Physical Agents 2.00 CR**

Students are introduced to the scientific principles and theories underlying the effects of appropriate application of therapeutic physical agents including heat, cold, ultrasound, radiation, electricity and massage.

**PTA 012 Physical Agents Lab 2.00 CR**

Students develop competence in the correct application of therapeutic modalities including heat and cold, electrotherapy, intermittent compression, massage, short wave diathermy, traction and ultrasound.

**PTA 013 Musculoskeletal Rehabilitation 3.00 CR**

Students are introduced to the basic therapeutic principles underlying the treatment of patients with musculoskeletal pathologies. Geriatric considerations are emphasized.

**PTA 014 Musculoskeletal Rehabilitation Lab 2.00 CR**

Students are introduced to and develop competence in the application of therapeutic exercise and other procedures used when treating musculoskeletal pathologies. Treatment modification for geriatric patients are discussed and developed.

**PTA 015 Pathophysiology I 2.00 CR**

Students review the inflammatory and healing processes of tissue trauma or disease and the disease process associated with specific musculoskeletal pathologies.

**PTA 016 Gerontology 1.00 CR**

Students explore the physiological, psychological and sociological effect of aging and how these changes affect normal activities of daily living and rehabilitation.

**PTA 017 Orthotics and Prosthetics 1.00 CR**

Students are introduced to the various types of orthotic and prosthetic devices and their functional use in patient care and rehabilitation.

**PTA 018 Rehabilitation Psychology 2.00 CR**

Students are introduced to the psychosocial considerations that affect patient rehabilitation. Cultural diversity, work relationships, human relations, geriatric considerations, responses to illness, learned helplessness, grieving, death and dying are discussed.

**PTA 019 Neuromuscular Rehabilitation 3.00 CR**

Introduction to the therapeutic principles used in the treatment of patients with neuromuscular pathologies. Geriatric considerations are emphasized.

**PTA 020 Neuromuscular Rehabilitation Lab 2.00 CR**

Students are introduced to and develop competencies in the application of specific treatment procedures used with neurologically involved children and adults. Treatment modification for geriatric patients are discussed and developed.

**PTA 021 Pathophysiology II 2.00 CR**

Students are introduced to specific neuromuscular pathologies most commonly treated in the physical therapy clinic.

**PTA 022 Seminar for Physical Therapist Assistants 1.00 CR**

Students are introduced to the various components of effective administration of a physical therapy clinic. Effective management techniques, performance evaluations, quality assurance, fiscal management, treatment re-imbursement and other relevant topics are covered.

**PTA 023 Clinical Affiliation I 2.00 CR**

A five-week, full-time clinical affiliation that provides students with an opportunity to practice and further develop competencies in physical therapy fundamentals skills, physical agents, and observation and measurement techniques. Grades assigned on Pass/Fail basis.

**PTA 024 Clinical Affiliation II 2.00 CR**

A five-week, full-time affiliation designed to expand the student's knowledge and competencies in treating musculoskeletal pathologies. Grades assigned on Pass/Fail basis.

**PTA 025 Clinical Affiliation III 2.00 CR**

A five-week, full-time affiliation designed to expand the student's knowledge and competencies in treating neuromuscular pathologies. Grades assigned on Pass/Fail basis.



## APPENDIX C

| <b>SALT LAKE COMMUNITY COLLEGE PTA PROGRAM COURSES</b> |                                        |                |
|--------------------------------------------------------|----------------------------------------|----------------|
| <b>Course Number</b>                                   | <b>Course Name</b>                     | <b>Credits</b> |
| MATH 1010                                              | Algebra                                | 4              |
| ENGL 1010                                              | Introduction to Writing                | 3              |
| BIOL 2320/2325                                         | Anatomy with Lab                       | 4              |
| PSY 1100                                               | Human Growth and Development           | 3              |
| PTA 1010                                               | Intro to Physical Therapy              | 2              |
| PTA 1500                                               | Practice Issues for the PTA            | 2              |
| PTA 2010                                               | Functional Anatomy                     | 4              |
| PTA 2100                                               | Patient Care Skills                    | 2              |
| PTA 2110                                               | Patient Care Skills Lab                | 1              |
| PTA 2200                                               | Therapeutic Modalities                 | 2              |
| PTA 2210                                               | Therapeutic Modalities Lab             | 2              |
| PTA 2300                                               | Principles of Therapeutic Exercise     | 2              |
| PTA 2310                                               | Principles of Therapeutic Exercise Lab | 2              |
| PTA 2350                                               | Clinical Assessment/PTA                | 2              |
| PTA 2360                                               | Clinical Assessment/PTA Lab            | 2              |
| PTA 2400                                               | Musculoskeletal Disorders              | 3              |
| PTA 2410                                               | Musculoskeletal Disorders Lab          | 1              |
| PTA 2450                                               | Neurological Disorders                 | 2              |
| PTA 2460                                               | Neurological Disorders Lab             | 2              |
| PTA 2510                                               | PT for Specific Clientele              | 3              |
| PTA 2520                                               | PT for Specific Clientele Lab          | 1              |
| PTA 2530                                               | Gerontology                            | 2              |
| PTA 2550                                               | Rehabilitation Psychology              | 2              |
| PTA 2600                                               | Clinical Experience I                  | 4              |
| PTA 2700                                               | Clinical Affiliation I                 | 6              |
| PTA 2710                                               | Clinical Affiliation II                | 6              |
| PTA 2740                                               | Seminar for PTAs                       | 1              |
| PTA 2850                                               | Special Topics for PTAs (elective)     | (2)            |
| PTA 2950                                               | Sports Physical Therapy (elective)     | (2)            |
| PTA 2960                                               | PT and OT in the Workplace (elective)  | (2)            |
|                                                        |                                        |                |
|                                                        | <b>TOTAL CREDITS</b>                   | <b>70</b>      |
|                                                        |                                        |                |
|                                                        |                                        |                |
|                                                        |                                        |                |
|                                                        |                                        |                |

## APPENDIX D

### LETTERS OF SUPPORT

To Whom It May Concern,

I would like to take a moment to introduce the company that I represent. We are SimplyRehab, a provider of therapy services in the Kolob Care and Kolob Regional Facilities. We have strived to provide excellent clinical care for over four years in both of these buildings. As a company that provides Therapy Services to the hundreds of individuals on an annual basis in the Cedar City and St. George area, we respectfully submit this letter of support for the development and implementation of a Physical Therapy Assistant Level Degree Program at Dixie State College. We would like to express our rationale for why this program is needed in the community, as well as what our organization has to offer the therapy program.

Currently we budget on a monthly basis for the recruitment of Physical Therapy Personnel within the two buildings we provide services in. Since December 2004, position vacancies and newly added positions can take over 18 months to fill. Over 60% of these individuals are relocating to the greater St. George area. In other geographical regions, vacancies are filled in 90 to 120 days and closer to 90% of the hires are local employees. I have spoken with several administrative personnel regarding the need for Physical Therapy Personnel, and all have reached the same conclusion, there just are not enough of licensed professionals in the region.

With the establishment of the Dixie State College Physical Therapy Assistant Program, more Utah residents will be able to access this training program. This will increase the community's ability to care for the elderly and infirm. Just as important, with the increased presence of therapists, the healthcare system's ability to meet the ever-expanding demand from an advancing elderly population boom. Based on statistical projections from just the Kolob Care and Kolob Regional Facilities we provide therapy care to nearly a 1,000 individuals on an annual basis. This number is expected to grow by 10% on an aggregate basis for the next 30 years. This information would lend support to determining if the need for the program is needed.

Finally, I would like to outline the support SimplyRehab has to offer Dixie State College when the Physical Therapy Assistant Program opens. We have the ability to provide clinical affiliations for four to six students concurrently. During an academic year, we can support up to eighteen clinical assignments. Our clinical instructor staff has over 60 years of field experience. We also are in a position to assist with academic programming via adjunct faculty assignments with our staff. We also provide ongoing continuing education courses to our employees, and in conjunction with Dixie State College, we could bring a greater number of courses to the area. Our two departments can provide a strong foundation for the development of competent and clinically sound students.

Allow me to express my appreciation for your review of this letter. We at SimplyRehab feel strongly that the growing demand for Physical Therapy services will continue unabated. The most beneficial way to address it, from an individual; community; professional perspective, would be by having a community based education program that would increase the likelihood of professionals staying close to where they graduated.

Respectfully,  
Edward A. Thelen, OTR/L  
Western Area Director for SimplyRehab



RIVER ROAD CAMPUS  
DRMC Dixie Medical Center Dixie  
St. George, UT 84770

100 EAST CAMPUS  
900 South 400 East  
St. George, UT 84770

435.251.1000  
435.251.2115 Fax

February 15, 2008

Dixie State College  
700 East 100 South  
St George UT 84770

To Whom It May Concern:

Dixie Regional Medical Center (DRMC) strongly supports a new Physical Therapist Assistant (PTA) program at Dixie State College. Based on the workforce needs of DRMC, we feel this program is justified and would provide a huge benefit to the citizens of Washington County.

National projections for the Physical Therapy (PT) profession, including Physical Therapist Assistants, are high. The PT/PTA delivery system is moving toward greater use of PTAs in the clinic setting, and DRMC has had difficulty recruiting locally for PTAs. A new Outpatient Pavilion on the DRMC campus is currently underway which will result in further expansion of Physical Therapy services in many areas and specialties.

Intermountain Healthcare and Dixie Regional Medical Center fully support a Physical Therapy Assistant program. It is needed in our community, and to meet the workforce needs in the entire state of Utah. DRMC has committed to help Dixie State College with start-up costs in the amount of \$240,000 over a three year period to ensure this program gets implemented as soon as possible.

Thank you for your consideration of this worthwhile program.

Sincerely,

A handwritten signature in blue ink, appearing to read "Terri Kane", written over a horizontal line.

Terri Kane  
Chief Executive Officer  
Dixie Regional Medical Center

A handwritten signature in blue ink, appearing to read "Vicki R. Wilson", written over a horizontal line.

Vicki R. Wilson  
HR Director  
Dixie Regional Medical Center

September 5, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

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

The following have been submitted by the Utah College of Applied Technology (UCAT) for consideration by the Regents on the Consent Calendar of the Programs Committee.

***A. Davis Applied Technology Center (DATC)***

In keeping with UCAT's mission, the emphasis of the proposed programs is on hands-on, open-entry/open-exit, competency-based training. All proposed DATC certificates, classroom and laboratory activities are intertwined to provide students with the technical skills necessary to be successful in their respective industries and properly prepared for continuing their education at one of the other USHE institutions, if they so choose.

Demand by students will follow the demand of the economy for these jobs. It is reasonable to assume that as the market demands more employees for these jobs, there will be upward pressure on the annual salaries. The proposed certificates respond to a current and estimated future demand for highly-trained individuals to meet the needs of local businesses in various industries. As Utah continues to expand in all industries, and as a means of promoting economic development, having highly-trained and appropriately qualified employees to meet the demand is essential. The presence of a highly-trained workforce throughout the various regions of the state will attract the attention of potential high-tech, start-up companies, which, in turn, will add significant value to the state's efforts in economic development.

None of the proposed certificates of proficiency has an impact on DATC's existing budgets. It is important to note that the proposed budgets are based upon the current operating budget of existing programs at the DATC. Budget figures include support for high school and adult students, certificate candidates, upgrade training, and apprenticeship students (where appropriate). No additional funds are required.

***i. Certificate of Completion: Managing Bookkeeper***

**Request:** UCAT requests approval to offer a Managing Bookkeeper certificate of completion effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Managing Bookkeeper certificate of completion is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a full-service or managing bookkeeper. Employment could be for an individual who would manage a small business accounting department under the direction of an internal or external accountant. Students completing the program would also have the skills required for the National Professional Bookkeeper certificate.

Upon completion of the program, students will have completed basic and advanced business courses and acquired working knowledge and specific skills required in bookkeeping such as computing, classifying, recording, and verifying numerical data to keep financial records complete and accurate. Completers will be able to set up charts of accounts; prepare financial statements; and provide accounts payable, accounts receivable, payroll management, inventory management, basic purchasing and project management skills with a focus on the use of QuickBooks business management software. This program will also prepare individuals for advanced technical administrative support to financial management personnel.

**Need:** Managing Bookkeepers with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include accounting departments. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$27,500. Average salaries for experienced employees range up to \$38,000. These salaries and the working conditions related to these jobs will lead to a stable demand by those who are qualified.

**Finance:** No additional funds are required; this operating budget is currently in place. There is no impact to the existing budgets. The Managing Bookkeeping certificate of completion is being developed from the business and accounting programs which have already been established at other UCAT campuses and have sufficient funds to continue operation.

## **ii. Certificate of Completion: Barbering**

**Request:** UCAT requests approval to add the DATC as a campus offering the certificate of completion in Barbering, effective summer 2008. The Utah State Board of Regents approved UCAT's certificate of completion in Barbering on 18 December 2007. DATC was not included as a campus offering the complete certificate program at that time. DATC is now ready to implement the full curriculum.

The offering of this certificate was submitted for regional review and was approved by the DATC Campus Board of Directors on 28 February 2008. The UCAT Board of Directors approved the addition of DATC on 5 May 2008.

**Need:** The Davis region need for the Barbering certificate of completion is consistent with the statewide need reflected in the UCAT certificate in terms of industry, labor market demand and student demand. Job opportunities for barbers and other personal appearance workers are projected to grow about as fast as the average for all occupations through 2014, because of an increasing population, rising incomes and a growing demand for personal appearance services. This certificate of completion will create a highly trained workforce, which is essential to the continued and improved economic viability of Utah. Approval to offer the certificate at DATC will allow students who are interested in Barbering to complete the licensing requirements in a shorter period of time.

**Institutional Impact:** A certificate of completion in Cosmetology has been available to DATC students for several years. The campus participation in the Barbering certificate of completion will have no institutional impact because material resources and faculty are in place to support this program. All DATC courses and competencies are as outlined in the UCAT certificate, and open-entry/open-exit enrollment is provided.

The Barbering certificate at DATC was reviewed and is supported by its respective Employer Advisory Committee. As well, DATC has submitted it for regional review with supporting documentation attached to this request.

**Finances:** Financial support for the currently offered Cosmetology program is already in place within the current DATC budget. The curriculum associated with adding the certificate of completion in Barbering is in place, current faculty teaching loads will remain the same, and all expenses will be accommodated within existing campus budgets.

### iii. Certificate of Proficiency: Bookkeeper

**Request:** UCAT requests approval to offer a Bookkeeper certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Bookkeeper certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge necessary for employment as a bookkeeper under the direction of the managing or full-service bookkeeper.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in the bookkeeping function in business. These courses will include all aspects of bookkeeping such as setting up charts of accounts, preparation of and ability to read financial statements, accounts receivable, accounts payable, and payroll management with a focus on the use of QuickBooks software. This program will also prepare individuals to provide technical administrative support to financial management personnel in performing any combination of routine calculating, posting, and verifying duties to obtain primary financial data for use in maintaining accounting records.

The proposed Bookkeeper certificate is an extension of the existing Business program. Due to the increasing specialization of those with skills in the use of QuickBooks to perform bookkeeping functions, the number of students interested in this certificate, the market demand, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Bookkeeping specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be

driven by technology improvement. Because of this drive, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their job efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$27,000. These salaries, and the working conditions related to these jobs will lead to a stable demand by those who are qualified.

**Finance:** The Bookkeeper certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **iv. Certificate of Proficiency: Accounts Payable Management Clerk**

**Request:** UCAT requests approval to offer an Accounts Payable Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Accounts Payable Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an accounts payable management clerk.

Upon completion of the program students will have completed basic business courses with working knowledge and specific skills required in the accounts payable function in business. These courses will include best practices in Accounts Payable Departments through case studies as well as accounts payable theory. Students will demonstrate the ability to manage vendor bills, track reimbursable expenses, receive inventory purchases, enter credit memos and recurring bills, select which bills to pay, apply discounts and credits, make direct disbursements, remit sales tax, and create reports using QuickBooks software.

This certificate is being offered to help students secure employment with small to medium-sized businesses which sell on credit, and therefore have accounts payable that need to be managed efficiently.

The proposed Accounts Payable Management Clerk certificate is an extension of the existing Business program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage accounts payable, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Accounts payable specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star

occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include accounts payable departments. This program is targeted to fulfill the demand from small and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$29,500. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Accounts Payable Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **v. Certificate of Proficiency: Accounts Receivable Management Clerk**

**Request:** UCAT requests approval to offer an Accounts Receivable Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Accounts Receivable Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an accounts receivable management clerk.

Upon completion of the program, students will have completed basic business courses with working knowledge and specific skills required in the accounts receivable function in business. The program courses will include best practices in accounts receivable departments through case studies as well as accounts receivable theory. Students will demonstrate the ability to apply customer payments, apply credits and discounts to invoices, handle cash sales, make bank deposits, track receivables, work with finance charges, send statements to customers, and create reports using QuickBooks.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which sell on credit, and therefore have accounts receivable that need to be managed efficiently.

The proposed Accounts Receivable Management Clerk certificate is an extension of the existing business program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage accounts receivable, the demand of students interested in this certificate, the demand of the industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Accounts receivable specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this movement there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.



The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 590 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include accounts receivable departments. This program is targeted to employees who can fulfill the demand from industry.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$27,000. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Accounts Receivable Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **vi. Certificate of Proficiency: eBusiness**

**Request:** UCAT requests approval to offer an eBusiness certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The eBusiness certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an eBusiness specialist.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required to implement eBusiness functions in business. Students will demonstrate the ability to perform all aspects of managing an eBusiness including technical writing, Web design, Website usability and testing, management of a small business, marketing, credit card management, products, delivery, and customer service. The student will be able to use technology to implement and manage an eBusiness within a brick and mortar business or within an internet-based company.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which have eBusiness functions that need to be managed efficiently.

The proposed eBusiness certificate of proficiency is an extension of the existing business program. Due to the increasing specialization of those with skills in the management of an eBusiness, the demand of students interested in this certificate, the demand of the industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** eBusiness specialists with training in implementation and operation of an eBusiness will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Therefore demand for those who are trained in the use of eBusiness will allow industry to conduct business efficiently.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include electronic business. This program is targeted to fulfill the demand from these small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,000. Average salaries for experienced employees range up to \$30,000. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The eBusiness certificate of proficiency is being developed from the Business, Accounting, and Media Design Technology programs, which have already been established at DATC and have sufficient funds to continue operation.

#### **vii. Certificate of Proficiency: Entrepreneurship**

**Request:** UCAT requests approval to offer an Entrepreneurship certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Entrepreneurship certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for those starting and managing a small business, or a department of a small business, from start-up to profitability.

Upon completion of the program, students will have completed basic business courses with an emphasis on training the entrepreneur on business functions needed to start a business. The program courses will include focusing on the use of the most popular software tools used for analysis and accounting. The program also focuses on the marketing, sales, and management skills needed to start and run a small business, or a department of a small business. Students will acquire the working knowledge and specific skills required to create a business plan, apply basic business law and ethics, and use software applications. This program will also provide opportunities to increase individual skill levels in a variety of areas pertaining to small business management and entrepreneurship.

This certificate is being offered to help students start and grow their own business, or to work with an existing business in starting and growing a new department within that small business.

The proposed Entrepreneurship certificate of proficiency is an extension of the existing business program. Due to the increasing specialization of those with skills in the start-up of a new business, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Students with entrepreneurial skills will have opportunities to start new businesses in all economic conditions. When jobs are scarce, the self-employed person has a job.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. This program is targeted to fulfill the demand of the start-up and success of many of these small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$21,500. Average salaries for experienced employees range up to \$29,500. These salaries, and the working conditions related to these jobs will lead to a stable demand by those who are qualified.

**Finance:** The Entrepreneurial Basics certificate of proficiency is being developed from the business, accounting, and media design technology programs, which have already been established at DATC and have sufficient funds to continue operation.

#### **viii. Certificate of Proficiency: Inventory Management Clerk**

**The Request:** UCAT requests approval to offer an Inventory Management Clerk certificate of proficiency effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Inventory Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as an inventory management clerk.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in all aspects of inventory management. The program courses will include best practices in inventory management through case studies and theory. Students will demonstrate the ability to receive inventory, create inventory items such as purchase orders, work with physical inventory counts, adjust inventory numbers, create pre-builds, manage backorders, issue inventory to fulfill a sales order, and create reports using QuickBooks business management software.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which sell a product and therefore have inventory that needs to be managed efficiently.

The proposed Inventory Management Clerk certificate is an extension of the existing business program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage inventory, the demand of students interested in this certificate, the demand of the industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Inventory specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include inventory personnel. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$23,500. Average salaries for experienced employees range up to \$32,340. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Inventory Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **ix. Certificate of Proficiency: Payroll Management Clerk**

**Request:** UCAT requests approval to offer a Payroll Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Payroll Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a payroll management clerk.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in the payroll management function of business. The program courses will include best practices in Payroll Management Departments through case studies as well as payroll management theory. Students will demonstrate the ability to manage time cards, prepare payroll, set up payroll liability payment schedules, make tax deposits, prepare quarterly and annual forms, create reports, and use time tracking and mileage tracking functions using QuickBooks business management software.

This certificate is being offered to help students secure employment with small- to medium-sized businesses with the need of efficient management of their payroll system.

The proposed Payroll Management Clerk certificate of proficiency is an extension of the existing business and accounting programs. Due to the increasing specialization of those with skills in the use of QuickBooks software to manage payroll, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Payroll management clerks with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses require payroll management skills. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$25,000. Average salaries for experienced employees range up to \$33,000. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Payroll Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **x. Certificate of Proficiency: Project Management Technician**

**Request:** UCAT requests approval to offer a Project Management Technician certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Project Management Technician certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a project management technician. Students enrolled in the Project Management Technician certificate of proficiency will perform project plan maintenance including setting up projects, updating project status, project status reporting, and project closeout; with some use of Microsoft Project and QuickBooks business management software.

This certificate is being offered to help students secure employment with small- to medium-sized businesses which have project-based contracts that need to be managed efficiently.

The proposed Project Management Technician certificate of proficiency is an extension of the existing business program. Due to the increasing specialization of those with skill in the use of Project and QuickBooks software to manage internal business processes, the demand of students interested in this certificate, the demand of industry, and employer advisory committee recommendation, the program warrants its own certificate.

**Need:** Project technicians with training in Project and QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as Project and QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include personnel who work in finance and manage projects. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$23,500. Average salaries for experienced employees range up to \$32,340. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Project Management Technician certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

#### **xi. Certificate of Proficiency: Purchasing Management Clerk**

**Request:** UCAT requests approval to offer a Purchasing Management Clerk certificate of proficiency, effective Summer 2008. This program was approved by the institutional Board of Directors on 28 February 2008.

**Description:** The Purchasing Management Clerk certificate of proficiency is a self-paced, competency-based program providing the technical skills and knowledge that are necessary for employment as a purchasing management clerk.

Upon completion of the program, students will have completed basic business courses and acquired working knowledge and specific skills required in the purchasing function in business. The program courses will include best practices in purchasing departments through case studies as well as purchasing theory. Students will demonstrate the ability to create and use purchase orders, use the manufacturer's part number (MPN) on purchase orders, and customize and create purchase order templates using QuickBooks software.

This certificate is being offered to help students secure employment with small to medium-sized businesses with purchasing functions that need to be managed efficiently.

The proposed purchasing management clerk certificate is an extension of the existing Business Program. Due to the increasing specialization of those with skills in the use of QuickBooks to manage purchasing, the demand of students interested in this certificate, the demand of industry, and Employer Advisory Team recommendation, the program warrants its own certificate.

**Need:** Purchasing specialists with training in QuickBooks business management software will be in demand in all economic and entrepreneurial working environments of business. These jobs continue to be driven by technology improvement. Because of this, there will be a demand for those who are trained in the use of office automations products such as QuickBooks, allowing them to perform their jobs efficiently.

The Utah Department of Workforce Service states, in relationship to jobs related to this certificate: "Bookkeeping, Accounting, and Auditing Clerks have been selected as one of Utah's Four Star occupations. Looking forward, business growth -- as opposed to the need for replacements -- will make up the majority of new job openings." There are estimated to be 174 annual openings.

In Utah, 97.7 percent of businesses have fewer than 100 employees, according to the US Small Business Administration. Many of those businesses include purchasing departments. This program is targeted to fulfill the demand from small- and medium-sized businesses.

The annual salaries for inexperienced employees in these jobs on the Wasatch Front average about \$23,500. Average salaries for experienced employees range up to \$32,340. These salaries, and the working conditions related to these jobs, will lead to a stable demand by those who are qualified.

**Finance:** The Purchasing Management Clerk certificate of proficiency is being developed from the Business and Accounting programs which have already been established at DATC and have sufficient funds to continue operation.

## ***B. Bridgerland Applied Technology Center (BATC)***

### **i. Certificate of Proficiency: Veterinarian Assistant/Pre-Technician**

**Request:** BATC requests Fast Track approval of its certificate of proficiency in Veterinarian Assistant/Pre-Technician for financial aid, effective July 2008. This certificate was approved by the campus Board of Directors on 21 May 2007. This program was approved by the local BATC board and has been functioning for the past year. The Campus Board of Directors (21 May 2007) and the Bear River CTE Regional Planning Committee (29 April 2008) have all approved the offering of this certificate.

**Need:** The need for Veterinarian Assistants/Pre-technicians is consistent with the statewide need in terms of industry, labor market and student demand. The US Department of Labor estimates indicate the need for veterinarian assistant workers will grow by 18 percent from 2006 to 2016, which is "faster than the average for all occupations." Today, owners of pets and other animals expect state-of-the art veterinary care. To provide this service, veterinarians use the skills of veterinarian assistants/pre-technicians to perform many of the same duties for a veterinarian that medical assistants perform for a physician. Range of duties under the supervision of a veterinarian include animal restraint, nursing care, radiology, routine lab procedures, blood collections, catheterization, dental cleaning, administration of vaccines, cleaning and disinfecting exam rooms and kennels, sterilizing laboratories and surgical equipment, CPR/First Aid, client services, and front office duties.

Approval to offer financial aid eligibility for the certificate at BATC will allow current and future students to qualify for financial aid and provide opportunities for students consistent with those available in other regions of the state.

The certificate of proficiency in Veterinarian Assistant/Pre-technician was available to BATC students for one year. Graduation standards were primarily designed around accreditation standards from the American Veterinarian Medical Association (AVMA) with a primary objective to meet the needs of local veterinarians.

**Finances:** Financial support for the currently offered Veterinarian Assistant/Pre-technician certificate is already in place at BATC and will be handled within current faculty teaching loads and all expenses will be accommodated within existing campus budgets.

### **ii. Certificate of Proficiency: Basic Esthetician and Master Esthetician**

**Request:** BATC requests Fast Track approval of its certificates of proficiency in Basic Esthetician and Master Esthetician for financial aid, effective July 2008. These certificates were approved by the campus Board of Directors on 21 May 2007. This program was approved by the local BATC board and has been

functioning for the past year. The Campus Board of Directors (21 May 2007) and the Bear River CTE Regional Planning Committee (29 April 2008) have all approved the offering of this certificate.

**Need:** The need for Estheticians is consistent with the statewide need in terms of industry, labor market and student demand. The US Department of Labor estimates indicate the need for personal appearance workers will grow by 14 percent from 2006 to 2016, which is “faster than the average for all occupations.” This growth will be primarily a result of an increasing population and from the growing demand for personal appearance services, particularly skin care services. Continued growth in the number of full-service day spas will generate numerous job openings for manicurists, pedicurists, and skin care specialists. Estheticians and other skin care specialists will see large gains in employment. The need for estheticians is expected to grow 34 percent as more facial procedures to improve one’s complexion become available and become more popular in spas and some medical settings. Approval to offer financial aid eligibility for the certificates at BATC will allow current and future students to qualify for financial aid and provide opportunities for students consistent with those available in other regions of the state.

The certificates of proficiency in Basic Esthetician and Master Esthetician have been available to BATC students for one year. Graduation standards are established by the Utah Division of Occupational and Professional Licensing. These rules define the competencies required in the curriculum for a basic esthetician program (600 hours) and a master esthetician program (600 hours). Following completion of instruction, students must apply for licensure to pass NIC Esthetician Theory and Esthetics Practical Examinations.

**Finances:** Financial support for the currently offered Esthetician certificates are already in place at BATC and will be handled within current faculty teaching loads and all expenses will be accommodated within existing campus budgets.

#### Recommendation

The Commissioner recommends approval of the items on the Program’s Consent Calendar as noted.

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William A. Sederburg  
Commissioner of Higher Education

WAS/amh



September 5, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

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

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

***A. Utah State University***

***i. Implement K-6 Licensure Program in the School of Teacher Education and Leadership***

**Request:** Faculty in the Elementary Education Program in the School of Teacher Education and Leadership will implement a new K-6 Utah teacher licensure program. Currently, students admitted to teacher education in the Elementary Education Program can complete a K-3 Utah licensure program (early childhood), a 1-6 Utah licensure program, or a dual major encompassing both Utah licensure programs. This is a new program created with existing courses that essentially pares down the dual major to one major that enables students to teach in grades K-6. It is anticipated that it would be available Fall 2008. This program was approved by the USU Board of Trustees on May 23, 2008.

**Need:** The superintendents in Utah have requested that institutions of higher education create and implement K-6 licensure programs based on the need for more hiring flexibility in this time of teacher shortage in Utah and the nation. More specifically, they requested a K-6 licensure program that teacher candidates can complete within the 120 credits of most bachelor's degrees. The Utah State Office of Education (USOE) concurs with the superintendents and subsequently authorized a K-6 license in addition to the existing K-3 and 1-6 licenses.

Utah and the nation are currently experiencing a teacher shortage, particularly in the areas of early childhood, special education, and secondary math and science. With the current certification programs, many students choose not to commit the time to complete a dual major (K-3 & 1-6); they complete one or the other. The current elementary teaching licenses lead to a lack of flexibility for school districts in moving teachers from one grade level to another, particularly because many first or second grade teachers cannot be assigned to teach kindergarten because they are licensed to teach only grades 1-6.

**Need:** Based on a poll taken (N=78) in all sections of ELED 1010 (taken prior to admission to the program), enrollment in the K-6 licensure program will increase compared to the number currently in the Early Childhood Licensure program. Fifty-eight percent indicated they would enroll in the K-6 licensure program.

It is expected that some additional early childhood course offerings across the Elementary Education Program and the Department of Family, Consumer and Human Development would need to be added to accommodate all interested students. This will impact faculty loads. However, if no new faculty members are hired, there is still capacity to offer the program to 40 students per year.

**Finances:** No additional resources are needed to teach this program to 40 students per year. An additional faculty position to teach courses in Elementary Education and Family, Consumer and Human Development would allow for enrollment growth.

ii. ***Name Change: Bachelor of Interior Design and Bachelor of Arts/Bachelor of Science in Interior Design, Sales and Marketing***

**Request:** The Interior Design Program at Utah State University requests a change in the name of (1) the Bachelor of Arts/Bachelor of Science in Interior Design with Studio Emphasis to a Bachelor of Interior Design (BID) and (2) the Bachelor of Arts/Bachelor of Science in Interior Design with Emphasis in Design, Sales and Marketing to a Bachelor of Arts/Bachelor of Science in Interior Design, Sales and Marketing. This change will not affect any instructional activities. All course requirements for the two separate degrees will stay the same. This name change will more clearly distinguish the differences in content and focus between the two degrees, which is recommended by the Council for Interior Design Accreditation.

**Need:** Utah State University's Interior Design Program is the only accredited interior design program in the state of Utah. The proposed degree name changes will assist USU in maintaining its Council for Interior Design Accreditation (CIDA) accreditation, which encourages as much separation and distinction between degree emphases as possible.

The employment of Interior Designers is projected to grow faster than the average of all occupations through 2012. Workers entering the occupation for the first time are expected to fill 20,000 openings between 2002 and 2012. Local and regional labor market demands follow these same trends.

Currently, market demand outstrips the number of Interior Design graduates available. Students already compete for places (through GPA and portfolio review) in the Studio Emphasis, and student demand supports enrollment in the Studio Emphasis. The same is true for the Design Sales and Marketing Emphasis. The number of graduates in the Studio Emphasis is stable and consistent over the years.

Student interest in the Interior Design Studio Emphasis (BID degree) is high. Students in the Studio Emphasis express support for the BID degree, which they feel more accurately and clearly communicates the nature of their coursework to the larger world. They note that such a degree will also make them more desirable to employers.

**Institutional Impact:** This proposed change will not affect enrollments in these degrees. It will have no effect on existing administrative structures or in existing faculty or staff. No new facilities or equipment will be required.

**Finances:** No new costs or savings are anticipated from this change.

### ***B. Utah Valley University – Minor in Classical Studies***

**Request:** Utah Valley University proposes to offer a Classical Studies Minor effective Fall 2008. This proposal was approved by the institutional Board of Trustees in its meeting on April 10, 2008.

**Need:** The Classical Studies minor is designed to respond to increasing student interest in Ancient Greek and Roman history, literature and civilization, to support student interest in Biblical and religious studies focusing on the Classical era, and to foster interdisciplinary study within the university community.

This proposed Classical Studies minor focuses on the study of the language, literature (usually in translation), history, philosophy, religion, art, and culture of Ancient Greece and Ancient Rome during the classical era. As an interdisciplinary minor, the program draws on the expertise of various faculty members from across campus.

The Classical Studies minor will foster interdisciplinary study within the university community and provide a program for those students who are interested in career paths that are informed by a sophisticated understanding of ancient culture, such as: law, political science, art, architecture, history, medicine, drama, literature, teaching, humanities, business, linguistics, anthropology, religion, archeology, psychology, philosophy, as well as graduate studies in many of the aforementioned fields.

UVU is prepared to host the Classical Studies minor with minimal impact on existing administrative structures. As a stand-alone minor Classical Studies will be under the auspices of the Committee on Interdisciplinary Studies (COIS) which fully supports the program. The University College, in which COIS is housed, also supports the minor. All of the courses and faculty necessary to provide the program are in place. Approval has been received by every department in which a course suitable for the Classical Studies minor will be taught. As such, no additional courses, faculty or funds are needed to implement this minor.

The Classical Studies minor will be administered by an elected coordinator. The Classical Studies coordinator will work with the chair of the Committee on Interdisciplinary Studies (who works directly with the dean of the School of General Academics) to run and assess the program. Thus, staff are already in place and no new staff are required for the minor.

**Institutional Impact:** The institutional impact of the Classical Studies minor will be minimal in regard to the need for new faculty, courses, physical facilities and equipment, as each of the aforementioned is already in place for the minor to be immediately implemented.

From the perspective of the COIS, the impact of Classical Studies will be positive. The courses of the Classical Studies minor will draw students into other COIS-sponsored courses, thus increasing attendance, especially in upper-level courses. In particular, the INST 4900 capstone course, which is a component of the core requirement for the Classical Studies minor, will be enriched by the participation of students who minor in Classical Studies. The Classical Studies minor, by its interdisciplinary nature, will provide opportunities for enhancing cooperative efforts between existing academic departments and schools across the institution.

**Finances:** As the Classical Studies minor requires no new curriculum, personnel or facilities, and as the Committee on Interdisciplinary Studies is already functioning as the de facto department for interdisciplinary stand-alone minors, there are no additional funds needed to realize the minor. The program will increase enrollment in upper-level courses offered by the host departments associated with the minor. As it will also be a draw to students in Utah Valley and other regions who are interested in the rigorous intellectual demands of Classical Studies, it will potentially increase the number of students attending UVU.

#### Recommendation

The Commissioner recommends the Regents review the items on the Program's Information Calendar. No action is required.

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William A. Sederburg  
Commissioner of Higher Education

WAS/amh

August 27, 2008

MEMORANDUM

TO: Utah State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE - Long-term Enrollment Scenarios

Attached are 20-year enrollment projections for the Utah System of Higher Education (with the exception of UCAT). These projections are prepared to assist the Regents and state-level policymakers in mid- to long-range planning. The model estimates enrollment demand for higher education based on the projected population and the propensity of that population to participate in higher education. The attached scenario is based on an assumed constant participation rate based on 2007 data.

Alternate projection scenarios have been computed using differing participation rate scenarios. Some of these additional scenarios include: a regression model based on 20 years of historical data, and a growth model where participation rates are set at a pre-determined rate of growth. These data will be made available to the members upon request.

**Projection Limitations**

When considering the projections for the next 20 years, Regents should keep in mind a few caveats:

- **Population Projections.** The projections are only as good as the assumptions on which they are based. A principal assumption embedded in the USHE enrollment projections is that statewide population estimates promulgated by GOPB will prove to be relatively accurate.
- **Participation Rate Projections.** Major shifts in policy, such as changes in institutional mission and role, changes to residency requirements, availability of nonresident waivers, lack of funding for new enrollment, enrollment freezes, high tuition increases, or other factors could have a direct impact on participation rates.
- **Systematically Reported Enrollments.** Only those enrollments, including both budget-related and self-supporting enrollments, which have been systematically reported, form the basis for future projected enrollments.

- **One state-wide model does not necessarily accurately predict enrollments at the institution level.** Each institution is unique in both its mission and service community. It stands to reason therefore that each institution should develop its own unique projection model. This model should be developed with the aid of the Commissioner's Office so that it accurately predicts future enrollments within acceptable levels of accuracy. The customization of a predictive model at each institution is essential when considering the fact that the resulting data will then be utilized in the Q&P process. These institutional models will be developed over the next three to six months.
- **Projections and Facilities Requests/Q&P.** Institution projections are used as input to the Regents' facilities prioritization process known as the "Q&P." The five-year projection figures along with accepted space-per-student standards will generate estimated space needs for each institution. These estimated space needs are one of several elements weighed in the Q&P process.
- **Projections and Budget Requests.** Projections will not be used for budget request purposes, such as the determination of enrollment growth requests. USHE enrollment growth funding requests have been based for several years on actual enrollments rather than projected enrollments, and institutions receive growth funding a year after student growth has actually occurred

#### Commissioner's Recommendation

The Commissioner recommends that the Regents consider and adopt the long-term enrollment projection scenario as profiled in Attachment 1.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/JAC  
Attachments

## USHE 2008 Long-term Enrollment Projection Model

*Participation rates held constant at the 2007 level for years 2008-2028*

## UTAH SYSTEM OF HIGHER EDUCATION

System Total Projection *(All line items excluding UCAT; budget-related and self-supporting programs)*

| 20-YEAR ACTUAL HISTORY   |                |          |                |                         |                                              | 20-YEAR PROJECTION       |                |          |                |                         |                                              |
|--------------------------|----------------|----------|----------------|-------------------------|----------------------------------------------|--------------------------|----------------|----------|----------------|-------------------------|----------------------------------------------|
| Year                     | Fall Headcount | Fall FTE | Annualized FTE | Annualized FTE % change | Cumulative Annual FTE % change (Since 88-89) | Year                     | Fall Headcount | Fall FTE | Annualized FTE | Annualized FTE % change | Cumulative Annual FTE % change (Since 07-08) |
| 88-89                    | 74,884         | 56,640   | 58,606         | n/a                     | n/a                                          | 08-09                    | 142,910        | 98,460   | 113,940        | 1.8%                    | 1.8%                                         |
| 89-90                    | 80,430         | 60,028   | 62,368         | 6.4%                    | 6.4%                                         | 09-10                    | 144,820        | 99,790   | 115,490        | 1.4%                    | 3.2%                                         |
| 90-91                    | 86,843         | 63,545   | 66,468         | 6.6%                    | 13.4%                                        | 10-11                    | 146,370        | 100,900  | 116,760        | 1.1%                    | 4.4%                                         |
| 91-92                    | 94,923         | 69,651   | 73,009         | 9.8%                    | 24.6%                                        | 11-12                    | 147,880        | 101,940  | 117,950        | 1.0%                    | 5.4%                                         |
| 92-93                    | 99,163         | 73,224   | 76,957         | 5.4%                    | 31.3%                                        | 12-13                    | 149,130        | 102,810  | 118,950        | 0.8%                    | 6.3%                                         |
| 93-94                    | 103,633        | 75,805   | 79,479         | 3.3%                    | 35.6%                                        | 13-14                    | 150,650        | 103,870  | 120,190        | 1.0%                    | 7.4%                                         |
| 94-95                    | 110,594        | 79,364   | 81,978         | 3.1%                    | 39.9%                                        | 14-15                    | 152,580        | 105,210  | 121,740        | 1.3%                    | 8.8%                                         |
| 95-96                    | 112,666        | 81,713   | 84,068         | 2.5%                    | 43.4%                                        | 15-16                    | 154,850        | 106,770  | 123,530        | 1.5%                    | 10.4%                                        |
| 96-97                    | 116,047        | 83,375   | 87,383         | 3.9%                    | 49.1%                                        | 16-17                    | 157,440        | 108,580  | 125,630        | 1.7%                    | 12.3%                                        |
| 97-98                    | 121,053        | 87,077   | 91,103         | 4.3%                    | 55.4%                                        | 17-18                    | 160,490        | 110,690  | 128,070        | 1.9%                    | 14.5%                                        |
| 98-99                    | 113,704        | 79,393   | 90,453         | -0.7%                   | 54.3%                                        | 18-19                    | 163,920        | 113,060  | 130,820        | 2.1%                    | 16.9%                                        |
| 99-00                    | 122,417        | 84,929   | 96,585         | 6.8%                    | 64.8%                                        | 19-20                    | 167,550        | 115,590  | 133,720        | 2.2%                    | 19.5%                                        |
| 00-01                    | 126,377        | 88,002   | 101,307        | 4.9%                    | 72.9%                                        | 20-21                    | 171,070        | 118,030  | 136,540        | 2.1%                    | 22.0%                                        |
| 01-02                    | 134,939        | 94,698   | 109,302        | 7.9%                    | 86.5%                                        | 21-22                    | 174,820        | 120,620  | 139,510        | 2.2%                    | 24.7%                                        |
| 02-03                    | 138,625        | 98,090   | 114,610        | 4.9%                    | 95.6%                                        | 22-23                    | 178,780        | 123,370  | 142,710        | 2.3%                    | 27.6%                                        |
| 03-04                    | 140,933        | 99,242   | 115,212        | 0.5%                    | 96.6%                                        | 23-24                    | 182,630        | 126,050  | 145,800        | 2.2%                    | 30.3%                                        |
| 04-05                    | 144,937        | 100,067  | 115,188        | 0.0%                    | 96.5%                                        | 24-25                    | 186,790        | 128,930  | 149,120        | 2.3%                    | 33.3%                                        |
| 05-06                    | 144,302        | 98,344   | 112,341        | -2.5%                   | 91.7%                                        | 25-26                    | 190,760        | 131,690  | 152,310        | 2.1%                    | 36.1%                                        |
| 06-07                    | 140,605        | 96,761   | 111,624        | -0.6%                   | 90.5%                                        | 26-27                    | 194,870        | 134,520  | 155,570        | 2.1%                    | 39.0%                                        |
| 07-08                    | 140,332        | 96,666   | 111,883        | 0.2%                    | 90.9%                                        | 27-28                    | 198,560        | 137,110  | 158,550        | 1.9%                    | 41.7%                                        |
| Average Annual Increases |                |          | 2,804          | 3.5%                    |                                              | Average Annual Increases |                |          | 2,333          | 1.8%                    |                                              |

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: First-Tier Tuition Range for 2009-2010

Issue

In 2005, Legislative Counsel advised the Board of Regents that first-tier tuition recommendations should be made prior to the General Session. To comply, Regents are asked to approve a tuition range to cover the required institutional share of the compensation package that will be funded by the Legislature during the 2009 General Session.

Each year the Board of Regents approves two tuition rates. First-tier tuition provides the institutional share of the legislatively-approved compensation package. This equates to 25 percent of the compensation package being funded by tuition and 75 percent being funded from state tax funds. The proposed tuition rate increase would be set equal to the highest institutional rate required to fund compensation increases.

Second-tier tuition is based on institutional need and varies from campus to campus. Statute (UCA 53B-7-101.5) requires each institution to conduct a "truth in tuition" hearing with students prior to Regent approval of second-tier tuition. Institutions will hold the "truth in tuition" hearings during December through February and then bring recommendations to the Regents after the Legislative session.

Commissioner's Recommendation

The Commissioner recommends that the Board formalize first-tier tuition as the amount required to fund the FY 2010 compensation package.

This action will allow staff to comply with the request from Legislative Counsel that the Regents inform the Legislative Fiscal Analyst of proposed tuition rates. A final decision on first-tier tuition will require additional action by the Board of Regents once the compensation package is determined.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH



August 27, 2008

MEMORANDUM

TO: The State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE – Proposed Revision of Policy R558, *Surplus Property*

A request about the continued viability of R558 (Surplus Property) was received by OCHE from the institutions. Upon review, staff found the policy follows Utah Code §63A-9-802. However, discussion with USHE Business Affairs Council found that the reporting element found on 4.7 wasn't necessary to comply with Utah Code and as such a recommended revision to policy R558 is attended. Also note that this recommended change will require changes to policy R220, which will be presented at a future date.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the proposed changes to policy R558, *Surplus Property*.

---

William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/TC  
Attachment

## R558, Surplus Property

### R558-1. Purpose

To provide for certain interaction between the institutions and the State Division of Fleet Operations relating to surplus property.

### R558-2. References

#### 2.1. Utah Code §63A-9-802

### R558-3. Definitions

3.1. Surplus Property - Surplus property means property purchased by, seized by, or donated to, an institution which is no longer needed by the institution and is to be disposed of by the institution. Surplus property does not mean real property.

3.2. Internal Transfer - Internal transfer means transfer of surplus property internally within an institution.

3.3. External Sale - External sale means disposition of property outside of the institution.

### R558-4. Policy

4.1. Institutional Programs - Each institution shall maintain its own surplus property program.

4.2. External Sale - External disposition of property shall be in compliance with applicable restrictions of any donor, the federal government, or other entity from which the property was originally acquired.

4.3. Preference for Internal Use - Institutions are encouraged to transfer surplus property internally before disposing of the property externally.

4.4. Notification to State Division of Fleet Operations - Each institution shall submit to the State Division of Fleet Operations a listing of surplus property available for sale outside the institution, at least 15 days prior to the intended sale date.

4.5. Preference for Acquisitions of Surplus Property - Institutions are encouraged to acquire federal and state surplus property from the State Division of Fleet Operations or from other institutions in order to reduce expenditures.

4.6. Retention of Proceeds - Proceeds from the sale of surplus property are retained by the institution.

~~4.7. Oversight by and Report to the Board of Trustees - The Board of Trustees of each institution is responsible for general oversight of surplus property operations. Each institution shall report annually to its Board of Trustees regarding its surplus property operation. The report shall provide information on revenues, expenditures and allocation of net revenues in a form specified in the annual budget process.~~

(Approved June 15, 1994; amended November 3, 1995 and September 2, 1999.)

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: University of Utah – Campus Master Plan

Regent policy R710 requires approval of campus master plans every two years, a process traditionally done during Regent visits to campus. The University of Utah has completed a comprehensive planning effort to develop a new Campus Master Plan. This effort was driven by a vision of “engagement, preparation, and partnership.”

The Campus Master Plan will guide efficient development in a way that gives physical form to the university's mission, vision, and academic programs. It will provide an analysis of site locations for research and teaching facilities, broader campus land use, landscape, formal and informal open space, as well as pedestrian and vehicular circulation. The analysis will also assess TRAX and public transportation, parking, predominant building use, utility infrastructure, land ownership, campus edges and community interaction, design features, and opportunities.

The Campus Master Plan, administered by the Office of Facilities Planning, is intended to provide a clear framework to guide physical development of the campus over the next twenty years. This Campus Master Plan will supersede the 1997 Long Range Development Plan (LRDP), the 1998 East Campus Plan (ECP), and the 2003 LRDP Supplement. During the planning process, there were a number of opportunities for campus and community involvement and input.

The Commissioner has received one letter of public comment regarding the Master Plan. The letter is attached. The University of Utah Campus Master Plan will be hand carried to the September 5 Regents meeting. College officials will be available to answer any questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Regents accept the current University of Utah master plan.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS  
Attachment

## RESOLUTION

Sunnyside East Neighborhood Association and Bonneville Hills Community Council hereby request that the University of Utah and the Board of Regents revise the proposed master plan by making the following changes:

1. Re-examine the proposed Master Plan to take into consideration the interface between the University and surrounding neighborhoods and require that suitable buffer restrictions be included to protect the quality of the neighborhoods from University developments at the periphery of the University;
2. Revise the proposed Master Plan to take into consideration and minimize the indirect impacts to the surrounding neighborhoods from increased traffic, expanded utility corridors, and loss of open space that may result from future development on the University Campus including Research Park; and
3. As a result of the foregoing revisions, re-consider the options for the use of the 26 acres currently used as married student housing (East of Foothill Blvd. and North of Sunnyside Avenue) and consider retaining the land as student housing rather than using the land for expansion of Research Park.

Dated this 26<sup>th</sup> day of August, 2008

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Diane Barlow, Chair  
Sunnyside East Neighborhood Association

Ellen Reddick  
Ellen Reddick, Chair  
Bonneville Hills Community Council

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: College of Eastern Utah – Campus Master Plan

College of Eastern Utah seeks approval of its Master Plan during the September 2008 State Board of Regents meeting. There have only been minor changes to the College's Master Plan since the Regents last approved it in April 2006. Maps are attached. Detailed plans for College of Eastern Utah will be hand carried to the Board meeting. College officials will be present and will respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board approve the College of Eastern Utah's Campus Master Plan.

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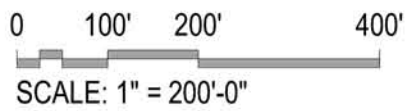
William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/MV



PLANNING LEGEND:

- SHORT TERM PRIORITY
- INTERMEDIATE TERM PRIORITY
- LONG TERM PRIORITY







## PLANNING LEGEND:

- INTERMEDIATE TERM PRIORITY
- LONG TERM PRIORITY

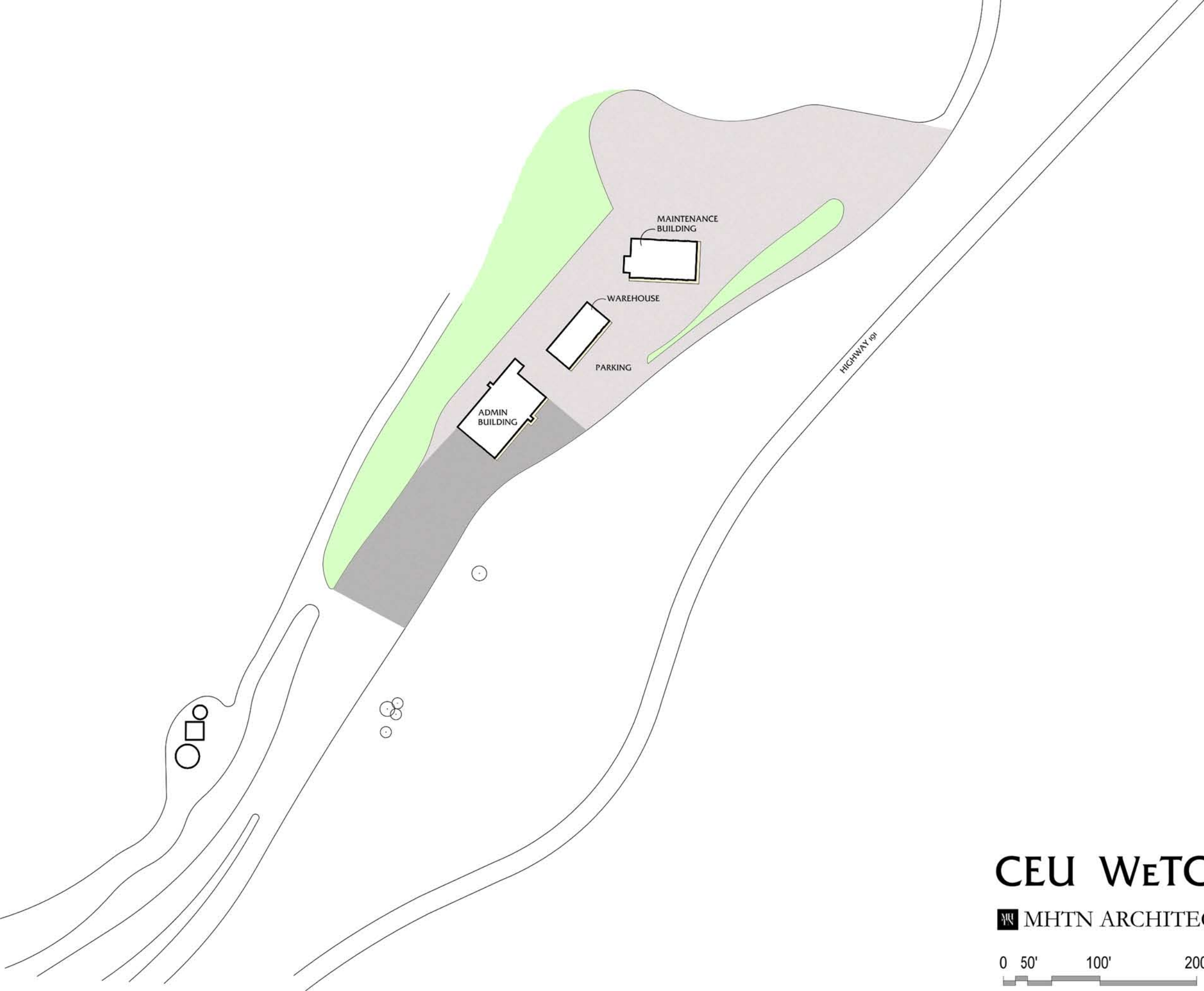
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# CEU SAN JUAN CAMPUS

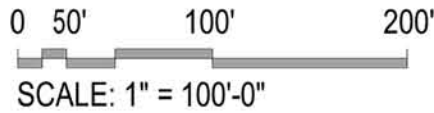
MHTN ARCHITECTS

25 JUNE 2008



# CEU WeTC CAMPUS

MHTN ARCHITECTS 25 JUNE 2008





August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Action: Consent Calendar, Finance, Facilities, and Accountability Committee

The Commissioner recommends that the Regents approve the following items on the Finance, Facilities, and Accountability Committee Consent Calendar:

- A. **USHE – Proposed Revision to Policy R932, *Vacation Leave* (Attachment 1).** The proposed revision will amend the policy to provide that all eligible staff members, including employees during the six-month probationary period, are entitled upon termination to payment for vacation leave earned but not taken. The current policy provides payment for vacation leave earned but not taken only to those employees who have completed continuous service of six months or longer. In the employment letter sent to new employees, they are urged to not use all of their earned vacation, but to develop the habit of accumulating sick and vacation leave to demonstrate reliability and to have a safety cushion against illness, accident, or other reason requiring leave. Because we encourage probationary employees to save vacation leave time for emergencies, it is appropriate to treat them the same way as other employees and, upon termination, pay for vacation leave earned but not taken.
- B. **Utah Valley University – Sale of Property to UTA (Attachment 2).** The Utah Valley University campus master plan has for some time included use of some part of the West Campus by the Utah Transit Authority. The University has concluded negotiations to sell 8.33 acres (about one-third of the West Campus total acres) to UTA for \$3.5 million. UTA plans to establish a station and Park-&-Ride lot at this location. These facilities will facilitate campus access for students and staff. This partnership with UTA is also illustrative of the University's commitment to strengthening economic development in its local community.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/HRE  
Attachments

## ***R932, Vacation Leave***

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...

### **R932-4. Policy**

...

**4.6.1.** An eligible staff member [~~who has completed continuous service of six months or longer in the employ of the Commissioner's Office~~] is [~~thereafter~~] entitled upon termination to payment for vacation leave earned but not taken.

...

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(Approved July 19, 1983, amended March 18, 2005. Proposed amendment September 5, 2008.)



**State Board of Regents**  
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August 27, 2008

## MEMORANDUM

**TO:** State Board of Regents  
**FROM:** William A. Sederburg  
**SUBJECT:** UHEAA Update

### Issue

The challenges facing the student loan program have been well publicized as discussed with the Board previously (see Attachment 1, memorandum from David Feitz, UHEAA Executive Director, for a summary of the major issues facing UHEAA). Despite the difficult environment, UHEAA has developed a plan to meet the demand for student loans for this academic year.

At its August 14, 2008 meeting, the UHEAA Board approved participation in the U.S. Secretary of Education's liquidity plan for student loans (see Attachment 2, UHEAA Board Report C, *UHEAA's Implementation of the U.S. Department of Education's Liquidity Plan for Student Loans*). Under this plan, UHEAA will use its own funding along with loan originations from UHEAA's remaining partner lenders to make loans. After full disbursement, the loans will be sold to the Secretary of Education because the loans cannot be financed economically due to Congressional student loan yield reductions and continued turmoil in the credit markets.

The Secretary of Education's liquidity plan extends only for loans made through June 30, 2009. UHEAA continues to urge Congress to take additional action to ensure the availability of student loans in the long term. In the spring of 2009, UHEAA will examine its options for future lending (see Attachment 3 for *Salt Lake Tribune* article entitled, "State Stepping in as Banks Bail Out of Student Loans").

The Board also took the following actions at the August meeting:

- Approved the suspension of new consolidation loans for applications received on or after September 1, 2008. Consolidation loans cannot be made economically and are not eligible to be sold to the Secretary of Education under the Department's liquidity plan. This action also helps preserve UHEAA's limited capital for loans to students currently in school.
- Approved UESP partnerships with other state 529 college savings plans.
- Approved a UESP low-income matching program, under which UESP will match contributions, up to \$400 per calendar year, for applicants whose income is 200% or less of federal poverty guidelines.

- Approved issuing an RFP for an FDIC-insured money market investment option for UESP.

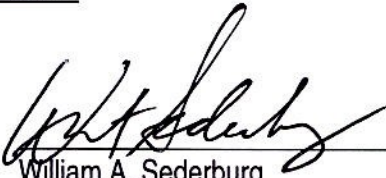
The Board also discussed several information reports including the outreach activities performed by UHEAA and UESP, a review of information security, and the student loan volume by institution and lender (see Attachments 4 and 5 for fiscal year 2008 UHEAA student loan volume reports).

The Student Finance Subcommittee of the Regents Finance Facilities, and Accountability Committee also met on August 14, 2008. The Subcommittee is chaired by Steve Nadauld with Regent Atkin as Vice Chair and Regent Karras, Mr. Ed Alter, Dr. Mark Spencer, and Mr. David Feitz as members.

The Subcommittee reviewed an independent consultant's report concerning UHEAA's financing. The report was written by Mr. Lee Donner, Managing Director of the Student Loan Finance Group for First Southwest Company. Mr. Donner attended the meeting in person to review the report and answer questions. A copy of Mr. Donner's report is included as Attachment 6 with the staff's responses included as Attachment 7. The Subcommittee also reviewed a bond parity analysis, the current status of student loan bonds outstanding, and a three-year cash flow projection.

Commissioner's Recommendation

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

  
William A. Sederburg  
Commissioner of Higher Education

WAS/DAF  
Attachments



## **Memorandum**

**To:** William A. Sederburg

**From:** David A. Feitz  
(801.321.7210)  
dfeitz@utahsbr.edu

**Date:** July 23, 2008

**Subject:** UHEAA

(Confidential)

### **Introduction and Background**

I look forward to working with you and appreciate an opportunity to share a few thoughts. Because of the complexity of the issues surrounding the student loan program, I hope to arrange a series of briefing sessions with you in person when you arrive. In the meantime, this memorandum provides brief background about some of the “worry list” issues facing UHEAA.

These are the most challenging times in the history of the student loan program. The credit crunch that was sparked by problems with residential mortgages has disrupted the student loan credit markets where UHEAA has successfully financed student loans for more than 30 years. Additionally, Congress cut the student loan yield on loans made on or after October 1, 2007 by 0.55% to for-profit lenders and by 0.40% to not-for-profit agencies like UHEAA. Many believe those cuts have gone too far and are a deliberate effort by some in Congress to centralize all student lending in Washington by pushing the market to the Federal Direct Student Loan Program.

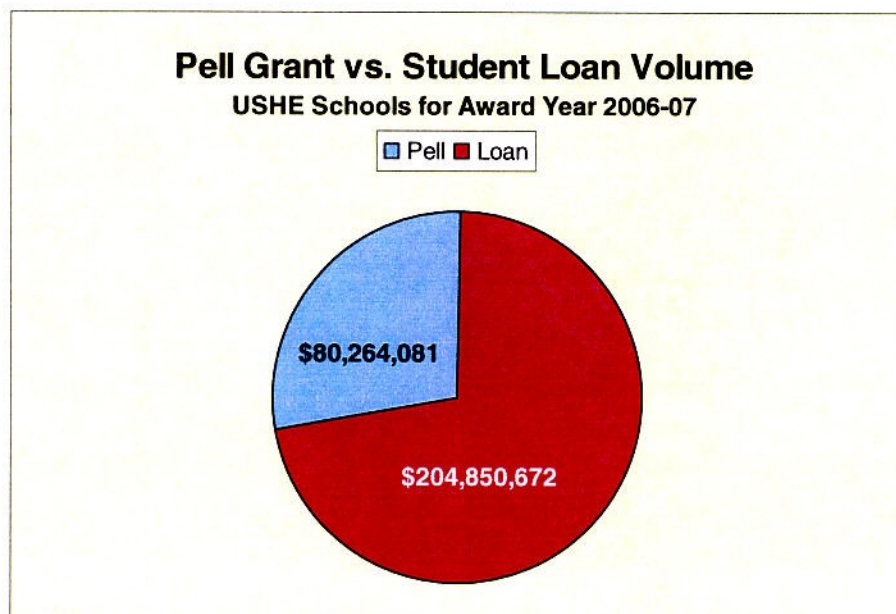
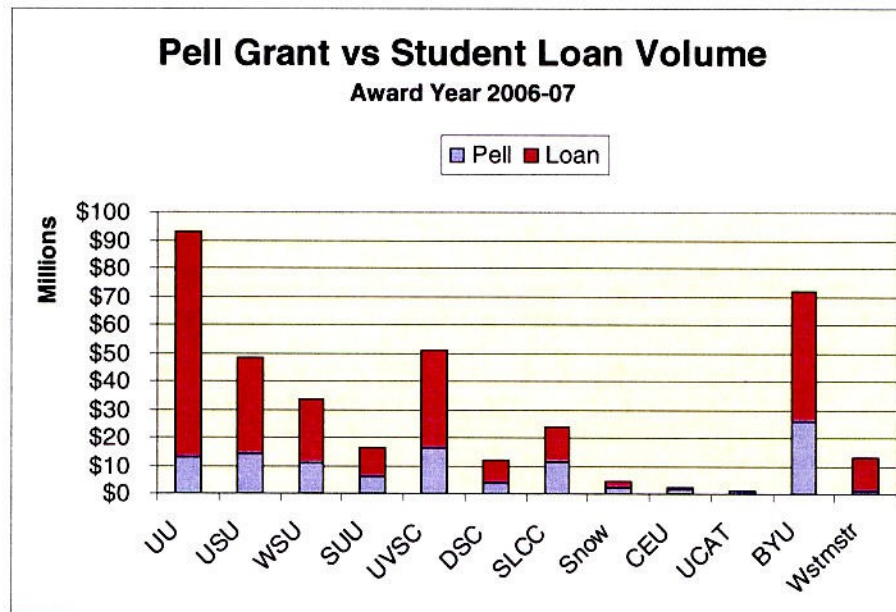
Regardless of the political agenda, the current reality for UHEAA is that the combination of the credit market problems and the student loan yield reduction has resulted in the following:

- Increased UHEAA’s interest costs
- Diminished UHEAA’s ability to raise needed capital to finance student loans
- Reduced UHEAA’s operating margins
- Forced many of our longstanding lending partners to either curtail or suspend student lending (including Zions Bank and Wells Fargo).

This difficult environment creates two major concerns with which we continue to struggle: 1) the availability of student loans for the current 2008-2009 academic year, and 2) the ongoing viability of UHEAA as we explore options to restructure existing debt and monitor federal student loan policy in this presidential election year.

### Worry List #1: Availability of Student Loans for 2008-2009 Academic Year

As shown in the following charts comparing Pell Grant and student loan dollar amounts, student loans are by far the largest source of financial aid at most institutions.





Our first priority is to find enough money to keep the loans flowing to students for the upcoming

school year. Because of the student loan crisis, Congress passed legislation empowering the U.S. Secretary of Education to inject funding into student loan agencies like UHEAA. However, the unexpected complexity of the Secretary's plan and the time needed to implement it are beyond UHEAA's control. While we are doing everything in our power to avoid it, these problems could result in delays for some students receiving their student loans.

The peak student loan demand begins the week of August 18, 2008 when approximately \$50 million of student loan disbursements will be made followed by other high volume weeks through the end of September. We plan to meet the demand with a combination of funding from our remaining lenders (mostly credit unions) and our own available funds. Currently, UHEAA has approximately \$200 million in available funding, which we hope will be enough, provided we can receive timely reimbursement through the implementation of the Secretary's plan. We are very fortunate to have these funds available because of years of conservative fiscal management and low overhead operations.

## **Worry List #2: Refinancing Existing Debt and Obtaining New Capital**

UHEAA has been a huge success story since it was formed in 1977 and has benefited hundreds of thousands of students with low-cost student loans with nation-leading borrower benefits and excellent customer service. UHEAA has one of the best names in the industry and is consistently viewed from Wall Street to the Department of Education as one of the top loan programs in the nation.

However, without the ability to raise capital at cost effective rates, and since the Secretary's plan is only authorized for one year, UHEAA faces continued uncertainties. Currently, UHEAA has \$2.2 billion in outstanding bonds which are backed by high-quality, low-default student loans. We are exploring options to refinance existing debt and obtain new financing. The credit markets remain in turmoil as evidenced by the daily headlines about bank losses, economic downturn, crippling energy costs, etc. How soon viable financing options will be available remains unknown.

Many possibilities exist to improve these circumstances including the potential involvement of the Federal Financing Bank, Congressional action to restore some of the yield reduction, and improvement in the capital markets. Whether any of these remedies will materialize is unknown. Consequently, we have formed a contingency planning team to examine our cash flows and refine our exit strategy. We plan to talk in depth about these issues with the UHEAA Board and the Student Finance Subcommittee on August 14, 2008 beginning at 10:00 a.m. at our Gateway offices. You are welcome to attend if your schedule permits.

Added to this worry list is the retention of key employees in the midst of such uncertainty and the problems associated with unwinding UHEAA since the agency is so intertwined with the institutions not only for financial aid services but also for many other services including college outreach. For example, UHEAA pays the bulk of the expense (\$450,000 annually) for UtahMentor, Utah's college planning Website, which has averaged nearly 2 million page hits per month in fiscal 2008. Also, UHEAA revenues are pledged to pay the bonds for our Gateway offices.

### **Weathering the Storm**

Despite these challenges, we are fortunate to be as well-positioned as we are. Many of our sister agencies have already stopped making loans. We hope to use our available funds as a bridge to better times. With the financial and political winds blowing against us, our intention is to weather the storm and remain a stable source of financial aid and services to the students and institutions we serve.

I hope this information is helpful. I look forward to discussing these issues with you. Please feel free to contact me if you have any questions or need additional information. Best wishes.



**FOR ACTION**

**UHEAA BOARD OF DIRECTORS**

**REPORT C**

**UHEAA's Implementation of the U.S. Department of  
Education's Liquidity Plan for Student Loans**

**August 14, 2008**

**INTRODUCTION**

Formal action by the Board of Directors is requested to authorize the Executive Director to implement the U.S. Secretary of Education's plan for providing liquidity to student loan lenders during the 2008-2009 academic year.

Reductions to lender yield in the Federal Family Education Loan Program enacted by Congress in October 2007 and continuing turmoil in the credit markets have prevented student loan providers across the country, including UHEAA, from obtaining capital to fund new loans from traditional sources. On May 7, 2008, in response to concerns over the availability of capital to make student loans for the 2008-2009 academic year, Congress passed and the President signed the "Ensuring Continued Access to Student Loans Act of 2008" (Pub. L. No. 110-227). This legislation gave the U.S. Department of Education (ED) the authority to address concerns over the availability of capital to student loan providers.

UHEAA's primary mission is to provide a stable source of student loans, a mission it has successfully accomplished for more than thirty years. Because traditional sources of financing are not available, and in order to ensure continued availability of student loans, UHEAA must explore all available sources of capital – including the ED's proposed liquidity plan.

**THE SECRETARY'S LIQUIDITY PROGRAMS**

ED has announced two programs to assist lenders in obtaining financing for student loans during the 2008-2009 academic year. According to the Secretary, Congress did not authorize ED to directly lend money to student loan providers. ED believes it was

only granted authority to purchase existing loans. Thus, student loan providers wishing to participate in either of these programs must originate loans using their own capital, and then recover and recycle that capital through one of the two programs.

Because of UHEAA's borrower benefit program, only loans first disbursed on or after July 1, 2008 and before July 1, 2009 are eligible for these programs. Both programs terminate on September 30, 2009, and it is not known at this time whether these liquidity programs will be extended beyond September 30, 2009.

Lenders may participate in one or both of the programs. In order to provide a loan to every student who needs one, UHEAA intends to implement both the Secretary's Programs.

The following is a brief description of each of the programs:

The Loan Participation Purchase Program (Participation Purchase Program)

Under the Participation Purchase Program, the Secretary will purchase a 100% participation interest in new loans immediately after the initial disbursement. ED will pay UHEAA a purchase price equal to the principal balance of the disbursements. UHEAA will pay ED an annual financing cost equal to the standard Commercial Paper rate plus 0.50% (50 basis points), payable monthly and calculated on the outstanding balance of the loans placed in the Participation Purchase Program. ED has committed to fund participation purchases within seven to ten business days of its receipt of a request.

Under the Participation Purchase Program, UHEAA must contract with a custodian who will hold legal title to the loans in trust for ED. The custodian will also act as ED's intermediary with UHEAA, and will be the paying agent in receiving the participation sale proceeds from the U.S. Treasury and forwarding them to UHEAA. UHEAA will pay all fees and costs associated with the custodian relationship. See Attachment 1 for an illustration of how capital can be recovered and recycled under this program.

UHEAA will retain the servicing of loans on which a participation interest has been sold to ED. It will also retain the right to buy back the participation interest at par (principal plus unpaid accrued interest) plus the financing cost noted above. Because of the lack of affordable capital, however, it is unlikely UHEAA will be able to repurchase participation interests from ED. Therefore, UHEAA must also implement the second of the Secretary's two programs.



The Loan Purchase Program (Put Program)

Under the Put Program, the Secretary will purchase fully-disbursed loans directly from UHEAA. (Loans are “put” to ED – thus the name.) ED will pay a purchase price equal to the principal and accrued interest balances outstanding, will reimburse UHEAA for the 1% Lender Origination Fee it paid to ED when the loan was originated, and will pay UHEAA an administrative fee of \$75 per loan. The \$75 fee per loan is to cover the costs incurred by UHEAA in originating the loan, servicing the loan from initial disbursement to sale after full disbursement, and deconverting the loan to ED’s servicer.

After sale to ED under the Put Program, loan servicing responsibilities must be transferred to a servicer selected by ED. Although UHEAA is making every effort to retain the servicing, it is likely ED will require UHEAA to transfer servicing to ED. Transferring servicing away from UHEAA will have a negative impact on existing borrowers because any student with loans in UHEAA’s portfolio disbursed before July 1, 2008 will have “split” servicing between UHEAA and ED.

In summary, key elements of these two programs are:

- In the Participation Purchase Program:
  - A participation interest in a loan can be sold to ED immediately after each disbursement.
  - Capital can be re-cycled within seven to ten business days.
  - Servicing is retained by UHEAA.
  - The loan can be re-purchased (unlikely because of the unfavorable financing environment.)
- Under the Put Program:
  - A loan can be sold only after it is fully disbursed.
  - The Secretary assumes control over servicing.
  - Once a loan is sold it cannot be repurchased.
- Loans placed in the Participation Purchase Program can subsequently be sold to ED under the Put Program once they are fully disbursed.
- Before the termination date of these programs on September 30, 2009, UHEAA must either:
  - Repurchase the loans from the Participation Purchase Program, or
  - Sell the loans to ED under the Put Program.

**LENDER PARTICIPATION IN THE BOARD OF REGENT’S LOAN  
PURCHASE PROGRAM**

UHEAA’s long-standing relationships with banks and credit unions in Utah will help it weather this funding crisis. Every loan funded and held by one of the banks or credit unions with which UHEAA has a forward-purchase agreement, is a loan UHEAA

does not have to fund with its limited available capital. However, UHEAA's secondary market will purchase the loans when fully disbursed, as discussed below.

Two of Utah's largest student loan lenders recently announced major changes to their programs. Zions terminated its FFELP loan origination program and no longer makes federally guaranteed student loans. Wells Fargo recently announced that effective July 1, 2008, it will no longer participate in UHEAA's Loan Purchase Program and will make all federally guaranteed student loans through its national program. Fortunately, most of the remaining lenders have chosen to continue making student loans. Attachment 2 is a list of the banks and credit unions which continue to participate in UHEAA's loan purchase program.

Because of the changes announced by Zions and Wells Fargo, and because many credit unions have membership restrictions, students attending some schools such as Snow College have a severely limited number of lenders from which to choose. In order to provide access to affordable student loans with the UHEAA borrower benefit package, beginning July 1, 2008 UHEAA began making loans directly as a lender, as approved by Board motion on June 26, 2008.

#### **TIMING & IMPLEMENTATION OF BOTH PROGRAMS**

Using its available capital, UHEAA will disburse those loans on which the borrower selects UHEAA as lender. The loans will be held in the UHEAA portfolio until fully disbursed, which will occur in January 2009. They will then be sold to ED under the Put Program beginning in March 2009.

UHEAA will also purchase the loans originated by UHEAA's participating lenders for the 2008-2009 academic year. These purchases will be scheduled during February, March, April, and May of 2009. After purchase, UHEAA will immediately sell these loans to ED under the Put Program. In order to make these purchases, UHEAA anticipates it may be necessary to re-cycle its available loan funds by selling participation interests in some of the loans to the Secretary under the Participation Purchase Program.

A summary of anticipated loan volume for the 2008-2009 academic year is outlined below. UHEAA has sufficient capital available to fund the initial and subsequent disbursements on loans for which UHEAA is the lender *only if the other lenders continue to fund and hold the majority of student loans*. If additional lenders choose to stop making student loans, the volume of loans which UHEAA must fund will increase and potentially exceed available loan capital. UHEAA will raise additional capital, as needed, by selling participation interests to ED under the Participation Purchase Program and then immediately sell the loans to ED under the Put Program upon full disbursement.

UHEAA loans originated before July 1, 2008 are not eligible for placement in either the Participation Purchase or Put Programs. UHEAA will purchase these loans



from lenders in accordance with the regular purchase schedules contained in existing forward purchase agreements. As outlined in the Estimate of New Loan Volume section below, UHEAA has sufficient available capital to fulfill these purchase commitments.

### **EFFICIENT USE OF THE SECRETARY'S PROGRAMS**

It is important to note that UHEAA is already committed to paying interest on available loan funds under existing bond agreements. When a participation interest is sold to the Secretary under the Participation Purchase Program, UHEAA must pay the additional financing cost of Commercial Paper plus 0.50%. In order to minimize the payment of additional financing costs, UHEAA will employ a "just in time" approach by carefully managing its placement of loans in the Participation Purchase Program through selling participation interests only when it is necessary to recycle its available loan funds. This will also minimize the costs incurred by UHEAA for custodian fees.

Additionally, in order to minimize servicing and overhead expenses, UHEAA will sell loans to ED under the Put Program within 60-90 days after full disbursement. This will reduce the servicing costs which must be covered by the \$75 administrative fee paid to UHEAA after sale of the loan. Given the reduction to lender yield and lack of affordable long-term financing, UHEAA cannot hold student loans made this year in the SBR portfolio. It must sell all loans to ED under the Secretary's Put Program.

### **ESTIMATE OF NEW LOAN VOLUME IN 2008-2009**

The following is a summary of the estimated funding needs for the 2008-2009 academic year:

#### **Estimate of 2008-2009 Annual Volume**

|                                                    |                       |
|----------------------------------------------------|-----------------------|
| Anticipated disbursements by banks & credit unions | \$ 300 million        |
| Anticipated disbursements by UHEAA as lender       | <u>\$ 100 million</u> |
| <b>Anticipated disbursements – all lenders</b>     | <b>\$ 400 million</b> |

#### **Disbursement Timing**

|                                                      |                       |
|------------------------------------------------------|-----------------------|
| Anticipated disbursements by UHEAA – Fall Semester   | \$ 50 million         |
| Anticipated disbursements by UHEAA – Winter Semester | <u>\$ 50 million</u>  |
| <b>Total Disbursements by UHEAA as Lender</b>        | <b>\$ 100 million</b> |

#### **Available Loan Capital**

|                                                            |                              |
|------------------------------------------------------------|------------------------------|
| UHEAA's available loan funds as of August 1, 2008          | \$ 207 million               |
| Less FY08 scheduled purchases of pre-July 1, 2008 loans    | <u>&lt;\$ 86 million&gt;</u> |
| <b>Funds available for disbursement by UHEAA as lender</b> | <b>\$ 121 million</b>        |

### **PROFITABILITY ANALYSIS**

Attachment 3 is a Profitability Analysis for the loans that will be made this academic year. Assumptions used in this analysis are:

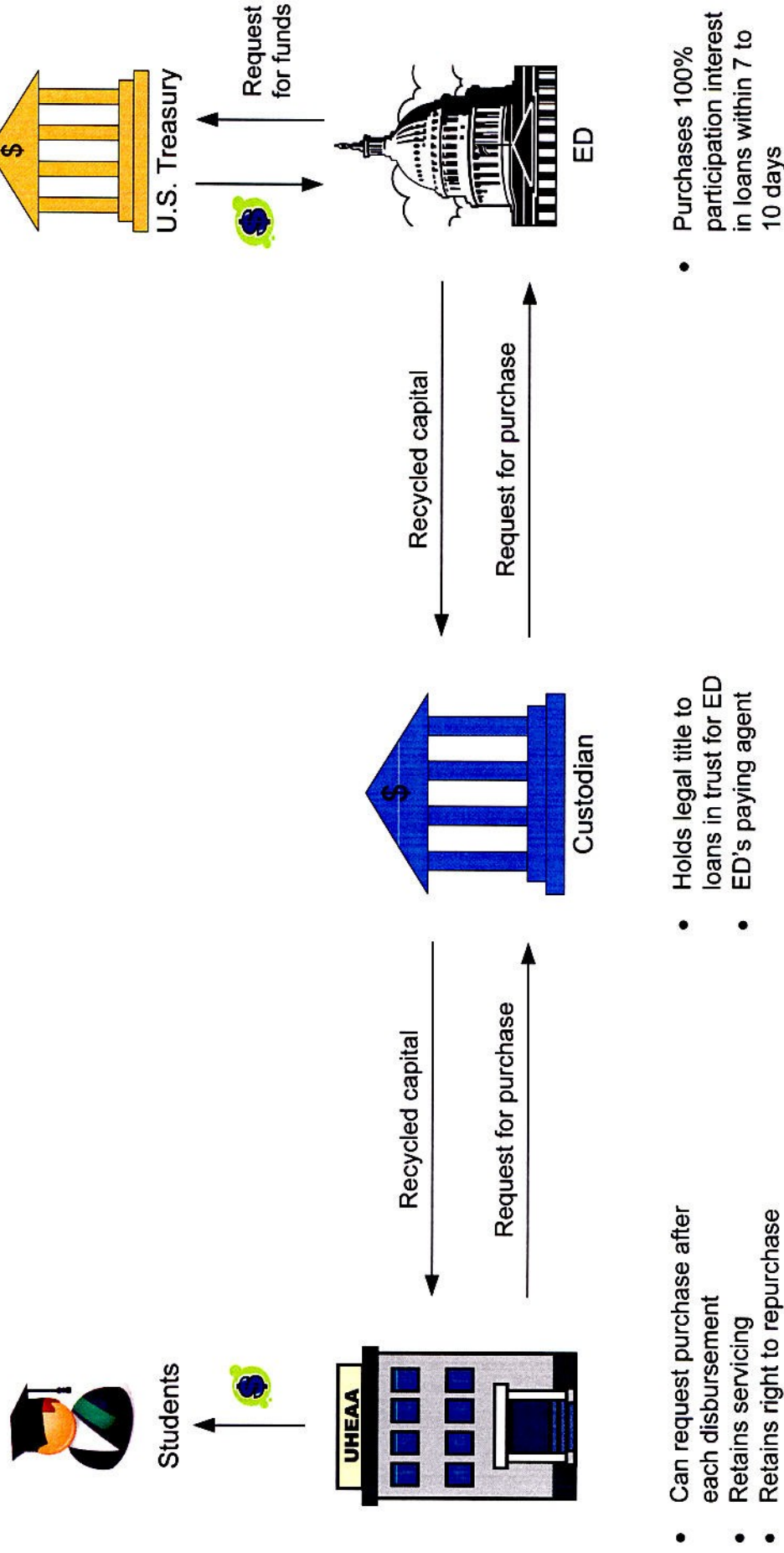
- UHEAA will implement both of the Secretary's liquidity programs.
- The total loan volume for the year will be \$400 million.
- UHEAA's share of the total loan volume will be \$100 million, with the remainder funded by other lenders.
- UHEAA will utilize the Participation Purchase Program only during March, April, May, and June 2009 to fund the purchase of fully-disbursed loans from lenders.
- UHEAA will sell all fully-disbursed loans it originates or purchases from other lenders to ED under the Put Program.
- UHEAA will continue to offer students "no-fee" loans by paying the 1% borrower origination fee and 1% default fee.

The student loans originated in the 2008-2009 academic year are projected to have a net return of \$6.7 million. Consistent with its mission, UHEAA will reduce the cost of financing higher education for students and families by continuing to offer the Board-approved borrower benefit program. After providing borrower benefits to students receiving loans in the 2008-2009 academic year, the net return will be reduced to a \$1.2 million loss.

### **RECOMMENDATION**

It is recommended that the Board authorize the Executive Director to implement both the Secretary's liquidity programs for the 2008-2009 academic year, and to sign the necessary agreements in consultation with the Attorney General's office.

## Recovering and Recycling UHEAA's Available Loan Funds Through the Secretary's Loan Participation Purchase Program



UHEAA pays ED financing cost of Commercial Paper plus 0.50% on loans placed in the Loan Participation Purchase Program



**Utah Higher Education Assistance Authority  
Lenders Participating in the Utah SBR Loan Purchase Program  
2008-2009 Academic Year**

Alliance Credit Union  
America First Federal Credit Union  
American United Family of Credit Unions  
\*Beehive Credit Union  
Deseret First Credit Union  
Family First Credit Union  
\*Goldenwest Credit Union  
Granite Credit Union  
Intermountain Credit Union  
Jordan Credit Union  
\*KeyBank  
Mountain High Credit Union  
Tooele Federal Credit Union  
UHEAA  
US Bank  
USU Charter Credit Union  
University of Utah Credit Union  
Utah Community Credit Union  
Weber State Credit Union

\*Referral Lenders – UHEAA actually funds the loan.



**Utah Higher Education Assistance Authority  
Profitability Analysis - Secretary's Liquidity Plan  
FY 2008-2009 Student Loans**

| <b><u>Revenue</u></b>                                | <b><u>Amount</u></b>  |                                  |
|------------------------------------------------------|-----------------------|----------------------------------|
| Return on FY 2008-2009 Student Loans                 | 2,586,417             |                                  |
| Secretary's Administrative Fee @ \$75 Per Loan       | 9,375,000             | (Received under the Put Program) |
| Reimbursement of 1% Lender Origination Fee           | 4,000,000             | (Received under the Put Program) |
| <b>Total Revenue Items</b>                           | <b>\$ 15,961,417</b>  |                                  |
| <br>                                                 |                       |                                  |
| <b><u>Expenditures</u></b>                           |                       |                                  |
| Bond Financing Costs                                 | 2,171,584             |                                  |
| One-Time Loan Origination Costs                      | 937,500               |                                  |
| Monthly Loan Origination Costs                       | 180,970               |                                  |
| Servicing Costs                                      | 202,153               |                                  |
| Deconversion Costs                                   | 1,250,000             |                                  |
| Federal Default Fee (Paid on behalf of the borrower) | 4,000,000             |                                  |
| General and Administrative Costs                     | 315,417               |                                  |
| Custodian and Audit Fees                             | 167,079               | (Estimate)                       |
| <b>Total Expenditure Items</b>                       | <b>\$ 9,224,703</b>   |                                  |
| <br>                                                 |                       |                                  |
| <b>Net Return / (Loss)</b>                           | <b>\$ 6,736,713</b>   |                                  |
| <br>                                                 |                       |                                  |
| <b><u>Expenditures for Borrower Benefits</u></b>     |                       |                                  |
| 1% Borrower Origination Fee                          | 4,000,000             |                                  |
| 1% Borrower Default Fee                              | 4,000,000             |                                  |
| <b>Total Borrower Benefits</b>                       | <b>\$ 8,000,000</b>   |                                  |
| <br>                                                 |                       |                                  |
| <b>Net Return / (Loss) After Borrower Benefits</b>   | <b>\$ (1,263,287)</b> |                                  |

Paying for college

## State stepping in as banks bail out of student loans

As the number of private lenders shrinks, Utah agency expects to help thousands of borrowers

**By Brian Maffly**  
**The Salt Lake Tribune**  
**Salt Lake Tribune**

Article Last Updated:08/15/2008 03:35:18 AM MDT

For the first time, the state of Utah has begun originating student loans, a shift that will ensure that any Utah college student who needs financial assistance can get it, although it will cost more.

The Utah Higher Education Assistance Authority (UHEAA), the agency that oversees financial aid to Utah students, is bracing for loan applications worth \$100 million this academic year after big banks all but abandoned the federally guaranteed loan program.

Last fall, Congress cut what participating lenders could make on student loans at the same time money became more scarce. That created a double disincentive for financial institutions to lend to college students. With fewer lenders available, Utah students are expected to flock to UHEAA, agency director David Feitz told his board Thursday.

"We would rather have a full cadre of lenders, but that is unlikely to happen in the near future until Congress raises the yields," he said.

Adding to the pressure was a recent move by Congress to raise the maximum students can borrow by \$2,000 (to \$5,500 for freshman, \$6,500 for sophomores and \$7,500 for upperclassmen). Feitz estimated UHEAA will see applications worth one-fourth of the state's total student loan volume this coming year, but he won't know how much until students begin applying as they return to school.

"It could be \$60 million, it could be \$200 million," Feitz said of a development that represents a profound change in the way UHEAA conducts business.

UHEAA has access to \$121 million to lend over the coming academic year.

The U.S. Department of Education promises to buy participating states' loans issued this year under the Federal Family and Education Loan program (FFELP). This would enable states to "recycle" the money back to students in the form of new loans. The UHEAA board voted unanimously Thursday to approve Utah's participation in the complex arrangement.

Feitz cautioned that the program, which runs only for one year, isn't a permanent solution to the liquidity mess that has caused "tremendous chaos" in the \$50 billion system that subsidizes the popular Stafford and PLUS loan programs.



"Now we're calling on Congress and the departments of Treasury and Education to take additional action to further stabilize the student loan program for years to come," he said.

In recent months four banks - Wells Fargo, Zions, J.P. Morgan Chase and Key - pulled out of Utah's program, leaving only U.S. Bank. Fifteen credit unions, led by America First, still lend to students, but the banks' departure left a vacuum. Wells Fargo and Zions were the top lenders last year, accounting for more than half of the state's student loan volume.

Lenders also have become picky about which institutions they work with. One Utah school, Snow College, found itself with no lenders, so UHEAA last month began lending directly to students at the Ephraim school.

"We're in a pretty good place, a much better place than our sister agencies across the country," board chairman David Jordan said. "From the students' perspective, this will work. We will be able to help them without depleting our resources."

*bmaffly@sltrib.com*

Utah students can expect to pay more for college loans under steps taken by the Utah Higher Education Assistance Authority to preserve universal access to federally guaranteed loans.

But the news isn't all bad.

"I'm not aware of lenders offering better terms than what UHEAA is offering," said John Curl, the University of Utah's financial aid director. "We encourage students to research who they're going to get loans from and find the best terms they can get. They are going to have to pay more interest; that's unfortunate."

Congress last year cut the rate on some student loans from 6.8 to 6 percent. But in order to participate in an emergency federal bail-out measure, Utah slashed two rate reductions. Until now, students who had payments automatically drawn from their accounts received a 1.25-point reduction and another 2-point reduction after four years of timely payments. Losing these benefits adds \$1,763 to the cost of servicing a \$15,000 loan.

On Thursday, the UHEAA board suspended issuing consolidation loans to avoid tying up scarce capital needed to serve current students. Former students looking to simplify repayment plans have other options for consolidating their loans in the federal program.

But Utah students still get breaks on up-front costs of the most common loans, Stafford and PLUS. UHEAA continues to cover the 1 percent origination fee and 1 percent default fee, translating into a \$100 subsidy on a \$5,000 loan.

*- Brian Maffly*

#### Financial aid

\* **Students who are considering borrowing** for college for the upcoming school year should start researching their options now, said John Curl, financial aid director at the University of Utah.

\* **Students should consult the financial aid office** at their school, check Web sites that serve as information clearinghouses, such as [finaid.org](http://finaid.org), or [www.uheaa.org](http://www.uheaa.org), the Web site for the Utah Higher Education Assistance Authority.



# UHEAA Student Loan Volume by School

Attachment 4

## School Rankings by Gross Guarantee Loan Volume for Stafford and PLUS Loans

Fiscal Year 2008

| Rank                           | School                                     | FY 2008 Dollar<br>Volume | Percent of<br>Total UHEAA<br>Volume | Percentage<br>Change From<br>Prior Year |
|--------------------------------|--------------------------------------------|--------------------------|-------------------------------------|-----------------------------------------|
| 1                              | University of Utah                         | 88,100,539               | 23.8%                               | 9.8%                                    |
| 2                              | Brigham Young University                   | 46,565,954               | 12.6%                               | 1.1%                                    |
| 3                              | Utah Valley University                     | 38,855,948               | 10.5%                               | 12.4%                                   |
| 4                              | Utah State University                      | 33,702,653               | 9.1%                                | -0.4%                                   |
| 5                              | Brigham Young University - Idaho           | 26,764,139               | 7.2%                                | -4.1%                                   |
| 6                              | Weber State University                     | 22,554,508               | 6.1%                                | -0.6%                                   |
| 7                              | Salt Lake Community College                | 14,738,187               | 4.0%                                | 16.2%                                   |
| 8                              | Westminster College                        | 13,487,040               | 3.7%                                | 13.4%                                   |
| 9                              | Stevens-Henager College - Ogden            | 11,174,937               | 3.0%                                | -2.2%                                   |
| 10                             | Southern Utah University                   | 10,897,991               | 2.9%                                | 5.7%                                    |
| 11                             | Eagle Gate College                         | 9,667,837                | 2.6%                                | 7.6%                                    |
| 12                             | Paul Mitchell The School (all campuses)    | 8,716,223                | 2.4%                                | 63.9%                                   |
| 13                             | Dixie State College of Utah                | 8,490,628                | 2.3%                                | 6.9%                                    |
| 14                             | Utah Career College                        | 6,091,984                | 1.6%                                |                                         |
| 15                             | Provo College                              | 4,916,098                | 1.3%                                | -2.4%                                   |
| 16                             | AmeriTech College                          | 3,305,218                | 0.9%                                | 53.1%                                   |
| 17                             | Brigham Young University - Hawaii          | 2,271,337                | 0.6%                                | 24.9%                                   |
| 18                             | Snow College                               | 2,126,613                | 0.6%                                | 11.7%                                   |
| 19                             | University of Phoenix **                   | 1,355,286                | 0.4%                                |                                         |
| 20                             | LDS Business College                       | 1,280,195                | 0.3%                                | 6.3%                                    |
| 21                             | College of Eastern Utah                    | 608,187                  | 0.2%                                | -11.6%                                  |
| 22                             | Careers Unlimited                          | 470,042                  | 0.1%                                |                                         |
| 23                             | Bon Losee Academy of Hair Artistry         | 393,270                  | 0.1%                                | -13.2%                                  |
| 24                             | Skinworks School of Advanced Skincare      | 332,455                  | 0.1%                                | 114.8%                                  |
| 25                             | Fran Brown College of Beauty - Layton      | 310,392                  | 0.1%                                | -15.2%                                  |
| 26                             | The Art Institute of Salt Lake City        | 306,059                  | 0.1%                                |                                         |
| 27                             | Healing Mountain Massage School            | 266,179                  | 0.1%                                | 14.5%                                   |
| 28                             | Maximum Style Tech                         | 244,096                  | 0.1%                                | 105.6%                                  |
| 29                             | Echelon Edge Academy of Hair Skin & Nails  | 208,498                  | 0.1%                                | -36.6%                                  |
| 30                             | Neumont University                         | 178,004                  | 0.0%                                | -51.2%                                  |
| 31                             | Stacey's Hands of Champions Beauty College | 161,147                  | 0.0%                                | 177.4%                                  |
| 32                             | Ogden Institute of Massage Therapy         | 137,214                  | 0.0%                                | -8.9%                                   |
| 33                             | Sherman Kendall's Academy                  | 127,389                  | 0.0%                                | 47.2%                                   |
| 34                             | Renaissance School - Therapeutic Massage   | 98,256                   | 0.0%                                | 207.6%                                  |
| 35                             | Evans Hairstyling College - Cedar City     | 92,250                   | 0.0%                                | -6.7%                                   |
| 36                             | Dallas Roberts Academy of Hair Design      | 61,260                   | 0.0%                                |                                         |
| 37                             | Myotherapy Institute of Utah               | 38,090                   | 0.0%                                | -89.6%                                  |
| 38                             | Utah College of Massage Therapy            | 22,858                   | 0.0%                                |                                         |
| 39                             | Everest College                            | 16,083                   | 0.0%                                | -71.5%                                  |
| TOTAL UTAH-AFFILIATED SCHOOLS  |                                            | 359,135,044              | 97.2%                               | 8.3%                                    |
| Remaining out-of-state schools |                                            | 10,299,879               | 2.8%                                | 79.6%                                   |
| GRAND TOTAL                    |                                            | 369,434,923              | 100.0%                              | 9.5%                                    |

# UHEAA Student Loan Volume by Lender

## Lender Rankings by Gross Guarantee Loan Volume for Stafford and PLUS Loans

Fiscal Year 2008

| Rank                                 | Lender                             | FY 08 Dollar<br>Volume | Percent of<br>Market Share | Percent of<br>Change from<br>Prior Year |
|--------------------------------------|------------------------------------|------------------------|----------------------------|-----------------------------------------|
| 1                                    | Wells Fargo-EFS                    | \$ 112,090,635         | 31.38%                     | 5.84%                                   |
| 2                                    | Zions First National Bank          | \$ 64,906,430          | 20.94%                     | -8.17%                                  |
| 3                                    | America First Credit Union         | \$ 51,499,138          | 12.76%                     | 19.58%                                  |
| 4                                    | U.S. Bank                          | \$ 28,910,050          | 6.93%                      | 23.63%                                  |
| 5                                    | Mountain America Credit Union      | \$ 24,901,840          | 6.54%                      | 12.77%                                  |
| 6                                    | JPMorgan Chase                     | \$ 17,664,720          | 4.17%                      | 25.59%                                  |
| 7                                    | Utah Community Credit Union        | \$ 15,436,069          | 4.27%                      | 7.09%                                   |
| 8                                    | KeyBank N.A.                       | \$ 15,109,014          | 3.53%                      | 26.72%                                  |
| 9                                    | University of Utah Credit Union    | \$ 12,923,792          | 3.41%                      | 12.31%                                  |
| 10                                   | Deseret First Credit Union         | \$ 5,062,986           | 1.42%                      | 5.49%                                   |
| 11                                   | UHEAA                              | \$ 4,628,281           | 0.20%                      | 600.84%                                 |
| 12                                   | Weber State Credit Union           | \$ 3,783,600           | 1.03%                      | 9.10%                                   |
| 13                                   | USU Charter Credit Union           | \$ 2,911,951           | 0.79%                      | 9.90%                                   |
| 14                                   | Family First Federal Credit Union  | \$ 1,959,330           | 0.60%                      | -3.20%                                  |
| 15                                   | Granite District Credit Union      | \$ 1,809,922           | 0.52%                      | 2.47%                                   |
| 16                                   | Jordan Credit Union                | \$ 1,690,408           | 0.38%                      | 30.50%                                  |
| 17                                   | Tooele Federal Credit Union        | \$ 1,673,955           | 0.47%                      | 4.75%                                   |
| 18                                   | Salt Lake City Credit Union        | \$ 1,488,689           | 0.45%                      | -2.51%                                  |
| 19                                   | Mountain High Federal Credit Union | \$ 319,144             | 0.09%                      | 90.0%                                   |
| 20                                   | Alliance Credit Union              | \$ 296,267             | 0.08%                      | 38.3%                                   |
| 21                                   | American United Family CU          | \$ 276,668             | 0.07%                      | 15.44%                                  |
| 22                                   | Intermountain Credit Union         | \$ 92,034              | 0.01%                      | 195.69%                                 |
| <b>TOTAL LOAN VOLUME FOR FY 2007</b> |                                    | <b>\$ 369,434,923</b>  |                            | <b>9.5%</b>                             |



Review and Analysis of the Outstanding Student Loan Financing Structures  
And Related Activities  
Of the  
State Board of Regents of the State of Utah  
Student Loan Purchase Program  
As of  
May 28, 2008

By  
 **First Southwest Company**

## **INTRODUCTION**

First Southwest Company ("First Southwest") has received certain documents, reports, financial statements and other items of information (such information and data referred to in this paragraph as the "Information") for the purpose of reviewing the current loan purchase program, and most particularly the financing activities related thereto, of the State Board of Regents of the State of Utah (the "Board"). This analysis and report and all information contained herein is based on the Information provided in reliance on the accuracy and completeness thereof. First Southwest has made no effort to independently verify or confirm the accuracy or completeness of, or supplement the Information, but has relied entirely on the Information provided by the Board and its staff. First Southwest does not assume responsibility for the accuracy or completeness of the Information or any other information it may have received regarding the program, including, but not limited to the work product of any of the Board's other consultants.

## **BACKGROUND**

The Board has established and operates a Loan Purchase Program (LPP), an enterprise fund of the State of Utah, through which it seeks to ensure the availability of Federal Family Education Loan Program (FFELP) loan funds for students and the parents of students attending institutions of higher education in the State of Utah or for Utah residents attending such educational institutions elsewhere. The LPP achieves its goals by providing a ready secondary market for FFELP loans originated by approximately twenty-one eligible lenders in the State of Utah. The LPP has been funded since 1979 through the sale of both taxable and tax-exempt student loan revenue bond issues, all of the currently outstanding principal balances of which were issued under one of two master trust indentures dated July 15, 1988 (the "1988 Trust") and August 1, 1993 (the "1993 Trust"). The bonds issued under these two master trust indentures are secured by, and the debt service thereon is paid from the assets pledged to the applicable trusts, which in both cases consist of a portfolio of FFELP loans in combination with certain other funds invested primarily in the Public Treasurers' Investment Fund. The bonds are not obligations of the State of Utah or any political subdivision thereof. The Board has no taxing power.

## **THE 1988 TRUST**

The 1988 Trust has \$598,905,000 principal balance of bonds currently outstanding in eleven separate series. All of the outstanding bonds of the 1988 Trust are secured on a parity basis, and there is no segregation or designation of assets between series except for tax law purposes (i.e. all of the bonds have equal claim on all the assets of the trust). Six series, in the principal amount of \$356,635,000, are structured as a Variable Rate Demand Obligation (VRDO) with liquidity provided through various Standby Bond Purchase Agreements (SBPA) with DEPFA Bank. One series, in the principal amount of \$99,670,000 is also structured as a VRDO with liquidity provided through an SBPA with Wells Fargo Bank. Four series, in the principal amount of \$142,600,000, are structured as Auction Rate Certificates (ARC). One \$60,000,000 series of the VRDOs is taxable, and one \$35,000,000 series of the ARCs is taxable. There were two series of fixed rate bonds outstanding under the 1988 Trust in the total principal amount of \$2,700,000 and one ARC series in the principal amount of \$33,100,000 that were scheduled to mature on May 1, 2008, and it is assumed for purposes of this analysis that they were paid in full at that time. All of the bonds outstanding under the 1988 Trust are insured by Ambac Assurance Corporation ("Ambac").



As of March 31, 2008 the 1988 Trust owned \$525,148,901 in principal amount of FFELP loans, \$318,411,636 of which is currently serviced internally by Board staff using a system and equipment provided under a contract with the Pennsylvania Higher Education Assistance Agency ("PHEAA"), and \$206,737,265 of which is serviced by Nelnet, Inc. ("Nelnet") under a servicing contract. A little more than \$65,000,000 (12.4%) of the loans in the 1988 Trust have qualified for an interest rate reduction based on payment history, and an additional \$318.3 million (60.62%) are still eligible to qualify. Approximately \$129 million (24.55%) of the loans have been disqualified from receiving an interest rate reduction for payment history. Nearly \$434 million (82.6%) of the portfolio consists of Consolidation loans, which have a 1.05% annual yield reduction payment liability to the Department of Education. Approximately \$36 million of the FFELP loans held in the 1988 Trust have been designated by the Department of Education to continue receiving Special Allowance Payments (SAP) at a rate that, combined with the interest rate on the loan, produces a minimum 9.5% yield.

The unaudited balance sheet for the 1988 Trust as of March 31, 2008 shows an estimated excess earnings or arbitrage rebate liability of \$40,740,916 (6.80% expressed as a percent of the principal amount of bonds currently outstanding), an increase of \$2,575,948 from the June 30, 2007 audited financial statements.

The parity ratio, or ratio of accrued assets over accrued liabilities, of the 1988 Trust as of December 31, 2007, after write-off of unamortized loan premiums, transfer fees and origination fees, unamortized costs of issuance on the bonds, and prepaid expenses, and recognizing the estimated excess earnings noted above as a liability is approximately 111.64%. The unaudited financial statements for the period ending March 31, 2008 have not been finalized, so it is not yet possible to compute the parity ratio for that date, but the balance sheet shows a decline in net assets for the three month period of \$2,884,478, or 0.45% of the par amount of the bonds then outstanding .

### **THE 1993 TRUST**

The 1993 Trust has \$1,556,790,000 principal balance of bonds currently outstanding in twenty three separate series, issued in three Classes of payment priority, with Class I having first priority of payment. There is no segregation or designation of assets between series except for tax law purposes. One series, in the principal amount of \$35,000,000, is structured as a tax-exempt VRDO with credit enhancement and liquidity provided by a Letter of Credit with DEPFA Bank. This series is currently the only series of Class I obligations outstanding. One series, in the principal amount of \$7,565,000 is structured as Class II fixed rate bonds, with \$4,890,000 due on May 1, 2009 and \$2,675,000 due on May 1, 2010. (The \$4,000,000 of fixed rate debt scheduled to mature on May 1, 2008, which includes the last outstanding series of Class III debt, and the \$3,200,000 sinking fund payment for Series 1999N (ARCs) due the same date are assumed for the purposes of this analysis to have been paid in full at that time.) Twenty one series, in the principal amount of \$1,514,225,000, are structured as ARCs, of which \$542,125,000 is tax-exempt, and \$972,100,000 is taxable. Of the total outstanding ARCs, \$1,462,625,000 is Class II debt and \$51,600,000 is Class IV debt. Class IV debt constitutes 3.31%, Class II debt constitutes 94.45%, and Class I debt constitutes 2.24% of the total principal outstanding. There is no external credit enhancement or liquidity on any bonds issued under the 1993 Trust other than the Class I Series 1993A VRDOs in the amount of \$35,000,000.

As of March 31, 2008 the 1993 Trust owned \$1,388,649,892 in principal amount of FFELP loans, \$989,593,769 of which are serviced internally, and \$399,056,122 of which are serviced by Nelnet. A little more than \$96.4 million (6.94%) of the loans in the 1993 Trust have qualified for an interest rate reduction based on payment history, and an additional \$723.7 million (52.12%) are still eligible to qualify. Nearly \$295 million (21%) of the loans have been disqualified from receiving an interest rate reduction for payment history. Nearly \$694 million (49.95%) of the portfolio consists of Consolidation



loans with the attendant 1.05% annual yield reduction payment liability. Approximately \$84 million of the FFELP loans held in the 1993 Trust have been designated by the Department of Education to continue receiving 9.5% "floor yield" SAP payments.

The unaudited balance sheet for the 1993 Trust as of March 31, 2008 shows an estimated excess earnings liability of \$34,918,903 (2.24% expressed as a percent of the principal amount of bonds currently outstanding), an increase of \$756,668 from the June 30, 2007 audited financial statements.

The parity ratio, or ratio of accrued assets over accrued liabilities, of the 1993 Trust as of December 31, 2007, after write-off of unamortized loan premiums, transfer fees and origination fees, unamortized costs of issuance on the bonds, and prepaid expenses, and recognizing the estimated excess earnings noted above as a liability is approximately 102.92% including all Classes of bonds, and is approximately 106.33% excluding the Class IV bonds. As with the 1988 Trust, it is not yet possible to compute the March 31, 2008 parity ratio, but the balance sheet indicates a decline in net assets for the three month period of \$6,699,319, or 0.43% of the par amount of the outstanding bonds on March 31.

## **DISLOCATIONS IN THE CAPITAL MARKETS**

In the fourth quarter of 2007, escalating concerns about the impact of problems in the sub-prime mortgage finance arena that had surfaced earlier in the year began to produce unanticipated negative consequence in other areas of the capital markets. Increasingly concerned about the level of exposure of mono-line bond insurers to sub-prime mortgage finance on several levels, including insurance exposure, direct ownership of mortgage backed securities and credit default swaps on mortgage related debt, the three major rating agencies began to take actions that cast doubt on the ability of some of those insurers, including Ambac, to maintain their coveted AAA rated claims paying ability. As the ratings agencies engaged in a cascade of news releases showing ever greater concerns about the adequacy of the capital reserves of Ambac and other mono-lines, investors began to demand increasingly higher interest rates on securities insured by them, and in certain cases refused to purchase or hold them at any price. On March 5, 2008 Standard & Poor's put Ambac on Watch Negative with Review for Possible Downgrade, and on March 12, 2008 Fitch downgraded Ambac to AA with Negative Outlook (See attached "Municipal Bond Insurers Ratings Summary").

As the mono-line insurer's problems escalated, investor concerns about sub-prime mortgage securities spread to other areas, and ultimately resulted in major market dislocations for all asset-backed securities, including securities backed by both alternative and FFELP loans. This manifested itself in the upward divergence of interest rates on asset-backed ARCs compared to certain benchmark rates as a growing number of investors, both institutional and retail, departed the auction rate market as a result of both credit and liquidity fears with respect to this particular financing structure. Insured ARCs became particularly unattractive to investors and commanded rapidly escalating interest rates to generate bids in the auction process. In the second week of February 2008 student loan auctions began to fail in rapid succession, and within a week the auction rate securities market had completely collapsed. While there has been some recovery in the auction rate arena for general municipal securities, the market for student loan ARCs remains essentially closed.

## **THE CURRENT SITUATION**

### **1988 Trust**

Due to the ratings outlook for Ambac and investor concerns about possible additional erosion of Ambac's capital reserves, all \$456,305,000 of VRDOs issued under the 1988 Trust have been tendered to the SBPA providers and the bonds are bearing interest rates as determined under the terms of those



liquidity facilities, currently in the 5.25% to 5.75% range. The average interest rate borne by these VRDOs since investors began to flee Ambac insured securities has almost certainly exceeded the "net loan rate" (i.e. gross loan yield minus servicing and administrative costs, remarketing fees, trustee fees, bond insurance, liquidity fees, etc.) of the underlying assets (loans and investment securities).

From some time in the fourth quarter of 2007 through the current date, the \$142,600,000 of ARCs outstanding under the 1988 Trust have carried interest rates at or in excess of the Maximum Rate limitations set forth in the trust indentures under which they were issued. Only \$35 million of those ARCs are taxable and subject to the "T-Bill Cap" formula, which is designed to recover over time interest rate expense borne in excess of that which such limitations were designed to permit. The \$40,740,916 of estimated excess earnings cited above, as well as the excess spread on the 9.5% floor yield loans, will provide a cushion against the erosion of the current parity ratio of the 1988 Trust for some time, but if and as additional eligible borrowers qualify for interest rate reductions, and as the terms of the SBPA facilities produce higher Bank Bond interest rates, that cushion will begin to erode at an accelerating rate. This phenomenon will be aggravated by any additional loss of Stafford loans to Consolidation and by the receipt of loan repayments that cannot be invested at rates equal to or greater than at least the average "net loan rate."

### **1993 Trust**

The 1993 Trust is not Ambac insured, and the only series of VRDOs in that trust are secured by a DEPFA Letter of Credit, which series is bearing interest at a normal VRDO market rate. The fixed rate bonds in the 1993 Trust are not an issue due to their size and the fact that they mature within two years as described above. The \$1,514,225,000 of ARCs have been experiencing consecutive failed auctions since February 11, 2008. Recent failed auctions for the \$972,100,000 of taxable ARCs have, as a result of the T-Bill Cap, brought the interest rates on those bonds temporarily down to 0% to adjust for previous periods when the interest rate on those bonds exceeded the net loan rate. However, the failed auction rates on the \$542,125,000 of tax-exempt ARCs are based on a different formula, and are still very high compared to what was anticipated when the bonds were issued. While the interest rate stresses on the 1993 Trust are currently less severe than what is occurring in the 1988 Trust, the cushion provided against erosion of the parity ratio by the estimated excess earnings of \$34,918,903 and the excess spread from 9.5% floor yield loans is, proportionate to the amount of bonds outstanding, much smaller than in the 1988 Trust. In addition, like the 1988 Trust, any protection provided by the estimated excess earnings will be eroded if and as additional eligible borrowers qualify for interest rate reductions, if Stafford portfolio is lost to further Consolidation, and by the receipt of loan principal that cannot be invested at rates equal to or greater than the average "net loan rate."

### **REMEDIAL ACTIVITIES**

The following is a list of some remedial activities that the Board and staff might consider utilizing to address the problems described above. Some or all of the items listed may have already been considered, rejected or implemented. The list is not represented as exhaustive, and while not in any particular order, ranges generally from faster and simpler to more difficult and complex.

- (1.) Terminate FFELP consolidation activities except to the extent necessary to defend the existing portfolios, and even in those cases, every effort should be made to find less expensive alternatives than loan consolidation in the normal sense.
- (2.) Eliminate borrower benefits for loans originated on or after October 1, 2007, and evaluate whether or not, if necessary to stop parity erosion, borrower benefits on currently outstanding loans may be reduced or eliminated.



- (3.) Use available cash in the 1988 Trust to redeem all or as much as possible of the \$60 million taxable VRDOs.
- (4.) Review trust indentures, bond insurance documents and SBPAs to determine whether failed auctions or the existence of Bank Bonds can or will, with the lapse of time, result in limitations on the purchase of additional loans or the requirement to redeem bonds
- (5.) Consider having loan yield and bond yield computations performed on a semi-annual or even quarterly basis. The increase in excess earnings liability between the audited June 30, 2007 financials and the unaudited March 31, 2008 financials is counter-intuitive in light of the interest rates on the bonds over the past 6 months, and appears to be based on some formulaic methodology that assumes a normal interest rate environment. More frequent yield calculations will result in financial statements that are more accurate and informative.
- (6.) Evaluate the cost of loan servicing under the two approaches (in-house and Nelnet) currently utilized, compare those costs to other available servicing alternatives, and take appropriate action to minimize servicing costs and thereby increase net loan yield. As entities such as Nelnet and PHEAA have shifted their business model from originating, buying and securitizing student loan assets to fee-for-service activities they have created an opportunity for the Board to use that transition to leverage down servicing costs, the single biggest cost for a loan holder.
- (7.) Examine the possibility of lowering the broker/dealer fees on the ARCs in the 1988 Trust and the 1993 Trust to reflect the fact that there is effectively no significant function currently being performed by the broker/dealers for the fees they are receiving, and it is unlikely that they will utilize their balance sheets to reanimate this segment of the market in the foreseeable future. This step could be accomplished either through re-negotiation of the fee with the current broker/dealer, or through replacement of the current broker/dealer with another qualifying entity that is amenable to performing the necessary ministerial functions and fill the legally required role of broker/dealer for a fee more commensurate with the magnitude and risk of those activities under current conditions.
- (8.) Negotiate with Ambac for a reduction in the premium on their insurance policies in the 1998 Trust. Under current market conditions the presence of the Ambac insurance policy is a liability rather than an asset, and the insurance premium should be reduced to reflect that economic reality.
- (9.) Evaluate the cost of obtaining and making public the underlying ratings on the outstanding bonds of the 1988 Trust. The expense and time devoted to this undertaking should to be evaluated against proven or carefully vetted projections of improved marketability for the bonds from more than one remarketing agent or potential remarketing agent. This evaluation should include the cost/benefit of an investor accessible web site with expanded financial statement and portfolio data disclosure that is updated on a monthly basis.
- (10.) Run cash flow models on both the 1988 Trust and the 1993 Trust to determine which trust is experiencing the greatest financial stress, to project the extent and duration to which the excess earnings will preclude erosion of parity ratios under various assumption sets, and to evaluate what impact certain remedial actions might reasonably have on projected future performance of the trusts. Cash flow analyses will also assist the Board and staff in directing whatever Letter of Credit or SBPA resources are or might become available to the Trust that is most in need of restructuring.

- (11.) Unless the comparative results of the cash flow modeling described above between the 1988 Trust and 1993 Trust dictates otherwise, move as rapidly as possible to "scrape off" Ambac from the 1988 Trust bonds through an exchange bond process as described in Section 3.6 of Notice 2008-27 issued by the Internal Revenue Service and the Treasury Department and replace the insurance with one or more irrevocable direct-pay Letters of Credit. Investors are currently displaying a very clear preference for LOC transactions over transactions with only external liquidity.
- (12.) Pursue alternative sources of Letters of Credit. There are large amounts of liquidity available, but it is not currently located in the money center banks, and it is not located at institutions that are educated in the well-documented complexities but frequently misunderstood credit quality of the FFELP asset. This process will take considerable time and effort, and is best pursued as a combined effort between Board staff and outside resources that can produce the financial analytics that are required to educate the prospective credit provider.
- (13.) To the extent that a continued shortage of external credit enhancement/liquidity or the absence of other viable solutions for restructuring the ARCs in the 1998 and 1993 Trust becomes protracted, the Board should consider the economics of utilizing available cash within each Trust to purchase its ARCs in the secondary market for cancellation, and/or exercising optional redemptions.

## **SUMMATION**

There has been a significant decline in the net assets of both the 1988 Trust and the 1993 Trust across the quarter ending March 31, 2008. While both trusts are secured by a high quality portfolio of FFELP loans, it is imperative that every effort be made to improve the net loan rate by lowering costs and to bring the interest rate on the bonds down to or below that net loan rate before the estimated excess earnings of the trusts are depleted. While the erosion of net assets in the 1993 Trust has likely decelerated, or possibly stopped, as a function of the re-imposition of "maximum rate" formulae (including the "T-Bill Cap" for the taxable ARCs), the 1988 Trust will likely continue to experience a declining parity ratio until the investor aversion to Ambac insured bonds is adequately addressed. Consequently, the currently scarce LOC facilities that are available should be utilized to restructure the 1988 Trust as quickly as possible if other remedial activities are not adequate to overcome the market aversion to Ambac.



Addendum to  
Review and Analysis on the Outstanding Student Loan Financing Structures  
And Related Activities  
Of the  
State Board of Regents of the State of Utah  
Student Loan Purchase Program  
As of  
June 9, 2008

**SUBSEQUENT EVENTS**

Since submitting the original report on May 28, 2008 there have been some subsequent events that merit discussion.

On May 30, 2008 updated interim unaudited March 31, 2008 financial statements were provided for the 1998 Trust and the 1993 Trust. The primary change in the updated financials, compared to those previously received for that reporting date, is a reduction in the estimated excess earnings liability by \$2,576,668 for the 1988 Trust and \$756,668 for the 1993 Trust. Using the information provided in the updated March 31, 2008 financials and the adjustment methodology described in the original report, the parity ratio for the 1988 Trust at March 31 is 111.50% (compared to 111.60% at December 31, 2007). The parity ratio for the 1993 Trust at March 31 is 102.61% including all Classes of bonds, and is 106.00% excluding the Class IV bonds. This compares to 102.92% and 106.33%, respectively, at December 31, 2007.

On June 5, 2008 Standard & Poor's downgraded the long term claims paying rating on Ambac from AAA to AA and left them on Watch Negative with Review for Possible Downgrade. This ratings action further reduces the probability that the remarketing agents will be able to remarket the VRDNs of the 1988 Trust to open market buyers, and puts additional emphasis on the need to replace the Ambac insurance and SBPA "synthetic LOC" of the 1988 Trust with an irrevocable direct-pay Letter of Credit.

**MANAGEMENT RESPONSES TO  
FIRST SOUTHWEST REMEDIATION ACTIVITIES FOR CONSIDERATION**

The following is a list of some remedial activities that the Board and staff might consider utilizing to address the problems described above. Some or all of the items listed may have already been considered, rejected or implemented. The list is not represented as exhaustive, and while not in any particular order, ranges generally from faster and simpler to more difficult and complex.

- (1.) Terminate FFELP consolidation activities except to the extent necessary to defend the existing portfolios, and even in those cases, every effort should be made to find less expensive alternatives than loan consolidation in the normal sense.

**Response: Consolidation Loan Originations were suspended effective September 1, 2008 by UHEAA Board action taken on August 14, 2008.**

- (2.) Eliminate borrower benefits for loans originated on or after October 1, 2007, and evaluate whether or not, if necessary to stop parity erosion, borrower benefits on currently outstanding loans may be reduced or eliminated.

**Response: Staff has been advised by counsel to avoid making retroactive changes to borrower benefits previously offered to and earned by borrowers. Borrower benefits on new loans going forward were substantially reduced with UHEAA Board action taken in December 2007 and June 2008.**

- (3.) Use available cash in the 1988 Trust to redeem all or as much as possible of the \$60 million taxable VRDOs.

**Response: While consideration was given to redemption of VRDOs in the 1988 Trust, management felt that, in the near term, maintenance of liquidity for the summer and fall lending season took precedence over redemption. Staff will continue to monitor the situation with the goal of redeeming bonds to the extent of available funds.**

- (4.) Review trust indentures, bond insurance documents and SBPAs to determine whether failed auctions or the existence of Bank Bonds can or will, with the lapse of time, result in limitations on the purchase of additional loans or the requirement to redeem bonds.

**Response: Trust indentures were reviewed in February 2008 shortly after the first failed auctions of auction rate bonds and puts of VRDOs to banks under the liquidity facilities to determine operational impacts and restrictions. As interpreted by staff and confirmed by bond counsel there are no limitations on the purchase of additional student loans with available funds under auction rate bond indentures. VRDO indentures require that available funds be used to retire bonds only after the bonds have been held by the liquidity provider for six consecutive months.**



- (5.) Consider having loan yield and bond yield computations performed on a semi-annual or even quarterly basis. The increase in excess earnings liability between the audited June 30, 2007 financials and the unaudited March 31, 2008 financials is counter-intuitive in light of the interest rates on the bonds over the past 6 months, and appears to be based on some formulaic methodology that assumes a normal interest rate environment. More frequent yield calculations will result in financial statements that are more accurate and informative.

**Response:** Consideration was given to having a yield computation performed in conjunction with preparation of the March 2008 quarterly financial statements. In view of the limited distribution of the interim financial statements and due to the cost, approximately \$100,000, it was decided to wait for three months and only have the annual June 30 computation performed. Adjustments to the excess earnings liability is an accounting entry and does not impact current cash on hand. Consideration will be given to performing the analysis more often in the future.

- (6.) Evaluate the cost of loan servicing under the two approaches (in-house and Nelnet) currently utilized, compare those costs to other available servicing alternatives, and take appropriate action to minimize servicing costs and thereby increase net loan yield. As entities such as Nelnet and PHEAA have shifted their business model from originating, buying and securitizing student loan assets to fee-for-service activities they have created an opportunity for the Board to use that transition to leverage down servicing costs, the single biggest cost for a loan holder.

**Response:** Staff has analyzed and monitored the in-house versus Nelnet servicing costs since inception of the in-house servicing operation in 2003 with a plan to eventually transfer the Nelnet portfolio in-house. With the current size of the in-house servicing operation, there are servicing capabilities and economies of scale that now make this plan feasible. While there are projected substantial savings, there is also a transfer of additional servicing risk to UHEAA which will need to be considered. With the current uncertainty in the financial sector and the student loan industry, these plans have been temporarily put on hold.

- (7.) Examine the possibility of lowering the broker/dealer fees on the ARCs in the 1988 Trust and the 1993 Trust to reflect the fact that there is effectively no significant function currently being performed by the broker/dealers for the fees they are receiving, and it is unlikely that they will utilize their balance sheets to reanimate this segment of the market in the foreseeable future. This step could be accomplished either through re-negotiation of the fee with the current broker/dealer, or through replacement of the current broker/dealer with another qualifying entity that is amenable to performing the necessary ministerial functions and fill the legally required role of broker/dealer for a fee more commensurate with the magnitude and risk of those activities under current conditions.

**Response:** This has been discussed with UBS, the broker/dealer, and negotiations are currently in progress.



- (8.) Negotiate with Ambac for a reduction in the premium on their insurance policies in the 1998 Trust. Under current market conditions the presence of the Ambac insurance policy is a liability rather than an asset, and the insurance premium should be reduced to reflect that economic reality.

**Response: AMBAC has not been receptive to negotiating reductions of the premium on their insurance policies.**

- (9.) Evaluate the cost of obtaining and making public the underlying ratings on the outstanding bonds of the 1988 Trust. The expense and time devoted to this undertaking should to be evaluated against proven or carefully vetted projections of improved marketability for the bonds from more than one remarketing agent or potential remarketing agent. This evaluation should include the cost/benefit of an investor accessible web site with expanded financial statement and portfolio data disclosure that is updated on a monthly basis.

**Response: In the first quarter of 2008, staff entertained the idea of obtaining underlying ratings on the 1988 Trust and determined that the cost of obtaining the ratings was in the range of \$350,000 to \$450,000. After consulting with bankers from four separate financial institutions, it was determined that, in the then-current environment, there was no cost benefit as long as the AMBAC name was on the bonds. Staff continues to monitor this possibility while proceeding with plans to move away from the AMBAC insurance by retiring the 1988 Trust through the issuance of new bonds under a new trust. See Recommendation #11 below.**

- (10.) Run cash flow models on both the 1988 Trust and the 1993 Trust to determine which trust is experiencing the greatest financial stress, to project the extent and duration to which the excess earnings will preclude erosion of parity ratios under various assumption sets, and to evaluate what impact certain remedial actions might reasonably have on projected future performance of the trusts. Cash flow analyses will also assist the Board and staff in directing whatever Letter of Credit or SBPA resources are or might become available to the Trust that is most in need of restructuring.

**Response: Staff has been projecting liquidity positions on a quarterly basis during the year and is working toward refinancing the 1988 Trust which is experiencing the greatest financial stress. Cash flow models will be run in conjunction with the restructuring and refinancing of each trust and as necessary and/or required by rating agencies and liquidity providers.**

- (11.) Unless the comparative results of the cash flow modeling described above between the 1988 Trust and 1993 Trust dictates otherwise, move as rapidly as possible to "scrape off" Ambac from the 1988 Trust bonds through an exchange bond process as described in Section 3.6 of Notice 2008-27 issued by the Internal Revenue Service and the Treasury Department and replace the insurance with one or more irrevocable direct-pay Letters of Credit. Investors are



currently displaying a very clear preference for LOC transactions over transactions with only external liquidity.

**Response:** Staff has been working in this direction since early May, now has a commitment for a direct-pay letter of credit in the amount of \$200 million, and is currently waiting to receive a term sheet for a direct-pay letter of credit from another financial institution in the amount of \$400 million. The term sheet for the \$400 million is expected to be received by September 12. Plans are to create two new indentures and close out the 1988 AMBAC insured indenture as quickly as possible.

- (12.) Pursue alternative sources of Letters of Credit. There are large amounts of liquidity available, but it is not currently located in the money center banks, and it is not located at institutions that are educated in the well-documented complexities but frequently misunderstood credit quality of the FFELP asset. This process will take considerable time and effort, and is best pursued as a combined effort between Board staff and outside resources that can produce the financial analytics that are required to educate the prospective credit provider.

**Response:** Letters of credit from non-money-center banks are generally only available in amounts under \$100 million. In order to meet its needs, UHEAA would have to make arrangements with numerous banks, which would be logistically difficult and perhaps impossible in the current environment. However, UHEAA is actively searching for all available sources of letters of credit and additional financing.

- (13.) To the extent that a continued shortage of external credit enhancement/liquidity or the absence of other viable solutions for restructuring the ARCs in the 1998 and 1993 Trust becomes protracted, the Board should consider the economics of utilizing available cash within each Trust to purchase its ARCs in the secondary market for cancellation, and/or exercising optional redemptions.

**Response:** In the current environment, liquidity is of the utmost importance. This recommendation will be considered at a later date if and when it becomes necessary and is in the best interests of the Board of Regents.

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Utah College of Applied Technology – 2009-2010 Budget Request

Issue

Regents will be provided with a courtesy copy of the Utah College of Applied Technology budget request categories for information purposes. UCAT officials will give a brief presentation regarding the 2009-10 UCAT budget request and will be available to answer questions.

Commissioner's Recommendation

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

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: Utah Education Network – 2009-2010 Budget Request

The Utah Education Network, as defined by UCA 53B-17-102, is a consortium and partnership between public and higher education established to:

- coordinate and support the telecommunications needs of public and higher education;
- coordinate the various telecommunications technology initiatives of public and higher education;
- provide high-quality, cost-effective Internet access and appropriate interface equipment for schools and school systems;
- procure, install, and maintain telecommunication services and equipment on behalf of public and higher education;
- develop or implement other programs or services for the delivery of distance learning as directed by law; and
- apply for state and federal funding on behalf of public and higher education.

Regents will be provided with a courtesy copy of the 2009-10 Utah Education Network Budget Request for information purposes. UEN officials will give a brief presentation and be available to answer questions.

Commissioner's Recommendation

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

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Campus Retention Plan Reports from the College of Eastern Utah and Snow College - Information Item

Issue

As a follow-up item to the Board's Planning Retreat on persistence on March 20, 2008, the Board approved the Commissioner's recommendation that each institution should give a report regarding its current and future plans to improve student retention and completion rates. Because each of the institutions has unique student populations and programs designed to address retention, the sharing of such information will benefit not only the Regents but the system campuses as the institutions have the opportunity to learn from each other.

Background

Continuing this month with presentations from the College of Eastern Utah and Snow College, we will hear a presentation from each institution over the next few months about campus efforts to promote student persistence. Presentations will be delivered to the Strategic Planning & Communications Committee according to the following schedule:

May 30 (WSU): Weber State University and Utah State University  
July 11 (SUU): Southern Utah University and Dixie State College  
Sept. 5 (CEU): College of Eastern Utah and Snow College  
Oct. 24 (UVU): UCAT and UVU  
Dec. 5 (U of U): University of Utah and Salt Lake Community College

Commissioner's Recommendation

This item is for information only and requires no action.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd

# Promoting Student Success at Snow College

## Presented to Utah State Board of Regents

### September 5, 2008

#### Opportunities

- Excellent tradition of preparing students to successfully transfer to four year programs
- Strong career and technical programs that prepare students for successful employment
- Partnerships with several universities to provide Registered Nurse, four year, and graduate degree programs in Ephraim and Richfield
- All of this in a friendly, personalized, welcoming environment

#### Challenges

- 27% of entering Fall 07 students came to campus with a range of 3-32 previously earned Snow concurrent enrollment credits
- 30% of entering Fall 07 students come to campus with an average of 16 previously earned transfer credits
- Almost 80% of entering students state they intend to transfer from Snow, with or without a completed Associate degree

#### Principles

- Promoting student retention must be a college wide effort
- Persistence is directly related to being actively academically engaged in the learning experience
- Persistence is directly related to making significant connections with peers and mentors
- Persistence is also related to a positive, supportive "customer experience"

#### Accomplishments

- Appointment of vice president for student success in January 2008
- Appointment of assistant to vice president to emphasize student retention in May 2008
- First college wide retention summit in May 2008
- Start Smart (new student orientation course) taken by almost 70% of all new freshmen
- Stepped up data collection to track and analyze persistence trends and factors
- Opening of Multicultural Student Center in Fall 2008

#### New Initiatives

- Leave of absence policy to be effective December 2008
- Focus on increasing understanding and support for students from diverse backgrounds
- Focus on increasing opportunities for students to engage with academic departments
- Sustain campus wide involvement in retention through regular dialogue with academic and student services leaders
- Explore development of student leadership transcript to document and add value to campus service and leadership experiences
- Systematic review of policies and practices that may negatively impact persistence

DRAFT

August 25, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Report on Legislative Task Force on Applied Technology and Higher Education Governance

Issue

Since the last meeting of the Board of Regents, a working group of the legislative task force met twice, and the Task Force met on August 8, 2008. Prior to the task force meeting, Governor Huntsman sent a letter to the Task Force outlining several principles and specific recommendations (copy attached).

At its most recent meeting, the Task Force discussed at length a draft bill which would rename UCAT, eliminate the Associate of Applied Technology (AAT) degree, and make changes to the UCAT board structure and powers. Of significant concern, the draft bill also proposes removing the Skills Center from Salt Lake Community College and merging it with the Salt Lake-Tooele Applied Technology College. The Task Force agreed to remove the Skills Center portion of the bill for now and to consider the issues related to Salt Lake and Tooele Counties at its next meeting. (More details are included in a report by Associate Commissioner Buhler, which is attached.)

The Task Force members also indicated that once they have finished their work on UCAT, they plan to discuss three other higher education issues: Board of Regents governance and powers, concurrent enrollment, and the state's Engineering and Computer Science Initiative.

The Commissioner, Associate Commissioner Buhler, and institutional presidents and their representatives continue to meet with and have discussions with legislators on the Task Force to make them aware of our concerns and provide our perspective on various issues.

Commissioner's Recommendation

This is an information item; however, discussion and input from the Regents is welcome. Regents are encouraged to attend the next Legislative Task Force meeting, on Tuesday, September 9, 2009, beginning at 9:00 a.m. in the State Capitol in Room 450.

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William A. Sederburg  
Commissioner of Higher Education

WAS/DLB  
Attachments

## **Update on Legislative Task Force on Applied Technology and Higher Education Governance**

Prepared by David Buhler

August 25, 2008

The Legislative Task Force met on August 8, 2008 and discussed at some length a draft bill recommended by their working group, co-chaired by Senator Margaret Dayton and Representative Ron Bigelow. The main features of the draft bill are as follows:

- 1- UCAT becomes the Utah Institute of Technology. While the stated goal is to make it clear that this is an institution that provides non-credit training, and not a credit and degree-granting institution, we have concerns about this name as it is similar to several research universities such as the Massachusetts Institute of Technology, George Tech, Cal Tech, etc. An effort was made in the Task Force to name it the Utah Career & Technical Institute, but this did not pass.
- 2- The Institute is led by a president; it has eight campuses, each led by a campus president.
- 3- It is governed by a board that is basically the current UCAT Board except there will be two representatives of labor unions associated with apprenticeship programs, and representatives of the Department of Workforce Services and the Governor's Office of Economic Development. The State Board of Education will have one member. Originally, the State Board of Regents did not have a member. This was changed by the Task Force to include a Regent but also to allow the new UCAT Board to also appoint one of their members as a Regent.
- 4- Their board retains the current powers of the existing UCAT Board plus the power of hiring/firing the statewide president. The President is given greater authority over the Campus Presidents.
- 5- The local boards are constituted the same except Regent representation is removed. (Trustee representatives from sister USHE institutions remain.)
- 6- The AAT degree is eliminated (current and future) and it is made clearer that UCAT is non-credit only.
- 7- The Institute is part of the Utah System of Higher Education; however, unless specifically authorized by statute, the Regents have no authority or responsibilities over them. So while technically part of USHE, the Regents actually have no role or authority. (The reason they remain technically part of USHE is so they can be eligible for funding from state income tax—education funds—rather than relying on the state's General Fund.) While it is not included in the actual draft bill, there is also discussion about having UCAT present its budget to an appropriations subcommittee other than the Higher Education committee, such as one focused on economic development.
- 8- As drafted, a "reverse merger" is proposed—the SLCC Skills Center would become part of the SLTATC, effective in 2010. Eventually, Tooele would have its own stand-alone ATC (although this isn't specifically stated in the draft bill). The Task Force agreed to remove this "reverse merger" from the draft bill for now and to discuss the Salt Lake and Tooele County issues, including the



report authored by Dr. Gary Carlston and the recommendation by former Commissioner Kendell, at their next meeting.

This bill clarifies the credit and degree issues, but it does not incorporate UCAT more closely into higher education on a par with other institutions. Instead, it provides a “third board” although it is technically within the Utah System of Higher Education. It makes clear, however, that the Board of Regents has no responsibility for UCAT unless specifically authorized later by the Legislature. It also removes language that calls for regional planning and coordination, although this is less significant since they will no longer be granting AAT degrees.

Obviously, the biggest concern we have regarding this proposal is the Skills Center issue. Concerns include:

- Assuming the UCAT keeps its same funding formula, this change will cost the state an estimated \$1.1 million (since the state subsidy is higher for UCAT than the Skills Center).
- As of now, SLTATC students are not eligible for Pell Grants. (This could be remedied, however, if they apply for and qualify for U.S. Department of Education approval.)
- It leaves two higher education providers competing for students and resources within Salt Lake County, and diminishes Salt Lake Community College's traditional role.
- It ignores the fact that, in terms of membership hours, Salt Lake Community College currently provides four times the amount of Career and Technical Education than all of UCAT combined.

The Task Force also decided to ask Legislative Management Committee to authorize “up to” three additional meetings beyond the three more meetings currently approved (for a total of as many as six more meetings). Once they finish with UCAT issues, the Task Force would like to tackle three other issues (order they will be addressed has not been indicated):

- Rep. Dougall's bill in the 2008 Session that would have made major changes in higher education by giving boards of trustees authority for presidential hiring and most program approval
- Concurrent Enrollment
- Engineering & Computer Science Initiative

The next Task Force meeting will be on Sept. 9, at 9:00 a.m. in Room 450 of the State Capitol. Dialogue is continuing between higher education representatives and task force members, and Regents may wish to attend the next Task Force meeting.

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Update on Regents' Scholarship—Information Item

Issue

On May 30, 2008, the Board adopted a new policy, R609 (Regents' Scholarship), in compliance with S.B. 180, which required the Board to adopt a policy implementing the statute by July 15, 2008. Upon receiving legislative feedback on the policy and reviewing data on the number of anticipated scholarship awards, the Board reaffirmed the policy, and the criteria for making scholarship awards, at its regular meeting on July 11, 2008 at Southern Utah University.

In order to seek and obtain adequate funding for the Regents' Scholarship for the Class of 2009, the Board needs to have data on the number of scholarships awarded to the Class of 2008, and the projected demand for the scholarships in future years. While data is still being collected by the Office of the Commissioner and will not be finalized until late September, given that applicants have until September 20, 2008 to submit all final eligibility documentation, this item provides the data we are currently able to report.

Background

The Regents' Scholarship was established with the singular purpose of providing a monetary incentive to students who demonstrate college readiness by completing the Utah Scholars core course of study, which requires students to complete, in grades 9-12:

- 4 years of English
- 4 years of math, through Algebra II, and a senior year class beyond Algebra II (e.g., pre-calculus, calculus, statistics, concurrent enrollment math, etc.)
- 3.5 years of social science
- 3 years of lab-based natural science (one each of Biology, Chemistry, and Physics)
- 2 years of the same foreign language (may include American Sign Language)

We have been transparent and clear about the link between the Utah Scholars core course of study and the scholarship from the beginning, explaining to legislators, Governor Huntsman, and business leaders that this defined core course of study has been validated as rigorous, and a key predictor of college success,

by multiple national studies conducted by the U.S. Department of Education.<sup>1</sup> We have been particularly emphatic about encouraging more high school students to take advanced mathematics all four years of high school. Clifford Adelman concluded in *The Toolbox Revisited*: “The highest level of mathematics reached in high school continues to be a key marker in precollegiate momentum, with the tipping point of momentum toward a bachelor’s degree now firmly above Algebra 2. But in order for that momentum to pay off, earning credits in truly college-level mathematics on the postsecondary side is *de rigueur*. The world has gone quantitative: business, geography, criminal justice, history, allied health fields—a full range of disciplines and job tasks tells students why math requirements are not just some abstract school exercise.”<sup>2</sup>

The importance of course-taking patterns by high school students has also been repeatedly emphasized by ACT. Out of 22,598 Utah high school students who took the ACT during the 2007-2008 academic year, only 5,649 (25%) were able to meet all four ACT college readiness benchmark scores (English = 18, Math = 22, Reading = 21, Science = 24). Yet students who completed a rigorous core of study in high school experienced impressive gains on their scores.

For example, the average score on the English portion of the ACT for students who completed less than four years of high school English was only 20.3, while students who completed four years of basic core English scored nearly a full point higher (21.2). The average score on the Reading portion of the ACT for students who completed less than three years of social science was only 21.5, while students who completed at least 3.5 years of social science scored nearly a full point higher (22.4).

The impact of course-taking in the content areas of math and science is even more stark. The average score on the math portion of the ACT for students who completed less than three years of high school math was only 17.5 (well below the benchmark score of 22), while students who completed at least four years of math through calculus (Algebra 1, Algebra 2, Geometry, Trig, and Calculus) scored nearly seven points higher (24.4). Likewise, in science, students who completed less than three years of natural science scored only 20.4 (well below the benchmark score of 24), while students who completed Biology, Chemistry, and Physics scored nearly 3.5 points higher (23.8).

Based on legislative feedback we received from the Administrative Rules Committee indicating that the defined Utah Scholars curriculum was too narrow and excluded some students who could demonstrate college readiness without taking all of the courses specified, we agreed to amend the policy and administrative rule by including the following language: “Credit requirements in content areas of the core course of study (English, mathematics, laboratory science, social studies, and foreign language) may be satisfied by completion of an Advanced Placement (A.P.) course in a content area and an A.P. test score of 3 or higher for the course, regardless of when the course and/or test was completed in grades 9-12.”<sup>3</sup> However, because application of this rule to the Class of 2008 would substantially increase the number of eligible applicants and require significant funding beyond the \$900,000 appropriated for FY 2008-2009, the Board determined at its July 11, 2008 meeting to defer application of this rule until the Class of 2009.

On August 11, 2008, we presented this proposed rule and the data regarding the impact of the

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<sup>1</sup> See Clifford Adelman, *Answers in the Tool Box: Academic Intensity, Attendance Patterns, and Bachelor’s Degree Attainment* (U.S. Dept. of Education, 1999); Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School through College* (U.S. Dept. of Education, 2006).

<sup>2</sup> Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School through College* (U.S. Dept. of Education, 2006), p. xix (emphasis added).

<sup>3</sup> Utah Admin. Code R765-603-4.2.1 (Proposed July 1, 2008).

amended rule on scholarship funding, and after vigorous debate, were instructed by legislators to keep the amended language in place but defer its application until a future time when sufficient funding becomes available. However, based on additional concerns that were raised by legislators regarding the scholarship criteria, we have been invited to again appear before the Administrative Rules Committee on September 8, 2008.

The data we plan to present to the Committee on September 8 includes the following:

- Base Scholarship Awards (\$1,000 each) to be awarded: 103
- Funding required for Base Scholarship Awards:  $103 \times \$1,000 = \$103,000$
- Exemplary Academic Achievement (EAA) Awards: 139
- Funding required for EAA Awards:  $139 \times \$2,236.50 (.75 \times \$2982 \text{ (USHE average annual full-time tuition)}) \times 2 \text{ years} = \$621,747$
- Total projected amount of scholarships for Class of 2008 = \$724,747
- Scholarship applications denied: 413

Based on feedback we have received from the Board, legislators, public schools, parents, and others, we are continuing to evaluate the scholarship criteria to ensure that the scholarship accomplishes its intended purpose, which is to motivate better college preparation and readiness among Utah high school students. One idea we have been considering would supplement the existing criteria to allow students who meet all four ACT college readiness benchmark scores to receive the scholarship, regardless of the courses they take or when they complete certain courses. If such an amendment were to be made to the statute and administrative rule, the Board would need an annual appropriation of at least \$5,000,000 to fund scholarships for the approximately 5,000 ACT takers in Utah who currently meet all four benchmarks, with increases required over time as demand for the scholarship grows.

Even if the eligibility criteria are not altered, we expect demand for the scholarship to increase significantly for the Class of 2009. With only about one month to notify students and guidance counselors about the scholarship at the end of the 2007-2008 academic year, we still received over 600 applications, and we believe that number will at least double for the Class of 2009.

#### Commissioner's Recommendation

The Commissioner recommends that the Regents continue their support for this innovative scholarship program and include an appropriate amount in the USHE 2008-2009 budget to grow and sustain the program.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd  
Attachment

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah Scholars and College Access Challenge Grant Update—Information Item

Issue

The first prong of the Regents' "preparation, participation, and completion" agenda is perhaps the most critical, because if high school students do not prepare academically for postsecondary education, they will not enroll, they will not persist, and they will not graduate. Therefore, for the past two years the Office of the Commissioner has dedicated a great deal of time and energy to implementing the State Scholars Initiative in Utah, which is a business/education partnership designed to motivate high school students to complete a rigorous, college-prep curriculum in grades 9-12. While the \$300,000 federal SSI grant will expire in March 2009, the Office of the Commissioner will be able to sustain the Utah Scholars project through a College Access Challenge Grant, which the Board of Regents was awarded on August 14, 2008. This report provides an update of both the State Scholars Initiative and the College Access Challenge Grant.

Background

A. Policy Justification for Utah Scholars

In February 2006, the U.S. Department of Education released a major study titled "The Toolbox Revisited: Paths to Degree Completion from High School Through College," which contains critical data on the issue of academic preparation for college. Drawing its data from the National Education Longitudinal Study of 1988 (NELS:88/2000), this "longitudinal study followed a national sample of over 12,000 students (representing a weighted 2.9 million students) from the time they were in the 8<sup>th</sup> grade in 1988 to roughly age 26 or 27 in December 2000."<sup>1</sup>

In the Executive Summary, Clifford Adelman, the study's author, emphasized the importance of taking a rigorous course of study in high school; he stated:

"The academic intensity of the student's high school curriculum still counts more than anything else in precollegiate history in providing momentum toward completing a

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<sup>1</sup> Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School Through College* (U.S. Dept. of Education, Feb. 2006), p. 3.

bachelor's degree. At the highest level of a 31-level scale describing this academic intensity, one finds students who, through grade 12 in 1992, had accumulated:

- 3.75 or more Carnegie units of English
- 3.75 or more Carnegie units of mathematics
- highest mathematics of either calculus, precalculus, or trigonometry
- 2.5 or more Carnegie units of science or more than 2.0 Carnegie units of core laboratory science (biology, chemistry, and physics)
- more than 2.0 Carnegie Units of foreign languages
- more than 2.0 Carnegie Units of history and social studies
- 1.0 or more Carnegie Units of computer science
- more than one Advanced Placement class
- no remedial English; no remedial mathematics

"These are minimums. In fact, students who reached this level of academic curriculum intensity accumulated much more than these threshold criteria, and 95 percent of these students earned bachelor's degrees (41 percent also earned master's, first professional, or doctoral degrees) by December 2000."<sup>2</sup>

Adelman further explained:

"There is a quantitative theme to the curriculum story that illustrates how students cross the bridge onto and through the postsecondary landscape successfully. The highest level of mathematics reached in high school continues to be a key marker in precollegiate momentum, with the tipping point of momentum toward a bachelor's degree now firmly above Algebra 2. But in order for that momentum to pay off, earning credits in truly college-level mathematics on the postsecondary side is *de rigeur*. The world has gone quantitative: business, geography, criminal justice, history, allied health fields—a full range of disciplines and job tasks tells students why math requirements are not just some abstract school exercise."<sup>3</sup>

Yet too many high school students in Utah do not complete a college-prep course of study. Seniors graduating in the classes of 2008, 2009, and 2010 will only have to complete 15 core credits to graduate from high school (including only three years of English, two years of math, and two years of science), while students in 37 states must now complete at least 20 core credits.<sup>4</sup> Beginning with the class of 2011, Utah high school students will have to complete 18 core credits (including four years of English, three years of math, and three years of science). However, students will still not be required to complete math through Algebra II, or to complete lab science courses in biology, chemistry, and physics.

The Utah Scholars program is a business/education partnership that works with local school districts to motivate high school students to complete the following courses in grades 9-12:

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<sup>2</sup> Id. at xviii.

<sup>3</sup> Id. at xix.

<sup>4</sup> National Center for Education Statistics, U.S. Dept. of Ed., *High School Coursetaking* (June 2007).

- 4 years of English
- 4 years of math (Algebra I, Geometry, Algebra II, and a senior-year advanced math class such as pre-calculus, calculus, statistics, or a concurrent enrollment math course)
- 3.5 years of social studies (e.g., Geography, U.S. History, World History, Economics, Government)
- 3 years of lab science (Biology, Chemistry, and Physics)
- 2 years of the same language other than English (e.g., French, German, Spanish, American Sign Language)

#### B. Initiation and Implementation of Utah Scholars 2006-2008

Utah Scholars was initiated in the 2006-2007 school year with a \$300,000 grant from the U.S. Department of Education and the Western Interstate Commission for Higher Education (WICHE). During the first year of implementation, we implemented the program in 8 middle schools and 5 high schools across the Wasatch Front in the Davis, Granite, Jordan, and Park City School Districts. By the end of the 2006-2007 school year, a State Scholars presentation had been delivered to nearly 2,400 8<sup>th</sup> grade students by 20 different business and community leaders, and approximately 160 high school seniors were recognized as the first class of Utah Scholars.

During the second year of implementation, we expanded the program to 39 middle schools and 36 high schools in the Ogden, Davis, Salt Lake City, Granite, Jordan, Alpine, Provo, Park City, and Washington County school districts. By the end of the 2007-2008 school year, nearly 11,000 8<sup>th</sup> and 9<sup>th</sup> grade students had received the State Scholars presentation from some 105 trained business and community volunteers. In April, 244 high school seniors were recognized as the second class of Utah Scholars, up from 160 in 2007.

Sustainability of the program has been a priority since the day Utah was awarded the State Scholars grant in March 2006. Fortunately, both the political and the business communities in Utah have helped with funding for the program. During the 2007 General Session, the Utah Legislature granted the Regents' request for \$500,000 in one-time funds to sustain the administrative and operational costs of the program, and to allow the program to expand significantly. In addition to using part of these funds for a small staff and other operational costs, some of these funds have been used for strategic partnerships that have been very effective in promoting the program. Such partnerships and projects include:

- A partnership with Utah Campus Compact to support initiatives on several campuses to develop service learning projects tied to Utah Scholars (tutoring and mentoring programs, academic support services for high school students, outreach with Latino students, etc.).
- A partnership with the University of Utah to develop an assessment program for first-year college students to examine the preparedness and success of students completing the Utah Scholars curriculum.
- A partnership with the Academy for Math, Engineering & Science to fund a small project to get all AMES students to take the ACT sequence of tests to gauge college readiness.

- A partnership with the College Advising Corps at the University of Utah, to support the University's grant from the Jack Kent Cooke Foundation that is being used to place trained "advisors" in selected high schools to help juniors and seniors prepare for college.
- A partnership with Ken Garff Automotive and the Utah Blaze to promote literacy and college preparedness in elementary school through the Road to Success program.

In addition, while the Utah Legislature did not fund operational costs for Utah Scholars for FY 2008-2009, it did appropriate \$400,000 in ongoing funds and \$500,000 in one-time money, through S.B. 180, sponsored by Senator Lyle Hillyard, to establish the "Regents' Scholarship" so that students have a monetary incentive to complete the Utah Scholars core course of study. This scholarship provides a base award of \$1,000 to any student who completes the Utah Scholars course of study with a 3.0 GPA or better (and no individual course grade below a "C"), and a two-year, 75% tuition scholarship to any student who completes the Utah Scholars course of study with a 3.5 GPA Or better and a 26 or higher on the ACT.

Finally, the Board of Regents, as the state agency designated by Governor Huntsman, recently applied for, and received, a College Access Challenge Grant from the U.S. Department of Education that will provide \$866,709 in federal funds to the Office of the Commissioner for a two-year period from 2008 to 2010. Pursuant to the grant proposal, the Office of the Commissioner will use the funds on three focused activities, each of which is designed to substantially increase the percentage of Pell-eligible students in Utah who receive federal Academic Competitiveness Grants (ACGs): 1) joint professional development for high school guidance counselors, college admissions officers, and college financial aid administrators; 2) financial support of the Utah Mentor web site contract, which is funded in large part by UHEAA; and 3) targeted implementation of Utah Scholars and Utah Campus Compact college access activities in 20 low-income high schools along the Wasatch Front.

In sum, Regents' staff has brought approximately \$2.5 million into the Office of the Commissioner since 2006 to promote a substantial college readiness agenda and forge meaningful K-16 partnerships between public schools and USHE institutions. These funds have come from the following sources:

- \$300,000 federal State Scholars Initiative grant (U.S. Dept. of Education/WICHE) (2006)
- \$500,000 one-time state appropriation (Utah Legislature) (2007)
- \$900,000 in state appropriations to fund Regents' Scholarship (2008)
- \$866,708 federal College Access Challenge Grant (U.S. Dept. of Education) (2008)

However, the impact of these funds presents some important strategic planning issues for the Board, because the \$300,000 SSI grant and the one-time \$500,000 appropriation will be gone by July 2009.

### C. Future Plans for Utah Scholars and College Access Initiatives

As we look ahead to the 2008-2009 school year and beyond, we have several goals and tasks ahead, including:

- We will be working closely with our state steering committee and advisory committee that represented Utah Scholars at the first National Summit on Academic Rigor and Relevance in



Boston on April 29-30, 2008, hosted by the U.S. Department of Education and WICHE. The steering committee is chaired by Lisa Vehrenkamp from American Express, who chairs the Salt Lake Chamber's newly formed Education Committee, and also includes Pearl Wright, Director of the Energy Solutions Foundation; Mary Shumway, State Career & Technical Education Director, Utah State Office of Education; Al Church, Principal and CEO, Academy for Math, Engineering & Science; and Melissa Miller Kincart, Associate Program Director, Utah Scholars, and Executive Director of Utah Campus Compact. As part of the Summit, we consulted with national authorities and colleagues in other states to develop policy ideas on how to strengthen academic rigor in high school, and presented a status report on Utah Scholars to the State Scholars Initiative National Advisory Board.

- We will continue implementing R609, the new Regents' policy governing the Regents' Scholarship.
- We will continue refining paper and electronic application and promotional materials to send to parents, secondary schools, business leaders, and other stakeholders informing students about the criteria and application procedures required to become a Utah Scholar and obtain a Regents' Scholarship.
- We will continue working with UHEAA, UESP, and institutional admissions and financial aid officers to coordinate the operational procedures of the Regents' Scholarship including, but not limited to, application processes and timelines, transcript review, disbursement of funds, and data collection.
- We will continue meeting with superintendents and other school officials from school districts across the state in an effort to expand the Utah Scholars program to additional school districts during the 2008-2009 school year.
- We will continue to work with the Salt Lake Chamber, Leadership Dixie, the Utah Hispanic Chamber, and other chambers and business groups across the state to recruit classroom presenters, corporate funding, and political support for Utah Scholars.
- We will continue to form and cultivate strategic partnerships with all higher education institutions in Utah Campus Compact to expand the reach and effect of Utah Scholars.
- We will work to develop and train multiple Utah Scholars steering committees, hopefully connected to USHE institutions, and chaired by business owners or institutional trustees, to facilitate the operation and sustainability of Utah Scholars at the local level.
- We will be working to deliver all of the planned activities and objectives identified in our College Access Challenge Grant proposal with the intent of helping many more low-income students in Utah qualify academically for Academic Competitiveness Grants and plan for college.

#### D. Strategic Planning Issues

As far as planning, the Strategic Planning Committee and the Board should consider several planning and policy issues that are critical to the ongoing success of Utah Scholars, as well as other college access initiatives. These issues include:

- The Board will need to develop a clear plan to obtain ongoing state and/or corporate financial support for the operation of Utah Scholars. While the program has been designed to be a relatively low cost, straightforward program, it is very labor intensive to work with the program's multiple stakeholder groups, including public schools, business leaders, institutions of higher education, and national program authorities. Therefore, a source of continuous revenue will be needed to sustain the lean staff needed to run the program and ensure its consistent implementation throughout the state.
- The Board will need to make ongoing funding for the Regents' Scholarship a top priority in its budget in order to meet the demand for the scholarships.
- The Board will need to carefully consider the merits of the state funding three scholarships (Centennial, New Century, and Regents'), all of which reward different things and which may not all be producing college readiness to the same degree.
- The Board, presidents, and institutional Trustees will need to consider institutional admissions and scholarship requirements at USHE institutions and how such requirements align, or lack alignment, with the curriculum being encouraged by Utah Scholars.
- The Board should continue, in collaboration with the State Board of Education and the Utah K-16 Alliance, to explore various policy options related to Utah high school graduation requirements, including the possibility of a default college-prep curriculum for all students or incentives for school districts that voluntarily adopt more rigorous graduation standards.
- The Board should continue, in collaboration with the State Board of Education and the Utah K-16 Alliance, to explore the feasibility of eliminating Utah's high school assessment program (UBSCT) and replacing it with a universal ACT for all high school students.

#### Commissioner's Recommendation

This item is for information only and requires no action.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd  
Attachments

August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Report on Utah's ACT Test Results for the Class of 2008—Information Item

Issue

One of the data points Utah should celebrate is the fact that Utah high school students perform above the national average on the ACT. Utah students who took the ACT during the 2007-2008 school year obtained an average composite score of 21.8, above the national average of 21.1. However, upon examining the ACT results in fine detail, one uncovers several issues of concern that bear on the "preparation" focus of the Board's strategic agenda.

Background

Two issues are significant with respect to ACT's most recent report on Utah students, which was released on August 13, 2008. First, while the number of Utah students who take the ACT is not inconsequential (and is on the increase), there remains approximately one-third of all Utah high school graduates who do not take the test. Out of the estimated 33,307 Utah high school graduates in the class of 2008, only 22,598 took the ACT. Although some high school graduates will choose to go to community colleges, applied technology colleges, or for-profit technical schools that do not require the ACT for admission, many of these non-test takers are not planning for college and will not enroll in any type of postsecondary education, thus contributing to the general decline in college participation rates in Utah we have observed over the past several years.

Second, most Utah students who take the ACT, and who are therefore ostensibly college-bound, are not prepared academically for college-level work. As part of its assessment services, ACT has established "college readiness benchmarks" for each of the four content areas tested on the ACT—English, reading (social science), science, and mathematics. According to ACT, a "benchmark score is the minimum score needed on an ACT subject-area test to indicate a 50% chance of obtaining a B or higher or about a 75% chance of obtaining a C or higher in the corresponding credit-bearing college courses." In other words, the college readiness benchmarks "reflect a student's probable readiness for college-level work in credit-bearing English Composition, Algebra, Social Science, and Biology courses by the time he or she graduates from high school."

The current college readiness benchmark scores are the following:

- English—18
- Math—22
- Reading (Social Science)—21
- Science—24

Among the 22,598 Utah test-takers in the Class of 2008, only 25% (5,649) were able to meet all four college readiness benchmarks. This means that 75% of Utah test-takers will need to take one or more remedial courses during their first year of college. Most of this remedial work will take place in the content areas of math and science, as only 44% of students met the math benchmark, and only 32% met the benchmark in science.

This failure to meet the college readiness benchmarks is especially troubling for ethnic minority students in Utah. Percentages of African-American and Hispanic students meeting each content-area benchmark are as follows:

| <u>Content-Area Benchmark</u> | <u>% of African-American/Black</u> | <u>% of Hispanic</u> |
|-------------------------------|------------------------------------|----------------------|
| English=18                    | 50%                                | 51%                  |
| Math=22                       | 16%                                | 24%                  |
| Reading=21                    | 33%                                | 38%                  |
| Science=24                    | 11%                                | 15%                  |

Without question, the best way to improve these scores is to provide access and opportunity for all Utah students to complete a rigorous core course of study in high school. ACT and U.S. Department of Education data are clear that course-taking patterns matter, and result not only in significant improvements in ACT scores, but more importantly, in rates of college attendance and degree completion. The Board's continued support of key college preparation initiatives, including Utah Scholars and the Regents' Scholarship, is expected, over time, to bring substantial improvements in the college readiness of Utah students.

#### Commissioner's Recommendation

This item is for information only and requires no action.

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William A. Sederburg  
Commissioner of Higher Education

WAS:dsd

## **SECTION I: ABSTRACT**

The Utah State Board of Regents (“Board”), as the state agency designated by Utah Governor Jon M. Huntsman, Jr. to apply for, and administer College Access Challenge Grant (CACG) funds, submits this application for a two-year CACG in response to the Request for Proposals issued by the U.S. Department of Education, Office of Postsecondary Education, on May 12, 2008. In applying for the CACG, the Board has one overriding goal—to dramatically increase the percentage of Pell-eligible students in Utah who qualify for, and receive, federal Academic Competitiveness Grants (ACGs), from 12.8% (2006-2007) to 35% by 2010. Consistent with this goal, the Board plans to expend grant funds on three principal objectives, one focused on local activities, one focused on regional activities, and one focused on statewide activities.

First, the Board will use a third of the funds for intensive implementation of the Utah Scholars Initiative (State Scholars Initiative) in 20 local high schools with high populations of low-income students in order to help students complete a rigorous core of study in high school that will make them academically eligible for ACGs. Second, the Board will use a third of the funds for a series of regional training workshops, attached to public colleges in the Utah System of Higher Education, to enable college financial aid and admissions counselors, public school guidance counselors, and college outreach program staff to better advise and mentor low-income students and their parents. Third, and finally, the Board will use a third of the funds to defray the costs of the UtahMentor Web site, an highly visible and successful Internet portal that provides a wide array of college access information to Utah high school students throughout the state.

U.S. DEPARTMENT OF EDUCATION  
COLLEGE ACCESS CHALLENGE GRANT PROGRAM (CACGP)

# TITLE PAGE

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a. Legal Name of Applicant Agency<br><br>Utah State Board of Regents                                                                                                                                                                                                           | b. D.U.N.S number: 08-107-0224<br><br>Taxpayer ID Number (TN): 87-6000545                                                                                                      |
| c. Address (include zip):<br><br>Board of Regents Building, The Gateway<br>60 S. 400 W.<br>Salt Lake City, UT 84101                                                                                                                                                            | d. Contact Person<br><br>Name: David S. Doty<br><br>Title: Assistant Commissioner<br><br>Telephone: (801) 321-7111<br><br>Fax: (801) 321-7199<br><br>E-Mail: ddoty@utahsbr.edu |
| e. Type of Applicant: <input checked="" type="checkbox"/> State Agency<br><input type="checkbox"/> Philanthropic Organization (non-profit)                                                                                                                                     |                                                                                                                                                                                |
| f. To the best of my knowledge and belief, all data provided in this application are true and correct. The governing body of the applicant has duly authorized the application and will comply with statutory and regulatory requirements, assurances and certifications, etc. |                                                                                                                                                                                |
| Printed Name and Title of Authorized State Representative:<br>David L. Buhler, Interim Commissioner of Higher Education                                                                                                                                                        | Telephone: (801) 321-7103<br>Fax: (801) 321-7199<br>E-Mail: dbuhler@utahsbr.edu                                                                                                |
| Signature of Authorized State Representative:                                                                                                                                                                                                                                  | Date: June 27, 2008                                                                                                                                                            |

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## **SECTION I: ABSTRACT**

The Utah State Board of Regents (“Board”), as the state agency designated by Utah Governor Jon M. Huntsman, Jr. to apply for, and administer College Access Challenge Grant (CACG) funds, submits this application for a two-year CACG in response to the Request for Proposals issued by the U.S. Department of Education, Office of Postsecondary Education, on May 12, 2008. In applying for the CACG, the Board has one overriding goal—to dramatically increase the percentage of Pell-eligible students in Utah who qualify for, and receive, federal Academic Competitiveness Grants (ACGs), from 12.8% (2006-2007) to 35% by 2010. Consistent with this goal, the Board plans to expend grant funds on three principal objectives, one focused on local activities, one focused on regional activities, and one focused on statewide activities.

First, the Board will use a third of the funds for intensive implementation of the Utah Scholars Initiative (State Scholars Initiative) in 20 local high schools with high populations of low-income students in order to help students complete a rigorous core of study in high school that will make them academically eligible for ACGs. Second, the Board will use a third of the funds for a series of regional training workshops, attached to public colleges in the Utah System of Higher Education, to enable college financial aid and admissions counselors, public school guidance counselors, and college outreach program staff to better advise and mentor low-income students and their parents. Third, and finally, the Board will use a third of the funds to defray the costs of the UtahMentor Web site, an highly visible and successful Internet portal that provides a wide array of college access information to Utah high school students throughout the state.

## SECTION II: PROJECT NARRATIVE INFORMATION

### I. INTRODUCTION

The Utah State Board of Regents (“Board”), as the state agency designated by Utah Governor Jon M. Huntsman, Jr. to apply for, and administer College Access Challenge Grant (CACG) funds, submits this application for a two-year CACG in response to the Request for Proposals issued by the U.S. Department of Education, Office of Postsecondary Education, on May 12, 2008. As described in the Abstract, the Board desires to accomplish one overriding goal with its CACG funds, which is to dramatically increase the percentage of Pell-eligible students in Utah who qualify for, and receive, federal Academic Competitiveness Grants (ACGs), from 12.8% (2006-2007) to 35% by 2010. Consistent with this goal, the Board plans to expend grant funds on three principal objectives, one focused on local activities, one focused on regional activities, and one focused on statewide activities.

### II. PROPOSAL

Consistent with the allowable uses outlined in the CACG legislation and grant application, the Board plans to expend grant funds (which are estimated to be \$433,354 per year, or \$866,708 total for Utah, according to the CACG Tentative Allocation Table published in January 2008) for the following core objectives and activities.

#### **A. OBJECTIVE #1: Increase the Number of Utah Pell-Eligible, First-Time College Students Completing the FAFSA and Qualifying for Academic Competitiveness Grants by Strengthening the Advising Capabilities of Public College Admissions and Financial Aid Counselors, Public School Guidance Counselors, and College Access Program Staff**

As a first priority, approximately one-third of the grant funds (\$283,354) will be used for targeted, focused professional development workshops and other activities designed to strengthen the advising capabilities of public college admissions and financial aid counselors, public school guidance counselors, and college, middle school, and high school staff working on



college access programs for low-income students (e.g., GEAR UP, TRIO, ETS, Upward Bound, Jack Kent Cooke College Advising Corps, etc.) to help secondary school students qualify for Academic Competitiveness Grants and complete the FAFSA. Specifically these funds will be used for the following activities:

## **1. ACTIVITIES**

### **Activity #1: Professional Development for Public School Guidance Counselors, College Outreach Staff, Financial Aid Administrators, and College Admissions Staff**

The Board will develop and deliver twelve (12) regional training workshops (6 each year), at which public college financial aid and admissions counselors, public school guidance counselors, and college access program staff (e.g., GEAR UP, TRIO, ETS, AVID, Upward Bound, Jack Kent Cooke College Advising Corps, Campus Compact service learning volunteers, etc.) will be jointly trained on: a) the importance of a high-rigor curriculum for all high school students, with emphasis on the Utah Scholars (State Scholars) core curriculum; b) the academic requirements and application process for Academic Competitiveness Grants (ACGs) and SMART Grants; c) the UtahMentor web site ([www.utahmentor.org](http://www.utahmentor.org)) and its college and career preparation tools; d) the process for completing the Free Application for Federal Student Aid (FAFSA); and e) scholarship, grant, and other state financial aid opportunities available to Utah students.

These workshops will be held at five different public colleges in the Utah System of Higher Education each year, as follows: Northern Utah (Utah State University or Weber State University); Salt Lake City metro area (University of Utah or Salt Lake Community College); Utah County (Utah Valley University); Central/Eastern Utah (Snow College or College of Eastern Utah); and Southern Utah (Southern Utah University or Dixie State College). In addition, the sixth workshop each year will be held in conjunction with the Utah State Office of

Education's annual Comprehensive Guidance and Counseling Program Conference for all secondary school guidance counselors in June.

This activity will be a natural extension of guidance counselor training on financial literacy and financial preparation for college that employees of the Utah Higher Education Assistance Authority, the nonprofit student loan organization affiliated with, and under the supervision of, the Board of Regents, together with campus financial aid officers, have already undertaken across the state in numerous local school districts. CACG funds will allow those involved with these ongoing UHEAA outreach efforts to expand their efforts to many more schools, and to collaborate with the Office of the Commissioner of Higher Education, college outreach staff at Utah's public colleges and universities, admissions and financial aid staff, and local school district officials to present a unified, comprehensive message on academic, financial, and social preparation for college.

**Activity #2: Statewide Summit on Academic and Financial Preparation for College**

A second activity to be undertaken with this portion of the CACG funds is a statewide summit on academic and financial preparation for college during the 2008-2009 academic year. Invitees will include school superintendents, middle school and high school principals and guidance counselors, local school board members, PTA representatives, state legislators, the Office of the Governor, the State Superintendent of Public Instruction and members of the State Board of Education, members of the State Board of Regents, college presidents, college financial aid and admissions officers, business leaders, religious leaders, and representatives of the media.

The summit will include presentations from local, regional, and national authorities on issues related to high school reform, college savings and financial aid, and college access for underrepresented groups, focusing the following topics:

- the importance of completing a rigorous course of study in high school to college enrollment and completion;
- the importance of saving for college;
- the importance and availability of grant, loan, and merit aid for prospective students;
- strategies for engaging college students, college faculty, and community members in service opportunities directed at increasing college access among underrepresented groups.

Participants will also have the opportunity to collaborate in small work groups to develop ideas and strategies for action directed at increasing the number of Utah students adequately preparing for college.

### **Activity #3: Development and Publication of Implementation Manual**

A third activity to be undertaken with this portion of the CACG funds is the development and publication of an implementation manual, in both paper and electronic formats, for use as an ongoing college access resource by those working with low-income students in outreach activities.

### **Activity #4: Development and Publication of Student and Parent Materials**

A fourth activity to be completed with this portion of the CACG funds is Development and publication of brochures, flyers, posters, and other materials (in both English and Spanish) to be used by college outreach staff and public school guidance counselors with students and parents to encourage college preparation and participation. These materials will present concise, clear information on:

- the academic eligibility requirements for Academic Competitiveness Grants and SMART Grants, with particular emphasis on the Utah Scholars core course of study (State Scholars Initiative);
- two merit scholarships available to Utah students: 1) the Regents' Scholarship (available to students who complete the Utah Scholars rigorous core course of study in high school); and 2) the New Century Scholarship (available to students who complete the requirements of an associate's degree by the time they graduate from high school);
- the UtahMentor web site ([www.utahmentor.org](http://www.utahmentor.org)) and how to access its tools and utilities;
- free ACT and other test preparation services available to low income students; and
- services available to students who need assistance completing the FAFSA or college admissions applications.

#### **Activity #5: Development of Web-Based Resources to Assist Higher Education and Public School Outreach Staff**

Fifth, and finally, the Board will use this portion of the CACG funds to develop Web content specifically designed for public school guidance counselors, college financial aid and admissions staff, and college access program staff that incorporates the core elements of the training workshops, provides on-line refresher training, and delivers access to key research and policy information support, as well as best practices, related to college preparation and access for low income students.

## **2. PROPOSED OUTCOMES**

The anticipated outcomes based on the implementation of these services and activities are the following:

- 2009 and 2010 survey results of participants in the regional training workshops indicating that 95% of participants are more knowledgeable, after the training, about how to advise students on academic and financial preparation for college.
- An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.
- A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.

**B. OBJECTIVE #2: Increase the Number of Utah Pell-Eligible, First-Time College Students Completing the FAFSA and Qualifying for Academic Competitiveness Grants by Expanding Early Awareness of College and Accessibility of College Access Information Through Successful College Access Web Portal**

Second, approximately one-third of the grant funds (\$300,000) will be used to support the costs of an established, successful on-line college access Web portal utilized by the Board of Regents and its affiliate programs called UtahMentor. Since its inception in 2002, [www.utahmentor.org](http://www.utahmentor.org) has been the premier source of information for high school students, parents, and guidance counselors on college and career planning, college preparation, and financial aid. The site has become so popular and so well-used that in February 2008 it received a record 2.9 million hits.

**1. ACTIVITIES**

**Activity #1: Financial Support for the UtahMentor College Access Web Site**

The UtahMentor web site and its utilities are developed and managed by XAP Corporation, a company with which the Utah Higher Education Assistance Authority (UHEAA), an affiliate department of the Utah System of Higher Education under the supervision of the

Board of Regents, contracts. The current two-year contract, which continues XAP involvement with the UtahMentor web site from July 2008 to July 2010, requires payment of \$1,344,855 by the UtahMentor Contract Consortium, which is a partnership between UHEAA and several other state agencies and programs, including the Utah State Board of Education, the Utah Department of Workforce Services, and the state-wide GEAR UP program at Utah Valley University. Under the current contract, each of the participating entities will pay the following amounts over the next two years:

UHEAA: \$900,888

Department of Workforce Services: \$70,000

Utah Valley University—GEAR UP: \$24,360

Utah State Board of Education: \$349,607

Due to the ongoing student loan crisis and the resulting significant decline in revenue facing UHEAA, the Board proposes that \$300,000 of the CACG funds allocated to Utah be dedicated to defraying UHEAA's \$900,888 share of the UtahMentor contract for fiscal years 2008-2009 and 2009-2010. This expenditure of grant funds will ensure the continued viability of an outstanding, well-recognized college access tool that already has a visible and effective state-wide presence.

**Activity #2: Enhancement of UtahMentor Content and Utilities Specifically Geared to Low-Income Students**

In addition, the Board proposes that part of the funds dedicated to the UtahMentor contract be used, as needed, to revise or enhance the content on UtahMentor to ensure that it is relevant, clear, and user-friendly for low-income students who are the target focus of the CACG. Besides defraying costs of the overall contract, CACG funds will be used to add more information to UtahMentor about Academic Competitiveness Grants and SMART Grants, state

scholarships and recognitions tied to the completion of a rigorous core of study in high school, local and regional college access outreach activities, and service opportunities for college students, college faculty, and community members who might be interested in tutoring or mentoring high school and first-year college students.

## **2. PROPOSED OUTCOMES**

The anticipated outcomes based on the implementation of these services and activities are the following:

- A minimum 15% increase in the usage of the UtahMentor web site (e.g., monthly hits, student accounts, etc.) between August 2008 and August 2010.
- An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.
- A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.

### **C. OBJECTIVE #3: Increase the Number of Utah Pell-Eligible, First-Time College Students Who Complete the FAFSA and Qualify for Academic Competitiveness Grants Through Targeted Implementation of the State Scholars Initiative at High Schools with Large Numbers of Low-Income and At-Risk Students**

Third, and finally, approximately one-third of the CACG funds allocated to Utah (\$283,354) will be used to increase the number of low-income and disadvantaged Utah high school students arriving at college with the academic and social/emotional competencies to be successful in the college environment. This objective will be accomplished through a number of related activities.

## **B. ACTIVITIES**

### **Activity #1: Implementation of Utah Scholars in 20 High School Feeder Systems with High Populations of Low-Income Students**

The most important activity to accomplish this objective will be to encourage low-income Utah high school students to complete a rigorous course of study in high school. This will be done by expanding and implementing the Utah Scholars Initiative in 20 high school feeder systems with high populations of low-income and minority students.

In March 2006, the Utah K-16 Alliance applied for, and received, a \$300,000 two-year State Scholars Initiative grant from the U.S. Department of Education and the Western Interstate Commission for Higher Education (WICHE). Acting as fiscal agent for the grant, the Board of Regents and the Office of the Commissioner of Higher Education has implemented a very successful Utah Scholars program, which is based on national research confirming that the “academic intensity of the student’s high school curriculum still counts more than anything else in precollegiate history in providing momentum toward completing a bachelor’s degree.”<sup>1</sup> Indeed, research “shows that a high-quality, rigorous high school curriculum is especially important for African American and Latino students in terms of their completing a college degree.”<sup>2</sup>

Over the past two years (2006-2008) the Board has achieved a number of substantial accomplishments with the Utah Scholars initiative, including:

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<sup>1</sup> Clifford Adelman, *The Toolbox Revisited: Paths to Degree Completion from High School to College* (U.S. Dept. of Ed., Feb. 2006), at xviii.

<sup>2</sup> Michael W. Kirst & Andrea Venezia, *From High School to College: Improving Opportunities for Success in Postsecondary Education* (Jossey-Bass, 2004), p. 300.



- presenting the U.S. Department of Education’s State Scholars Initiative classroom presentation to nearly 20,000 8<sup>th</sup> and 9<sup>th</sup> grade students in approximately 75 middle schools and high schools;
- recruiting and training over 100 business, community, and higher education leaders to deliver the State Scholars classroom presentation and speak about the initiative to their peers and colleagues;
- receiving a \$500,000 one-time appropriation from the Utah Legislature during its 2007 General Session to expand and sustain the program;
- receiving a \$900,000 appropriation from the Utah Legislature during its 2008 General Session to establish a “Regents’ Scholarship” connected to completion of the Utah Scholars core course of study.

However, because Utah’s federal State Scholars grant will end in March 2009, it is imperative that the Board secure funding from a variety of sources to ensure the program’s continued viability and expand its reach to more schools with high populations of low-income and minority students.

The most important activity to be done under this objective will be intensive implementation of Utah Scholars in twenty (20) high school feeder systems along the Wasatch Front (Ogden to Provo) corridor with the highest proportions of low income students and the lowest college-going rates. The following high schools, together with their feeder middle schools, have been identified as the targets for Utah Scholars implementation with CACG funds: Ben Lomond High School and Ogden High School (Ogden City School District); Clearfield High School, Layton High School, and Syracuse High School (Davis School District); East High School, West High School, and Highland High School (Salt Lake City School District); Copper

Hills High School, Hillcrest High School, and West Jordan High School (Jordan School District); Murray High School (Murray School District); Mountain View High School and Orem High School (Alpine School District); and Provo High School (Provo City School District).

Because the State Scholars Initiative core course of study is recognized by the U.S. Department of Education as a “rigorous course of study in high school” qualifying students for Academic Competitiveness Grants, this targeted effort will be critical to increasing the numbers of low-income students who receive ACGs in Utah.

### **Activity #2: Development and Publication of Utah Scholars Materials for Students and Parents**

This portion of the CACG funds will also be used to develop, publish, and distribute Utah Scholars materials, including but not limited to: student and parent brochures and forms; training manuals and CDs for guidance counselors and business leaders; Utah Scholars medallions and certificates; and newsletters.

### **Activity #3: Enhancement and Maintenance of Utah Scholars Web Site**

In addition to enhancing and expanding usage of the UtahMentor Web site, CACG funds will also be used to edit, improve, and manage the Utah Scholars Web site ([www.utahscholars.org](http://www.utahscholars.org)). The Utah Scholars Web site will be linked to the UtahMentor Web site and will serve as the central point of information on academic preparation for college in Utah.

### **Activity #4: University of Utah College Readiness/Student Success Project**

A fourth use of this portion of the CACG funds will be financial support for a College Readiness/Student Success Initiative project conducted in partnership between the Office of the Commissioner of Higher Education, Utah Scholars, the University of Utah College of Education, and the Granite School District to develop and pilot a college readiness/student success project

that will target the non-cognitive and motivational determinants of college readiness in low-income and underrepresented school populations.

This project will be grounded in research indicating that multiple non-cognitive psychosocial factors (e.g., achievement motivation, academic goals, institutional commitment, perceived social support, social involvement, academic self-efficacy, contextual influences, and general self-concept about academic-related skills) account for variance in college academic performance and post-secondary persistence beyond that accounted for by past academic performance (high school GPA) and standardized test scores (ACT/SAT scores). The project's key element will be the administration of ACT's "Student Readiness Inventory (SRI)," a 10-scale inventory that measures high school students' motivation, social engagement, and self-management, to students in selected Granite high schools. Having been found to be a reliable instrument for identifying high risk college students and college performance, especially during the first and second years, the data produced by this assessment will help guidance counselors, Utah Scholars staff, GEAR UP, AVID, and other college outreach staff to promote college aspirations among students who may not have considered post-secondary education as a possible option.

In addition, the project will develop short curriculum components and homework activities to help teachers reinforce student readiness concepts in the context of regular coursework, comprehensive guidance curriculum modules for delivery within the regular guidance program, and parent and teacher training workshops to reinforce college readiness efforts at home and in the classroom.

### **Activity #5: Utah Campus Compact Service-Learning and Community Engagement Projects Related to Student Access and Success**

Finally, this objective will be accomplished by providing financial support to both existing and yet-to-be developed campus service-learning and community engagement projects, sponsored by Utah Campus Compact (UCC), directed at improving college access and success among low-income and underrepresented groups. The national Campus Compact, which includes Utah and 32 other state affiliate members, has made bridging the opportunity gap through educational access and success one of its top priorities. Explaining why colleges and universities should focus their service-learning and community engagement efforts on access and success issues, national leaders of Campus Compact have stated: “The divide between the rich and poor continues to grow in our nation, with immigrant and minority populations being particularly hard hit. This divide is reflected in students’ access to, and success in college. . . . A college education is a major predictor not only of individual economic and social improvement but also of civic participation (voting, volunteering, keeping abreast of public issues).”<sup>3</sup>

Based on this philosophy, Utah Campus Compact (UCC), a coalition of all 13 of Utah’s public and private non-profit colleges and universities, recently adopted a new five-year strategic plan to implement its mission, which is to “link and support Utah’s colleges and universities in promoting civic engagement and preparing students for responsible citizenship.” One of the two main goals of UCC under this plan is to “provide leadership and leverage resources that assist interested member institutions in creating and maintaining programs that promote higher education initiatives with statewide importance,” and for 2008-2013 UCC will focus on an Access and Success Initiative. The strategic plan defines Access and Success as “helping disadvantaged elementary, middle school, high school, and first-year college students obtain the

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<sup>3</sup> Barbara Holland & Elizabeth Hollander, *The Next Twenty Years—The Framing Essay* (Campus Compact, Feb. 2006).

fundamental academic, social, and financial skills they need to matriculate in a postsecondary institution of their choice and experience meaningful progress toward a degree or certificate within their first twelve months of enrollment.”

Consequently, UCC’s mission and strategic plan are well aligned with the purposes of the CACG legislation, and the Board proposes that part of the CACG funds be used to financially support both existing and new campus-based service-learning and community engagement projects that target college access for low-income students. Such projects may include but not be limited to:

- A tutoring/mentoring service and learning program delivered by faculty, staff, and students at Weber State University to low-income students at Mt. Ogden Middle School in Ogden, Utah.
- A service and learning program designed to help low-income students at East High School in Salt Lake City prepare for the ACT and college admission, delivered by students at the University of Utah and Westminster College.
- A community engagement initiative delivered by faculty, staff and students at Utah Valley University to low-income Hispanic students in several middle schools and high schools in the Alpine and Provo school districts. This program involves a variety of college outreach efforts by Utah Valley University and a partnership with the Office of the Commissioner and Campus Compact to tutor and mentor Latino students striving to complete the Utah Scholars rigorous high school core.

### **C. PROPOSED OUTCOMES**

The anticipated outcomes based on the implementation of these services and activities are the following:

- An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.
- A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.
- A minimum of 20 low-income students per year in each of the 20 targeted high schools (400 students total each year) qualifying as Utah Scholars and recipients of the Regents' Scholarship in academic years 2008-2009 and 2009-2010.
- Providing the Utah Scholars classroom presentation to at least 25,000 middle school and high school students statewide per year during academic years 2008-2009 and 2009-2010.
- Development of tools for public school guidance counselors, parents, and higher education officials to help at-risk students strengthen the social, emotional, and other non-cognitive skills they need to succeed in postsecondary education.
- Implement and/or strengthen at least five (5) service-learning and community engagement projects through Utah Campus Compact designed to increase postsecondary access and success among low-income students.

### **III. ANSWERS TO SPECIFIC PROGRAM NARRATIVE QUESTIONS**

- 1. Please provide a description of the capacity and structure that the State has in place to administer the authorized services and activities, or the State's plan to develop such administrative capacity.**

The Board currently has the administrative capacity and structure to deliver the proposed services and activities. First, the Board has senior- and middle-level staff currently directing the

Utah Scholars Initiative who are experienced with all aspects of implementing this program with local public schools and business leaders. Second, the Board has experienced college outreach personnel, employed with the Utah Higher Education Assistance Authority (UHEAA), who are experienced with the use of UtahMentor and who deliver trainings on its use to parents, guidance counselors, and students across the state. Third, the Board has experienced staff, in both the Office of the Commissioner and UHEAA, who are well-connected with, and able to deliver high-quality training to, college admissions and financial aid personnel, public school guidance counselors, and staff of GEAR UP, TRIO, AVID, etc. Fourth, and finally, the Board, together with the public institutions of higher education which it governs, has the data personnel, institutional research personnel, and data systems (including Banner and PeopleSoft) with the capability of collecting and tracking relevant data to show progress toward the goals identified in this proposal.

- 2. In the case of a philanthropic organization that operates in more than one State, please describe plans to use funding to benefit students in each State for which your organization is applying for grant funds.**

Not applicable.

- 3. Describe briefly the record keeping system for collecting and reporting student outcome/achievement data and participation in services and activities. Specifically, what method(s) will your project use to collect and maintain student and family participation in activities and outcome data?**

The Board will utilize a number of different methods to collect and maintain activities and outcome data. First, the Board will utilize its Utah Scholars staff (including dedicated data personnel) and guidance counselors at participating high schools to collect and track data on the numbers of students who receive the Utah Scholars classroom presentation, the number of students who sign up to participate in Utah Scholars, and the number of students who complete the Utah Scholars core curriculum. Second, the Board will rely on data tracking utilities already

in use with the UtahMentor Web program to collect and data on UtahMentor usage (monthly hits, student accounts created, etc.). Third, the Board will rely on college financial aid officers to collect and track the numbers of Utah first-time college students who file a completed FAFSA, which they can do through campus-based Banner and PeopleSoft student information systems. Fourth and finally, the Board will rely on college outreach managers working with the Utah Higher Education Assistance Authority and the Office of the Commissioner of Higher Education to collect and track data on regional and local training workshops for college admissions and financial aid officers, public school guidance counselors, and college outreach program staff. Data collected will include data on numbers of participants and survey data on the effectiveness of the training.

4. **If States plan to make sub-grants to non-profit organizations (partnership), describe the process for awarding and monitoring sub-grants to non-profit organizations (i.e., soliciting applications, application review process, timelines, selection criteria, technical assistance, site visits, progress reports, etc.).**

Not applicable.

5. **Please list below the entities (State and local, philanthropic and other organizations) that will be actively involved in providing activities and services.**

Entities that will be actively involved in providing the activities and services described in this proposal include:

Office of the Commissioner of Higher Education; Utah Higher Education Assistance Authority (UHEAA); Utah Campus Compact; University of Utah College of Education; Statewide GEAR UP—Utah Valley University; TRIO; AVID; ETS; University of Utah College Advising Corps (funded with Jack Kent Cooke grant); Weber State University; Westminster College; Utah Valley University.



### SECTION III: GOALS AND OBJECTIVES FORM

Please provide a detailed description of the activities and services that the State plans to provide using CACGP funding in order to address the needs of underrepresented students.

| A. GOALS AND OBJECTIVES                                                                                                                                                                                                                                                                                                                                          | B. ACTIVITIES AND SERVICES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | C. PROPOSED OUTCOMES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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| <p><b>Please provide measurable goals and objectives.</b></p>                                                                                                                                                                                                                                                                                                    | <p><b>List the activities and services that will be conducted to accomplish the goals and objectives.</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <p><b>List anticipated outcomes based on the implementation of services and activities.</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <p>Example: To increase underrepresented students' and families' knowledge of postsecondary education financial options.</p>                                                                                                                                                                                                                                     | <p>Example: conduct informational workshops with parents and students to share sources and availability of financial aid; develop materials/handouts outlining financial aid opportunities.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p>Example: 2011 survey results (85% participation rate) indicate that 95% of participating students are more knowledgeable about financial aid opportunities.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <p><b><u>Objective #1:</u></b><br/>Increase the number of Utah Pell-eligible, first-time college students completing the FAFSA and qualifying for Academic Competitiveness Grants by strengthening the advising capabilities of public college admissions and financial aid counselors, public school guidance counselors, and college access program staff.</p> | <p><b><u>Activities:</u></b></p> <ol style="list-style-type: none"> <li>1. Professional Development for Public School Guidance Counselors, College Outreach Staff, Financial Aid administrators, and College Admissions Staff. (see narrative above).</li> <li>2. Statewide Summit on Academic and Financial Preparation for College. (see narrative above).</li> <li>3. Development and Publication of Implementation Manual. (see narrative above).</li> <li>4. Development and Publication of Student and Parent Materials. (see narrative above).</li> <li>5. Development of Web-Based Resources to Assist Higher Education and Public School Outreach Staff. (see narrative above).</li> </ol> | <p><b><u>Outcomes:</u></b></p> <ol style="list-style-type: none"> <li>1. 2009 and 2010 survey results participants in the regional training workshops indicating that 95% of participants are more knowledgeable, after the training, about how to advise students on academic and financial preparation for college.</li> <li>2. An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.</li> <li>3. A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 year.</li> </ol> |

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| <p><b><u>Objective #2:</u></b><br/> Increase the number of Utah Pell-eligible, first-time college students completing the FAFSA and qualifying for Academic Competitiveness Grants by expanding early awareness of college and accessibility of college access information through Utah's successful college access web portal (UtahMentor).</p> | <p><b><u>Activities:</u></b><br/> 1. Financial Support for the UtahMentor College Access Web Site. (see narrative above).<br/> 2. Enhancement of UtahMentor Content and Utilities Specifically Geared to Low Income Students. (see narrative above).</p> | <p><b><u>Outcomes:</u></b><br/> 1. A minimum 15% increase in the usage of the UtahMentor web site (e.g., monthly hits, student accounts, etc.) between August 2008 and August 2010.<br/> 2. An increase in the percentage of the Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.<br/> 3. A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 academic year.</p> |
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| <p><b><u>Objective #3:</u></b><br/> Increase the number of Utah Pell-eligible, first-time college students completing the FAFSA and qualifying for Academic Competitiveness Grants through targeted implementation of the State Scholars Initiative at high schools with large numbers of low-income and at-risk students.</p> | <p><b><u>Activities:</u></b></p> <ol style="list-style-type: none"> <li>1. Implementation of Utah Scholars in 20 High School Feeder Systems with High Populations of Low-Income Students. (see narrative above).</li> <li>2. Development and Publication of Utah Scholars Materials for Students and Parents. (see narrative above).</li> <li>3. Enhancement and Maintenance of Utah Scholars Web Site. (see narrative above).</li> <li>4. University of Utah College Readiness/Student Success Project. (see narrative above).</li> <li>5. Utah Campus Compact Service-learning and Community Engagement Projects Related to Student Access and Success. (see narrative above).</li> </ol> | <p><b><u>Outcomes:</u></b></p> <ol style="list-style-type: none"> <li>1. An increase in the percentage of Utah Pell-eligible students qualifying for Academic Competitiveness Grants from 12.8% (2006-2007) to 35% by the 2010-2011 academic year.</li> <li>2. A minimum 20% increase in the number of Utah first-time college students filing a completed FAFSA between the 2007-2008 academic year and the 2009-2010 year.</li> <li>3. A minimum of 20 low-income students per year in each of the 20 targeted high schools (400 students total each year) qualifying as Utah Scholars and recipients of the Regents' Scholarship in academic years 2008-2009 and 2009-2010.</li> <li>4. Providing the Utah Scholars presentation to at least 25,000 middle school and high school students statewide per year during academic years 2008-2009 and 2009-2010.</li> <li>5. Development of tools for public school guidance counselors, parents, and higher education officials to help at-risk students strengthen the social, emotional, and other non-cognitive skills they need to succeed in postsecondary education.</li> <li>6. Implement and/or strengthen at least (5) service-learning and community engagement projects through Utah Campus Compact designed to increase postsecondary access and success among low-income students.</li> </ol> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## SECTION IV: BUDGET SUMMARY FORM

Please provide a complete summary of proposed expenditures (Federal and non-Federal) for each budget year.

| Budget Categories                                                                    | PROJECT YEAR 1   |                  | PROJECT YEAR 2   |                  | TOTAL              |
|--------------------------------------------------------------------------------------|------------------|------------------|------------------|------------------|--------------------|
|                                                                                      | FEDERAL          | NON-FEDERAL      | FEDERAL          | NON-FEDERAL      |                    |
| 1. Salaries and Wages                                                                |                  |                  |                  |                  |                    |
| 2. Employee Benefits                                                                 |                  |                  |                  |                  |                    |
| 3. Travel                                                                            | \$25,000         |                  | \$25,000         |                  | \$50,000           |
| 4. Materials and Supplies                                                            | \$85,000         |                  | \$85,000         |                  | \$170,000          |
| 5. Consultants & (                                                                   | \$190,000        | \$108,176        | \$190,000        | \$108,176        | \$596,352          |
| 6. Other                                                                             | \$133,354        |                  | \$133,354        |                  | \$266,708          |
| <b>A. Total Direct Costs:</b><br>(Sum of lines 1-6)                                  | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$1,083,060</b> |
| <b>B. Total Indirect Costs:</b><br>(cannot be greater than 8% of Total Direct Costs) |                  |                  |                  |                  |                    |
| <b>C. Equipment</b>                                                                  |                  |                  |                  |                  |                    |
| <b>D. Scholarships/Tuition Assistance</b>                                            |                  |                  |                  |                  |                    |
| <b>E. TOTAL REQUESTED</b><br>A + B + C + D                                           | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$433,354</b> | <b>\$108,176</b> | <b>\$1,083,060</b> |

*A grantee may use not more than 6 percent of the total amount of the sum of Federal funds and non-Federal funds for administrative purposes.*

If you are requesting reimbursement for indirect costs on line B, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_ Yes \_\_\_X\_\_\_ No  
 If yes, please provide the following information: Period Covered by the Indirect Cost Rate Agreement:  
 From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)  
 Approving Federal agency: \_\_\_ ED \_\_\_ Other (please specify): \_\_\_\_\_
- (2) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: \_\_\_ Is included in your approved Indirect Cost Rate Agreement? or \_\_\_ Complies with 34 CFR 76.564(c)(2)?

## BUDGET NARRATIVE

Please provide a justification for each budget category addressing Federal and non-Federal expenditures.

| <b>BUDGET CATEGORY</b>     | <b>FEDERAL EXPENDITURE</b>                                                                                                                                                                                                                                                                                                                                                                                             | <b>NON-FEDERAL EXPENDITURE</b>                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Salaries and Wages      | N/A                                                                                                                                                                                                                                                                                                                                                                                                                    | N/A                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 2. Employee Benefits       | N/A                                                                                                                                                                                                                                                                                                                                                                                                                    | N/A                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 3. Travel                  | State and local travel (hotel, gas, mileage, per diem, etc...) for college outreach and outreach personnel to conduct/attend regional professional development workshops and Utah Scholars activities (classroom presentations, parent meetings, business leader trainings, etc.) as needed. Funds to attend one or two national professional development workshops (i.e., FSA, NCAN, State Scholars Initiative, etc.) | State and local travel (hotel, gas, mileage, per diem, etc...) for college access and outreach personnel to conduct/attend regional professional development workshops and Utah Scholars activities (classroom presentations, parent meetings, business leader trainings, etc.) as needed. Funds to attend one or two national professional development workshops (i.e., FSA, NCAN, State Scholars Initiative, etc.) |
| 4. Materials and Supplies  | Printing and distribution of college access and preparation materials, and Utah Scholars materials (brochures, newsletters, policy briefs, CDs, etc.) in English and Spanish for use in regional training workshops and in identified districts/schools involved with CACGP.                                                                                                                                           | N/A                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 5. Consultants & Contracts | \$380,000 of the CACG funds will be used for two contractual purposes: 1) \$300,000 to defray the Board's share of a two-year contract with UtahMentor, Utah's official Web-based college access portal (career exploration, test prep, scholarship research, college applications and admission information, FAFSA, financial aid, etc.); and 2) \$80,000 to pay for the cost of                                      | The Board, in conjunction with the Utah Higher Education Assistance Authority, will contribute \$216,352 toward the UtahMentor contract over the two-year period of the grant, which will represent the Board's 1/3 state match of the total \$866,708 in federal CACG funds Utah expects to receive.                                                                                                                |

|                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |     |
|-----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
|                                   | communications/marketing professionals to develop/design printed materials and Web content to be used with the project.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |     |
| 6. Other                          | \$266,708 of the CACG funds will be used in a variety of activities described under Objective #3, as follows: 1) \$150,000 to support a statewide summit and targeted implementation of the Utah Scholars Initiative in 20 Wasatch Front high school feeder systems; 2) \$35,000 to support implementation of University of Utah College of Education's Student Success Initiative for low-income first-time college students; 3) \$60,000 to support Utah Campus Compact service learning and community engagement projects targeting college access and success among low-income students; 4) \$21,708 to support the costs of data collection and evaluation. | N/A |
| 7. Equipment                      | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | N/A |
| 8. Indirect Costs                 | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | N/A |
| 9. Scholarship/Tuition Assistance | N/A                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | N/A |

## **SECTION V – GOVERNOR’S LETTER**

Please include a signed letter from the Governor designating the agency that is responsible for administering the CACGP grant (attached).

## SECTION VI – PROGRAM ASSURANCES

The State makes the following assurances that it has policies and procedures in place as required by Title VII, Part E of Higher Education Act of 1965, as amended. Please put ‘**yes**’ (if assurance is given) or ‘**no**’ (if assurance cannot be given) next to the corresponding assurance. If you put ‘**no**’, please provide a date in the column for which the State will complete changes in order to provide assurance.

| Yes | No | Assurances Related to Policies and Procedures                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| X   |    | 1. States will give priority to students and families who are living below the poverty line applicable to students’ family size.                                                                                                                                                                                                                                                                                                                                                                                         |
| X   |    | 2. States must make activities and services available to all qualifying students and families regardless of a) choice of postsecondary institution; b) type of student loan received; c) server of such loan; and d) student’s academic performance.                                                                                                                                                                                                                                                                     |
| X   |    | 3. States will include in any information about financing options for higher education provided through an activity or service:<br><br>a. the availability of federal, state, local institutional, and other grants and loans for postsecondary education; and<br><br>b. information on financial assistance for postsecondary education that is not provided under title IV of the Higher Education Act of 1965 in a manner that is clearly distinct from information on student financial assistance under such title. |
| X   |    | 4. States will ensure that sub-grantees have been in existence prior to September 27, 2007 and have experience in implementing activities and services related to increasing access to higher education.                                                                                                                                                                                                                                                                                                                 |
| X   |    | 5. The State will disclose when making a payment to an eligible not-for-profit holder in the State: the name of the holder and the nature of the holder’s work in connection with any of the activities carried out, or any information or services provided with funds.                                                                                                                                                                                                                                                 |
| X   |    | 6. States will not use funds to promote any lender’s loans.                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| X   |    | 7. States will not use more than 6 percent of the total amount of the sum of Federal funds and non-Federal funds for administrative purposes.                                                                                                                                                                                                                                                                                                                                                                            |

## SECTION VII – STANDARD ASSURANCE FORMS



Please fill out the assurance forms presented in this section according to instructions. These forms must be signed and mailed, along with the title page, to the mailing address listed on Page 14 of this application.

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
11. Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
12. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other

aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction (0348-0046), Washington, DC 20503

Project

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                    |                                                                                                                                                                                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. Type of Federal Action:</b><br>_____ a. contract<br>_____ b. grant<br>_____ c. cooperative agreement<br>_____ d. loan<br>_____ e. loan guarantee<br>_____ f. loan insurance                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>2. Status of Federal Action:</b><br>_____ a. bid/offer/application<br>_____ b. initial award<br>_____ c. post-award                             | <b>3. Report Type:</b><br>_____ a. initial filing<br>_____ b. material change<br><br><b>For material change only:</b><br>Year _____ quarter _____<br>Date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br>_____ Prime      _____ Subawardee<br>Tier _____, if known:<br><br><br><b>Congressional District, if known:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b><br><br><br><br><br><b>Congressional District, if known:</b> |                                                                                                                                                                                |
| <b>6. Federal Department/Agency:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <b>7. Federal Program Name/Description:</b><br><br><br>CFDA Number, if applicable: _____                                                           |                                                                                                                                                                                |
| <b>8. Federal Action Number, if known:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>9. Award Amount, if known:</b><br><br>\$                                                                                                        |                                                                                                                                                                                |
| <b>10. a. Name and Address of Lobbying Registrant</b><br><i>(if individual, last name, first name, MI):</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a) (last name, first name, MI):</i>                        |                                                                                                                                                                                |
| <b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> | <b>Signature:</b> _____<br><b>Print Name:</b> _____<br><b>Title:</b> _____<br><b>Telephone No.:</b> _____ <b>Date:</b> _____                       |                                                                                                                                                                                |
| <b>Federal Use Only</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>Authorized for Local Reproduction</b><br><b>Standard Form - LLL (Rev. 7-97)</b>                                                                 |                                                                                                                                                                                |

## CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

|                                                     |                                       |
|-----------------------------------------------------|---------------------------------------|
| NAME OF APPLICANT                                   | PR/AWARD NUMBER AND / OR PROJECT NAME |
| PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE |                                       |
| SIGNATURE                                           | DATE                                  |

ED 80-0013

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

### PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-

based pain in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

|                                             |       |                |
|---------------------------------------------|-------|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |                |
| APPLICANT ORGANIZATION                      |       | DATE SUBMITTED |

**Standard Form 424B (Rev. 7-97) Back**



April 18, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Amendments to R203 (Search Committee Appointment and Function)--Action Item

Issue

The Board's policy governing the appointment and function of presidential search committees needs minor modifications to ensure it is in full compliance with federal and state anti-discrimination laws, and to ensure that an appropriate number of candidates are forwarded to the Board of Regents as finalists. The necessary modifications are explained below.

Background

Section 3.1 of R203, while well-intended in its effort to ensure an equal opportunity process for applicants, does not adequately comply with current state and federal anti-discrimination laws. This section should be amended to reflect that, in addition to the protected categories listed, the Board will also avoid discrimination on the basis of national origin, marital status, veteran's status, and disability.

Section 3.3 of R203 should be amended to allow the Commissioner of Higher Education to delegate the role of the executive secretary of the search committee to a senior member of his/her staff.

Section 3.6 of R203 should be amended to give the search committee, and the Board, more flexibility in determining the number of finalists to be forwarded to the Regents for final interviews. Previously the policy has required the search committee to forward "at least five" qualified candidates as finalists; it is proposed that this language be replaced with "at least three but no more than five."

Commissioner's Recommendation

The Commissioner recommends that the Board approve these policy changes as proposed.

---

William A. Sederburg  
Commissioner of Higher Education

WAS:dsd  
Attachment

# R203, Search Committee Appointment and Function, and Regents' Selection of Presidents of Institutions

---

## R203-1. Purpose

To provide for the establishment and function of presidential search committees and for the selection of presidents by the Board in the System of Higher Education.

## R203-2. References

2.1. Utah Code [§53B-2-102](#) (Board to Appoint President of Each Institution)

2.2. Policy and Procedures [R120](#), Bylaws of the State Board of Regents; 3.3.2.4. (Selection of President)

## R203-3. Presidential Search Committees

**3.1. Board is Equal Opportunity Employer** - The Utah State Board of Regents is an equal opportunity employer. Board action to employ presidents shall be based upon selection only after extensive advertising of vacancies, screening of applicants, and searching for applicants without regard to race, ethnicity, creed, color, sex, marital status, disability, national origin, veteran's status, or religious persuasion.

**3.2. Early Beginning of Search Process** - It shall be the policy of the Regents to begin the search and selection process for filling institutional presidencies from no less than six and preferably twelve months in advance of the time when the incumbent plans to retire or make his or her resignation effective. This early beginning of the search process is intended to allow sufficient time for advance advertising and search activities that will facilitate the widest possible notice of vacancies and extensive search activities to attract high quality nominees and applicants. In instances where unanticipated vacancies occur without notice and without sufficient time for an extensive search, the Regents may appoint an acting president in order to provide the necessary time. The selection and appointment of presidents, being one of the foremost responsibilities given to the Regents, shall be given the highest priority consideration of the Board.

**3.3. Chair Appoints Search Committee** - The Chair of the State Board of Regents shall appoint a search committee chair and the full membership of a search committee following authorization by the Board and after consultation with the Chair or other members of the Board of Trustees and other constituencies, as is deemed advisable by the Chair of the Board of Regents. All search committee chairs shall be members of the Board of Regents. Additionally, not less than three Regents shall be appointed to all search committees. To the extent possible, the Search Committee will include an equal number of Regents and Trustees. The membership of search committees to be appointed by the Chair shall be broadly representative of the Regents, institutional Board of Trustees, faculty, and administration. In addition, the Chair shall give consideration to appointing representatives of the alumni, the community, the student body, and the college or university staff. Also, consideration shall be given to assure appropriate representation of women and people of color on the search committee. The Commissioner of Higher Education or his/her designee shall serve as executive secretary to the search committee.

**3.4. Advertising** - After the search committee has held its first meeting and has agreed upon qualifications for the position, the Commissioner of Higher Education shall be responsible for advertising nationwide, regionally, and statewide the availability of the position and an invitation to all interested persons to apply for the position or to nominate others. Applications or nominations shall be made to the Commissioner and will be accepted until the position is filled.

**3.5. Aggressive Search** - All Regents, search committee members, the Commissioner of Higher Education, presidents, vice presidents, deans, department heads, faculty, students, alumni, friends of the institution, and members of the community shall be encouraged to take the initiative in nominating qualified individuals and encouraging qualified individuals to apply for the position. All of the above should participate in an aggressive search for qualified persons. The emphasis shall be upon a search for qualified individuals and not the passive acceptance of applications from those seeking the position, and search committees shall organize themselves and implement their search accordingly.

**3.6. Duties of the Search Committee** - The search committee shall meet regularly and shall by majority vote of those present, determine and direct all activities of the committee. The committee shall have the duty to establish qualifications for the position, to search for qualified individuals, to receive nominations and applications, to review the qualifications of nominees and applicants, to seek out information about nominees and applicants, to interview nominees and applicants, and to transmit to the Board the names of ~~no less than five~~ **at least three (3) but no more than five (5)** persons who are fully qualified to serve as president of the institution. Committee members shall study files compiled by the executive secretary on each applicant and nominee and shall become fully informed about applicants and nominees. The Commissioner of Higher Education and her or his staff shall provide information and make confidential inquiries and give reports on the same as requested by the committee.

**3.7. Confidentiality** - The search committee shall keep all information about applicants and nominees strictly confidential. They should exercise special care to avoid disclosure of confidential information and to protect the right of all applicants and nominees to privacy and anonymity insofar as is possible. The chair and the executive secretary shall emphasize and constantly remind all search committee members of the importance of preserving the confidentiality of all information made available to all members of the committee. The Board of Regents will make public the names of finalists to be interviewed by the full membership of the Board.

**3.8. Personal Interviews of Qualified Applicants and Nominees** - The search committee shall review the comprehensive files on all applicants and nominees and shall invite for personal interviews those applicants or nominees that appear to be qualified and that appear to show the highest promise of being capable of serving with distinction as president of the institution.

**3.8.1.** Those who are interviewed shall be given an opportunity to become acquainted with the requirements of and qualifications for the position and with the role, programs and problems of the institution.

**3.8.2.** During or following each interview the committee or the chair shall determine whether or not the interviewee would and could accept the position of president if offered at the salary and benefit level and contractual conditions specified by the Board of Regents, and commence service in that position within the time frame indicated by the Board.

**3.8.3.** At the conclusion of all interviews, the search committee shall discuss openly and fully each nominee or applicant interviewed. The particular strengths and weaknesses of each interviewee should be highlighted and all committee members should give the full committee the benefit of his or her views on each candidate.

**3.9. Search Committee Vote** - Following this discussion, the search committee members shall vote by secret ballot on each interviewee who has indicated her or his willingness to serve as president. The voting procedure shall be as follows:

**3.9.1.** Each committee member shall write the name of the candidate on one side of a sheet of paper.

**3.9.2.** To the question, "Is this candidate fully qualified to be president of this institution?", each search committee member shall write the word "yes" or "no."

**3.9.3.** All papers will be folded and handed to the executive secretary. The executive secretary and the chair will then compile the responses.

**3.9.4.** The chair shall then announce to the search committee the names of those candidates that received a majority of "yes" responses to the question. The response counts on other candidates shall not be reported to the committee.

**3.9.5.** The chair shall report to the Board of Regents the results of the voting of the search committee on all candidates that were interviewed.

**3.9.6.** Unless the Board of Regents calls upon the search committee for more information, or unless the Board votes to reconvene the search committee as provided in 4.7 below, the work of the committee shall be finished after they have concluded their balloting on each candidate and submitted their written report and recommendations to the Board.

**3.10. Proxy Voting by Search Committee Members** - Proxy voting by search committee members will be permitted, but no search committee member shall be permitted to vote on a candidate unless he or she has interviewed the candidate. The proxy vote will be transmitted to the chair of the committee in the form of an informal letter in which the committee member states:

**3.10.1.** "The following candidates, whom I have interviewed are in my judgment fully qualified to be president of this institution:

(The names of the candidates shall follow.)

"All other candidates have either not been interviewed or they are not, in my view, fully qualified."

**3.10.2.** The Search committee member's signature shall be affixed to the letter and the letter shall be labeled: Personal and confidential. The letter shall be delivered to the chair or the executive secretary in a sealed envelope and the envelope shall be labeled: Personal and confidential.

**3.11. Purpose of Search Committee** - The purpose of the search committee is to assist the Regents in appointing a highly qualified person to serve as president. In keeping with this, the committee members should not seek to restrict the names to be placed before the Regents for their consideration. The above process is designed to give the Regents the broadest choice in carrying out the statutory responsibility of appointing presidents of Utah System of Higher Education institutions.

#### **R203-4. President Selection by Regents**

**4.1. Regents May Consider All Candidates and Nominees; Consideration of Search Committee Deliberations and Actions** - All names of all persons that were interviewed by the search committee, and all names of all applicants and nominees that were not interviewed, shall be transmitted to the Regents, and the Regents shall interview any person on either list and shall appoint the individual whom the Regents feel is the best qualified for the position. This shall be done, however, after having weighed very carefully the views expressed by the search committee members and after having given very careful consideration to the voting of the committee members as outlined above, and after consulting with the institutional Board of Trustees.

**4.2. Search Committee Interview and Report Necessary for Regent Interview** - If the Regents determine that an applicant or nominee who was not interviewed by the search committee should be interviewed by the Regents, the search committee shall be notified and convened to interview the applicant, to vote on the person's qualifications, and to advise the Regents on the outcome of the vote.

**4.3. Consideration of Search Committee Findings** - In almost all instances, it is anticipated that the most highly recommended candidates will be the only ones interviewed by the Regents. Search committees, therefore, have a very heavy responsibility, and the Regents have an obligation to give the highest priority consideration to search committee findings in interviewing finalists and in appointing a new president.

**4.4. Selection of Finalists to be Interviewed** - After having reviewed fully the report of the search committee, the Board of Regents shall determine what candidates they want to interview as finalists for the position of president. A schedule of interviews will be established and the Commissioner of Higher Education shall make the necessary arrangements with all finalists. The Board of Regents will make public the names of all finalists to be interviewed by the full Board. Finalist interviews will be held in an executive session pursuant to the Utah Open and Public Meetings Act.

**4.5. Files and Reference Information Available to Regents** - The comprehensive files of all finalists shall be made available to all Regents for their review prior to the time of the scheduled interviews. If the Board deems it to be necessary, the Commissioner will make additional contacts to gather added information on the finalists and report the same to the Board.

**4.6. Deliberations after Interviews** - After the Regents have completed their interviews of the finalists, the strengths and weaknesses of each candidate will be fully and openly discussed by the Board. The Commissioner will be asked to give his or her appraisal of each finalist, and each Regent will be invited to express her or his views.

**4.7. Preliminary Qualification of Candidates** - Prior to seeking to reach consensus to appoint the president, the Regents shall consider the question: "Is one or more of these candidates fully qualified, and will one or more of them, in your judgment, perform the duties as president of this institution with distinction?" If a majority of the members present appear to agree with the above question, the Regents will proceed to appoint a new president. If, however, a majority appear to disagree with this question, the Regents will request the search committee to reconvene and to search for additional qualified persons.

**4.8. Board of Trustees may petition for consultation** - Prior to the final selection of an institutional President, the Board of Trustees may petition the Board to arrange for more extended communications regarding the selection of the President.

**4.9. Voting to Appoint a President** - Voting for appointment of the president shall be in a properly noticed and constituted open meeting of the Board. Nine votes or more will be required to appoint a president.

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(Adopted November 20, 1978; amended May 18, 1982, October 11, 1985, September 12, 1986, September 18, 1992, November 13, 1998, September 13, 2002, and **September 5, 2008**)

August 27, 2008

MEMORANDUM

To: State Board of Regents  
From: William A. Sederburg  
Subject: General Consent Calendar

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

A. Minutes

1. Minutes of the Special Board Meeting held July 8, 2008, at the Regents' Offices in Salt Lake City, Utah
2. Minutes of the Regular Board Meeting held July 10-11, 2008, at Southern Utah University in Cedar City, Utah

B. Grant Proposals

1. University of Utah – National Institutes of Health/National Heart Lung & Blood Institute; "Endothelium and Stenosis"; \$1,505,000. Yan-Ting Shiu, Principal Investigator.
2. University of Utah – National Institutes of Health; "Auditory Prosthesis"; \$1,394,950. Bradley Edward Greger, Principal Investigator.
3. University of Utah – State of Utah; "Juvenile Justice, 2008-2011"; \$2,555,832. Leissa A. Roberts, Principal Investigator.
4. University of Utah – National Institutes of Health; "Select Agent Diagnostics"; \$3,867,858. James N. Herron, Principal Investigator.
5. University of Utah – National Institutes of Health; "Temporal Lobe Epilepsy"; \$3,231,382. Karen S. Wilcox, Principal Investigator.
6. University of Utah – National Institutes of Health; "P450 Metabolism in Asthmatics"; \$2,927,349. Garold S. Yost, Principal Investigator.
7. University of Utah – Howard Hughes Medical; "Chemical Probes for PTPS"; \$1,500,000. Amy M. Barrios, Principal Investigator.

8. University of Utah – National Institutes of Health; “Comp RNAi Screen-Neural Regen”; \$1,881,250. Michael Bastiani, Principal Investigator.
9. University of Utah – National Institutes of Health; “Synthesis of Bioactive Indoles”; \$1,354,500. Jon D. Rainier, Principal Investigator.
10. University of Utah – Administration on Children Youth and Families; “Workforce Initiatives”; \$5,010,128. Norma J. Harris, Principal Investigator.
11. University of Utah – National Institutes of Health/National Institute for Child Health and Human Development; “National Children’s Study”; \$26,571,391. Edward B. Clark, Principal Investigator.
12. University of Utah – National Institutes of Health/National Cancer Institute; “Burt PPG”; \$13,734,352. Randall Walter Burt, Principal Investigator.
13. University of Utah – Howard Hughes Medical; “Epithelial Cell Extrusion”; \$2,309,322. Jody Rosenblatt, Principal Investigator.
14. University of Utah – National Institutes of Health; “EGFR Signaling by Lipid”; \$1,881,250. Matthew K. Topham, Principal Investigator.
15. University of Utah – National Institutes of Health/National Cancer Institute; “Selenium and Melanoma”; \$1,505,000. Pamela B. Cassidy, Principal Investigator.
16. University of Utah – National Institutes of Health; “Shine/Four Corners”; \$4,895,253. Marty Slattery, Principal Investigator.
17. University of Utah – National Institutes of Health; “Dynamic Breast MRI”; \$2,294,556. Matthias Schabel, Principal Investigator.
18. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Filtering Protein Interaction”; \$2,242,988. Alun William Thomas, Principal Investigator.
19. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Role of ECM29-Proteasomes”; \$1,881,250. Martin Carl Rechsteiner, Principal Investigator.
20. University of Utah – National Institutes of Health; “Prevention of Biofilm”; \$1,881,250. Roy D. Bloebaum, Principal Investigator.
21. University of Utah – National Institutes of Health/National Institute for Child Health and Human Development; “Genetics - NRSA T32”; \$1,711,038. David H. Viskochil, Principal Investigator.

22. University of Utah – National Institutes of Health; “Neural Reward Circuits”; \$1,693,125. Sharif A. Taha, Principal Investigator.
23. University of Utah – Howard Hughes Medical; “OCT Proteins at the Junction”; \$1,500,000. Roland D. Tantin, Principal Investigator.
24. University of Utah – Army Medical Research Acquisition; “Viral-Induced Seizures”; \$1,353,840. Robert S. Fujinami, Principal Investigator.
25. University of Utah – Army Medical Research Acquisition; “Auto-reactive CD8 T Cells”; \$1,332,163. Robert S. Fujinami, Principal Investigator.
26. University of Utah – National Institutes of Health; “Mechanisms Regulating”; \$1,316,875. Xinjian Chen, Principal Investigator.
27. University of Utah – National Institutes of Health/National Library of Medicine; “Solving Health Info Needs”; \$1,120,165. Roberto A. Rocha, Principal Investigator.
28. University of Utah – Idaho Technology, Inc.; “STI and Respiratory Pathogen”; \$1,008,609. Carrie L. Byington, Principal Investigator.
29. University of Utah – Virginia Polytechnic Institute; “DHS: Centers of Excellence”; \$2,163,432. Christopher R. Johnson, Principal Investigator.
30. University of Utah – National Institutes of Health; “4D Stereotactic Body Radiation”; \$1,493,767. Sarang Joshi, Principal Investigator.
31. University of Utah – National Institutes of Health; “Cat Walking”; \$3,692,754. Gregory A. Clark, Principal Investigator.
32. University of Utah – National Institutes of Health; “Atlases of the Mouse Heart”; \$1,881,250. Edward W. Hsu, Principal Investigator.
33. University of Utah – National Institute of Health/National Institute of Biomedical Imaging and BioEngineering; “Nanotherapeutics”; \$1,793,064. Hamidreza S. Ghandehari, Principal Investigator.
34. University of Utah – National Institutes of Health/National Institute of Allergy and Infectious Diseases; “Sustained Intra-vaginal Delivery”; \$1,476,406. Patrick F. Kiser, Principal Investigator.
35. University of Utah – National Institutes of Health/National Institute of Allergy and Infectious Diseases; “Oral Delivery Systems for Nov”; \$1,443,774. Patrick F. Kiser, Principal Investigator.



36. University of Utah – National Institutes of Health/National Institute of Neurological Disorders and Strokes; “Novel Therapies for Epilepsy”; \$6,596,290. H. Steve White, Principal Investigator.
37. University of Utah – National Institutes of Health/National Cancer Institute; “Engineered Intelligent Micelle”; \$2,385,096. You Han Bae, Principal Investigator.
38. University of Utah – National Institutes of Health; “RGD-Polymer Targeting”; \$1,693,125. Sung Wan Kim, Principal Investigator.
39. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Multi-functional Gene Carrier”; \$1,693,125.
40. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Novel Globular Macromolecules”; \$1,354,500. Zheng-rong Lu, Principal Investigator.
41. University of Utah – National Institutes of Health/National Institute on Drug Abuse; “Quantif of Drugs of Abuse”; \$1,348,615. David E. Moody, Principal Investigator.
42. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “TRPV1, Endovanilloids, and ALI”; \$1,204,000.
43. University of Utah – National Science Foundation; “Think Globally”; \$2,910,775. Donald H. Feener, Principal Investigator.
44. University of Utah – National Institutes of Health; “Terpene Condensation Reactions”; \$2,406,595. Charles Dale Poulter, Principal Investigator.
45. University of Utah – National Science Foundation; “Forecasting Climate Change”; \$1,324,669. David R. Bowling, Principal Investigator.
46. University of Utah – National Science Foundation; “Analysis of Flagellum Assembly”; \$1,162,335. Fabienne Chevance, Principal Investigator.
47. University of Utah – NASA Space Operations Directorate; “Large Lake Geomorphic Process”; \$1,000,000. Kathleen Nicoll, Principal Investigator.
48. University of Utah – National Institutes of Health/National Cancer Institute; “Erlotinib & Sulindac Chemopreven”; \$3,687,038. Scott K. Kuwada, Principal Investigator.
49. University of Utah – National Institutes of Health/National Institute of Arthritis and Musculoskeletal and Skin Diseases; “Melanoma Progression”; \$1,881,250. Douglas Grossman, Principal Investigator.

50. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “RYRS and Ec-Coupling”; \$1,881,250. John H. B. Bridge, Principal Investigator.
51. University of Utah – National Institutes of Health; “Single Cell Transcriptomes”; \$3,649,625. Erik Jorgensen, Principal Investigator.
52. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “Sprint”; \$44,367,695. Alfred K. Cheung, Principal Investigator.
53. University of Utah – National Institutes of Health/National Cancer Institute; “Chronic Lymphocytic Leukemia”; \$3,229,581. Nicola J. Camp, Principal Investigator.
54. University of Utah – National Institutes of Health/National Institute of Biomedical Imaging and BioEngineering; “MRI AFIB Treatment”; \$3,023,514. Nassir F. Marrouche, Principal Investigator.
55. University of Utah – Army Medical Research Acquisition; “Treating Vascular Eye Diseases”; \$2,989,476. Dean Y. Li, Principal Investigator.
56. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “NAD(P)H Oxidase in Asthma”; \$2,960,655. John R. Hoidal, Principal Investigator.
57. University of Utah – National Institutes of Health/National Institute of Biomedical Imaging and BioEngineering; “Gradients”; \$2,803,696. Dennis L. Parker, Principal Investigator.
58. University of Utah – Mayo Clinic Rochester; “Sprint”; \$2,748,825. Paul N. Hopkins, Principal Investigator.
59. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Mitochondrial Fission”; \$2,530,993. Janet M. Shaw, Principal Investigator.
60. University of Utah – National Institutes of Health/National Institute of Diabetes; “Iron and Metabolism”; \$2,257,500. Donald McClain, Principal Investigator.
61. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Proteasome Activators”; \$1,881,250. Christopher Peter Hill, Principal Investigator.
62. University of Utah – National Institutes of Health/National Institute of General Medical Sciences; “Iron Regulation of Gene Express”; \$1,881,250. Elizabeth A. Leibold, Principal Investigator.
63. University of Utah – National Institutes of Health; “Mechanisms Controlling RPE Dev”; \$1,881,250. Sabine Fuhrmann, Principal Investigator.

65. University of Utah – National Institutes of Health/National Institute of Neurological Disorders and Strokes; “ALD in a Drosophila Model”; \$1,881,250. Anthea Letsou, Principal Investigator.
66. University of Utah – National Institutes of Health; “Evolving Microbicides”; \$1,739,426. Eric W. Schmidt, Principal Investigator.
67. University of Utah – National Institutes of Health/National Cancer Institute; “OCT1 Target Gene Control”; \$1,693,125. Roland D. Tantin, Principal Investigator.
68. University of Utah – University of Michigan; “Collaborative Genomic Studies”; \$1,684,738. Gerald Gene Kreuger, Principal Investigator.
69. University of Utah – National Institutes of Health/National Cancer Institute; “Genie”; \$1,565,672. Nicola J. Camp, Principal Investigator.
70. University of Utah – Registrat Inc; “Psolar C0168Z03”; \$1,500,000. Gerald Gene Krueger, Principal Investigator.
71. University of Utah – Army Medical Research & Materiel; “MRI of Cervical Spinal Cord;” \$1,344,735. Eun-Kee Jeong, Principal Investigator.
72. University of Utah – National Institutes of Health/National Heart Lung and Blood Institute; “Angiotejinogen-Mediated HTN”; \$1,128,750. Jean-Marc LaLouel, Principal Investigator.
73. University of Utah – Colorado State University; “Emergency Response for RMRCE”; \$1,007,865. Adishesu Venkata Gundlapalli, Principal Investigator.
74. Utah State University – State Office of Education; “EBLS Charter School Fund”; \$2,081,835. Sue McCormick, Principal Investigator.
75. Utah State University – National Institutes of Health; “Defining and Molecular Determinants of PRMT1 Catalyzed Arginine Methylation”; \$1,567,159. Joan Hevel, Principal Investigator.
76. Utah State University – Department of Health and Human Services; “National Head Start Center for Physical Development and Outdoor Play Environments”; \$11,730,72.33. Keith Christensen, Principal Investigator.
77. Utah State University – National Institutes of Health; “Auditory Processing of Temporally-Complex Sounds”; \$1,753,750. Donal Sinex, Principal Investigator.

78. Utah State University – U.S. Department of the Interior; "Books Just For Me: A Part C Approach and Curriculum to Promoting Communication, Emergent Literacy, and Self-Regulation"; \$1,775,719. Lisa Boyce, Principal Investigator.
79. Utah State University – National Institutes of Health; "Inhibitors of the OSPF Family of Pathogenic Effectors"; \$2,254,033. Alvan Hengge, Principal Investigator.
80. Utah State University – National Institutes of Health; "Fatty Acid Transduction in Taste Cells"; \$1,747,705. Timothy Gilbertson, Principal Investigator.
81. Utah State University – National Science Foundation; "Open Educational Resources for High Schools: A Pathway to Science, Technology, Engineering and Mathematics"; \$2,550,000. Brandon Muramatsu, Principal Investigator.
82. Utah State University – National Institutes of Health; "Nitrogenase Mechanism"; \$1,321,919. Lance Seefeldt, Principal Investigator.
83. Utah State University – Raytheon; "Sharp Pod Compression Suite P/N 350HN6200"; \$2,202,954. Niel Holt, Principal Investigator.
84. Utah State University – Applied Technology Associates Aerospace; "Testing of Jet Propulsion Laboratory Repointing Mirror Engineering Model"; \$3,969,167. Deon Dixon, Principal Investigator.

C. Grant Awards

1. University of Utah – National Institutes of Health/National Cancer Institute; "Natural Anti-cancer Agents"; \$1,115,726. Chris M. Ireland, Principal Investigator.
2. University of Utah – Department of Community and Culture; "HCI Appropriation"; \$7,500,000. Kevin L. Cheney, Principal Investigator.
3. University of Utah – National Institutes of Health/National Center for Research; "University of Utah CTSA"; \$4,513,700. James P. Kushner, Principal Investigator.
4. University of Utah – National Institutes of Health/National Institute for Child Health and Human Development; "MFMU Network Base"; \$1,652,269. Michael W. Varner, Principal Investigator.
5. University of Utah – HRSA Maternal and Child Health; "National EMSC Data Analysis Resource Center"; \$1,300,000. J. Michael Dean, Principal Investigator.

6. University of Utah – National Institutes of Health/National Institute of General and Medical Sciences; "Conus Peptides and Their Receptor Targets"; \$2,092,340. Baldomero M. Olivera, Principal Investigator.
7. University of Utah – National Institutes of Health/National Cancer Institute; "Surveillance, Epidemiology and End Results (SEER) Program"; \$1,1346,449. Wallace Akerley, Principal Investigator.
8. University of Utah – Centers for Disease Control; "ERC Training Grant"; \$1,320,902. Kurt Timothy Hegmann, Principal Investigator.
9. Utah State University – U.S. Naval Research Laboratory; "Time Critical Sensor Image/Data Processing, Naval Research Laboratory Task Order 7"; \$1,229,592. Niel Holt, Principal Investigator.
10. Utah State University – National Science Foundation; "National Center for Engineering and Technology Education"; \$1,999,875. Christine Hailey, Principal Investigator; Kurt Becker, Daniel Householder, and Maurice Thomas Co-Principal Investigators.
11. Utah State University – U.S. Department of Education; "To Operate Regional Resource Center, Region No. 5, Utah State University"; \$1,300,000. John Copenhaver, Principal Investigator.

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William A. Sederburg, Commissioner

WAS:jc  
Attachments

SPECIAL BOARD OF REGENTS MEETING  
REGENTS' OFFICES, SALT LAKE CITY, UTAH  
JULY 8, 2008

Regents Present

Jed H. Pitcher, Chair  
Bonnie Jean Beesley, Vice Chair  
Janet C. Cannon  
Rosanita Cespedes  
Katharine B. Garff  
Patti Harrington  
Meghan Holbrook  
David J. Jordan  
Nolan E. Karras  
Anthony W. Morgan  
Josh M. Reid (by phone)  
Marlon O. Snow  
John H. Zenger

Regents Excused

Jerry C. Atkin  
France A. Davis  
Greg Haws  
Basim Motiwala

Office of the Commissioner

David L. Buhler, Interim Commissioner  
Carrie Beckman, Policy and Special Projects Coordinator  
Troy Caserta, Accounting Officer  
Jorie Colbert, Research Officer  
Joyce Cottrell, Executive Secretary  
David S. Doty, Assistant Commissioner and Director of Policy Studies  
Andrea Worthen Hales, Education Policy and Accountability Director  
Kimberly Henrie, Assistant Commissioner for Budget and Finance  
Stephen Hess, Chief Information Officer  
Spencer Jenkins, Assistant Commissioner for Public Affairs  
Melissa Miller Kinkart, Program Director of State Scholars Initiative  
Phyllis C. Safman, Assistant Commissioner for Academic Affairs  
Mark H. Spencer, Associate Commissioner for Finance and Facilities  
Lucille T. Stoddard, Associate Commissioner for Academic Affairs  
Lynn S. Ward, Director, Utah Educational Savings Plan  
Gary S. Wixom, Assistant Commissioner for Academic Affairs

Representatives of the Media

Amy Stewart, *Deseret News*

(Several members of the Utah Valley University Board of Trustees and Commissioner's staff were also present.)

Chair Jed Pitcher called the meeting to order at 12:00 noon. **Regent Tony Morgan moved that the Board move into closed session to interview for the position of Commissioner of Higher Education. Regent Marlon Snow seconded the motion, which was adopted unanimously.**

The Regents reconvened in open session at 3:18 p.m. Chair Pitcher explained that the Regents had been meeting in closed session to interview a candidate for the position of Commissioner. **Vice Chair Beesley**

**moved the appointment of William A. Sederburg as Commissioner of Higher Education, effective August 18, 2008. The motion was seconded by Regent Garff and carried unanimously.** President and Mrs. Sederburg were escorted into the room to warm applause.

Regent Jordan thanked Dave Buhler for his excellent work as Interim Commissioner. He has done a wonderful job during a challenging period. The Regents and others present gave Dave a standing ovation.

Chair Pitcher welcomed Janette Hales-Beckham, chair of the Utah Valley University Board of Trustees, other trustees and members of President Sederburg's staff, as well as the Commissioner's staff.

Chair Pitcher explained briefly the search process. The Regents' Executive Committee, acting as the search committee, reviewed the names and qualifications of nearly 100 individuals and interviewed seven candidates. The process took longer than anticipated, because the search was temporarily suspended during the Legislative General Session. Chair Pitcher commented that this was only the second time in USHE history that a sitting president had been selected as Utah's Commissioner of Higher Education. (The other such appointment was Wm. Rolfe Kerr, president of Dixie College.)

Chair Pitcher thanked Interim Commissioner Buhler for a job well done and said it had been a pleasure to work with him.

Commissioner Buhler congratulated Dr. Sederburg and said it had been a great honor to serve as Interim Commissioner. He thanked the Regents and his staff for their wonderful support and said he had enjoyed the experience very much. He officially welcomed Dr. Sederburg on behalf of the Commissioner's staff and said we would do everything possible to provide a smooth and seamless transition.

Dr. Sederburg thanked Chair Pitcher, Vice Chair Beesley and the other Regents and said it was a great honor to be chosen as Commissioner. He said he and his wife, Joyce, would do everything possible to make this a very successful endeavor. He thanked Governor Huntsman, the legislators and others for their support. Dr. Sederburg said he look forward to strengthening the system in four areas: 1) integrity, 2) a clear strategic vision and goals, 3) working collaboratively – USHE institutions and the K-12 system, and 4) innovation and change.

Commissioner Sederburg expressed appreciation to the people of Utah and said we need to expand appreciation for higher education in this state. He thanked Interim Commissioner Buhler for doing a wonderful job and thanked the UVU Board of Trustees for driving to Salt Lake City to attend this meeting.

**Regent Holbrook moved that the meeting be adjourned. The motion was seconded by Regent Garff and carried unanimously.** The meeting adjourned at 3:30 p.m.

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Joyce Cottrell, Executive Secretary

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Date Approved

MEETINGS OF THE STATE BOARD OF REGENTS  
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH  
JULY 10-11, 2008  
Index of Minutes

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JOINT MEETING WITH STATE BOARD OF EDUCATION,  
LEGISLATIVE HIGHER AND PUBLIC EDUCATION APPROPRIATIONS SUBCOMMITTEES,  
AND EDUCATION INTERIM COMMITTEE  
SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH  
JULY 10, 2008

Minutes

Regents Present

Jed H. Pitcher, Chair  
Bonnie Jean Beesley, Vice Chair  
Jerry C. Atkin  
Janet C. Cannon  
Rosanita Cespedes  
France A. Davis  
Katharine B. Garff  
Patti Harrington  
Meghan Holbrook  
Basim Motiwala  
Anthony W. Morgan  
Josh M. Reid  
John H. Zenger

Regents Excused

Greg Haws  
David J. Jordan  
Nolan E. Karras  
Marlon O. Snow

Also attending were Teresa Theurer and Joel Wright, who had been nominated to the State Board of Regents but not yet confirmed by the Utah State Senate.

Office of the Commissioner

David L. Buhler, Interim Commissioner  
Joyce Cottrell, Executive Secretary  
Troy Caserta, Accounting Officer  
David S. Doty, Assistant Commissioner and Director of Policy Studies  
Kimberly Henrie, Assistant Commissioner for Budget and Finance  
Stephen Hess, Chief Information Officer  
Spencer Jenkins, Assistant Commissioner for Public Affairs  
Phyllis C. Safman, Assistant Commissioner for Academic Affairs  
Mark H. Spencer, Associate Commissioner for Finance and Facilities  
Lucille T. Stoddard, Associate Commissioner for Academic Affairs  
Gary S. Wixom, Assistant Commissioner for Academic Affairs

Institutional Presidents

Michael T. Benson, Southern Utah University  
Mike King, College of Eastern Utah  
F. Ann Millner, Weber State University  
Stephen D. Nadauld, Dixie State College  
William A. Sederburg, Utah Valley University  
Richard L. White, Utah College of Applied Technology

Representatives of the Media  
Lisa Schencker, *Salt Lake Tribune*  
Amy Stewart, *Deseret News*

In addition, members of the State Board of Education, Higher Education Appropriations Subcommittee, Public Education Appropriations Subcommittee, and Education Interim Committee were present, as well as legislative staff and members of the State Office of Education.

The morning session focused on public education. The luncheon session was a joint meeting of legislators, Governor's Office, and representatives of public education and higher education. Gayle McKeachnie, Kristen Cox, Christine Kearl, Dixie Allen and Janet Cannon reported on the "SMART Sessions" held by the 21<sup>st</sup> Century Workforce Initiative.

Commissioner Buhler introduced Dr. Kim Clark, President of Brigham Young University-Idaho, who was the keynote speaker. Dr. Clark addressed the challenges of higher education (quality, access and affordability), BYU-Idaho's Three Imperatives (1-Improve the quality of every aspect of the student experience, 2-Serve more students, and 3-Lower the relative cost of education), and the three Key Initiatives of his administration, which he identified as The Learning Model, Peer Instruction, and Online Education. He then described experiences with each of those initiatives and the successes BYU-Idaho has experienced as a result. (Dr. Clark's PowerPoint presentation is available on the Regents' web site at [www.utahsbr.edu](http://www.utahsbr.edu), under Reports and Presentations.) President Clark responded to questions from those present.

Following Dr. Clark's remarks, Commissioner Dave Buhler and Superintendent Patti Harrington reported briefly that the two systems are working together to work out the "kinks" in funding for concurrent enrollment. They noted the quality of classes taught in the high schools must be the same as the same classes taught on USHE campuses. The next item on the agenda was a panel of Education Deans (Dr. Richard Young from Brigham Young University, Dr. Michael Hardman from the University of Utah, and Dr. Carol Strong from Utah State University), facilitated by Assistant Commissioner Phyllis Safman. Each of the panelists discussed the programs offered at his/her institution. They noted the great collaboration among the Deans of Education. Following the individual presentations, the panelists responded to questions.

The afternoon session focused on higher education issues. Commissioner Buhler and Associate Commissioner Mark Spencer reported on funded student target levels and reviewed funding methods used by other states. Assistant Commissioner Dave Doty reported on efforts to attract/recruit/retain students to higher education institutions. Staff also discussed higher education's efforts to meet employer demands in targeted areas.

The joint meeting adjourned at 3:15 p.m. All participants were invited to tour the Southwest Applied Technology Campus.

SOUTHERN UTAH UNIVERSITY, CEDAR CITY, UTAH  
JULY 11, 2008

Minutes

Regents Present

Jed H. Pitcher, Chair  
Bonnie Jean Beesley, Vice Chair  
Jerry C. Atkin  
Rosanita Cespedes  
France A. Davis  
Katharine B. Garff  
Meghan Holbrook  
Basim Motiwala  
Anthony W. Morgan  
Josh M. Reid  
John H. Zenger

Regents Excused

Greg Haws  
Janet C. Cannon  
Patti Harrington  
David J. Jordan  
Nolan E. Karras  
Marlon O. Snow

Also attending were Teresa Theurer and Joel Wright, who had been nominated to the State Board of Regents but not yet confirmed by the Utah State Senate.

Regents Harrington and Cannon attended the Legislative Public Education Appropriations Subcommittee meeting, occurring concurrently with the Board of Regents meeting.

Office of the Commissioner

David L. Buhler, Interim Commissioner  
Joyce Cottrell, Executive Secretary  
David S. Doty, Assistant Commissioner and Director of Policy Studies  
Kimberly Henrie, Assistant Commissioner for Budget and Finance  
Stephen Hess, Chief Information Officer  
Spencer Jenkins, Assistant Commissioner for Public Affairs  
Phyllis C. Safman, Assistant Commissioner for Academic Affairs  
Mark H. Spencer, Associate Commissioner for Finance and Facilities  
Lucille T. Stoddard, Associate Commissioner for Academic Affairs  
Gary S. Wixom, Assistant Commissioner for Academic Affairs

INSTITUTIONAL REPRESENTATIVES

University of Utah

Fred C. Esplin, Vice President for Institutional Advancement/University Relations  
Paul T. Brinkman, Associate Vice President for Budget and Planning  
Chuck Wight, Associate Vice President for Academic Affairs

Utah State University

Raymond Coward, Executive Vice President and Provost  
David Cowley, Associate Vice President for Financial Services/Controller  
Michael J. Kennedy, Special Assistant to the President for Federal and State Relations  
Michelle B. Larson, Assistant Provost  
Sydney M. Peterson, Chief of Staff

Weber State University

F. Ann Millner, President  
Brad Mortensen, Vice President for University Advancement

Southern Utah University

Michael T. Benson, President  
Rod Decker, Interim Provost  
Chase Palmer, Graduate Assistant to the President  
Gregory Stauffer, Chief of Staff

Snow College

Bradley A. Winn, Academic Vice President

Dixie State College

Stephen D. Nadauld, Interim President  
Donna Dillingham Evans, Vice President of Academic Services  
Donald R. Hinton, Dean of Education, Humanities, Arts and Social Sciences  
Stanley J. Plewe, Vice President of College Services  
Shandon Gubler, Chair, DSC Board of Trustees

College of Eastern Utah

Mike King, Interim President

Utah Valley University

William A. Sederburg, President  
Cameron Martin, Special Assistant to the President  
Loretta Palmer, Associate Vice President for Undergraduate Research and International Planning

Salt Lake Community College

Joe Peterson, Vice President of Instruction  
Dana Van Dyke, Budget Director

Utah College of Applied Technology

Richard L. White, President  
Jared Haines, Vice President of Academic and Student Services

Student Leaders

Dani Hansen, Dixie State College  
Andrew Hardman, College of Eastern Utah  
Steele Kizerian, Brigham Young University  
Jon McNaughton, Southern Utah University  
Andrew Nelson, Salt Lake Community College  
Patrick Reimherr, University of Utah  
Daniel Schwab, Weber State University  
Kelly Stowell, Director, Utah Student Association  
Joseph Watkins, Utah Valley University

Other Guests

Steven Allred, Office of the Legislative Fiscal Analyst  
Representative Mel Brown, Utah State Legislature  
Brad Cook, Chief Executive Officer, Higher Colleges of Technology, Abu Dhabi, UAE  
Gordon Crabtree, Executive Director, University of Utah Hospitals and Clinics  
Representative Kory M. Holdaway, Utah State Legislature  
Kelly Murdock, Wells Fargo  
John Sutherland, Chair, Technology Initiative Advisory Board (by telephone)  
Blake Wade, Ballard Spahr

Following a breakfast meeting with President Benson and the Southern Utah University Board of Trustees, the Regents met in Committee of the Whole. Chair Jed Pitcher called the meeting to order at 9:05 a.m. He thanked President Benson and his staff for their gracious hospitality. Chair Pitcher excused Regents Karras, Jordan, Snow and Haws and announced that Regents Harrington and Cannon were meeting with the Public Education Appropriations Subcommittee, along with members of the State Board of Education. Chair Pitcher introduced Regents France Davis and Basim Motiwala. He also recognized Teresa Theurer and Joel Wright, who had been nominated for appointment to the Board of Regents. They will be confirmed by the Senate in August and officially welcomed to the Board in September. Chair Pitcher acknowledged President Sederburg, who was appointed Commissioner earlier in the week. He also noted that this was Regent Reid's last meeting as a Regent. He will be missed. Chair Pitcher acknowledged the presence of Representatives Mel Brown and Kory Holdaway.

Administration of Oath of Office

The Oath of Office was administered to **France A. Davis** and **Basim Motiwala**, the newest members of the State Board of Regents. Chair Pitcher asked Regents Davis and Motiwala to briefly explain their background. Regent Davis is Pastor of the Calvary Baptist Church in Salt Lake City. He said he was delighted to have the opportunity to serve on the Board of Regents. His experience with higher education dates back to the urging of his father, who was able to complete only a third grade education. He wanted all of his children to do better. Pastor Davis said he had taught classes at the University of Utah in 1972 and had been a part of the University since then. He still teaches a course in African-American Studies as an adjunct instructor. His

desire is to provide educational opportunities for students who have finished high school. In his work as pastor, he provides tutoring and mentoring for students.

Regent Matiwala said his parents had migrated to America from Pakistan. He attended the University of Utah, where he enjoyed participating in student government. He recently took his MCAT exams and is looking forward to a career in medicine. He said he looked forward to representing Utah's students on the Board of Regents.

#### Report of the Joint Board Meeting

Chair Pitcher asked Commissioner Buhler to review briefly the joint meetings the previous day with the State Board of Education, Legislative Higher Education Appropriations Subcommittee, Public Education Appropriations Subcommittee, and the Education Interim Committee. Commissioner Buhler reported the meetings the previous day were under the direction of the Legislature; Higher education and public education officials were invited to be their guests. The Commissioner commented on the funding formula discussion and gave some background. He invited Representative Holdaway to comment briefly.

#### Announcements

Chair Pitcher reviewed the assignments to Board committees for the 2008-2009 year. Vice Chair Beesley announced assignments to the Presidential Resource and Review Teams and the various UCAT Boards of Directors for the coming year.

Chair Pitcher recognized the student body officers present and asked them to introduce themselves. He then reviewed the contents of the Regents' folders and announced that the October 24 Board of Regents meeting would be held at Utah Valley University.

The Regents were dismissed to their respective committees at 9:35 a.m. and reconvened in Committee of the Whole at 11:15 a.m.

#### Reports of Board Committees

Finance, Facilities and Accountability Committee (Regent Jerry C. Atkin, Chair)

Policy R562, Non-Lapsing Balances (Tab G). Chair Atkin reported the policy was intended to set acceptable benchmarks for non-lapsing balances. Institutions were directed to carry forward at least four percent, but no more than seven percent of appropriated funds for special projects that could not be funded in one academic year. The Council of Presidents agreed on the parameters. Exceptions were allowed, under special, justifiable circumstances. **Chair Atkin moved approval of Policy R562, Non-Lapsing Balances. Regent Reid seconded the motion.** Regent Morgan asked if capital funds appropriated but not spent were funded separately. Associate Commissioner Spencer said funds reserved for capital projects were not to be included in the non-lapsing balances. He noted E&G money includes plant funds. **Chair Atkin amended his**

**motion to include a check to see if the word “appropriated” was used accurately. Regent Reid accepted the amendment. Vote was taken, and the amended motion carried unanimously.** [Staff has checked and has agreed to use the term ‘appropriated operating funds.’]

University of Utah – Resolution Approving the Issuance of Hospital Revenue Refunding Bonds, Series 2008A (Tab H). Chair Atkin reported a refunding amount of \$23 million was authorized a few months ago to substitute a variable-rate bond with a fixed-rate bond. The proposal is to replace the variable-rate bond with another variable-rate bond secured by a letter of credit from a bank (65 basis points/year, 1½ percent). Chair Atkin noted that many times the short-term rate is advantageous. Also, the University of Utah has short-term assets in variable bonds to offset this liability. Attached to the memo for Tab H were a summary of the events leading up to this request and a financing summary, both prepared by Kelly Murdock, Senior Vice President of Wells Fargo. **Chair Atkin moved approval of the resolution to approve the Hospital Revenue Refunding Bonds, Series 2008A. Regent Zenger seconded the motion, and it was adopted unanimously.**

Southern Utah University – Campus Master Plan (Tab I). Chair Atkin referred to the 20-year campus master plan which was distributed to all Regents. President Benson said there had been a high level of community involvement and cooperation with the development of the master plan. It was a very productive and meaningful process. He asked Vice President Greg Stauffer to comment. Dr. Stauffer said the master plan was based on SUU’s three-prong strategic plan: outreach, academic excellence, and residential campus. It recognizes SUU’s role as Utah’s private-public university. He expressed appreciation for the help of DFCM staff in preparing the master plan. The group used the following planning assumptions: SUU must retain its personalized learning environment, and the residential campus experience must be increased. Also, FTE was projected for 20 years, including distance learning and off-campus programs. Dr. Stauffer remarked that the city of Cedar City was undergoing its general plan at the same time SUU was doing its master planning. The new plan resulted in a greater emphasis on pedestrian access. **Chair Atkin commended SUU officials for their work and moved approval of SUU’s Campus Master Plan. Regent Holbrook seconded the motion, which was adopted unanimously.**

College of Eastern Utah – Sale of Institutional Residence (Tab J). Chair Atkin said the current institutional residence at CEU was old and required constant updating and improvements. It is also designed poorly for hosting institutional events, and appliances and fixtures were dated. College officials propose to build a new institutional residence on College-owned property, which will better meet the needs of a college president. The Regents’ final approval of a new residence will be reserved until such time as they receive recommendations from consultants who are currently studying the future of CEU. **Chair Atkin moved approval of the sale of the CEU Institutional Residence. Regent Davis seconded the motion, which was adopted unanimously.**

Consent Calendar, Finance Committee (Tab K). **On motion by Chair Atkin and second by Regent Davis, the following items were approved on the Finance Committee’s Consent Calendar:**

- A. USHE – 2008-2009 Appropriated Operating Budgets
- B. Snow College – Purchase of Property Contiguous to Campus



USHE – 2008-2009 Information Technology Strategic Plan (Tab L). Chair Atkin said the committee had discussed this report in detail. He expressed appreciation to Steve Hess for the plan and for his report to the committee. The Regents are fortunate to have Steve as the System CIO as well as CIO for the University of Utah. Chair Atkin said this was an excellent plan. Vice Chair Beesley asked if the plan contained contingency plans for such events as the recent breach of security at the University of Utah. Chair Atkin responded in the affirmative. In addition, the plan contains a contingency for emergency disasters. Associate Commissioner Spencer said System resources could be used to help any institution. He also commended Dr. Hess for the very comprehensive plan. **Chair Atkin moved approval of the USHE Information Technology Strategic Plan for 2008-2009. Regent Davis seconded the motion, and it was adopted unanimously.**

Update on Institutional Health Plan Changes for 2008-2009 (Tab M). Chair Atkin said the committee had concluded that this was an excellent plan and that good changes have been made in the last five years.

Scope Definitions and Schedule for Campus IT Audits (Year Two) (Tab N). The USHE Security Assessment Team audited systems and networks at USHE institutions last year and provided an overall assessment. Each institution was presented with a list of recommendations for improvement. The proposed assessment for 2008-2009 will determine if the institutions are making the recommended changes and will provide a more in-depth assessment at each institution to further identify IT security risks.

USHE – Annual Research Grants Report (Tab O). Chair Atkin said this agenda item had been deferred until the September 5 Board meeting.

Dixie State College – Action of Regents' Executive Committee – Property Purchase (Tab P). Chair Atkin reported the Regents' Executive Committee had met and approved the purchase of an existing home to be used as an Institutional Residence for Dixie State College. He said it was a good buy on a very nice property.

Academic, CTE and Student Success ("Programs") Committee (Regent Katharine B. Garff, Chair)

Weber State University – Bachelor of Science Degree in Athletic Therapy (Tab B). Chair Garff reported Provost Michael Vaughan and Valerie Herzog, Director of Athletic Training, had made an excellent presentation to the committee. WSU currently offers two academic tracks in Athletic Training Education – the Clinical Track and the Scientific Track. Students in the Scientific Track are not eligible to sit for the Board of Certification exam but may choose to enter a variety of allied health care fields. The Commission on Accreditation of Athletic Training Education (CAATE) notified University officials that they would no longer accredit a specific track, only degree programs. Therefore, the Scientific Track has been separated into a distinct degree. The current curriculum will remain intact. **Chair Garff moved approval of a Bachelor of Science Degree in Athletic Therapy at Weber State University. Regent Cespedes seconded the motion, which carried unanimously.**

Weber State University – Bachelor of Science and Bachelor of Arts Degrees in Dance Education (Tab C). Chair Garff said Provost Vaughan and Amanda Sowerby, Assistant Professor of Dance, had presented this proposal to the committee. The program will share curriculum and resources with the University's College of Education. The Dance Education program combines study in dance pedagogy, choreography, history and performance with secondary education requirements and prepares students for secondary licensure. Two new

courses will be developed (Music for Dance and Dance Kinesiology) to complete the Dance Education curriculum. The program will be housed in the Department of Performing Arts. **Chair Garff moved approval of Bachelor of Arts and Bachelor of Science Degrees in Dance Education at Weber State University. Regent Zenger seconded the motion, which was adopted unanimously.**

Salt Lake Community College – Associate of Applied Science Degree in Interior Design (Tab D). Chair Garff said this program would be offered through the Architectural Technology Department. Students will be trained to assist in the interior design of private homes, public buildings and commercial areas. There is high student and industry demand for this degree. A recent Workforce Services Report projected the annual labor demand for Interior Designers will grow by 70 new positions and 20 replacement positions each year. **Chair Garff moved approval of an Associate of Applied Science Degree in Interior Design at Salt Lake Community College, seconded by Regent Beesley. The motion carried.**

Consent Calendar, Programs Committee (Tab E). **On motion by Chair Garff and second by Regent Beesley, the following items were approved on the Programs Committee's Consent Calendar:**

- A. Dixie State College – Student Media Center
- B. Salt Lake Community College – Certificate of Completion in Fashion Design

Information Calendar, Programs Committee (Tab F). The committee reviewed the following items, which did not require Regent approval:

- A. Utah State University –
  - 1. Name Change: College of Education to the Emma Eccles Jones College of Education and Human Services
  - 2. Department Restructure: Department of Economics in the Huntsman School of Business to the Department of Applied Economics and the Department of Economics and Finance
  - 3. Emphasis Name Change: Human Development Emphasis to Child Development
  - 4. Name Change: Department of Instructional Technology to the Department of Instructional Technology and Learning Sciences
  - 5. Reorganization of Minors in the Department of Animal, Dairy and Veterinary Sciences
- B. Weber State University
  - 1. Minor in International Politics
  - 2. Minor in Public Administration

Strategic Planning and Communications Committee (Regent Meghan Z. Holbrook, Chair)

Campus Retention Plan Reports – Dixie State College and Southern Utah University (Tab Q). Chair Holbrook said there is no uniform System standard to measure retention at USHE institutions. Regent Morgan said he was pleased that the Commissioner's Office had recently hired an Institutional Research Director. This was an important objective of the Regents. Uniformity of data is necessary for understanding of retention rates and to progress toward common goals. Dixie: President Nadauld reported that retention rates were above average for Western States community colleges, although there is still work to be done. He outlined a number of initiatives college officials had made to improve retention. The administrative structure was reorganized to

identify one person responsible for enrollment management, which includes retention. He also supported the idea of a possible uniform reporting system, because at present there is no uniform system for reporting data. Dixie's goal is to provide a four-year culture, to provide additional on-campus housing and opportunities for additional four-year degrees. That should also help to improve retention. Chair Holbrook noted the college had also added an early warning system to let students know early in the year if they were in academic difficulty, after which resources would be provided to help those students.

Provost Decker said university officials were pleased about the increase in retention at SUU over the past four years. The university has had a 11 percent increase in retaining freshmen to return as sophomores. This is due to efforts in enrollment management and the Student Success Center. Other key factors were academic preparation, campus experience, diversity experience, financial arrangements, additional support initiatives and new initiatives to help retain students. SUU is also supportive of a consistent data reporting system. Chair Holbrook said much work has been done to get the institutions to this level.

Regents' Scholarship Administrative Rule and Legislative Feedback on Scholarship Criteria (Tab R). Chair Holbrook expressed appreciation to Senator Hillyard for sponsoring the bill to provide this opportunity to Utah students and for pushing forward until the legislation was enacted. Assistant Commissioner Doty explained that the Policy R609 was approved in May, setting out the criteria for the Regents' Scholarship program. The Legislative Administrative Rules Committee asked the Commissioner's staff to appear and put this policy through the legislative rule-making process because private institutions are eligible for these funds. This has been done, and we are in the feedback period of time. Staff were also asked to respond to the criteria, specifically, should students be allowed to not take four years of math in high school if they have completed AP calculus? He referred to the proposed amendment to R609, which would allow students to waive credit requirements in a specified area by completing an AP course. Based on the applications received to date, if only the original criteria were to be applied, another 40 percent of funding would be required. Assistant Commissioner Doty asked the Regents to consider the implications and to provide direction for the staff.

Chair Holbrook referred to a national summit held in April. Utah is the only state with this kind of scholarship, out of the 24 WICHE state scholarship programs. Regent Morgan said he had seriously considered allowing AP students to "opt in" to this program, but the budget does not allow it this year. Senator Hillyard shared his thoughts and recommendation, which was to stay with the original criteria. If additional funding is appropriated next year, the criteria could be expanded to include AP students. Dr. Doty said he would resubmit the administrative rule without the AP exemption. The policy will be identical to that approved in May. Regent Garff asked if the criteria would accept credit for foreign languages taken in junior high school. She asked Dr. Doty if he would consider not limiting the years in which courses are taken. Assistant Commissioner Doty said he would consider that and other modifications next year after the data have been collected. Credits will be used to evaluate qualifications. **Chair Holbrook moved that the Board endorse the previous criteria for FY 2008 and that Policy R609 not be amended at this time. Regent Zenger seconded the motion, which carried.**

Report on Legislative Higher Education and Applied Technology Governance Task Force (Tab S). Commissioner Buhler referred to the joint memo in the Regents' folders from Chair Pitcher and Don Ipson, Chair of the UCAT Board of Trustees. He noted the actual memo to the task force had been printed on blank

paper, not on Regents' letterhead. The task force asked that the Regents and the UCAT Board come up with an acceptable compromise and report back on July 15. Representatives of two boards met and agreed that statewide articulation for UCAT should be pursued. This will require an additional person on the Commissioner's staff. Articulation agreements should not be limited to a specific region, but should be available statewide. Higher Education officials believe that UCAT should remain a part of the Utah System of Higher Education, but UCAT officials disagree. Commissioner Buhler said higher education is committed to make articulation work, either way. Regarding governance, the group tried to explore a number of options but were not able to come to agreement. Chair Holbrook reported everyone had come together with the spirit of working cooperatively to improve the delivery of higher education in the state. The meeting was very collegial. President White said he appreciated the opportunity to meet with the smaller group. Commissioner Buhler invited the Regents to attend the task force meeting at 8:30 a.m. on July 15, in Room 450 of the State Capitol. Chair Pitcher strongly urged the Regents to attend the meeting, if possible. UCAT has great representation in those task force meetings.

Report on the Governor's 21<sup>st</sup> Century Workforce Initiative (Tab T). Commissioner Buhler said this had been reported extensively the previous day. WSU Vice President Brad Mortensen reported that two separate groups were formed (finance and governance), each of which have five to six projects, with project leaders, on which they will be working this summer. Additional "SMART" sessions will be held in the next several weeks.

Engineering, Computer Science and Technology 2008-2009 Funding Recommendations  
from the Technology Initiative Advisory Board

John Sutherland, TIAB Chair, connected by phone to report to the group, and apologized that he could not have been at the meeting in person. Dr. Sutherland briefly gave the background of the TIAB Board. The board's goal is to graduate more engineers to fill the industry need. The demand for engineers appears to be increasing in this state. Dr. Sutherland reported he had met with the Engineering Deans each year to determine need. The Legislature this year appropriated only one-time funding of \$250,000. The Engineering Deans indicated they need more money for recruitment and retention, so that was the recommendation for the one-time funding this year (see Tab U). Dr. Sutherland noted WSU had not submitted a request, since they had received funding for an Engineering Initiative directly from the Legislature. Commissioner Buhler thanked Dr. Sutherland and his board. They have great credibility with the Legislature. This has been a very successful initiative, one which has been industry-driven. Funding from the past has received good support. **Regent Atkin moved approval of the TIAB funding recommendations. Regent Reid seconded the motion, which carried unanimously.** Chair Pitcher thanked Dr. Sutherland for his participation.

General Consent Calendar

On motion by Regent Reid and second by Regent Holbrook, the following items were unanimously approved on the Regents' General Consent Calendar (Tab V):

- A. Minutes – Minutes of the Regular Board Meeting held May 30, 2008, at the Regents' Offices in Salt Lake City, Utah

B. Grant Proposals (On file in the Commissioner's Office)

C. Grant Awards

1. University of Utah – Department of Energy/Lawrence Livermore National Laboratory; "Center for Simulation of Accidental Fires & Explosions"; \$2,598,312. David W. Pershing, Principal Investigator.
2. University of Utah – National Institutes of Health/National Library of Medicine; "National Network of Libraries of medicine (NL/LM) Service"; \$1,399,864. Joan Stoddart, Principal Investigator.
3. University of Utah – National Institutes of Health/National Institute on Drug Abuse; "Methamphetamine and Cocaine"; \$1,003,186. James W. Gibb, Principal Investigator.
4. University of Utah – Army Medical Research Acquisition; "Attacking Breast Cancer"; \$3,758,542. Alana Lee Welm, Principal Investigator.
5. University of Utah – National Institutes of Health/National Center for Research; "General Clinical Research Center"; \$2,739,209. A. Lorris Betz, Principal Investigator.
6. Utah State University – U.S. Department of Defense/Missile Defense Agency; "Third-Generation Infrared Surveillance Risk Reduction Program (3GIRS-RR) Science Applications International Corporation (SAIC) Sensor Calibration;" \$1,600,000. Dean Wada, Principal Investigator.
7. Utah State University – U.S. Naval Research Laboratory; "Naval Research Laboratory (NRL) Advanced Ground, Air, Space, Systems Integration (AGASSI) Task Order 0001"; \$3,921,947. Niel Holt, Principal Investigator.

State of the University

President Benson gave a PowerPoint presentation, demonstrating the continuing growth of Southern Utah University. He expressed appreciation for the community's involvement in the university's strategic planning process. He also acknowledged the hard work of his cabinet. President Benson announced that Dr. Brad Cook would be joining SUU administration in Fall 2009 as Provost. He thanked Dr. Rod Decker for extending his retirement date for another year until Dr. Cook finishes his assignment in the United Arab Emirates. Some of the highlights of President Benson's presentation included the addition of two new master's programs during the past year. Women's volleyball was added as a Division I sport. SUU now has 17 inter-collegiate programs – ten of which were added in the last five years.

New facilities included a Teacher Education Building, the restoration of Old Main, and the new Carter Carillon. New student housing will be ready for occupancy this fall. A new Center for the Arts and Education

is planned, as well as a new Globe Theatre for Shakespeare productions. A new Hispanic Center for Academic Excellence was established on campus; President Benson thanked Regent Cespedes for her participation. The Capital Campaign continues; \$15.5 million was raised last year – the largest amount for one year in the school's history, and employee giving increased to 85 percent. SUU remains committed to retaining a small class size. President Benson reported nearly one-third of SUU's student athletes had GPAs of 3.5 or better.

The University will entertain some distinguished guests in the coming months (Senator Harry Reid, Elie Wiesel, and Michael O. Leavitt, Secretary of Health and Human Services). President Benson noted SUU alum, Jill Stevens ("GI Jill"), had written a book about her experiences as a Miss America contestant while continuing to serve in the military. He thanked Provost Decker and DSC Vice President Donna Dillingham-Evans for working collaboratively to forge partnerships between Dixie State College and Southern Utah University to offer 150 credits in St. George. President Benson expressed his appreciation for the people with whom he works. He thanked the Regents for coming to the SUU campus.

#### Report of the Chair and Report of the Commissioner

The written reports were provided in the Regents' folders.

#### Resolution of Appreciation

Chair Pitcher presented Regent Josh Reid with a Resolution of Appreciation for his service to the State Board of Regents. He will be greatly missed. Although he served on the Board for only three years, he participated on a number of committees and assignments. **Regent Atkin moved adoption of the Resolution of Appreciation for Regent Reid. Regent Holbrook seconded the motion, and the Resolution was adopted unanimously.** Regent Reid said he had recently moved his family to Nevada. Leaving the Board of Regents was a hard decision. Regent Reid said his parents had taught him that the world is run by the people who show up. This has been a meaningful experience, and many friendships were made as a result. Regent Holbrook said it had been a gift to work with Regent Reid.

Chair Pitcher recognized Dave Pitcher and thanked him for doing an outstanding job as Interim Commissioner. He noted WSU has an Olympic athlete from Morgan County who will go to China for the Summer Olympic Games. He asked President Millner to extend the Regents' congratulations.

#### Adjournment

**Regent Atkin moved that the meeting be adjourned, seconded by Regent Zenger. The meeting was adjourned at 12:37 p.m.**

At its luncheon meeting, the Regents received a written report of the Board's Self-Evaluation from Dr. Jeff Hockaday, who was hired as a consultant to conduct the Self-Evaluation in accordance with Policy R123, which was adopted in April 2007.

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Joyce Cottrell CPS  
Executive Secretary

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Date Approved

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: 2009-2010 USHE Budget Request

Issue

Statute requires the State Board of Regents to "recommend a combined appropriation for the operating budgets of higher education institutions for inclusion in the state appropriations act" (UCA 53B-7-101(1)).

At the time of printing, the budget numbers were still being finalized. The final budget request will be hand carried to the meeting; however, an e-mail copy of the 2009-2010 budget request may be sent to the Regents prior to the meeting for their review.

In addition to the USHE budget request, Regents will receive courtesy copies of the Utah Education Network and the Utah College of Applied Technology Budget Requests for 2009-2010 on the day of the meeting. Staff and institutional representatives will be available to answer questions.

Commissioner's Recommendation

The recommendation will accompany the final version of the 2009-2010 Operating Budget Request.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH



August 27, 2008

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE - Institutional Capital Development Projects for 2009-2010

Issue

Regent policy *R741 – Capital Facilities Qualification and Prioritization Process* discusses the “Q&P” calculations for state-funded capital development projects. The Q&P process is a quantitative way in which capital development projects are prioritized. The Q&P reviews an institution’s need for new space, how a project addresses life safety concerns of existing space, and the amount of non-state funds that the institution is able to raise to support the cost of building the proposed project. Staff has included as Attachment 1 a brief presentation named “The Q&P Made Easy” as a quick reference regarding the Q&P process.

During the September board meeting, Regents are asked to review the results of the Q&P and finalize facility request priorities to submit to the Governor’s Office, DFCM, Building Board and Legislature. At the time of mailing, staff was still working with institutions and DFCM to finalize costs, life safety rankings and non-state funds. The final ranking will be available for consideration at the September meeting of the Regents. During that meeting, Regents will evaluate individual projects and compare needs among the schools in light of the priority ranking set by the Q&P. Descriptions of the following projects are attached for Regent review in Attachment 2.

**FY 2009-10 USHE Capital Development Priorities**

| <b><u>Project</u></b>                                                                                                                                                              | <b><u>State Funds</u></b> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| UU - David Eccles School of Business                                                                                                                                               | \$28,500,000              |
| UU - Skaggs Pharmacy Building                                                                                                                                                      | \$30,000,000              |
| USU - Business Building Addition & Remodel                                                                                                                                         | \$38,900,000              |
| USU - Kent Concert Hall Addition/Renovation                                                                                                                                        | \$6,000,000               |
| WSU - Professional Programs Classroom Building                                                                                                                                     | \$44,044,795              |
| SUU - Science Center Addition                                                                                                                                                      | \$15,600,000              |
| SNOW - No Project Submitted                                                                                                                                                        | n/a                       |
| DSC - Centennial Building                                                                                                                                                          | \$26,089,500              |
| CEU - Education & Arts Center                                                                                                                                                      | \$21,000,000              |
| UVU - Science/Health Sciences Building Addition                                                                                                                                    | \$52,745,489              |
| SLCC - Digital Design and Communication Technology Center/<br>South City Campus Student Life Center/Salt Lake City School District CTE Center & Auto Trades<br>Building Demolition | \$40,509,194              |
| <b>Total</b>                                                                                                                                                                       | <b>\$303,388,978</b>      |

The Utah College of Applied Technology capital development process allows the UCAT Board of Trustees to submit the college's priorities directly to the Legislature and Governor's office and does not require that the Board of Regents rank or prioritize these projects. However, as a courtesy, the following unranked list has been provided to the members of the Board of Regents for their information. These projects are consistent with what was forwarded in the 2008 General Session. UCAT Trustees are meeting on September 3, 2008 to prioritize the capital development projects. UCAT officials will be available to answer questions regarding the prioritization at the Board of Regents meeting.

## FY 2009-2010 UCAT Capital Development Priorities

| <u>Campus and Project Name</u>                                                                                                                 |
|------------------------------------------------------------------------------------------------------------------------------------------------|
| Mountainland ATC - North County Campus<br>Ogden Weber ATC - Health Technology Building<br>Southwest ATC- Allied Health and Technology Building |

### Commissioner's Recommendation

The Commissioner's recommendation will accompany the final rankings.

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William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH  
Attachments



# The Q&P Made Easy

Dr. Mark H. Spencer



## Governing Statute

- “Funding requests pertaining to capital facilities and land purchases shall be submitted in accordance with procedures prescribed by the State Building Board” (UCA 53B-7-101.(2)).



## Regent Policy

- Regent Policy R710, *Capital Facilities*, outlines responsibilities for
  - Programmatic planning
  - Campus facilities master plans
  - Requests for appropriated funds
  - Projects funded from non-state funds
  - Operation and maintenance costs for non-state projects
  - Leased Space
- Regent Policy R741, *Capital Facilities Q&P Process*
  - Describes the quantitative process used to rank capital development projects



## Key Terms

- **Q Score: Qualification (Quantitative Need)**
  - **Calculated Gap** = Space Standards compared to Five Year Projection for FTE Students
  - **Q Score** = Calculated Gap - Inventory - Request
  - Projects ranked on Q score and assigned descending points with a two point gap



## Key Terms

- **P Score: Prioritization (Institutional Priority and Safety)**
  - Life Safety (electrical, mechanical, fire, seismic)
  - Donated Funds (capital or operation & maintenance)
  - Function Points (infrastructure)
  - Priority Points (Institution's first project gets 25, second gets 22)

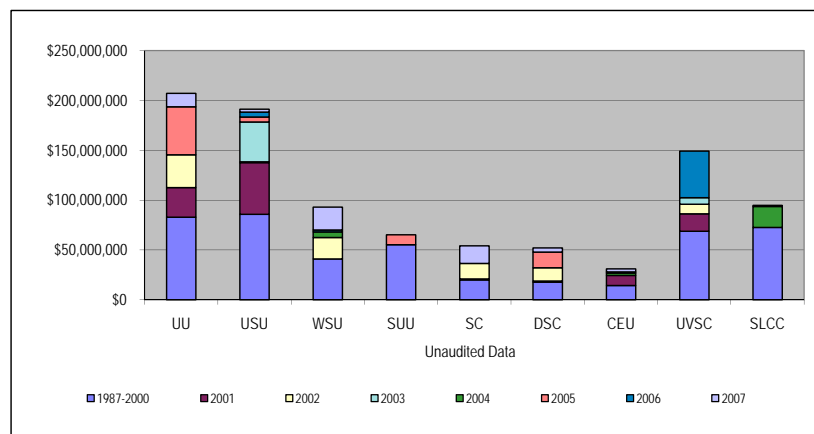


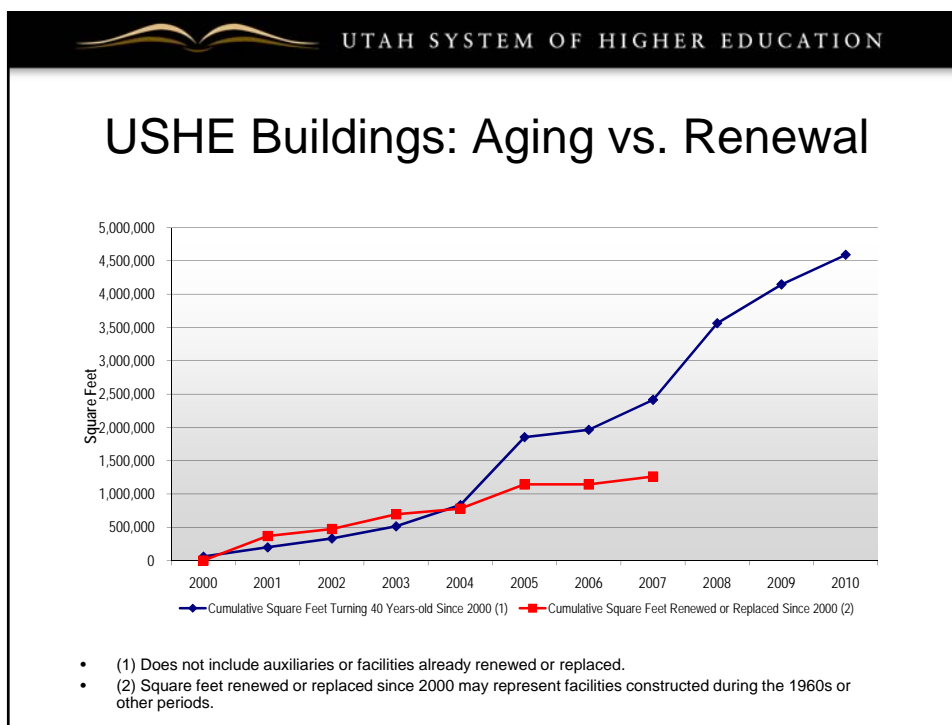
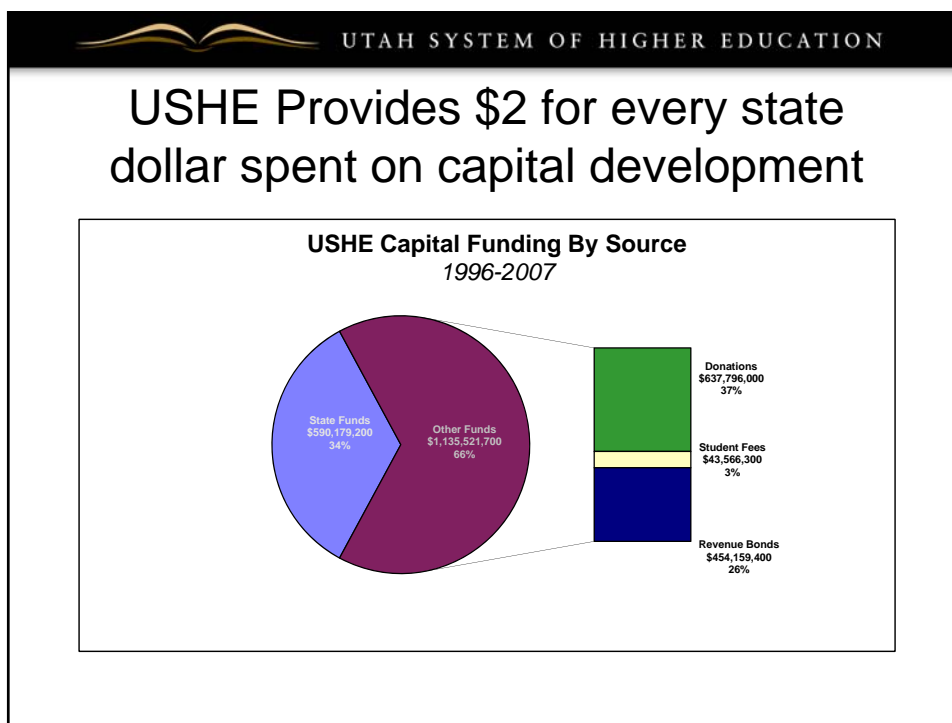
## Strategies for Scoring

- Choose the Right Project
  - Match project to five-year gap
  - Size building to best match space needs
  - Focus on Renewal of Existing Space
    - Eliminating space that is no longer functional increases the five-year gap.



## State-funded Capital Development History (1987 through 2007 Legislative Sessions)





## USHE 2009-10 CAPITAL DEVELOPMENT PROJECTS

September 5, 2008

### UNIVERSITY OF UTAH - DAVID ECCLES SCHOOL OF BUSINESS REPLACEMENT AND EXPANSION:

| Project Cost Estimates |              |                    |             | Project Space - Gross Square Footage |           |            |
|------------------------|--------------|--------------------|-------------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds   | New                                  | Renovated | Demolished |
| \$28,500,000           | \$71,100,000 | \$99,600,000       | \$1,049,400 | 188,681                              | 0         | 56,611     |

The David Eccles School of Business (DESB) project was approved in the 2006 Legislative session for renovation of 105,833 GSF in the FAMB and KDGB buildings plus the construction of 25,500 GSF of new space. This "Other Funds" project had an estimated cost of \$31 million and was authorized to seek State funds for O&M. As analysis has proceeded further into defining the scope of this project in the programming phase, the university is replacing the approved request with this new FY2010 request.

The David Eccles School of Business requests approval to build approximately 188,681 GSF of replacement and new space at an estimated total project cost of \$99.6 million. This includes a request for State funds of \$28.5 million for general purpose university classrooms that are included in the project. These new general purpose university classrooms will be first step toward addressing the critical need for providing decant space to remodel inferior and outdated classrooms on campus. The removal of two older buildings FAMB and KDGB will provide buildable area needed for new construction. Due to the constraints of the site, it will be necessary to first demolish the FAMB (23,727 GSF) and construct the first portion of the building. The KDGB (32,884 GSF) will then be demolished to allow construction of the balance of the project.

### UNIVERSITY OF UTAH - L.S. SKAGGS PHARMACY RESEARCH BUILDING:

| Project Cost Estimates |              |                    |             | Project Space - Gross Square Footage |           |            |
|------------------------|--------------|--------------------|-------------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds   | New                                  | Renovated | Demolished |
| \$30,000,000           | \$41,600,000 | \$71,600,000       | \$1,008,000 | 120,000                              | 0         | 0          |

In its 2006 session, the Utah Legislature authorized an "Other Funds" request for a 150,000 gross square foot (gsf) research building for the College of Pharmacy. As planning proceeded, it became apparent that construction costs are escalating at an annual rate of 9% to 15%. Given the huge impact on the budget imposed by this rate of inflation, the present request is for a Phase I project of approximately 120,000 gsf. The new building will form the south part of the Skaggs Pharmacy Research complex, with the new and old structures connected through an atrium designed to provide pre- and post-function areas for Skaggs Auditorium. In addition, the atrium structure will provide significant earthquake protection by incorporating additional support for the south side of the old building. Finally, and very importantly, the presence of complete handicapped accessibility to both buildings by means of linkages connecting them through the atrium will correct the serious ADA issues now confronting Skaggs Hall. The new structure will provide expanded research laboratories and academic offices for the College of Pharmacy. It will enable the College to bring many of the research groups now housed in Research Park back to the Health Sciences campus. Common areas in the atrium will greatly enhance positive interactions among faculty and students.



### UTAH STATE UNIVERSITY – BUSINESS BUILDING ADDITION & REMODEL:

| Project Cost Estimates |              |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|--------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$38,900,000           | \$20,000,000 | \$58,900,000       | \$977,967 | 122,579                              | 79,646    | 22,579     |

The College of Business has outgrown its current space and is experiencing significant growth. The College recently received a \$25 million gift from Jon M. Huntsman, the largest gift in USU history, to support and expand its programs. The project consists of two phases: the new addition and, the remodel of the existing building.

The first phase consists of a 130,000 square-foot addition built to the south of the current Business building, and will rest where Lund Hall currently stands. It will be a five story structure, with one level below grade. There will also be a connector between the two buildings that will cover the first three floors, containing informal study areas for students.

The new building is slated to include new classrooms, faculty offices, graduate student spaces, student study spaces, a business library, and three new business centers. The spaces include a 300-seat auditorium and a 125-seat auditorium, two 80-seat tiered classrooms, six 40-seat tiered classrooms, nine team study rooms, 40-plus faculty offices. Three new centers will be designed to meet the three focuses of the college. A new dean's office suite is needed, and the school of accounting will be moved to the new building.

The math and statistics department currently housed in Lund Hall will be displaced by this project. The preferred location for this group is in the proposed Ag Science Building, but there is a possibility that they will need to be accommodated by this project depending on which building is constructed first. This proposal includes the space required to accommodate this group, as well as funding for temporary housing of this group during construction.

The second phase consists of a remodel of the existing building. The basic systems of the current building are beyond their useful life. The building has seismic weaknesses that need to be corrected, as well as worn out mechanical and electrical systems that need to be upgraded. The building does not meet current fire & life safety codes, and improvements will include new fire sprinklers and elevator lobby smoke protection. The windows are single glazed and should be replaced with energy efficient glass. Much of the interior is the original décor and does not adequately reflect the caliber of teaching and research housed in this building. Some renovation of the lower floors is being accomplished this summer. Further renovation of the current facility will not be possible unless additional space is first built so that the existing spaces can be remodeled.

### UTAH STATE UNIVERSITY – KENT CONCERT HALL & RENOVATION:

| Project Cost Estimates |             |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|-------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$6,000,000            | \$0         | \$6,000,000        | \$40,000  | 5,000                                | 102,300   | 0          |

The project consists of a remodel for a portion of the Fine Arts Center, mostly centered on the Kent Concert Hall. It also includes the small addition of a scenery shop that is needed to support both theatres in the building.

Both the music and theatre programs will be greatly enhanced by these improvements, and the entire campus and community will be served by increasing safety and quality of the venue. The improvements to the hall will not add capacity to the hall, but will allow the School of the Arts to attract high quality programs, larger audiences, and potential donors. Their goal is to double ticket sales in the span of two years. In recent history they have seen steady increase in sales of 10% per year.

### WEBER STATE UNIVERSITY –PROFESSIONAL PROGRAMS CLASSROOM BUILDING:

| Project Cost Estimates |             |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|-------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$44,044,795           | \$9,500,000 | \$53,544,795       | \$795,246 | 121,627                              | 0         | 0          |

WSU envisions a multipurpose, multifunctional building that will provide classroom and laboratory space supporting graduate programs, some undergraduate course offerings, and NUAMES charter high school. All of the classrooms and laboratories are envisioned to be usable by both NUAMES during the day and by university programs and graduate programs both day and night. The new building is envisioned to have approximately 50,000 square feet of space dedicated to classrooms, labs, faculty offices, and academic support space.

In addition, approximately 11,000 square feet of space will be dedicated to NUAMES charter high school use for administrative and office space, testing centers, and student services.

Further, the building will house student activities functions normally performed in a student union type facility. We plan for approximately 13,400 square feet of space to be dedicated to these functions. Included in this space will be such essential functions as a bookstore, food services areas, recreation areas, and areas for other student services. No food service areas currently exist at the Davis campus, nor are there recreation facilities.

To support the multi-building campus, a central heat and chilled water plant of approximately 5,700 square feet is part of this project. This facility will be located on the south-eastern edge of the Davis campus, away from the academic core area. The structure shell will be sized to support heating and cooling requirements for the existing buildings, and will be expandable to accommodate anticipated growth through campus build-out. For phase 1, the central plant will be fitted with two boilers generating a total of 40,000 lbs/hr of steam, and also have two chillers generating a total of 1440 tons of cooling. There will also be a two cell

cooling tower located coincident with the central plant. The utility plant will be connected to the main campus buildings through a utility tunnel buried underground.

An electrical substation is also planned that will allow power to be supplied at a much higher voltage, thus at a substantially reduced rate, reducing power costs in perpetuity.

To complete the project, additional parking and landscaping will be provided that is consistent with the campus master plan.

### **SOUTHERN UTAH UNIVERSITY – SCIENCE CENTER ADDITION:**

| Project Cost Estimates |             |                    |           | Project Space - Gross Square Footage |           |            |
|------------------------|-------------|--------------------|-----------|--------------------------------------|-----------|------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds | New                                  | Renovated | Demolished |
| \$15,600,000           | \$4,400,000 | \$20,000,000       | \$324,400 | 42,350                               | 0         | 9,491      |

This project is to construct a 42,350 sq. ft. building addition to the east end of the east wing of the existing Science Center. The Life Science Building is located on a portion of the space required for the new addition. After reviewing the cost analysis conducted by an independent architectural firm the most cost effective solution is to remove the Life Science Building and the antiquated greenhouse (currently connecting the Life Science Building to the Science Building) to accommodate the new addition.

Proposed building:

1. Help relieve SUU's Undergraduate Science bottlenecks caused by limited teaching labs, and enable continued growth in preparing students for employment as science teachers, scientists with state and federal agencies, or post-baccalaureate education in such areas as human and veterinary medicine, dentistry, pharmacy, and other types of professional and graduate schools.
2. Consolidate College of Science space into one building for the Departments of Biology, Nursing, and Physical Sciences.

The new addition would match as nearly as possible the current Science Center Building and would be a 4-story facility with one level below ground and three levels above. It will contain classrooms, teaching labs, offices, animal care rooms, a greenhouse, and a museum of natural history.

Because the primary mission of SUU is undergraduate education, the requested additional space for the College of Science supports the SUU Mission by enabling SUU undergraduates to experience science by doing science in teaching laboratories where hands-on testing and measuring, forming hypotheses, interpreting data, forming conclusions, and communicating these findings for critical analysis by others. Employers tell us that these abilities to read and understand, measure, analyze, interpret, and communicate are essential for employment. Likewise, Deans of Utah Universities tell us that for SUU students to be competitive for graduate school openings, they need undergraduate research experience. Therefore, the current additional space request asks mainly for Class/Labs and Open Labs (categories 210 and 220).

### **SNOW COLLEGE –NO PROJECT SUBMITTED THIS YEAR:**

## DIXIE STATE COLLEGE – CENTENNIAL BUILDING

| Project Cost Estimates |              |                    |           |
|------------------------|--------------|--------------------|-----------|
| State Funds            | Other Funds  | Total Project Cost | O&M Funds |
| \$26,089,500           | \$10,000,000 | \$36,089,500       | \$825,329 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 110,170                              | 0         | 63,061     |

This project is a multiple-story, 110,170 estimated square foot new facility replacing three older buildings. The existing Career and Financial Aid Center, the Education and Family Studies Building and Whitehead Student Service Center will be demolished to allow for the new construction.

The new facility will provide for critical expansion or replacement space for multi-disciplined spaces as well as administration and student support. The new multi-use facility design and construction will bring together several departments that are currently scattered throughout campus.

## COLLEGE OF EASTERN UTAH – EDUCATION AND ARTS CENTER

| Project Cost Estimates |             |                    |           |
|------------------------|-------------|--------------------|-----------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds |
| \$21,000,000           | \$1,000,000 | \$22,000,000       | \$231,300 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 49,000                               | 0         | 22,000     |

The Geary Theater and the Music Building are listed as first and second on DFCM's list of the state's most dangerous buildings. The 1960's era buildings no longer meet code. Further, the theater is a core component of the College's community mission. The College invites the community to participate in performances throughout the year, but the building has no accommodation for a scene shop, green room or teaching space for theater. The art department is scattered across campus and has only limited space for displaying student work. The project will bring together theater, music and visual arts into one facility on campus.

## UTAH VALLEY UNIVERSITY – SCIENCE/HEALTH SCIENCES BUILDING ADDITION

| Project Cost Estimates |             |                    |             |
|------------------------|-------------|--------------------|-------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds   |
| \$52,745,489           | \$0         | \$52,745,489       | \$1,546,000 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 140,000                              | 0         | 0          |

The proposed 140,000 square foot addition to the current 80,000 square foot science building will house biology, biotechnology, forensics, nursing, community health and dental hygiene with laboratories appropriate for upper division and graduate work and with the space serving all departments within the College. The building will include much needed up-to-date laboratories which will allow advanced course work and instruction. The building will also contain offices, classrooms and lecture halls necessary for the greatly increased enrollment and expanded course work since 1989 and will build towards the projected growth as estimated by the Utah State Board of Regents. The total project cost is \$52,745,489 and will require hiring an additional FTE related to operation and maintenance of the building.

**SALT LAKE COMMUNITY COLLEGE – DIGITAL DESIGN AND COMMUNICATION TECHNOLOGY  
CENTER/ SOUTH CITY CAMPUS STUDENT LIFE CENTER/ SALT LAKE CITY SCHOOL  
DISTRICT CTE CENTER & AUTO TRADES BUILDING DEMOLITION**

| Project Cost Estimates |             |                    |             |
|------------------------|-------------|--------------------|-------------|
| State Funds            | Other Funds | Total Project Cost | O&M Funds   |
| \$40,509,104           | \$9,200,000 | \$52,709,194       | \$1,514,891 |

| Project Space - Gross Square Footage |           |            |
|--------------------------------------|-----------|------------|
| New                                  | Renovated | Demolished |
| 199,163                              | 17,250    | 110,066    |

The new Digital Design and Communication Center will provide a total of 216,413 square feet of new and renovated classroom space at the South City Campus specifically designed to meet the requirements of preparing graduates to make immediate contributions in the fields of Digital Media Design, Applied Technology Education, Communication, Broadcasting, Animation, Visual Art and Design, and Performing Arts. The space will include fifty-five (55) classrooms/class labs, sufficient offices, conference space, and student support and activity space. It will consist of facilities for SLCC's communication film technology and broadcast degree programs. It will also facilitate a whole range of additional 2+2 partnerships with Salt Lake City School District Career and Technical Education (CTE) programs, creating seamless educational opportunities for Salt Lake City District high school students.

In addition, Student Life functions and programs will be provided in this facility to meet the demand of more than 6,000 students who attend classes at the South City Campus. With this demolition, renovation and construction, SLCC will have a vibrant new center for learning and campus life at the South City Campus.

This proposal provides a solution to the most critical life safety issue at Salt Lake Community College. Many of the Visual Art programs are located in the Auto Trades Building at the Redwood Road Campus which has significant life safety problems. The programs will move out of this building as soon as the new building at South City Campus is complete and the Auto Trades Building will immediately be demolished.

The partnership of Salt Lake Community College (SLCC), the SLCC Student Association, and the Salt Lake City School District will consolidate many of the resources in the proposed new facility at the South City Campus, including:

- Salt Lake City School District CTE Program
- SLCC Communication department and programs including digital design, visual and graphic arts, animation, broadcasting, and so forth
- SLCC Center for Media Innovation
- SLCC Performing Arts/Film Production
- Student Support and Activity Space

The new space will be located to the east of the main South City Campus building and in the location of the existing cafeteria. In order to accommodate this addition, 33,869 square feet of space will be demolished on the east and south sides of the building. Significant space inside the existing building will be remodeled and new space added to meet the identified needs. A new east entrance will provide an attractive portal and facilitate much easier access to student activities and services.

August 27, 2008

MEMORANDUM

TO: State Board of Regents  
FROM: William A. Sederburg  
SUBJECT: USHE – Non-state Funds Capital Development Projects for 2009-2010

Issue

Regent Policy R-710 requires the Regents to approve requests for projects to be constructed on USHE campuses. This includes:

- Approval of institutional project requests for planning and construction of facilities, or remodeling of existing facilities, for which no appropriation of state funds or authority to incur bonded indebtedness is requested (R 710-4.5.5).
- Proposals for projects funded in whole or in part from an adjustment in student fees, incurring of contractual debt, or the disposal or exchange of land or other capital assets (R 710-4.5.5.1).
- Major construction or remodeling projects (defined as projects costing more than \$1,000,000) funded through private sources or a combination of private sources (R 710-4.5.5.2).

The Board of Regents may submit projects directly to the State Building Board. However, non-state projects that do not receive legislative approval are not eligible for state-funded O&M or capital improvement funding. Projects funded with non-state dollars are eligible for state-appropriated O & M when the use of the building is for approved academic and training purposes and is consistent with the institution's master plan (R 710-4.5.6).

Shown on page two is a summary of this year's request for non-state funded projects. Institutional representatives will be on hand to answer questions during the September meeting.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the non-state funded list to be forwarded to the Building Board, Governor and Legislature.

---

William A. Sederburg  
Commissioner of Higher Education

WAS/MHS/KLH  
Attachment

## USHE Non-State Funded Capital Development Request FY 2009-10

| <u>Project</u>                                           | <u>Total Cost</u> | <u>GSF</u> | <u>State<br/>Funded<br/>O&amp;M</u> | <u>Source of<br/>Funds</u>                                                        |
|----------------------------------------------------------|-------------------|------------|-------------------------------------|-----------------------------------------------------------------------------------|
| UU - Meldrum Civil Engineering Building                  | \$4,500,000       | 11,800     | \$73,500                            | Donation,<br>Institutional<br>Funds                                               |
| UU - Universe Project                                    |                   | 40,000     | None                                | Developer<br>Donation,<br>Institutional<br>Funds                                  |
| UU - Dee Glen Smith Training Facility Expansion          | \$1,800,000       | 9,250      | None                                | Donation,<br>Institutional<br>Funds                                               |
| UU - Running Track and Field                             | \$1,700,000       | 1 Acre     | None                                | Donation,<br>Institutional<br>Funds                                               |
| UU - Women's Softball Field Relocation                   | \$3,500,000       | .5 Acre    | None                                | Donation,<br>Institutional<br>Funds                                               |
| UU - Dermatology Center                                  | \$45,000,000      | 80,000     | None                                | Donation,<br>Institutional<br>Funds                                               |
| WSU - Softball Field                                     | \$1,000,000       | 1 Acre     | None                                | Donation,<br>Revenue Bond                                                         |
| WSU - Housing Renovation                                 | \$7,500,000       | 48,000     | None                                | Donations                                                                         |
| SUU - Baseball and Soccer Complex Upgrade                | \$2,000,000       | 6.31 Acres | None                                | Donations                                                                         |
| DSC - Heritage Choir Addition To Centennial Commons Bld. | \$2,725,000       | 10,900     | \$79,515                            | Private Sources                                                                   |
| DSC - Sports Medicine and Athletic Training Center       | \$19,251,293      | 76,466     | \$557,819                           | Donations<br>Private Sources                                                      |
| DSC - Student Health, Wellness and Recreation Center     | \$17,539,412      | 69,539     | \$507,287                           | Revenue Bond<br>repaid by<br>Student Fees                                         |
| DSC - Institute for Continued Learning (ICL)             | \$3,936,220       | 14,090     | \$102,787                           | Donations<br>Private Sources<br>Federal Grant,<br>CEDO,<br>Institutional<br>Funds |
| UVU - Economic Development Building                      | \$2,650,000       | 12,000     | Yes                                 | Donation,<br>Institutional<br>Funds                                               |
| UVU - Athletic Track                                     | \$1,200,000       |            | Yes                                 | Donation,<br>Institutional<br>Funds                                               |
| UVU - Intramural Fields                                  | \$600,000         | 8 Acres    | Yes                                 | Institutional<br>Funds                                                            |

### Notes:

USU, SNOW, DSC, CEU, SLCC have all indicated that there will not be any "Other Funds" projects proposed for FY 2010