

STATE BOARD OF REGENTS MEETING
DIXIE STATE COLLEGE, ST. GEORGE, UTAH
KENNETH N. GARDNER STUDENT CENTER
SEPTEMBER 16, 2011

Agenda

7:30 – 7:35 a.m. STATE BOARD OF REGENTS COMMITTEE OF THE WHOLE
(Ballroom)

7:35 – 9:00 a.m. EXECUTIVE SESSION BREAKFAST – STATE BOARD OF REGENTS
CLOSED MEETING (Ballroom)

8:30 a.m. Continental Breakfast (Conference Room D)

9:15 – 10:45 a.m. Professional Photographs of Individual Regents (During Committee Meetings)
(Iverson Lounge)

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

PROGRAMS/PLANNING COMMITTEE

Regent John H. Zenger, Chair

Location: Cottam Room

ACTION:

- | | |
|---|-------|
| 1. Revision of Regents' Policy R411, Cyclical Institutional Program Reviews | Tab A |
| 2. Southern Utah University – Mission Statement Revision (Regents' Policy R312 Revision) | Tab B |
| 3. Utah State University – Master of Education in Instructional Leadership | Tab C |
| 4. Dixie State College – Bachelor of Art/Bachelor of Science in Criminal Justice with Emphases | Tab D |
| a. Emphasis in Criminology | |
| b. Emphasis in Digital Forensics | |
| 5. Salt Lake Community College – Associate of Applied Science in Fashion Design and Merchandising with Emphases | Tab E |
| a. Emphasis in Fashion Design | |
| b. Emphasis in Fashion Merchandising | |
| c. Emphasis in Technical Apparel Design | |
| 6. Salt Lake Community College – Associate of Applied Science in Aerospace/Aviation Technology – Professional Pilot, Fixed-Wing | Tab F |
| 7. Salt Lake Community College – Associate of Applied Science in Aerospace/Aviation Technology – Professional Pilot, Rotor-Wing | Tab G |
| 8. Dixie State College – Emphasis in Theatre Education (Secondary Education) in Bachelor of Art/Bachelor of Science Theatre | Tab H |

CONSENT:

- | | |
|--|-------|
| 1. University of Utah and Utah Valley University Three - Year Reports | Tab I |
| a. University of Utah – Bachelor of Science in Athletic Training | |
| b. University of Utah – Minor in Political Science | |
| c. Utah Valley University – Associate of Applied Science in Technology | |
| d. Utah Valley University – Bachelor of Science in Dental Hygiene | |
| e. Utah Valley University – Master of Education | |
| 2. Draft Outline – 2011 Report of HigherEdUtah2020 Plan | Tab J |

INFORMATION:

1. Retention and Completion Report

FINANCE/FACILITIES COMMITTEE

Regent Nolan E. Karras, Chair

Location: Conference Room B

ACTION:

1. Weber State University – Peer Institution List Tab K
2. Weber State University – Property Transactions for Continuing Education Programs Tab L
3. Adoption of Policy R566 Presidential Travel Oversight Tab M
4. Revision of Policy R912 – Transfer of System Institution Employees to the Office of the Commissioner Tab N
5. Revision of Policy R993 – Records Access and Management Policy for the Office of the Commissioner Tab O
6. Revision of Policies R992, R926, R985 – Policies Relating to Information Security and Technology for the Office of the Commissioner of Higher Education (OCHE) Tab P

INFORMATION:

1. USHE Space Study – Progress Report Tab Q
2. NCHEMS Funding Equity Study Tab R
3. Sale of University of Utah Hospital Revenue Bonds for Acquisition of the South Jordan Health Center Facility Tab S
4. Sale of Southern Utah 2011 Series Revenue Bonds to Refinance Series 2003 Housing Revenue Bonds Tab T

10:45 a.m. Refreshment Break (Ballroom)

11:00 a.m. – 12:00 p.m. COMMITTEE OF THE WHOLE (Ballroom)

1. Administration of Oath of Office to Regent Robert Prince
2. Reports of Board Committees
3. General Consent Calendar Tab U
4. Report of the Chair
5. Presidential Salary Increases Tab V
6. 2012-2013 USHE Budget Request Tab W

12:00 – 1:00 p.m. WORKING LUNCH (Ballroom)

1. Change Agenda – Commissioner Sederburg
2. President Nadauld – Presentation on the State of Dixie State College

1:00 – 1:30 p.m. WALKING TOUR OF JEFFERY R. HOLLAND CENTENNIAL COMMONS

1:30 – 4:00 p.m. COMMITTEE OF THE WHOLE Continued... (Ballroom)

7. USHE – Institutional State-Funded Capital Development Projects for 2012-13 Tab X
 - 1:40 – 1:50 Utah Valley University
 - 1:50 – 2:00 Dixie State College
 - 2:00 – 2:10 Southern Utah University
 - 2:10 – 2:20 Snow College
 - 2:20 – 2:30 Weber State University
 - 2:30 – 2:45 Utah State University
 - 2:45 – 3:00 University of Utah
8. USHE – Institutional Non-State Funded Capital Development Projects & Land Bank Requests for 2012-13 Tab Y
 - 3:10 – 3:15 Dixie State College

- 3:15 – 3:20 Southern Utah University
- 3:20 – 3:25 Weber State University
- 3:25 – 3:30 Utah State University
- 3:30 – 3:45 University of Utah

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

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Revision to Regents' Policy R411, Cyclical Institutional Program Reviews

Issue

Regents Policy R411, Cyclical Institutional Program Reviews, contains a request for institutional data that is critical to the Regents' assessment of the viability of the program. In the current version of this policy, the data requested has not been clearly defined and has been difficult for the institutions to provide.

Background

All programs at USHE institutions are reviewed on a regular schedule. At doctoral and master's granting universities, all programs are reviewed once every seven years. Programs at all other USHE institutions are reviewed once every five years. Regents' Policy R411 provides guidance to the institutions on how these reviews should be conducted. Over the years, various methods have been used to portray the status of programs. After extensive discussion with USHE officials, including CAOs and Budget Officers, a change is being proposed to the tables used to present data concerning number of faculty, number of graduates, students enrolled, the cost of delivering the program and the sources of funding.

The attached version of the policy has the redesigned "data table" embedded in the template used to present the required data.

Policy Issues

Officials at the Utah System of Higher Education institutions have reviewed this proposal, given input, and are supportive of the new additions to the template.

Commissioner's Recommendation

The Commissioner recommends the Regents approve the revised Regents' Policy R411.

William A. Sederburg, Commissioner

WAS/GW
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Revision of R 411

Office of the Commissioner
Academic Affairs

Prepared for
William A. Sederburg
By
Gary Wixom

September 7, 2011

R411 Revision for Regents' Approval



R411, Cyclical Institutional Program Reviews¹

R411-1. Purpose: To provide policy and procedures for the review of existing programs in the Utah System of Higher Education (USHE). The primary purpose for conducting institutional program reviews is to improve the quality of education.

R411-2. References:

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

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

2.3. Policy and Procedures R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports

R411-3. Responsibility: The chief responsibility for reviewing existing programs is assigned to institutional faculty and administrators, and to institutional Boards of Trustees with accompanying Board of Regents' (Regents) oversight. Program review is accomplished through the combined efforts of presidents, vice presidents, provosts, deans, department chairs, and individual faculty so that meaningful change can occur.

R411-4. Review Procedure: Program reviews will be evaluated first by the institutional board of trustees, and then forwarded to the Commissioner of Higher Education and Commissioner's Academic Affairs staff for review by the Regents as an Information Item.

4.1. **Submissions:** Institutional Chief Academic Officers (CAOs) shall provide summaries of complete program reviews to the Commissioner's Academic Affairs staff. The summaries should include the reviewers, a program description, faculty and staff data, five year enrollment data, a five year financial analysis, program assessment, and the institution's response. See 0 for the template.

4.2. **Evaluations:** Program review summaries will be evaluated by the Commissioner's staff who may ask for further information. The staff will prepare program reviews as information items for the Regents' agendas.

4.3. **Other Information:** In addition to the completed program review template, institutional CAOs shall provide to the Commissioner's Academic Affairs staff copies of regional and specialized accreditation reports, including focused and interim reports, and other reports as requested.

R411-5. Review Schedule: To ensure a thoughtful and careful examination of each program in the USHE, the following review schedule should be followed as closely as possible. It is recommended that the timing of these reviews should be coordinated with regional and/or specialized accreditation review schedules whenever possible to avoid duplication of effort and/or expense.

¹ Approved July 15, 1980; amended September 13, 1983, March 20, 1984, April 11, 1986, November 17, 1989, July 27, 1990, May 29, 1998, October 27, 2005, and March 24, 2009

5.1. Doctoral Granting and Master's Universities: All programs will be reviewed once every seven years.

5.2. All Other Institutions: All programs will be reviewed once every five years.

R411-6. Review Committees: Program reviews will be conducted in accordance with procedures developed by each institution consistent with its respective faculty governance system. Departments whose programs are under review shall prepare detailed written materials for review committees based on system and institutional criteria. Review committees for each program should be established that include the minimum of one external consultant, one internal consultant (not affiliated with the program). Additionally, Program Advisory Committee members may be used.

R411-7. Program Review Template: The template specifies the information to be supplied and provides the format to be used when submitting the review for the Regents.

7.1. General Formatting for Submissions.

7.1.1. All submissions must be written in a formal style, using third person.

7.1.2. All submissions must be sent to the Commissioner's Academic Affairs staff as an electronic document in Microsoft Word format.

7.1.3. All submissions must use Arial Narrow 12-point font, single-spaced. Remove italics when using templates.

7.1.4. All submissions must have 1" margins.

7.2. Template. Information provided should be concise and cover the last five academic years.

Five- or Seven-Year Program Review **Higher Education Institution** **Program** **MM/DD/YEAR**

Reviewers: *(Add bullets as needed. Remove italics when using template)*

- *External Reviewer's(s') Name(s), Affiliation*
- *Internal Reviewer's Name, Affiliation*

Program Description: *One- to three-paragraph description of the program. (Remove italics when using template).*

Data Form: *Current counts of faculty and staff and Financial Analysis*

The following table in R 411 is designed to gather data about the institutional unit being reviewed. The table has been designed to present consistent data to Trustees and Regents who will receive the report. Institutions decide on the configuration of the unit to be reviewed, and in most cases, the review is at the department level. However, in some instances, the unit being reviewed provides services that are different from those provided by traditional academic departments. When providing data on such units, please offer an explanation that clarifies the purpose of the unit, preparation of faculty or staff who provide the service, attendance data on participants, cost of providing services, and any credential that may be offered to completers if this applies. With sufficient explanation, the data table can be adjusted for that purpose. Use this template and make appropriate changes to present a full picture of the unit that was reviewed.

R411 Data Table					
Department or Unit--	Year 2XXX	Year 2XXX	Year 2XXX	Year 2XXX	Year 2XXX
Faculty					
Headcount					
With Doctoral Degrees (Including MFA and other terminal degrees, as specified by the institution)					
Full-time Tenured					
Full-time Non-Tenured					
Part-time					
With Master's Degrees					
Full-time Tenured					
Full-time Non-Tenured					
Part-time					
With Bachelor's Degrees					
Full-time Tenured					
Full-time Non-Tenured					
Part-time					
Other					
Full-time Tenured					
Full-time Non-Tenured					
Part-time					
Total Headcount Faculty					
Full-time Tenured					
Full-time Non-Tenured					
Part-time					
FTE (A-1/S-11/Cost Study Definition)					
Full-time (Salaried)					
Teaching Assistants					
Part-time (May include TA's)					
Total Faculty FTE					
Number of Graduates					
Certificates					
Associate Degrees					
Bachelor's Degrees					
Master's Degrees					
Doctoral Degrees					
Number of Students—(Data Based on Fall Third Week)					
Semester of Data: _____, 20__					
Total # of Declared Majors					

Total Department FTE*					
Total Department SCH*					
*Per Department Designator Prefix					
Student FTE per Total Faculty FTE					
Cost (Cost Study Definitions)					
Direct Instructional Expenditures					
Cost Per Student FTE					
Funding					
Appropriated Fund					
Other:					
Special Legislative Appropriation					
Grants of Contracts					
Special Fees/Differential Tuition					
Total					

Program Assessment: *Strengths, weaknesses, and recommendations from the reviewers. (Remove italics when using template.)*

Institution's Response: *Responses to review committee findings and recommendations. (Remove italics when using template.)*

R411 Currently Approved Version



R411, Cyclical Institutional Program Reviews¹

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- 4.2. **Evaluations:** Program review summaries will be evaluated by the Commissioner's staff who may ask for further information. The staff will prepare program reviews as information items for the Regents' agendas.
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7.1.4. All submissions must have 1" margins.

7.2. Template: Information provided should be concise and cover the last five academic years.

Institution, Program Reviewed, and Date Reviewed

Reviewers: (Add bullets as needed. Remove italics when using template)

- *External Reviewer's Name, Affiliation*
- *Internal Reviewer's Name, Affiliation*
- *Other Reviewer's Name, Affiliation*

Program Description: One to three paragraph description of the program. Remove italics when using template

Faculty & Staff: Current counts of faculty and staff.

Faculty	Tenure	Contract	Adjunct
Number of faculty with Doctoral degrees			
Number of faculty with Master's degrees			
Number of faculty with Bachelor's degrees			
Other Faculty			
Total			
Staff	Full-Time	Part-Time	
Administrative			
Secretarial/Clerical			
Laboratory Aides/Instructors			
Advisors			

Teaching/Graduate Assistants			
Other Staff			
Total			

Students: *One paragraph giving current data on market demand or the utility of the degree, how the program accommodates the market, and hiring patterns including local, state, and national trends. Remove italics when using template. "# of Grads Placed" includes job placement or continued education.*

AY	# of Majors	Undergrad Student FTE	Grad Student FTE	# of Faculty	FTE-to-Faculty Ratio	# of Grads	# of Grads Placed

Financial Analysis

Expense	AY	AY	AY	AY	AY
Instructional Costs					
Support Costs					
Other Expenses					
Total Expense	\$ -	\$ -	\$ -	\$ -	\$ -
Revenue	AY	AY	AY	AY	AY
Legislative Appropriation					
Grants					
Reallocation					
Tuition to Program					
Fees					
Total Revenue	\$ -	\$ -	\$ -	\$ -	\$ -
Difference	AY	AY	AY	AY	AY
Revenue-Expense	\$ -	\$ -	\$ -	\$ -	\$ -

Program Assessment: *Strengths, weaknesses, and recommendations from the reviewers. Remove italics when using template.*

Institution's Response: *Responses to review committee findings and recommendations. Remove italics when using template.*

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Southern Utah University Mission Statement Revision (R312 Revision)

Issue

Southern Utah University (SUU) requests a revision to its mission statement as it appears in Regents' Policy R312. Regent Chair Jordan requested that SUU consider wording revisions to better align SUU's mission statement with the *Utah 2020 Plan for Higher Education* and with SUU's designation as the state's liberal arts and sciences university. During the examination of its mission statement, SUU was to take into consideration the new Standard One mission and core theme requirements of the Northwest Commission on Colleges and Universities (NWCCU).

Background

The Northwest Commission on Colleges and Universities (NWCCU) Standard One for accreditation requires that, "The institution articulates its purpose in a mission statement, and identifies core themes that comprise essential elements of that mission." As Southern Utah University prepares to address the new accreditation standards, it has examined its mission statement and is proposing minor wording changes to better align its mission statement with its designation as the state's liberal arts and sciences university and with the NWCCU Standard One mission and core theme standard that will drive the institutional assessment process for accreditation. The approved mission statements for USHE institutions are contained within Regents' Policy R312 and approval of any updated mission statement revises this policy. SUU stakeholders have been actively involved in the revision of the mission statement and the Southern Utah University Faculty Senate and Board of Trustees have reviewed and approved the revisions to the mission statement as proposed.

Policy Issues

There are no policy issues identified for this revision in the SUU mission statement.

Staff Recommendation

The Commissioner recommends the Regents' approval of Southern Utah University's updated Mission Statement and its inclusion in Policy R312, effective immediately.

WAS/EJH
Attachment

William A. Sederburg, Commissioner



TO: Dr. William Sederburg and Dr. Elizabeth Hitch, OCHE
FROM: Dr. Michael T. Benson, President and Dr. Brad Cook, Provost
DATE: 7-11-11
SUBJECT: **Revised SUU Mission Statement**

On January 7, 2011 Regent Chairman David Jordan requested SUU harmonize its mission statement to better align with the Utah 2020 Plan for Higher Education. The charge included eight bulleted items to be considered under SUU's designation as the State's liberal arts and sciences university.

To that end, a working group was constituted with representatives from faculty, staff, administration, students, and the community to develop a revised mission statement. After several meetings and a lively discussion this spring, the new mission draft was forwarded to the SUU Presidents' Council in May 2011. The revised mission statement was also placed on the SUU website for public comment and feedback. Comments were favorable and no further revisions were made to the draft mission statement. The final draft of the mission statement, along with an updated vision statement and core themes were presented to the SUU Trustee July 6, 2011. The Board approved the revised text with a recommendation it be sent to the OCHE and BOR for review and approval.

We are therefore asking to have the revised mission statement at the September 16, 2011 Board of Regents meeting. This request is driven by the fact that we are starting our re-accreditation cycle with the Northwest Commission of Colleges and Universities this fall. As you know, the NWCCU focus for the Year-One Report is on institutional vision, mission, and core themes. Our engagement with the NWCCU would be greatly facilitated if we could go forward with the revised mission statement from SUU.

Your consideration is greatly appreciated. If there are any questions or concerns please do not hesitate to contact us.

Summary of Changes in 2011 SUU Mission

The mission statement was revised to reflect the institution's new designation as Utah's public liberal arts and sciences university. Recognition is paid to the unique heritage of SUU's founding and its focus on creating a personalized experiential learning environment for its students. The new statement drops text referring to SUU as a "comprehensive regional institution."

Following the mission statement SUU has noted five key areas it will pursue to fulfill its mission: excellence in learning and fulfillment of the ideas in the AAC&U LEAP initiatives; affordability; continuing to offer a broad range of academic programs; creating impact at the local, regional, and state level; and finally, incorporating the university's unique location into its educational activities.

ACTION REQUESTED

SUU seeks the Board of Regents approval of the text directly below in **bold** under "Mission" to replace the wording R312-5, 5.2.2. on page three of six.

Mission

Southern Utah University, as our founders envisioned, is a dynamic teaching and learning community inspired by its unique natural surroundings. As Utah's designated public liberal arts and sciences university, SUU engages students in a personalized and rigorous experiential education, empowering them to be productive citizens, socially responsible leaders, high achievers and lifelong learners.

Though the text below is not to be published in policy R312, SUU has identified five key areas it will pursue in order to fulfill its mission:

- Emphasize excellence in learning designed to foster critical thinking, effective communication, lifelong intellectual curiosity, global awareness, personal responsibility, and integrity
- Offer educational experiences typical of private universities with the affordability of public higher education
- Provide outstanding programs of study in the arts and sciences, selected pre-professional, professional, and graduate programs
- Contribute to state, regional, and community needs as a social, cultural, and economic catalyst
- Harness and integrate our unique geographic location in the SUU educational experience

2005 SUU Mission Statement

Southern Utah University is a comprehensive, regional institution offering graduate, baccalaureate, associate, and technical programs. SUU is committed to providing an excellent education through a diverse, dynamic and personalized learning environment. The university educates students to be critical thinkers, effective communicators, lifelong learners and individuals who demonstrate integrity and empathy as they pursue their lives' ambitions.

Revised Vision and Core Themes

In addition to revising its mission, SUU has updated its vision statement and has revised its core themes (formerly "core values"). This text will appear on the SUU website and in other related published materials disseminated by the University.

SUU Vision Statement

Southern Utah University will be nationally recognized as a premier institution of learning known for enabling its students to honor thought in all its finest forms, achieve excellence in their chosen field, and create positive change in the world.

SUU Core Themes

Academic Excellence:

With superior teaching and engaged learning as its foundation, academic excellence is the hallmark of Southern Utah University. Students are expected to meet the challenges of rigorous programs of study offered at SUU. Unique experiential education programs and dedicated faculty promote both critical and creative thinking and scholarly activity in a supportive learning environment. SUU is committed to sustaining an academic community that encourages students to develop their breadth and depth as scholars and global citizens. SUU supports faculty and staff development designed to respond to the changing demands of higher education and the needs of its students. Assessment of learning outcomes

and continual improvement are key elements of the educational experience at SUU.

Involvement and Personal Growth:

Southern Utah University encourages student growth and development by providing opportunities and programs designed to broaden social and cultural perspectives through campus and community service, and outdoor, creative, and global engagement activities. The University affirms that active participation in well-designed experience-based programs provides a holistic educational experience and helps prepare students to become engaged members of society. SUU is committed to helping students become confident, creative, and adaptive life-long learners known for their service to the community.

Community and Social Responsibility:

Essential to the educational process is a sense of an academic community wherein collaboration, diversity, respect for all people, concern for the environment, civility, and shared governance are cultivated. SUU encourages the discussion and exploration of differing views while recognizing the cherished individual freedom to reach one's own conclusions. Developing students into productive responsible citizens, both locally and globally, involves the thoughtful exploration and application of ethics and values and the acknowledgment of the responsibilities one has as a contributing citizen of the world.

R312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles¹

R312-1. Purpose: To recognize the distinct and unique missions and roles of the institutions in the Utah System of Higher Education (USHE); to configure a system of colleges and universities to meet the educational needs of the citizens of the State of Utah; and to maintain system integrity by defining institutional categories. The Regents will review institutional roles and missions at least every five years in light of the educational needs and resources in the State of Utah.

R312-2. References

- 2.1. Utah Code §53B-6-101, Master Plan for Higher Education
- 2.2. Policy and Procedures R301, Master Plan Executive Summary
- 2.3. Policy and Procedures R310, System-wide Vision and Mission Statement
- 2.4. Policy and Procedures R315, Service Area Designation and Coordination Off-Campus Courses and Programs
- 2.5. Policy and Procedures R485, Faculty Workload Guidelines

R312-3. Definitions

- 3.1. **"Institutional Definition":** definitions of institutions have been adapted from the Carnegie Classification of Institutions of Higher Education (<http://www.carnegiefoundation.org>).
- 3.2. **"Mission Statements":** the general purposes and functions of various institutions.
- 3.3. **"Teaching Load":** the institutional average teaching workload for full-time faculty at the various institutions.
- 3.4. **"Land Grant Institution":** an institution that may offer associate's degrees and fulfill a community college role in areas of need pursuant to Policy R315 through its extension services.

R312-4. Classifications

- 4.1. **Doctorate-granting Universities:** (University of Utah (U of U), Utah State University (USU)) Doctorate-granting Universities generally include institutions that award at least 20 doctoral degrees per year (excluding doctoral-level degrees that qualify recipients for entry into professional practice, such as the JD, MD, PharmD, DPT, etc.). This classification excludes Special Focus Institutions and Tribal Colleges. Doctorate-granting Universities are further classified by their research activity. The U of U is in the very high research activity category and USU is in the high research activity category.
- 4.2. **Master's Universities:** (Weber State University (WSU), Southern Utah University (SUU), Utah Valley University (UVU)) Master's Colleges and Universities generally include institutions that award at least

¹ Approved on May 30, 2003, Amended May 29, 2009. Revisions approved by the Board of Regents on May 29, 2009, and May 20, 2011.

50 master's degrees and fewer than 20 doctoral degrees per year. Some institutions above the master's degree threshold are included among Baccalaureate Colleges, and some below the threshold are included among Master's Colleges and Universities. This classification excludes Special Focus Institutions and Tribal Colleges. Master's Colleges and Universities are further classified based on the number of programs offered. WSU is in the medium programs category while SUU and UVU² are in the smaller programs category.

4.3. Baccalaureate Colleges: (Dixie State College of Utah (DSC)) Baccalaureate Colleges generally include institutions where baccalaureate degrees represent at least 10 percent of all undergraduate degrees and that award fewer than 50 master's degrees or 20 doctoral degrees per year. Some institutions above the master's degree threshold are also included. This classification excludes Special Focus Institutions and Tribal Colleges. Baccalaureate Colleges are further classified based on the level of degrees offered. DSC is in the Baccalaureate/Associate's College category.

4.4. Comprehensive Community Colleges: (Snow College (Snow), College of Eastern Utah (CEU), Salt Lake Community College (SLCC)) Comprehensive Community Colleges (or Associate's Colleges) generally include institutions where all degrees are at the associate's level, or where bachelor's degrees account for less than 10 percent of all undergraduate degrees. This classification excludes institutions eligible for classification as Tribal Colleges or Special Focus Institutions. Associate's Colleges are further divided by the setting and size of the College. Snow and CEU are in the Public Rural-serving Medium category while SLCC is in the Public Urban-serving Multi-campus category.

R312-5. Missions and Mission Statements

5.1. Doctorate-granting University: The mission of a Doctorate-granting University is to discover, create, and transmit knowledge through education and training programs at the undergraduate, graduate, and professional levels through research and development and through service and extension programs associated with a major teaching and research university. Emphasis is placed on teaching, research, and service. The institution contributes to the quality of life and economic development at the local, state, and national levels. Many research efforts generate grants and contracts that also impact economic development, which underwrites the cost of their products.

5.1.1. University of Utah Mission Statement (2006): The mission of the University of Utah is to serve the people of Utah and the world through the discovery, creation and application of knowledge; through the dissemination of knowledge by teaching, publication, artistic presentation and technology transfer; and through community engagement. As a preeminent research and teaching university with national and global reach, the University cultivates an academic environment in which the highest standards of intellectual integrity and scholarship are practiced. Students at the University learn from and collaborate with faculty who are at the forefront of their disciplines. The University faculty and staff are committed to helping students excel. We zealously preserve academic freedom, promote diversity and equal opportunity, and respect individual beliefs. We advance rigorous interdisciplinary inquiry, international involvement, and social responsibility.

5.1.2. Utah State University Mission Statement (2003): The mission of Utah State University is to be one of the nation's premier student-centered land grant and space grant universities by fostering the principle that academics come first; by cultivating diversity of thought and culture; and by serving the public through learning, discovery, and engagement.

² Utah Valley University was approved to offer master's degrees in 2008. They have not awarded 50 master's degrees but expect to do so in the next five years.

5.2. Master's University: The mission of a Master's University is to transmit knowledge and skills primarily through undergraduate programs at the associate's and baccalaureate levels, including career and technical education programs and selected graduate programs in high demand areas. Emphasis is placed on teaching, scholarly, and creative achievements that are complementary to the teaching role, and community service. The institution contributes to the quality of life and economic development at the local and state levels. Student success is supported through developmental programs and services associated with a comprehensive community college.

5.2.1. Weber State University Mission Statement (2007): Weber State University provides associate, baccalaureate and master degree programs in liberal arts, sciences, technical and professional fields. Encouraging freedom of expression and valuing diversity, the university provides excellent educational experiences for students through extensive personal contact among faculty, staff and students in and out of the classroom. Through academic programs, research, artistic expression, public service and community-based learning, the university serves as an educational, cultural and economic leader for the region.

5.2.2. Southern Utah University Mission Statement (2005/2011): Southern Utah University, as our founders envisioned, is a dynamic teaching and learning community inspired by its unique natural surroundings. As Utah's designated public liberal arts and sciences university, SUU engages students in a personalized and rigorous experiential education, empowering them to be productive citizens, socially responsible leaders, high achievers and lifelong learners. Southern Utah University is a comprehensive regional institution offering graduate, baccalaureate, associate's, and technical programs. SUU is committed to providing an excellent education through a diverse, dynamic and personalized learning environment. The university educates students to be critical thinkers, effective communicators, lifelong learners and individuals who demonstrate integrity and empathy as they pursue their lives' ambitions.

5.2.3. Utah Valley University Mission Statement (2007): Utah Valley University is a teaching institution which provides opportunity, promotes student success, and meets regional educational needs. UVU builds on a foundation of substantive scholarly and creative work to foster engaged learning. The university prepares professionally competent people of integrity who, as lifelong learners and leaders, serve as stewards of a globally interdependent community.

5.3. Baccalaureate College: The mission of a Baccalaureate College is to provide training and educational programs developed as a part of a dynamic continuum of opportunities that includes certificate, associate's degrees, baccalaureate degrees, and continuing education offerings responsive to a rapidly growing and divergent economic region. Emphasis is placed on teaching and training, scholarly, professional and creative efforts complementing its teaching and training role and community service. The institution contributes to the quality of life and economic development of the community, the state, and the region. Student success is supported through developmental programs and services provided by a comprehensive community college.

Dixie State College of Utah Mission Statement (2005): Dixie State College of Utah strives to help students to define, shape and achieve educational and life goals. It is dedicated to providing personalized and excellent teaching in a learning environment where all students can become passionate about their individual educational endeavors. DSC is a publicly supported institution—authorized by the Utah State Board of Regents—with two independent tiers. DSC offers associate's degrees and certificate programs that meet the needs of students, the community and the state. The College also offers

baccalaureate programs in high demand areas and in core or foundational areas consistent with comprehensive four-year colleges. Dixie State College enhances its campus climate by promoting cultural and demographic diversity, and by inviting students to participate in its open-door, post-secondary educational programs.

5.4. Comprehensive Community College: The mission of a Comprehensive Community College is to transmit knowledge and skills through transfer education at the associate of arts and associate of science degree level along with offering associate of applied science degrees, career and technical education, customized training for employers, developmental education, and strong student services to support these functions. Transfer programs are intended to prepare graduates to begin upper-division work. Emphasis is placed on teaching, training, scholarly, professional, and creative achievement, and community service. The institution contributes to the quality of life and economic development of the community and the state. Student success is supported through developmental programs and services associated with a comprehensive community college.

5.4.1. Snow College Mission Statement (2004): Snow College continues a tradition of excellence, encourages a culture of innovation, and cultivates an atmosphere of engagement to advance students in the achievement of their educational goals.

5.4.2. College of Eastern Utah Mission Statement (2006): College of Eastern Utah is a comprehensive community college committed to the highest standards of instruction and learning. CEU prepares students through certification, degrees, and transfer programs and seeks to provide a complete campus experience for both traditional and non-traditional students. The college educates and assists students with their social, physical, intellectual, cultural, and emotional development. CEU strives to help instill the curiosity and skills necessary for a student to continue learning throughout life. The College is committed to respond to the educational needs of the communities it serves. CEU will work with senior state institutions to provide access for a limited number of on-campus Bachelor's degree programs.

5.4.3. Salt Lake Community College Mission Statement (2006): Salt Lake Community College is a public, open-access, comprehensive community college committed to serving the broader community. Its mission is to provide quality higher education and lifelong learning to people of diverse cultures, abilities, and ages, and to serve the needs of community and government agencies, business, industry and other employers.

R312-6. Comprehensive Community College Function: Within the organization of the institution the comprehensive community college function is identifiable, supported through programs, services, and specific administrative responsibility, and includes transfer education, career and technical education, customized training for employers, developmental education, and strong student services. WSU, UVU, and DSC also provide a comprehensive community college function to the state of Utah along with Snow, CEU, and SLCC.

R312-7. Accreditation: Regional and specialized accreditation is a goal for all programs for which this accreditation is available and appropriate for the institution's mission and role.

R312-8. Land Grant Institution: When a land grant institution is acting as a community college through its extension efforts, students are granted open admission to associate's degree programs with appropriate academic preparatory support. USU fulfills this role for the state of Utah. The land grant designation makes USU responsible for statewide programs in agriculture, business, education, engineering, natural resources, sciences, family life, 4-H youth, and the traditional core of liberal learning: humanities, arts, and social sciences.

R312-9. Faculty

9.1. Criteria for Selection, Retention, and Advancement

9.1.1. Doctorate-granting University: Faculty are selected, retained, and promoted on the basis of evidence of effective teaching; research, scholarship, and creative achievements; and service and extension activities.

9.1.2. Master's University: Faculty are selected, retained, and promoted primarily on the basis of evidence of effective teaching. Additional criteria include scholarly, professional and creative achievements, and service that complements the teaching role.

9.1.3. Baccalaureate College: Faculty are selected, retained, and promoted primarily on the basis and evidence of effective teaching and training. Secondary criteria include scholarly, professional, creative achievements, and service that complement the teaching role.

9.1.4. Comprehensive Community College: Faculty are selected, retained, and promoted primarily on the basis and evidence of effective teaching and training. Secondary criteria include scholarly, professional, creative achievements, and service that complement the teaching role.

9.2. Educational Preparation

9.2.1. Doctorate-granting University: Regular full-time tenure-track faculty will have earned the appropriate terminal degree for their field and specialty.

9.2.2. Master's University: Regular full-time tenure-track faculty will have earned or be working toward the appropriate terminal degree for their field and specialty. Faculty in career and technical education or professional fields also will have practical, related work experience.

9.2.3. Baccalaureate College: Regular full-time tenure-track faculty will have practical, related work experience and recognized professional credentials for their discipline and teaching level. To teach courses in general education or other special transfer programs, the master's degree is a standard requirement. Faculty teaching upper-division courses will have earned or be working toward the appropriate terminal degree for their field and specialty.

9.2.4. Comprehensive Community College: Regular full-time tenure-track faculty will have practical, related work experience and recognized professional credentials for their discipline and teaching level. To teach courses in general education or other special transfer programs, the master's degree is a standard requirement.

9.3. Teaching Loads and Research Activities

9.3.1. Doctorate-granting University: Average teaching loads are expected to be lower than that of faculty in Master's Universities reflecting necessary faculty involvement with research, scholarship, and creative achievements. Institutional teaching loads will average at least 18 credit hour equivalents each academic year.

9.3.2. Master's University: Average teaching loads are higher than those of faculty in Doctorate-granting Universities and somewhat lower than those of faculty in Baccalaureate Colleges. These teaching loads reflect Master's Universities having fewer graduate programs and

less emphasis on research and scholarship than Doctorate-granting institutions. Institutional teaching loads will average at least 24 credit hour equivalents each academic year.

9.3.3. Baccalaureate College: Average teaching loads are higher than those of faculty in Master's Universities. Institutional teaching loads will average at least 27 credit hour equivalents each academic year.

9.3.4. Comprehensive Community College: Average teaching loads are somewhat higher than those of faculty in Baccalaureate Colleges, because faculty are not involved in upper-division and graduate-level instruction. Institutional teaching loads will average at least 30 credit hour equivalents each academic year.

R312-10. Student Admission

10.1. Doctorate-granting University: Students are admitted on the basis of their projected ability to succeed at the institution. Projected ability to succeed is based primarily on past performance, such as grade point average and standardized test scores. Satisfactory completion of prerequisite courses and work experience may also be factors. Score data for first-year students indicate that these institutions are selective in admissions.

10.2. Master's University: Students are granted admission primarily on the basis of their projected ability to succeed at the institution. Projected ability to succeed is based in part on past performance such as grade point average and standardized test scores. Satisfactory completion of developmental courses, prerequisite courses, and work experience may also be factors.

10.3. Baccalaureate College: All incoming students are tested for course placement and advising purposes. Satisfactory completion of developmental and/or prerequisite courses and work experience also may be factors. Lower-division courses are primarily open-admission. Students must meet admissions' criteria for upper-division courses and programs.

10.4. Comprehensive Community College: Comprehensive Community Colleges are open-admission institutions. Incoming students may be tested for course placement and the ability to benefit from specific courses for financial aid purposes. Satisfactory completion of other developmental or prerequisite courses and work experience may also be factors.

R312-11. Support Services

11.1. Doctorate-granting University: These institutions provide library services, support services, equipment, and other resources to support undergraduate and graduate programs, and student and faculty research.

11.2. Master's University: These institutions provide library services, support services, equipment, and other resources to support undergraduate programs, a limited number of master's programs, and the intellectual needs of students and faculty.

11.3. Baccalaureate and Comprehensive Community College: This institution provides library services, support services, equipment, and other resources to support lower-division programs in career and technical education, general education, baccalaureate programs, and the intellectual needs of students and faculty.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Utah State University Master of Education in Instructional Leadership

Issue

Utah State University requests approval to offer a Master of Education Degree in Instructional Leadership, effective Fall Semester 2011. This degree program was approved by the institutional Board of Trustees on July 8, 2011.

Background

The Master of Education (Med) in Instructional Leadership will prepare instructional leaders for schools in Utah and the surrounding region. Currently, prospective school leaders enrolling at USU must select an Med in either Elementary Education or Secondary Education. Both degrees offer a specialization in Instructional Leadership that leads to Administrative/Supervisory licensure by the Utah State Board of Education (USHBE). The proposed degree will provide licensure for K-12 and district level administrative positions in a single program. The result will be better alignment of the USU instructional leadership programs with the licensure policies of the USBE, which are for K-12 inclusively.

The purpose of the proposed program is not to produce additional administrative candidates beyond the numbers that are currently graduating in the two, separate programs. The program will continue to meet existing market needs for individual professional development, as well as short term and long term administrative openings available to these qualified candidates.

No increases in enrollment or cost are anticipated. Pressure will be reduced on support staff in the School of Teacher Education and Leadership as duplication of effort will be eliminated. The program is funded with generated tuition revenue through Regional campuses and Distance Education.

Policy Issues

USHE institutions are supportive of the proposed program. The questions regarding the name "Instructional Leadership" have been addressed.

Commissioner's Recommendation

The Commissioner recommends the Regents review the request by Utah State University to offer a Master of Education in Instructional Leadership and approve the program.

William A. Sederburg, Commissioner

WAS/PCS
Attachment

Academic, Career and Technical Education, and Student Success Committee

Action item

Request to Offer a Master of Education in Instructional Leadership

Utah State University

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

September 7, 2011

Section I: The Request

Utah State University requests approval to offer a Master of Education Degree in Instructional Leadership effective Fall Semester 2011. The institutional Board of Trustees approved the program on July 8, 2011.

Section II: Program Description

Program Description

The Master of Education (MEd) in Instructional Leadership will prepare instructional leaders for schools in Utah and the surrounding region. Currently, prospective school leaders enrolling at USU must select an MEd in either Elementary Education or Secondary Education. Both degrees offer a specialization in Instructional Leadership that leads to Administrative/Supervisory licensure by the Utah State Board of Education (USBE). The proposed degree will provide licensure for K-12 and district level administrative positions in a single program. The result will be better alignment of the USU instructional leadership programs with the licensure policies of the USBE, which are for K-12 inclusively.

Purpose of Degree

The purpose of the program is to prepare effective instructional leaders for schools in Utah and the surrounding region. USU has prepared school leaders for many years. The Utah State Board of Education provides a single Administrative/Supervisory license for administrative positions in elementary, secondary, and district office settings. This proposal aligns the instructional leadership program at USU with the licensure policies of USBE.

Institutional Readiness

The program currently exists as a specialization within separate MEd programs in Elementary Education and Secondary Education. No additional resources will be required.

Faculty

No additional faculty will be required. The core faculty includes three tenured faculty, three clinical faculty, and one adjunct faculty.

Staff

No additional staff will be required.

Library and Information Resources

The program requires no new courses and there will be no impact on library resources or services.

Admission requirements

The admission requirements will be the same as those of other USU MEd programs.

Student Advisement

Faculty and advisement staff currently in place will continue with no change.

Justification for Graduation Standards and Number of Credits

The program requires 42 credits, consistent with the standards of the Utah State Board of Education and the National Policy Board for Educational Administration. This is consistent with other USU MEd programs.

External Review and Accreditation

The program is based on the standards of the National Policy Board for Educational Administration. The Emma Eccles Jones College of Education and Human Services will undergo a formal accreditation review by the Teacher Education Accreditation Council (TEAC) during Fall Semester 2011. The program has had an informal review by the Utah Consortium for Educational Leadership and will undergo formal review as part of the TEAC accreditation review.

Projected Enrollment

During the past five years, the existing ASC and Instructional Leadership specializations in Elementary Education and Secondary Education have admitted 50-60 students each year, with 45-50 students complete the program. The purpose of this change is to more directly align the program with USBE licensure policies. No changes in enrollment are anticipated.

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
1	60	7	26.16	N/A
2	60	7	26.16	N/A
3	60	7	26.16	N/A
4	60	7	26.16	N/A
5	60	7	26.16	N/A

Expansion of Existing Program

Enrollment in the proposed program is projected to remain consistent with that of the current USU programs.

Section III: Need**Program Need**

There is a consistent need for well-trained administrators in schools. The school age population in Utah continues to grow with increases in school enrollment projected throughout the next decade. The Utah Legislature appropriated growth funds to the public school system in anticipation of 19,625 new students in fiscal year 2012. The Educator Supply and Demand study produced by the Utah System of Higher Education in 2007 indicates that the need for teachers in Utah continues to grow. Additional administrators will be required to supervise these teachers.

Many private school and charter school administrators, although not required to hold administrative licensure, are choosing to pursue the program in order to strengthen their leadership skills, provide credibility for their schools, and better respond to accreditation requirements.

Labor Market Demand

The purpose of the proposed program is not to produce additional administrative candidates beyond the numbers that are currently graduating in the two, separate programs. The program will continue to meet existing market needs for individual professional development, as well as short term and long term administrative openings available to these qualified candidates.

Instead, the purpose of the program is to better align the program with the licensing policies of the USBE. The Administrative/Supervisory Area of Concentration provides licensure for administrators in elementary schools, secondary schools, and district offices. The program delivered by USU will align with USBE policy. Students who hold a Master's Degree prior to seeking administrative licensure will continue have the option of a "licensure only" program.

Student Demand

Applications for admission to the program consistently exceed available space. Historically the acceptance rate has been approximately 80%. In the past two years, that acceptance rate has been reduced to roughly 70% as demand for the program has increased and the number of qualified applicants further exceeds program capacity. Most who complete the program continue in current positions in their local school districts, moving from teaching to administrative positions over a period of several years.

Similar Programs

The University of Utah offers an MEd in Educational Leadership and Policy that may lead to administrative licensure. Southern Utah University offers an MEd with emphasis in Educational Leadership that also may lead to administrative licensure. Two private universities in Utah also offer administrative licensure programs.

Collaboration with other USHE Institutions

Representatives of each university offering administrative preparation programs, the Utah School Boards Association, the Utah Associations of Elementary and Secondary School Principals, the Utah State Office of Education, and the Utah School Superintendents Association meet each semester to discuss issues of common interest and share ideas for program improvement. This proposal has been presented and discussed at that meeting and received a positive response.

Benefits

Both USU and its students will benefit from better alignment with USBE licensure policies and school district hiring practices.

Consistency with Institutional Mission

Teacher education programs at USU are well respected and graduates are in demand by schools and districts across Utah. Strengthening this program aligns with the goals of the School of Teacher Education and Leadership, and represents a high priority for the Emma Eccles Jones College of Education and Human Services and Utah State University.

Section IV: Program and Student Assessment

Program Assessment

The program is based on the standards of the National Policy Board for Educational Administration and reviewed as part of the periodic accreditation reviews by the Teacher Education Accreditation Council (TEAC).

Expected Standards of Performance

Students must receive a score exceeding the Utah State Office of Education cut-off of 620 on the PRAXIS exam, Educational Leadership: Administration and Supervision (0411) in order to qualify for Administrative/Supervisory licensure by USBE.

The ISLLC Standards are:

1. **Standard 1:** *An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.*
2. **Standard 2:** *An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.*
3. **Standard 3:** *An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.*
4. **Standard 4:** *An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.*
5. **Standard 5:** *An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.*
6. **Standard 6:** *An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.*

The program will be reviewed periodically to ensure adherence to these standards. USU Teacher Education programs will be reviewed by TEAC in 2011.

Courses will be delivered via electronic distance education during evening hours in fall and spring semesters, and face to face in a condensed format during summer session.

Budget

No increases in enrollment or cost are anticipated. Pressure will be reduced on support staff in the School of Teacher Education and Leadership as duplication of effort will be eliminated.

Financial Analysis Form for All R401 Documents					
Students	Year 1	Year 2	Year 3	Year 4	Year 5
Projected FTE Enrollment	58.2	58.2	58.2	58.2	58.2
Cost per FTE ¹	15,064	15,064	15,064	15,064	15,064
Student/Faculty Ratio	26.16	26.16	26.16	26.16	26.16
Projected Headcount	60	60	60	60	60
Projected Tuition	Year 1	Year 2	Year 3	Year 4	Year 5
Gross Tuition	236,901	246,377	256,232	266,481	277,140
Tuition to Program	0	0	0	0	0
5 Year Budget Projection					
Expense	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries & Wages					
Benefits					
Total Personnel	N/A - All costs are currently covered in existing programs. There are no additional faculty or staff				
Current Expense					

Travel	FTE, library, or other operational funds required.				
Capital					
Library Expense					
Total Expense	0	0	0	0	0
Revenue	Year 1	Year 2	Year 3	Year 4	Year 5
Legislative Appropriation					
Grants & Contracts					
Donations	N/A - funded through existing resources				
Reallocation					
Tuition to Program					
Fees					
Total Revenue	0	0	0	0	0
Difference					
Revenue - Expenses	0	0	0	0	0
2009-10 E&G EdD masters cost per FTE.					
source: USU 2009-10 Department Profiles					

Funding Sources

No additional funding is required.

Reallocation

No reallocation of funding is required.

Impact on Existing Budgets

There will be no impacts on current budgets.

Appendix A
Course Requirements

Course Prefix & Number	Title	Credit Hours
College Core Courses		
TEAL 6410	Social Foundations of Education	3
TEAL 6710	Diversity in Education	3
TEAL 6150	Foundations of Curriculum	3
TEAL 6190	Theories of Learning & Models of Teaching	3
Instructional Leadership Core Courses		
TEAL 6080	Leadership and the School Principal	3
TEAL 6090	Theories of Organizational Leadership in Education	3
TEAL 6050	Theories of Instructional Supervision	3
TEAL 6740	School Law	3
TEAL 6500	School Finance and Resource Management	3
SPED 6060	Historical and Legal Foundations of Special Education	3
SPED 6280	Leadership for At-Risk Students	3
EDUC 6540	Data-Based Decision Making for School Leaders	3
TEAL 6930	Supervision & Administrative Internship Seminar	2
TEAL 6940	Supervision & Administrative Internship	4
Elective Courses	None	
	Total Number of Credits	42

No new courses are anticipated.

Appendix B Suggested Schedule by Semester

Fall Semester

TEAL 6080	Leadership and the School Principal	3
TEAL 6410	Social Foundations of Education	3
TEAL 6940	Supervision & Administrative Internship	1

Spring Semester

TEAL 6050	Theories of Instructional Supervision	3
SPED 6060	Historical and Legal Foundations of Special Education	3
TEAL 6940	Supervision & Administrative Internship	1

Summer Session

SPED 6280	Leadership for At-Risk Students	3
TEAL 6500	School Finance and Resource Management	3
TEAL 6740	School Law	3
TEAL 6090	Theories of Organizational Leadership in Education	3
TEAL 6940	Supervision & Administrative Internship	1

Fall Semester

TEAL 6710	Diversity in Education	3
EDUC 6540	Data-Based Decision Making for School Leaders	3
TEAL 6940	Supervision & Administrative Internship	1

Spring Semester

TEAL 6150	Foundations of Curriculum	3
TEAL 6190	Theories of Learning and Models of Teaching	3
TEAL 6930	Supervision & Administrative Internship Seminar	2

Appendix C

Program Faculty

Michael K. Freeman, PhD, University of Wyoming, (1994), Adult and Postsecondary Education, Associate Dean, Associate Professor, 27 years-Higher education, 1 year-Public Education, 17 years at USU.

Steven O. Laing, EdD, Brigham Young University, (1989), Educational Leadership, Clinical Associate Professor, 30 years-Public Education, 6 years-Higher Education, 6 years at USU.

L. Joseph Matthews, PhD, Brigham Young University, (1986), Curriculum and Instruction School Leadership, Associate Professor, 20 years-Higher Education, 19 years, Public Education, 1 year at USU.

Richard L. Rhees, EdD, University of Utah (1984) Administration and Supervision, Clinical Assistant Professor, 34 years-Public Education, 7 years-Higher Education, 4 years at USU.

Michael D. Salvesen, EdD, Utah State University (1982), Educational Administration, Adjunct Clinical Assistant Professor, 29 years-Public Education, 11 years-Higher Education, 9 years at USU.

Susan A. Turner, PhD, Brigham Young University (1998) Leadership/Organizational Behavior, Clinical Assistant Professor, 25 years-Public Education, 7 years, Higher Education, 4 years at USU.

Richard P. West, PhD, University of Utah (1981) Educational Psychology, Instructional Psychology, Professor, 8 years-Public Education, 30 years-Higher Education, 30 years at USU.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Dixie State College Bachelor of Art and Bachelor of Science Degrees in Criminal Justice with Emphases

Issue

Officials at Dixie State College of Utah (DSC) request approval to offer Bachelor of Art and Bachelor of Science Degrees in Criminal Justice with Emphases in Criminology and Digital Forensics, effective Fall Semester 2011. The institution's Board of Trustees approved the program on May 2, 2011. The Regents' Program Review Committee approved the program on August 17, 2011 and recommended it move forward to the full board.

Background

Dixie State College currently offers an associate's degree in criminal justice. As of Fall Semester 2010, 127 students were enrolled in this program; making it the third largest two-year program at the institution behind programs in general studies and business administration. Last fall's enrollment represented an increase of 65 students from Fall 2009, and an increase of 77 students from Fall 2008. In July 2010, the institution created a Criminal Justice emphasis to its integrated studies baccalaureate program. Since summer of 2010, over 40 students have enrolled in this emphasis. Criminal justice students who enrolled in the associate's degree programs were surveyed to gauge interest in a baccalaureate offering as a discrete major. Seventy-five students responded. Each of them expressed an intention to pursue a four-year criminal justice degree.

While the current economic downturn has curtailed growth in recent years, population estimates contained in the 2010 Economic Report to the Governor published by the Governor's Office of Planning and Budget projects Washington County's population to grow by nearly 67% by 2020 to 279,864. Within criminal justice categories, the Utah Department of Workforce Services (DWS) occupational data shows favorable projections for Utah job opportunities. Between 2008 – 2018 employment growth rates are projected to be 2.3%, 2.1%, and 3.1% for Police and Sheriff Patrol Officers, Correctional Officers and Jailers, and Probation Officer and Correctional Treatment Specialists, respectively.

The program proposal supports a request from the Washington County Law Enforcement Officials Association for a baccalaureate program in criminal justice. Additionally, Dixie State College has received

two grants totaling \$1.4 million to fund a cyber crime institute. This program will support the efforts of this project.

The program will prepare students for career opportunities in state-of-the-art homeland defense methods and systems as well as more traditional criminal justice occupations. Possible employment opportunities include DEA and FBI agent, corrections officer, security officer, private investigator, game law enforcement officer, immigration officer, alcohol/tobacco/firearms inspector, United States trustee, internal revenue officer, border patrol agent, consumer safety inspector, forensics specialist, and other related fields.

Policy Issues

Other Utah System of Higher Education institutions have reviewed this proposal, given input, and are supportive of Dixie State College offering this degree. There are no outstanding policy issues.

Commissioner's Recommendation

The Commissioner recommends the Regents approve the request to offer the Bachelor of Art and Bachelor of Science Degrees in Criminal Justice with Emphases in Criminology and Digital Forensics, effective Fall Semester 2011.

William A. Sederburg, Commissioner

WAS/BKC
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Bachelor of Science and Bachelor of Arts Degrees in Criminal Justice
with Emphases in Criminology and Digital Forensics

Dixie State College

Prepared for
William A. Sederburg
By
Blair K. Carruth

September 7, 2011

Section I: The Request

Dixie State College of Utah (DSC) requests approval to offer Bachelor of Science and Bachelor of Arts Degrees in Criminal Justice with Emphases in Criminology and Digital Forensics effective Fall Semester, 2011. This program proposal was approved by the DSC Board of Trustees on 2 May 2011.

Section II: Program Description

Complete Program Description

Criminal Justice is the application of law and the social and natural sciences to the societal phenomenon of crime and delinquency. The discipline addresses definitions, causation, prevention, legal processes, and treatment of offenders. Students may choose between two baccalaureate options, a Bachelor of Arts Degree, or a Bachelor of Science Degree. Within each baccalaureate degree option, students may choose either an emphasis in Criminology or an emphasis in Digital Forensics.

The program prepares students for many career opportunities in state-of-the-art homeland defense methods and systems as well as more traditional criminal justice occupations. Possible employment opportunities include DEA agent, FBI agent, corrections officer, security officer, private investigator, game law enforcement officer, immigration officer, alcohol/tobacco/firearms inspector, United States trustee, internal revenue officer, border patrol agent, consumer safety inspector, forensics specialist, and other related fields.

Role and Mission Fit

The approval of the Criminal Justice baccalaureate will enhance DSC's ability to meet the educational goals of its students and to fulfill the obligation mandated in the DSC mission to offer baccalaureate programs in core or foundation areas consistent with four-year colleges.

Dixie State College's mission includes a sustained commitment to workforce development. Leaders of Washington County's law enforcement workforce have asked the institution to offer a four-year program in this field. In this regard, the degree proposal is consistent with DSC's role and mission.

Purpose of Degree

The program is designed to prepare graduates to enter a growing field that is in continual need of qualified professionals. Some graduates will be qualified to serve their communities and provide public safety in an efficient and ethical manner. Others will be prepared to attend graduate school and provide leadership in developing and improving current criminal justice policy by gaining more understanding of the causes of criminality through research.

Institutional Readiness

Dixie State College offers a Criminal Justice emphasis in the Integrated Studies baccalaureate program, an associate of science in Criminal Justice degree, a certificate in Digital Forensics, as well as the option to attend the Peace Officer Standards and Training (POST) Academy. The College has also been the recipient of two grants totaling \$1.4 to establish an institute in cyber

crime. These existing programs have helped prepare DSC for expansion to a baccalaureate option within the Criminal Justice discipline.

Faculty

Current faculty, assisted by qualified and experienced adjunct faculty, will be able to provide all required courses. Based on anticipated enrollment growth, an additional full-time faculty member would need to be hired in the third year. Currently, DSC has two (2) full-time Criminal Justice faculty and one (1) part-time faculty.

Current full-time faculty:

- Paul E. (Lish) Harris, Ph.D. Criminology and Criminal Justice, Florida State University (2011).
- Gary Cantrell, M.S. Computer Science, Mississippi State University (2004).

Current part-time faculty:

- Abby Gallentine, J.D., Drake University (1988), lecturer/advisor.

In filling future faculty positions, DSC will seek to complement current faculty expertise, specifically in academic backgrounds and teaching abilities such as (a) Police Techniques and Behaviors, (b) Development and Behavior of Law, (c) Homeland Security, and (d) Criminology. Additional faculty information is found in Appendix A.

Staff

The program currently has a lecturer/advisor to provide academic advisement and counseling to students, and an administrative assistant to help with office needs. The proposed degree will not require new staff.

Library and Information Resources

The Browning Library continues to expand appropriate collections for current baccalaureate offerings. The current Browning Library electronic and print holdings will be augmented to support the proposed curriculum. Additional databases might include Criminal Justice Abstracts and Criminal Justice Periodicals Index (see Appendix B). Collections will be expanded to include major academic works, journals, and media resources representing the discipline's core subject matter (Law Enforcement, Corrections, Law, Policy, and Behavioral Science).

Admission Requirements

Any matriculated DSC student in good academic standing is eligible for admission to the major. Students will be admitted to the degree program immediately upon declaring the major.

Student Advisement

The program's lecturer/advisor will work closely with students to guide them towards graduation, including customizing their studies to personal interests and career goals. Additionally, faculty advisement will augment the formal advising done by the lecturer/advisor. A club for Criminal Justice students facilitates informal interaction with fellow students, faculty, and the community.

Justification for Graduation Standards and Number of Credits

The proposed degrees (BS and BA) can be completed with 122 credits. In addition, all graduation requirements specified by Regents and DSC policies are met, including fulfillment of DSC General Education requirements, 40 credits of upper-division coursework, 30 credits upper-division work at DSC, and a minimum GPA of 2.0 (see Appendices C and D for degree requirements and program schedules).

External Review and Accreditation

Curtis D. Fillmore, Department Chair of the Criminal Justice Department at Utah Valley University, was contracted as the external reviewer for this proposal. Curtis D. Fillmore, Department Chair of the Criminal Justice Department at UVU offered suggestions in regards to increasing the number of core courses and courses to be added to the curriculum. Several changes were made to the program based on this review, including adding CJ 4200 Ethical Issues in Criminal Justice to the core requirements.

Projected Enrollment

Based on enrollment in the Criminal Justice associate degree program, and the number of Integrated Studies majors who have selected a Criminal Justice emphasis, projected enrollment for the program is shown in the chart below.

Year	Student FTE	# of Faculty	Mean FTE-to-Faculty Ratio	Accreditation Req'd Ratio
1	100	2.5	40:1	None
2	110	2.5	44:1	None
3	120	3.5	34:1	None
4	130	3.5	37:1	None
5	140	3.5	40:1	None

Expansion of Existing Program

The proposed program expands upon existing Criminal Justice offerings and provides students with options for continued educational and career enhancement.

Section III: Need/Market Demand**Program Need**

In the fall of 2002, DSC began offering the statewide cooperative associate degree in Criminal Justice, partially in response to community demand. A few years later, the Washington County Law Enforcement Officials Association formally asked that DSC provide a baccalaureate degree in this field. To this end, Southern Utah University and DSC combined to create a joint baccalaureate program in criminal justice at DSC in 2008. This joint degree program fell victim to budget cuts and was dissolved in 2010. The dissolution of the joint program created a vacuum for students at DSC interested in pursuing a baccalaureate degree in Criminal Justice. In July 2010, the Integrated Studies Program at DSC added a criminal justice emphasis to help fill this need. Enrollments in existing Criminal Justice offerings at DSC remain strong. This proposed baccalaureate degree would give students in DSC's associate's degree an avenue for further education and professional development.

Labor Market Demand

While the current economic downturn has curtailed growth in recent years, population estimates contained in the 2010 Economic Report to the Governor published by the Governor's Office of Planning and Budget projects Washington County's population to grow by nearly 67% by 2020 to 279,864. Within criminal justice categories, the Utah Department of Workforce Services (DWS) occupational data shows favorable projections for Utah job opportunities. Between 2008 – 2018 employment growth rates are projected to be 2.3%, 2.1%, and 3.1% for Police and Sheriff Patrol Officers, Correctional Officers and Jailers, and Probation Officer and Correctional Treatment Specialists, respectively.

The program proposal supports a request from the Washington County Law Enforcement Officials Association for a baccalaureate program in criminal justice. Additionally, Dixie State College has received two grants totaling \$1.4 million to fund a cyber crime institute. This program will support the efforts of this project.

Student Demand

Dixie State College currently offers an associate's degree in criminal justice. As of Fall Semester 2010, 127 students were enrolled in this associate degree program, making it the third largest two-year program at the institution behind programs in general studies and business administration. Last fall's enrollment represented an increase of 65 students from Fall 2009, and an increase of 77 students from Fall 2008. Since its creation in July 2010, over 40 students have enrolled in the criminal justice emphasis within the integrated studies baccalaureate program. Criminal justice students were surveyed to gauge interest in a baccalaureate offering. Seventy-five students responded. Each of them expressed an intention to pursue a four-year criminal justice degree.

Similar Programs

Weber State University, Utah Valley University, Southern Utah University, and Salt Lake Community College offer Criminal Justice programs. The University of Utah offers a Criminology certificate through the Sociology department, and Utah State University has a research area specialty rooted in Criminology within its Sociology program. Southern Utah University has a Department of Political Science and Criminal Justice.

The Criminology and Digital Forensics emphases are distinct features of the proposed program. Because of the relationship of DSC's Criminal Justice program to the cyber crime grant institute, students have the ability to be trained in a unique environment that is complementary to other programs in the state and that will prepare students for employment or graduate studies.

Collaboration with and Impact on Other USHE Institutions

The framework for a four-year degree program in criminal justice at DSC began because of collaboration with Southern Utah University. This collaboration resulted in a three-year incubation period for a DSC program that has now been fulfilled and was valuable in shaping the proposed program. Because of the distinctive emphases in Criminology and in Digital Forensics, the proposed program will meet the unique needs of Washington County as well as the circumstances created by the rise in cyber crime.

For the 2010-2011 academic year, Washington County supplied approximately 6% of Southern Utah University's freshman class and about 9% of its total student body. By contrast, over 60% of

DSC's freshman class comes from Washington County. The addition of this proposed degree is not expected to negatively affect Southern Utah University's student population.

Additionally, an external reviewer from Utah Valley University was contracted to provide a review of the program.

Section IV: Program and Student Assessment

Program Assessment

Student assessment is a crucial component of the proposed Criminal Justice program. The degree's curricula have been designed to address four primary goals: 1) provide a base knowledge of the criminal justice system; 2) provide scientific pursuit of criminal behavior causation; 3) develop critical thinking skills in Criminal Justice, specifically in Criminology or Digital Forensics; and 4) apply the study of Criminal Justice to real world phenomena and practical situations. These goals and their respective learning outcomes can be found in detail in Appendix E.

Expected Standards of Performance

Program graduates will be expected to achieve the learning outcomes represented in Appendix E. These standards were adapted from guidelines utilized by similar programs and tailored to fit DSC's unique institutional vision and mission. Each course will be aligned with specific learning outcomes, thus ensuring that students meet expected performance standards.

Summative

The program contains a senior-year capstone course, CJ 4800 Capstone Research in Criminology and Criminal Justice. This course is designed to give students an opportunity to put into practice the knowledge and skills developed through the program and will thus provide an overall assessment of student achievement relative to program learning outcomes.

As part of the capstone course, students will complete the ETS Major Field test for Criminal Justice. This will provide summative data that can be compared to nationally normed results.

Formative

Faculty will use the learning outcomes identified Appendix E to assess student progress as they advance through the program. Various assessment tools will be used including quizzes, tests, written assignments, and applied learning activities. This ongoing assessment will enable faculty to target necessary adjustments in student learning toward fulfillment of program outcomes.

To further assess the proposed program, a group of faculty from closely-allied departments, prospective employers, and program graduates will be asked to form an advisory committee to regularly evaluate and guide the program.

Section V: Finance

Statement of Financial Support

Legislative Appropriation	<input type="checkbox"/>
Grants	<input checked="" type="checkbox"/>
Reallocated Funds	<input checked="" type="checkbox"/>
Tuition dedicated to the program	<input checked="" type="checkbox"/>
Other	<input type="checkbox"/>

Budget

	Year 1	Year 2	Year 3	Year 4	Year 5
Students					
Projected FTE Enrollment	100	110	120	130	140
Cost Per FTE	\$1,796	\$1,683	\$2,241	\$2,136	\$2,047
Student/Faculty Ratio	40:1	44:1	32.3:1	37.1:1	40:1
Projected Headcount	130	145	155	170	180
Projected Tuition					
Gross Tuition	\$164,400	\$180,840	\$197,280	\$213,720	\$230,160
Tuition to Program	\$54,745	\$59,677	\$65,694	\$71,168	\$75,952
5 Year Budget Projection					
	Year 1	Year 2	Year 3	Year 4	Year 5
Expense					
Salaries & Wages	\$106,000 ¹	\$109,710	\$164,969	\$170,743	\$176,719
Benefits	\$51,100	\$52,889	\$81,520	\$84,373	\$87,327
Total Personnel	\$157,100	\$162,599	\$246,489	\$255,116	\$264,046
Current Expense	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000
Travel	\$2,500	\$2,500	\$2,500	\$2,500	\$2,500
Capital	\$0	\$0	\$0	\$0	\$0
Library Expense	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000
Total Expense	\$179,600	\$185,099	\$268,989	\$277,616	\$286,546
Revenue					
Legislative Appropriation	0	0	0	0	0
Grants	\$64,105	\$64,367	\$141,359	\$144,512	\$148,075
Reallocation	\$60,750	\$61,055	\$61,446	\$61,936	\$62,519
Tuition to Program	\$54,745	\$59,677	\$65,694	\$71,168	\$75,952
Total Revenue	\$179,600	\$185,099	\$268,989	\$277,616	\$286,546
Difference					
Revenue-Expense	\$0 -	\$0 -	\$0 -	\$0 -	\$0 -

¹ Assumes an average individual full-time faculty salary of \$48,000 (two positions years 1 and 2 and three positions years 3 through 5), part-time faculty at \$10,000, full-time benefits at \$25,000 per position and 11% for part-time faculty. Also assumes salary increases of 3.5 percent per year.

Budget Comments

Revenues from funding sources are projected to at least equal anticipated program costs. Currently two full-time faculty and one part-time faculty support the instructional needs of the program. With projected enrollment growth, it is anticipated a third full-time faculty member will be required by the third year. Projected revenues are sufficient to cover this additional cost.

Funding Sources

Funding for the proposed degree will come from grants, institutional funds from state allocations and new tuition revenue (depending on future budgetary conditions). Recently, the United States Senate awarded DSC \$1,000,000 to initiate the Southwest Regional Cyber Crime Institute (SWRCCI). These funds have been used to hire new faculty and pay library costs, among other things. Another grant of \$400,000 has been awarded to continue funding the SWRCCI.

Reallocation

Existing available tuition revenue will be reallocated to the program as necessary. Funds currently used to support the Criminal Justice associate's degree program will be used to meet program needs. It is anticipated that the core needs of both the associate's degree and baccalaureate degree programs can be supported from these resources. The institution will continue to seek for grant funding to supplement and add value to the program.

Impact on Existing Budgets

It is anticipated that no existing budgets external to the program will be impacted.

Appendix A Faculty

Faculty

1. Paul E. (Lish) Harris, Assistant Professor
B.S., Sociology, Brigham Young University, 2005
M.S., Sociology, Brigham Young University, 2007
Ph.D., Criminology and Criminal Justice, Florida State University, 2011
2. Gary Cantrell, Instructor
B.S., Computer Science, Mississippi State University, 2001
M.S., Computer Science, Mississippi State University, 2004
Ph.D., Computer Science, Mississippi State University, expected 2013

Part-Time Faculty

1. Abby L. McDonald-Gallentine, Lecturer/Advisor
B.A., Political Science, Loras College, 1986
Juris Doctorate, Drake University Law School, 1988
M.S., Counseling, University of Phoenix, 2008

Appendix B Library Resources

Current DSC Val A. Browning Library Databases and Other Resources Supporting a Baccalaureate Program in Criminal Justice

- **Academic Search Premier (EBSCOhost)**: scholarly, multi-disciplinary, database; with full text coverage of 4600 journals in a range of subjects.
- **America History & Life**: A database covering the history and culture of the United States and Canada from prehistory to the present. With selective indexing for 1,700 journals from 1964 to present and full-text coverage of nearly 200 journals and more than 100 books.
- **Association of Computing Machinery (ACM) Digital Library**: authoritative database that provides indexing, abstracts, and full text of magazines, journals and proceedings of the Association of Computing Machinery.
- **Business Source Premier**: Full text for more than 1,100 peer-reviewed journals. Full text is provided back to 1965, and searchable cited references back to 1998.
- **Communication & Mass Media Complete**: Indexing and abstracts for more than 570 journals, and selected ("priority") coverage of nearly 200 more, for a combined coverage of more than 770 titles. Furthermore, this database includes full text for over 450 journals.
- **Computer Source**: Full-text articles for more than 300 publications (journals and trade publications, and indexing and abstracts for 450 titles.
- **Ethnic NewsWatch** (ProQuest): 2.2 million articles from more than 330 publications offering both national and regional coverage of often overlooked perspectives, dating back to 1990.
- **GenderWatch** (ProQuest): 260 titles, with more than 240 in full-text, from an array of academic, radical, community and independent presses.
- **JSTOR**: A scholarly journal archive that provides image and full text access to archival (more than 5 years old) scholarly journals in various subject areas. Can do basic or advanced searches of journals, as well as browse journals by subject or discipline.
- **Legal Collection (EBSCOhost)**: Containing full text for more than 300 of the world's most respected, scholarly law journals, this database is an authoritative source for information on current issues, studies, thoughts and trends of the legal world.
- **LexisNexis Academic**: Indexing and full text documents for over 5600 news, business, legal, medical and reference publications with a variety of flexible search options. This is an excellent database for information on current issues or business.
- **Military & Government Collections (EBSCOhost)**: *Military & Government Collection* provides full text for nearly 300 journals and periodicals. The database also offers indexing and abstracts for more than 400 journals. Publications covered in this database include *FBI Law Enforcement Bulletin*, *Foreign Affairs*, and many more.
- **National Criminal Justice Reference Service Abstracts (NCJRS)**: Contains summaries of more than 200,000 criminal justice, juvenile justice, and substance abuse resources.
- **Project Muse**: Full-text of over 40 scholarly journals from the Johns Hopkins University Press. A variety of topics is covered, including anthropology, area studies, art, classics, economics, education, film, geography, history, language, literature, mathematics, medicine, music, performing arts, philosophy, psychology, religion, science, and sociology.
- **PsychARTICLES**: full text of the 72 premier APA journals, with coverage from 1894 to the present.

- **Psychology & Behavioral Science Collection (EBSCOhost)**: Extensive full text coverage in the areas of psychology and behavioral sciences--EBSCO interface for searching. This database provides support for the psychology program.
PsycINFO (EBSCOhost): Covering 1887 to the present, *PsycINFO* contains citations and summaries from the world's periodical and book literature in psychology and psychological aspects of related disciplines from more than 1,700 periodicals in over 30 languages.
- **Sage Journals Online**: Sage Journals are available through the same page as the Sage eReference Encyclopedias. Dixie State College as subscriptions to selected journals and articles for other journals may be ordered using ILLIAD (the campus interlibrary loan system). Users will want to select the "Sage content available to me" when doing searches in order to access full text articles available on campus first.
Science Direct College Edition (Elsevier Journals): Excellent full-text coverage of Health & Life Sciences, Social & Behavioral Sciences, and Physical Sciences journal articles from more than 2,500 peer-reviewed journals, including many Computer Science titles.
Social Sciences Citation Index (Web of Science): Consolidated searching of Science Citation Index, Social Science Citation Index, & Arts and Humanities Index.
- **Library Catalog**: The catalog provides access to thousands of print, electronic, and video resources housed in or accessed through the library.
Electronic Books: Thousands of scholarly titles in the following collections: ebrary, netLibrary, and Safari Tech Books Online, as well as online reference sources, including Sage eReference Encyclopedias; Oxford Digital Reference Shelf; Oxford Reference Online, Gale Virtual Reference Library, Salem Health Library, and Salem History.
WorldCat: Access to the collections of thousands of worldwide libraries. Items may be ordered through interlibrary loan.

DSC Library Resource Assessment

Criminal Justice Resources in the Val A. Browning Library

Prepared February 2011

Part of the mission of the Val A. Browning Library is to provide and make available library resources to support the curricular and research needs of the Dixie State College of Utah (DSC) community, to assist them in finding and using information available at DSC and elsewhere, and to encourage lifelong learning. In this spirit this report is prepared and submitted.

LibraryGuides (LibGuides) : Criminal Justice LibGuide

(<http://libguides.dixie.edu/criminaljustice>) gives assistance/guidance with identified and selected Criminal Justice Library and Internet resources. This is an important starting place for Criminal Justice Library research. There are also other LibGuides to assist with related topics; such as, A-Z Resource List of databases, Citation guides for APA and MLA, General Reference, and How To—a library research tool.

Books, Audiovisual, etc. : Many Library materials are searched through Library's online catalog. Books are used for more in-depth, broader-coverage information, rather than the more current and focused information found in articles. Library holdings include approximately 50,000 electronic

books from ebrary (wide variety of subjects), netLibrary (more selective), and Safari (computer/technology).

Library Databases : Appropriate databases may be found via: **(1)** general/multi-subject list, **(2)** subject list (Criminal Justice), **(3)** alphabetical list of all databases, and **(4)** Criminal Justice LibGuide. Depending on the database, researchers may find magazine and journal articles, books, reviews, reference materials, etc.

Database Recommendations : The Library recommends licensing at least one additional database specifically focusing on Criminal Justice:

- | | |
|---|---------------|
| a. EBSCO's Criminal Justice Abstracts <u>with Full-Text</u> | \$ 5,400.00 * |
| b. EBSCO's Criminal Justice Abstracts (regular, with abstracts) | \$ 3,000.00 |
| c. ProQuest's Criminal Justice Periodicals | \$ 2,802.00 * |

- *** EBSCO's Criminal Justice Abstracts with Full-Text.** This database is the full-text counterpart of Criminal Justice Abstracts. This resource includes bibliographic records and full text covering essential areas related to criminal justice and criminology. The increasing globalization of criminology is reflected in Criminal Justice Abstracts with Full Text's coverage of hundreds of journals from around the world. Includes more than 300,000 records, full-text for more than 200 magazines and journals, full-text books & monographs, etc.
- **EBSCO's Criminal Justice Abstracts** (regular). Formerly produced by Sage Publications, this database includes bibliographic records covering essential areas related to criminal justice and criminology. The increasing globalization of criminology is reflected in *Criminal Justice Abstracts'* coverage of hundreds of journals from around the world. Over 270 titles are now presented with cover-to-cover coverage. Other new features include searchable references for over 130 titles, and a Publications Authority of key titles.
- *** ProQuest's Criminal Justice Periodicals.** Formerly ProQuest Criminal Justice Periodicals Index or CJPI, this is a comprehensive database supporting research on crime, its causes and impacts, legal and social implications, as well as litigation and crime trends. It bridges theory with practice by providing information geared to those interested in careers in criminal justice, law enforcement, corrections, drug enforcement, rehabilitation, family law, and industrial security – as well as scholars and other researchers who study the causes, trends, and societal impacts of crime. Includes resources (1969-current) for U.S. and international scholarly journals; corrections and correctional and law enforcement trade publications; and reports, news, crime statistics, and crime blogs. Almost half of the records available are in full-text, and the content continues to grow as full-text content is added to increase the scope of this resource.

Library Services :

1. **ILLiad (Interlibrary Loan) :** Used to request articles that are not available full-text in any DSC databases. Electronic delivery of articles to requestor's ILL account usually occurs within 24-48 hours (1-2 working days).
2. **Course Reserve (Reserve Collection) :** Instructors may place materials in Course Reserve, located at the Library's Circulation Desk, when items need to be shared by multiple students. These materials have limited check-out periods and may be required to be used in the Library only (set by instructors).

3. **Reference Assistance** : Reference assistance is provided by Librarians as they match information needs with appropriate resources
4. **Reciprocal Borrowing** : DSC students may use their DSC ID card to borrow books in person at any college or university library in Utah and Nevada. These materials may be returned to the DSC Library and they will be returned to the lending institution free of charge.

Facilities :

1. Wi-Fi for registered laptops.
2. Research computers in Reference area, with librarians nearby.
3. Smith Computer Lab in Library.
4. Quiet Zone study areas.
5. Group study rooms.
6. Collaborative learning area, with moveable chairs, tables, large whiteboard.
7. Group viewing room.

Financial Support : Support from the Library for Criminal Justice books, audiovisual materials, databases, and other resources requires additional ongoing funds. As the situation currently stands, the Library has no funds to acquire these resources. It is estimated that ongoing funds in the amount of \$10,000.00 per year will be required to support the Criminology and Digital Forensics emphases in the proposed Bachelor of Science in Criminal Justice degree.

Appendix C

Program Curriculum

Criminal Justice baccalaureate students will have two options: a Bachelor of Science (BS) degree or a Bachelor of Arts (BA) degree. The proposed BS degree will have five basic curricular components: 1) General Education courses (34 credits); 2) Core Criminal Justice Major courses (21 credits); 3) Criminology or Digital Forensics emphasis area courses (30 credits); and 5) Elective courses (up to 37 credits for the BS and 21 credits for the BA). The proposed BA degree will have a sixth curricular component: 6) Foreign Language courses (16 credits). These curricular requirements are illustrated in the following tables:

BS/BA Criminal Justice Degree Credits Summary

	BS	BA
General Education	34	34
Criminal Justice Core	21	21
Emphasis Area	30	30
Other Electives	37	21
Foreign Language	0	16
Total Credits	122	122

All Program Courses: Summary

Course Prefix & Number	Title	Credit Hours
Core Courses	Complete all of the following courses:	
CJ 1010	Introduction to Criminal Justice	3
CJ 1330	Criminal Law	3
CJ 1340	Criminal Investigation	3
CJ 3270	Criminology	3
CJ 3300	Research Methods in Criminology and Criminal Justice	3
CJ 4200	Ethical Issues in Criminal Justice	3
CJ 4800	Capstone Research in Criminology and Criminal Justice	3
	Sub-Total	21
Select one emphasis:		
Criminology Emphasis	Complete 10 of the following courses:	
CJ 1300	Introduction to Corrections	3
CJ 1390	Police Field Operations	3

CJ 2020	Criminal Justice Supervision	3
CJ 3200	Policing in U.S. Society	3
CJ 3320	Criminal Procedure	3
CJ 3350	American Jails and Prisons	3
CJ 3400	Drugs and Crime	3
CJ 3500	White Collar Crime	3
CJ 3710	Crimes Against Humanity	3
CJ 4020	Urban Crime	3
CJ 4100	Social Control	3
CJ 4260	The Criminology and Policing of Terrorism	3
CJ 4890	Criminal Justice Internship	1 – 3
CJ 4900	Special Issues in Criminology and Criminal Justice	3
	Sub-Total	30
Digital Forensics Emphasis		
	Complete all of the following courses:	
CJ 1900	Introduction to Computer Related Crimes	3
CJ 2500	Computer Hardware Basics	3
CJ 2700	Introduction to Digital Forensics	3
CJ 3900	Digital Forensic Tools	3
CJ 3950	Windows Forensics	3
	Complete two (2) of the following courses:	
CJ 3810	Advanced Digital Forensics	3
CJ 4250	Mac Forensics	3
CJ 4700	File Systems Analysis	3
CJ 4750	Small Device Forensics	3
IT 2400	Introduction to Networking	3
	Complete three (3) additional upper-division Criminal Justice courses	9
	Sub-Total	30
	Total Number of Program Credits	51

**Appendix D
Program Schedule**

Bachelor of Science in Criminal Justice

Semester 1	
Course	Credits
CJ 1010 Introduction to Criminal Justice	3
MATH 1040 Introduction to Statistics	3
ENGL 1010 Introduction to Writing	3
LIB 1010 Information Literacy	1
American Institutions GE Approved Course	3
Additional Elective Course	3
Total	16
Semester 2	
Course	Credits
CJ 1330 Criminal Investigation	3
ENGL 2010 Intermediate Writing	3
Life Sciences GE Approved Course	3
Laboratory Science GE Approved Course	1
Social and Behavioral Sciences GE Approved Course	3
Additional Elective Course	3
Total	16
Semester 3	
Course	Credits
CJ 1340 Introduction to Criminal Law	3
Fine Arts GE Approved Course	3
Physical Sciences GE Approved Course	3
GE Exploration Course	3
Additional Elective Course	3
Total	15
Semester 4	
Course	Credits
CJ 3270 Criminology	3
CJ 3900 Research Methods in Criminology and Criminal Justice	3
Emphasis Course	3
Literature/Humanities GE Approved Course	3
Additional Elective Course	3
Total	15
Semester 5	
Course	Credits
Emphasis Course	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	3

Additional Elective Course	3
Total	15
Semester 6	
Course	Credits
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	3
Additional Elective Course	3
Additional Elective Course	3
Total	15
Semester 7	
Course	Credits
CJ 4200 Ethical Issues in Criminal Justice	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	3
Additional Elective Course	3
Total	15
Semester 8	
Course	Credits
CJ 4910, Capstone Research in Criminology and Criminal Justice	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	3
Additional Elective Course	3
Total	15

Total Credits = 122

Bachelor of Arts in Criminal Justice

Semester 1	
Course	Credits
CJ 1010 Introduction to Criminal Justice	3
MATH 1040 Introduction to Statistics	3
ENGL 1010 Beginning Writing	3
LIB 1010 Information Literacy	1
American Institutions GE Approved Course	3
Additional Elective Course	2
Total	15
Semester 2	
Course	Credits
CJ 1340 Criminal Investigation	3
ENGL 2010 Intermediate Writing	3
Life Sciences GE Approved Course	3
Laboratory Science GE Approved Course	1
Social and Behavioral Sciences GE Approved Course	3
Additional Elective Course	3
Total	16
Semester 3	
Course	Credits
CJ 1340 Introduction to Criminal Law	3
Literature/Humanities GE Approved Course	3
Physical Sciences GE Approved Course	3
Additional Elective Course	2
Foreign Language Course	4
Total	15
Semester 4	
Course	Credits
CJ 3270 Criminology	3
CJ 3900 Research Methods in Criminology and Criminal Justice	3
Fine Arts GE Approved Course	3
GE Exploration Course	3
Foreign Language Course	4
Total	16
Semester 5	
Course	Credits
Emphasis Course	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	2
Foreign Language Course	4
Total	15
Semester 6	

Course	Credits
Emphasis Course	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	2
Foreign Language Course	4
Total	15
Semester 7	
Course	Credits
CJ 4200 Ethical Issues in Criminal Justice	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	3
Additional Elective Course	3
Total	15
Semester 8	
Course	Credits
CJ 4910 Capstone Research in Criminology and Criminal Justice	3
Emphasis Course	3
Emphasis Course	3
Additional Elective Course	3
Additional Elective Course	3
Total	15

Total Credits = 122

Appendix E

Criminal Justice Bachelor's Degree Learning Goals and Outcomes

Core Program Goal #1: Provide a Base Knowledge of the Criminal Justice System

Learning Outcomes:

- A.** Define the major components of the criminal justice system and the fundamental processes that take place therein.
- B.** Explain the vital role each branch plays in order for the criminal justice system as a whole to perform its proper function.
- C.** Identify the responsibilities and challenges faced by professionals working in the principle branches of the criminal justice system.
- D.** Discuss the process of the development, enforcement, reformation, and behavior of law.

Core Program Goal #2: Communicate the Scientific Pursuit of the Causes of Criminal Behavior

Learning Outcomes:

- A.** List the major criminological theories that have been developed to describe the root causes of criminality.
- B.** Define the causal arguments outlined by these fundamental theories.
- C.** Compare and contrast varying theoretical frameworks.
- D.** Understand basic methodological techniques employed in past and current research done on the causes of criminal behavior and the interworkings of the criminal justice system.
- E.** Identify and interpret research that illuminates the strengths and weaknesses of current criminal justice policy, as well as research that attempts to reveal the causes of criminal behavior.

Specific Goals for the Emphasis in Criminology

Criminology Emphasis Goal #1: Develop Critical Thinking Skills in Criminology and Criminal Justice

Learning Outcomes:

- A.** Distinguish personal views from knowledge based on empirical research that addresses criminal behavior and the criminal justice system.
- B.** Connect real, diverse facts to criminological theories.
- C.** Collect and use empirical evidence in drawing conclusions and in practice.
- D.** Apply problem solving strategies to create solutions to the many challenges faced by those working in and controlled by the criminal justice system.

Criminology Emphasis Goal #2: Application of Criminology and the Study of Criminal Justice

Learning Outcomes:

- A.** Use criminological theory and crime trends to address criminal behavior within certain contexts.
- B.** Evaluate the costs and benefits of criminal justice programs and policies.

- C.** Identify key applied areas in the discipline and determine whether an applied specialty can provide a solution for a given problem.
- D.** Apply criminological theory and proper research methods to varying criminal behaviors or functions within the criminal justice system.

Specific Goals for the Emphasis in Digital Forensics

Digital Forensics Emphasis Goal #1: Extend the Criminal Justice Base Knowledge Set by Exploring the Subset of Crimes Known as Cybercrimes

Learning Outcomes:

- A.** Understand current technologies, and how these are misused to commit cybercrime.
- B.** Differentiate cybercrime from other criminal activity by using computer base knowledge and current case studies
- C.** Explore the problems faced by criminal justice professionals through the examination of the yet to be solved challenges resulting from the emergence and proliferation of cybercrime.
- D.** Apply problem solving strategies and sound research to create solutions to the many challenges faced by those dealing with cybercrimes and cybercriminals.

Digital Forensics Emphasis Goal #2: Application of Digital Forensic Tools and Methodologies for Use in Criminal Justice Proceedings

Learning Outcomes:

- A.** Understand different digital forensic methodologies and the correlation of those methodologies for the various environments and situations that can be encountered.
- B.** Evaluate the costs and benefits of the application of digital forensic to court proceedings.
- C.** Know the place digital forensics holds in present criminal justice activity and identify trends that can predict new aspects that will become important in the future.
- D.** Identify each phase of the digital forensic process and apply each phase to current technologies in such a manner that will result in admissible evidence.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Salt Lake Community College Associate of Applied Science in Fashion Design and Merchandising with Emphases

Issue

Officials at Salt Lake Community College (SLCC) request approval to offer an Associate of Applied Science Degree in Fashion Design and Merchandising, Spring Semester 2012. The SLCC institutional Board of Trustees has approved this program on August 10, 2011. The proposed program was approved by the Regents' Program Review Committee on August 17, 2011 and recommended to move forward to the full board.

Background

The proposed AAS degree in Fashion Design and Merchandising will prepare students for careers in the fashion industry and provide a solid foundation for students who want to continue their education at four-year institutions. Fundamentals of design, fashion illustration, textiles, history of fashion, professional draping, patternmaking, and sewing techniques are among the many subjects students will learn as they take designs from concept to finished garment. Students will have the option of choosing from three emphases including: Fashion Design, Fashion Merchandising, or Technical Design.

The market demand for people with skills in fashion design and merchandising is and will remain strong. Economic Modeling Specialists, Inc., projects the number of jobs in Fashion/Apparel Design along the Wasatch Front to increase from 163 to 185 by 2020 with eight annual openings (a growth rate of 14%). For Fashion Merchandising, the Utah Department of Workforce Services projects above average growth with a high volume of annual job openings (approximately 1,850 per year) along the Wasatch Front (DWS, 2011).

Policy Issues

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

Commissioner's Recommendation

The Commissioner recommends the Regents approve the Request to Offer an Associate of Applied Science in Fashion Design and Merchandising Degree, effective Spring Semester, 2012.

William A. Sederburg, Commissioner

WAS/GW
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Associate of Applied Science Fashion Design and Merchandising

Salt Lake Community College

Prepared for
William A. Sederburg

By
Gary Wixom

September 7, 2011

Section I: The Request

Salt Lake Community College requests approval to offer an Associate of Applied Science in Fashion Design & Merchandising effective Spring Semester 2012. This program has been approved by the institutional Board of Trustees on 10 August 2011.

Section II: Program Description

Complete Program Description

Salt Lake Community College's AAS degree in Fashion Design & Merchandising will prepare students for careers in the fashion industry and provide a solid foundation for students who want to continue their education at four-year institutions. Fundamentals of design, fashion illustration, textiles, history of fashion, professional draping, patternmaking, and sewing techniques are among the many subjects students will learn as they take designs from concept to finished garment. In addition, the Fashion Merchandising emphasis includes courses covering the business aspects of fashion retail. This program will guide students to become not only a designer with their own creative vision but also a professional prepared to take their place in this exciting industry.

Purpose of Degree

The Fashion Design & Merchandising Associate of Applied Science degree will prepare students for employment in the fashion industry. In addition, many students study fashion design for personal enrichment as it enables them to design and make their own custom clothing or perform alterations.

Institutional Readiness

The Fashion Design & Merchandising degree, together with the other proposed fashion programs, adds an additional credential option for students in the current Fashion Design Certificate of Completion program that desire additional preparation for business and industry. The total number of students served by the Fashion Design & Merchandising programs is not expected to increase due to the additional options for program completion (including this proposed AAS option). SLCC has the faculty and support structures in place to support these additional credential options.

Faculty

The existing Fashion Design Certificate of Completion program employs 13 adjunct faculty qualified both by relevant educational credentials and significant industry experience. The proposed AAS offers an additional educational outcome for students and will utilize the same faculty as the current Certificate of Completion.

Staff

The existing Fashion Design program is supervised by a full-time staff director and receives administrative support from the division office staff for the Division of Arts and Communication. No new staff will be required to support this program.

Library and Information Resources

In addition to the general collection and periodicals acquired by SLCC's Markosian Library, the Fashion Design program maintains a collection of relevant reference materials and periodicals at the Library Square Center, the primary location for fashion design courses.

Admission Requirements

This is an open enrollment program. There will be no admissions requirements beyond the College's math and reading prerequisites associated with the general education courses included in this proposal.

Student Advisement

In addition to receiving general advising from the SLCC Academic & Career Advising department, students will receive individualized advising and guidance from the program director and adjunct faculty, individuals with specialized knowledge of both the job market and the requirements of SLCC.

Justification for Graduation Standards and Number of Credits

Students must complete a total of 63-69 credits for this program - 15 credits of general education coursework, 15 credits of core fashion design courses, and 33-39 credits of emphasis area courses. The U.S. Department of Labor (2011) describes the following program components:

Education and training: Fashion designers typically need an associate or a bachelor's degree in fashion design. Some fashion designers also combine a fashion design degree with a business, marketing, or fashion merchandising degree, especially those who want to run their own business or retail store. Basic coursework includes color, textiles, sewing and tailoring, pattern making, fashion history, computer-aided design (CAD), and design of different types of clothing such as menswear or footwear. Coursework in human anatomy, mathematics, and psychology also is useful.

External Review and Accreditation

As with other programs at SLCC, this program will be subject to accreditation by NWCCU. In creating this proposal, the Program Advisory Committee [PAC] for Fashion Design met to discuss industry perception of the AAS degree, skills necessary for industry, curriculum suggestions and considerations, and evaluation of students in the program. The PAC is extremely supportive of this program and identified both academic and industry needs that are included in this proposal. The PAC consists of:

Nannette Holmberg, owner of Private Collection	801-485-6806
Robin Dunn, owner of The Perfect Dress	801-568-3737
Bart Strigham, owner of Utah Woolen Mills	801-364-1851
Ted Young, owner of Copper Rivet	801- 487-0757
Susan Allred, costume designer @ Utah Opera	801-736-4609
Jill Bennion, owner of Richelle's	801- 272-3111
Susan Carlson, independent designer	801-518-7267
David Hewel, costume designer @ Ballet West	801-532-1655

Projected Enrollment*

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
AY12	150	13	21.1	N/A
AY13	155	13	21.9	N/A
AY14	170	13	23.7	N/A
AY15	185	13	26.3	N/A
AY16	200	13	28.1	N/A

**Note: These are enrollments for the entire Fashion Design department (including all proposed programs).*

Expansion of Existing Program

This program is an expansion of the existing Fashion Design program. Below are enrollments for the past three years since the program was created.

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
AY08	51	10	13.6	N/A
AY09	93	13	19.1	N/A
AY10	116	13	21.0	N/A

Section III: Need**Program Need**

Many students wish to pursue training in Fashion Design and Merchandising both for employment and personal interest. The fashion industry along the Wasatch Front continues to be robust, and opportunities abound for graduates in both industry and entrepreneurial settings. Many students also pursue fashion design coursework for their personal benefit.

Labor Market Demand

Economic Modeling Specialists, Inc. projects the number of jobs in Fashion/Apparel Design along the Wasatch Front to increase from 163 to 185 by 2020 with 8 annual openings (a growth rate of 14%). For Fashion Merchandising, the Utah Department of Workforce Services projects above average growth with a high volume of annual job openings (approximately 1,850 per year) along the Wasatch Front (DWS, 2011). Growth in online retail sales together with continued demand for site-based retail salespersons is responsible for this trend. In addition to these wage-earning jobs with department stores, small boutiques, and other retail outlets, many of the previous Fashion Design Certificate of Completion graduates have started their own businesses or do contract work for various organizations. They work in alterations, in the bridal area, and for fine arts organizations such as Ballet West and the Utah Opera. Nine of last year's 17 graduates are working full-time in the field of fashion, and four of these are self-employed.

Student Demand

The Fashion Design director receives an estimated two phone calls daily regarding the program, and most of those calling eventually enroll in the program. Enrollment has increased by more than

200% in the past three years with students coming from both Utah and elsewhere (including a diverse group of international students).

Similar Programs

Because of its location at the center of the fashion industry in Salt Lake City, SLCC is uniquely positioned to offer this program and to prepare students for employment and further study at the baccalaureate level. Fashion Design and Fashion Merchandising programs are offered by Brigham Young University at the baccalaureate level, Weber State University offers an AAS in Sales & Service Technology with a Fashion Merchandising emphasis, and the Bridgerland College of Applied Technology offers a certificate in Fashion Merchandising. The Art Institutes of Salt Lake also offer a diploma and baccalaureate degree in Fashion Merchandising.

Collaboration with and Impact on Other USHE Institutions

Baccalaureate degrees in Fashion Design are offered only at private institutions in Utah. SLCC has cultivated and maintains excellent relationships with these programs and encourages interested students to pursue further education.

Benefits

This program encourages individuals interested in fashion design to remain in Utah to pursue higher education rather than leaving for programs on the west and east coasts and highlights the Utah System of Higher Education's commitment to serve Utah citizens with a wide variety of educational options.

Consistency with Institutional Mission

This program aligns with SLCC's mission to prepare students for local business and industry and to provide lifelong learning opportunities to community members.

Section IV: Program and Student Assessment

Program Assessment

Program objectives include the following:

College-wide Student Learning Outcome	Fashion Design & Merchandising AAS degree Program-level Student Learning Outcomes
1,2,3,4,5	Students will understand the history of fashion and the basic theories of fashion design (color, line, shape, texture, scale, and proportion), patternmaking, illustration, and construction of garments.
1,2,3,4,5	Students will demonstrate substantive knowledge in the following : <ul style="list-style-type: none">• Strategy and marketing know how• analytical, communication• visual skill sets
3,5	Students will exhibit professionalism through high quality presentations; effective sales techniques; efficient organization; and work cooperatively with clients and co-workers.
3,5	Students will have the opportunity to learn about the various employment options available through internships

3,5	Students will create high quality portfolios that can be used for job applications. Portfolios will reflect class work and projects completed during internships.
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Expected Standards of Performance

Students will complete 15 credits of designated General Education courses, 15 credits of Fashion Design & Merchandising core courses, and 33-39 credits of emphasis area courses. Students will complete an internship within a related field. The annual Raw Couture fashion show will expose the student's performance to professionals in the field and provide them with valuable feedback.

Section V: Finance

Budget

Financial Analysis Form for All R401 Documents					
Students	Year 1	Year 2	Year 3	Year 4	Year 5
Projected FTE Enrollment	120	124	136	148	160
Cost Per FTE	\$1,667	\$1,703	\$1,654	\$1,604	\$1,579
Student/Faculty Ratio	21.1	21.9	23.7	26.3	28.1
Projected Headcount	150	155	170	185	200
Projected Tuition	Year 1	Year 2	Year 3	Year 4	Year 5
Gross Tuition	\$272,160	\$295,294	\$340,065	\$388,571	\$441,081
Tuition to Program	\$108,864	\$118,118	\$136,026	\$155,428	\$176,432
5 Year Budget Projection					
Expense	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries & Wages	\$164,875	\$175,463	\$186,733	\$198,728	\$211,493
Benefits	\$24,000	\$24,480	\$24,970	\$25,469	\$25,978
Total Personnel	\$188,875	\$199,943	\$211,702	\$224,197	\$237,471
Current Expense	\$10,000	\$10,000	\$12,000	\$12,000	\$14,000
Travel	\$1,200	\$1,200	\$1,200	\$1,200	\$1,200
Capital					
Library Expense					
Total Expense	\$200,075	\$211,143	\$224,902	\$237,397	\$252,671
Revenue	Year 1	Year 2	Year 3	Year 4	Year 5
Legislative Appropriation					
Grants & Contracts					
Donations					
Reallocation	\$81,211	\$83,025	\$76,876	\$69,968	\$62,239
Tuition to Program	\$108,864	\$118,118	\$136,026	\$155,428	\$176,432
Fees	\$10,000	\$10,000	\$12,000	\$12,000	\$14,000
Total Revenue	\$200,075	\$211,143	\$224,902	\$237,397	\$252,671
Difference					
Revenue-Expense	\$0	\$0	\$0	\$0	\$0

**NOTE: This budget includes all Fashion Design/Merchandising students in all degree and certificate options.*

Funding Sources

This program will be funded with a combination of internal reallocation and student tuition.

Reallocation

Funds for the proposed Fashion Design & Merchandising programs will be reallocated from the existing Fashion Design Certificate of Completion.

Impact on Existing Budgets

Base budget funds currently allocated for the Fashion Design Certificate of Completion will be spread across the proposed Fashion Design & Merchandising programs. The total number of students served is expected to grow slowly over time, and additional tuition revenues will fund program growth.

Appendix A: Program Curriculum

All Program Courses

Course Prefix & Number	Title	Credit Hours
General Education		
Composition (3 credits): ENGL 1010	Introduction to Writing (EN)	3
Quantitative studies (3-4 credits): ART 1210	Math for Visual Arts (QS)	3
FIN 1380	Financial Mathematics (QS)	3
MATH 1010	Intermediate Algebra (QS)	4
BCCM 1100	Construction Math (QS)	3
Communication (3 credits): COMM 1010	Elements of Effective Communication (CM)	3
COMM 1020	Principles of Public Speaking (CM)	3
CTEL 1020	Career Speech Skills (CM)	3
Human Relations (2-3 credits): ART 1150	Art Foundation Seminar (HR)	2
COMM 2110	Interpersonal Communication (HR,ID)	3
CTEL 1010	Leadership & Team Building (HR)	3
LE 1220	Human Relations for Career Development	3
MKTG 1010	(HR)	3
MKTG 1960	Customer Service (HR)	3
Distribution Area (3 credits): Choose an additional three credits from one of the following distribution areas (BS, FA, HU, PS, SS, ID). The following courses are recommended:	Professionalism in Business (HR)	
ARTH 2710 (HU)		3
ARTH 2720 (HU)	Art History: Prehistory/Renaissance (HU)	3
MKTG 1050 (ID)	Art History: Renaissance/Contemporary (HU)	3
PHIL 1130 (ID, DV)	Consumerism (ID)	3
	Personal Ethics (ID,DV)	
	Subtotal:	15
Fashion Design & Merchandising Core Courses		
FASH 1010	Introduction to Fashion	3
FASH 1210	Fashion Illustration I	3
FASH 1250	Textiles	3
FASH 2220	Fashion Illustration II	3
FASH 2450	Portfolio Development	3
	Subtotal:	15
Fashion Design Emphasis		
FASH 1100	Pattern drafting Essentials	3

Course Prefix & Number	Title	Credit Hours
FASH 1150	Pattern by Measurements	3
FASH 1350	History of Costume	3
FASH 1505	Intermediate Sewing	3
FASH 1610	Knitwear Design	3
FASH 1660	Pattern Drafting Procedures	3
FASH 1680	Digital Pattern Design	3
FASH 1720	Computerized Grading	3
FASH 2030	Advanced Sewing	3
FASH 2150	Draping Fundamentals	3
FASH 2410	Studio I- Collection Development	3
FASH 2440	Studio II- Collection Production	3
FASH 2500	Fashion Entrepreneurship	3
	Subtotal:	39
	TOTAL - Fashion Design Emphasis:	69
Fashion Merchandising Emphasis		
ART 1120	Design	3
FASH 1200	The Art of Fashion	3
FASH 1240	Fashion Buying & Management	3
FASH 1260	Fashion Forecasting	3
FASH 1300	Visual Merchandising	3
FASH 1320	Apparel Analysis	3
FASH 1350	History of Costume	3
FASH 1850	Fashion Show Production	4
FASH 2000	Fashion Internship	3
FASH 2500	Fashion Entrepreneurship	3
FASH 2550	Production & Sourcing	3
<i>Choose one of the following:</i>		
FASH 1370	20th Century Fashion	3
FASH 1640	Millinery	3
FASH 1900	Special Projects	1-3
	Subtotal:	36
	TOTAL - Fashion Merchandising Emphasis:	66
Technical Apparel Design Emphasis		
ART 1120	Design	3
FASH 1100	Pattern Drafting Essentials	3
FASH 1150	Pattern by Measurements	3
FASH 1505	Intermediate Sewing	3
FASH 1610	Knitwear Design	3
FASH 1660	Pattern Drafting Procedures	3
FASH 1680	Digital Pattern Design	3

Course Prefix & Number	Title	Credit Hours
FASH 1720	Computerized Pattern Grading	3
FASH 2050	Pattern Alteration & Fit	3
FASH 2150	Draping Fundamentals	3
FASH 2030	Advanced Sewing	3
	Subtotal:	33
	TOTAL - Technical Apparel Design Emphasis:	63

New Courses to Be Added in the Next Five Years

No new courses are anticipated.

Appendix B: Program Schedule

Fashion Design Emphasis:

Fall 1	Spring 1	Summer 1	Fall 2	Spring 2
FASH 1210 (3 cr)	FASH 1010 (3 cr)	GenEd (3 cr)	FASH 1610 (3 cr)	FASH 2440 (3 cr)
FASH 1250 (3 cr)	FASH 1150 (3 cr)	GenEd (3 cr)	FASH 1660 (3 cr)	FASH 2450 (3 cr)
FASH 1350 (3 cr)	FASH 1505 (3 cr)	GenEd (3 cr)	FASH 2030 (3 cr)	FASH 2500 (3 cr)
FASH 1100 (3 cr)	FASH 1720 (3 cr)		FASH 2150 (3 cr)	FASH 2200 (3 cr)
GenEd (3 cr)	FASH 1680 (3 cr)		FASH 2410 (3 cr)	GenEd (3 cr)
Total: 15 cr	Total: 15 cr	Total: 9 cr	Total: 15 cr	Total: 15 cr

Fashion Merchandising Emphasis:

Fall 1	Spring 1	Summer 1	Fall 2	Spring 2
ART 1120 (3 cr)	FASH 1250 (3 cr)	GenEd (3 cr)	FASH 1350 (3 cr)	FASH 1850 (4 cr)
FASH 1010 (3 cr)	FASH 1260 (3 cr)	GenEd (3 cr)	FASH 2000 (3 cr)	FASH 2450 (3 cr)
FASH 1200 (3 cr)	FASH 1300 (3 cr)	GenEd (3 cr)	GenEd (3 cr)	FASH 2500 (3 cr)
FASH 1210 (3 cr)	FASH 1320 (3 cr)		GenEd (3 cr)	FASH 2550 (3 cr)
FASH 1240 (3 cr)	FASH Elective (3 cr)			
Total: 15 cr	Total: 15 cr	Total: 9 cr	Total: 12 cr	Total: 13 cr

Technical Apparel Design Emphasis:

Fall 1	Spring 1	Summer 1	Fall 2	Spring 2
ART 1120 (3 cr)	FASH 1210 (3 cr)	FASH 1680 (3 cr)	FASH 1610 (3 cr)	FASH 2030 (3 cr)
FASH 1010 (3 cr)	FASH 1250 (3 cr)	GenEd (3 cr)	FASH 1660 (3 cr)	FASH 2150 (3 cr)
FASH 1100 (3 cr)	FASH 1505 (3 cr)	GenEd (3 cr)	FASH 1720 (3 cr)	FASH 2280 (3 cr)
FASH 1150 (3 cr)	GenEd (3 cr)	GenEd (3 cr)	FASH 2050 (3 cr)	FASH 2450 (3 cr)
GenEd (3 cr)				
Total: 15 cr	Total: 12 cr	Total: 12 cr	Total: 12 cr	Total: 12 cr

Appendix C: Faculty

Signe Jacobsen: Natal University ; 50 years of industry & teaching experience.

Helen Hancey: Master's degree in Education with emphasis in clothing and textiles from Brigham Young University; 25 years of industry & teaching experience.

Sandra Ence Paul: Kawashima Textile School, Kyoto, Japan; 46 years working in the fashion industry as a stylist, model & fashion director; 38 years working as a textile artist; 23 years in special events production & teaching.

Danny Nappi: Bachelor's degree from the University of Utah ; 8 years design & teaching experience (2 years at Lovesac as head product designer and 6 years at Nappi as owner/designer).

Maria Skelton: Bachelor's degree in Fashion Design from Brigham Young University; 24 years of industry & teaching experience.

Judy Chapman: Bachelor's degree in Clothing & Textile from University of Utah; over 30 years of industry & teaching experience.

Janet Gleave: Bachelor's degree in Clothing & Textile from Brigham Young university; 23 years of industry & teaching experience.

Janet Kjar: Bachelor's degree in Clothing & Textile from University of Utah; over 30 years of industry & teaching experience.

Matt Monson: Bachelor's degree from the University of Utah; business owner; over 10 years of industry & teaching experience.

Jill Serfustini: Bachelor's degree in Home Economics Education from University of Utah; over 30 years of industry & teaching experience.

Eugene Tachinni: BFA, MFA, and MAT from the University of Utah; 15 years of industry & teaching experience.

Krista Nielson: Bachelor's degree from University of Utah; writer and designer with 7 years of industry experience.

Rachel Domingo: Bachelor's degree in Fashion Design at the Fashion Institute of Design and Merchandising In LA, BFA in Fine Art and Illustration from the University of Utah; 10 years of industry experience.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Salt Lake Community College Associate of Applied Science in Aerospace/Aviation Technology – Professional Pilot, Fixed-Wing

Issue

Officials at Salt Lake Community College (SLCC) request approval to offer an Associate of Applied Science Degree in Aerospace/Aviation Technology – Professional Pilot, Fixed-Wing, effective Fall Semester 2011. The institution's Board of Trustees approved this program on August 10, 2011. The Regents' Program Review Committee approved the program on August 17, 2011 and recommended it move forward to the full board.

Background

This proposal combines the requirements of two existing certificates of completion, Commercial Fixed-Wing and Aviation Business Operations: Fixed-Wing, into a single AAS degree to meet program eligibility requirements placed upon Salt Lake Community College by the Utah Department of Veteran Affairs. Salt Lake Community College offers the only aviation program in Utah approved by the Veterans Administration, and is only one of four such approved programs in the United States.

Student demand has steadily increased for programs focused on commercial pilot training. With the aviation industry poised to experience retirement of baby boom-era commercial pilots combined with the projected growth of the United States and international aerospace industries, the demand for replacement pilots is forecast to remain significant for the next decade and beyond. Salt Lake Community College's fixed-wing pilot program has experienced continued growth over the last several years. Students sponsored by the Veterans Administration currently account for a third of the enrollment in the SLCC aviation programs. It is anticipated that veterans will be a significant enrollment base for this program.

Commercial pilots transport cargo and passengers, and provide instruction and training to other aspiring pilots. After completing the program, it is anticipated that students will find a variety of career opportunities in corporate, commercial, and government operations. The Utah Department of Workforce Services reports a faster than average rate of employment growth for commercial pilots with

a moderate volume of annual job openings (approximately 10 per year for commercial pilots and another 60 per year for pilots in corporate and other settings) along the Wasatch Front.

Policy Issues

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

Commissioner's Recommendation

The Commissioner recommends the Regents approve the request to offer an Associate of Applied Science in Aerospace/Aviation Technology – Professional Pilot, Fixed-Wing, effective Fall Semester 2011.

William A. Sederburg, Commissioner

WAS/BKC
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Associate of Applied Science Degree in Aerospace/Aviation Technology – Profession Pilot, Fixed-Wing

Salt Lake Community College

Prepared for
William A. Sederburg
By
Blair K. Carruth

September 7, 2011

Section I: The Request

Salt Lake Community College (SLCC) requests approval to offer an Associate of Applied Science Degree in Aerospace/Aviation Technology – Professional Pilot, Fixed-Wing effective Fall Semester, 2011. The institution's Board of Trustees approved this program on 10 August 2011.

Section II: Program Description

Complete Program Description

The Aerospace/Aviation Technology - Professional Pilot, Fixed-Wing AAS Degree Program combines certification training with the technical and professional courses necessary to prepare students for careers in aviation. The program combines flight training with technical and professional courses essential for success in the aerospace industry to include flight training leading to FAA rating and endorsements, commercial pilot, CFI and CFI/Instrument, aviation industry operations, and human factors in the flight environment. The program prepares students for careers related to fixed-wing operations within the commercial aerospace/aviation industry to include professional pilots, dispatch, and safety management. Potential employment settings include corporate, commercial, and government operations to include employers such as commercial airlines, the United States military, United States Customs and Border Protection, state wildlife resources, scenic tour companies, aircraft firefighting, and flight instruction. The program prepares students to earn a required commercial rating in addition to a private pilot license.

Role and Mission Fit

This program aligns with SLCC's mission to prepare students for local business and industry and to provide lifelong learning opportunities to community members.

Salt Lake Community College is a multi-campus, comprehensive institution serving a diverse population through lifelong education. The SLCC mission focuses on student needs in an open access setting. Based on this mission, several SLCC commitments are immediately applicable to this proposal for an AAS degree in Aerospace/Aviation Technology – Profession Pilot, Fixed-Wing, including:

- 1) Career and Technical Education resulting in marketable job skills serving a growing aerospace/aviation employment market. The proposed program will prepare students for employment in the aerospace industry as older pilots retire and growth in the airline industry continues.
- 2) General Education and pre-professional programs for transfer to other colleges and universities. The program includes General Education requirements for an AAS degree including Math, English, Communications, Human Relations and distribution areas that transfer to the other USHE institutions.
- 3) This program was initiated to serve the broader community and industry needs by providing the only professional pilot program in the state of Utah that is approved for funding through the Veterans Administration.

Purpose of Degree

The Aerospace/Aviation Technology programs are designed to prepare students for careers in commercial air operations that include occupations such as professional pilots, dispatchers, and safety managers.

Institutional Readiness

This program will utilize existing faculty, staff, and facilities. No new institutional resources will be required. The existing administrative structure, comprised of a division chair who oversees the aerospace and related programs and a dean who oversees many career and technical education programs at SLCC, is capable of supporting this new program without adversely affecting other programs. The program is complementary to existing certificates that stack into this proposed degree.

Faculty

Current faculty are sufficient to meet the AAS degree requirements:

Associate Professor: Fiona Silcox, M.S., Aerospace/Aviation Technology (tenured)

Assistant Professor: Mike Wellman M.S., Aerospace Technology (tenure track)

Instructor: Erwin Zundel M.S., Aerospace Technology (full-time ongoing, not tenure track)

Staff

No additional staff will be required to support the program.

Library and Information Resources

SLCC's Markosian Library maintains a collection of relevant material that supports the existing certificate program. No additional library/informational resources will be needed for the proposed program.

Admission Requirements

Admission is consistent with general SLCC admission procedures and guidelines. This is an open enrollment program. There will be no admissions requirements beyond the College's math and reading prerequisites associated with the general education courses included in this proposal.

Student Advisement

In addition to receiving general advising from the SLCC Academic and Career Advising department, students will receive individualized advising and guidance from the division chair and faculty who have specialized knowledge of both the job market and the requirements of SLCC.

Justification for Graduation Standards and Number of Credits

Students must complete 64 credits for this program, 15 credits of general education coursework and 49 credits of professional pilot courses. These requirements are consistent with Regent and institutional policy for AAS programs.

External Review and Accreditation

Aviation training programs are subject to oversight and approval by the Federal Aviation Administration (FAA). This program and all of SLCC's aviation programs are FAA approved.

Projected Enrollment*

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
AY12	302	3	9.4	N/A
AY13	317	3	10.0	N/A
AY14	333	3	10.6	N/A
AY15	350	3	11.4	N/A
AY16	368	3	12.2	N/A

Expansion of Existing Program*

This program is reconfiguration of the existing Certificates of Completion.

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
AY06	180	3	9.7	N/A
AY07	215	3	7.3	N/A
AY08	190	3	10.5	N/A
AY09	194	3	10.9	N/A
AY10	288	3	8.8	N/A

**Note: These are enrollments for the entire Professional Pilot unit (including A.S. students) and only include enrollment in budget-related courses. Much of the FTE of these programs is generated in self-support individual flight lesson courses, so actual headcount and FTE for the Professional Pilot unit is higher.*

Section III: Need/Market Demand**Program Need**

This program fills a growing industry need. The aviation industry is projected to need new pilots as pilots from the baby boom-era retire. Additionally, there is projected employment growth for pilots in commercial, corporate, and governmental settings in the United States and foreign countries, particularly in growing Asian economies. A number of SLCC's aerospace students come from outside of Utah. Given the nature of the industry, pilots often choose to live in communities different from where their employment is based. It is reasonable to assume the program will continue to attract students from within as well as from without the state of Utah.

Labor Market Demand

The Utah Department of Workforce Services reports a faster than average rate of employment growth for commercial pilots with a moderate volume of annual job openings (approximately 10 per year for commercial pilots and another 60 per year for pilots in corporate and other settings) along the Wasatch Front. Replacement rather than business expansion is projected to make up the majority of openings. The program combines flight training with technical and professional courses essential for success in the aerospace industry to include flight training leading to FAA rating and endorsements, commercial pilot, CFI and CFI/Instrument, aviation industry operations, and human factors in the flight environment. The program prepares students for careers related to fixed-wing operations within the commercial aerospace/aviation industry to include professional pilots, dispatch, and safety management. Potential employment settings include corporate, commercial, and government operations to include employers such as commercial airlines, the United States military, United States Customs and Border Protection, state wildlife resources, scenic tour companies, aircraft firefighting, and flight instruction.

Student Demand

Student demand has steadily increased for programs focused on commercial pilot training. Salt Lake Community College's pilot programs have enrolled over 100 additional students from enrollment levels just five years ago. One reason for this growth is SLCC's funding approval from the Veteran's Administration. It is the only aviation program in Utah approved by the Veterans Administration and only one of four such programs approved in the United States. This approval is an attractive recruiting tool.

Similar Programs

Utah Valley University offers AAS, AS, and BS degrees in Professional Pilot and Aviation Administration. Utah State University and Westminster College also offers BS degrees in Aviation Professional Pilot and Flight Operations.

Collaboration with and Impact on Other USHE Institutions

Officials from Utah System of Higher Education institutions have reviewed this proposal and are supportive of SLCC offering this degree. Graduates of SLCC's proposed AAS program can transfer to UVU, USU, or Westminster College to complete their bachelor's degrees.

Section IV: Program and Student Assessment

Program Assessment

Program objectives and assessments include the following:

Objective	Assessment	Target
General Education 1. Basic communication 2. Writing 3. Human Relations 4. General Education Distribution 5. Quantitative literacy	General Education objectives will be assessed by the departments responsible for those courses.	Department specific
1.1 Students will acquire substantial knowledge of Private Pilot aeronautical knowledge areas contained in FAA Part 141 curriculum	1.1 At the completion of the FAA Part 141 certification course students will be given an exam covering FAA Part 141 Private Pilot knowledge areas	1.1 80 % students will pass with an 80%
1.2 Students will acquire substantial knowledge of Instrument Pilot aeronautical knowledge areas contained in FAA Part 141 curriculum	1.2 At the completion of the FAA Part 141 certification course students will be given an exam covering FAA Part 141 Instrument Pilot knowledge areas	1.2 80 % students will pass with an 80%
2.1 Students will demonstrate effective written communication skills	2.1 Students will be complete a written term paper covering an aviation associated concept	2.1 80 % students will pass with an 80%
2.2 Students will demonstrate effective oral communication skills	2.2 Students will be perform an oral presentation covering an aviation associated concept	2.2 80 % students will pass with an 80%
3.1 Students will demonstrate quantitative literacy skills	3.1 Students will perform basic aircraft weight and balance application problems	3.1 80% of 100% students will pass the application problems

4.1 Students will show how to think critically	4.1 Students will complete an aviation accident evaluation and apply human factor concepts to the evaluation	4.1 80 % students will pass with an 80%
--	--	---

Expected Standards of Performance

Expected standards of performance are identified under the Target column in the chart under Program Assessment above. Several of these performance standards are based on FAA requirements.

Summative

Summative assessments will be administered and evaluated as per items 1.1 through 4.1 in the chart under Program Assessment above. Students will be required to meet all FAA standards to obtain licensing and pass all summative assessments in order to complete the program.

Formative

Tests, assignments, quizzes, presentations, and demonstrations of competencies will be conducted and reviewed during coursework and flight practice. Faculty will assess student performance and provide guidance to students consistent with student learning outcomes.

Section V: Finance

Statement of Financial Support

<i>Legislative Appropriation</i>	<input type="checkbox"/>
<i>Grants</i>	<input type="checkbox"/>
<i>Reallocated Funds</i>	<input checked="" type="checkbox"/>
<i>Tuition dedicated to the program</i>	<input checked="" type="checkbox"/>
<i>Other</i>	<input type="checkbox"/>

Budget

Financial Analysis Form for All R401 Documents					
Students	Year 1	Year 2	Year 3	Year 4	Year 5
Projected FTE Enrollment	60	63	66	70	74
Cost Per FTE	\$4,730	\$4,595	\$4,474	\$4,302	\$4,151
Student/Faculty Ratio	9.4	10.0	10.6	11.4	12.2
Projected Headcount	302	317	333	350	368
Projected Tuition	Year 1	Year 2	Year 3	Year 4	Year 5
Gross Tuition	\$136,080	\$150,028	\$165,031	\$183,784	\$204,000
Tuition to Program	\$136,080	\$150,028	\$165,031	\$183,784	\$204,000
5 Year Budget Projection					
Expense	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries & Wages	\$206,878	\$211,016	\$215,236	\$219,541	\$223,932
Benefits	\$57,325	\$58,471	\$59,641	\$60,834	\$62,050
Total Personnel	\$264,203	\$269,487	\$274,877	\$280,375	\$285,982
Current Expense	\$11,251	\$11,476	\$11,705	\$11,939	\$12,178
Travel	\$3,234	\$3,299	\$3,365	\$3,432	\$3,500

Capital	\$5,100	\$5,202	\$5,306	\$5,412	\$5,520
Library Expense					
Total Expense	\$283,788	\$289,464	\$295,253	\$301,158	\$307,181
Revenue	Year 1	Year 2	Year 3	Year 4	Year 5
Legislative Appropriation					
Grants & Contracts					
Donations					
Reallocation	\$143,178	\$134,681	\$125,227	\$112,124	\$97,661
Tuition to Program	\$136,080	\$150,028	\$165,031	\$183,784	\$204,000
Fees	\$4,530	\$4,755	\$4,995	\$5,250	\$5,520
Total Revenue	\$283,788	\$289,464	\$295,253	\$301,158	\$307,181
Difference					
Revenue-Expense	\$0	\$0	\$0	\$0	\$0

Budget Comments

The budget is based on projected enrollment in the program each year and may be adjusted annually to reflect actual program enrollment.

Funding Sources

This program will be funded with a combination of internal reallocation and student tuition.

Reallocation

Funds for the proposed Aerospace/Aviation programs will be reallocated from within the existing division.

Impact on Existing Budgets

This is a reconfiguration of existing programs. No net budgetary impact is anticipated.

Appendix A

All Program Courses

Course Prefix & Number	Title	Credit Hours
Core Courses		
PILT 1010	Air Transportation	3
PILT 1040	Aviation Orientation	1
PILT 1100	Private Pilot Ground School	4
PILT 1140	Solo Pilot Fixed-Wing Cert Lab	1
PILT 1150	Priv Pilot Fixed-Wing Cert Lab	2
PILT 1250	Instrument Ground School	3
PILT 1260	Instrument Simulator Fixed-Wing Lab	1
PILT 1300	Instrument Cert Fixed-Wing Lab	3
PILT 1420	Aircraft Systems	3
PILT 2050	Aviation Meteorology	3
PILT 2100	Commercial Ground School	3
PILT 2200	Cross Country Fixed-Wing Lab	2
PILT 2240	Commercial Pilot Fixed-Wing Cert Lab	2
PILT 2250	Aerodynamics	3
PILT 2310	Human Factors & Safety	3
	Sub-Total	37
Electives (12-13 credits)		
DISP 1010	Regs, A/C Systems & Proced	3
DISP 1300	Dispatch Applications	5
PILT 1050	Aviation History	2
PILT 1110	Private Sim Fixed-Wing Lab	1
PILT 1400	Intro to Air Traffic Control	3
PILT 1990	Special Studies	1-2
PILT 2000	CO-OP	1-2
PILT 2010	PreGrad Seminar	1
PILT 2220	Multi-Eng Fix-Wing Add-on Lab	1
PILT 2300	CFI/Airplane Lab	1
PILT 2340	CFI Ground School	3
PILT 2350	CFI/Instrument Fixed-Wing Lab	1
PILT 2400	CFI/Multi-Engine Fix-Wing Lab	1
PILT 2440	Mountain Flying Fixed-Wing Lab	1
PILT 2470	Corp Business	2
	Sub-Total	12

General Education		
Composition (3 credits): ENGL 1010	Introduction to Writing (EN)	3
Quantitative studies (3-4 credits): MATH 1010	Intermediate Algebra (QS)	4
Communication (3 credits):	Choose any CM-designated course.	3
Human Relations (2-3 credits):	Choose any HR-designated course.	2-3
Distribution Area (3 credits):	Choose an additional three credits from one of the following distribution areas: BS, FA, HU, ID, PS, SS.	3
	Sub-Total	15
	Total Number of Credits	64

New Courses to Be Added in the Next Five Years

No new courses are anticipated.

Appendix B

Program Schedule

Fall 1	Spring 1	Fall 2	Spring 2
PILT 1040 (1 cr)	PILT 1010 (3 cr)	PILT 1250 (3 cr)	PILT 2100 (3 cr)
PILT 1100 (4 cr)	PILT 1150 (2 cr)	PILT 1260 (1 cr)	PILT 2200 (2 cr)
PILT 1140 (1 cr)	PILT 2050 (3 cr)	PILT 1300 (3 cr)	PILT 2240 (2 cr)
PILT 1420 (3 cr)	PILT 2310 (3 cr)	PILT 2250 (3 cr)	PILT Elective (3 cr)
ENGL 1010 (3 cr)	MATH 1010 (4 cr)	HR Course (2-3 cr)	PILT Elective (3 cr)
CM Course (3 cr)	PILT Elective (3 cr)	PILT Elective (3 cr)	Dist. Course (3 cr)
Total: 15 cr	Total: 18 cr	Total: 15 cr	Total: 16 cr

Appendix C

Faculty

- Associate Professor(s): Fiona Silcox, M.S., Aerospace/Aviation Technology
- Assistant Professor: Mike Wellman M.S., Aerospace Technology
- Instructor: Erwin Zundel M.S., Aerospace Technology

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Salt Lake Community College Associate of Applied Science in Aerospace/Aviation Technology – Professional Pilot, Rotor-Wing

Issue

Officials at Salt Lake Community College (SLCC) request approval to offer an Associate of Applied Science Degree in Aerospace/Aviation Technology – Professional Pilot, Rotor-Wing, effective Fall Semester 2011. The institution's Board of Trustees approved this program on August 10, 2011. The Regents' Program Review Committee approved the program on August 17, 2011 and recommended it move forward to the full board.

Background

This proposal combines the requirements of two existing certificates of completion, Commercial Rotor-Wing and Aviation Business Operations: Rotor-Wing, into a single AAS degree to meet program eligibility requirements placed upon Salt Lake Community College by the Utah Department of Veteran Affairs. Salt Lake Community College offers the only aviation program in Utah approved by the Veterans Administration, and is only one of four such approved programs in the United States.

Student demand has steadily increased for programs focused on commercial pilot training. With the aviation industry poised to experience retirement of baby boom-era commercial pilots combined with the projected growth of the United States and international aerospace industries, the demand for replacement pilots is forecast to remain significant for the next decade and beyond. Salt Lake Community College's rotor-wing pilot program has experienced continued growth over the last several years. Students sponsored by the Veterans Administration currently account for a third of the enrollment in the SLCC aviation programs. It is anticipated that veterans will be a significant enrollment base for this program.

Commercial pilots transport cargo and passengers, and provide instruction and training to other aspiring pilots. After completing the program, it is anticipated that students will find a variety of career opportunities in corporate, commercial, and government operations. The Utah Department of Workforce Services reports a faster than average rate of employment growth for commercial pilots with

a moderate volume of annual job openings (approximately 10 per year for commercial pilots and another 60 per year for pilots in corporate and other settings) along the Wasatch Front.

Policy Issues

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

Commissioner's Recommendation

The Commissioner recommends the Regents' approve the request to offer an Associate of Applied Science Degree in Aerospace/Aviation Technology – Professional Pilot, Rotor-Wing, effective Fall Semester, 2011.

William A. Sederburg, Commissioner

WAS/BKC
Attachment

Academic, Career and Technical Education and Student Success Committee

Action Item

Associate of Applied Science Degree in Aerospace/Aviation Technology – Profession Pilot, Rotor-Wing

Salt Lake Community College

Prepared for
William A. Sederburg
By
Blair K. Carruth

September 7, 2011

Section I: The Request

Salt Lake Community College (SLCC) requests approval to offer an Associate of Applied Science Degree in Aerospace/Aviation Technology – Professional Pilot, Rotor-Wing effective Fall Semester, 2011. The institution's Board of Trustees approved this program on 10 August 2011.

Section II: Program Description

Complete Program Description

The Aerospace/Aviation Technology - Professional Pilot, Rotor-Wing AAS Degree Program combines certification training with the technical and professional courses necessary to prepare students for careers in aviation with a focus on rotor-wing aircraft. The program combines flight training with technical and professional courses essential for success in the aerospace industry to include flight training leading to FAA rating and endorsements, commercial pilot, CFI and CFI/Instrument, aviation industry operations, and human factors in the flight environment. The program prepares students for careers related to rotor-wing operations within the commercial aerospace/aviation industry to include professional pilots, dispatch, and safety management. Potential employment settings include corporate, commercial, and government operations with commercial airlines, the United States military, United States Customs and Border Protection, state wildlife resources, scenic tour companies, aircraft firefighting, and flight instruction. The program prepares students to earn a required commercial rating in addition to a private pilot license.

Role and Mission Fit

This program aligns with SLCC's mission to prepare students for local business and industry and to provide lifelong learning opportunities to community members.

Salt Lake Community College is a multi-campus, comprehensive institution serving a diverse population through lifelong education. The SLCC mission focuses on student needs in an open access setting. Based on this mission, several SLCC commitments are immediately applicable to this proposal for an AAS degree in Aerospace/Aviation Technology – Profession Pilot, Rotor-Wing, including:

- 1) Career and Technical Education resulting in marketable job skills serving a growing aerospace/aviation employment market. The proposed program will prepare students for employment in the aerospace industry as older pilots retire and growth in the airline industry continues.
- 2) General Education and pre-professional programs for transfer to other colleges and universities. The program includes General Education requirements for an AAS degree including Math, English, Communications, Human Relations and distribution areas that transfer to the other USHE institutions.
- 3) This program was initiated to serve the broader community and industry needs by providing the only professional pilot program in the state of Utah that is approved for funding through the Veterans Administration.

Purpose of Degree

The Aerospace/Aviation Technology programs are designed to prepare students for careers in commercial air operations that include occupations such as professional pilots, dispatchers, and safety managers.

Institutional Readiness

This program will utilize existing faculty, staff, and facilities. No new institutional resources will be required. The existing administrative structure, comprised of a division chair who oversees the aerospace and related programs and a dean who oversees many career and technical education programs at SLCC, is capable of supporting this new program without adversely affecting other programs. The program is complementary to existing certificates that stack into this proposed degree.

Faculty

Current faculty are sufficient to meet the AAS degree requirements:

Associate Professor: Fiona Silcox, M.S., Aerospace/Aviation Technology (tenured)

Assistant Professor: Mike Wellman M.S., Aerospace Technology (tenure track)

Instructor: Erwin Zundel M.S., Aerospace Technology (full-time ongoing, not tenure track)

Staff

No additional staff will be required to support the program.

Library and Information Resources

SLCC's Markosian Library maintains a collection of relevant material that supports the existing certificate program. No additional library/informational resources will be needed for the proposed program.

Admission Requirements

Admission is consistent with general SLCC admission procedures and guidelines. This is an open enrollment program. There will be no admissions requirements beyond the College's math and reading prerequisites associated with the general education courses included in this proposal.

Student Advisement

In addition to receiving general advising from the SLCC Academic and Career Advising department, students will receive individualized advising and guidance from the division chair and faculty who have specialized knowledge of both the job market and the requirements of SLCC.

Justification for Graduation Standards and Number of Credits

Students must complete 64 credits for this program - 15 credits of general education coursework and 49 credits of professional pilot courses. These requirements are consistent with Regent and institutional policy for AAS programs.

External Review and Accreditation

Aviation training programs are subject to oversight and approval by the Federal Aviation Administration (FAA). This program and all of SLCC's aviation programs are FAA approved.

Projected Enrollment*

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
AY12	302	3	9.4	N/A
AY13	317	3	10.0	N/A
AY14	333	3	10.6	N/A
AY15	350	3	11.4	N/A
AY16	368	3	12.2	N/A

Expansion of Existing Program*

This program is reconfiguration of the existing Certificates of Completion.

Year	Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
AY06	180	3	9.7	N/A
AY07	215	3	7.3	N/A
AY08	190	3	10.5	N/A
AY09	194	3	10.9	N/A
AY10	288	3	8.8	N/A

**Note: These are enrollments for the entire Professional Pilot unit (including A.S. students) and only include enrollment in budget-related courses. Much of the FTE of these programs is generated in self-support individual flight lesson courses, so actual headcount and FTE for the Professional Pilot unit is much higher.*

Section III: Need/Market Demand**Program Need**

This program fills a growing industry need. Salt Lake Community Colleges' rotary wing pilot program has experienced continued growth over the four years since its inception. The aviation industry is projected to need new pilots as pilots from the baby boom-era retire. Additionally, there is projected employment growth for pilots in commercial, corporate, and governmental settings in the United States and foreign countries, particularly in growing Asian economies. A number of SLCC's aerospace students come from outside of Utah. Given the nature of the industry, pilots often choose to live in communities different from where their employment is based. It is reasonable to assume the program will continue to attract students from within as well as from without the state of Utah.

Labor Market Demand

The Utah Department of Workforce Services reports a faster than average rate of employment growth for commercial pilots with a moderate volume of annual job openings (approximately 10 per year for commercial pilots and another 60 per year for pilots in corporate and other settings) along the Wasatch Front. Replacement rather than business expansion is projected to make up the majority of openings. The program combines flight training with technical and professional courses essential for success in the aerospace industry to include flight training leading to FAA rating and endorsements, commercial pilot, CFI and CFI/Instrument, aviation industry operations, and human factors in the flight environment. The program prepares students for careers related to rotor-wing operations within the commercial aerospace/aviation industry to include professional pilots, dispatch, and safety management. Potential employment settings include corporate, commercial, and government operations to include employers such as commercial airlines, the United States

military, United States Customs and Border Protection, state wildlife resources, scenic tour companies, aircraft firefighting, and flight instruction.

Student Demand

Student demand has steadily increased for programs focused on commercial pilot training. Salt Lake Community College's pilot programs have enrolled over 100 additional students from enrollment levels just five years ago. One reason for this growth is SLCC's funding approval from the Veteran's Administration. It is the only aviation program in Utah approved by the Veterans Administration and only one of four such programs approved in the United States. Students sponsored by the Veterans Administration currently account for over 50% of the rotor-wing program.

Similar Programs

Utah Valley University offers AAS, AS, and BS degrees in Professional Pilot and Aviation Administration. Utah State University and Westminster College also offers BS degrees in Aviation Professional Pilot and Flight Operations.

Collaboration with and Impact on Other USHE Institutions

Officials from Utah System of Higher Education institutions have reviewed this proposal and are supportive of SLCC offering this degree. Graduates of SLCC's proposed AAS program can transfer to UVU, USU, or Westminster College to complete their bachelor's degrees.

Section IV: Program and Student Assessment

Program Assessment

Program objectives and assessments include the following:

Objective	Assessment	Target
General Education 1. Basic communication 2. Writing 3. Human Relations 4. General Education Distribution 5. Quantitative literacy	General Education objectives will be assessed by the departments responsible for those courses.	
1.1 Students will acquire substantial knowledge of Private Pilot aeronautical knowledge areas contained in FAA Part 141 curriculum	1.1 At the completion of the FAA Part 141 certification course students will be given an exam covering FAA Part 141 Private Pilot knowledge areas	1.1 80 % students will pass with an 80%
1.2 Students will acquire substantial knowledge of Instrument Pilot aeronautical knowledge areas contained in FAA Part 141 curriculum	1.2 At the completion of the FAA Part 141 certification course students will be given an exam covering FAA Part 141 Instrument Pilot knowledge areas	1.2 80 % students will pass with an 80%
2.1 Students will demonstrate effective written communication skills	2.1 Students will be complete a written term paper covering an aviation associated concept	2.1 80 % students will pass with an 80%
2.2 Students will demonstrate effective oral communication skills	2.2 Students will be perform an oral presentation covering an aviation associated concept	2.2 80 % students will pass with an 80%

3.1 Students will demonstrate quantitative literacy skills	3.1 Students will perform basic aircraft weight and balance application problems	3.1 80% of 100% students will pass the application problems
4.1 Students will show how to think critically	4.1 Students will complete an aviation accident evaluation and apply human factor concepts to the evaluation	4.1 80 % students will pass with an 80%

Expected Standards of Performance

Expected standards of performance are identified under the Target column in the chart under Program Assessment above. Several of these performance standards are based on FAA requirements.

Summative

Summative assessments will be administered and evaluated as per items 1.1 through 4.1 in the chart under Program Assessment above. Students will be required to meet all FAA standards to obtain licensing and pass all summative assessments in order to complete the program.

Formative

Tests, assignments, quizzes, presentations, and demonstrations of competencies will be conducted and reviewed during coursework and flight practice. Faculty will assess student performance and provide guidance to students consistent with student learning outcomes.

Section V: Finance

Statement of Financial Support

Legislative Appropriation	<input type="checkbox"/>
Grants	<input type="checkbox"/>
Reallocated Funds	<input checked="" type="checkbox"/>
Tuition dedicated to the program	<input checked="" type="checkbox"/>
Other	<input checked="" type="checkbox"/>

Budget

Financial Analysis Form for All R401 Documents					
Students	Year 1	Year 2	Year 3	Year 4	Year 5
Projected FTE Enrollment	60	63	66	70	74
Cost Per FTE	\$4,730	\$4,595	\$4,474	\$4,302	\$4,151
Student/Faculty Ratio	9.4	10.0	10.6	11.4	12.2
Projected Headcount	302	317	333	350	368
Projected Tuition	Year 1	Year 2	Year 3	Year 4	Year 5
Gross Tuition	\$136,080	\$150,028	\$165,031	\$183,784	\$204,000
Tuition to Program	\$136,080	\$150,028	\$165,031	\$183,784	\$204,000
5 Year Budget Projection					
Expense	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries & Wages	\$206,878	\$211,016	\$215,236	\$219,541	\$223,932
Benefits	\$57,325	\$58,471	\$59,641	\$60,834	\$62,050

Total Personnel	\$264,203	\$269,487	\$274,877	\$280,375	\$285,982
Current Expense	\$11,251	\$11,476	\$11,705	\$11,939	\$12,178
Travel	\$3,234	\$3,299	\$3,365	\$3,432	\$3,500
Capital	\$5,100	\$5,202	\$5,306	\$5,412	\$5,520
Library Expense					
Total Expense	\$283,788	\$289,464	\$295,253	\$301,158	\$307,181
Revenue	Year 1	Year 2	Year 3	Year 4	Year 5
Legislative Appropriation					
Grants & Contracts					
Donations					
Reallocation	\$143,178	\$134,681	\$125,227	\$112,124	\$97,661
Tuition to Program	\$136,080	\$150,028	\$165,031	\$183,784	\$204,000
Fees	\$4,530	\$4,755	\$4,995	\$5,250	\$5,520
Total Revenue	\$283,788	\$289,464	\$295,253	\$301,158	\$307,181
Difference					
Revenue-Expense	\$0	\$0	\$0	\$0	\$0

Budget Comments

The budget is based on projected enrollment in the program each year and may be adjusted annually to reflect actual program enrollment.

Funding Sources

This program will be funded with a combination of internal reallocation and student tuition.

Reallocation

Funds for the proposed Aerospace/Aviation programs will be reallocated from within the existing division.

Impact on Existing Budgets

This is a reconfiguration of existing programs. No net budgetary impact is anticipated.

Appendix A

All Program Courses

Course Prefix & Number	Title	Credit Hours
Core Courses		
PILT 1010	Air Transportation	3
PILT 1040	Aviation Orientation	1
PILT 1100	Private Pilot Ground School	4
PILT 1145	Solo Pilot Rotor-Wing Cert Lab	1
PILT 1155	Priv Pilot Rotor-Wing Cert Lab	2
PILT 1250	Instrument Ground School	3
PILT 1265	Instrument Simulator Rotor-Wing Lab	1
PILT 1315	Instrument Rotor-Wing Cert Lab	2
PILT 1420	Aircraft Systems	3
PILT 2050	Aviation Meteorology	3
PILT 2100	Commercial Ground School	3
PILT 2205	Cross Country Rotor-Wing Lab	2
PILT 2245	Commercial Pilot Rotor-Wing Cert Lab	2
PILT 2250	Aerodynamics	3
PILT 2310	Human Factors & Safety	3
	Sub-Total	36
Electives (13-14 credits)		
DISP 1010	Regs, A/C Systems & Proced	3
DISP 1300	Dispatch Applications	5
PILT 1050	Aviation History	2
PILT 1115	Private Sim Rotor-Wing Lab	1
PILT 1305	Recip Trans Rotor-Wing Lab	1
PILT 1400	Intro to Air Traffic Control	3
PILT 1990	Special Studies	1-2
PILT 2000	CO-OP	1-2
PILT 2010	PreGrad Seminar	1
PILT 2305	CFI/Rotor-Wing Lab	1
PILT 2340	CFI Ground School	3
PILT 2355	CFI/Instrument Rotor-Wing Lab	1
PILT 2405	Turbine Transition Rotor-Wing Lab	1
PILT 2445	Mountain Ops Rotor-Wing Lab	1
PILT 2455	Utility Oper Rotor-Wing Lab	1
PILT 2470	Corp Business	2
	Sub-Total	13

General Education		
Composition (3 credits): ENGL 1010	Introduction to Writing (EN)	3
Quantitative studies (3-4 credits): MATH 1010	Intermediate Algebra (QS)	4
Communication (3 credits):	Choose any CM-designated course.	3
Human Relations (2-3 credits):	Choose any HR-designated course.	2-3
Distribution Area (3 credits):	Choose an additional three credits from one of the following distribution areas: BS, FA, HU, ID, PS, SS.	3
	Sub-Total	15
	Total Number of Credits	64

New Courses to Be Added in the Next Five Years

No new courses are anticipated.

Appendix B

Program Schedule

Fall 1	Spring 1	Fall 2	Spring 2
PILT 1040 (1 cr)	PILT 1010 (3 cr)	PILT 1250 (3 cr)	PILT 2100 (3 cr)
PILT 1100 (4 cr)	PILT 1155 (2 cr)	PILT 1265 (1 cr)	PILT 2205 (2 cr)
PILT 1145 (1 cr)	PILT 2050 (3 cr)	PILT 1315 (3 cr)	PILT 2245 (2 cr)
PILT 1420 (3 cr)	PILT 2310 (3 cr)	PILT 2250 (2 cr)	PILT Elective (3 cr)
ENGL 1010 (3 cr)	MATH 1010 (4 cr)	HR Course (2-3 cr)	PILT Elective (3 cr)
CM Course (3 cr)	PILT Elective (3 cr)	PILT Elective (4 cr)	Dist. Course (3 cr)
Total: 15 cr	Total: 18 cr	Total: 15 cr	Total: 16 cr

Appendix C

Faculty

- Associate Professor(s): Fiona Silcox, M.S., Aerospace/Aviation Technology
- Assistant Professor: Mike Wellman M.S., Aerospace Technology
- Instructor: Erwin Zundel M.S., Aerospace Technology

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Dixie State College of Utah Emphasis in Theatre Education within the BA/BS in Theatre

Issue

Dixie State College (DSC) requests approval to offer an Emphasis in Theatre Education as an option for its Bachelor of Arts (BA) and Bachelor of Science (BS) Degrees in Theatre, effective Spring of 2012. The program was approved by the institution's Board of Trustees on November 16, 2007.

Background

The plan for the baccalaureate degrees in Theater with a Secondary Education emphasis is based on a comprehensive core curriculum in theater designed to prepare students with a thorough foundation in the discipline. In addition to the core, students complete coursework that will prepare them for secondary education licensure. Students will opt to complete secondary education degree requirements in conjunction with either a BA or a BS Theater program. Students pursuing a BS degree would use the Associate of Science general education requirements as the foundation of lower-division study. For those pursuing a BA, the general education standards in the DSC Associate of Arts curriculum would apply, with the addition of a second year (eight credits) of foreign language coursework.

Currently, there are nine students likely to opt for a Theatre Education emphasis as a way of broadening their career opportunities. DSC expects 15 students by 2015. The faculty member who is qualified to teach Theatre Education is working in a charter arts high school. DSC has a contract with the school to buy out 20% of her time. As the program grows, this faculty member will ultimately be hired full time.

DSC theatre faculty members have had long-term involvement with high school theatre programs in the state as a result of participation in key administrative assignments with the Utah Theatre Association. It is the strong view of DSC faculty that a vital component in preparing effective secondary school theatre teachers is comprehensive training in theatre production skills. The proposed theatre education program, shaped around ample production activities in combination with foundational theatre courses and secondary education preparation, is an excellent training environment for aspiring teachers.

Funding for the proposed emphasis is already in place.

Policy Issues

Initially, there were concerns expressed by USHE institutions regarding the time the qualified theatre education faculty member would have to oversee the students in the proposed emphasis program. Subsequently, DSC and Tuachan High School for the Performing Arts entered into a contractual agreement to buy out the time of the faculty member, with caveat that as the program grows, the high school teacher would become full time faculty with the College. All other issues were addressed.

Commissioner's Recommendation

The Commissioner recommends the Regents review the request by Dixie State College of Utah to offer an emphasis in Theatre Education within the BA/BS in Theatre and approve the program.

William A. Sederburg, Commissioner

WAS/PCS
Attachment

Academic, Career and Technical Education, and Student Success

Action Item

Request to Offer an Emphasis in Theatre Education within the BA/BS in Theatre

Dixie State College of Utah

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

September 7, 2011

Section I: The Request

Dixie State College (DSC) requests approval to offer the Emphasis in Theatre Education as an option for its Bachelor of Arts (BA) and Bachelor of Science (BS) Degrees in Theatre effective Spring of 2012. The program was approved by the institution's Board of Trustees on November 16, 2007.

Section II: Program Description

Complete Program Description

The plan for the emphasis is based on a comprehensive curriculum in theatre designed to prepare students with a broad foundation in the discipline. In addition to theatre courses, students complete coursework that will prepare them with secondary education licensure. The majority of the curriculum for this program is already offered at DSC. Preparation of the proposed curriculum has been informed by guidelines from the Teacher Education Accreditation Council (TEAC) and the National Association of Schools of Theatre (NAST). The curriculum meets the requirements of Utah Administrative Code R277-504-6 and R277-504-8.

Students opt to complete theatre education requirements in conjunction with either a BS or a BA program. Students pursuing a BS Degree would use the Bachelor of Science general education and institutional requirements to satisfy those components of the degree. For those pursuing a BA Degree, the general education and institutional standards in the DSC Bachelor of Arts curriculum apply.

DSC theatre faculty members have had long-term involvement with high school theatre programs in the state as a result of participation in key administrative assignments with the Utah Theatre Association. It is the strong view of DSC faculty that a vital component in preparing effective secondary school theatre teachers is comprehensive training in theatre production skills. The proposed theatre education program, shaped around ample production activities in combination with foundational theatre courses and secondary education preparation, is an excellent training environment for aspiring teachers.

Purpose of Degree

The primary purpose of the emphasis is to provide highly qualified theatre teachers to meet secondary education needs in DSC's service area and beyond. The proposed emphasis will help fulfill the DSC obligation mandated by its mission statement to support DSC's secondary education program with an additional subject area choice. For students majoring in theatre, the option of secondary licensure provides important added employment possibilities in a field where stable employment is sometimes problematic. DSC has the resources in place to provide students with that option in their career preparation.

Institutional Readiness

Since 1999, when the first baccalaureate degree was added to Dixie State College's curriculum, the institution has moved forward methodically and conservatively to develop additional degree offerings. The addition of a secondary education licensure program in October 2007 made content area majors in support of that program a high priority. A theatre education offering is efficient because it makes use of curriculum already in place in the education program and in the approved liberal arts theatre degree program.

DSC is fortunate at this juncture to have excellent facilities to support theatre education training. The Dolores Doré Eccles Fine Arts Center, completed in 2004, features a 500 seat proscenium theatre, a black

box theatre, a 300 seat concert hall, two dance studios, and a 7,000 square foot art gallery. Rehearsal rooms, a scene shop, a costume shop, a makeup room, and dressing rooms complete the facility. The physical adjacency of a theatre education program to activities in music, dance, and art creates a rich learning environment and enriches the liberal arts intention of the program.

Faculty

DSC has worked to attract and retain an experienced and well-prepared theatre faculty. The list of academic and artistic accomplishments of the faculty is significant. Current faculty members are fully qualified to teach proposed upper-division classes, and faculty resources are sufficient to cover classes as curriculum expands to include a theatre education program.

The faculty roster includes Jan Hunsaker, who will serve as the theatre education specialist. Ms. Hunsaker holds a terminal degree in theatre. She is a successful secondary theatre educator who also has experience teaching in the higher education setting. Her appointment to DSC's faculty is the result of a partnership with Tuachan High School for the Performing Arts, where she works as Artistic Director, which provides assignment flexibility and adaptable time commitments. Ms. Hunsaker will bring to DSC theatre education students a wealth of real-life practice and wisdom. She will receive a beginning contract release from Tucahan High School to teach Theatre Methods, and, in cooperation with the DSC Education Department, she will have oversight of theatre education students involved in practicum and student teaching activities. This strategy for staffing the program is a sensible, cost-effective, and realistic approach tied directly to anticipated enrollments, and Ms. Hunsaker's position will increase from permanent part-time to a full-time faculty line as enrollments justify.

Staff

The current DSC Fine Arts Division includes Art, Dance, Music and Theatre. These four programs are supported by one full-time secretary, who reports to the division Associate Dean. As programs grow, clerical positions dedicated to specific fine arts disciplines will be needed. Secondary education programs require significant support, so additional staff needs are expected as those programs grow, perhaps as early as the third year of the program.

An additional full-time staff member serves as theatre technician. Successfully handling the technical elements associated with theatre production is a challenge in many middle school and high school settings, so aspiring secondary education teachers will benefit from contact with a person who has professional expertise in sound, lighting, scenery, and other technical areas.

Library and Information Resources

Present DSC library holdings in Theatre offer a solid starting point for the resources necessary to support a theatre education curriculum. A recent pre-accreditation visit by a representative of the National Association of Schools of Theatre (NAST) found DSC library holdings to be adequate in regard to the proposed degrees, including the education component. He stated, "The hard copy and online holdings in the institution's library are ample and support the proposed curricula." Similarly, library holdings to support secondary education activities in general are good. In addition to general library funds, the budget proposal for this program includes funding for library materials to support theatre education curriculum as noted in the Finance section of the document.

Admission Requirements

Any matriculated DSC student in good standing with the College is eligible for admission to the theatre education option. Declaration of the major is required for admission and is accomplished through the processes defined by the Registrar's Office. Students are admitted to the degree program directly upon declaring the major. The sooner students select a major, the greater their opportunity is for timely degree completion. After the sophomore year, continuance in the theatre education program is dependent on an interview and portfolio review, and by admission to the Secondary Education Teaching Licensure Program.

Student Advisement

Personally tailored and department specific advisement is viewed as a crucial factor for student success in this program. A lecturer/advisor, who is a faculty member in the theatre department, will assist students in initial planning of their course sequences and monitor progress in an ongoing series of regularly scheduled interviews. In addition to providing a structure for immediate student success, the in-department advisement service will track students after graduation, thus facilitating program assessment and providing alumni with a permanent network to assist in career development.

Justification of Number of Credits

The professional preparation required for secondary education means that students who complete the emphasis in a timely manner have few elective credits. The total number of credits required in the program ranges from 123 for the BS version of the education emphasis to 131 for the BA option. It is anticipated that most students will opt to complete the BS requirements. However, the BA option is important, because some students will have language credits on their transcripts as a result of test credit and/or having completed foreign language coursework. If students meet the foreign language requirement, the BA degree should be available to them as an option in this degree plan.

External Review and Accreditation

This proposal and the DSC Theatre Program received a pre-accreditation review from Dr. D. Terry Williams, who officially represented the National Association of Schools of Theatre (NAST). NAST is the discipline-based accreditation organization for theatre programs in higher education. Dr. Williams found that the program curriculum and DSC's resources meet NAST standards. He found no barriers to moving forward with implementation of an emphasis in theatre education. (Dr. William's review is available upon request.)

Accreditation of this new program will be incorporated into the institution's established program review and accreditation processes with all appropriate evaluations and measures to ensure rigor and excellence. Once the program has produced a record of success, it is the intention of faculty and administration to seek accreditation with the National Association of Schools of Theatre. This organization requires that the program produce graduates before an application for accreditation can be made. Accreditation could first be sought in 2015, after the fourth year of the program.

In addition to Dr. Williams' evaluation, this proposal has been reviewed by Dr. Kathleen F. Conlin, who is past president of the NAST and currently the Hewitt Professor of Theatre in Residence at the University of Illinois. It has also been reviewed by Dr. Bob Nelson, who at the time of his review was Chair of the Theatre Department at the University of Utah. Their reviews are available upon request.

Projected Enrollment

The current number of liberal arts theatre majors at DSC is 59. A recent survey showed that nine of them, or 15%, definitely intend to participate in a theatre education program. Another group—19 students--

described themselves as interested but undecided. For purposes of an enrollment projection benchmark in the chart below, the number of committed theatre education students was used, and the assumption was made that the 15% ratio would remain constant. Since theatre education students make use of the same course offerings as other theatre majors, a column for the total number of theatre and theatre education students has been added to the following chart in order to compute meaningful student-to-faculty ratios.

The seven faculty positions listed include six full-time, tenure-track faculty members as well a permanent part-time lecturer advisor and a permanent part-time theatre education specialist.

Year	Theatre Ed. Student Headcount	Total Theatre Student Headcount	# of Faculty	Student-to-Faculty Ratio	Accreditation Req'd Ratio
2011	9	59	7	8.43	Not applicable
2012	10	64	7	9.14	
2013	12	78	7	11.14	
2014	14	90	7	12.86	
2015	15	99	7	14.14	

Expansion of Existing Program

With the exception of one course, all of the coursework required for this program are already in place and being offered in either DSC secondary education curriculum or theatre curriculum. That fact makes the addition of theatre education emphasis cost-effective, even if relatively few students choose it. Although the new program will not expand curriculum in any significant way, it will extend career preparation options for students.

Because 2010-11 was the first year of the bachelor's degree in Theatre, no enrollment trends are available for baccalaureate theatre majors. The number of theatre majors in the first year of the liberal arts degree did, however, exceed the enrollment projections by 34%. The following chart shows the recent history of enrollments in theatre courses. It includes participation by all students, majors or not. Data were provided by the DSC Office of Institutional Research.

Theatre					
Course Enrollment Trends - 5 Years by Academic Year					
	2005	2006	2007	2008	2009
Headcount	399	475	570	684	801
Distinct Headcount	210	229	253	307	373
Student Credit Hours (SCH)	830.50	980.5	1110	1,389.50	1,624.00

Section III: Need

Program Need

One of the central missions specifically assigned to DSC is to meet the higher education needs of citizens in Washington and Kane Counties. Access to this proposed emphasis program would enhance choices for citizens in this area of the state. The program would also provide trained teachers to meet the growing needs of the region.

Labor Market Demand

Given that only 7 high school theater education positions currently funded in Washington County School District (WCSD) (two, of which, are part time), DSC realizes that few jobs will likely be in theater education in the coming decade. DSC's projections for student enrollment in a theater education program are conservative.

The need for additional teachers in the work force is documented by the United States Department of Labor Bureau of Labor Statistics (<http://www.bls.gov/oco/ocos318.htm>), which projects a 13% increase in the need for teachers between 2008 and 2018. Nationally, the need for additional teachers should start to level due to decreasing birth rates. Utah population data show that Utah does not follow the national trend. The U.S. Census reports the Utah growth rate from 2000 to 2009 at 24.7% compared to the national average of 9.1%. During the same time period, Washington County grew 52.1% (<http://quickfacts.census.gov/qfd/states/49000.html>). A report prepared by the Utah Office of Legislative Research and General Counsel projects that Utah's school age population will continue to grow through 2030, with nearly double the number of school age children in 2030 compared to the year 2000 (www.ulct.org/ulct/docs/Mike_Christensen.ppt, page 24).¹

Washington County School District (WCSD) is in a slow growth mode. Total enrollments in October 2010 were 1 ½% ahead of the five-year average, and they were the highest ever in the district's history. That happened in an environment which included increased competition from charter schools and generally flat economic growth. The chart below details WCSD growth.

Washington County School District Enrollments					
	2006	2007	2008	2009	2010
Elementary	11880	12229	12446	11837	11950
Secondary	12167	12267	12319	12337	12665
Other	295	367	438	446	611
Total	24342	24863	25203	24620	25226

Student Demand

Conservatively projected student enrollments previously noted in this document show 99 theatre majors and 15 theatre education majors by the year 2015. That number suggests meaningful student demand for a theatre degree with an education emphasis. DSC is committed to providing programs that help its students achieve their educational goals.

Similar Programs Already Offered in the USHE

¹ "Proposal: Education Emphasis, Bachelor of Arts and Bachelor of Science in Theater," p. 8.

All other Utah baccalaureate-granting institutions offer degree options in Theatre Education. There is no question of undesirable duplication. Rather, the universal offering of such programs strongly suggests that DSC students should have access to this arena of educational opportunity.

Collaboration with and Impact on Other USHE Institutions

DSC theatre faculty members have been pro-active in the annual system-wide Majors Meetings in an effort to improve articulation of courses among institutions. The DSC theatre education emphasis curriculum has been designed to coordinate with the other theatre education programs in the USHE in order to assure ease of transfer for students who may move from one institution to another. While the curriculum is not an exact match to any one program, course lists from the various institutions are predictably and extensively similar.

Comments in the Chief Academic Officers' IP video session prior to the Regents' May 20, 2011 meeting and discussion board postings leading up to that meeting described DSC's proposed curriculum as "bare bones" or "minimalist." "Minimalist" is a relative characterization that can be more clearly understood in a factual context. DSC's plan requires 47 credits of theatre course work. Southern Utah University requires 48 credits, Utah Valley University requires 45 credits, and Utah State University requires 44 credits. The University of Utah and Weber State University have higher credit requirements. It is true that, compared to DSC, some programs in the state have a richer array of course titles from which students may choose. However, the number and type of DSC's requirements are in line with other USHE programs, and 48 credits is the maximum number suggested in NAST guidelines for a BS/BA (as opposed to BFA) theatre education program. DSC's intention to seek NAST accreditation makes it advisable to conform to NAST guidelines.

Benefits

According to 2009 figures from the U. S. Census Bureau, baccalaureate completion rates for those 25 and older in the nation is 27.9%. The Utah rate is 19.3%, and the Washington County rate is 17.6%. (See http://factfinder.census.gov/servlet/STGeoSearchByListServlet?_lang=en&_ts=315677900814.) In other words, the level of bachelor's degree attainment in Washington County would have to increase by 58% in order to reach the national average. Approving the proposed degree emphasis will contribute to improved access to educational opportunities for citizens in the growing population of southwest Utah. The option will allow DSC to further develop its baccalaureate mission and provide qualified theatre education teachers for regional and local secondary schools.

Consistency with Institutional Mission

DSC's mission authorizes offering "core and foundational" degrees, and the institution's academic plan includes fine arts degrees as an essential component in achieving the mission. Theatre education is a priority in the plan. A theatre education degree emphasis is a vital core component of a comprehensive four-year institution's offerings, as a theatre education degree is universally offered at the other state baccalaureate institutions. DSC cannot be considered to have a foundation level array of baccalaureate offerings without the important component of fine arts education degrees. The educational life of the community will be enriched by the availability of increased theatre education training and resources. This positive community impact is consistent with one of DSC's important missions.

SECTION IV: Program and Student Assessment

Learning and skill outcomes for the program have been shaped with careful reference to the National Association of Schools of Theatre guidelines, and consistency with those guidelines has been verified by two consultants who have significant knowledge of NAST procedures. Program design and management are founded in the following standards:

1. A holistic approach to the practice of theatre shall be emphasized in program curriculum and related production activities. Students will be well-founded in the general discipline before specializing in emphasis tracks.
2. Attention will be given to breadth in general studies and to attitudes relating to human and personal considerations that give communities and individuals their identities.
3. Students will be prepared to relate their understanding of artistic styles to human history and to contemporary issues.
4. Students will develop competence in essential professional, performance, production, and technical skills as a result of experiences in emphasis tracks and production activities.

Expected Standards of Performance

Graduates of the program will have the following competencies:

1. The ability to think conceptually and critically about text, performance, and production.
2. The ability to develop and defend informed judgments about theatre.
3. An understanding of playwriting and production processes, aesthetic properties of style, and the way these are shaped by artistic and cultural forces.
4. An acquaintance with a wide selection of theatre repertory including the principal eras, styles, genres and cultural sources.
5. An understanding of procedures and approaches for realizing a variety of theatrical styles.
6. Technical skills requisite for artistic self-expression in areas of performance and/or design and technology appropriate to individual needs and interests, and consistent with the goals and objectives of the specific emphasis program being followed.
7. Growth in artistry, technical skills, collaborative competence, and knowledge of repertory through regular performance and production experiences. Students must have such experiences throughout the degree program.
8. In addition to the common core of theatre knowledge and skills, theatre education majors must develop competencies in professional education and in specific production areas. The professional education component will be dealt with in a practical context, relating the learning of educational theories and strategies to the student's day-by-day artistic experiences. The Secondary Education Program has standards and outcomes that conform to the requirements of the Utah State Office of Education.

Program Assessment

Individual courses are the building block components of the program, and the first level of program assessment will be tied directly to course assessment. Program success will be evaluated through accumulation and analysis of course assessment tools which are designed to measure achievement of specific course objectives. Data gathered from course assessments will be used to improve learning activities in areas showing lower student success. Students will demonstrate mastery of core and emphasis content knowledge through formative and summative course evaluations. Within a context of appropriate courses, students will demonstrate performance and production skills by preparing works suitable for a public audience.

An additional major assessment tool will be senior projects, required of each graduating student in the program. The projects will be designed to reflect acquired knowledge and skills. Senior projects represent assimilation of curriculum components and focus on performance and production activities, and will also include a written component. The projects will present a level of expertise and skill that could secure employment for students in their areas of emphasis. The response of the public, of critics, and of outside experts to senior projects will be used to assess success, and feedback from the projects will aid in further strengthening the degree design. Secondary education knowledge and skills will be assessed through a variety of tools employed by the education program, including student teaching and practicum experiences.

All of these assessment activities will be incorporated into the ongoing formal institutional accreditation process, which functions with regularly scheduled external evaluations and self-reports. Other specifically fine-arts-related external higher education accreditation organizations, such as the National Association of Schools of Theatre, will also be used to aid in assessment.

Section V: Finance

Five-Year Revenue and Expense Projections

Since theatre education majors share course offerings, facilities, faculty, staff, and other resources with other theatre majors, it makes most sense to view the aggregate financial profile projected for all theatre programs rather than theatre education alone. Funding for theatre degrees at DSC is already in place. The theatre education specialist is a new faculty position, to be added upon approval of the degree. This position, at the cost of \$24,000, is the result of a formal partnership with Tuachan High School for the Performing Arts and represents a creative and efficient use of resources. Support for this position is in place in existing institutional budgets; no new external funding is required. The \$24,000 expense is noted in the reallocation section of the chart below, indicating that the amount has been harvested from funds on hand at DSC. Implementation of a theatre education emphasis at DSC is extremely cost-effective.

Five-Year Revenue and Expense Projections (Theatre and Theatre Education Degrees Combined)

Financial Analysis Form for All R401 Documents					
Students	Year 1	Year 2	Year 3	Year 4	Year 5
Projected FTE Enrollment	47	51	62	72	79
Cost Per FTE	\$12,606	\$12,141	\$10,173	\$8,906	\$8,210
Student/Faculty Ratio	9.83	9.85	12.0	13.84	15.23
Projected Headcount	59	64	78	90	99
Projected Tuition					
Gross Tuition	\$141,000	\$153,000	\$186,000	\$216,000	\$237,000
Tuition to Program	\$49,350	\$53,550	\$65,100	\$75,600	\$82,950
5 Year Budget Projection					
Expense	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries & Wages	\$394,000	\$394,000	\$394,000	\$394,000	\$394,000
Benefits	\$195,000	\$195,000	\$195,000	\$195,000	\$195,000
Total Personnel	\$587,500	\$587,500	\$587,500	\$587,500	\$587,500

Financial Analysis Form for All R401 Documents					
Current Expense	\$16,500	\$18,200	\$28,550	\$36,050	\$41,100
Travel	\$5,000	\$5,500	\$6,000	\$8,000	\$9,000
Capital					
Library Expense	\$7,500	\$8,000	\$8,700	\$9,700	\$11,000
Total Expense	\$616,500	\$619,200	\$630,750	\$641,250	\$648,600
Revenue					
Previous Legislative Appropriation*	\$543,150	\$543,150	\$543,150	\$543,150	\$543,150
Grants					
Reallocation	\$24,000	\$24,000	\$24,000	\$24,000	\$24,000
Tuition to Program	\$49,350	\$53,550	\$65,100	\$75,600	\$82,950
Total Revenue	\$592,500	\$619,200	\$630,750	\$641,250	\$648,600
Difference					
Revenue-Expense	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
* Monies already in DSC's on-going funding for theatre programs					

Funding Sources

Funding for the proposed budget will come from institutional funds, including tuition revenue and state allocations. The needed funds are already in place. Quality is tied to adequate funding; the program should not grow at a faster rate than resources can support.

Appendix A: Education Emphasis, Bachelor of Theatre Curriculum

Program Curriculum

Course Number	Title	Credit Hours
General Education		32.0
Theatre Foundation		
Complete these requirements:		
THEA 1001	Theatre First Year Experience	1.0
THEA 1713	Script Analysis	3.0
THEA 3720	Theatre History and Literature I	3.0
THEA 3730	Theatre History and Literature II	3.0
THEA 4700	Theatre Methods	3.0
THEA 4900	Senior Project I	1.0
THEA 4901	Senior Project II	2.0
Theatre Practicum		
Complete 2 credits of lower-division courses and 2 credits of upper division courses from the following:		
THEA 1150 - 1180	Theatre Workshop	0.5 - 1.0
THEA 2150 - 2180	Theatre Workshop	0.5 - 1.0
THEA 2093	Theatre Internship I	1.0 – 4.0
THEA 3150 - 3180	Theatre Workshop	0.5 - 1.0
THEA 4150 - 4180	Theatre Workshop	0.5 - 1.0
THEA 4093	Theatre Internship II	1.0 – 4.0
Acting and Directing		
Complete four of the following courses:		
THEA 1033	Acting I	3.0
THEA 2033	Acting II	3.0
THEA 3600	Directing I	3.0
THEA 3610	Directing II	3.0
THEA 3880	Stage Management	3.0
Design and Technology		

Complete five of the following courses:		
THEA 1223	Stage Makeup	3.0
THEA 1513	Stage Craft	3.0
THEA 2203	Costume Construction	3.0
THEA 2210	Scenic Design I	3.0
THEA 2230	Lighting Design I	3.0
THEA 2240	Costume Design I	3.0
Total Credits		47.0
Education Requirements		
EDUC 1010	Introduction to Education	3.0
EDUC 2010	Introduction to Teaching Exceptional Learners	3.0
EDUC 2400	Foundations to Multicultural Education & ESL Education	3.0
SCED 2500	Technology for Ed./Electronic Portfolios (K-12)	3.0
SCED 3110	Educational Psychology for Adolescents & Cooperative Learning Structures	3.0
SCED 3720	Reading and Writing in the Content Areas	3.0
SCED 4100	Curriculum, Instruction, and Assessment with Practicum	3.0
SCED 4600	Classroom Management with Practicum	3.0
SCED 4900	Secondary Student Teaching	10.0
SCED 4989	Student Teaching Seminar	2.0
Total Credits		36.0

Credit Summaries

	BS, Education	BA, Education
General Education	32	32
Theatre	47	47
Education	36	36
Foreign Language	0	16

Elective credits	8	0
Total Credits	123	131

New Courses to be added in the Next Five Years:

Course Number	Title	Credit Hours
THEA 4700	Theatre Methods	3.0

Appendix B: Program Schedule Education Emphasis, Bachelor's Degree in Theatre

Freshman

FALL	Course Title		SPRING	Course Title	
THEA 1001	Intro Theatre Studies	1	EDUC 1010	Intro to Education	3
THEA 1033	Acting I	3	THEA 1223	Stage Makeup	3
THEA 1113	Voice and Diction	3	THEA 2210	Scenic Design I	3
THEA 1513	Stage Craft	3	THEA 4400	Practicum/Internship	1
THEA 1713	Script Analysis	3		General Education	6
THEA 4400	Practicum/Internship	1			
	General Education	3			
	Total	17		Total	16

Sophomore

FALL	Course Title		SPRING	Course Title	
EDUC 2400	Foundation of Multicultural Education & ESL	3	EDUC 2010	Intro to Exceptionalities	3
THEA 2203	Costume Construction	3	THEA 2240	Costume Design I	3
THEA 3880	Stage Management	3	THEA 4400	Practicum/Internship	1
THEA 4400	Practicum/Internship	1		General Education	6
	General Education	6		Elective	3
	Total	16		Total	16

Junior

FALL	Course Title		SPRING	Course Title	
SCED 3110	Educational Psychology for Adolescents & Cooperative Learning Structures	2	SCED 4550	Technology for Secondary Teachers	2
THEA 3600	Directing I	3	THEA 3610	Directing II	3
THEA 3720	Theatre History and Literature I	3	THEA 3730	Theatre History and Literature II	3
	General Education	6		General Education	6
	Elective	3			
	Total	17		Total	14

Senior

FALL	Course Title		SPRING	Course Title	
SCED 3720	Reading and Writing in the Content Areas	3	THEA 4999	Senior Project	3
SCED 4100	Curriculum, Instruction, and Assessment with Practicum	3	SCED 4900	Secondary Student Teaching	10
SCED 4600	Classroom Management with Practicum	3	SCED 4989	Student Teaching Seminar	2
SCED 4700	Content Methods Courses with Practicum	3			

	Total	12		Total	15
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Bachelor of Science in Theatre Education Summary	
General Education	32 credits
Theatre Core	47 credits
Secondary Education Emphasis	36 credits
Electives	8 credits
GRAND TOTAL	123 credits

Program Schedule
Bachelor of Arts in Theatre Education

All courses same as BS, Education Emphasis with the following changes/additions:	
Foreign Language	16
Electives	0

Bachelor of Arts in Theatre Education Summary	
General Education	32 credits
Theatre Core	47 credits
Education Emphasis	36 credits
Foreign Language	16 credits
GRAND TOTAL	131 credits

Appendix C: DSC Theatre Faculty

Davenport, Varlo	MFA, Acting, The Ohio State University
20 years teaching in higher education	BS, Theatre, Southern Utah University
Professional Experience	<p>Founding Member, The Vagabond Theater Co. Producing Artistic Director, The Outlaw Trail Theater Guest Director, The Stagestop Theater Founding Member/Casting Director, The Neil Simon Festival Founding Member, The Space Between Theatre Company Dialect Coach, St. George Musical Theater Make-up artist, <i>Shadowhawk</i> feature length film</p>
Publications/Production/Performance Activities	<p>Workshop, "A Fighting Chance", an introduction to stage combat and fight notation, taught at Tuacahn High school's Summer Theater program 2005-06, and the Utah Theater Association's conference, 2002-06 Conference Coordinator, Utah Theatre Association, 2000, 2006 Guest Director, College of Eastern Utah Script/Performance, <i>John Wesley Powell: The Last American Adventure</i> Winner, Tributary Theaters' playwriting award, 1998 Director, Kennedy Center/American College Theater Festival (KC/ACTF) Regional Conference 10 minute play and New Play Development Workshop for 2 years Director, <i>Jekyll and Hyde</i>, production invited to KC/ACTF regional festival 2005 Circuit Coordinator, KC/ACTF region 8 Community Arts Council Advisory Panelist, The Utah Arts Council for 3 years</p>

Hanson, Brent	PhD, Theatre and Film, Brigham Young University
29 years teaching in higher education	MFA, Scene Design, University of Utah
	BFA, Theatre, University of Utah
Professional Experience	<p>President, Utah Theatre Association for 2 years Board Member, Utah Theatre Association for 9 years Member Utah Arts Council Theatre Panel for 3 years Artistic Director, Hill Cumorah Pageant since 2004 (Upstate New York) Production Designer, Hill Cumorah Pageant for 7 years Designer for Dinner Playhouse, Inc. for 2 years (Kansas City, Missouri)</p>

Publications/Production/ Performance Activities	<p>Produced Playwright:</p> <p><i>St. George Christmas</i></p> <p><i>Time-Share</i></p> <p><i>Rud's Farm</i></p> <p><i>The Secret of the Golden Locket</i></p> <p>Director of over 150 productions, including:</p> <p><i>Hamlet</i></p> <p><i>Quilters</i></p> <p><i>Talley's Folly</i></p> <p><i>The Scarlet Pimpernel</i></p> <p>Designer for over 200 productions, including:</p> <p><i>Into the Woods</i></p> <p><i>Romeo and Juliet</i></p> <p><i>Cats</i></p> <p><i>Becket</i></p> <p>Doctoral Dissertation: <i>Coming of Age in LDS Drama: Arnold Van Gennep's Separation, Transition, and Incorporation Applied to Saturday's Warrior and Huebener</i></p>
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Harding, Michael	MFA in Staging Shakespeare from the University of Exeter
4 years teaching in higher education	Graduate Actor Training at the University of Delaware – Professional Theatre Training Program
	BA in Theatre from The College of William & Mary
Professional Experience	<p>Professional actor for 12 years</p> <p>Company Manager for the USF Educational Tour</p>
Publications/Production/ Performance Activities	<p>40+ professional productions as an actor</p> <p>Member of Actor's Equity Association since 2000</p> <p>In development: Research, Development and Application of a new approach for the actor tentatively titled 'The Starfish Theory' – This will ultimately lead to publication.</p> <p>Research, Development and Application of the possibilities of 'live' performance in the virtual realities becoming prevalent in today's cyber-society, focusing on Second Life © - This will ultimately lead to publication.</p> <p>Author of: <i>The Rise of James VI</i> – an original Elizabethan history play and study of the rhetorical and dramatic techniques of William Shakespeare. This will ultimately lead to publication and production in the Regional and Educational Theatre circuits. <i>Equals</i> – an original play exploring the paradoxically similar and dissimilar nature and viewpoints held by archetypal theologians and scientists.</p> <p>(As yet untitled – in development) – a second original Elizabethan play building upon the discoveries made while working on <i>The Rise of James VI</i>. This piece will focus on the Shakespearean Romance style while incorporating contemporary story-telling techniques. This will ultimately lead</p>

	to publication and production in the Regional and Educational Theatre circuits.
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Hart, Monica L.	MFA, Costume Design, Wayne State University
9 years teaching in higher education	BA, Drama/Technical Theatre, University of Montana
Professional Experience	Costume Designer 16 years Costume Shop Supervisor, Mesa Community College, 1 year Costume Shop Supervisor, University of Michigan-Flint, 2 years
Publications/Production/Performance Activities	Designer of over 40 productions including <i>A Doll's House</i> <i>Cat on a Hot Tin Roof</i> <i>Chicago</i> <i>The Grapes of Wrath</i> Member, United States Institute (USITT) USITT conference presentations include: <i>Two Coats in One</i> <i>Color and Texture Wheel</i> <i>Ginger Snaps</i> <i>Music's Production of The Nutcracker</i> <i>An Easy Victorian/Edwardian Hat</i>

Houser, Mark	MFA Arts Administration from Southern Utah University
4 years Consulting/Teaching Higher Education	BA Acting/Directing from Southern Utah University
Professional Experience	Actor, Director, Producer (PBS), Commercial Photographer and Graphic Designer 14 years Publications/Productions/Performance Activities Director/Producer/Associate Producer for PBS, Penn State University, and Restek Corp. Commercial Photographer Non-profit business consultant Founder/Executive Director for the International League of Mentors, co-founder 2008 Fourth generation Meisner actor 14 years Teaching Meisner Technique 8 years Successfully teaching students privately in the method for stage and screen 8 years
Publications/Production/Performance Activities	Director/Producer: Exploring Middle Earth, 2011-12, exclusive photo/motion picture documentary cave expedition of Middle Earth, Sierra Nevadas (In development) Screenplays/novels: N/SP: <i>Valley of Shadows</i> (science fiction)

	N/SP: <i>Ghosts of War</i> (science fiction/action) SP only: <i>Spies</i> (drama/suspense thriller) (Untitled): Subtitled: <i>The 7 Wisdoms of Eternal Marriage</i> , Exploration of First six months of marriage and what it takes to survive and thrive as a Coherent couple throughout marriage.
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Hunsaker Jan	MFA in Theatre Education and Directing, University of Utah
18 years teaching in secondary education	BS Theatre Arts, emphasis Acting/Directing, Southern Utah University
Professional Experience	Artistic Director and Vice-President, Tuacahn High Adjunct Theatre Education Instructor, Southern Utah University and Brigham Young University Director, Educational Outreach, Tuacahn Center for the Arts, Ivins, Utah 8 years Teacher/Director/Fine Arts Chair, Lehi High School, Lehi, Utah 5 years Director/Creative Staff, SCERA Shell Theatre, Orem, Utah 5 years Director, Lehi City Arts Council, Lehi City Corporation, Lehi, Utah 3 years Teacher/Director, Mountain Ridge Junior High School, Highland, Utah 4 years

Innes, Brent	MFA, Theatre Technology and Design, Utah State University
4 years teaching in higher education	BFA, Theatre Lighting Design, Utah State University
Professional Experience	5 seasons as ATD/Shop Foreman, Old Lyric Repertory Company, Logan UT 2 years - Technical Director/Lighting Designer, Carriage House Theatre
Publications/Production/Performance Activities	Light Designer of 12 productions, including <i>Last Train to Nibroc</i> <i>Titanic the Musical</i> <i>I Hate Hamlet</i> Barbizon Award light design UST- Macbeth 2005 Set Designer of 7 productions, including <i>The Laramie Project</i> <i>Child of Frankenstein</i> <i>Crazy for You</i> Over 100 productions as technician (set, lights, sound, props) including <i>To Kill a Mockingbird</i> <i>The Music Man</i> <i>A Little Night Music</i> <i>Anton in Show Business</i> Member, United States Institute For Technical Theatre for 5 years

Rahilly, Johanna	MFA in Acting, The University of California at Davis
11 years teaching in	BA in Theatre, Scripps College and The Theatre Department for The

higher education	Claremont Colleges
	The Marymount College London Drama Program, One Year Acting Conservatory Actor Training, The Lee Strasberg Theatre Institute, Los Angeles Apprentice Program, The Williamstown Theatre Festival, Williamstown, MA
Professional Experience	Professional actor for The Lake Tahoe Shakespeare Festival, The Foothill Theatre Company, The B Street Theatre, and The Odyssey Theatre Ensemble Assistant to Casting Director Teresa Neptune, Rainbow Casting for Film and Television Director, Solano Community College, Sacramento City College Adjunct Faculty Member, Sacramento City College, Solano Community College, and Columbia College
Publications/Production/ Performance Activities	Director, <i>With Two You Get Eggroll</i> for The 29 1/2 Hour Playwright's Festival, Sacramento City College Shakespeare Instructor, The Lake Tahoe Shakespeare Festival Arty Award, Stand and Deliver, Best Director Arty Award, Stand and Deliver, Best Production Arty Award, Stand and Deliver, Best Ensemble Associate Producer, Theatre Zoe, Davis, California Literary Intern, The Intiman Theatre, Seattle, WA

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: University of Utah and Utah Valley University Three-Year Reports

Issue

Regents' Policy R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports, requires USHE institutions to submit follow-up reports on new programs after the third year of implementation (or after the second year of implementation for programs approved under the "fast track" procedure). The reports submitted by the University of Utah and Utah Valley University are in compliance with Policy R401. The Program Review Subcommittee has reviewed these reports and recommends them to the Regents for consideration.

University of Utah
Bachelor of Science in Athletic Training

Program Description

The University of Utah Athletic Training Education Program (ATEP) is a nationally accredited program that provides a comprehensive health care education which focuses on the physically active. The University's ATEP prepares students for successful completion of the National Athletic Trainer's Association Board of Certification (NATABOC) exam, as well as makes them eligible for licensure to practice as a clinical healthcare professional in the State of Utah.

Enrollment Description

Program enrollments are at approximately 36 students and this number matches original estimates of program size. A program fee was initiated in year three of the program to compensate for the low faculty/student ratio and clinical placements required for an accredited athletic training program.

Enrollment Data						
	Year 1		Year 2		Year 3	
Students	Estimate	Actual	Estimate	Actual	Estimate	Actual
FTE Enrollment	32	32	36	40	36	36
Cost Per FTE	3839	3839	4825	4343	5824	5269
Student/Faculty Ratio	5	5	6	6	6	6
Headcount	32	32	36	40	36	36
Tuition						
Tuition to Program	25,344	25,344	33,696	33,696	33,696	88,696*

*Tuition to the program increased in year three due to the University approved program fee of \$1000 per semester. This fee compensates for the low student/faculty ratio and it covers the increased costs of running a professional degree program that leads to board certification and licensure. This fee received student endorsement.

Employment Information

The first-time pass rate of UofU students on the national board examination for athletic trainers is 12% above the national average. 88.7% of the UofU graduates are employed or have been accepted into graduate programs following graduation. Additionally, the US Bureau of Labor Statistics stated in the 2010 Occupational Outlook that athletic training was projected to be in the top ten of health care professions with employment growth estimated at 37% between the years of 2008-2018.

Minor in Political Science

Program Description

The Minor in Political Science was developed in response to requests from students who wanted to demonstrate some expertise in political science, but not be required to complete a full major. The program contains 12 units of introductory/core courses and 12 units of upper division courses. Internship hours may be incorporated into the minor.

Enrollment Description

During the first academic year after program approval (2008-2009), the minor was announced and advertised to students. The expectation for enrollment in the initial year was low, yet there was one student awarded the minor at graduation within the first year. In the academic year 2009-2010, there were 46 registered minors, including sixteen minors awarded in political science at graduation. In academic year 2010-2011, there were 81 registered minors, and 30 minors awarded at graduation.

Enrollment Data						
	Year 1		Year 2		Year 3	
Students	Est.	Actual	Est.	Actual	Est.	Actual
FTE Enrollment	N/A	N/A	N/A	N/A	N/A	N/A
Cost Per FTE	N/A	N/A	N/A	N/A	N/A	N/A
Student/Faculty Ratio	N/A	N/A	N/A	N/A	N/A	N/A
Headcount	N/A	1	N/A	46	N/A	81
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	N/A	N/A	N/A	N/A	N/A	N/A

No new costs were incurred in bundling existing Political Science courses into a minor. Students have found this minor of interest. The minor appears to be very useful to students declaring interdisciplinary majors and also to those who anticipate needing political knowledge in their intended careers.

Utah Valley University **AAS in Technology**

Program Description

The Associate of Applied Science Degree in Technology was designed for individuals working in a technical area who have considerable work experience and/or have obtained specialized certifications, licenses, apprenticeships, etc. Although the program was available beginning in the Fall of 2008 the first student actually enrolled in the program in Fall 2010. Enrollment in the courses has been a little stronger than the initial estimates as indicated in the table below. Some of these students are looking for a degree that will allow them better upward mobility in their jobs or careers, or that may make it possible for them to launch their own businesses. Conversations are underway with the local campus of the Utah College of Applied Technology (UCAT) as the new Regents Policy R473 is being implemented. The Mountainland Applied Technology College has a number of programs that may feed students into the AAS in Applied Technology. Articulation agreements are expected to be in place during the next few months.

Students are required to take a class to develop a portfolio that presents licenses and work-related certifications, as well as provides a rationale for receiving technical, experiential credit. Core courses provide fundamental knowledge of contemporary technologies, and elective courses allow the students to enhance their technical skills in one or more technical areas. A supervisory course is also required so students can learn to manage workers in technologically intensive organizations. Demand for the program is not as strong as anticipated; however, it is expected to improve as a result of anticipated articulated agreements with UCAT.

Enrollment Description

The Portfolio class was first offered in the fall of 2008; however, the first student did not enroll in the program until the fall of 2010. Demand for the program is not as strong as anticipated; however, it is expected to improve as a result of articulated agreements with UCAT.

Enrollment Data						
	Year 1 (2008-09)		Year 2 (2009-10)		Year 3 (2010-11)	
Students	Est. for new courses	Actual	Est. for new courses	Actual	Est. for new courses	Actual
FTE Enrollment Annualized	2.50	7.10	4.00	15.20	4.00	24.94
Cost Per FTE	\$1,735	\$5,912	\$1,693	\$5,508	\$1,755	N/A
Student/Faculty Ratio	11.90	21.10	12.12	18.79	12.12	17.45
Headcount	15	2	30	6	30	7
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	\$7,500	\$22,635	\$12,000	\$52,653	\$12,000	\$91,580

Employment Information

Generally, students taking this degree are already employed. This degree provides for upward mobility in an existing career or for the opportunity to more successfully start a new business.

Bachelor of Science in Dental Hygiene

Program Description

The Bachelor Completion Program in Dental Hygiene was approved at the State Board of Regents meeting on January 18, 2008, and first began to admit students during the Fall 2008 semester. The program is aimed at working professionals, who already have an Associate Degree in Dental Hygiene, and as such is taken on a part-time basis. The programs' 3000- and 4000-level courses are now being delivered online to better serve the students working in the field. Students who have graduated from the program, as well as those who are currently a part of it, have provided very positive feedback concerning the relevancy and knowledge gained towards their work in the office or in the community.

UVU will be looking carefully at this program and will monitor enrollments over the coming year to see if the program is indeed on a growth trajectory. Meanwhile, the Department of Dental Hygiene has taken the following steps to increase enrollments in the BS Completion in Dental Hygiene:

1. Moving all DENT courses online so that the working professional can have greater access to the program.
2. Allowing second year AAS Dental Hygiene students that will be enrolling in the BS Completion program to take a limited number of BS courses.

The numbers for Fall 2011 show 15 students enrolled in the BS Completion program with 6 AAS second-year students taking selected upper division classes.

The department action plan is to create a focused advertising/marketing campaign that will target potential BS program students. In addition, they are planning to shape the program into a cohort model, which will

create greater efficiencies by increasing the number of students in any of the upper division classes at any given time. The goal is to, within the year; begin to raise enrollments to a sustainable level.

Enrollment Description

Enrollments are below expectations in this program. The projected enrollment data for the BS in Dental Hygiene in the original R401 was based on the new upper division courses that would be required (FTE Enrollment, Cost Per FTE, and Headcount). The three-year report includes only enrollments in upper division Dental Hygiene courses, however the cost per FTE is for the Department of Dental Hygiene (upper and lower division). The cost per FTE did increase from 2008-09 (\$17,063) to 2009-10 (\$17,848).

The program has started to offer upper division courses on-line, and with this change in delivery method, UVU anticipates increased enrollments.

Enrollment Data						
	Year 1 (2008-09)		Year 2 (2009-10)		Year 3 (2010-11)	
Students	Est. impact of new degree	Actual	Est. impact of new degree	Actual	Est. impact of new degree	Actual
FTE Enrollment Annualized	6.66	1.70	9.66	2.57	10.13	3.30
Cost Per FTE	\$12,920	\$17,063	\$9,226	\$17,848	\$9,142	N/A
Student/Faculty Ratio	6.66	5.52	9.66	4.11	10.13	4.87
Headcount	20	2	41	8	43	8
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	\$19,980	\$5,420	\$28,980	\$8,902	\$30,390	\$12,118

Employment Information

Of the eight students who have graduated in this program since its inception, six are employed in the field and one is attending graduate school.

Master of Education

Program Description

The UVU Master of Education (M.Ed.) degree was the first master's degree approved for offering by UVU with its move to university status and was approved by the Regents in March of 2008. The degree was designed to integrate research and professional practice for currently practicing K-12 teachers. The goal of the program is to enable participants to become more proficient in selecting research-based curriculum design and instructional strategies that best apply to specific teaching situations.

Enrollment Description

This is a cohort-based program. The first cohort of students began the program in the fall of 2008, and the first graduates completed the program in the spring of 2010. A second cohort of students entered the

program in the summer of 2009; a third cohort began in 2010. The newest cohort began their studies in June of 2011.

This is a cohort-based program in which annualized FTE enrollments are slightly above projections for the program, with approximately 40 students per year being served. Graduates are employed as teachers presently or active in the job market and anticipating placement in the K-12 schools. With the current economic downturn, schools are retaining and hiring fewer teachers, although that circumstance is expected to change with the slow trend for economic improvement. There continues to be a demand for high quality teachers, such as the ones this program prepares.

The Annualized FTE Enrollment and cost per FTE are shown in the Table 1. For a full picture of estimated and actual enrollments, see Table 2.

Table 1

Enrollment Data						
	Year 1(2008-09)		Year 2 (2009-10)		Year 3 (2010-11)	
Students	Est.	Actual	Est.	Actual	Est.	Actual
FTE Enrollment Annualized	13.00	5.85	24.00	39.38*	36.00	39.78
Cost Per FTE	\$11,146	\$9,972	\$10,172	\$6,346	\$7,346	n/a
Student/Faculty Ratio	13.00	8.01	10.91	20.83	13.09	14.52
Headcount	30	20	60	42	90*	49
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	\$46,540	\$20,943	\$85,920	\$153,188	\$128,880	\$163,894

Note: All data are exclusively for Master of Education program (students, FTE, faculty, expenditures and revenue).

*R401 budget projected 1st cohort would not complete until December 2010. 1st cohort completed April 2010.

Note: UVU does not allocate tuition revenues directly to any programs. The projected gross tuition would only be available for allocation if UVU enrollments in total increased. Increased tuition revenue would be allocated through UVU's Planning, Budgeting and Assessment process.

The following tables provide a picture of the estimated and actual enrollments in the M.Ed. program.

Table 2

Cohort	Fall 2008	Spring 2009	Summer 2009	Fall 2009	Spring 2010	Summer 2010	Fall 2010	Spring 2011	Summer 2011
1	30	30	30	30	30	30			
2			30	30	30	30	30	30	
3						30	30	30	30
4									30
TOTAL	30	30	60	60	60	90	60	60	60

Actual

Cohort	Fall 2008	Spring 2009	Summer 2009	Fall 2009	Spring 2010	Summer 2010	Fall 2010	Spring 2011	Summer 2011
1*	30	30	30	30	30				
2			30	30	30	30	30	30	
3						30	30	30	30
4									30
TOTAL	30	30	60	60	60	60	60	60	60

*This program was designed to start the cohort in Summer semester although Cohort 1 did not begin until Fall 2008 when UVU had achieved university status. Schedule of curriculum offerings was adjusted to allow students in Cohort 1 to complete their requirement within 5 semesters rather than the planned 6 semesters, hence the difference between Estimated (90) and Actual (60).

Employment Information

The M.Ed. program is designed to address the needs of practicing K-12 teachers or experienced teachers awaiting classroom assignment.

Commissioner's Recommendation

The Commissioner recommends the Regents approve the University of Utah and Utah Valley University's three-year reports.

William A. Sederburg, Commissioner

WAS/EJH
Attachment

Appendix A

Three Year Follow-up Report University of Utah Bachelor of Science in Athletic Training Board of Regents approval 12/05/2008

Program Description

The University of Utah Athletic Training Education Program (ATEP) is a nationally accredited program that provides a comprehensive health care education that focuses on the physically active. The University's ATEP combines formal instruction in prevention, evaluation, rehabilitation, and management of injuries. Additionally, our program provides clinical experiences with athletic training professionals serving in a variety of settings, including University Athletics, professional sports, local area high schools, as well as, outpatient rehabilitation clinics in and around Salt Lake City. Our goal is to provide an environment that fosters the development of critical thinking and problem solving skills. The University's ATEP prepares students for successful completion of the National Athletic Trainer's Association Board of Certification (NATABOC) exam, as well as, makes them eligible for licensure to practice as a clinical healthcare professional in the State of Utah.

The program was first approved by the Board of Regents on December 5, 2008.

Enrollment Data						
	Year 1	Year 1	Year 2	Year 2	Year 3	Year 3
Students	Estimate	Actual	Estimate	Actual	Estimate	Actual
FTE Enrollment	32	32	36	40	36	36
Cost Per FTE	3839	3839	4825	4343	5824	5269
Student/Faculty Ratio	5	5	6	6	6	6
Headcount	32	32	36	40	36	36
Tuition						
Tuition to Program	25,344	25,344	33,696	33,696	33,696	88,696*

*Tuition to the program increased in year three due to the University approved program fee of \$1000 per semester. This fee pays compensates for the low student/faculty ratio and it covers the increased costs of running a professional degree program that leads to board certification and licensure. This fee received student endorsement.

Employment Information

Our first time pass rate on our national board examination is currently 12% above the national average. 88.7% of our students have become employed or have been accepted into graduate programs following graduation. Additionally, the US Bureau of Labor Statistics stated in the 2010 Occupational Outlook that athletic training was projected to be in the top 10 of health care professions with employment growth estimated at 37% between the years of 2008-2018.

Appendix B

Three-Year Follow-Up Report University of Utah Political Science Department Political Science Minor May 10, 2011

Description of Program

The Minor in the Political Science Department was approved for the 2008-2009 academic year. The justification for the minor was to respond to requests from students who wanted to demonstrate some expertise in political science, but not be required to complete a full major. At the time, students who had a major outside political science, but were interested in taking political science courses, were required to pursue political science as a second major.

Introductory Courses (choose 2)	Credit
POLS 1100 US National Government	3 units
POLS 2100 Introduction to International Relations	3 units
POLS 2200 Introduction to Comparative Politics	3 units
POLS 2300 Political Ideologies	3 units

Upper division Courses 12 units total

Choose four, three credit courses from POLS 3000-5999

A maximum of three (3) internship hours may be counted toward the minor.

Total Number of Units Required to Complete Minor 18 hours

All courses for the Minor must be taken for a letter grade and completed with a "C-" or better in the two introductory courses and an overall 2.0 G.P.A. or higher in all courses counted toward the minor requirements.

Enrollment Data

The first year academic year, 2008-2009, was the year in which announcing and advertising the availability of the minor was the main focus. The expectation for enrollment was low, yet there was one graduation within that first year. In the academic year 2009-2010, there were 46 registered minors, including sixteen minors awarded in political science. This current academic year (2010-2011) had 81 registered minors including 30 graduations and 51 students who have declared political science as a minor but have not graduated.

Political Science Minors come from a wide variety of colleges and academic backgrounds. Among the students currently registered as minors, the most popular majors are International Studies (28.5%) and Communications (14.3%). Overall, 76.8% of POLS minors have majors in the College of Humanities and 26.8% have majors in the College of Social and Behavioral Science (the total exceeds 100% due to double majors). Students with Political Science minors represent 21 different major departments across 6 colleges.

Enrollment Data						
	Year 1		Year 2		Year 3	
Students	Est.	Actual	Est.	Actual	Est.	Actual
FTE Enrollment	N/A	N/A	N/A	N/A	N/A	N/A
Cost Per FTE	N/A	N/A	N/A	N/A	N/A	N/A
Student/Faculty Ratio	N/A	N/A	N/A	N/A	N/A	N/A
Headcount	N/A	1	N/A	46	N/A	81
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	N/A	N/A	N/A	N/A	N/A	N/A

Note: The original request for approval did not include enrollment projections.

Future Growth and Planning

Enrollment in the minor has grown rapidly since its implementation and we anticipate continued growth, albeit at a somewhat reduced rate. Although a minor in Political Science is useful to students from a variety of disciplines who desire to demonstrate expertise in Political Science, it is perhaps most useful to students who declare an interdisciplinary major, such as International Studies, Environmental Studies, Gender Studies, Latin American Studies, Middle East Studies, and Asian Studies. Consequently, in the coming years we plan to market the minor to students with interdisciplinary majors. Many of these majors are large or growing rapidly, so we anticipate continued enrollment growth in the minor during the next three years. We will also explore the possibility of targeting majors in the College of Science and College of Health by demonstrating the value of political knowledge to students in technical and scientific fields. Though projections are difficult to make, we hope to increase the number of minors enrolled and graduating by 2013-2014 to 120 students enrolled and 50 graduating.

To prepare for this increased enrollment, we have restructured the undergraduate advising positions in the department and will hire a full time undergraduate advisor whose responsibilities will include advising Political Science minors. At current and projected enrollment levels this restructuring will not require an increase in staff or expenditures. However, if enrollment grows more rapidly we may need to dedicate additional resources to the management of the program.

Appendix C

Three-Year Follow-Up Report Utah Valley University AAS in Technology 21 June 2011

Program Description

The Associate of Applied Science Degree in Technology was designed for individuals working in a technical area who have considerable work experience and/or have obtained specialized certifications, licenses, apprenticeships, etc. Although the program was available beginning in the Fall of 2008 the first student actually enrolled in the program in Fall 2010. Enrollment in the courses has been a little stronger than the initial estimates as indicated in the table below. Some of these students are looking for a degree that will allow them better upward mobility in their jobs or careers, or that may make it possible for them to launch their own businesses. Conversations are underway with the local campus of the Utah College of Applied Technology (UCAT) as the new Regents Policy R473 is being implemented. The Mountainland Applied Technology College has a number of programs that may feed students into the AAS in Applied Technology. Articulation agreements are expected to be in place during the next few months.

Students are required to take a class to develop a portfolio that presents licenses and work-related certifications, as well as provides a rationale for receiving technical, experiential credit. Core courses provide fundamental knowledge of contemporary technologies, and elective courses allow the students to enhance their technical skills in one or more technical areas. A supervisory course is also required so students can learn to manage workers in technologically intensive organizations. Demand for the program is not as strong as anticipated; however, it is expected to improve as a result of anticipated articulated agreements with UCAT.

Enrollment Data						
	Year 1 (2008-09)		Year 2 (2009-10)		Year 3 (2010-11)	
Students	Est. for new courses	Actual	Est. for new courses	Actual	Est. for new courses	Actual
FTE Enrollment Annualized	2.50	7.10	4.00	15.20	4.00	24.94
Cost Per FTE	\$1,735	\$5,912	\$1,693	\$5,508	\$1,755	N/A
Student/Faculty Ratio	11.90	21.10	12.12	18.79	12.12	17.45
Headcount	15	2	30	6	30	7
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	\$7,500	\$22,635	\$12,000	\$52,653	\$12,000	\$91,580

Note: UVU does not allocate tuition revenues directly to any programs. The projected gross tuition would only be available for allocation if UVU enrollments in total increased. Increased tuition revenue would be allocated through UVU's Planning, Budgeting and Assessment process.

The initial R401 cost per FTE estimates were based on the incremental cost for new sections for three courses (TECH 1000, TECH 1010, and TECH 2010). The cost per FTE reported for Actual in the 3-year program review is the department cost per FTE. UVU does not "cost" individual courses or sections; rather, UVU (and other USHE institutions) provide cost and enrollment data for departments.

For the AAS in Technology, the addition of the three courses did not increase the overall cost per FTE in the department of Technology Management. A review of the Actuals indicates that cost per FTE actually declined from \$5,912 to \$5,508. It did contribute to the increase in the number of FTE enrollments from 7.1 in 2008-09 to 24.94 in 2010-11.

Employment Information

Term Graduated	Graduate School	Employed in Field	Employed Other	Unknown
Spring 2011		3		

Appendix D

Three-Year Follow-Up Report Utah Valley University BS Completion in Dental Hygiene 21 June 2011

Program Description

The Bachelor Completion Program in Dental Hygiene was approved at the State Board of Regents meeting on 1/18/2008, and first began to admit students for the Fall 2008 semester. The program is aimed at the working professionals and as such is taken on a part time basis. The programs' 3000 and 4000 level courses are now being delivered online to better serve the students working in the field. Students who have graduated from the program, as well as those who are currently a part of it, have provided very positive feedback concerning the relevancy and knowledge gained towards their work in the office or in the community. Certain course work involves community engagement and service learning. For example, the work of one graduate helped make a nonprofit clinic financially viable; while other graduates have instituted programs in their offices, such as smoking cessation. The program objectives have been met. In response to student need, the department has started allowing second-year AAS Dental Hygiene students to take a limited number of upper-level courses, which has been well received by those involved.

This action was approved by the UVU Board of Trustees on June 16, 2011.

Enrollment Data						
	Year 1 (2008-09)		Year 2 (2009-10)		Year 3 (2010-11)	
Students	Est. impact of new degree	Actual	Est. impact of new degree	Actual	Est. impact of new degree	Actual
FTE Enrollment Annualized	6.66	1.70	9.66	2.57	10.13	3.30
Cost Per FTE	\$12,920	\$17,063	\$9,226	\$17,848	\$9,142	N/A
Student/Faculty Ratio	6.66	5.52	9.66	4.11	10.13	4.87
Headcount	20	2	41	8	43	8
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	\$19,980	\$5,420	\$28,980	\$8,902	\$30,390	\$12,118

Note: UVU does not allocate tuition revenues directly to any programs. The projected gross tuition would only be available for allocation if UVU enrollments in total increased. Increased tuition revenue would be allocated through UVU's Planning, Budgeting and Assessment process.

Employment Information

Term Graduated	Graduate School	Employed in Field	Employed Other	Unknown
Fall 09	1			
Spring 10		2		
Summer 10		1		
Fall 10		3		
Spring 11		1		

Appendix E

Three Year Follow-Up Report Utah Valley University Master of Education 21 June 2011

Program Description

The Utah Valley University Master of Education Degree (M.Ed.), approved at the State Board of Regents meeting on 03/21/2008, is aimed at building the instructional skills and professional competency of teachers. While graduate degree programs are generally classified into either research-oriented programs or professional programs, Utah Valley University's M.Ed. program seeks to connect the realms of educational research and classroom practice. The goal is to enable participants to become more proficient in selecting research-based curriculum design and instructional strategies that best apply to specific teaching situations. Within the curriculum and instruction program are two options for areas of program concentration: (a) models of instruction or (b) English as a second language (ESL), which also leads to an ESL endorsement from the Utah State Office of Education.

The first group of students began the program in the fall of 2008, and the first graduates completed the program in the spring of 2010. A second cohort of students entered the program in the summer of 2009; a third cohort began in 2010. The newest cohort will begin their studies in June of 2011.

This action was approved by the UVU Board of Trustees on June 16, 2011.

Enrollment Data						
	Year 1(2008-09)		Year 2 (2009-10)		Year 3 (2010-11)	
Students	Est.	Actual	Est.	Actual	Est.	Actual
FTE Enrollment Annualized	13.00	5.85	24.00	39.38*	36.00	39.78
Cost Per FTE	\$11,146	\$9,972	\$10,172	\$6,346	\$7,346	n/a
Student/Faculty Ratio	13.00	8.01	10.91	20.83	13.09	14.52
Headcount	30	20	60	42	90*	49
Tuition	Est.	Actual	Est.	Actual	Est.	Actual
Tuition to Program	\$46,540	\$20,943	\$85,920	\$153,188	\$128,880	\$163,894

Note: All data are exclusively for Master of Education program (students, FTE, faculty, expenditures and revenue).

*R401 budget projected 1st cohort would not complete until December 2010. 1st cohort completed April 2010.

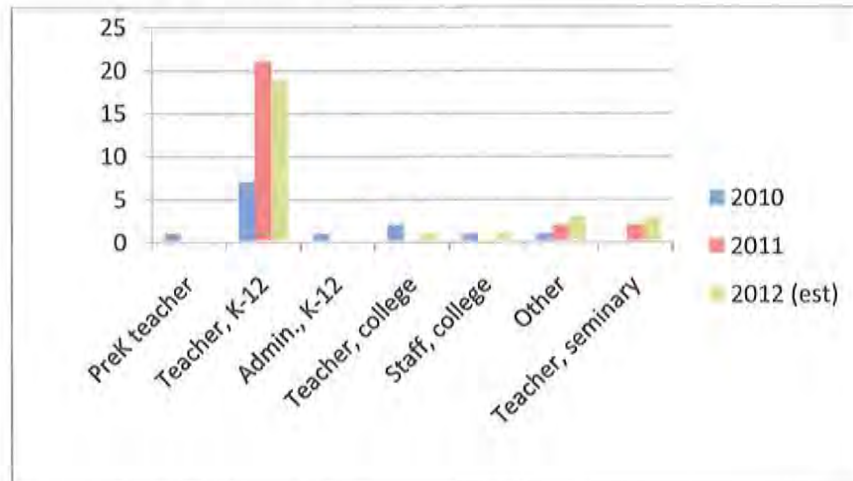
Note: UVU does not allocate tuition revenues directly to any programs. The projected gross tuition would only be available for allocation if UVU enrollments in total increased. Increased tuition revenue would be allocated through UVU's Planning, Budgeting and Assessment process.

Employment Information

Figure 1. Graduate employment information from the first three cohorts of M.Ed. students

Because the M.Ed. program is designed to address the needs of practicing K-12 teachers, there are no pertinent "placement" data for evaluating the program's utility. However, Figure 1 represents the employment information for the class of 2010, 2011, and 2012 (estimated). The students included in the "other" category are teachers currently awaiting a classroom assignment.

UVU's Master of Education program continues to grow, adapt, and develop as a vital source of graduate education for educators in the Utah Valley area. Enrollment in our two initial areas of concentration continues to grow, and representatives from the School of Education and the surrounding school districts have been meeting to plan how the M.Ed. program may better meet the needs of the community.



September 6, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Draft Outline – 2011 Report of the HigherEdUtah2020 Plan

Last year, the State Board of Regents approved the HigherEdUtah2020 Plan as the higher education master plan for the State of Utah. The Commissioner's office has committed to maintain the master plan through annual updates. This is the outline of the 2011 update to the HigherEdUtah2020 Plan. The outline will be developed into a 2011 Report that will later come to the Board for approval in January 2012.

Commissioner's Recommendation

This item is for information only.

William A. Sederburg, Commissioner

WAS/CKM
Attachment

Higher Ed Utah 2020 Plan 2011 Report (general outline)

- (1) Introduction to the annual report and cycle
- (2) Update on Utah's Big Goal
- (3) Progress made towards the three regent imperatives
 - a. Participation
 - b. Completion
 - c. Economic Innovation
- (4) Metrics
- (5) Accountability Report of 2011 Action Plan: Implementation Strategies and Ideas
 - a. Institutional reports
 - b. System Report
- (6) 2012 Action Plan Implementation Strategies and Ideas
- (7) Transformational Change
 - a. Higher education in a knowledge-based economy
 - b. Disruptive Technologies

September 7, 2011

MEMORANDUM

TO: State Board of Regents
From: William A. Sederburg
SUBJECT: Peer Institutions List: Weber State University

Background

The Commissioner's Office continues to move through the process of working with USHE campuses to update their lists of peer institutions. Most recently, work has been completed on an updated list of peers for Weber State University (WSU). The recommended list accompanies this item.

Issue

Formally approved peer lists are used for various financial and statistical comparisons, and – with the evolving nature of institutions – it is important to review the lists periodically in order to assure that peer group members remain representative of the nature and mission of the USHE institution for which they are being used as comparators. Board of Regents policy R508 provides guidance for the creation and approval of peer institutions groups; utilizing those guidelines, WSU and OCHE have worked together to complete the task of reviewing the Weber State University peer list.

In undertaking this peer review endeavor, the services of the National Center for Higher Education Management Systems (NCHEMS) were utilized. NCHEMS offers a Comparison Group Selection Service that is designed to aid in selecting groups of institutions with similar missions and demographic characteristics as an aid for comparative data analyses.

The Weber State University peer institution list includes a group of institutions whose focus is primarily on instruction rather than research. They are classified by Carnegie as Masters institutions and have robust part-time enrollments. The breadth of degree-levels offered is significant.

The NCHEMS selection service combed through a database of all higher education institutions; reviewing several dozen variables of institutional characteristics, and condensing the list to a workable number for the target institution. Amongst the more important variables reviewed, were:

- Size and service area
- Student body characteristics

- Research activity
- Carnegie classification
- Academic degree and program mix
- Student admissions scores & selectivity

Utilizing the NCHEMS information, OCHE, and WSU worked collaboratively to review the list of potential institutions for purposes of compiling a collectively agreed upon list. In this particular instance, the peer list created represents a group of public institutions with responsibility for offering a broad range of academic degree programs, from certificates through masters degrees; and is a list that both the Commissioner's Office and the Weber State University are comfortable will provide helpful comparisons in the coming years.

(Please see Appendix A – WSU Peer Institution List)

Commissioner's Recommendation

We recommend continuing approval of the Peer Institution List for Weber State University.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS
Attachment

APPENDIX A

(WSU Peer Institution List September 2011)

Weber State University Peer Institution List:

Institution	Location	Total FTE Students	Full-time Faculty	Percent P.T. Headcount Students	Percent Associates	Percent Bachelors
Boise St U	Boise, ID	16,260	617	38%	16%	62%
Clarion U	Clarion, PA	6,247	253	25%	12%	62%
Eastern KY U	Richmond, KY	13,795	635	27%	6%	69%
Ferris St U	Big Rapids, MI	11,885	544	27%	23%	59%
Northern KY U	Highland Hghts, KY	12,181	535	33%	5%	70%
NW St U of Louisiana	Natchitoches, LA	7,880	341	38%	18%	67%
U of Alaska - Anchorage	Anchorage, AK	11,402	476	56%	32%	47%
U of N Florida	Jacksonville, FL	13,534	481	32%	12%	72%
Utah Valley U	Orem, UT	19,267	481	51%	48%	52%
Youngstown St U	Youngstown, OH	11,627	440	25%	11%	70%
Weber State University	Ogden, UT	14,699	499	55%	47%	47%

All data represents 08-09 IPEDS data.

The above is indicative of the three dozen plus comparisons made in determining appropriate peer institutions. Basic institutional characteristics, student and student preparation characteristics, degree program mixes, and geographical locations are part of the data set.

September 7, 2011

MEMORANDUM

TO: State Board of Regents
FROM: William A. Sederburg
SUBJECT: Weber State University Property Transactions for Continuing Education Programs

Issue

Weber State University has requested approval of two related property transactions as follows:

- Purchase of a property (known as "Vista College") now owned by The Boyer Company that is nearly contiguous to the northeast corner of the WSU Davis Campus property.
- Sale of the WSU owned Training and Learning Center (TLC) facility located at 915 West Gordon Avenue in Layton, UT (just west of I-15) to The Church of Jesus Christ of Latter-day Saints.

These transactions will enable WSU to relocate the Continuing Education department and its functions and course offerings from the TLC to the new location to be purchased.

Background

The TLC facility to be sold is the former Mountain Fuel Supply building that was acquired by and converted to WSU use many years ago. It is not well situated nor optimally configured for WSU's continuing education program needs. It is a 15,519 square foot building on 2.81 acres of property and is to be sold at the independently appraised value of \$1.4 million (an executive summary of the MIA appraisal is attached).

The property to be purchased consists of 3.28 acres of land and a 14,154 square foot building that is currently leased to Vista College. It is configured as a classroom and office facility and its close geographic proximity to the Davis Campus with better and more prominent access from State Road 193, which is an I-15 exit, and University Parkway make it better located to serve Hill Air Force Base and other continuing education patrons. The purchase price of \$2.1 million is supported by an independent MIA appraisal of \$2.15 million (an executive summary of the appraisal is attached).

The timing of these transactions is such that the purchase is to be made on or before September 28, 2011 and the sale on or about December 12, 2011. To accommodate this time lapse, the University proposes to make the purchase using reserves currently available from the continuing education program. The funds from the subsequent sale will then be returned to the continuing education reserve account.

These property transactions will result in a facility that will better serve the population of Hill Air Force Base, a primary patron, as well as other continuing education service programs, and will enable a synergy with the Davis Campus that will also result in more efficient operations and maintenance support.

A copy of the University's request for approval of these transactions (which includes additional information), copies of maps showing the location of the properties, and executive summaries of the independent appraisals are attached for your information. Members of the University's administration will be present to provide additional information and respond to questions the Board might have.

Commissioner's Recommendation

The Commissioner recommends approval of these WSU property transactions.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/WRH
Attachment



WEBER STATE UNIVERSITY

OFFICE OF THE VICE PRESIDENT
ADMINISTRATIVE SERVICES

August 4, 2011

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

Dear Commissioner Sederburg:

Weber State University has been given a rare opportunity to consolidate facilities and improve our continuing education services through a couple of real estate transactions. We would like to present these two transactions to the Board of Regents for approval at their next board meeting.

The first transaction involves the purchase of the "Vista College" property owned by the Boyer Company. The Boyer property is located on the southeast corner of the intersection of state highway 193 and University Park Blvd. in Clearfield, Utah. It is adjacent, although not contiguous, to the WSU Davis Campus. Eventually this property is expected to become contiguous since only one property separates this property from the Davis Campus. The Boyer property includes 3.28 acres of land and a 14,154 square foot building that is currently leased to Vista College and is configured as a classroom/office facility. The purchase price has been established at \$2,100,000 million. WSU's independent MAI appraisal is for \$2,150,000. We propose to close on this purchase on or about 28 September 2011.

Acquisition of the Boyer property will allow the WSU Continuing Education department to relocate its functions and course offerings to this new location from WSU's Training and Learning Center (TLC) located at 915 West Gordon Avenue in Layton, Utah. This relocation will better serve the population of Hill Air Force Base, a primary customer of our continuing education services programs and will facilitate better and more prominent access for all of our continuing education programs. The close geographic proximity to the WSU Davis Campus will enable a synergy with that campus that does not exist, as well as provide the opportunity for much improved, maintenance and operations support. The non-credit training delivered through our continuing education programs is a significant element of the WSU presence in the community we serve, as well as a significant revenue generator.

The second transaction is the sale of the Training and Learning Center. This sale includes a 15,519 square foot building on 2.81 acres. The Church of Jesus Christ of Latter-Day Saints has offered to purchase this facility at a purchase price of \$1.4 million, with the price confirmed by an independent MAI appraisal secured by the university. This property is the former Mountain Fuel Supply building that was converted to University use many years ago. It is not well situated nor optimally configured for the continuing education program needs of the University. This property transaction is anticipated to close on or about 12 December 2011.

To finance the purchase of the Vista College building from the Boyer Company, the University proposes to use the proceeds from the sale of the TLC and reserves from the continuing education program. Sufficient reserve funds are currently available for the purchase of the property.

Attached are summaries of the relevant appraisal documents and a map showing the location of The Boyer Company property we propose for purchase. Please put this request on the September 15, 2011 Board agenda for consideration and approval.

If you have any further questions, please call me at 801-626-6003.

Sincerely,

A handwritten signature in black ink, appearing to read 'Norm Tarbox', with a stylized, flowing script.

Norm Tarbox
Vice President for Administrative Services

Training and Learning Center Appraisal

Executive Summary

The University contracted with Larry Rigby and Associates, MAI, to conduct a current market appraisal on the Teaching and Learning Center. The subject is an existing university continuing education property containing 15,519 square feet of rentable area. The building was constructed in 1986, and is owner occupied as of the effective appraisal date. The site area is 2.81 acres, or 122,404 square feet.

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

VALUE CONCLUSION

Market Value As Is Fee Simple May 3, 2011 \$1,400,000

1. Extraordinary Assumptions include:

a. None

2. Hypothetical Conditions include:

a. None

Facility to be Purchased (Boyer Facility)

Executive Summary

The University contracted with Lifferth Appraisals, MAI, to conduct an appraisal on the above mentioned parcel and building. The subject contains 3.28 acres and is improved with an educational facility containing 14,154 square feet. Of the total site 0.979 acres is considered excess land. The estimated value as of the effective date of the appraisal or January 19, 2011 is two million one hundred fifty thousand dollars {\$2, 150, 000}.

Summary of Facts

Date of Report..... January 24, 2011
Effective date of appraisal..... January 19, 2011
Purpose of appraisal..... Estimate the market value of the subject for internal management decisions.
Neighborhood information Commercial and high density residential
Zoning C-2, Clearfield City
Highest and Best Use..... Commercial
Size of Land..... 3.28 acres
Excess land 0.9799 acres
Improvements Two level educational facility of 14,154 sq. ft.

Values

Cost Approach N/A
Sales Approach \$2,180,000
Income Approach \$2,120,000
As is value market value \$2,150,000



WEBER STATE
UNIVERSITY

Training and Learning Center

Layton, Utah

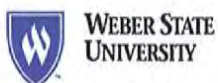


GCS North American 1983
NAD 1982 UTM Zone 12N



1:3,600
1 inch = 300 feet

R.A. Sirken
Cartographer

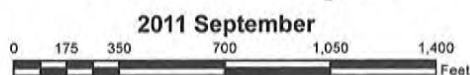


Boyer Property and Davis Campus

Clearfield & Layton, Utah



GCS North American 1983
NAD 1982 UTM Zone 12N



2011 September
1:4,800
1 inch = 400 feet

R.A. Sirken
Cartographer

September 7, 2011

MEMORANDUM

TO: State Board of Regents
FROM: William A. Sederburg
SUBJECT: Adoption of Policy R566, Presidential Travel Oversight

Issue

As a directive from the Board of Regents, policy R566 has been developed to more formally address oversight of presidential travel. The proposed policy provides guidance regarding oversight expectations. Recognizing that presidential travel is a necessary and required part of a president's duties, the policy also allows some flexibility to the institutions in meeting the oversight requirements. The proposed policy is attached to this memorandum.

Summary

In developing the policy, background research was conducted to gain insight into how other states' higher educational systems address presidential travel. In general, the research found that institutions often have some level of review of presidential expenses (including travel), though not always as directive as through formal policy. Nonetheless where present, a formal policy provides guidance of expectations to both presidents and governing boards.

Further, in reviewing audit findings on presidential travel from other states, the most scrutinized areas include lack of oversight and review. This proposed policy addresses those areas of concern.

Commissioner's Recommendation

The Commissioner recommends the Board approve Policy R566, Presidential Travel Oversight.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS
Attachment

R566, Presidential Travel Oversight¹

R566-1. Presidential Travel: This policy provides guidance on institutional oversight delegated to the Boards of Trustees to ensure accountability on presidential travel while also protecting the integrity of institutions and the Utah System of Higher Education. Travel is recognized as an integral and expected part of a president's role and responsibility to an institution.

1.1. Travel Review. Review of out-of-state presidential travel by a representative of the institutional governing board provides appropriate oversight of public funds.

1.1.1. A list of detailed travel expenditures shall be reported semi-annually to the Chairperson of the Board of Trustees.

1.1.1.1. Items to include in the report are as follows: location of travel, date, purpose, and total expenses.

1.1.1.2. Trips to include in the report are those that involve expenditure of institutional resources. Trips funded by other entities need not be included.

1.2. Audit. Presidential travel shall be audited pursuant to the normal internal audit procedures of the institution.

¹ Adopted TBD.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A Sederburg

SUBJECT: Revision to Policy R912 – Transfer of System Institution Employees to the Office of the Commissioner

Background

The Office of the Commissioner of Higher Education (OCHE) has a series of policies approved by the Board of Regents. Section 9 of the State Board of Regents policies and procedures relates only to the Office of the Commissioner and is not designed nor intended to govern or apply to USHE institutions.

Attached is Regent policy R912 – Transfer of System Institution Employees to the Office of the Commissioner. The current policy permits employees who leave employment at a designated USHE institution to retain employment at the Office of the Commissioner the option to retain insurance and retirement benefits at the designated institution. Two copies of this policy are included in the attachment – one with strike through changes, one with the changes already made to make for easier reading.

Issue

In many cases, ideal candidates for positions with the OCHE come from USHE institutions. The intent of the current policy was to remove any perceived or actual deterioration in benefits to an individual leaving employment at a USHE institution when accepting employment at the OCHE.

Every campus independently assesses their needs and determines the balance they opt to have in compensating employees through both salary and benefits, as does the Office of the Commissioner. If an employee opts to remain benefit eligible through a designated institution, but is paid through the compensation plan at OCHE, there is potential for imbalance between these qualified employees and other equivalent OCHE employees.

Amendments

This policy amendment has not changed the ability for qualified employees to transfer sick leave benefits to OCHE in accordance with the policies of the designated institution. The employee may not transfer vacation leave balances to OCHE. As a terminating employee, the qualified employee will be paid for

vacation leave balances upon termination from the designated institution. (See current section 4.3 of the policy).

Service credits for vacation leave will be retained by a qualified employee as is the current practice. (See current section 4.4 of the policy).

Sections 4.1 – Qualified Employee to Remain on the Payroll of Designated Institution is recommended to be omitted to address the potential imbalance of benefits to other equivalent OCHE employees previously explained.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the policies as amended.

William A Sederburg
Commissioner of Higher Education

WAS/GLS/SSD
Attachment

R912, Transfer of System Institution Employees to the Office of the Commissioner¹

R912-1. Purpose: To provide the policy of the Office of the Commissioner of Higher Education (OCHE) on transfers of employees from System institutions to OCHE.

R912-2. References

- 2.1. Utah Code §53B-1-106 (Appointment of Commissioner's Staff)
- 2.2. Policy and Procedures R141, Duties of the Commissioner of Higher Education
- 2.3. Policy and Procedures R821, Employee Benefits
- 2.4. Policy and Procedures R932, Vacation

R912-3. Definitions

- 3.1. **Designated Institution:** The Utah System of Higher Education (USHE) institution other than OCHE whose payroll included the new OCHE employee immediately before his or her employment at OCHE.
- 3.2. **Qualified Employee:** A new OCHE employee who was employed by a designated institution immediately prior to employment by OCHE.

R912-4. Policy

~~4.1. **Qualified Employee to Remain on the Payroll of Designated Institution:** Under special circumstances and with the joint approval of the Commissioner and the President of the designated institution, a qualified employee may request to be compensated, while employed by OCHE, through the payroll system of the designated institution. This decision must be made at the time of the initial appointment by OCHE.~~

~~4.1.1. The employee shall be eligible for all benefits accorded to equivalent staff personnel under the policies of the designated institution, including but not limited to retirement benefits and insurance benefits.~~

~~4.1.2. OCHE shall reimburse the designated institution for the full costs of salary and benefits provided to the qualified employee under this policy.~~

~~4.1.3. The employment relationship with the designated institution must be in harmony with the practices and regulations of both the designated institution and the OCHE.~~

~~4.1.4. Policies and Procedures in this manual are generally written for employees under the University of Utah payroll system, however where appropriate, these OCHE policies shall apply to qualified employees under another designated institution's payroll system.~~

¹ Approved September 24, 1993.

4.2. Qualified Employee Transfer to the University of Utah Payroll System: Qualified employees ~~are eligible to and are encouraged to will~~ transfer to the University of Utah payroll system where they will receive all benefits provided other equivalent OCHE employees.

4.3. Sick Leave and Vacation Leave Balances: In consultation with OCHE and the designated institution, the employee may transfer sick leave benefits to OCHE in accordance with the policies of the designated institution. The employee may not transfer vacation leave balances to OCHE.

4.4. Service Credits for Vacation Leave: The qualified employee shall be deemed to retain his or her accumulative service credits for the purpose of calculating vacation benefits earned while employed by OCHE. The official leave records shall be maintained by OCHE.



R912, Transfer of System Institution Employees to the Office of the Commissioner¹

R912-1. Purpose: To provide the policy of the Office of the Commissioner of Higher Education (OCHE) on transfers of employees from System institutions to OCHE.

R912-2. References

- 2.1. Utah Code §53B-1-106 (Appointment of Commissioner's Staff)
- 2.2. Policy and Procedures R141, Duties of the Commissioner of Higher Education
- 2.3. Policy and Procedures R821, Employee Benefits
- 2.4. Policy and Procedures R932, Vacation

R912-3. Definitions

- 3.1. **Designated Institution:** The Utah System of Higher Education (USHE) institution other than OCHE whose payroll included the new OCHE employee immediately before his or her employment at OCHE.
- 3.2. **Qualified Employee:** A new OCHE employee who was employed by a designated institution immediately prior to employment by OCHE.

R912-4. Policy

- 4.1. **Qualified Employee Transfer to the University of Utah Payroll System:** Qualified employees will transfer to the University of Utah payroll system where they will receive all benefits provided other equivalent OCHE employees.
- 4.2. **Sick Leave and Vacation Leave Balances:** In consultation with OCHE and the designated institution, the employee may transfer sick leave benefits to OCHE in accordance with the policies of the designated institution. The employee may not transfer vacation leave balances to OCHE.
- 4.3. **Service Credits for Vacation Leave:** The qualified employee shall be deemed to retain his or her accumulative service credits for the purpose of calculating vacation benefits earned while employed by OCHE. The official leave records shall be maintained by OCHE.

¹ Approved September 24, 1993.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A Sederburg

SUBJECT: Revision to Policy R993 – Records Access and Management Policy for the Office of the Commissioner of Higher Education (OCHE)

Issue

The Office of the Commissioner of Higher Education (OCHE) has a series of policies approved by the Board of Regents. Section 9 of the State Board of Regents policies and procedures relates only to the Office of the Commissioner and is not designed nor intended to govern or apply to USHE institutions.

Attached is R993 – Records Access and Management Policy. It is amended to update the policy to match current practices, permit proper segregation of records and access to protect confidentiality, and assure the process outlined in the policy is consistent with proper practice.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the policies as amended.

William A Sederburg
Commissioner of Higher Education

WAS/GLS/SSD
Attachment

R993, Records Access and Management¹

R993-1. Purpose: To provide policy related to State Board of Regents and Office of the Commissioner records access and management matters pursuant to the Government Records Access and Management Act (GRAMA), Utah Code Title 63, Chapter 2.

R993-2. References

- 2.1. Utah Code §63G-2-204(2) (Rules for Requests for Records)
- 2.2. Utah Code §63A-12-104(2) (Rulemaking Authority)
- 2.3. Utah Code §53B-16, Part 3 (Higher Education – Restricted Records)
- 2.4. The Family Educational Rights and Privacy Act of 1974 (Buckley Amendment), 20 U.S.C. §1232g
- 2.5. Policy and Procedures R132, Government Records Access and Management Act Guidelines

R993-3. Definitions

- 3.1. **Active Records:** Records that are required for day-to-day business and are subject to frequent use; generally referred to more than once per month per file drawer.
- 3.2. **Administrative Value:** In appraisal, the usefulness of records for the conduct of current and/or future administrative business needs.
- 3.3. **Agency:** An organizational entity of government, either executive, legislative or judicial, that is defined by law and has decision making authority. An agency can be an office, department, board, commission, or other separate unit.
- 3.4. **Appraisal:** The process of determining the value and thus the disposition of records based on their current administrative, fiscal and legal value; informational value; their arrangement and condition; their evidential and their intrinsic value; and their relationship to other records.
- 3.5. **Arrangement:** The order or relationship of individual files within a record series to each other, frequently reflecting the function of the record series to the organization, e.g., alphabetical, numerical by case number, alphabetical by address, or chronological.
- 3.6. **Business Unit Specific Schedule:** Retention schedule established by a records steward who specifies the approved disposition of a record series unique in purpose and function to its creating business unit.
- 3.7. **Classification:** "Classification," "classify," and their derivative forms mean determining whether a record series, record, or information within a record is public, private, controlled, protected, or exempt from disclosure under GRAMA Section §63G-2-201(3).

¹ Approved June 19, 1992; amended January 24, 1997, proposed replacement October 26, 2007.

- 3.8. Conversion of Records Formats:** The process of transferring records from one physical format to another. Conversion includes changing paper into microfilm, imaging, optical disks, or another electronic format.
- 3.9. Custody:** The guardianship of records and manuscripts which may include both physical possession (protective responsibility) and legal title (legal responsibility).
- 3.10. Designation:** "Designation," "designate," and their derivative forms mean indicating, based on the Records Officer's familiarity with a record series, the primary classification that a majority of records in a record series would be given if classified.
- 3.11. Data Administration:** developing and administering policies, procedures, practices, and plans for defining, organizing, protecting and efficiently utilizing data.
- 3.12. Disposition:** The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival repository, retain permanently in the agency or destruction, are among possible disposition actions.
- 3.13. Evidential Value:** In appraisal, the value of a record that documents the activities of an organization or agency.
- 3.14. Exempt Records:** "Exempt records" are records to which access is restricted pursuant to court rule, another state statute, federal statute, or federal regulation, such as, for higher education institutions, Restricted Sponsored Research/Technology Transfer Records (Utah Code Title 53B, Chapter 16, Part 3); and The Family Educational Rights and Privacy Act of 1974 (Buckley Amendment), 20 U.S.C. Section 1232g.
- 3.15. Fiscal Value:** In appraisal, records required until a financial audit is completed or financial obligations are fulfilled.
- 3.16. General Records:** Records that are common to many agencies within the same organization or type of government.
- 3.17. General Schedule:** Retention schedule which specifies the approved disposition of certain series of general records common to many agencies and serves as a model for agencies to evaluate similar record series.
- 3.18. GRAMA:** The Government Records Access and Management Act (GRAMA) is a comprehensive law dealing with management of government records. GRAMA states who has access to records and how the law is enforced. It is an attempt to balance the public's constitutional rights of access to information concerning public business, the individual's constitutional right to privacy when the government gathers personal data, and the public policy interest in allowing a government to restrict access to certain records for the public good.
- 3.19. Historical Value:** In appraisal, the value that documents the history of an organization. Sometimes referred to as, archival, continuing, or enduring value. Secondary Historical Value does not document the history of an organization, but recognizes a record containing information that is useful for conducting historical research.
- 3.20. Imaging:** Means electronic or "Digital" imaging; the ability to capture, store, retrieve, display, process, distribute, and manage information as a digitized representation of the original.

3.21. Inactive Records: A series of records with a reference rate of less than one search per file drawer per month.

3.22. Information Management: The application of planning and standards to the creation, use, retrieval, retention, conversion, disposition, and preservation of information resources in any format.

3.23. Information Systems: A system which provides input, storage, processing, communication, output, and control functions in relation to information and data. This term is normally used to describe computer systems.

3.24. Informational Value: In appraisal, the value of a record that provides unique and permanent information for purposes of research.

3.25. Inventory: A survey of agency records and non-record materials that is conducted primarily to develop retention schedules and also identify various records management problems, such as, improper applications of record-keeping technology.

3.26. Legal Value: In appraisal, the usefulness of records containing evidence of legally enforceable rights or obligations. Also refers to retentions specified by statute, rule, or regulation.

3.27. Permanent Records: Indicates a disposition other than "destroy." Specifically, records would either be transferred to the State Archives or maintained permanently in office.

3.28. Record Series: A group of identical or related records, files, documents and/or other media created by a business unit or records division that are normally used, indexed, or filed together, and that permit evaluation as a unit for retention and disposition purposes.

3.29. Records: all books, papers, letters, documents, maps, plans, photographs, sound recordings, management information systems, or other documentary materials, regardless of physical form or characteristics, made or received, and retained by any public office under state law or in connection with the transaction of public business by the office under state law or in connection with the transaction of public business by the offices, agencies, and institutions of the state and its counties, municipalities, and other political subdivisions.

3.30. Records Coordinator: The work unit or individual who implements the policy defined by the Records Steward and has responsibility for a business unit's records management daily operations.

3.31. Records Copy: The original file copy of a record series maintained by the creating agency, sometimes referred to as the designated original.

3.32. Records Management: The application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposition of records, undertaken to reduce costs and improve efficiency in record keeping. This includes management of filing and micro-filing equipment and supplies: filing and information retrieval systems; files, correspondence, reports, and form management; historical documentation; micrographics; systems applications; retention scheduling; and vital records protection.

3.33. Records Officer: The individual appointed by the Commissioner whose responsibilities include the development and oversight of records management programs and who serves as OCHE's contact person with the state archives and State Records Committee.

3.34. Records Steward: The individual who has policy level responsibility for determining how records will be created, used, maintained and stored by his/her business unit.

3.35. Records User: Any person, including members of the OCHE staff, and anyone else such as contractors, consultants, interns, and temporary employees, who accesses and uses OCHE records.

3.36. Retention Period: The period of time during which records are kept in the custody of the creating agency (including Records Center storage) before disposition occurs; usually in terms of years or contingent upon an event, such as an audit.

3.37. Retention Schedule: A list or other instrument describing record series and their minimum retention periods.

3.38. State Archives: The agency responsible for selecting, preserving, and making available, records determined to have permanent or continuing value. The building in which an archival repository is located. The Utah State Archives is a division within the Department of Administrative Services. The division name encompasses both the main offices on Capitol Hill and the Records Center in West Valley.

3.39. State Records Center: A facility especially designed and constructed to provide low-cost, effective storage and retrieval service on inactive records, pending ultimate disposition. The Utah State Records Center is located at 2341 South 2300 West in Salt Lake City, UT. Their phone number is (801) 975-4016 and fax is (801) 974-0336. This facility is not open to the general public.

3.40. State Records Committee: The State Records Committee has final authority for promulgating regulations and standards relating to the care of Utah government records. Created by the Public Records Act of 1953, the committee consists of representatives of: Local Government, State History, Media, Governor's Designee, Private Records Manager, State Auditor's Designee and a Citizen Member.

3.41. Vital Records: Records essential to the continued functioning or reconstruction of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. These are also called essential records. It is recommended that there be duplicates located off-site.

R993-4. Policy

4.1. Safeguarding Records: Records users are responsible for safeguarding the integrity, availability and confidentiality of all records to which they have access.

4.1.1. Access to OCHE records is based on an OCHE business need to know. Users must preserve the confidentiality of personal data and other OCHE information, and access records only in a manner consistent with their job function.

4.1.2. Users must report suspected violations to this policy to their manager, Records Steward or the Records Officer.

4.2. Records Divisions in the Office of the Commissioner: There shall be three records divisions within the Office of the Commissioner: the State Board of Regents/Commissioner's Office Records Division, the Student Financial Aid Records Division, and the Utah Educational Savings Plan Trust Records Division.

4.2.1. Records Coordinator: Each records division shall have an identified OCHE Records Coordinator, to provide for the physical care, maintenance, scheduling transfers of records to and

from the State Records Center, disposition of inactive records within the business unit, and transfer of permanent records to the State Archives.

4.3. Records Ownership and Classification: All records shall have an identified OCHE Records Steward, who is responsible for the identification of records within their business units, they shall provide to the Records Officer pertinent information regarding the records, such as, the purpose, description, arrangement, classification, appraisal, and format of the record copy.

4.4. Records Officer: The Commissioner shall appoint a Records Officer to develop and implement an agency records management program, provide training and coordinate with business unit Records Stewards and Records Coordinators to comply with the agency records program, conduct an annual inventory of agency records to determine compliance to approved retention schedules and to act as the contact for the State Archives.

4.5. Responsibility to Undertake the Various Requirements of GRAMA: The Records Officer shall work with each Records Division to undertake-fulfill the various requirements of GRAMA, as follows:

4.5.1. Designation of Records: ~~The Records Officer shall designate each~~ Each record or record series in OCHE's custody shall be designated, as either public, private, controlled, protected, restricted under Utah Code §53B-16-302, or otherwise exempt from disclosure under GRAMA §63G-2-201(3). ~~The Records Officer shall report the~~ The designations shall be reported to State Archives. (See GRAMA §63G-2-307)

4.5.2. Statement of Purpose for Collecting Information: When ~~the Records Officer designates~~ a record is designated as private or controlled, ~~the Records Officer must also file a statement~~ must be filed with State Archives explaining the purposes for which the records are collected and used. (See GRAMA Section 601.) The Office may use the record only for the purposes listed in that statement. However, sharing of records with other governmental entities is allowed, subject to the restrictions of GRAMA 63G-2-206.

4.5.3. Written Requests for Access to Records: All requests must be in writing and directed to ~~the Records Officer~~ GRAMA Request, 60 South 400 West, Gateway Building 2, Salt Lake City, UT 84101. Requests must include: the requestor's name, mailing address, daytime phone number, if available; and a description of the record requested that identifies the record with reasonable specificity. (See GRAMA §63G-2-204)

4.5.4. Fees: If duplication, or compilation of records in a form other than that maintained by the agency, is necessary, ~~the Records Officer may charge~~ a fee may be charged to the requester of the records to cover the actual cost of duplicating or compiling the records. (See GRAMA §63G-2-203(3))

4.5.5. Segregation: ~~The Records Officer may choose to segregate records~~ Records may be segregated or information redacted information within records that a future requester will be entitled to inspect, from records or information within records that the requester will not be entitled to inspect, in order to simplify the segregation process at the time the request for access is made. (See GRAMA §63G-2-308)

4.5.6. Access for Research Purposes: ~~The Records Officer may make determinations~~ Determinations regarding requests for access to records for research purposes may be made, as provided by GRAMA §63G-2-202(3).

4.5.7. Written Claim of Business Confidentiality: ~~The Records Officer may accept a~~ written claim of business confidentiality ~~may be accepted~~ in a form specified ~~by the Records Officer~~ and subject to ~~the Records Officer's~~ review of the claim for reasonableness. (See GRAMA §63G-2-305(2) & 63G-2-309)

4.6. Appeals of the Accuracy or Completeness of Personal Records: An individual may contest the accuracy or completeness of records concerning him or her. Appeals from such decisions are governed by the Utah Administrative Procedures Act (UAPA). (See Utah Code 63G-4) Appeals from such decisions shall be conducted informally rather than formally pursuant to R134, Informal Adjudicative Proceedings, under the Utah Administrative Procedures Act. (See GRAMA §63G-2-603)

4.7. Anonymity of Donors and Prospective Donors: A donor or prospective donor may request anonymity in writing. The written request shall be submitted ~~to the Records Officer~~ and shall be accompanied by a written statement which does not reveal the identity of the donor or prospective donor but which contains any terms, conditions, restrictions, or privileges relating to the donation, which information may not be classified protected by the Office of the Commissioner under GRAMA §63G-2-305(36).

4.8. Appeals to the Commissioner: Appeals regarding questions of access to records shall be directed to the Commissioner. (See GRAMA §63G-2-401)

4.8.1. Weighing of Privacy and Access Interests: The Commissioner may weigh privacy interests against access interests and allow access to specific private or protected records if the interests favoring access outweigh the interests favoring restriction of access. (See GRAMA 63G-2-201(5)(b))

4.8.2. Intellectual Property Rights: The Commissioner shall make determinations regarding the duplication and distribution of materials held by all Records Divisions and for which the State Board of Regents or Office of the Commissioner owns the intellectual property rights, as permitted by GRAMA §63G-2-201(10).

4.8.3. Sponsored Research and Technology Transfer: The Commissioner may restrict access to portions of technology transfer and sponsored research records for the purpose of securing and maintaining proprietary protection of intellectual property rights, or for competitive or proprietary purposes as a condition of actual or potential participation in a sponsored research or technology transfer agreement, as provided by Utah Code §53B-16.

4.9. Records Officer Responsibilities: ~~The Records Officer reports directly to the Information Security Officer (ISO).~~ The Records Officer is responsible for coordination, review and approval of procedures used to provide access, store and maintain records. The Records Officer is responsible for coordinating compliance with this policy and shall:

4.9.1. Develop and maintain the records management policy, procedures, best practices and minimum requirements.

4.9.2. Educate and provide assistance in complying with this policy to Records Stewards, Records Coordinators and users. Provide guidelines consistent with OCHE policies, consultation, and assistance to work units and individuals regarding the use, maintenance, storage, and disposition of records.

4.9.3. Implement and enforce records management practices required by federal, state and local laws.

4.9.4. Conduct annual records management audits to ensure compliance, identify unscheduled records, assess format viability and appropriate retention schedules.

4.9.5. Assist OCHE and third party auditors in the analysis of work unit records management to further ensure policy compliance.

4.9.6. Monitor compliance with records management policy and procedures and report compliance violations to the relevant cognizant authority.

4.9.7. Act as the direct contact for the State Archives.

4.10. Records Coordinator Responsibilities: The Records Coordinator for each business unit is charged with the responsibility of coordination of records transfer to and from the State Records Center (SRC), and maintenance of the Retention Schedule Tracking spreadsheet.

4.11. Records Steward Responsibilities: The Records Steward is designated by the cognizant authority of the relevant group or work unit, is familiar with records issues, law and regulations, and shall:

4.11.1. Determine the purpose and function of the record.

4.11.2. Determine the level of security based on the content of the record.

4.11.3. Determine the level of criticality of a record.

4.11.4. Determine accessibility rights to records.

4.11.5. Determine the appropriate method of providing business continuity for Critical Records (e.g., records needed to continue service at an alternate site).

4.11.6. Specify adequate records retention, in accordance with OCHE policies, state and federal laws relating to records management.

4.12. Disciplinary Action: Violation of this policy may result in disciplinary action, including termination of employment. Staff members may appeal disciplinary action taken against them pursuant to policy R951.



R993, Records Access and Management¹

R993-1. Purpose: To provide policy related to State Board of Regents and Office of the Commissioner records access and management matters pursuant to the Government Records Access and Management Act (GRAMA), Utah Code Title 63, Chapter 2.

R993-2. References

- 2.1. Utah Code §63G-2-204(2) (Rules for Requests for Records)
- 2.2. Utah Code §63A-12-104(2) (Rulemaking Authority)
- 2.3. Utah Code §53B-16, Part 3 (Higher Education – Restricted Records)
- 2.4. The Family Educational Rights and Privacy Act of 1974 (Buckley Amendment), 20 U.S.C. §1232g
- 2.5. Policy and Procedures R132, Government Records Access and Management Act Guidelines

R993-3. Definitions

- 3.1. **Active Records:** Records that are required for day-to-day business and are subject to frequent use; generally referred to more than once per month per file drawer.
- 3.2. **Administrative Value:** In appraisal, the usefulness of records for the conduct of current and/or future administrative business needs.
- 3.3. **Agency:** An organizational entity of government, executive, legislative or judicial, that is defined by law and has decision making authority. An agency can be an office, department, board, commission, or other separate unit.
- 3.4. **Appraisal:** The process of determining the value and thus the disposition of records based on their current administrative, fiscal and legal value; informational value; their arrangement and condition; their evidential and their intrinsic value; and their relationship to other records.
- 3.5. **Arrangement:** The order or relationship of individual files within a record series to each other, frequently reflecting the function of the record series to the organization, e.g., alphabetical, numerical by case number, alphabetical by address, or chronological.
- 3.6. **Business Unit Specific Schedule:** Retention schedule established by a records steward who specifies the approved disposition of a record series unique in purpose and function to its creating business unit.
- 3.7. **Classification:** "Classification," "classify," and their derivative forms mean determining whether a record series, record, or information within a record is public, private, controlled, protected, or exempt from disclosure under GRAMA Section §63G-2-201(3).

¹ Approved June 19, 1992; amended January 24, 1997, proposed replacement October 26, 2007.

WITH CHANGES ACCEPTED

- 3.8. Conversion of Records Formats:** The process of transferring records from one physical format to another. Conversion includes changing paper into microfilm, imaging, optical disks, or another electronic format.
- 3.9. Custody:** The guardianship of records and manuscripts which may include both physical possession (protective responsibility) and legal title (legal responsibility).
- 3.10. Designation:** "Designation," "designate," and their derivative forms mean indicating, based on the Records Officer's familiarity with a record series, the primary classification that a majority of records in a record series would be given if classified.
- 3.11. Data Administration:** developing and administering policies, procedures, practices, and plans for defining, organizing, protecting and efficiently utilizing data.
- 3.12. Disposition:** The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival repository, retain permanently in the agency or destruction, are among possible disposition actions.
- 3.13. Evidential Value:** In appraisal, the value of a record that documents the activities of an organization or agency.
- 3.14. Exempt Records:** "Exempt records" are records to which access is restricted pursuant to court rule, another state statute, federal statute, or federal regulation, such as, for higher education institutions, Restricted Sponsored Research/Technology Transfer Records (Utah Code Title 53B, Chapter 16, Part 3); and The Family Educational Rights and Privacy Act of 1974 (Buckley Amendment), 20 U.S.C. Section 1232g.
- 3.15. Fiscal Value:** In appraisal, records required until a financial audit is completed or financial obligations are fulfilled.
- 3.16. General Records:** Records that are common to many agencies within the same organization or type of government.
- 3.17. General Schedule:** Retention schedule which specifies the approved disposition of certain series of general records common to many agencies and serves as a model for agencies to evaluate similar record series.
- 3.18. GRAMA:** The Government Records Access and Management Act (GRAMA) is a comprehensive law dealing with management of government records. GRAMA states who has access to records and how the law is enforced. It is an attempt to balance the public's constitutional rights of access to information concerning public business, the individual's constitutional right to privacy when the government gathers personal data, and the public policy interest in allowing a government to restrict access to certain records for the public good.
- 3.19. Historical Value:** In appraisal, the value that documents the history of an organization. Sometimes referred to as, archival, continuing, or enduring value. Secondary Historical Value does not document the history of an organization, but recognizes a record containing information that is useful for conducting historical research.
- 3.20. Imaging:** Means electronic or "Digital" imaging; the ability to capture, store, retrieve, display, process, distribute, and manage information as a digitized representation of the original.

- 3.21. Inactive Records:** A series of records with a reference rate of less than one search per file drawer per month.
- 3.22. Information Management:** The application of planning and standards to the creation, use, retrieval, retention, conversion, disposition, and preservation of information resources in any format.
- 3.23. Information Systems:** A system which provides input, storage, processing, communication, output, and control functions in relation to information and data. This term is normally used to describe computer systems.
- 3.24. Informational Value:** In appraisal, the value of a record that provides unique and permanent information for purposes of research.
- 3.25. Inventory:** A survey of agency records and non-record materials that is conducted primarily to develop retention schedules and also identify various records management problems, such as, improper applications of record-keeping technology.
- 3.26. Legal Value:** In appraisal, the usefulness of records containing evidence of legally enforceable rights or obligations. Also refers to retentions specified by statute, rule, or regulation.
- 3.27. Permanent Records:** Indicates a disposition other than "destroy." Specifically, records would either be transferred to the State Archives or maintained permanently in office.
- 3.28. Record Series:** A group of identical or related records, files, documents and/or other media created by a business unit or records division that are normally used, indexed, or filed together, and that permit evaluation as a unit for retention and disposition purposes.
- 3.29. Records:** all books, papers, letters, documents, maps, plans, photographs, sound recordings, management information systems, or other documentary materials, regardless of physical form or characteristics, made or received, and retained by any public office under state law or in connection with the transaction of public business by the office under state law or in connection with the transaction of public business by the offices, agencies, and institutions of the state and its counties, municipalities, and other political subdivisions.
- 3.30. Records Coordinator:** The work unit or individual who implements the policy defined by the Records Steward and has responsibility for a business unit's records management daily operations.
- 3.31. Records Copy:** The original file copy of a record series maintained by the creating agency, sometimes referred to as the designated original.
- 3.32. Records Management:** The application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposition of records, undertaken to reduce costs and improve efficiency in record keeping. This includes management of filing and micro-filing equipment and supplies; filing and information retrieval systems; files, correspondence, reports, and form management; historical documentation; micrographics; systems applications; retention scheduling; and vital records protection.
- 3.33. Records Officer:** The individual appointed by the Commissioner whose responsibilities include the development and oversight of records management programs and who serves as OCHE's contact person with the state archives and State Records Committee.

WITH CHANGES ACCEPTED

- 3.34. Records Steward:** The individual who has policy level responsibility for determining how records will be created, used, maintained and stored by his/her business unit.
- 3.35. Records User:** Any person, including members of the OCHE staff, and anyone else such as contractors, consultants, interns, and temporary employees, who accesses and uses OCHE records.
- 3.36. Retention Period:** The period of time during which records are kept in the custody of the creating agency (including Records Center storage) before disposition occurs; usually in terms of years or contingent upon an event, such as an audit.
- 3.37. Retention Schedule:** A list or other instrument describing record series and their minimum retention periods.
- 3.38. State Archives:** The agency responsible for selecting, preserving, and making available, records determined to have permanent or continuing value. The building in which an archival repository is located. The Utah State Archives is a division within the Department of Administrative Services. The division name encompasses both the main offices on Capitol Hill and the Records Center in West Valley.
- 3.39. State Records Center:** A facility especially designed and constructed to provide low-cost, effective storage and retrieval service on inactive records, pending ultimate disposition. The Utah State Records Center is located at 2341 South 2300 West in Salt Lake City, UT. Their phone number is (801) 975-4016 and fax is (801) 974-0336. This facility is not open to the general public.
- 3.40. State Records Committee:** The State Records Committee has final authority for promulgating regulations and standards relating to the care of Utah government records. Created by the Public Records Act of 1953, the committee consists of representatives of: Local Government, State History, Media, Governor's Designee, Private Records Manager, State Auditor's Designee and a Citizen Member.
- 3.41. Vital Records:** Records essential to the continued functioning or reconstruction of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. These are also called essential records. It is recommended that there be duplicates located off-site.

R993-4. Policy

- 4.1. Safeguarding Records:** Records users are responsible for safeguarding the integrity, availability, and confidentiality of all records to which they have access.
- 4.1.1.** Access to OCHE records is based on an OCHE business need to know. Users must preserve the confidentiality of personal data and other OCHE information, and access records only in a manner consistent with their job function.
- 4.1.2.** Users must report suspected violations to this policy to their manager, Records Steward or the Records Officer.
- 4.2. Records Divisions in the Office of the Commissioner:** There shall be three records divisions within the Office of the Commissioner: the State Board of Regents/Commissioner's Office Records Division, the Student Financial Aid Records Division, and the Utah Educational Savings Plan Trust Records Division.
- 4.2.1. Records Coordinator:** Each records division shall have an identified OCHE Records Coordinator, to provide for the physical care, maintenance, scheduling transfers of records to and

from the State Records Center, disposition of inactive records within the business unit, and transfer of permanent records to the State Archives.

4.3. Records Ownership and Classification: All records shall have an identified OCHE Records Steward, who is responsible for the identification of records within their business units, they shall provide to the Records Officer pertinent information regarding the records, such as, the purpose, description, arrangement, classification, appraisal, and format of the record copy.

4.4. Records Officer: The Commissioner shall appoint a Records Officer to develop and implement an agency records management program, provide training and coordinate with business unit Records Stewards and Records Coordinators to comply with the agency records program, conduct an annual inventory of agency records to determine compliance to approved retention schedules and to act as the contact for the State Archives.

4.5. Responsibility to Undertake the Various Requirements of GRAMA: The Records Officer shall work with each Records Division to fulfill the various requirements of GRAMA, as follows:

4.5.1. Designation of Records: Each record or record series in OCHE's custody shall be designated, as either public, private, controlled, protected, restricted under Utah Code §53B-16-302, or otherwise exempt from disclosure under GRAMA §63G-2-201(3). The designations shall be reported to State Archives. (See GRAMA §63G-2-307)

4.5.2. Statement of Purpose for Collecting Information: When a record is designated as private or controlled, a statement must be filed with State Archives explaining the purposes for which the records are collected and used. (See GRAMA Section 601.) The Office may use the record only for the purposes listed in that statement. However, sharing of records with other governmental entities is allowed, subject to the restrictions of GRAMA 63G-2-206.

4.5.3. Written Requests for Access to Records: All requests must be in writing and directed to GRAMA Request, 60 South 400 West, Gateway Building 2, Salt Lake City, UT 84101. Requests must include: the requestor's name, mailing address, daytime phone number, if available; and a description of the record requested that identifies the record with reasonable specificity. (See GRAMA §63G-2-204)

4.5.4. Fees: If duplication, or compilation of records in a form other than that maintained by the agency, is necessary, a fee may be charged to the requester of the records to cover the actual cost of duplicating or compiling the records. (See GRAMA §63G-2-203(3))

4.5.5. Segregation: Records may be segregated or information redacted within records that a future requester will be entitled to inspect, from records or information within records that the requester will not be entitled to inspect, in order to simplify the segregation process at the time the request for access is made. (See GRAMA §63G-2-308)

4.5.6. Access for Research Purposes: Determinations regarding requests for access to records for research purposes may be made, as provided by GRAMA §63G-2-202(3).

4.5.7. Written Claim of Business Confidentiality: A written claim of business confidentiality may be accepted in a form specified and subject to review of the claim for reasonableness. (See GRAMA §63G-2-305(2) & 63G-2-309)

4.6. Appeals of the Accuracy or Completeness of Personal Records: An individual may contest the accuracy or completeness of records concerning him or her. Appeals from such decisions are governed by the Utah Administrative Procedures Act (UAPA). (See Utah Code 63G-4) Appeals from such decisions shall be conducted informally rather than formally pursuant to R134, Informal Adjudicative Proceedings, under the Utah Administrative Procedures Act. (See GRAMA §63G-2-603)

4.7. Anonymity of Donors and Prospective Donors: A donor or prospective donor may request anonymity in writing. The written request shall be submitted and shall be accompanied by a written statement which does not reveal the identity of the donor or prospective donor but which contains any terms, conditions, restrictions, or privileges relating to the donation, which information may not be classified protected by the Office of the Commissioner under GRAMA §63G-2-305(36).

4.8. Appeals to the Commissioner: Appeals regarding questions of access to records shall be directed to the Commissioner. (See GRAMA §63G-2-401)

4.8.1. Weighing of Privacy and Access Interests: The Commissioner may weigh privacy interests against access interests and allow access to specific private or protected records if the interests favoring access outweigh the interests favoring restriction of access. (See GRAMA 63G-2-201(5)(b))

4.8.2. Intellectual Property Rights: The Commissioner shall make determinations regarding the duplication and distribution of materials held by all Records Divisions and for which the State Board of Regents or Office of the Commissioner owns the intellectual property rights, as permitted by GRAMA §63G-2-201(10).

4.8.3. Sponsored Research and Technology Transfer: The Commissioner may restrict access to portions of technology transfer and sponsored research records for the purpose of securing and maintaining proprietary protection of intellectual property rights, or for competitive or proprietary purposes as a condition of actual or potential participation in a sponsored research or technology transfer agreement, as provided by Utah Code §53B-16.

4.9. Records Officer Responsibilities: The Records Officer is responsible for coordination, review and approval of procedures used to provide access, store and maintain records. The Records Officer is responsible for coordinating compliance with this policy and shall:

4.9.1. Develop and maintain the records management policy, procedures, best practices and minimum requirements.

4.9.2. Educate and provide assistance in complying with this policy to Records Stewards, Records Coordinators and users. Provide guidelines consistent with OCHE policies, consultation, and assistance to work units and individuals regarding the use, maintenance, storage, and disposition of records.

4.9.3. Implement and enforce records management practices required by federal, state and local laws.

4.9.4. Conduct annual records management audits to ensure compliance, identify unscheduled records, assess format viability and appropriate retention schedules.

4.9.5. Assist OCHE and third party auditors in the analysis of work unit records management to further ensure policy compliance.

WITH CHANGES ACCEPTED

4.9.6. Monitor compliance with records management policy and procedures and report compliance violations to the relevant cognizant authority.

4.9.7. Act as the direct contact for the State Archives.

4.10. Records Coordinator Responsibilities: The Records Coordinator for each business unit is charged with the responsibility of coordination of records transfer to and from the State Records Center (SRC), and maintenance of the Retention Schedule Tracking spreadsheet.

4.11. Records Steward Responsibilities: The Records Steward is designated by the cognizant authority of the relevant group or work unit, is familiar with records issues, law and regulations, and shall:

4.11.1. Determine the purpose and function of the record.

4.11.2. Determine the level of security based on the content of the record.

4.11.3. Determine the level of criticality of a record.

4.11.4. Determine accessibility rights to records.

4.11.5. Determine the appropriate method of providing business continuity for Critical Records (e.g., records needed to continue service at an alternate site).

4.11.6. Specify adequate records retention, in accordance with OCHE policies, state and federal laws relating to records management.

4.12. Disciplinary Action: Violation of this policy may result in disciplinary action, including termination of employment. Staff members may appeal disciplinary action taken against them pursuant to policy R951.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A Sederburg

SUBJECT: Revision to Policy R992, R926, R985 - Policies Relating to Information Security and Technology for the Office of the Commissioner of Higher Education (OCHE)

Issue

The Office of the Commissioner of Higher Education (OCHE) has a series of policies approved by the Board of Regents. Section 9 of the State Board of Regents policies and procedures relates only to the Office of the Commissioner and is not designed nor intended to govern or apply to USHE institutions.

Attached are three policies with proposed updates and/or changes that all relate to information technology and security. These modifications are necessary to;

- Conform to current needs and practices in Information Security and Information Technology
- Ensure personal communication devices protect confidential and/or sensitive information
- Update nomenclature and create consistency among policies
- Rename policies where appropriate to more accurately reflect their content
- Ensure proper security control policies are designated
- Ensure responsible personnel are identified

The attached three revised policies are:

- R992 – Information and Technology Resource Security
- R926 – Acceptable Use of Office-owned IT Resources
- R985 – Mobile Communication Device Program (currently titled Personal Communications Device Program)

Two copies of these policies are included in the attachment – one redlined with trackable changes, one with the changes already made to make for easier reading.

Commissioner's Recommendation

The Commissioner recommends that the Regents approve the policies as amended.

William A Sederburg
Commissioner of Higher Education

WAS/GLS/SSD
Attachment

R992, Information and Technology Resource Security¹

R992-1. Purpose: To provide policy to secure the private sensitive information of employees, borrowers, parents, program participants, and others affiliated with OCHE, and to prevent the loss of information that is critical to the operation of OCHE. OCHE Information and IT Resources are at risk from potential threats such as human error, accident, system failures, natural disasters, and criminal or malicious action. Specific work unit policies may be more restrictive depending on the security requirements of the work unit.

R992-2. References

- 2.1. Policy and Procedures R345, Information Technology Resource Security
- 2.2. Policy and Procedures R926, Acceptable Use of Office-owned Computer and Software IT Resources
- 2.3. Policy and Procedures R927, Use and Security of Property
- 2.4. Policy and Procedures R952, Discrimination, Harassment, and Staff Employment Grievance
- 2.5. Policy and Procedures R993, Records Access and Management

R992-3. Definitions

- 3.1. **Information Technology Resource (IT Resource):** A resource used for electronic storage, processing or transmitting of any data or information, as well as the OCHE data or information itself. This definition includes but is not limited to electronic mail, voice mail, local databases, externally accessed databases, CD-ROM, recorded magnetic media, photographs, digitized information, or microfilm. This also includes any wire, radio, electromagnetic, photo optical, photo electronic or other facility used in transmitting electronic communications, and any computer facilities, mobile computing device, or related electronic equipment that electronically stores such communications.
- 3.2. **Server:** A computer used to provide information and/or services to multiple Users.
- 3.3. **Security:** Measures taken to reduce the risk of 1) unauthorized access to IT Resources, via either logical, physical, managerial, or social engineering means; and 2) damage to or loss of IT Resources through any type of disaster, including cases where a violation of security or a disaster occurs despite preventative measures.
- 3.4. **IT Resource Steward:** The individual who has policy level responsibility for determining what IT Resources will be stored, who will have access, what security and privacy risk is acceptable, and what measures will be taken to prevent the loss of Information Resources.
- 3.5. **IT Resource Custodian:** The work unit or individual who implements the policy defined by the IT Resource Steward and has responsibility for IT systems that store, process or transmit IT resources.

¹ Adopted January 20, 2006, Amended ~~May 30, 2008~~ August 3, 2011.

3.6. IT Resource Administrator: OCHE staff that, under the direction of the IT Resource Steward and with operational instructions from the IT Resource Custodian, have day-to-day operational responsibility for data capture, maintenance and dissemination.

3.7. User: Any person, including members of the OCHE staff, and anyone else such as contractors, consultants, interns, and temporary employees, who accesses and uses OCHE IT Resources.

3.8. Private Sensitive Information: Private information ~~retained by or accessible through IT Resources such as networks and/or computers, including any information~~ that identifies or describes an individual (Information Owner), including but not limited to, his or her name, Social Security number, and financial matters. Access to such data is governed by state and federal laws, both in terms of protection of the data, and requirements for disclosing the data to the individual to whom it pertains.

3.8.1. Private Sensitive Information does not include "public information" as defined by the Utah Government Records Access and Management Act (GRAMA), or in the case of student records, "directory information" as defined by the Family Education Rights and Privacy Act (FERPA).

3.9. Critical IT Resource: An IT Resource which is required for the continuing operation of OCHE, including any IT Resource which, if it fails to function correctly and/or on schedule, could result in a major failure of mission-critical business functions, a significant loss of funds, or a significant liability or other legal exposure. For example, General Ledger monthly financial reporting may be considered non-Critical IT Resources by OCHE, but financial reporting at fiscal year-end may be considered Critical IT Resources.

3.10. Disaster: Any event or occurrence that prevents the normal operation of a Critical Information Technology Resource(s).

3.11. Service Continuity Plan: A written plan including provisions for implementing and running Critical ~~Information Technology~~ IT Resources at an alternate site or provisions for equivalent alternate processing (possibly manual) in the event of a disaster.

3.12. Unauthorized Access to IT Resources: Access to Private Sensitive ~~or Confidential~~ Information or Critical IT Resources by a User(s) that does not need access to perform his/her job duties.

3.13. Information Security Officer (ISO): The Information Security Officer is responsible for the development and maintenance of security strategy for OCHE's ~~computer systems~~ IT Resources and resolution of ~~office IT information~~ security incidents.

~~**3.14. Information Technology Council:** Made up of OCHE personnel appointed by the Commissioner, the Council is responsible for recommending OCHE security policies, approving security plans, and designating personnel for the Incident Response Team, as needed.~~

~~**3.14. Confidential Information:** Any information classified by the IT Resource Steward as confidential.~~

3.15. Incident Response Team: Directed by the ISO and made up of OCHE personnel ~~and other auxiliary members~~, the Incident Response Team is responsible for immediate response to any breach of security. The Incident Response Team is also responsible for determining and disseminating remedies and preventative measures that develop as a result of responding to and resolving security breaches.

~~**3.16. ISO 27002 Standard:** An information security standard published by the International Organization of Standardization (ISO). The standard provides a code of practice for information security which~~

~~establishes guidelines and general principles for initiating, implementing, maintaining, and improving information security management within an organization.~~

3.17. Mobile IT Resource: An electronic device which is mobile and has information storage capability such as a laptop, netbook, table PC (e.g. iPad), cell phone, smart phone, and personal digital assistant (PDA).

R992-4. Policy

4.1. **Adoption of ~~International Standards for Information Security~~ Best Practices:** The Board supports generally accepted standards for information security practices and adopts the NIST 800-53 recommended security controls ISO 27002 Standard to provide guidelines and general principles for information security management in OCHE.

4.2. Fundamental Principles of Information Security

4.2.1. Users are responsible for safeguarding the integrity and confidentiality of all information to which they have access.

4.2.2. Access to OCHE information is based on an OCHE business need to know. Users must preserve the confidentiality of personal data and other OCHE information, and access information only in a manner consistent with their job function, and must never attempt to circumvent the access or accounting controls in place.

4.2.3. Users must report suspected violations of this policy to their manager, IT Resource Steward, or the ISO.

4.2.4. Users shall make appropriate use of OCHE ~~information systems~~ IT Resources as set forth in R926, Acceptable Use of Office-owned Electronic Communications Systems IT Resources.

4.3 **Information Ownership and Classification:** All information shall have an identified OCHE Information Technology (IT) Resource Steward, who is responsible for information classification and the implementation of access and protection controls, and an IT Resource Administrator. IT Resource Administrators are responsible for data capture, maintenance, and dissemination, and for protecting information within their business environments. They approve access requests for information based upon policy set by the IT Resource Steward.

4.3.1. IT Resource Stewards approve physical controls, assign classifications to their information, and are responsible for supporting IT Resource Administrators by providing for the development and maintenance of a secure technology infrastructure and the implementation of appropriate information protection controls.

4.4. **Information Handling:** ~~Private Sensitive-sensitive private~~ and confidential information requires specific protections. ~~This includes most client data.~~ Unauthorized access or disclosure could result in reputation, regulatory, and/or financial harm to OCHE, its staff, and/or its clients. OCHE shall adopt minimum standards associated with the handling of private sensitive and confidential information, which shall include the use of cryptographic controls, as appropriate. IT Resource Stewards may also define additional controls for their data.

4.4.1. Users must not knowingly retain on OCHE-owned IT Resources ~~personal computers, servers, or other computing devices~~, Private Sensitive Information, such as Social Security numbers, or Confidential Information, such as financial information including credit card numbers

and bank information; except if (a) the User requires such Private Sensitive Information to perform duties that are necessary to conduct the business of OCHE, (b) the cognizant associate commissioner or designee grants permission to the User, and (c) the User takes reasonable precautions to secure Private Sensitive Information that resides on a User's personal computer or other computing device, e.g., implements password protection for documents that contain sensitive information, including the use of encryption on portable or mobile IT Resources. Users must not retain on non-OCHE owned IT Resources OCHE Private Sensitive or Confidential Information.

4.4.2. Encryption methods must be used to protect Private Sensitive and Confidential Information sent over public computer networks.

4.4.3. Encryption or other strong protections must be used to protect Private Sensitive and Confidential Information on mobile and other independent-portable devices.

4.4.4. All information systems—automated and manual—used by OCHE must adhere to levels of security consistent with the sensitivity of the information as classified by the IT Resource Steward. In the absence of a specific classification, information should be treated as confidential.

4.4.5. All access to OCHE IT Resources must be restricted to authorized individuals.

4.5. **Release of Information:** A nondisclosure agreement must be signed by a third party before OCHE Private Sensitive and Confidential Information is released. The Information Owner must approve the release of Private Sensitive Information to a third-party or for internal use, unless such release is authorized by law.

4.6. **User Authentication:** Users are responsible for the confidentiality and selection of passwords to ensure that unauthorized use of their OCHE user accounts does not occur.

4.6.1. Individual user-IDs and passwords should never be shared. No one—administrators, managers, or fellow users—should ever request another person's password.

4.6.2. Passwords should not be written down.

4.6.3. Passwords used on OCHE systems-IT Resources should not be used on non-OCHE systems-IT Resources.

4.6.4. Passwords should be changed regularly, even for applications that do not systematically require the change.

4.6.5. Access to OCHE IT Resources must be authenticated using a user ID and password when available and at a minimum a PIN.

4.7. **Electronic Mail:** Users are responsible for applying the necessary security controls when sending e-mail, for the proper handling of incoming e-mails, and for appropriate e-mail account management. Users are prohibited from granting access to their e-mails accounts unless there is a legitimate business need and management approval. The automatic forwarding of e-mail to non-OCHE addresses is prohibited. Users are responsible for managing their e-mail accounts, including archiving or saving messages and storage size, encrypting sensitive information that is sent inside or outside of OCHE.

4.7.1. Unsolicited e-mail (spam) and offensive external messages are to be deleted. Users should not respond to unsolicited e-mails, even to request being taken off the mailing list.

4.7.2. Users may be permitted limited personal use of e-mail and the Internet, in accordance with R926. OCHE restricts access to some Internet sites considered inappropriate for the workplace.

4.8. **Wireless and Remote Access:** Wireless and remote access users shall protect OCHE information and assets while accessing the OCHE network; are responsible for adhering to all OCHE policies while accessing the system; may not connect to multiple networks at the same time without prior IT Resource Steward approval; may not download ~~OCHE~~ Private Sensitive or Confidential Information to non-OCHE ~~equipment~~ systems, including home computers, personal storage devices, and PDAs; must protect authentication devices separately from hardware devices; and access the OCHE network only through approved channels.

4.8.1. Private Sensitive or Confidential Information that leaves OCHE, whether in electronic or hard copy form, shall be protected from unauthorized disclosure. All portable systems storing ~~OCHE~~ Private Sensitive or Confidential Information shall be password protected and employ hard disk encryption or other approved protection systems.

4.9. **Hardware and Software:** Users are responsible for assuring the integrity and configuration of the hardware and software they use. OCHE maintains established security controls including virus protection on servers and workstations to prevent and detect viruses. ~~If a virus is suspected, Users should call Computer Services immediately. Users must keep software on non-OCHE IT Resources used to store, transmit or process OCHE information up-to-date and patched when necessary.~~ Users may not:

4.9.1. Install, reconfigure or remove any hardware or software from OCHE ~~owned equipment~~ IT Resources or any IT Resources.

4.9.2. Download programs or executable type files from the Internet without prior approval of Information Technology (IT) Computer Services.

4.9.3. Connect non-OCHE ~~equipment~~ IT Resources directly to the OCHE network or OCHE IT Resources. (Staff members responsible for contractors must ensure that contractors use OCHE provided hardware/software and get approval from Computer Services IT for nonstandard software that is to be connected to the OCHE network).

4.9.4. Store personal data files anywhere ~~in on the OCHE IT Resources system, except on his/her workstation, separate from OCHE data, in accordance with R926.~~

4.10. **Physical Security:** Users are responsible for assuring that all electronic information, hard copy information, and hardware devices in their possession are physically protected in accordance with their classification level at all times. Users must assure that the security controls for each work area are followed and that access restrictions, sensitive data handling procedures, and the security plan for each area are adhered to. Users shall follow physical security practices:

4.10.1. Private Sensitive or Confidential Information—whether in paper reports, floppy disks, CDs, flash drives, etc.—must be kept in locked drawers, filing cabinets, or other secure places when not in use or when the work area is unattended.

4.10.2. Users may not remove Private Sensitive or Confidential Information from OCHE premises without the cognizant IT Resource Steward's approval. All transport activities must be controlled and documented.

4.10.3. Users assigned to offices with locks should lock their doors at the end of the workday.

4.10.4. PC workstations, Workstations, servers, mobile IT Resources and other computing devices should be locked when the User is not at his or her desk/left unattended.

4.10.5. Information should not be left on printers, copy or fax machines, etc. for extended periods of time. Information should not be left on white boards, flip charts or in conference rooms. Information found in inappropriate areas should be returned to the owner, if known, or removed and stored until such time as the owner is found or identified.

4.10.6. No staff member, contractor, or visitor should compromise or evade physical restriction of access to the OCHE building or work areas.

4.10.7. Mobile IT Resources must be sanitized prior to disposal, release out of OCHE control, or release for reuse.

4.11. **Workstation Inspections:** All Users' workstations are subject to inspection to verify that they are secured properly. Inspections will be conducted during and after regular business hours in order to verify that workstations are logged off the local area network (LAN) and that all Private Sensitive and Confidential Information is properly secured.

4.12. **Security Incident Reporting:** All suspected or actual security breaches of OCHE systems-IT Resources must immediately be reported to the OCHE Information Security Office. IT Resource Administrators should report security incidents to the IT Resource Steward and the IT Resource Custodian for their respective organization.

4.12.1. If Private Sensitive Information has been accessed or compromised by unauthorized persons or organizations, the IT Resource Steward, IT Resource Custodian or IT Resource Administrator who is responsible for the information must consult with the ISO and the cognizant associate commissioner to assess the level of threat and/or liability posed to OCHE and to those whose Private Sensitive Information was accessed. Based on an assessment of the risk, OCHE may decide to notify individuals whose Private Sensitive Information was accessed or compromised and provide information regarding measures to be taken to protect themselves from identity theft.

4.12.2. Mobile IT Resources must be sanitized if lost or stolen when applicable technology and functionality exists.

4.12.3. If a virus is suspected, Users should call IT helpdesk immediately.

4.13. **Destruction or "Wiping" of Electronic Media:** Work units and Users shall destroy private and sensitive information Private Sensitive and Confidential Information obtained from credit bureaus and other information providers, as well as other personal or financial information in an OCHE IT Resource or on personal computers, servers, or other office computing devices, when such information is no longer needed to conduct the business of OCHE and in accordance with established record retention schedules, using established OCHE procedures.

4.14. Acceptable Use: All OCHE IT Resources must be used in accordance with R926, Acceptable Use of Office-owned IT Resources.

4.15. Backups: Critical OCHE information which is stored on mobile IT Resources must be regularly backed up and these backups must be protected against disclosure, theft, or loss.

R992-5. Roles and Responsibilities

5.1. OCHE Information Security Officer (ISO): The ISO reports directly to the Associate Commissioner for Finance and Facilities. The ISO is responsible for the coordination, review and approval of procedures used to provide the requisite security for Private Sensitive and Confidential Information or Critical Information Technology Resources. The ISO is responsible for coordinating compliance with this policy and shall:

5.1.1. Develop and maintain security policies, plans, procedures, strategies, architectures, best practices, and minimum requirements.

5.1.2. Educate and provide assistance in complying with this policy to IT Resource Stewards, IT Resource Custodians, IT Resource Administrators, and Users. Provide guidelines consistent with OCHE policies, consultation, and assistance to work units and individuals regarding the proper use of IT Resources, computer workstations, servers, applications, group networks and other information technology resources.

5.1.3. Implement and enforce baseline perimeter security practices endorsed for institutions by federal, state, and local government agencies, and national organizations such as Educause, the SANS Institute, and the National Institute of Standards and Technology.

5.1.4. Monitor and analyze office network traffic information to ensure compliance with OCHE security and acceptable use policies, and evaluate, identify, and resolve security vulnerabilities, breaches and threats to OCHE IT Resources.

5.1.5. Conduct security audits reviews as requested by work units. Conduct security audits reviews periodically to confirm compliance with this policy.

5.1.6. Direct the office Incident Response Team, incident response activities, and incident resolution at OCHE, work unit, and individual levels. Take appropriate and reasonable remedial action to resolve security incidents.

5.1.7. Assist OCHE or third party auditors in the analysis of work unit IT Resources to further ensure policy compliance.

5.1.8. Monitor compliance with security policies and procedures and report compliance violations to the relevant cognizant authority.

5.2. IT Resource Custodian: IT Resource Custodians (Computer Services and other IT Resources related work units or individuals) are charged with the responsibility of managing and maintaining the office backbone network and other IT systems and resources and, as related to their security roles and responsibilities, shall:

5.2.1. Monitor the office network traffic flows, primarily for the purpose of network maintenance and optimization.

5.2.2. Inform the Information Security Officer of traffic patterns, which pursuant to best practices, procedures and standards, may indicate a potential or actual threat to the network backbone and OCHE IT Resources.

5.2.3. Apply security policy and procedures to office network devices as directed by the ISO.

5.3. **Incident Response Team:** Under the direction of the Information Security Officer, the Incident Response Team is responsible for immediate response to any breach of security. The Incident Response Team is also responsible for determining and disseminating remedies and preventative measures that develop as a result of responding to and resolving security breaches.

5.4. **IT Resource Steward:** The IT Resource Steward is designated by the cognizant authority of the relevant group or work unit, is familiar with data issues, laws and regulations, and shall:

5.4.1. Determine the purpose and function of the IT Resource.

5.4.2. Determine the level of security required based on the sensitivity of the IT Resource.

5.4.3. Determine the level of criticality of an IT Resource.

5.4.4. Determine accessibility rights to IT Resources.

5.4.5. Determine the appropriate method for providing business continuity for Critical IT Resources (e.g., performing Service Continuity at an alternate site, performing equivalent manual procedures, etc.).

5.4.6. Specify adequate data retention, in accordance with OCHE policies, and state and federal laws for IT Resources consisting of applications or data.

5.4.7. Monitor and analyze network traffic and system log information for the purpose of evaluating, identifying and resolving security breaches and/or threats to the IT Resources of the organization for which they have responsibility.

5.4.8. An IT Resource Steward in a work unit, which lacks the professional IT staff or expertise to accomplish items 5.4.1 through 5.4.7, or to fulfill the responsibilities of the IT Resource Administrators, may request assistance from the OCHE Information Security Officer.

5.5. **IT Resource Administrator:** The IT Resource Administrator(s) is responsible for the performance of security functions and procedures as directed by the IT Resource Steward, implementing and administering the security of IT Resources in accordance with OCHE and industry best practices and standards.

R992-6. Sanctions and Remedies

6.1. **Emergency Action by the ISO:** The ISO may discontinue service to any User who violates this policy or other IT policies when continuation of such service threatens the security (including integrity, privacy and availability) of OCHE IT Resources. The ISO may discontinue service to any network segment or networked device if the continued operation of such segments or devices threatens the security of OCHE IT Resources. The ISO will notify the IT Resource Steward or his/her designee to assist in the resolution of non-compliance issues before service(s) are discontinued, unless non-compliance is causing a direct and imminent threat to OCHE IT Resources.

6.2. Emergency Action by the IT Resource Steward: The IT Resource Steward may discontinue service or request that the ISO discontinue service to network segments, network devices, or Users under his or her jurisdiction, which are not in compliance with this policy. IT Resource Stewards will notify or request that the ISO notify affected individuals to assist in the resolution of non-compliance issues before service(s) are discontinued, unless non-compliance is causing a direct and imminent threat to OCHE IT Resources.

6.3. Restoration of Access: A User's access may be restored as soon as the direct and imminent security threat has been remedied.

6.4. Revocation of Access: OCHE reserves the right to revoke access to any Information Technology Resource for any User who violates this policy, or for any other business reasons in conformance with applicable OCHE policies.

6.5. Disciplinary Action: Violation of the policy may result in disciplinary action, including termination of employment. Staff members may appeal revocation of access to IT Resources or disciplinary actions taken against them pursuant to policy R952.



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R992-1. Purpose: To provide policy to secure the private sensitive information of employees, borrowers, parents, program participants, and others affiliated with OCHE, and to prevent the loss of information that is critical to the operation of OCHE. OCHE Information and IT Resources are at risk from potential threats such as human error, accident, system failures, natural disasters, and criminal or malicious action. Specific work unit policies may be more restrictive depending on the security requirements of the work unit.

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WITH CHANGES ACCEPTED

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4.2.3. Users must report suspected violations of this policy to their manager, IT Resource Steward, or the ISO.

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WITH CHANGES ACCEPTED

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4.8. Wireless and Remote Access: Wireless and remote access users shall protect OCHE information and assets while accessing the OCHE network; are responsible for adhering to all OCHE policies while accessing the system; may not connect to multiple networks at the same time without prior IT Resource Steward approval; may not download Private Sensitive or Confidential Information to non-OCHE systems, including home computers, personal storage devices, and PDAs; must protect authentication devices separately from hardware devices; and access the OCHE network only through approved channels.

WITH CHANGES ACCEPTED

4.8.1. Private Sensitive or Confidential Information that leaves OCHE, whether in electronic or hard copy form, shall be protected from unauthorized disclosure. All portable systems storing Private Sensitive or Confidential Information shall be password protected and employ hard disk encryption or other approved protection systems.

4.9. Hardware and Software: Users are responsible for assuring the integrity and configuration of the hardware and software they use. OCHE maintains established security controls including virus protection on servers and workstations to prevent and detect viruses. Users must keep software on non-OCHE IT Resources used to store, transmit or process OCHE information up-to-date and patched when necessary. Users may not:

4.9.1. Install, reconfigure or remove any hardware or software from OCHE IT Resources or any IT Resources.

4.9.2. Download programs or executable type files from the Internet without prior approval of Information Technology (IT).

4.9.3. Connect non-OCHE IT Resources directly to the OCHE network or OCHE IT Resources. (Staff members responsible for contractors must ensure that contractors use OCHE provided hardware/software and get approval from IT for nonstandard software that is to be connected to the OCHE network).

4.9.4. Store personal data files anywhere on OCHE IT Resources.

4.10. Physical Security: Users are responsible for assuring that all electronic information, hard copy information, and hardware devices in their possession are physically protected in accordance with their classification level at all times. Users must assure that the security controls for each work area are followed and that access restrictions, sensitive data handling procedures, and the security plan for each area are adhered to. Users shall follow physical security practices:

4.10.1. Private Sensitive or Confidential Information—whether in paper reports, floppy disks, CDs, flash drives, etc.—must be kept in locked drawers, filing cabinets, or other secure places when not in use or when the work area is unattended.

4.10.2. Users may not remove Private Sensitive or Confidential Information from OCHE premises without the cognizant IT Resource Steward's approval. All transport activities must be controlled and documented.

4.10.3. Users assigned to offices with locks should lock their doors at the end of the workday.

4.10.4. Workstations, servers, mobile IT Resources and other computing devices should be locked when left unattended.

4.10.5. Information should not be left on printers, copy or fax machines, etc. for extended periods of time. Information should not be left on white boards, flip charts or in conference rooms. Information found in inappropriate areas should be returned to the owner, if known, or removed and stored until such time as the owner is found or identified.

4.10.6. No staff member, contractor, or visitor should compromise or evade physical restriction of access to the OCHE building or work areas.

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4.10.7. Mobile IT Resources must be sanitized prior to disposal, release out of OCHE control, or release for reuse.

4.11. Workstation Inspections: All Users' workstations are subject to inspection to verify that they are secured properly. Inspections will be conducted during and after regular business hours in order to verify that workstations are logged off the local area network (LAN) and that all Private Sensitive and Confidential Information is properly secured.

4.12. Security Incident Reporting: All suspected or actual security breaches of OCHE IT Resources must immediately be reported to the OCHE Information Security Office. IT Resource Administrators should report security incidents to the IT Resource Steward and the IT Resource Custodian for their respective organization.

4.12.1. If Private Sensitive Information has been accessed or compromised by unauthorized persons or organizations, the IT Resource Steward, IT Resource Custodian or IT Resource Administrator who is responsible for the information must consult with the ISO and the cognizant associate commissioner to assess the level of threat and/or liability posed to OCHE and to those whose Private Sensitive Information was accessed. Based on an assessment of the risk, OCHE may decide to notify individuals whose Private Sensitive Information was accessed or compromised and provide information regarding measures to be taken to protect themselves from identity theft.

4.12.2. Mobile IT Resources must be sanitized if lost or stolen when applicable technology and functionality exists.

4.12.3. If a virus is suspected, Users should call IT helpdesk immediately.

4.13. Destruction or "Wiping" of Electronic Media: Work units and Users shall destroy Private Sensitive and Confidential Information when such information is no longer needed to conduct the business of OCHE and in accordance with established record retention schedules, using established OCHE procedures.

4.14. Acceptable Use: All OCHE IT Resources must be used in accordance with R926, Acceptable Use of Office-owned IT Resources.

4.15. Backups: Critical OCHE information which is stored on mobile IT Resources must be regularly backed up and these backups must be protected against disclosure, theft, or loss.

R992-5. Roles and Responsibilities

5.1. OCHE Information Security Officer (ISO): The ISO reports directly to the Associate Commissioner for Finance and Facilities. The ISO is responsible for the coordination, review and approval of procedures used to provide the requisite security for Private Sensitive and Confidential Information or Critical Information Technology Resources. The ISO is responsible for coordinating compliance with this policy and shall:

5.1.1. Develop and maintain security policies, plans, procedures, strategies, architectures, best practices, and minimum requirements.

5.1.2. Educate and provide assistance in complying with this policy to IT Resource Stewards, IT Resource Custodians, IT Resource Administrators, and Users. Provide guidelines consistent with

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OCHE policies, consultation, and assistance to work units and individuals regarding the proper use of IT Resources.

5.1.3. Implement and enforce baseline perimeter security practices endorsed for institutions by federal, state, and local government agencies, and national organizations such as Educause, the SANS Institute, and the National Institute of Standards and Technology.

5.1.4. Monitor and analyze office network traffic information to ensure compliance with OCHE security and acceptable use policies, and evaluate, identify, and resolve security vulnerabilities, breaches and threats to OCHE IT Resources.

5.1.5. Conduct security reviews as requested by work units. Conduct security reviews periodically to confirm compliance with this policy.

5.1.6. Direct the office Incident Response Team, incident response activities, and incident resolution at OCHE, work unit, and individual levels. Take appropriate and reasonable remedial action to resolve security incidents.

5.1.7. Assist OCHE or third party auditors in the analysis of work unit IT Resources to further ensure policy compliance.

5.1.8. Monitor compliance with security policies and procedures and report compliance violations to the relevant cognizant authority.

5.2. IT Resource Custodian: IT Resource Custodians (Computer Services and other IT Resources related work units or individuals) are charged with the responsibility of managing and maintaining the office backbone network and other IT systems and resources and, as related to their security roles and responsibilities, shall:

5.2.1. Monitor the office network traffic flows, primarily for the purpose of network maintenance and optimization.

5.2.2. Inform the Information Security Officer of traffic patterns, which pursuant to best practices, procedures and standards, may indicate a potential or actual threat to the network backbone and OCHE IT Resources.

5.2.3. Apply security policy and procedures to office network devices as directed by the ISO.

5.3. Incident Response Team: Under the direction of the Information Security Officer, the Incident Response Team is responsible for immediate response to any breach of security. The Incident Response Team is also responsible for determining and disseminating remedies and preventative measures that develop as a result of responding to and resolving security breaches.

5.4. IT Resource Steward: The IT Resource Steward is designated by the cognizant authority of the relevant group or work unit, is familiar with data issues, laws and regulations, and shall:

5.4.1. Determine the purpose and function of the IT Resource.

5.4.2. Determine the level of security required based on the sensitivity of the IT Resource.

5.4.3. Determine the level of criticality of an IT Resource.

5.4.4. Determine accessibility rights to IT Resources.

5.4.5. Determine the appropriate method for providing business continuity for Critical IT Resources (e.g., performing Service Continuity at an alternate site, performing equivalent manual procedures, etc.).

5.4.6. Specify adequate data retention, in accordance with OCHE policies, and state and federal laws for IT Resources consisting of applications or data.

5.4.7. Monitor and analyze network traffic and system log information for the purpose of evaluating, identifying and resolving security breaches and/or threats to the IT Resources of the organization for which they have responsibility.

5.4.8. An IT Resource Steward in a work unit, which lacks the professional IT staff or expertise to accomplish items 5.4.1 through 5.4.7, or to fulfill the responsibilities of the IT Resource Administrators, may request assistance from the OCHE Information Security Officer.

5.5. **IT Resource Administrator:** The IT Resource Administrator(s) is responsible for the performance of security functions and procedures as directed by the IT Resource Steward, implementing and administering the security of IT Resources in accordance with OCHE and industry best practices and standards.

R992-6. Sanctions and Remedies

6.1. **Emergency Action by the ISO:** The ISO may discontinue service to any User who violates this policy or other IT policies when continuation of such service threatens the security (including integrity, privacy and availability) of OCHE IT Resources. The ISO may discontinue service to any network segment or networked device if the continued operation of such segments or devices threatens the security of OCHE IT Resources. The ISO will notify the IT Resource Steward or his/her designee to assist in the resolution of non-compliance issues before service(s) are discontinued, unless non-compliance is causing a direct and imminent threat to OCHE IT Resources.

6.2. **Emergency Action by the IT Resource Steward:** The IT Resource Steward may discontinue service or request that the ISO discontinue service to network segments, network devices, or Users under his or her jurisdiction, which are not in compliance with this policy. IT Resource Stewards will notify or request that the ISO notify affected individuals to assist in the resolution of non-compliance issues before service(s) are discontinued, unless non-compliance is causing a direct and imminent threat to OCHE IT Resources.

6.3. **Restoration of Access:** A User's access may be restored as soon as the direct and imminent security threat has been remedied.

6.4. **Revocation of Access:** OCHE reserves the right to revoke access to any Information Technology Resource for any User who violates this policy, or for any other business reasons in conformance with applicable OCHE policies.

6.5. **Disciplinary Action:** Violation of the policy may result in disciplinary action, including termination of employment. Staff members may appeal revocation of access to IT Resources or disciplinary actions taken against them pursuant to policy R952.

R926, Acceptable Use of Office-owned IT Resources¹

R926-1. Purpose: To require appropriate use of office owned IT resources for official work of the office and to maintain appropriate separation between such office use and personal or entertainment use of such resources. This policy applies to both internal and external access, and encompasses, but is not limited to OCHE resources such as computers, laptops, servers, workstations, networks, computer programs, databases, storage devices, media, printers, photocopiers, facsimile machines, peripheral equipment, gateways, intranets, internet access, web sites, e-mail, telephones, personal digital assistants, wireless devices, voice-mail, other communication devices, and digital and electronic information and data.

R926-2. References

- 2.1. Policy and Procedures R345, Information Technology Resource Security
- 2.2. Policy and Procedures R927, Use and Security of Property
- 2.3. Policy and Procedures R951, Staff Employee Grievances
- 2.4. Policy and Procedures R952, Discrimination and Sexual Harassment Complaints
- 2.5. Policy and Procedures R964, Corrective Action and Termination of Staff Personnel
- 2.6. Policy and Procedures R992, Information and Technology Resource Security
- 2.7. Policy and Procedures R993, Records Access and Management

R926-3. Office-owned IT Equipment Resources and Software Policy

3.1. Use of Office Owned IT Resources: ~~Office-owned IT Resources, including desktop and portable PCs, is subject to the general Office of the Commissioner of Higher Education (OCHE) policy R927 regarding personal use of office facilities and equipment. Office-owned IT Resources, The equipment, installed software installed on the equipment IT Resources, and any access to the Internet, are provided for purposes of the official work of the office, not for personal use or entertainment. Staff members are expected and required to use office owned equipment IT Resources primarily for official business in connection with their jobs. Staff members are expected and required to spend on duty time (which does not include break time and lunch time) on official business in connection with their jobs and not on personal affairs or entertainment. This expectation is of course qualified by normal allowance for emergencies that might arise and for reasonable and incidental socializing that facilitates effective working relationships. The same expectation and requirement applies to use of office-owned IT Resources — that is, the IT Resources are to be used principally for official business purposes related to the staff member's specific job.~~

3.1.1. The Office retains the right to allocate its information IT Resources and to control access to its electronic communications systems.

¹ Approved August 3, 2000; amended October 31, 2003, October 26, 2006 and May 30, 2008.

3.2. Use During Break Time, During Travel, or at Home: During break time or in the case of portable equipment-IT Resources used at home or in travel status, the office policy does not prohibit incidental personal use of the equipment-IT Resources, subject to the provisions set forth below. However, "incidental" is to be interpreted literally, meaning in this case a very small portion of the total use of the equipment-IT Resources. As a singular exception to this provision, job related training or other approved course enrollments are considered to be job related activity. Staff members are required to exercise reasonable precautions in caring for any equipment-IT Resources authorized for use off premises, and are personally responsible for any damage resulting from use by family members or unauthorized persons. Incidental personal use might include such activities as:

3.2.1. Using the office phone on occasion to make necessary calls (see R926-5 below for details).

3.2.2. Faxing an important document if necessary (e.g., faxing information to a mortgage company during the home purchase process).

3.2.3. Accessing the Internet for reasonable and appropriate personal use, for educational or research projects, to retrieve news stories or other information of general interest, to participate in professional or civic organizations, or to perform nonprofit or community service.

3.2.4. Using e-mail to send occasional brief messages to recipients outside OCHE or to receive such messages.

~~3.2.5. Storing a limited amount of appropriate types of personal non-executable files on one's local computer hard drive (C:). (Local drives may be changed or re-imaged at any time, thus making files inaccessible.)~~

3.2.5. Incidental personal use of office-owned IT Resources must not

- Directly or indirectly interfere with OCHE's operation and IT Resources.
- Compromise the security or reputation of OCHE.
- Burden OCHE with noticeable incremental costs.
- Infringe the copyright or other intellectual property rights of third parties.
- Involve any type of continuous audio or video streaming from commercial, private, news, or financial organizations, except as expressly authorized.

3.3. Authorization and Installation of Software: Without exception, software installed on office owned IT Resources equipment is required to be owned by the office and installed by Computer Services (CS) Information Technology (IT) staff members. Installation of personal copies of software or installation of software (including but not limited to computer games) by other staff members is prohibited. This policy is intended to ensure compliance with software licensing obligations and also to safeguard against avoidable introduction of computer viruses, as well as avoiding unnecessary potential overloading of memory and hard disc storage capacity of office owned equipment-IT Resources. Need for specific specialized software packages (apart from the office wide standard software modules installed as authorized by cognizant Associate Commissioners or UHEAA Associate Executive Directors) may be verified in writing by the cognizant Associate Commissioner or Associate Executive Director and will then be purchased and charged to the applicable cost center budget in OCHE or UHEAA, and installed by CS-IT. CS-IT staff are instructed to remove games from any currently installed software and from new software as installed. If unauthorized software is found on office owned equipment-IT Resources, CS-IT staff are under a standing instruction to delete it. CS-IT has available a variety of options for PC wallpaper and screen saver applications, and individual staff members may contact CS-IT at their option to select personal choices from the available

options. Persons with Internet access on office owned IT Resources may download documents related to their official duties, but are prohibited from downloading any software without first checking with CS-IT to ensure both compliance with licensing requirements and protection against interference with other installed software. Persons downloading job related documents are required to pay close attention to any warnings from CS-IT regarding potentially harmful documents.

3.4. Prohibition on Copying Office installed Software: Under no circumstances may individual staff members copy office owned software for installation on personal or any other computer equipment IT Resources. ~~In some cases, staff members wishing to work at home on office business, either on their own time or on an approved telecommuting basis, may wish to utilize personally owned computer equipment. With specific approval by the cognizant Associate Commissioner or Associate Executive Director, related office owned software may be installed on the staff member's personal computer equipment, but only by CS staff members. An inventory of office owned software installed on staff members' personal PCs will be maintained, and the software will be required to be deleted and the deletion verified when a staff member leaves employment with the organization.~~

3.6. Internet Access and Use: Staff members are expected to exercise sound judgment in limiting their use of internet access to official business related purposes during normal business hours. Any personal uses of office provided Internet capacity must be strictly incidental (as defined in 3.1), limited to breaks, lunch hour, or other off duty time, and in keeping with standards of ethical behavior. Staff members with off premises access to the Internet through the office dial-up network are required to safeguard against its use by unauthorized persons. CS-IT staff are instructed to monitor and periodically check the sites addressed using office Internet access.

3.7. Web logs (Blogs), Chat Rooms, Bulletin Boards-Social Computing: Personal blogs, chat rooms or bulletin boards may not be hosted on the OCHE network. A blog is a journal (or newsletter) that is frequently updated and intended for general public consumption. Blogs generally represent the personality of the author or the Web site. OCHE employees are discouraged from publicly discussing work related matters, whether constituting confidential information or not, outside of appropriate work channels, including online in chat rooms, on bulletin boards, or in their personal blogs. An employee with a blog or who participates in a chat room or a bulletin board must:

3.7.1. Make it clear that the views expressed are the employee's alone and do not necessarily represent the views of OCHE.

3.7.2. Respect OCHE's confidentiality and proprietary information.

3.7.3. Ask his/her manager if there are any questions about what is appropriate to include in a blog, bulletin board or chat room.

3.7.4. Be respectful to OCHE, OCHE employees, customers, partners, and competitors.

3.7.5. Understand and comply when OCHE asks that topics not be discussed for confidentiality or legal compliance reasons.

3.7.6. Ensure that blogging, chatting, or bulletin board activities do not interfere with OCHE work commitments.

R926-4. Electronic Messaging Policy

4.1. Use of the Messaging System: The OCHE Messaging System consisting of e-mail/calendaring client software, e-mail/calendaring servers, and supporting infrastructure is the property of OCHE and should be used for legitimate administrative OCHE business purposes. Users are permitted access to the Messaging System to assist them in performing their role within OCHE. Use of the Messaging System is a privilege that can be revoked at any time.

4.2. Passwords: Users are responsible for safeguarding their passwords. Individual passwords should not be printed, stored online, or given to others (including family members). (See R992.4.5 User Authentication.)

4.3. Separation from OCHE: Supervisors may request CS-IT to retrieve personal e-mails and other personal electronic data from an employee's e-mail account prior to the employee's separation from OCHE.

4.4. Delegated (Proxy) Access: A User may grant delegated (proxy) access to another user in the e-mail system. Requests for delegated (proxy) access must be approved by the User whose account will be accessed. (See R992.4.6 for provisions to arrange such access.)

4.4.1. Individuals who request access to another person's e-mail, and receive approval to do so, will not receive permission to directly access the e-mail account, but will be allowed to choose e-mail messages they would like printed or forwarded to them that directly relate to the issue described in their request for access.

4.5. Users Responsible for Messages: Users are responsible for any messages sent or forwarded from their e-mail account.

4.6. Distribution or Storage of Prohibited Materials: Without prior written permission from the cognizant Associate Commissioner, e-mail may not be used for dissemination or storage of commercial or personal advertisements, solicitations, promotions, destructive programs (i.e., viruses), or any other unauthorized use.

4.7. Waste of Messaging System Resources: Users may not deliberately perform acts that waste Messaging System resources or unfairly monopolize resources to the exclusion of others. These acts include, but are not limited to, mass mailings, chain letters, multiple copies of documents, or otherwise creating unnecessary network traffic. The administrators of the OCHE Messaging System reserve the right to disable mailboxes that are creating system wide problems.

4.7.1. Users may not initiate or forward chain messages. Chain messages are defined as messages sent to a number of people asking each recipient to send copies of the same request to a number of other recipients.

4.7.2. Mass e-mail is a message that is sent to a large number of recipients. All mass e-mail must be approved before dissemination. Approval must be granted by the cognizant Associate Commissioner or his/her designee.

4.8. Personal Use: Incidental personal use is allowed as long as it does not interfere with the operation of the e-mail system and does not provide an added burden for OCHE Messaging System administration.

4.9. Account Management: CS-IT has primary responsibility for the OCHE Messaging System. Accounts are available only to current staff of OCHE. Special consideration may be made for outside affiliates and consultants.

4.9.1. All Messaging System Users must have signed ~~the S~~security and ~~C~~confidentiality agreements and must have reviewed this e-mail policy.

4.9.2. The Messaging System User ID must be unique and in the form of an OCHE ID as issued by OCHE. The canonical e-mail address for a User will be based on the Messaging System User ID. Exceptions will be allowed for work group resources (conference rooms, ~~equipment~~IT Resources, and generic work group e-mail address).

4.9.3. An e-mail account will be limited to a quota set by OCHE guideline, however exemptions are possible with demonstrated need and approval by the cognizant Associate Commissioner. Users will be responsible to manage their personal storage space to keep it below the quotas. Users will be provided with mechanisms to archive e-mail. The archiving method used will be determined by work unit security and retention requirements. If an employee's mailbox size exceeds the storage limitation and remains above the specified limitation, users will be unable to create new messages. However, user's ability to receive new messages will NOT be affected.

4.9.4. No User will be allowed more than one Mailbox in the messaging system.

4.10. **Mail Retention and Backup:** E-mail ~~must be backed up and retained in accordance with established backup and retention schedules. Retention guidelines will be based on a documented risk assessment, as set by the Information Technology Council established by R992.~~

4.11. **Internet Mail:** Internet addresses will be in the form determined by ~~the Information Technology Council~~IT. The security of messages sent outside the e-mail system (via the Internet or otherwise) cannot be guaranteed. Users shall not send e-mail containing information considered to be sensitive or confidential.

4.11.1. Delivery of e-mail messages (including delivery in a timely fashion) to recipients outside of the e-mail system cannot be guaranteed. Internet mail messages have up to 24 hours to reach their destination. Users should receive a notification of any bounced messages.

4.11.2. E-mail messages are limited to a maximum size of 25 MB including attachments.

4.11.3. Due to spam and virus propagation, certain attachments are quarantined or blocked. The following types of files that are examples of blocked or quarantined attached messages when sent as an attachment: .exe, .scr, .pif, .cmd, .cpl, and .hta. ~~CS-IT~~ can provide a list of blocked or quarantined attachments.

4.11.4. Outbound e-mail messages are scanned for sensitive or confidential information prior to delivery and when criteria is matched, the e-mail messages are quarantined pending review and approval for release.

4.12. **Blocking:** ~~CS-IT~~ uses blocking products containing lists of IP addresses of known sources of unsolicited commercial and bulk e-mail (a.k.a. spam) in the attempt to minimize and manage the impact of spam on the OCHE Messaging System.

4.13. **E-Mail Access and PDA Software Support:** Users are provided a variety of supported ways to access their e-mail. PDA's (Personal Digital Assistant/Handheld computer) and mobile communication devices, in addition to a variety of other features, let users synchronize with the OCHE e-mail system. Standard server facilities will be provided for PDA/mobile device integration.

4.14. E-Mail Discontinuance: E-mail accounts will be removed from the system when CS-IT receives termination notification from Human Resources.

4.15. Disclaimer: E-mail users and those in possession of OCHE records in the form of electronic mail are cautioned to be prudent in their reliance on electronic mail for purposes of maintaining a lasting record. Sound business practice suggests that consideration be given to transferring (if possible) electronic mail to a more lasting medium/format, such as acid free paper or microfilm, where long term accessibility is an issue.

4.15.1. Due to the nature of e-mail, the storage and delivery of e-mail cannot be guaranteed.

4.16. Monitoring: All electronic messages transmitted on OCHE IT Resources are subject to monitoring by authorized OCHE personnel.

R926-5. Telephone Policy

5.1. Use of Telephone Systems: The OCHE telephone systems and equipment are provided for the conduct of official business. Use of these facilities for personal business should be kept to a minimum.

5.1.1. Call center phones are subject to monitoring and recording. Usage reports can be generated for all OCHE phones and may be monitored for abnormally high usage volumes.

5.1.2. Office telephone numbers should never be formally published in connection with personal business. OCHE's 1-800 numbers should not be given out for incoming personal calls. These phone numbers are strictly for the use of OCHE's clients, or prospective clients, to be used when contacting OCHE about official business.

5.2. Long Distance and Toll Calls: Long distance and other toll calls for private business made through the OCHE telephone system should be charged to the individual's home telephone or personal calling card. If this is not possible, a record of private calls made at OCHE expense must be kept and repayment must be made upon receipt of the telephone bill. Supervisors are responsible to prevent abuse and ensure that repayment is made. Personal collect calls should not be accepted.

5.3. Allowance for Personal Cellular Telephones: If an employee requires a cellular phone in order to perform his/her duties, the employee, with approval of the cognizant Associate Commissioner or designee, will obtain a personal cellular access plan and cellular phone and will receive an allowance from OCHE via additional compensation, within approved limits. The additional compensation must be justified by business requirements which necessitate the use of a cellular telephone to perform official OCHE business where such business cannot be accommodated by the use of a land line phone, pager, or other less expensive communication device. The cellular telephone is owned by the employee and may be used for personal business. The approved allowance amount must be based on business requirements. The employee may, at his/her own expense, elect to purchase additional service(s). Approved procedures must be followed when providing additional compensation for this purpose.

5.4. OCHE Owned Cellular Telephones- OCHE shall not purchase or own cellular telephones except in those circumstances where employee ownership of the cellular plan and telephone is not practicable as determined by the cognizant Associate Commissioner. OCHE owned cellular telephones provided for the conduct of official business shall not be used for personal business.

5.4.1. IRS published authority defines requirements for adequate substantiation of the business use of OCHE owned cellular telephones. Unsubstantiated cellular use may be deemed personal use and therefore considered wages subject to employment taxes.

5.4.2. Adequate substantiation of business use includes the time, date, place, business purpose, and amount of the expense. Substantiation of business use should be in the format of a record or log made at or near the time the telephone call was placed.

5.4.3. An employee shall repay OCHE for incoming and outgoing personal use of an OCHE owned cellular phone. The reimbursement amount shall include direct charges for personal use and a pro rata share of monthly fees and services. Supervisors are responsible to prevent abuse and ensure that repayment is made.

5.4.4. If a user is not able or willing to comply with IRS substantiation requirements for OCHE owned cellular services and devices, the department or individual must use the individual ownership option described in paragraph 5.3.

5.5. No Cellular Use while Operating a Motor Vehicle: Employees shall not use cellular telephones to conduct the business of OCHE while operating a motor vehicle.

R926-6. Privacy, Security and Monitoring Policy

6.1. Privacy and Security: Users shall respect the legitimate expectations of privacy of others. However, appropriate administrators and network managers may require access to users' e-mail and other electronic records typically taken to be private. In particular, individuals having electronic communication system administration responsibilities, who cannot perform their work without access to e-mail and other records in the possession of others, may access such information as needed for their job responsibilities.

6.1.1. Users shall treat institutional data, files maintained by other Users as confidential unless otherwise classified pursuant to state or federal statutes, regulation, law or Board policy. Users shall not access files or documents ~~belonging to others~~, without proper authorization or unless pursuant to routine system administration. With authorization, users shall use files or documents for OCHE business purposes only. Users shall not store sensitive or confidential information on an IT Resource unless safeguards are in place. Do not use external, non-OCHE IT Resources to access OCHE IT Resources without approval.

6.1.2. Users shall not knowingly falsely identify themselves and will take steps to correct misrepresentations if they have mistakenly falsely identified themselves.

6.2. No Guarantee of Security or Privacy: The security and privacy of electronic records cannot be guaranteed. During the course of system maintenance, IT Resources staff may view the contents of records as they are processed through the electronic communications system. However, these staff members are expected to maintain the confidentiality of any data they encounter in accordance with R992. Not doing so may subject IT Resources administrators to disciplinary action up to and including termination.

6.3. Security Limitations: Electronic communications systems have inherent limitations. No computer security system can absolutely prevent a determined person from accessing stored information that he/she is not authorized to access. Moreover, electronic documents may be disclosed pursuant to public records law or in the discovery process. Users should not consider e-mail to be private or secure. Messages addressed to nonexistent or incorrect user names may be delivered to unintended recipients.

6.4. Prohibited Activities: Any activity that violates OCHE's Information Resources Policy (R992) or generally accepted standards of computer ethics and etiquette is prohibited. Services associated with the ~~computers~~ IT Resources, software, and electronic communication systems will not be used for illegal or

improper purposes. This includes, but is not limited to, the generation of threatening, harassing, abusive, obscene or fraudulent messages. The use of the OCHE Systems must comply with this policy and applicable Federal and State Law. IT Resources may not be used in a manner that involves or facilitates any of the following prohibited uses, even during incident personal use:

- 6.4.1. Any infringement or misappropriation of copyrighted material or software, trade secrets or other intellectual property;
- 6.4.2. Any attempt to gain or help others gain access without authorization or anything that jeopardizes the security of IT Resources, data, or confidential information, or the privacy rights of others;
- 6.4.3. Engaging in or facilitating any crime, fraud, or illegal act, including gambling and sports pools;
- 6.4.4. Racist, sexist, stalking, harassing, or threatening communications (See R954, Sexual Harassment and Consensual Relationships.);
- 6.4.5. Any use that is for personal gain of the employee or another person, including selling access to their User ID's, political activity, personal business, endorsement of products, services or commercial enterprise or to solicit for charitable organizations not approved and sponsored by OCHE;
- 6.4.6. Any misrepresentation of the identity of the a message sender, including sending a message as an official OCHE communication without appropriate permission;
- 6.4.7. Distribution, communication, access, download or display of pornography or material that is sexually explicit, excessively violent, harassing or otherwise offensive;
- 6.4.8. Destruction, damage or alteration to any Office IT Resource or property without proper authorization or any unauthorized change to the design or configuration of IT Resources, including the installation of non OCHE approved screen savers or downloading executable software that is not approved by CSIT;
- 6.4.9. Any unauthorized activity that interferes with or adversely affects the performance of the employee's work or the work or responsibilities of others using OCHE's networks and systems, such as implementing or propagating a computer virus, using destructive software, inappropriate game playing, or monopolizing information resources for entertainment or personal use;
- 6.4.10. Sending or forwarding unsolicited bulk e-mail, chain letters, or "spam";
- 6.4.11. Any attempt to circumvent or disable security, monitoring, filtering, or auditing software or systems of OCHE or engage in any activity that might be harmful to systems or information stored thereon or interfere with the operation thereof by disrupting services or damaging files. Examples include but are not limited to: running "password cracking" programs, attempting to read or change administrative or security files or attempting to or running administrative programs for which permission has not been granted, using a telnet program to connect to system ports other than those intended for telnet, using false identification on a computer or system or using an account assigned to another, forging mail or news messages; or

6.4.12. Any attempt to monitor or tamper with another user's electronic communications or copy, change, or delete another user's files or software without the explicit agreement of the owner(s).

6.4.13. Campaigning or other political activities, including lobbying Congress or any government agency.

6.5. Monitoring: OCHE reserves the right but does not have the duty, to monitor any and all aspects of its IT Resources ~~system~~. OCHE ~~does not monitor~~ IT Resources as a routine matter, ~~but it will do so~~, to the extent permitted by law, when OCHE deems it necessary for purposes of maintaining the integrity and effective operation of the IT Resources ~~systems or to evaluate job performance quality~~ (See R992-5.1.4 and 5.1.8 for information security monitoring). Also, there are cases where "responsive monitoring" is performed whereby OCHE monitors in response to a particular problem, complaint, investigation to a claim or lawsuit. Such responsive monitoring will be approved by Human Resources and the cognizant Associate Commissioner. Monitoring will comply with the following restrictions:

6.5.1. All monitoring will be relevant to a particular OCHE purpose, problem, complaint, investigation of a claim, or lawsuit;

6.5.2. Disclosure and use of resulting data will be restricted to OCHE related purposes;

6.5.3. Monitoring a person's e-mail must be approved by Human Resources and the cognizant Associate Commissioner; and

6.5.4. Advice from legal counsel may be sought before permission to monitor is granted.

6.6. Monitoring Activities: In order to conduct its monitoring activities OCHE may:

6.6.1. Record Call Center phones used by telephone associates;

6.6.2. Generate telephone usage reports;

6.6.3. Review computer and network usage;

6.6.4. Scan, review, and record incoming/outgoing e-mail and instant message activity;

6.6.5. Track every instance of Internet connection;

6.6.6. Review system resource usage logs including disk space, remote access, log-in and other system logs.

R926-7. Disciplinary Action Policy

7.1. Report Non-compliance: Incidents of actual or suspected non-compliance with this policy should be reported to the appropriate authorities.

7.2. Suspension of Access: A systems administrator may immediately suspend the access of a User when the administrator reasonably believes:

7.2.1. the User has violated Office policies or law; and

7.2.2. the User's continuing use of Information Resources will result in: (1) damage to the Information Resources systems, (2) further violations of law or policy or (3) the destruction of evidence of such a violation.

The User shall be informed of his/her right to immediately appeal such a suspension to the cognizant head of the department or unit. Permanent revocation of privileges shall be imposed solely through the disciplinary processes set forth in paragraph 7.3. Users who are not USHE employees may have their access to IT Resources unilaterally revoked if they violate this policy.

7.3. Disciplinary Action: Personal use of OCHE's It Resources is a privilege rather than a right. Staff members using the systems in an appropriate manner and on an occasional personal basis need not be concerned about monitoring activities or possible disciplinary actions. However, misuse of any of these systems or other violation of this policy may subject a staff member to disciplinary action up to and including termination of employment in accordance with policy R964, Corrective Action and Termination of Staff Personnel.



R926, Acceptable Use of Office-owned IT Resources¹

R926-1. Purpose: To require appropriate use of office owned IT resources for official work of the office and to maintain appropriate separation between such office use and personal or entertainment use of such resources. This policy applies to both internal and external access, and encompasses, but is not limited to OCHE resources such as computers, laptops, servers, workstations, networks, computer programs, databases, storage devices, media, printers, photocopiers, facsimile machines, peripheral equipment, gateways, intranets, internet access, web sites, e-mail, telephones, personal digital assistants, wireless devices, voice-mail, other communication devices, and digital and electronic information and data.

R926-2. References

- 2.1. Policy and Procedures R345, Information Technology Resource Security
- 2.2. Policy and Procedures R927, Use and Security of Property
- 2.3. Policy and Procedures R951, Staff Employee Grievances
- 2.4. Policy and Procedures R952, Discrimination and Sexual Harassment Complaints
- 2.5. Policy and Procedures R964, Corrective Action and Termination of Staff Personnel
- 2.6. Policy and Procedures R992, Information and Technology Resource Security
- 2.7. Policy and Procedures R993, Records Access and Management

R926-3. Office-owned IT Resources and Software Policy

3.1. Use of Office Owned IT Resources: Office-owned IT Resources, software installed on the -IT Resources, and any access to the Internet, are provided for purposes of the official work of the office, not for personal use or entertainment. Staff members are expected and required to use office owned IT Resources primarily for official business in connection with their jobs. Staff members are expected and required to spend on duty time (which does not include break time and lunch time) on official business in connection with their jobs and not on personal affairs or entertainment. This expectation is of course qualified by normal allowance for emergencies that might arise and for reasonable and incidental socializing that facilitates effective working relationships.

3.1.1. The Office retains the right to allocate its IT Resources and to control access to its electronic communications systems.

3.2. Use During Break Time, During Travel, or at Home: During break time or in the case of portable IT Resources used at home or in travel status, the office policy does not prohibit incidental personal use of the IT Resources, subject to the provisions set forth below. However, "incidental" is to be interpreted literally, meaning in this case a very small portion of the total use of the IT Resources. As a singular exception to this provision, job related training or other approved course enrollments are considered to be job related activity.

¹ Approved August 3, 2000; amended October 31, 2003, October 26, 2006 and May 30, 2008.

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Staff members are required to exercise reasonable precautions in caring for any IT Resources authorized for use off premises, and are personally responsible for any damage resulting from use by family members or unauthorized persons. Incidental personal use might include such activities as:

- 3.2.1. Using the office phone on occasion to make necessary calls (see R926-5 below for details).
- 3.2.2. Faxing an important document if necessary (e.g., faxing information to a mortgage company during the home purchase process).
- 3.2.3. Accessing the Internet for reasonable and appropriate personal use, for educational or research projects, to retrieve news stories or other information of general interest, to participate in professional or civic organizations, or to perform nonprofit or community service.
- 3.2.4. Using e-mail to send occasional brief messages to recipients outside OCHE or to receive such messages.
- 3.2.5. Incidental personal use of office-owned IT Resources must not:
 - Directly or indirectly interfere with OCHE's operation and IT Resources.
 - Compromise the security or reputation of OCHE.
 - Burden OCHE with noticeable incremental costs.
 - Infringe the copyright or other intellectual property rights of third parties.
 - Involve any type of continuous audio or video streaming from commercial, private, news, or financial organizations, except as expressly authorized.

3.3. Authorization and Installation of Software: Without exception, software installed on office owned IT Resources is required to be owned by the office and installed by Information Technology (IT) staff members. Installation of personal copies of software or installation of software (including but not limited to computer games) by other staff members is prohibited. This policy is intended to ensure compliance with software licensing obligations and also to safeguard against avoidable introduction of computer viruses, as well as avoiding unnecessary potential overloading of memory and hard disc storage capacity of office owned IT Resources. Need for specific specialized software packages (apart from the office wide standard software modules installed as authorized by cognizant Associate Commissioners or UHEAA Associate Executive Directors) may be verified in writing by the cognizant Associate Commissioner or Associate Executive Director and will then be purchased and charged to the applicable cost center budget in OCHE or UHEAA, and installed by IT. IT staff are instructed to remove games from any currently installed software and from new software as installed. If unauthorized software is found on office owned IT Resources, IT staff are under a standing instruction to delete it. IT has available a variety of options for PC wallpaper and screen saver applications, and individual staff members may contact IT at their option to select personal choices from the available options. Persons with Internet access on office owned IT Resources may download documents related to their official duties, but are prohibited from downloading any software without first checking with IT to ensure both compliance with licensing requirements and protection against interference with other installed software. Persons downloading job related documents are required to pay close attention to any warnings from IT regarding potentially harmful documents.

3.4. Prohibition on Copying Office installed Software: Under no circumstances may individual staff members copy office owned software for installation on personal or any other IT Resources.

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3.5. Internet Access and Use: Staff members are expected to exercise sound judgment in limiting their use of internet access to official business related purposes during normal business hours. Any personal uses of office provided Internet capacity must be strictly incidental (as defined in 3.1), limited to breaks, lunch hour, or other off duty time, and in keeping with standards of ethical behavior. IT staff are instructed to monitor and periodically check the sites addressed using office Internet access.

3.6. -Social Computing: Personal blogs, chat rooms or bulletin boards may not be hosted on the OCHE network. A blog is a journal (or newsletter) that is frequently updated and intended for general public consumption. Blogs generally represent the personality of the author or the Web site. OCHE employees are discouraged from publicly discussing work related matters, whether constituting confidential information or not, outside of appropriate work channels, including online in chat rooms, on bulletin boards, or in their personal blogs. An employee with a blog or who participates in a chat room or a bulletin board must:

3.6.1. Make it clear that the views expressed are the employee's alone and do not necessarily represent the views of OCHE.

3.6.2. Respect OCHE's confidentiality and proprietary information.

3.6.3. Ask his/her manager if there are any questions about what is appropriate to include in a blog, bulletin board or chat room.

3.6.4. Be respectful to OCHE, OCHE employees, customers, partners, and competitors.

3.6.5. Understand and comply when OCHE asks that topics not be discussed for confidentiality or legal compliance reasons.

3.6.6. Ensure that blogging, chatting, or bulletin board activities do not interfere with OCHE work commitments.

R926-4. Electronic Messaging Policy

4.1. Use of the Messaging System: The OCHE Messaging System consisting of e-mail/calendaring client software, e-mail/calendaring servers, and supporting infrastructure is the property of OCHE and should be used for legitimate OCHE business purposes. Users are permitted access to the Messaging System to assist them in performing their role within OCHE. Use of the Messaging System is a privilege that can be revoked at any time.

4.2. Passwords: Users are responsible for safeguarding their passwords. Individual passwords should not be printed, stored online, or given to others (including family members). (See R992.4.6 User Authentication.)

4.3. Separation from OCHE: Supervisors may request IT to retrieve personal e-mails and other personal electronic data from an employee's e-mail account prior to the employee's separation from OCHE.

4.4. Delegated (Proxy) Access: A User may grant delegated (proxy) access to another user in the e-mail system. Requests for delegated (proxy) access must be approved by the User whose account will be accessed. (See R992.4.6 for provisions to arrange such access.)

4.4.1. Individuals who request access to another person's e-mail, and receive approval to do so, will not receive permission to directly access the e-mail account, but will be allowed to choose e-mail messages they would like printed or forwarded to them that directly relate to the issue described in their request for access.

4.5. Users Responsible for Messages: Users are responsible for any messages sent or forwarded from their e-mail account.

4.6. Distribution or Storage of Prohibited Materials: Without prior written permission from the cognizant Associate Commissioner, e-mail may not be used for dissemination or storage of commercial or personal advertisements, solicitations, promotions, destructive programs (i.e., viruses), or any other unauthorized use.

4.7. Waste of Messaging System Resources: Users may not deliberately perform acts that waste Messaging System resources or unfairly monopolize resources to the exclusion of others. These acts include, but are not limited to, mass mailings, chain letters, multiple copies of documents, or otherwise creating unnecessary network traffic. The administrators of the OCHE Messaging System reserve the right to disable mailboxes that are creating system wide problems.

4.7.1. Users may not initiate or forward chain messages. Chain messages are defined as messages sent to a number of people asking each recipient to send copies of the same request to a number of other recipients.

4.7.2. Mass e-mail is a message that is sent to a large number of recipients. All mass e-mail must be approved before dissemination. Approval must be granted by the cognizant Associate Commissioner or his/her designee.

4.8. Personal Use: Incidental personal use is allowed as long as it does not interfere with the operation of the e-mail system and does not provide an added burden for OCHE Messaging System administration.

4.9. Account Management: IT has primary responsibility for the OCHE Messaging System. Accounts are available only to current staff of OCHE. Special consideration may be made for outside affiliates and consultants.

4.9.1. All Messaging System Users must have signed security and confidentiality agreements and must have reviewed this e-mail policy.

4.9.2. The Messaging System User ID must be unique and in the form of an OCHE ID as issued by OCHE. The canonical e-mail address for a User will be based on the Messaging System User ID. Exceptions will be allowed for work group resources (conference rooms, IT Resources, and generic work group e-mail address).

4.9.3. An e-mail account will be limited to a quota set by OCHE guideline, however exemptions are possible with demonstrated need and approval by the cognizant Associate Commissioner. Users will be responsible to manage their personal storage space to keep it below the quotas. Users will be provided with mechanisms to archive e-mail. The archiving method used will be determined by work unit security and retention requirements. If an employee's mailbox size exceeds the storage limitation and remains above the specified limitation, users will be unable to create new messages. However, user's ability to receive new messages will NOT be affected.

4.9.4. No User will be allowed more than one Mailbox in the messaging system.

4.10. Mail Retention and Backup: E-mail must be backed up and retained in accordance with established backup and retention schedules.

4.11. Internet Mail: Internet addresses will be in the form determined by IT. The security of messages sent outside the e-mail system (via the Internet or otherwise) cannot be guaranteed. Users shall not send e-mail containing information considered to be sensitive or confidential.

4.11.1. Delivery of e-mail messages (including delivery in a timely fashion) to recipients outside of the e-mail system cannot be guaranteed. Internet mail messages have up to 24 hours to reach their destination. Users should receive a notification of any bounced messages.

4.11.2. E-mail messages are limited to a maximum size of 25 MB including attachments.

4.11.3. Due to spam and virus propagation, certain attachments are quarantined or blocked. The following types of files that are examples of blocked or quarantined attached messages when sent as an attachment: .exe, .scr, .pif, .cmd, .cpl, and .hta. IT can provide a list of blocked or quarantined attachments.

4.11.4. Outbound e-mail messages are scanned for sensitive or confidential information prior to delivery and when criteria is matched, the e-mail messages are quarantined pending review and approval for release.

4.12. Blocking: IT uses blocking products containing lists of IP addresses of known sources of unsolicited commercial and bulk e-mail (a.k.a. spam) in the attempt to minimize and manage the impact of spam on the OCHE Messaging System.

4.13. E-Mail Access and PDA Software Support: Users are provided a variety of supported ways to access their e-mail. PDA's (Personal Digital Assistant/Handheld computer) and mobile communication devices, in addition to a variety of other features, let users synchronize with the OCHE e-mail system. Standard server facilities will be provided for PDA/mobile device integration.

4.14. E-Mail Discontinuance: E-mail accounts will be removed from the system when IT receives termination notification from Human Resources.

4.15. Disclaimer: E-mail users and those in possession of OCHE records in the form of electronic mail are cautioned to be prudent in their reliance on electronic mail for purposes of maintaining a lasting record. Sound business practice suggests that consideration be given to transferring (if possible) electronic mail to a more lasting medium/format, such as acid free paper or microfilm, where long term accessibility is an issue.

4.15.1. Due to the nature of e-mail, the storage and delivery of e-mail cannot be guaranteed.

4.16. Monitoring: All electronic messages transmitted on OCHE IT Resources are subject to monitoring by authorized OCHE personnel.

R926-5. Telephone Policy

5.1. Use of Telephone Systems: The OCHE telephone systems and equipment are provided for the conduct of official business. Use of these facilities for personal business should be kept to a minimum.

5.1.1. Call center phones are subject to monitoring and recording. Usage reports can be generated for all OCHE phones and may be monitored for abnormally high usage volumes.

5.1.2. Office telephone numbers should never be formally published in connection with personal business. OCHE's 1-800 numbers should not be given out for incoming personal calls. These

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phone numbers are strictly for the use of OCHE's clients, or prospective clients, to be used when contacting OCHE about official business.

5.2. Long Distance and Toll Calls: Long distance and other toll calls for private business made through the OCHE telephone system should be charged to the individual's home telephone or personal calling card. If this is not possible, a record of private calls made at OCHE expense must be kept and repayment must be made upon receipt of the telephone bill. Supervisors are responsible to prevent abuse and ensure that repayment is made. Personal collect calls should not be accepted.

5.3. Allowance for Personal Cellular Telephones: If an employee requires a cellular phone in order to perform his/her duties, the employee, with approval of the cognizant Associate Commissioner or designee, will obtain a personal cellular access plan and cellular phone and will receive an allowance from OCHE via additional compensation, within approved limits. The additional compensation must be justified by business requirements which necessitate the use of a cellular telephone to perform official OCHE business where such business cannot be accommodated by the use of a land line phone, pager, or other less expensive communication device. The cellular telephone is owned by the employee and may be used for personal business. The approved allowance amount must be based on business requirements. The employee may, at his/her own expense, elect to purchase additional service(s). Approved procedures must be followed when providing additional compensation for this purpose.

5.4. OCHE Owned Cellular Telephones- OCHE shall not purchase or own cellular telephones except in those circumstances where employee ownership of the cellular plan and telephone is not practicable as determined by the cognizant Associate Commissioner. OCHE owned cellular telephones provided for the conduct of official business shall not be used for personal business.

5.4.1. IRS published authority defines requirements for adequate substantiation of the business use of OCHE owned cellular telephones. Unsubstantiated cellular use may be deemed personal use and therefore considered wages subject to employment taxes.

5.4.2. Adequate substantiation of business use includes the time, date, place, business purpose, and amount of the expense. Substantiation of business use should be in the format of a record or log made at or near the time the telephone call was placed.

5.4.3. An employee shall repay OCHE for incoming and outgoing personal use of an OCHE owned cellular phone. The reimbursement amount shall include direct charges for personal use and a pro rata share of monthly fees and services. Supervisors are responsible to prevent abuse and ensure that repayment is made.

5.4.4. If a user is not able or willing to comply with IRS substantiation requirements for OCHE owned cellular services and devices, the department or individual must use the individual ownership option described in paragraph 5.3.

5.5. No Cellular Use while Operating a Motor Vehicle: Employees shall not use cellular telephones to conduct the business of OCHE while operating a motor vehicle.

R926-6. Privacy, Security and Monitoring Policy

6.1. Privacy and Security: Users shall respect the legitimate expectations of privacy of others. However, appropriate administrators and network managers may require access to users' e-mail and other electronic records typically taken to be private. In particular, individuals having electronic communication

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system administration responsibilities, who cannot perform their work without access to e-mail and other records in the possession of others, may access such information as needed for their job responsibilities.

6.1.1. Users shall treat institutional data, files maintained by other Users as confidential unless otherwise classified pursuant to state or federal statutes, regulation, law or Board policy. Users shall not access files or documents, without proper authorization or unless pursuant to routine system administration. With authorization, users shall use files or documents for OCHE business purposes only. Users shall not store sensitive or confidential information on an IT Resource unless safeguards are in place. Do not use external, non-OCHE IT Resources to access OCHE IT Resources without approval.

6.1.2. Users shall not knowingly falsely identify themselves and will take steps to correct misrepresentations if they have mistakenly falsely identified themselves.

6.2. No Guarantee of Security or Privacy: The security and privacy of electronic records cannot be guaranteed. During the course of system maintenance, IT Resources staff may view the contents of records as they are processed through the electronic communications system. However, these staff members are expected to maintain the confidentiality of any data they encounter in accordance with R992. Not doing so may subject IT Resources administrators to disciplinary action up to and including termination.

6.3. Security Limitations: Electronic communications systems have inherent limitations. No computer security system can absolutely prevent a determined person from accessing stored information that he/she is not authorized to access. Moreover, electronic documents may be disclosed pursuant to public records law or in the discovery process. Users should not consider e-mail to be private or secure. Messages addressed to nonexistent or incorrect user names may be delivered to unintended recipients.

6.4. Prohibited Activities: Any activity that violates OCHE's Information Resources Policy (R992) or generally accepted standards of computer ethics and etiquette is prohibited. Services associated with the IT Resources, software, and electronic communication systems will not be used for illegal or improper purposes. This includes, but is not limited to, the generation of threatening, harassing, abusive, obscene or fraudulent messages. The use of the OCHE Systems must comply with this policy and applicable Federal and State Law. IT Resources may not be used in a manner that involves or facilitates any of the following prohibited uses, even during incident personal use:

6.4.1. Any infringement or misappropriation of copyrighted material or software, trade secrets or other intellectual property;

6.4.2. Any attempt to gain or help others gain access without authorization or anything that jeopardizes the security of IT Resources, data, or confidential information, or the privacy rights of others;

6.4.3. Engaging in or facilitating any crime, fraud, or illegal act, including gambling and sports pools;

6.4.4. Racist, sexist, stalking, harassing, or threatening communications (See R954, Sexual Harassment and Consensual Relationships.);

6.4.5. Any use that is for personal gain of the employee or another person, including selling access to their User ID's, personal business, endorsement of products, services or commercial enterprise or to solicit for charitable organizations not approved and sponsored by OCHE;

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6.4.6. Any misrepresentation of the identity of a message sender, including sending a message as an official OCHE communication without appropriate permission;

6.4.7. Distribution, communication, access, download or display of pornography or material that is sexually explicit, excessively violent, harassing or otherwise offensive;

6.4.8. Destruction, damage or alteration to any Office IT Resource or property without proper authorization or any unauthorized change to the design or configuration of IT Resources, including the installation of non OCHE approved screen savers or downloading executable software that is not approved by IT;

6.4.9. Any unauthorized activity that interferes with or adversely affects the performance of the employee's work or the work or responsibilities of others using OCHE's networks and systems, such as implementing or propagating a computer virus, using destructive software, inappropriate game playing, or monopolizing information resources for entertainment or personal use;

6.4.10. Sending or forwarding unsolicited bulk e-mail, chain letters, or "spam";

6.4.11. Any attempt to circumvent or disable security, monitoring, filtering, or auditing software or systems of OCHE or engage in any activity that might be harmful to systems or information stored thereon or interfere with the operation thereof by disrupting services or damaging files. Examples include but are not limited to: running "password cracking" programs, attempting to read or change administrative or security files or attempting to or running administrative programs for which permission has not been granted, using a telnet program to connect to system ports other than those intended for telnet, using false identification on a computer or system or using an account assigned to another, forging mail or news messages; or

6.4.12. Any attempt to monitor or tamper with another user's electronic communications or copy, change, or delete another user's files or software without the explicit agreement of the owner(s).

6.4.13. Campaigning or other political activities, including lobbying Congress or any government agency.

6.5. Monitoring: OCHE reserves the right but does not have the duty, to monitor any and all aspects of its IT Resources. OCHE monitors IT Resources as a routine matter, to the extent permitted by law, when OCHE deems it necessary for purposes of maintaining the integrity and effective operation of the IT Resources (See R992-5.1.4 and 5.1.8 for information security monitoring). Also, there are cases where "responsive monitoring" is performed whereby OCHE monitors in response to a particular problem, complaint, investigation to a claim or lawsuit. Such responsive monitoring will be approved by Human Resources and the cognizant Associate Commissioner. Monitoring will comply with the following restrictions:

6.5.1. All monitoring will be relevant to a particular OCHE purpose, problem, complaint, investigation of a claim, or lawsuit;

6.5.2. Disclosure and use of resulting data will be restricted to OCHE related purposes;

6.5.3. Monitoring a person's e-mail must be approved by Human Resources and the cognizant Associate Commissioner; and

6.5.4. Advice from legal counsel may be sought before permission to monitor is granted.

6.6. Monitoring Activities: In order to conduct its monitoring activities OCHE may:

- 6.6.1. Record Call Center phones used by telephone associates;
- 6.6.2. Generate telephone usage reports;
- 6.6.3. Review computer and network usage;
- 6.6.4. Scan, review, and record incoming/outgoing e-mail and instant message activity;
- 6.6.5. Track every instance of Internet connection;
- 6.6.6. Review system resource usage logs including disk space, remote access, log-in and other system logs.

R926-7. Disciplinary Action Policy

7.1. Report Non-compliance: Incidents of actual or suspected non-compliance with this policy should be reported to the appropriate authorities.

7.2. Suspension of Access: A systems administrator may immediately suspend the access of a User when the administrator reasonably believes:

7.2.1. The User has violated Office policies or law; and

7.2.2. The User's continuing use of Information Resources will result in: (1) damage to the Information Resources systems, (2) further violations of law or policy or (3) the destruction of evidence of such a violation.

The User shall be informed of his/her right to immediately appeal such a suspension to the cognizant head of the department or unit. Permanent revocation of privileges shall be imposed solely through the disciplinary processes set forth in paragraph 7.3. Users who are not USHE employees may have their access to IT Resources unilaterally revoked if they violate this policy.

7.3. Disciplinary Action: Personal use of OCHE's It Resources is a privilege rather than a right. Staff members using the systems in an appropriate manner and on an occasional personal basis need not be concerned about monitoring activities or possible disciplinary actions. However, misuse of any of these systems or other violation of this policy may subject a staff member to disciplinary action up to and including termination of employment in accordance with policy R964, Corrective Action and Termination of Staff Personnel.

R985, Personal Mobile Communications Communication Device Program¹

R985-1. Purpose: To provide support of personal communications devices for employees whose performance of certain job responsibilities are enhanced by their use. OCHE may elect to obtain and provide an office owned device to an employee whose job duties necessitate the use of such equipment. Alternately, OCHE may elect to monetarily reimburse a portion of the employee's purchase and monthly use of personal communication devices under the provisions of this policy. To provide for authorized employees to receive OCHE owned mobile communication devices and cellular communication plans; or for authorized employees to receive reimbursement from the Office of the Commissioner (OCHE), the Utah Higher Education Assistance Authority (UHEAA) and the Utah Educational Savings Plan (UESP) henceforth referred to as "the agency," in the form of additional compensation for employee owned mobile communication devices and cellular plans.

R985-2. References

- 2.1. Utah Code §53B-1-106 (Appointment of Commissioner's Staff)
- 2.2. Policy and Procedures R141, Duties of the Commissioner of Higher Education

R985-3. Policy for Provision of OCHE Owned owned Mobile Communication Devices devices

3.1. Office-OCHE Owned Equipment Mobile Communication Devices and Activation Plan: OCHE may elect to obtain and provide personal-mobile communicationscommunication devices to employees whose job duties require the use of such equipmentdevices.

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

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

3.3. **Incidental Personal Use of Office-OCHE Owned Mobile Communication Devices:** Incidental personal use of an-office-OCHE owned mobile communicationscommunication devices is permitted under certain conditions:

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

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

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

¹ Proposed Draft Policy October 27, 2005.

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

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

3.5. Conditions for Providing an Office-OCHE Owned Mobile Communication Devices: In providing a mobile communication devices to an employee OCHE shall:

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

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

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

R985-4. Policy for Mobile Communication Device Reimbursement Program

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

4.2. Approval: Each work unit head is responsible for recommending which positions require the use of personal communicationscommunication devices and, therefore, qualify for the Communication Reimbursement Program. Providing a CommunicationCommunication Device Reimbursement to an employee must be directly linked to the employee's job duties and responsibilities. There must be a valid business purpose for the number of plan minutes provided by OCHE. The work unit manager must authorize the use of any mobile communication device, including a tablet device, in the performance of an employee's duties.

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

4.3. Establishing ~~Communication~~Communication Device Reimbursement Amounts: OCHE will periodically determine the ~~Communication~~Communication Device Reimbursement rates for the purchase of mobile communication devices, such as cellular telephones, Personal Digital Assistants (PDA) and telephone/PDA combinations, smart phones, and tablet devices. An authorized employee may purchase any such mobile communication equipment device, regardless of price; however, the employee will be responsible for any additional expenses above the ~~Communication~~Communication Device Reimbursement.

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

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

4.3.3. If extraordinary business use results in a billed amount that is significantly more than the allowance amount, expense reimbursement may be sought. An employee whose allotted plan access limit is routinely exceeded due solely to business use may request an increase in his or her plan access limit.

4.3.4. The employee may obtain a larger cellular service plan if needed for personal use, but will only receive the amount agreed upon for business use.

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

4.4.1. Reimbursements for acquisition of mobile communication equipment devices will be made no more frequently than once every two years provided the employee's job responsibilities continue to require the use of the mobile communication devices at the time of replacement, unless specifically authorized by the Commissioner.

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

4.4.3. The employee may select more expensive mobile communication devices but will not receive a contribution in excess of what is required to perform his/her job duties.

4.4.4. In the event the employee needs to purchase a smart phone or tablet, employees must choose from a list of approved mobile communication devices prior to purchase or gain system compatibility approval from IT.

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

4.5. Annual Review Process: During the budget planning cycle, the work unit head must evaluate the Communication Reimbursement monthly reimbursement schedule and the appropriateness of previously selected plan access limits and make necessary recommendations for adjustments. The work unit manager is responsible for reviewing mobile communication device and plan needs for his/her department at least annually to determine if monthly allowance amounts should be changed or discontinued. The work unit manager should notify Human Resources immediately when any changes to allowance amounts are needed.

4.6. Employee Responsibilities: The employee is responsible for the selection of and enrollment in, and bill payment for a cellular communication service plan and mobile communication devices. In addition:

4.6.1. An employee receiving a CommunicationCommunication Device Reimbursement must provide Human Resources and his or her work unit with the phone and/or PDA number of the mobile communicationcommunication devices within five working days of activation.

4.6.2. The employee is personally responsible for complying with any contract entered into with a cellular communication service provider including payment of all expenses incurred (including long distance, roaming fees and taxes). In the event that an employee leaves the position that qualified for a CommunicationCommunication Device Reimbursement, he or she continues to be responsible for the contractual obligations of the cellular communication service plan.

4.6.3. An employee receiving a CommunicationCommunication Device Reimbursement must notify his or her work unit head within five working daystwenty four (24) hours of the inactivation of communication service or of the even if it is due to the loss or theft of the any communicationmobile communication devices equipment.

4.6.4. An employee receiving a CommunicationCommunication Device Reimbursement from OCHE may not receive reimbursement from OCHE or any other USHE component for use of other communication equipment or services. This exclusion does not preclude the use and subsequent payment of charges made on calling cards issued to the OCHE work unit.

4.6.5. The authorized employee is responsible for obtaining a cellular communication plan and mobile communication devices that, at a minimum, meet the required level of service defined by the work unit. The mobile communication devices and plan must be available for the performance of responsibilities as designated by the manager.

4.6.5. If the mobile communication device ceases to function or is lost prior to the two year replacement timeframe, all costs to replace the mobile communication device are the sole responsibility of the employee.

4.7. Right to Withdraw: The agency contribution and allowance for mobile communication devices and plan are not considered an entitlement, is not part of an employee's base salary, and may be changed and/or withdrawn by the agency at any time.

4.8. Agreements:

4.8.1. The employee and the employee's manager/supervisor must complete and sign the *Employee Cellular Services Agreement* with business justification including work unit requirements for the mobile communication devices and plan.

4.8.2. All employees receiving a monthly allowance and agency contribution for a mobile communication device must sign the *Mobile Communication Device Access Agreement*.

4.8.3. Copies of the signed *Employee Cellular Services Agreement* and the *Mobile Communication Device Access Agreement* must be given to Human Resources to be retained for four years.

4.9. Contract Changes or Cancellation:

4.9.1. A personal decision by the employee, or employee misconduct, or misuse of the communication device, results in the need to end or change the cellular communication plan prior to the end of the contract. The employee will bear the costs of any fees associated with that change or cancellation. For example, the employee resigns and no longer wants to retain the current contract for personal purposes. In extenuating circumstances a work unit manager may choose to waive this requirement.

4.9.2. A decision (unrelated to employee misconduct) results in the need to end or change the cellular communication plan prior to the end of the contract. The agency will bear the cost of any fees associated with that change or cancellation. For example, the employee's supervisor has changed the employee's duties and the mobile communication device is no longer needed for business purposes.



R985, Mobile Communication Device Program¹

R985-1. Purpose: To provide for authorized employees to receive OCHE owned mobile communication devices and cellular communication plans; or for authorized employees to receive reimbursement from the Office of the Commissioner (OCHE), the Utah Higher Education Assistance Authority (UHEAA) and the Utah Educational Savings Plan (UESP) henceforth referred to as "the agency," in the form of additional compensation for employee owned mobile communication devices and cellular plans.

R985-2. References

- 2.1. Utah Code §53B-1-106 (Appointment of Commissioner's Staff)
- 2.2. Policy and Procedures R141, Duties of the Commissioner of Higher Education

R985-3. Policy for Provision of OCHE Owned Mobile Communication Devices

- 3.1. **OCHE Owned Mobile Communication Devices and Activation Plan:** OCHE may elect to obtain and provide mobile communication devices to employees whose job duties require the use of such devices.
- 3.2. **Approval:** Each work unit head is responsible for recommending which positions require the use of mobile communication devices and, therefore, qualify for OCHE owned devices. Providing mobile communication devices to an employee must be directly linked to the employee's job duties and responsibilities.
 - 3.2.1. Copies of the approval forms used to authorize OCHE owned mobile communication devices will be retained in the employee's official personnel file.
- 3.3. **Incidental Personal Use of OCHE Owned Mobile Communication Devices:** Incidental personal use of OCHE owned mobile communication devices is permitted under certain conditions:
 - 3.3.1. Personal use of mobile communication devices provided by OCHE is considered to be a misapplication of state equipment if it results in additional costs being incurred by OCHE.
 - 3.3.2. Incidental use of OCHE owed mobile communication devices must not unduly interfere with the employee's assigned responsibilities or the normal functioning of an office.
 - 3.3.3. The use of telecommunication services for private commercial purposes are strictly prohibited regardless of whether or not it results in an additional charge to OCHE.

Such permitted incidental personal use is not considered taxable compensation subject to required tax withholdings.
- 3.4. **Excessive Personal Use:** Personal use that results in an increase in costs to OCHE or which exceeds a reasonable incidental percentage of business use over the same time period is considered excessive. OCHE may require the employee to reimburse the office for excessive personal use of OCHE

¹ Proposed Draft Policy October 27, 2005.

WITH CHANGES ACCEPTED

owned mobile communication devices. Unreimbursed excessive personal use will result in OCHE reporting the value of the devices and activation plan as taxable income to the employee.

3.5. Conditions for Providing OCHE Owned Mobile Communication Devices: In providing mobile communication devices to an employee OCHE shall:

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

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

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

R985-4. Policy for Mobile Communication Device Reimbursement Program

4.1. Communication Device Reimbursement: OCHE may elect to provide an employee with a Communication Device Reimbursement to offset the business use of the employee's personal mobile communication devices purchase and activation fees. Mobile communication devices acquired in accordance with the provisions of this paragraph are the employee's property and may be used for personal business. A Communication Device Reimbursement for the business use of mobile communication devices is not considered taxable compensation subject to required tax withholdings. The amount of the Communication Device Reimbursement will be determined by OCHE to correspond to the value to OCHE of the employee's business use of the mobile communication devices.

4.2. Approval: communicationProviding a Communication Device Reimbursement to an employee must be directly linked to the employee's job duties and responsibilities. There must be a valid business purpose for the number of plan minutes provided by OCHE. The work unit manager must authorize the use of any mobile communication device, including a tablet device, in the performance of an employee's duties.

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

4.3. Establishing Communication Device Reimbursement Amounts: OCHE will periodically determine the Communication Device Reimbursement rates for the purchase of mobile communication devices, such as cellular telephones, Personal Digital Assistants (PDA)smart phones, and tablet devices. An authorized employee may purchase any such mobile communication device, regardless of price; however, the employee will be responsible for any additional expenses above the Communication Device Reimbursement.

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

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

WITH CHANGES ACCEPTED

4.3.3. If extraordinary business use results in a billed amount that is significantly more than the allowance amount, expense reimbursement may be sought. An employee whose allotted plan access limit is routinely exceeded due solely to business use may request an increase in his or her plan access limit.

4.3.4. The employee may obtain a larger cellular service plan if needed for personal use, but will only receive the amount agreed upon for business use.

4.4. Reimbursement for Mobile Communication Devices and Activation Fees: An employee who acquires mobile communication devices and services after acceptance into the Communication Device Reimbursement Program will receive a reimbursement in an amount up to the established allowances to offset related expenses. Mobile communication device purchases include cell phones, PDAs, smart phones, and tablet devices. The employee is responsible for payment of all charges to the provider, including any amount that exceeds the reimbursement. To receive a reimbursement for the purchase of mobile communication devices an employee must submit a copy of the receipt showing proof of purchase.

4.4.1. Reimbursements for acquisition of mobile communication devices will be made no more frequently than once every two years provided the employee's job responsibilities continue to require the use of the mobile communication devices at the time of replacement, unless specifically authorized by the Commissioner.

4.4.2. Reimbursements will also be made for activation fees and taxes consistent with one of the established communication reimbursement limits. The employee must submit a copy of his or her monthly bill as proof of expenditure.

4.4.3. The employee may select more expensive mobile communication devices but will not receive a contribution in excess of what is required to perform his/her job duties.

4.4.4. In the event the employee needs to purchase a smart phone or tablet, employees must choose from a list of approved mobile communication devices prior to purchase or gain system compatibility approval from IT.

4.5. Annual Review Process: The work unit manager is responsible for reviewing mobile communication device and plan needs for his/her department at least annually to determine if monthly allowance amounts should be changed or discontinued. The work unit manager should notify Human Resources immediately when any changes to allowance amounts are needed.

4.6. Employee Responsibilities: The employee is responsible for the selection of, enrollment in, and bill payment for a cellular communication plan and mobile communication devices. In addition:

4.6.1. An employee receiving a Communication Device Reimbursement must provide Human Resources and his or her work unit with the phone and/or PDA number of the mobile communication devices within five working days of activation.

4.6.2. The employee is personally responsible for complying with any contract entered into with a cellular communication service provider including payment of all expenses incurred (including long distance, roaming fees and taxes). In the event that an employee leaves the position that qualified for a Communication Device Reimbursement, he or she continues to be responsible for the contractual obligations of the cellular communication plan.

WITH CHANGES ACCEPTED

4.6.3. An employee receiving a Communication Device Reimbursement must notify his or her work unit head within twenty four (24) hours of the inactivation of communication service or of the loss or theft of any mobile communication devices.

4.6.4. An employee receiving a Communication Device Reimbursement from OCHE may not receive reimbursement from OCHE or any other USHE component for use of other communication equipment or services. This exclusion does not preclude the use and subsequent payment of charges made on calling cards issued to the OCHE work unit.

4.6.5. The authorized employee is responsible for obtaining a cellular communication plan and mobile communication devices that, at a minimum, meet the required level of service defined by the work unit. The mobile communication devices and plan must be available for the performance of responsibilities as designated by the manager.

4.6.5. If the mobile communication device ceases to function or is lost prior to the two year replacement timeframe, all costs to replace the mobile communication device are the sole responsibility of the employee.

4.7. Right to Withdraw: The agency contribution and allowance for mobile communication devices and plan are not considered an entitlement, is not part of an employee's base salary, and may be changed and/or withdrawn by the agency at any time.

4.8. Agreements:

4.8.1. The employee and the employee's manager/supervisor must complete and sign the *Employee Cellular Services Agreement* with business justification including work unit requirements for the mobile communication devices and plan.

4.8.2. All employees receiving a monthly allowance and agency contribution for a mobile communication device must sign the *Mobile Communication Device Access Agreement*.

4.8.3. Copies of the signed *Employee Cellular Services Agreement* and the *Mobile Communication Device Access Agreement* must be given to Human Resources to be retained for four years.

4.9. Contract Changes or Cancellation:

4.9.1. A personal decision by the employee, or employee misconduct, or misuse of the communication device, results in the need to end or change the cellular communication plan prior to the end of the contract. The employee will bear the costs of any fees associated with that change or cancellation. For example, the employee resigns and no longer wants to retain the current contract for personal purposes. In extenuating circumstances a work unit manager may choose to waive this requirement.

4.9.2. A decision (unrelated to employee misconduct) results in the need to end or change the cellular communication plan prior to the end of the contract. The agency will bear the cost of any fees associated with that change or cancellation. For example, the employee's supervisor has changed the employee's duties and the mobile communication device is no longer needed for business purposes.

September 7, 2011

MEMORANDUM

TO: State Board of Regents
FROM: William A. Sederburg
SUBJECT: Progress Report – USHE Space Study

Issue

Last fall The Office of the Commissioner undertook a Space Study under contract with Paulien & Associates, Inc., a facilities planning consultant firm that had done a related State of Utah Higher Education Space Standards and Utilization Study for the state under the direction of DFCM back in 1996. Actual work on the study was not begun until after the close of the 2011 Legislature and included site visits with the consultants to each of the USHE campuses.

Completion of a draft of the report was delayed somewhat as a result of additional and updated space and enrollment data requested from OCHE and the institutions by Paulien & Associates. We have now received a draft that will be reviewed carefully by OCHE Finance and Facilities staff and the Steering Committee that is composed of OCHE staff and institutional representatives and was constituted for this project. After that review the final report will be submitted and it is anticipated that the results of the study will be presented to the Board at the meeting currently scheduled to take place on November 18, 2011.

Commissioner's Recommendation

This is an information item. No action is needed.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/WRH

September 7, 2011

Memorandum

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: NCHEMS Funding Equity Study

As a result of the unfunded large increases in enrollments and the financial challenges that have resulted from the economic recession, the Utah System of Higher Education (USHE) has had many discussions with Legislators, Governor's Office Representatives, Regents and the State's colleges and universities concerning unfunded historic enrollment growth, tuition levels, state support, and funding equity among the institutions. These discussions, combined with the [2011 Legislative Session] passage of SB97 that put Mission-Based Funding into state statute, led the USHE in the direction of determining the Systems "unfunded historic growth" and recommending "ways to address funding any inequities for institutions as compared to institutions with similar missions".

To aid in accomplishing these objectives, the USHE entered into a contract with the National Center for Higher Education Management Systems (NCHEMS) on June 3, 2011 to conduct a study. Dr. Dennis Jones, President of NCHEMS, personally met with Utah Legislators, Governor's Representatives, Regents and Campus Presidents to discuss the project. To aid USHE in addressing the funding questions, NCHEMS agreed to provide an equity analysis using the following three approaches.

- Determining the funding inequities introduced by failure to fund enrollment growth over the past few years
- Comparing funding (tuition and state appropriations) of Utah institutions with that of their peer institutions
- Using credit hour weights (by level and discipline) derived from other states to calculate funding per weighted FTE for each of the institutions

NCHEMS provided a preliminary study for discussion and a technical review at the Council of Presidents on August 30th, 2011. To facilitate the Council of Presidents discussion, Dr. Jones joined the meeting via telephone. At present, Dr. Jones is scheduled to personally meet with the Regents at their September 8th, 2011 work meeting to discuss the preliminary study and address policy implications. Under our agreement with NCHEMS, the final Funding Equity Study is to be completed by September 16, 2011. As a result, the final report will be hand carried and provided to Regents at their regular board meeting scheduled for September 16, 2011.

Commissioner's Recommendation

This is an information item. No action is required.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/PCM

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Sale of University of Utah Hospital Revenue Bonds for Acquisition of the South Jordan Health Center Facility

Issue

On May 20, 2011 the University of Utah was authorized to proceed with a Series 2011B issue of Hospital System Revenue Bonds in an amount not to exceed \$74 million to finance the acquisition of the South Jordan Health Center facility. The bond issue was sold on July 1, 2011 and closed on July 28, 2010.

The \$66,480,000 actual par amount of the bonds sold, the 5.0% coupon rate, and date of final maturity are well below the authorized parameters approved by the Board. Additional information pertaining to the issue compared with Board approved parameters is provided in the attached Financing Summary with actual results achieved displayed in red.

Commissioner's Recommendation

This is an information item. No action is needed.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/WRH
Attachment



\$74,000,000*
State Board of Regents of the State of Utah
University of Utah
Hospital Revenue Bonds
Series 2011B
(South Jordan Health Center Acquisition Project)

FINANCING SUMMARY (Actual Results in RED)

Purpose:	To finance the acquisition of the 'South Jordan Health Center' (the "Project") and to pay costs incident to the issuance of the Series 2011B Bonds.
Par Amount:	Not-to-exceed \$74,000,000* Actual par amount was \$66,480,000.
Security:	The Series 2011B Bonds are payable from and secured by a pledge and assignment of the net revenues of the University of Utah's Hospitals and Clinics.
Ratings:	'AA' (Standard & Poor's) and 'Aa2' (Moody's) by virtue of the State of Utah's moral obligation pledge for such bonds. Both ratings were confirmed.
Method of Sale:	Public offering through negotiation with underwriter(s) to be determined at a later date. Underwriters selected were: Barclays Capital (65%), George K. Baum & Co. (25%) and Seattle-Northwest Securities (10%).

Total Discount:	Not-to-exceed 2.00% (including Underwriter's Discount). Underwriter's Discount was 0.336%.
Sale Date:	TBD. The bonds were sold on July 13, 2011
Closing Date:	Mid to late July, 2011* Closing will be July 28, 2011
Interest Payment Dates:	August 1 st and February 1 st , commencing February 1, 2012. Yes
Interest Basis:	30/360 Yes
Principal Payment Dates:	August 1, 2015 through August 1, 2036 (25-year amortization). The University chose to shorten up the transaction to 20-years (August 1, 2031).
Maturity:	Not-to-exceed 27 years. 20-years was selected.
Redemption:	Not-to-exceed 11 years at 101% (10 years at 100% is anticipated). The University secured a 9-year par call.
University of Utah Contacts:	Gordon Crabtree (801-587-3572) Arnold B. Combe (801-581-6404)
Financial Advisor:	Kelly Murdock, Wells Fargo Securities (801-246-1732)
Trustee, Paying Agent/Reg.:	Wells Fargo Bank, National Association
Bond Counsel:	Blake Wade, Ballard Spahr, LLP (801-531-3031)
Underwriters/Disclosure Counsel:	TBD. The firm of Chapman and Cutler was selected as Underwriter's Counsel.
Summary of Parameters: (Actuals in RED)	
--Not-to-exceed par:	\$74,000,000 (\$66,480,000)
--Not-to-exceed final maturity:	27 years (20-years)
--Optional Redemption:	11-years at 101% (9-years at 100%)
--Not-to-exceed interest rate:	6.25% (maximum coupon) (5.00%)

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: Sale of Southern Utah 2011 Series Revenue Bonds to Refinance Series 2003 Housing Revenue Bonds

Issue

On July 15, 2011 Southern Utah University was authorized by the Board to issue a Series 2011 Revenue Bond in an amount not to exceed \$10 million to refinance its Series 2003 Auxiliary System and Student Building Fee Revenue and Refunding Bonds that were issued to finance construction of new student housing. The bond issue was sold on August 3, 2011 and closed on August 18, 2011.

The \$8,285,000 actual par amount of the bonds sold, the 4.0% maximum coupon rate (TIC of 2.30%), and date of final maturity are all below the authorized parameters approved by the Board. Additional information pertaining to the issue compared with Board approved parameters is provided in the attached Final Summary Sheet with actual results achieved displayed in red.

Commissioner's Recommendation

This is an information item. No action is needed.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/WRH
Attachment

State Board of Regents of the State of Utah
Southern Utah University
Auxiliary System and Student Building Fee Revenue Refunding Bonds, Series 2011
Final Summary Sheet

Proposed Issue: Auxiliary System and Student Building Fee Revenue Refunding Bonds, Series 2011

Total Approximate Issue Size: \$9,000,000 (~~\$8,285,000 was the final par amount~~)

Use of Funds: To generate debt service savings by refunding the previously issued Series 2003 Auxiliary System and Student Building Fee Revenue and Refunding Bonds; satisfy any debt service reserve fund requirements; and pay associated costs of issuance.

Detail of Proposed Series 2010 Bonds:

Principal Amount: Not to exceed \$10,000,000 (~~\$8,285,000~~)

Interest Rate: Not to exceed 5.5% (~~Max Coupon was 4.00%, True Interest Cost was 2.30%~~)

Maturity Date: Not to exceed 13 years (~~12 years~~)

Aggregate Discount: Not to exceed 2% (~~Premium bid of 110.368%~~)

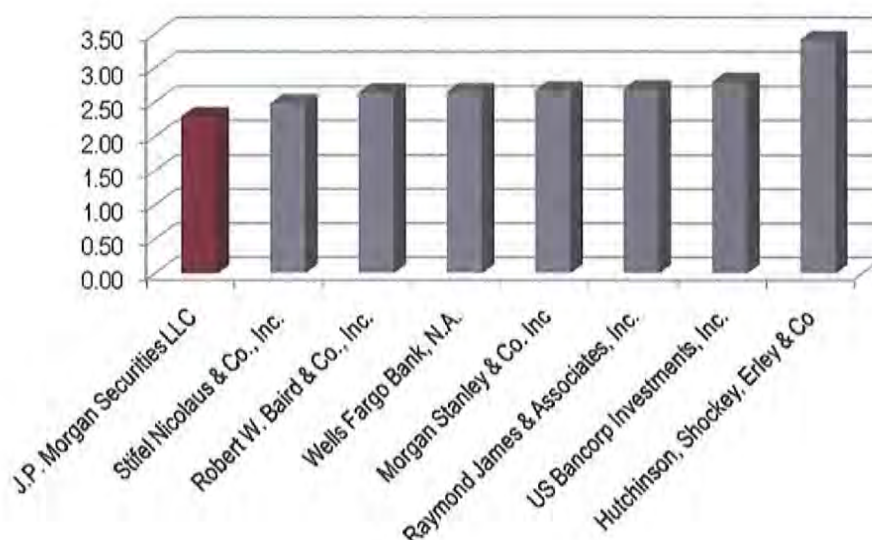
Underwriter's Discount: Not to exceed 2% (~~0.899% or \$8.99/\$1,000~~)

Bond Rating: AA+ from S&P (insured by Assured Guaranty)
~~Bonds were sold without insurance~~

Underlying Rating: AA from S&P utilizing the State Moral Obligation

Source of Repayment: Auxiliary System and Student Building Fee Revenues

Timetable Considerations: The Series 2003 Bonds are "callable" and can be paid off beginning May 1, 2013. In advance of that date, the Series 2003 bonds can be called using a one-time advanced refunding. Provided that the Regents grant authorization at their July 15, 2011 meeting, and that the savings generated by issuing the Series 2011 Bonds continues to exceed the level of 3% of debt service, the University anticipates selling bonds via a competitive sale on August 3, and closing the transaction on August 18.



Bid Comparison

Par Amount: \$8,285,000 S&P Rating: "AA"
 Dated Date: August 23, 2011 Final Maturity Date: May 1, 2023
 Delivery Date: August 23, 2011

Underwriters	TIC Bid	Difference from Winning Bid	NPV Savings %	NPV Savings \$	Difference from Winning Bid
J.P. Morgan Securities Inc.	2.2889%		10.410%	862,483	
Stifel Nicolaus & Co., Inc.	2.4861%	0.1972%	8.870%	732,438	130,045
Robert W. Baird & Co., Inc.	2.6445%	0.3556%	7.630%	630,216	232,267
Wells Fargo Bank N.A.	2.6530%	0.3641%	7.561%	624,509	237,974
Morgan Stanley & Co., Inc.	2.6732%	0.3843%	7.397%	610,952	251,531
Raymond James & Associates, Inc.	2.6940%	0.4051%	7.238%	597,829	264,654
US Bancorp Investments, Inc.	2.7959%	0.5070%	6.451%	532,818	329,665
Hutchinson, Shockey, Erley & Co	3.4105%	1.1216%	1.823%	150,615	711,868

September 7, 2011

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 – Minutes of the Board Meeting July 15, 2011 at Utah State University, Logan, Utah
- B. Grant Proposals
 - 1. Utah State University – National Institutes of Health (NIH); “Graphene Nanosensor on Tooth for Continuous and Noninvasive Diagnosis of Diabetes”; \$1,425,333.25. Yue Cui, Principal Investigator.
 - 2. Utah State University – National Institutes of Health (NIH); “Role of the 1,25D3 MARR Receptor/PDIA3/ERP57 in Longevity”; \$1,071,000. Ilka M. Nemere, Principal Investigator.
 - 3. Utah State University – Economic Development Administration; “FY11 Public Works, Economic Adjustment, and GCCMIG Programs Opportunity”; \$1,226,325. Thomas R. Lee, Principal Investigator.
 - 4. Utah State University – Utah Department of Workforce Services; “Child Care Professional Development Institute (CCPDI)”; \$ 1,100,000. Ann M. Austin, Principal Investigator.
 - 5. Utah State University – Institute of Education Sciences; “Investigating Feasibility, Effectiveness, and Costs of Teleintervention”; \$1,499,898. Karl R. White, Principal Investigator; Catherine Callow-Heusser, Karen Munoz, Kristina Blaiser, Co-Investigators.
 - 6. Utah State University – National Institutes of Health (NIH); “Full PMTO Transfer with Fidelity: Evaluation of Measure and Methods”; \$1,291,898. Melanie M. Domenech-Rodriguez, Principal Investigator.
 - 7. Utah State University – Institute of Education Sciences; “Bully Prevention in Positive Behavior Support”; \$2,932,025. Scott Ross, Principal Investigator.

8. Utah State University – Institute of Education Sciences; “Development and Validation of a Vertically Scaled Reading Comprehension Assessment”; \$1,214,052. Sarah Clark, Principal Investigator; Cindy Jones, Douglas Ray Reutzel, Co-Investigators.
9. Utah State University – National Science Foundation; “IGERT: Translational Research and Education for Environmental Sustainability (TREES) in the Great Basin”; \$3,348,810. Michelle A. Baker, Principal Investigator, Douglas Bryan Jackson-Smith, Keith Gibson, Mark William Brunson, Co-Investigators.
10. Utah State University – Missile Defense Agency; “Overhead Persistent InfraRed (OPiR) Support and Evaluation to MDA/CR”; \$2,006,181.57. Bruce Guilmain, Principal Investigator.
11. Utah State University – NASA Langley Research Center; “ROSES LCAS: Rocket-borne Storm Energetics of Auroral Dosing in the E-region (ROCK-STEADE)”; \$1,599,361. Chad Fish, Principal Investigator.
12. Utah State University – NASA Langley Research Center; “ROSES LCAS: Mass Spectrometry of the Tubopause Region (MSTR)”; \$1,202,003. Chad Fish, Principal Investigator.
13. Utah State University – Department of Energy; “Wireless Panel to Panel Power Transfer System for Extreme Balance of System Cost Reduction”; \$1,428,645. Paul Israelsen, Principal Investigator.
14. Utah State University – Broadcast International; “Broadcast International – Computer Vision Based Video Compression”; \$1,222,936. Aravind R. Dasu, Program Manager.
15. Utah State University – Department of Education; “Stars! (Science, Technology, Arithmetic, Reading Students) GEAR UP”; \$15,446,402. Yolanda Flores Niemann, Principal Investigator; Eric Packenham, Co-Investigator.
16. Utah State University – National Science Foundation; “S12-SSI: An interactive Software Infrastructure for Sustaining Collaborative Community Innovation”; \$2,650,000. David G. Tarboton, Principal Investigator; Jeffery S. Horsburgh, Co-Investigator.
17. Utah State University – Administration for Children and Families (ACF); “Developmental Parenting to Buffer Children from Toxic Stress”; \$4,401,263. Lori A. Roggman, Principal Investigator; Lisa K. Boyce and Mark S. Innocenti, Co-Investigators.
18. Utah State University – Government of the Dominican Republic; “Agreement for Technical Cooperation between the Government”; \$4,401,263. Mary Hubbard, Principal Investigator; Shelly Colleen Hernandez, Co-Investigator.
19. Utah State University – DigitalGlobe, Inc.; “Cloud Aerosol Water Vapor Ice Snow (CAVIS) WorldView 3”; \$19,795,710. Kirk D. Larsen, Program Manager.

20. Utah State University – Air Force. “Air Force Distributed Common Ground System (AF DCGS) Virtual Imagery Processing System (VIP-C)”. \$4,811,549.39. Glen H. Wada, Program Manager.
21. University of Utah – US Department of Education. “Autism Consultation”; \$1,248,685. Elaine Clark, Principal Investigator.
22. University of Utah – US Department of Education; “Preparation Leaders in Autism”; \$1,235,280. Elaine Clark, Principal Investigator.
23. University of Utah – US Department of Education; “Intensive Autism Training”; \$1,215,465. William Jenson, Principal Investigator.
24. University of Utah – US Department of Energy; “EPSCOR Shale”; \$5,895,184. Julio Facelli, Principal Investigator.
25. University of Utah – Defense Advanced Research Projects Agency; “PASCAL”; \$2,917,919. Carlos Mastrangelo, Principal Investigator.
26. University of Utah – National Institutes of Health; “Cerebrovascular Injury in Neur”; \$1,875,723. Kenneth L. Monson.
27. University of Utah – National Institutes of Health; “Dynamic Models Forcellular Pop”; \$1,868,750. Chris Myers, Principal Investiagor.
28. University of Utah – US Department of Energy; “IPOINT”; \$1,000,000. Mary W. Hall, Principal Investigator.
29. University of Utah – US Department of Education; “Project ITAPE”; \$1,212,294. Hester Henderson, Principal Investigator.
30. University of Utah – National Institutes of Health (NIH) Neurological Disorders and Stroke; “Novel Treatments for Epilepsy”; \$24,586,943. Steve H. White, Principal Investigator.
31. University of Utah – National Institutes of Health; “Marine Natural Products”; \$1,868,750. Eric W. Schmidt, Principal Investigator.
32. University of Utah – (NIH) National Cancer Institute; “Prostate Cancer Stem Cell”; \$1,865,000. Jindrich Kopecek, Principal Investigator.
33. University of Utah – (NIH) National Institute on Drug Abuse; “Neurotensin Methamphet Amine”; \$1,840,250. Glen R. Hanson, Principal Investigator.

34. University of Utah – University of Illinois at Chicago; "Cyclic Antimicrobials"; \$1,119,000. Eric W. Schmidt, Principal Investigator.
35. University of Utah – National Institutes of Health; "Encaps of RNA by Protein"; \$1,864,062. Kenneth J. Woycechowsky, Principal Investigator.
36. University of Utah – National Institutes of Health; "Immunogenicity Analysis"; \$1,358,125. Jennifer Shumaker-Parry, Principal Investigator.
37. University of Utah – National Institutes of Health; "Novel Nanoporous Membranes"; \$1,121,250. Ilya Zharov, Principal Investigator.
38. University of Utah – Food & Drug Administration; "Detect Reproductive Toxicity"; \$1,121,250. Wayne Potts, Principal Investigator.
39. University of Utah – National Institutes of Health; "NCS Vanguard Center"; \$6,700,631. Edward B. Clark, Principal Investigator.
40. University of Utah – (NIH) National Heart Lung & Blood Institute; "Zebrafish and Arrhythmia"; \$1,250,000. Martin Tristani-Firouzi, Principal Investigator.
41. University of Utah – Fred Hutchinson Cancer Research Center; "Validation of Response/CML"; \$1,193,600. Michael W. N. Deininger, Principal Investigator.
42. University of Utah – Health Resources & Services Administration; "Ryan White Part C"; \$4,454,775. Harry Rosado-Santos, Principal Investigator.
43. University of Utah – US Army; "Eradicating Breast Cancer" \$3,727,293. Nicola J. Camp, Principal Investigator.
44. University of Utah – (NIH) National Institute of Diabetes Digestive and Kidney Diseases; "Host-HCV IRES Interaction"; \$3,481,619. Curt H. Hagedorn, Principal Investigator.
45. University of Utah – (NIH) National Heart Lung & Blood Institute; "INTMTN Cardiovascular CTN"; \$3,466,875. Amit N. Patel, Principal Investigator.
46. University of Utah – (NIH) National Heart Lung & Blood Institute; "Asthma Predisposition Genes"; \$2,715,528. Lisa Anne Albright, Principal Investigator.
47. University of Utah – (NIH) National Institute of Child Health and Human Development; "Therapy and Tools for CG"; \$2,480,702. Kent Lai, Principal Investigator.

48. University of Utah – (NIH) National Institute of Diabetes Digestive Kidney Diseases; "Renal Function in Cirrhosis"; \$2,401,926. Dennis L. Parker, Principal Investigator.
49. University of Utah – (NIH) National Institute of Diabetes Digestive and Kidney Diseases; "Renovascular Disease"; \$1,959,195. Dennis L. Parker, Principal Investigator.
50. University of Utah – National Institutes of Health; "XHA IMM RESP R01"; \$1,883,416. Susan C. Bock, Principal Investigator.
51. University of Utah – National Institutes of Health; "TCF3 In Spinal Prodenitors"; \$1,881,250. Richard Dorsky, Principal Investigator.
52. University of Utah – National Institutes of Health; "Nanotherapeutics"; \$1,868,750. Xuli Wang, Principal Investigator.
53. University of Utah – (NIH) National Institute of Diabetes Digestive and Kidney Diseases; "Adipose Tissue Grafts"; \$1,868,750. Christi M. Terry, Principal Investigator.
54. University of Utah – National Institutes of Health; "Regulation of Metabolism"; \$1,865,000. Carl Sennrich Thummel, Principal Investigator.
55. University of Utah – (NIH) National Institute of Diabetes Digestive and Kidney Diseases; "Prorenin and Diabetes"; \$1,865,000. Yufeng Huang, Principal Investigator.
56. University of Utah – National Institutes of Health; "Cardiac Transcription Pathway"; \$1,863,750. Luca Brunelli, Principal Investigator.
57. University of Utah – (NIH) National Institute of Diabetes Digestive and Kidney Diseases; "Lipid Mediators"; \$1,839,000. Tianxin Yang, Principal Investigator.
58. University of Utah – US Department of Veterans Affairs; "GCDPS"; \$1,705,000. Charles L. Saltzman, Principal Investigator.
59. University of Utah – (NIH) National Heart Lung and Blood Institute; "Peripheral MR Angiography"; \$1,351,373. Dennis L. Parker, Principal Investigator.
60. University of Utah – National Institutes of Health; "Regulation of Glycolysis"; \$1,307,430. Carl Sennrich Thummel, Principal Investigator.

61. University of Utah – (NIH) National Library of Medicine; “Information Visualization”; \$1,267,500. Marta Heilbrun, Principal Investigator.
62. University of Utah – (NIH) National Heart Lung and Blood Institute; “AF and BP Regulation”; \$1,250,000. Mohamed Hussein Hamdan, Principal Investigator.
63. University of Utah – (NIH) National Institute of Diabetes Digestive and Kidney Diseases; “Vascular Wall Matrix in HRM”; \$1,139,495. Yan-Ting Shiu, Principal Investigator.
64. University of Utah – US Department of Defense; “PRMRP-2011-Complement Seizures”; \$1,120,000. Robert S. Fujinami, Principal Investigator.
65. University of Utah – National Institutes of Health; “LYR Proteins”; \$1,120,000. Dennis R. Winge, Principal Investigator.
66. University of Utah – (NIH) National Institute of Arthritis and Musculoskeletal and Skin Diseases; “Dystrophinopathy Modifiers”; \$1,091,126. Robert B. Weiss, Principal Investigator.
67. University of Utah – (NIH) National Cancer Institute “MYC mRNA Protein Synth Inhibit”; \$1,006,425. Bret S. E. Heale, Principal Investigator.
68. University of Utah – (NIH) National Institute of Child Health & Human Development. “R01 Spinal Muscular Atrophy”; \$1,000,000. Kathryn J. Swoboda, Principal Investigator.
69. University of Utah – (NIH) National Institute Biomedical Imaging & Bioengineering; “Angiogenic Inhibitors”; \$1,865,000. Hamidreza S. Ghandehari, Principal Investigator.
70. University of Utah – US Department of Energy; “Molecular Interations - Carbon”; \$1,493,875. Marc D. Porter, Principal Investigator.
71. University of Utah – National Institutes of Health; “Connective Tissues”; \$1,196,000. Jeffery Weiss, Principal Investigator.
72. University of Utah – (NIH) Institute of Deafness & Other Communications Disorders; “Oral Pressure Measurement”; \$2,756,759. Ingo R. Titze, Phd, Principal Investigator.
73. University of Utah – (NIH) Institute of Deafness & Other Communications Disorders; “Gender Differences and Speech”; \$2,467,598. Eric James Hunter, Principal Investigator.
74. University of Utah – (NIH) National Institute of Neurological Disorders and Stroke; “Calcium Signaling in Epilepsy”; \$2,113,152. Karen S. Wilcox, Principal Investigator.

75. University of Utah – (NIH) National Institute of Child Health & Human Development; "Williams Syndrome PPG PROJ. 1"; \$1,585,024. Julie R. Korenberg, Principal Investigator.
76. University of Utah – (NIH) National Institute of Mental Health; "Sequencing Autism Pedigrees"; \$1,492,000. Hilary H. Coon, Principal Investigator.
77. University of Utah – National Institutes of Health; "Creatine for MDD"; \$1,264,401. Perry Franklin Renshaw, Principal Investigator.
78. University of Utah – US Department of Energy; "Geotherm Well Select Guideline"; \$4,938,752. John David McLennan, Principal Investigator.
79. University of Utah – Defense Advanced Research Projects Agency; "Cloud Chambers" \$3,217,685. Robert Preston Riekenberg Ricci, Principal Investigator.
80. University of Utah – Office of Naval Research; "Improvised Explosive Detection"; \$1,409,201. Swomitra Mohanty, Principal Investigator.
81. University of Utah – National Institutes of Health; "Adaptive Feedback Control"; \$1,121,250. V. Mathews, Principal Investigator.
82. University of Utah – Advanced Research Projects Agency – Energy; "Thermal Battery" \$1,717,688. Zhigang Fang, Principal Investigator.
83. University of Utah – US Department of Energy; "RAE-Earth Free Magnetic Alloys"; \$1,298,539. "Sivaraman Guruswamy, Principal Investigator.
84. University of Utah – (NIH) National Cancer Institute; "Cleaning Dirty Tumor Margins"; \$1,865,000. Darin Furgeson, Principal Investigator.
85. University of Utah – National Science Foundation; "RTG"; \$4,978,100. James Keener, Principal Investigator.
86. University of Utah – National Science Foundation; "MCTP"; \$2,499,004. Frederick R. Adler, Principal Investigator.
87. University of Utah – National Science Foundation; "Career: Avian Genetics", \$1,989,102. Michael D. Shapiro, Principal Investigator.
88. University of Utah – National Institutes of Health; "PD-Catalyzed Reactions"; \$1,864,063. Matthew Sigman, Principal Investigator

89. University of Utah – National Institutes of Health; "Service Delivery Project"; \$2,110,412. Norma J. Harris, Principal Investigator.
90. University of Utah – National Institutes of Health; "Retinal Remodeling" \$2,900,493. Robert E. Marc, Principal Investigator.
91. University of Utah – National Institutes of Health; "Ear Morphogenesis (A1)"; \$2,863,531. Suzanne L. Mansour, Principal Investigator.
92. University of Utah – National Institutes of Health; "DBTG"; \$2,679,252. H. Joseph Yost, Principal Investigator.
93. University of Utah – National Institutes of Health; "Ocular Inflammation"; \$2,042,712. Ivana De Domenico, Principal Investigator.
94. University of Utah – National Institutes of Health; "NRF2 Deficiency". \$1,929,796. Rajasekara N. Namakkal Soorappan, Principal Investigator.
95. University of Utah – National Institutes of Health; "Endothelial Transmigration"; \$1,865,000. Mary Elizabeth Ruth Hartnett, Principal Investigator.
96. University of Utah – (NIH) National Eye Institute; "Photoreceptor Ciliopathies"; \$1,865,000. Wolfgang Baehr, Principal Investigator.
97. University of Utah – (NIH) National Institute of Mental Health; "Opioids and Reward"; \$1,865,000. Sharif A. Taha, Principal Investigator.
98. University of Utah – Health Resources & Services Administration; "Residency Training Prim Care"; \$1,199,995. Sonja N. Van Hala, Principal Investigator.
99. University of Utah – (NIH) National Center Complementary & Alternative Medicine; "Protect Patient Safety"; \$1,118,750. Qing Treitler Zeng, Principal Investigator.
100. University of Utah – US Department of Defense; "Biomaterial-Based Bone Graft"; \$1,053,028. Roy D. Bloebaum, Principal Investigator.
101. University of Utah – NASA Johnson Space Center; "Spacecraft Crew Health"; \$1,800,000. Marc D. Porter, Principal Investigator.

C. Awards

1. Utah State University – Navel Research Lab; “Advanced Ground, Air, Systems Integration (AGASSI) Task Order 5”; \$1,500,000. Darin Partridge, Principal Investigator.
2. Utah State University – Utah Department of Health; “Up to 3 Early Intervention”; \$1,118,400. Susan Olsen, Principal Investigator; Marla Nef, Co-Investigator.
3. Utah State University – Department of Education; “To Operate a Regional Resource Center Region No. 5”; \$1,300,000. John Copenhaver, Principal Investigator.
4. Utah State University – Utah Department of Workforce Services; “Child Care Professional Development Institute (CCPDI)”; \$1,100,000. Ann Austin, Principal Investigator.
5. Utah State University – Government of the Dominican Republic; “Agreement for Technical Cooperation between the Government”; \$4,401,263. Mary Hubbard, Principal Investigator; Shelly Colleen Hernandez, Co-Investigator.
6. University of Utah – Salt Lake County, Utah; “Sustainable Communities”; \$1,521,500. Arthur C. Nelson, Principal Investigator.
7. University of Utah – (NIH) National Cancer Institute; “Enhancing End-of-Life”; \$1,585,957. B. Kathleen Mooney, Principal Investigator.
8. University of Utah – (NIH) National Center for Research; “University of Utah CTSA”; \$3,843,631. Donald McClain, Principal Investigator.
9. University of Utah – (NIH) National Heart Lung & Blood Institute; “SPRINT”; \$2,305,357. Alfred K. Cheung, Principal Investigator.
10. University of Utah – Health Resources & Services Administration; “NEDARC”; \$1,210,000. Lenora Mary Olson, Principal Investigator.
11. University of Utah – (NIH) National Institute of Child Health & Human Development; “NCS Vanguard Center”; \$4,392,817. Edward B. Clark, Principal Investigator.

D. Academic Items Received and Approved

1. New Programs

- a. University of Utah – Certificate of Proficiency in Book Arts
- b. Weber State University
 - i. Certificate of Proficiency in Professional and Technical Writing
 - ii. Graduate Certificate in Contract Management in Business

2. New Emphases

- a. University of Utah – Emphases in Doctor of Nursing Practice
 - i. Acute Care Nurse Practitioner
 - ii. Adult/Gerontology Nurse Practitioner
 - iii. Family Nurse Practitioner
 - iv. Neonatal Nurse Practitioner
 - v. Nurse Midwifery
 - vi. Nurse Midwifery and Women's Health Nurse Practitioner
 - vii. Pediatric Nurse Practitioner
 - viii. Public Health Nursing
 - ix. Women's Health Nursing
- b. University of Utah – Emphases in MS Nursing
 - i. Clinical Nurse Leader
 - ii. Nursing Informatics
 - iii. Psychiatric Mental Health Nurse Practitioner
 - iv. Teaching Nursing
- c. University of Utah – Emphasis in Bachelor of Art/Bachelor of Science in Mathematics
 - i. Mathematics of Computation
 - ii. Statistics
- d. University of Utah – Emphasis in Musical Theatre in Bachelor of Fine Art
- e. Utah State University – Emphasis in Harp in Bachelor of Music
- f. Utah State University – Emphasis in Health Science in Bachelor of Science Health Education and Promotion
- g. Dixie State College – Emphasis in History in Integrated Studies
- h. Dixie State College – Emphasis in Management Information System in Bachelor of Science in Business Administration
- i. Dixie State College – Emphasis in Military Science in Integrated Studies
- j. Dixie State College – Emphasis in Theatre Education in Bachelor of Art/Bachelor of Science in Theatre

3. New Units

Snow College – Mormon Pioneer Heritage Institute

4. 7 Year Reviews

- a. University of Utah
 - i. Behavioral Science and Health
 - ii. College of Social Work

- iii. Department of Geography
 - iv. Department of History
 - v. Department of Mining and Engineering
 - vi. Environmental Studies
 - b. Utah Valley University – Community and Continuing Education
5. Program Restructure:
Southern Utah University – Bachelor of Art/Bachelor of Science in Hotel, Resort, and Hospitality Management (*Correction: Listed as a discontinuation on the July 15, 2011 Board of Regents General Consent Calendar*)

William A. Sederburg, Commissioner

WAS/KLS
Attachment

STATE BOARD OF REGENTS MEETING
UTAH STATE UNIVERSITY, OGDEN, UTAH
JULY 15, 2011

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STATE BOARD OF REGENTS
UTAH STATE UNIVERSITY, LOGEN UTAH
TAGGART STUDENT CENTER
JULY 15, 2011

COMMITTEE OF THE WHOLE
MINUTES

Regents Present

David J. Jordan, Chair
Bonnie Jean Beesley, Vice Chair
Brent L. Brown
Keith M. Buswell
Daniel W. Campbell
James T. Evans
Katharine B. Garff
Meghan Holbrook
Nolan E. Karras
Robert S. Marquardt
Carol Murphy
Jed H. Pitcher
David E. Smith
Mark R. Stoddard
Teresa L. Theurer
John H. Zenger

Regents Excused

Jerry C. Atkin
France A. Davis
Marlon O. Snow

Office of the Commissioner

William A. Sederburg, Commissioner
Elizabeth Hitch, Associate Commissioner for Academic Affairs
Cameron Martin, Associate Commissioner for Economic Development and Planning
Gregory L. Stauffer, Associate Commissioner for Finance and Facilities
David Feitz, Associate Commissioner and Executive Director, UHEAA
Holly Braithwaite, Director of Communications
Gary S. Wixom, Assistant Commissioner for Academic Affairs
Phyllis C. Safman, Assistant Commissioner for Academic Affairs
Melissa Miller Kincart, Assistant Commissioner for Outreach and Access
Blair K. Carruth, Assistant Commissioner for Academic Affairs
Carson Howell, Utah Data Alliance Policy Research Manager
Andrew J. Stone, Special Assistant to the Commissioner

Jeff Aird, UCAP Program Manager

Institutional Representatives

Dixie State College, President Stephen D. Naduald
Salt Lake Community College, Cynthia A. Bioteau
Snow College, Scott L. Wyatt
Southern Utah University, Provost Bradley J. Cook
Weber State University, Norman C. Tarbox, Vice President for Administrative Services
Utah State University, Stan L. Albrecht
Utah Valley University, President Matthew S. Holland, Utah Valley University
University of Utah, David W. Pershing, Senior Vice President for Academic Affairs

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

The Regents began the day with the Utah State University Board of Trustees for breakfast. Chair Jordan called the Regents to order in the Committee of the Whole at 9:17 a.m.

Commissioner's Report

See attached for Commissioner's report covering Utah's National Standing on Efficiency and Technical Education in Utah.

Presidents' Reports

President Cynthia A. Bioteau

President Bioteau reported that Salt Lake Community College's (SLCC) CTE component is important including a great commitment to credit bearing CTE courses as well as job training. President Bioteau also reported that this September SLCC will be one of 12 community colleges selected nationally, by the American Association of Colleges and Universities, to participate in a three year roadmap to success program. Starting this September SLCC will select 600 incoming students who will take self paced developmental math program, paired with a Learning Enhancement Study course, and who will also be engaged in an e-portfolio where students will post key pieces of their learning throughout their education.

Vice President Norm Tarbox

Vice President Tarbox reported that with the help of the Commissioner's Office, Weber State University (WSU) has been going through the peer selection process. The closest peer to WSU is Utah Valley University, but beyond that there are very few universities across the country that embrace career and technical education, associate degree, bachelorette degree and cadre of professional masters degrees. In addition, as a result of the budget cuts, WSU has had to shed 10% of its workforce, of that percentage two-thirds of that was on the administrative side and one-third was on the teaching side. WSU has done its very best to preserve and expand its teaching capacity during difficult times.

Senior Vice President David Pershing

Senior Vice President David Pershing reported that they were excited to host the Pac 12 Day at the capitol on July 1st. While much of the press has been about the athletics side, but some there are some exciting collaborations on the academic side including academic programs and libraries. This is a complete win for the university. Senior Vice President for Health Sciences Vivian Lee is now in place and will be a wonderful addition to the university.

Enrollments are continuing to grow and the number of applications is up for fall. Finally, the University of Utah is in the middle of the search for the next president.

President Stephen D. Nadauld

President Nadauld reported that Summer Term enrollment is up double digits and projections suggest that Fall enrollment will see a 9-10% increase. The Holland building is nearing the one-third point and is on budget and schedule for completion in May 2011. The 2nd annual Documentary Utah Film Festival is receiving submissions from around the world and almost every state in the US, instantly making it a noted film festival. This year a feature film highlights the life of Wayne Newton, who will be coming to perform at Tuachan as part of the festival. The co-anchor of the student television station at Dixie was just names Miss Nevada. Finally, a new coach for the women's golf as joined Dixie State College to start a new women's golf team which is aligned with their goal of expanding their athletic conference.

President Matthew S. Holland

President Holland reported that they were pleased to sign an agreement with Qinghai Normal University, a sister institution in China, as part of Governor Herbert's China Trade Mission. Steve Roy, from USTAR, will be the new Associate Vice President for Economic Development which is great timing as the new Business Resource Center is set to open soon. Summer Bridge Conference was successful as they expand the program targeting underserved students. Finally, a unique thing Utah Valley University (UVU) is doing to meld great university education and career and technical education is to continue work on a white paper that will address a dozen key initiatives including the admissions policy to keep UVU open and accessible while moving forward their academic mission.

Provost Bradley J. Cook

Provost Brad Cook reported that on July 1st Rosanita Cespedes started at Southern Utah University (SUU) as the new Director of Hispanic Center of Academic Excellence. This year marks the 50th anniversary of Utah Shakespeare Festival. SUU has partnered with China's Hubei Opera to celebrate the live of Helen Foster Snow born in Cedar City with their performance of *The Dream of Helen*. SUU's golf champion, Jeff Evans, won the 113th annual State Amateur. Finally, the new science facility is set to open.

President Stan L. Albrecht

President Albrecht reported that a new agriculture building was under construction and Utah State University will be building a new business building. President Albrecht welcomed USU-CEU Chancellor Joe Peterson.

Chair Jordan deferred the Resolutions on the agenda to the afternoon Committee of the Whole.

President Scott L. Wyatt

President Wyatt reported that the UCAP project has been the most exciting thing in the last several years for Snow College. The summer has been transformative including a new dorm under construction and the Juilliard Summer Workshops with students from all over the world and country on campus.

Chair Jordan dismissed the Regents at **10:05 a.m.** for meeting of the Board Committees from 10:15 to 11:30 followed by a Closed Regents Executive Session Lunch from 11:45 a.m. to 1:30 p.m.

Chair Jordan called the Board of Regents Committee of the Whole back to session at **1:35 p.m.**

Chair Jordan invited President Albrecht to introduce Mark R. McLellan, the new Vice President for Research and Dean of the School of Graduate Studies. President Albrecht explained that the decision was made to combine the Vice President for Research position with the Dean of Graduate Studies position into one. Vice President McLellan comes most recently from the University of Florida in Gainesville where he was Dean of Research.

Chair Jordan turned the floor over to Regent Smith who invited all to attend the Regents to the Utah Student Association Golf Tournament on August 15. The Utah Student Association is a group of Utah Student Body Presidents who advocate for higher education.

Chair Jordan turned the floor over to Regent Karras, Chair of the Finance Committee for his report.

Reports of Board Chairs

Finance/Facilities Committee

Utah State University – Campus Master Plan (Tab A).

Utah State University, in compliance with Regents policy, has requested approval of their updated Campus Master Plan, which was last reviewed and approved by the Regents in August of 2009. **It was moved by Regent Karras and seconded by Regent Brown, to approve the updated Utah State University Campus Master Plan as indicated in Tab A. The motion carried.**

Utah State University – Ground Lease, Brigham City Campus (Tab B).

Utah State University (USU) has requested authority, under Regents' Policy R712 – Non-traditional Arrangements for Development of Campus Facilities to enter into a Public/Private Partnership through a ground lease for the development of commercial property on the future Brigham City campus site. After thorough discussion and cautioning on the part of several Regents, the Finance Committee recommends approval. **It was moved by Regent Karras and seconded by Regent Marquardt to approve USU's request as outlined in Tab B. The motion carried.**

Utah State University – Main Campus Ground Lease For Student Housing Development (Tab C).

Utah State University has requested authorization under R712, to enter into a Public/Private Partnership through a ground lease for the development of student housing and commercial property on the west side of 800 East as shown in Exhibit A. The proposed commercial space is designed to serve the needs of the campus in addition to "high end" housing that will alleviate housing needs. **It was moved by Regent Karras and seconded by Regent Pitcher to approve the ground lease as outlined in Tab C. The motion carried.**

Utah State University – Sale of Building on the Innovation Campus (Research Park) (Tab D).

Utah State University (USU) has requested authorization to sell the building located at 1780 Research Parkway on the Innovation Campus. USU plans to sell the building to Woodbury Corporation who will provide the needed renovations. Woodbury will then lease space to USU until the end of the ground lease in which USU will regain ownership. **It was moved by Regent Karras and seconded by Regent Holbrook to approve the building sale as indicated in Tab D. The Motion carried.**

Peer Institutions List – Utah State University (Tab E).

Utah State University is the seventh institution to have their peer list recently updated by the Commissioner's Office. Peer institutions are used for various financial and statistical comparisons and are necessary to update with the evolving nature of institutions. **It was moved by Regent Karras and seconded by Regent Pitcher to approve the Peer Institutions List as outlined in Tab E. The motion carried.**

Dixie State College – Married Student Housing (Tab F).

Dixie State College (DSC) has requested authorization to purchase an existing 16 unit apartment building to be used for married student housing. Additional housing is needed as DSC experiences rapid growth. **It was moved by Regent Karras and seconded by Regent Holbrook to approve the property purchase as outlined in Tab F. The motion carried.**

Southern Utah University – Revenue Bond Refinance (Series 2003 Student Housing) (Tab G).

Southern Utah University has requested authorization to refinance its Series 2003 Auxiliary System and Student Building fee Revenue and Refunding Bonds. Refinancing will give SUU substantial savings. **It was moved by Regent Karras and seconded by Regent Stoddard to approve the revenue bond refinance. Regent Holbrook excused herself from the vote. The motion passed.**

Salt Lake Community College – Airport Property Lease (Tab H).

Salt Lake Community College (SLCC) has requested approval to lease the entire building located at 2150 Dauntless Avenue in the One Airport Center for instructional use. SLCC has been using another leased space for this purpose; however the building is out of service causing SLCC to relocate the classes taught there. Regent Karras explained that they were receiving a competitive price on the lease. **It was moved by Regent Karras and seconded by Regent Marquardt to approve the lease as indicated in Tab H. The motion carried.**

Budget Work Programs (Tab I).

The Regents have been requested to approve the Work Program Revisions by approving the final Work Program Revision of FY 2011 and 2012. The term "Work Program" refers to the revenue and expenditure allotment schedules submitted to the State Division of Finance. They are the basis for disbursement of state appropriated funds to the institutions. **It was moved by Regent Karras and seconded by Regent Brown to approve the Consent Item Work Program Revisions as outlined in Tab I. The motion carried.**

Regent Karras asked that the Regents read the items under Information including One-Time Funding Initiatives (Tab J), Snow College Revenue Bond Sale Follow-up (Tab K), and UTA Contract Updates (Tab L).

Chair Jordan thanked Regent Karras at the conclusion of his Finance and Facilities Committee report and asked that Regent Zenger begin his report on the Programs and Planning Committee.

Programs/Planning Committee

Regents' Policy R461 Revision (Tab M).

Regents' Policy R461 (Admission, Access and Articulation) has undergone revisions to correct errors and reflect changes in the Utah System of Higher Education. The revisions have had the careful review and approval of the Chief Academic Officers. **It was moved by Regent Zenger and seconded Regent Garff to approve the updated Policy R461. The motion carried.**

Snow College – Mission Statement Revision (R312 Revision) (Tab N).

Regent Zenger explained that Snow College requests a revision to its mission statement as it appears in R312. President Wyatt explained that while the changes are minor it describes the innovative culture of Snow College. **It was moved by Regent Zenger and seconded by Regent Holbrook to approve the Mission Statement Revision for Snow College. The motion carried.**

University of Utah – Bachelor of Art / Bachelor of Science in Ethnic Studies (Tab O), Utah State University – Bachelor of Art in Global Communication (Tab P), Southern Utah University – Bachelor of Art / Bachelor of Science in General Studies (Tab Q), Southern Utah University – Minor in Women and Gender Studies (Tab R).

Regent Zenger explained that Tabs O, P, Q, R are all degree proposals or proposal for a minor. **After review by the PRC and by the Programs/Planning Committee, it was moved by Regent Zenger and seconded by Regent Garff to approve the three new bachelor degrees and one new minor. The motion carried.**

Salt Lake Community College – Associate of Applied Science in Mortuary Science (Tab S).

It was moved by Regent Zenger and seconded by Regent Campbell to approve the new Associate of Applied Science in Mortuary Science as outlined in Tab S. The motion carried.

New Emphases (Tab T)

Regent Zenger explained that Tab T contains proposals for areas of emphases in various degrees. In a prior meeting of the PRC they agreed that in the future it would be appropriate for the Commissioner's Office and PRC to review the proposals, but that they not be brought before the Board of Regents for formal approval. According to the Regents Bylaws it is necessary for the Regents to approve the emphases. Regent Zenger reminded the Regents that emphases are shown on students' transcripts and is helpful for students in starting new careers. **It was moved by Regent Zenger and seconded by Regent Smith to approve the new emphases as outlined in Tab T. Senior Vice President David Pershing explained that emphases on transcripts are of value in that it allows employers to see quickly what students have concentrated their work in. This is a trend seen nationally. The motion carried.**

Regent Zenger concluded his report of the Programs/Planning Committee.

Resolutions

Dr. Orville Darrell Carnahan Sr. Chair Jordan read a Resolution for Dr. Carnahan who served the Utah System of Higher Education during his career including as Associate Commissioner and President of both Southern Utah State College and Utah Technical College at Salt Lake. **Regent Zenger moved adoption of the resolution and was seconded by Regent Stoddard. The motion carried unanimously.** (See attached)

Jerry C. Atkin. Chair Jordan read a Resolution of Appreciation for Jerry C. Atkin who served as an esteemed member of the Utah State Board of Regents for over a decade and brought business savvy and economic analysis to the efforts of the Board. **Regent Holbrook moved adoption of the resolution and was seconded by Regent Campbell.** Regent Karras remarked that Jerry Atkin had a big impact on UHEAA and he will be missed. **The motion carried unanimously.**

Brent L. Brown. Chair Jordan informed the Regents that the Governor has asked Brent Brown to serve on the Governor's Office Economic Development Board. This is recognition on the Governor's part that Brent Brown's business acumen is needed. Chair Jordan read a Resolution of Appreciation for Brent L. Brown who served as an honored member of the Utah State Board of Regents since 2009 and brought a business perspective to passionately support education in Utah. **Regent Holbrook moved adoption of the resolution and was seconded by Regent Garff. The motion carried unanimously.** Regent Brown added that he has felt passionate about the value of education and that businesses are worth nothing unless they have educated people moving them forward.

Presidential Salary Adjustments (Tab U)

Chair Jordan announced this agenda item has been tabled until the next meeting in September. The Board of Regents did not take action on this item.

General Consent Calendar (Tab V)

On a motion by Regent Theurer and second by Regent Zenger, the following items were approved on the Regents' General Consent Calendar:

- A. Minutes – Minutes of the Regular Board Meeting held May 20 at Weber State University, Ogden, Utah
- B. Grant Proposals
- C. Awards
- D. Academic Items Received and Approved

Approval of Meeting Schedule (Tab W)

On a motion by Regent Stoddard and a second by Regent Holbrook, the meeting schedule of the Board of Regents for the academic year of 2011-2012 was approved. The schedule is as follows:

September 16, 2011, Dixie State College
November 18, 2011, Utah Valley University
January 20, 2012, University of Utah
March 30, 2012, Southern Utah University
May 18, 2012, Snow College

Snow College Mission Conversation

Chair Jordan introduced the Snow College Mission Conversation and explained that a proposal will be coming through the PRC to approve a four year Music degree at Snow College, specifically a Bachelor of Music in Commercial Music. This would be the first four year degree at Snow College. Chair Jordan gave some background to the discussion by explaining that when President Wyatt first brought the item forward, he had discussion with Utah State University, which has a unique mission for providing four year degrees in rural areas of the state, regarding if it would be possible for Utah State University to offer this degree on the campus of Snow College. Chair Jordan reminded the Regents that this was not an action item, but a discussion. He asked the Regents to think about the large question of what is the best for the system, does it make most sense to allow Snow College to offer this degree or for the Board to mandate that Utah State University offer this degree on the campus of Snow College.

Chair Jordan turned the floor over to President Wyatt who presented on Snow College's mission. President Wyatt reported that Snow College wants five things: to remain a community college, to help with the 2020 plan, to serve needs of community, to fulfill their mission of the college, and finally Snow College invites any university to offer programs on their campus as they want to expand opportunities.

President Wyatt continued that Snow College is a successful community college, as announced at the last Regents meeting, the Aspen Institute has found Snow College in the top 10% of the 1200 community colleges in country. Utah has a unique system of higher education; it is a blended state not a tier system. President Wyatt gave a history lesson of how the institutions evolved over the years showing the significant mission growth of each institution, in response to the system's need and growth. However, Snow College has not seen a mission change, albeit the third oldest institution in the system.

President Wyatt continued that Snow College does not want a mission change. R312 states that Comprehensive Community Colleges, such as Snow College, "generally include institutions where all degrees are at the associate's level, or where bachelor's degrees account for less than 10% of all undergraduate degrees". Community Colleges have nationally changed to reflect the needs of their communities by offering limited bachelor's degrees. President Wyatt also cited the 2020 plan which states that the Regents may consider expanding the number and type of degrees Snow College offers. Snow College is not asking for a mission change, but a mission fulfillment.

The only school in Utah that delivers a commercial degree in music is BYU. A Commercial Music degree is one where a student chooses from a performance, technician or song writing and composition track, it is a degree intended to prepare a person to go to work. As a community college, Snow College is prepared to offer CTE like training, training to prepare students for a job.

Last piece to President Wyatt's presentation was to discuss the economic situation of the area Snow College serves. However San Pete County has an interesting art community and estimates that one out of 20 make a living in the arts. A person can live in Ephraim and sell and perform all over the world, which is unique to the area. Snow can

help develop the commercial arts and help brand the county. Finally, Snow College wants to stay a community college and to fill their mission.

Chair Jordan reminded the Regents that the question at hand is not whether to approve or disapprove a 4 year degree at this time, but rather whether the Regents should ask Utah State University to offer it at Snow. He reminded the Regents that they changed the mission of Utah State University to provide four year degrees in rural areas of Utah.

Regent Brown reported that he and Regent Holbrook went to Snow College as part of a charge of the Regents to see for the campus and culture themselves. Regent Brown recommends the Snow College proposal be approved. Regent Holbrook concurred.

The Regents discussed several ways to think about the issue including, having other institutions submit proposals to bring the program to Snow's campus, looking at this issue through the lens of the 2020 plan, making exceptions for unique scenarios, analyzing costs, accounting for the culture of Ephraim, the use of existing Snow faculty, and accreditation.

Utah State University's Provost Ray Coward spoke to the state of the system in tough financial times. Provost Coward also spoke to delivering programs in rural Utah, they have been successful in delivering programs, however "the grease" for that has been HB 185 which provided funding for faculty.

Regent Zenger asked that when Snow College brings their proposal to the PRC to propose two to three alternatives, including cost structure and other aspects such as what other courses Snow would need to offer. Chair Jordan asked Regent Zenger to work with the PRC and OCHE staff to work through the issues.

Many Regents agreed that the unusual discussion was a good conversation to start thinking about this issue.

Chair Jordan reminded the Regents of the Retreat on September 15, 2011.

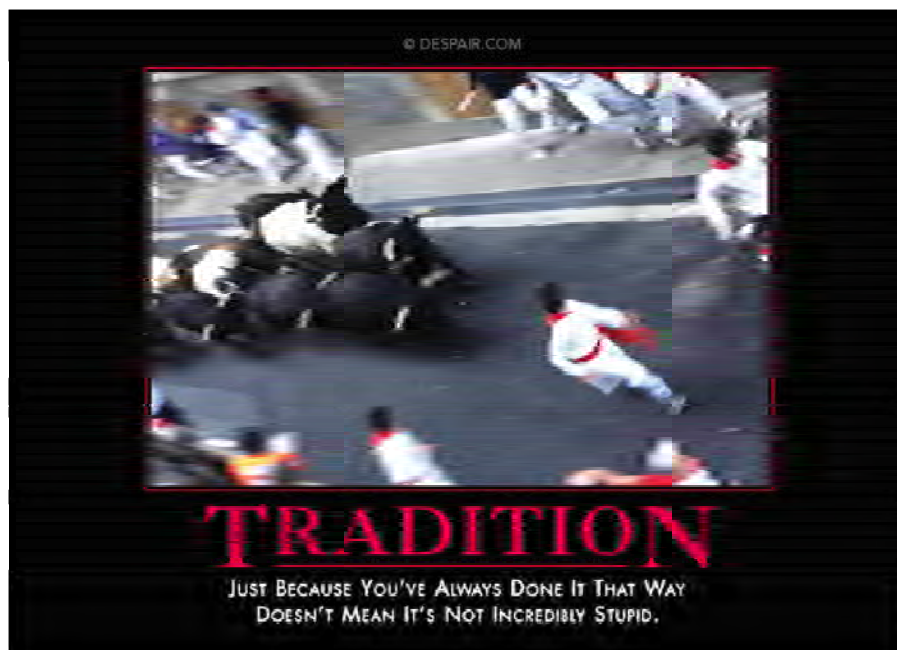
The Board of Regents Committee of the Whole adjourned at **3:15 pm**.

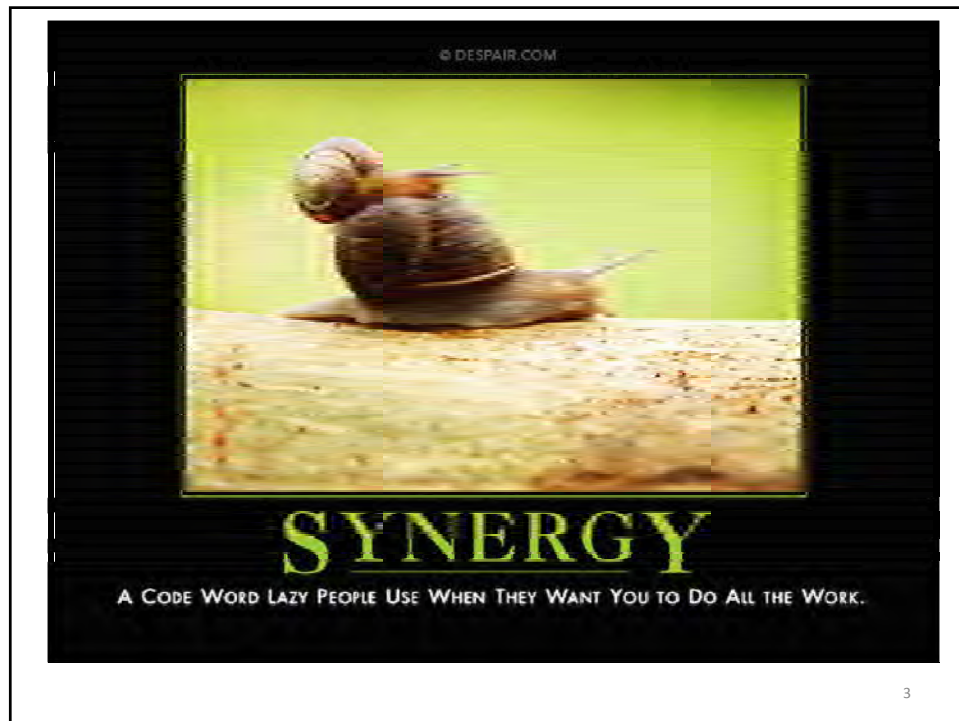
Commissioner's Report

State Board of Regents
Utah State University
July 15, 2011



Presented by:
William A. Sederburg





Quick Update

- Text book Policy
- Return on Investment Survey
- UCAP Life Sciences Initiative
- Presidential Search- University of Utah
 - presidentalsearch.utah.edu
- Salary Equity Study
 - Faculty & Staff



Upcoming Events

- August 15th
 - Utah Student Association Golf Tournament
8-1 at Riverside Country Club- Provo, UT
- August 17th
 - Higher Education Appropriations
9-1 at the Mountainland Applied Technology College
Thanksgiving Point Campus
- August 26th
 - Roles & Authorities Meeting
10-2 at the Commissioners Office
- September 15th-16th
 - Regents Retreat
 - Board of Regents Meeting
Dixie State College



New Regent

- Thomas D. Leavitt
 - Dixie State College
 - Communications
 - Wedding
 - July 15, 2011

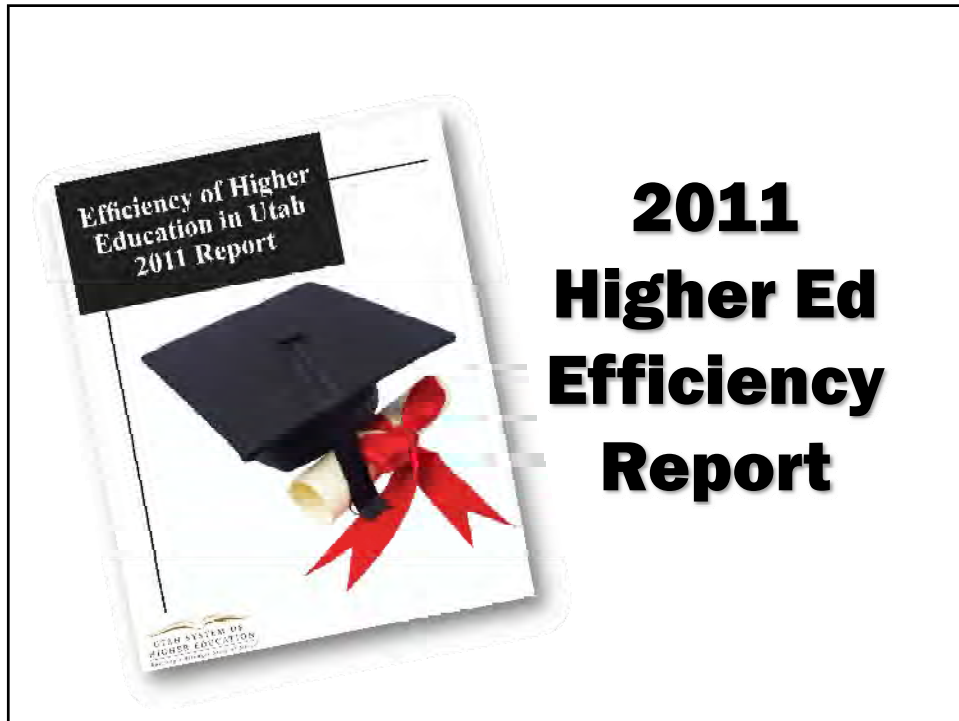


U of U- Chief Information Officer

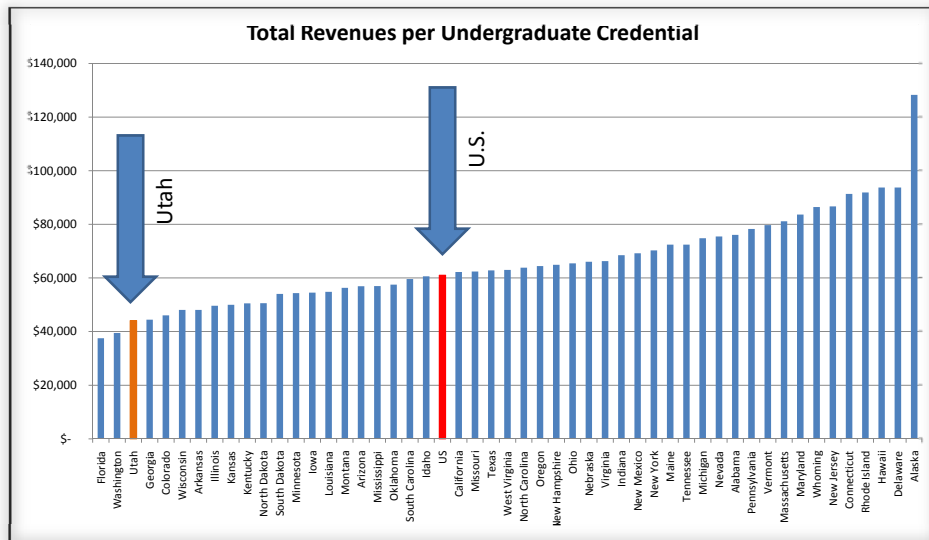


Eric Denna

Assistant Commissioner & CIO
Former CIO- BYU & LDS Church

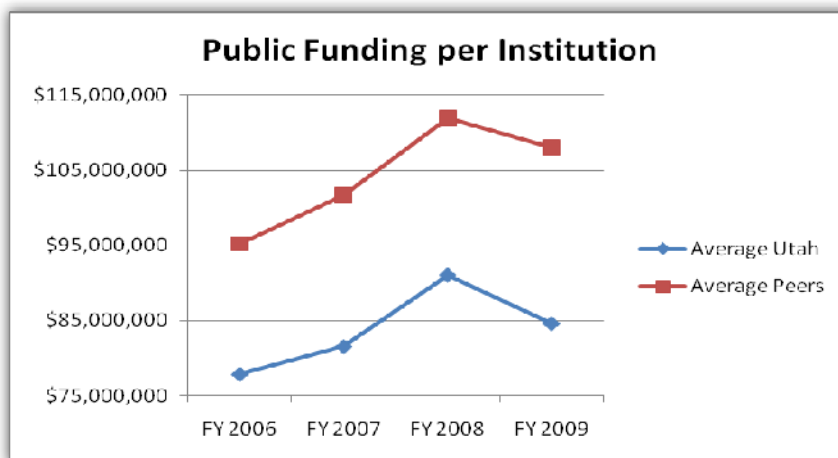


State Comparison



11

Efficiency in Utah Higher Education



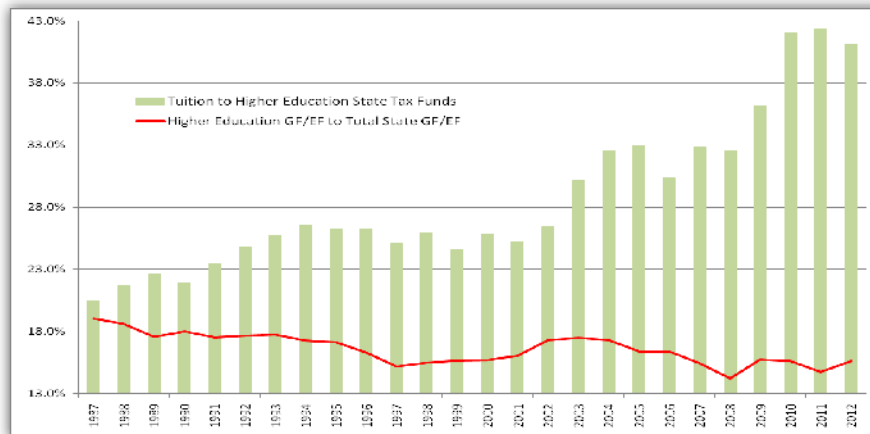
State and Local Funding

- Hypothetical institution

- Single average

12

Efficiency in Utah Higher Education



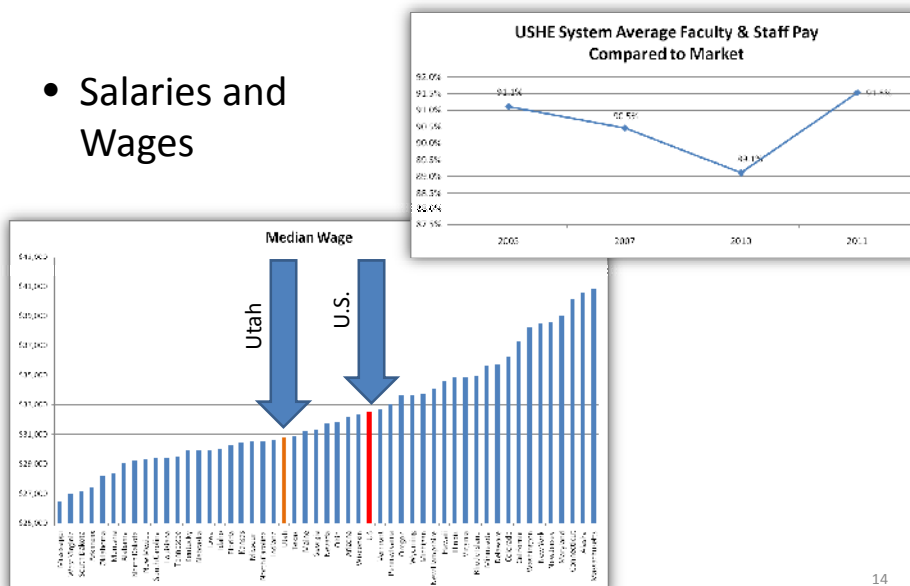
- Funding Trends
 - Greater tuition

- Less GF/EF

13

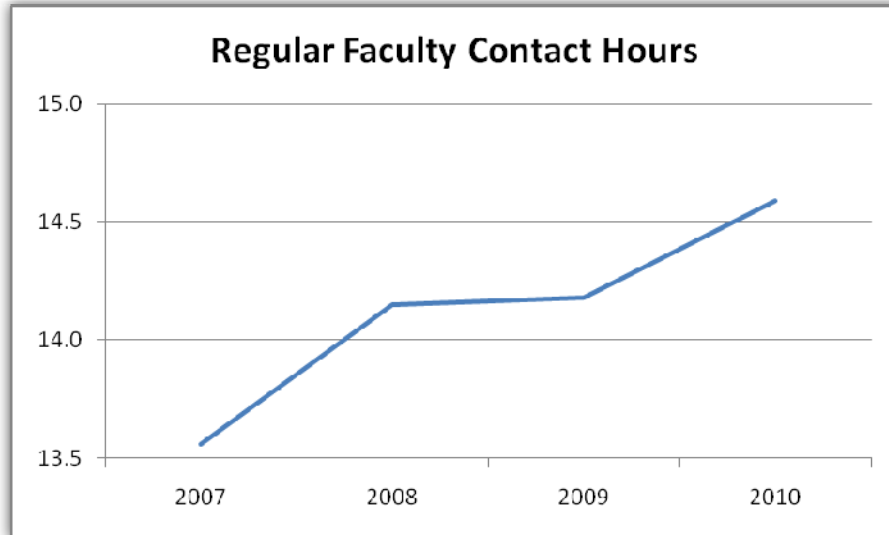
Efficiency in Utah Higher Education

- Salaries and Wages



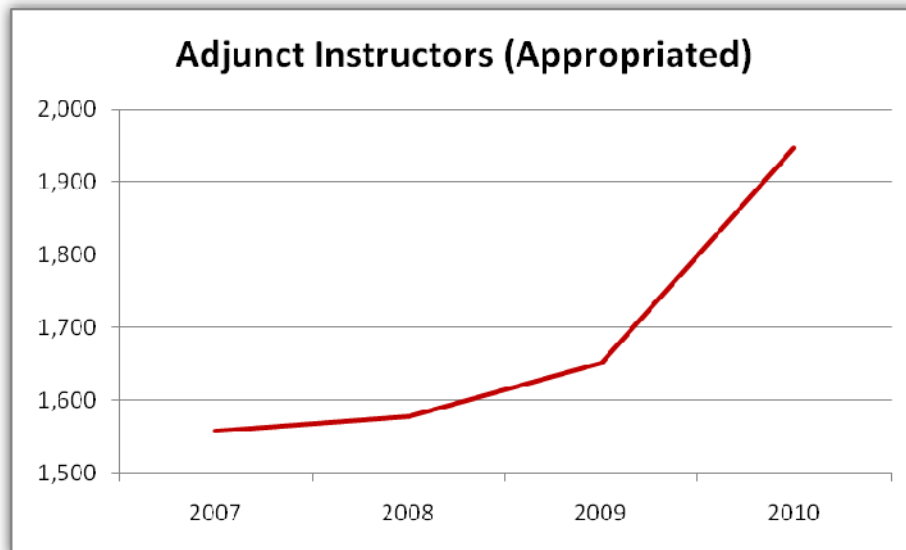
14

Efficiency in Utah Higher Education



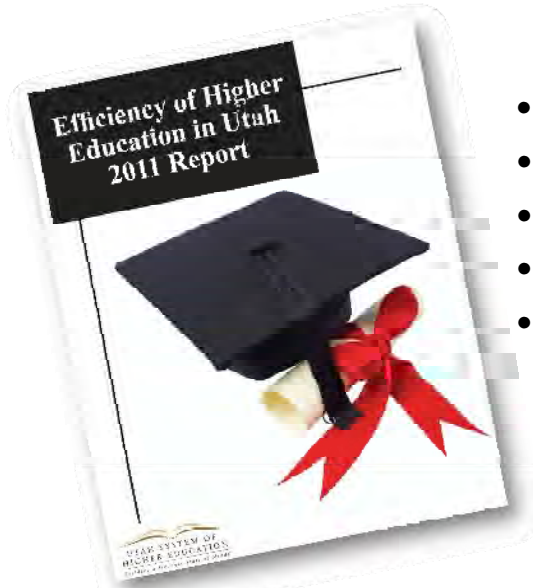
15

Efficiency in Utah Higher Education



16

Why Are We So Efficient?



- Transferability of Credits
- Classroom Efficiencies
- Concurrent Enrollment
- Technology and Library
- Low Salaries

17

Transferability of Credits

- Average Utah student attends 1.8 colleges or universities before completing a degree
- Seamless transfer from two- to four-year programs
 - Students transfer between state institutions without taking the same class twice
 - Common course numbering
 - Standardized learning outcomes



Classroom Efficiencies

- Institutional flexibility for campus presidents
- Hiring of adjunct professors
- Full-time faculty do more
 - Increased contact hours
 - More sections with larger class sizes
- Maximize classroom utilization



Concurrent Enrollment

- In 2009, nearly 30,000 students took at least one concurrent enrollment course
- Associate's degree requirements before high school graduation



20

Technology and Library Services

- Higher Education Technology Initiative (HETI)
 - Security audits, coordinates infrastructure, provides system-wide backup and recovery
 - Saved over \$1 million last year
- Utah Academic Library Consortium
 - Pools Utah and Nevada resources to purchase licenses for online journals



Technology and Library Services

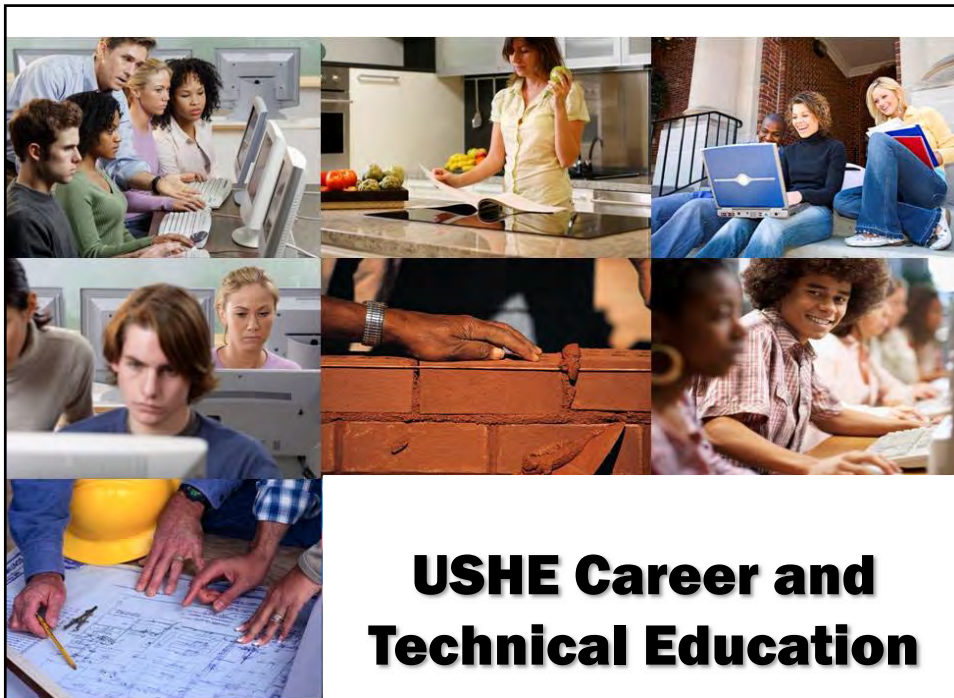
- Utah Education Network (UEN)
 - Provides technological “backbone” for online courses
 - UEN manages all system network, distance learning and software applications
 - In 2010, Utah students accessed UEN’s system more than 20.6 million times



22

Salary Levels

- 91.5% of National Average
- Three Years of Salary Freeze
- Currently Under Review & Analysis



**USHE Career and
Technical Education**

Membership Hours

	USHE	UCAT
Membership Hour Equivalent		
Actual Membership Hours	1,242,194	4,742,795
Actual STIT/Custom Fit Hours	61,001	271,020
+ Credit Hours * 30	11,073,630	-
Total Membership Hour Equivalent	12,376,825	5,013,815

25

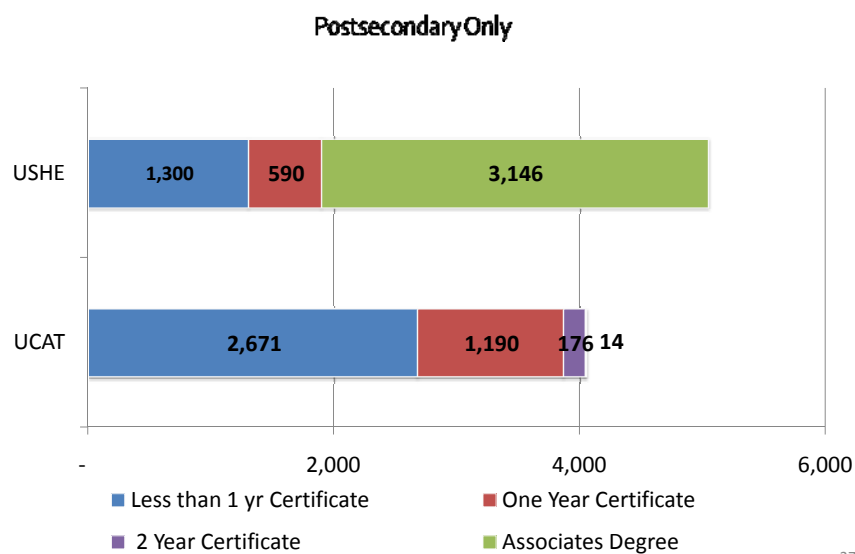
USHE Institutions

- USHE offers more than 350 different CTE programs of study-

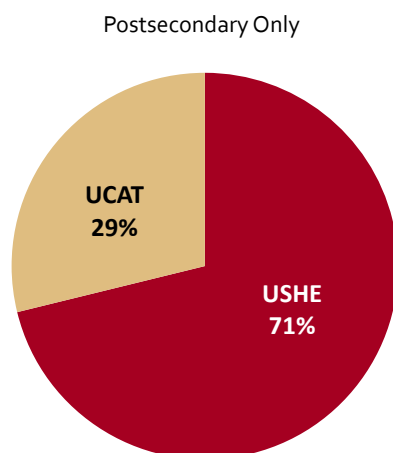
- USU (CEU): 42
- Snow: 33
- Weber: 34
- SUU: 17
- Dixie: 20
- UVU: 60
- SLCC: 162



CTE Certificates & Degrees Awarded



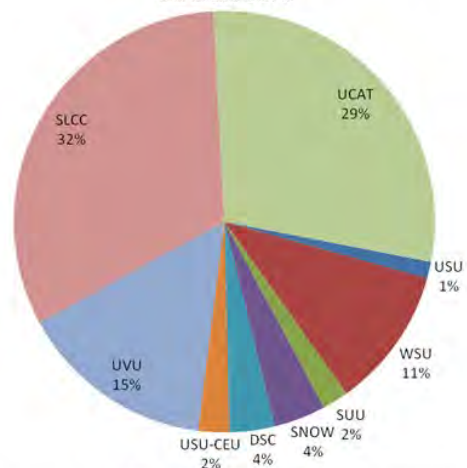
Full-time Equivalent Enrollments



USHE database & 2009-2010 UCAT Annual Report

CTE Full-Time Equivalencies

Career and Technical Education Full-Time Equivalencies
Based on Perkins, STIT and Custom Fit Data from 2009-10
USHE and UCAT



1 Full Time Equivalent (FTE) = 30 credit hours OR 900 membership hours

29

Top Five USHE CTE programs '09-'10

1. Health Professions
2. Business, Management, Marketing
3. Engineering Technologies
4. Homeland Security, Law Enforcement, Firefighting
5. Personal and Culinary Services



Source: IPEDS 2010 completion Survey

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Update from the Presidents



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Highlights for Today

- Program Approvals
- Utah State University Campus Master Plan
- Snow College Conversation





UTAH SYSTEM OF
HIGHER EDUCATION

Building a Stronger State of Minds

September 7, 2011

MEMORANDUM

TO: State Board of Regents
FROM: William A. Sederburg
SUBJECT: 2012-2013 USHE Budget Request

Issue

State statute requires the State Board of Regents (SBR) to "recommend a combined appropriation for the operating budgets of higher education institutions for inclusion in a state appropriations act" with the *dual objective* of "considering higher education needs" yet also "consistent with the financial ability of the state" (UCA 53B-7-101(1,4bi)). Recently, with the passage of Higher Education Mission Based Funding (SB97), State statute now also requires the State Board of Regents to include Employee Compensation, Mandatory Costs, Mission Based Funding, State Wide and Institutional Priorities and Unfunded Historic Growth in the combined budget request (UCA 53B-7-101(1bi-v)). The new legislation also directs the SBR to "recommend to the Legislature ways to address funding any inequities for institutions as compared to institutions with similar missions" (UCA 53B-7-101(2f)).

The timing of addressing unfunded historic growth and institutional funding inequities in this year's budget request cycle has been challenging. For example, to aid in addressing these issues, the Utah System of Higher Education (USHE) contracted with the National Center for Higher Education Management Systems (NCHEMS) to conduct a study. Although preliminary drafts of the study were made available for Regents and Institutional Presidents to discuss, review and provide feedback, the final study, as per the contractual agreement, is not due to the Regents until September 16, 2011.

In formulating a FY 2013 USHE Operating Budget recommendation for approval by the Board of Regents, we have consulted with the Council of Presidents, held a Regent work meeting and provided information from these discussions to the Business Affairs Council and Budget Officers for review.

The attached budget recommendation focuses on following major priorities: Compensation, Mission Based Performance Funding, Excellence and Efficiency in Education, Operational Imperatives and USHE Programs. Additionally, the request seeks one-time funds to support higher education initiatives and supplemental appropriations to fund Operations and Maintenance.

In that discussions concerning this request and the funding equity study are still progressing as the Regent Meeting agenda is being finalized, the attached Budget Request Summary should be considered a draft. As further updates will undoubtedly occur, the final request will be provided to Regents at the upcoming board meeting.

In support of the 2012-2013 USHE Budget Request, the Commissioner and his staff have prepared the following attachment.

- Draft Operating Budget Request Summary for FY2012-2013.

Commissioner's Recommendation

The Commissioner recommends approval of the FY 2013 budget recommendation.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/PCM
Attachment

Operating Budget Request Summary (Tax Funds Only)

FY 2012-13 and FY 2011-12 Supplemental

ESTIMATED FY 2011-12 STATE TAX FUNDS ADJUSTED BASE BUDGET

\$ 661,290,000

USHE BUDGET PRIORITIES (On-Going Increase)

\$50,399,000 plus Base Compensation

		Base Compensation
1. Compensation		
A. Base Compensation Package*	TBD	
B. Merit and Retention		5,000,000
2. Mission Based Performance Funding		31,800,000
A. Enrollment Growth (60% of Prior Year's Growth - Total Need \$17,000,000) Future Emphasis on Completed Courses	10,000,000	
B. Distinctive Mission**	10,000,000	
1. Participation Initiatives		
2. Completion Initiatives		
3. Economic Development Initiatives		
C. Equity	6,000,000	
D. Historic Unfunded Enrollment Growth (10% of 7 Years Growth - Total Additional \$58,000,000)	5,800,000	
3. Excellence and Efficiency In Education		5,800,000
A. Technology Intensive Courses	500,000	
B. Utah Jobs	1,550,000	
C. Efficiency in Higher Education		
1. Higher Education Technology Initiative (HETI)	2,000,000	
2. Utah Academic Library Consortium (UALC)	750,000	
3. USHE Collaborative Programs	1,000,000	
4. Operational Imperatives - O & M for Non-State Funded Projects		2,849,000
5. USHE Programs		4,950,000
A. Regents' Scholarship	1,700,000	
B. Success Stipends (Need Based Financial Aid - Formerly UCOPE)	3,000,000	
C. Career & Technical Education (Partner With UCAT)	TBD	
D. Utah Engineering and Computer Science Scholarship Program	250,000	

*Equitable Compensation Package, benefits & salaries, with State and Public Education Employees

**Categorical Allocation: 1/3 each to Participation, Completion & Economic Development. Participation institutional distribution based on budget related FTE. Completion & Economic Development institutional distribution based on institutional tax funds to total tax funds.

ONE-TIME INCREASES

\$8,050,000

1. Higher Education Technology Initiative (HETI)	2,000,000	\$8,050,000
2. Utah Academic Library Consortium (UALC)	1,000,000	
3. Excellence and Efficiency In Education (Technology Intensive Courses \$2,500,000, Utah Jobs \$1,550,000 & USHE Collaborative Programs \$1,000,000)	5,050,000	

SUPPLEMENTAL INCREASES

\$2,739,700

1. O&M Requests for Non-State Funded Projects	\$2,739,700
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REQUEST SUMMARY

USHE Budget Priorities	\$50,399,000 plus Base Compensation
USHE Priorities Request Percent Increase	7.6%
One-time Increases	\$8,050,000
Supplemental Increases	\$2,739,700

USHE Strongly Supports

1. Utah Science Technology and Research (USTAR)	\$10,000,000
2. Utah Business and Education Support Trust (UBEST)	\$300,000
3. Utah Futures.org Implementation	\$3,500,000
4. Utah Data Alliance (UDA)	\$500,000
5. Utah Education Network (UEN)	TBD

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE – Institutional State Funded Capital Development Projects for 2012-13

Background

Consistent with statutory mandate, which assigns to the Regents the responsibility of conducting continuing studies and evaluations of the facilities, grounds, and buildings at the public higher education institutions of the state, the Regents review those needs each year for the purpose of assigning priorities to the most pressing and critical project requests prior to their submission to the Office of the Governor, DFCM and the State Building Board, and the Legislature for approval and funding consideration.

Funding for higher education projects has been significant in recent years, especially in the context of the declining economic climate of the state and the nation. There are seven institutions that have one or more state funded projects that are currently under construction, funded for construction, or recently completed as follows:

- University of Utah – USTAR Neuroscience & Biomedical Technology Research Building, Utah Museum of Natural History, David Eccles School of Business, & North Chiller Plant
- Utah State University –Agriculture Science Classroom Building & Business Building Expansion
- Weber State University – Davis Campus Classroom Building
- Southern Utah University – Science Center Addition
- Dixie State College – Jeffery Holland Centennial Commons Building
- Utah Valley University – Science/Health Science Building Addition
- Salt Lake Community College – Center for New Media
- Salt Lake Community College – Instructional/Administrative Complex

The projects included in the request for 2012-13 funding are as follows:

- University of Utah – Major High Temperature Water and Electrical Infrastructure
- Utah State University – Brigham City Regional Campus Academic Building
- Utah State University- College of Eastern Utah –Arts & Education Building
- Weber State University – New Science Lab Building
- Southern Utah University – New Business Building
- Snow College – Science Building Addition & Renovation

- Dixie State College – General Classroom Building
- Utah Valley University – Classroom Building

Summaries of the requested projects are attached for your information. Following the Regents' review of the requested projects, the Office of the Commissioner will "score" the projects in accordance with Board policy. The Regents subsequently will assign their "Priority Points" to establish the relative priorities of the projects for submission to the Governor and Legislature for funding consideration.

Commissioner's Recommendation

The Commissioner recommends that the Regents become knowledgeable about the attached projects and prepare to deliberate the merits of each in the context of the highest and most pressing needs in USHE.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/WRH
Attachment

Tab X Errata Sheet

Please replace the attachment of Tab X with these materials which have been revised to correct a couple of minor errors and to clean up some potentially confusing language. The changes are minor and are noted below to avoid requiring you to reread the entire document:

Page 3 of 6 USU/ College of Eastern Utah - The new square footage of the project was misunderstood to be 43,600 making the total project size 62,000 including renovated space of 18,400. The correct information is that the new space requested is 62,000 making the total project size 80,400 square feet.

Page 5 of 6 Southern Utah University New Business Building and Snow College Science Building Renovation/Addition - The descriptions for these two projects have been revised to eliminate some confusing language that pertained to prior year versions of the requests for these projects.

USHE 2012-13 CAPITAL DEVELOPMENT PROJECTS

UNIVERSITY OF UTAH – INFRASTRUCTURE PHASE I:

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$50 M	\$0	\$50M	\$250,000	0	0	0

Fulfillment of the University's joint missions of education, research, and public service requires a robust and dependable infrastructure. Significant failure in the High Temperature Water (HTW) and Electrical distribution systems jeopardizes the on-going operations of the University and puts at risk the educational mission and the flow of millions of dollars of research funds and their significant economic impact in the state. While catastrophic failures have not occurred, both systems are suffering from major deterioration and obsolescence and have experienced multiple failures per year over the past several years, resulting in risks that include: safety of occupants; safety of maintenance workers; financial losses in research; and damage to buildings in winter if heat is lost. In addition, classes are canceled, employees are sent home, and the costs of repairs are magnified when repairs must be made during unscheduled downtime.

There are two major infrastructure projects that are currently being addressed for which additional funding of \$99 million is needed as follows: **High Temperature Water Distribution Replacement** (\$13.3 million) and **Electrical Distribution System Replacement** (\$85.7 million). The request for the upcoming Legislature is for \$50 million, about one half of the total need, to address the most serious areas of need.

Previous Funding Provided to Address the Problem

Over the past several years, \$28.5 million has been used to repair system failures and to begin to address the remaining problems. The following are the sources of the funds used to date:

- HTW System - A total of \$15.7 million of capital improvement funds has been dedicated to the HTW system between FY07 and FY11, including the 2010 legislative reallocation of \$3,550,000 of FY10 capital improvement funds originally dedicated to other needs. In addition, in FY2010, the University financed \$5 million to address failed piping needed to support USTAR facilities.
- Electrical System - \$7.775 million of capital improvement funds were allocated in during FY2009, FY2010, and 2011 to address the most critical aspects of this system.

High Temperature Water Distribution Replacement:

The HTW operation includes two central plants and a distribution system throughout campus. The existing system consists of direct buried steel pipe in an insulated bed with a life expectancy of about 20 years. For the most part the pipe is more than 30 years old and is severely deteriorated from the outside in by corrosion from ground water and drainage.

The \$13.3 million requested for the remaining need will be used to replace failed HTW lines and Install new HTW lines to create a loop system. Tunnels will be used where practical. Most of the system will be

USHE 2012-13 Capital Development Projects

replaced with a pre-insulated and multi-lined pipe system. This project will address all but about 5% of the 17 miles of the remaining aged and deteriorated direct buried pipe.

Electrical Distribution Replacement:

The University electrical distribution system consists of 3 substations that receive power feeds from Rocky Mountain Power (RMP) and a distribution network to service all of the buildings on campus. This enables the University to purchase power at a significantly discounted price because RMP has no responsibility to service the internal campus infrastructure. This on-campus infrastructure, including the substations, is obsolete and no longer is compatible with RMP updated feed voltages, current industry practice, and current codes. Equipment that has insufficient capacity for current loads or is past its useful life is scheduled to be replaced. Additional equipment, feeders, and components that restore original design redundancy and reliability are also included in the project. The project design also includes provisions to accommodate anticipated growth.

Much of the system was installed in the 1950s and 1960s. Equipment is in poor and failing condition. Many of the switches are unsafe to operate under load. Electrical voltages vary. Balance of electrical loads and the ability to operate the system effectively has eroded over the decades and growth on campus over the past 50 years has compromised the reliability and redundancy of the system. Loops feed too many buildings, and main circuits are loaded to capacity.

The \$85.7 million requested for the remaining need will be used to:

- Replace all aged and failing electrical distribution including, in part, 43 miles of primary and secondary cable, 4 miles of duct bank, 128 high voltage switches, 62 transformers and pads, etc.
- Move all power distribution to one voltage
- Restore redundancy and reliability to the system
- Enhance operational control, monitoring, and security

In addition, \$250,000 of increased on-going O&M funding is requested. This is based on the estimated need of \$750,000 per year of funding needed to maintain the University's complex electrical distribution system. The current budget available to address this need is \$250,000. Funding \$250,000, which is one-half of the gap of \$500,000, will enable the University to perform proper maintenance to extend the life of electrical system replacement and also to test system components to identify and repair or replace failing components before they cause an outage. The remaining \$250,000 will be requested at the time the remaining infrastructure need is funded.

UTAH STATE UNIVERSITY – BRIGHAM CITY REGIONAL CAMPUS ACADEMIC BUILDING:

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
\$15M	\$7.5M	\$15M	\$372,818

Project Space - Gross Square Footage		
New	Renovated	Demolished
60,000	0	20,295

The existing Brigham City Regional Campus consists of three attached buildings within a renovated strip mall along a busy intersection on Highway 89/90. The strip mall is currently owned by the State of Utah and is managed by DFCM. It also houses Bridgerland Applied Technology College, a Driver's License Division office and a Vocational Rehabilitation office. The facility utilization currently is near capacity and is

USHE 2012-13 Capital Development Projects

at parking capacity. BATC is also growing and space will soon be limited at this site. There is currently a USU book store and a common study space at the site, but there are no other student-related services such as a student center.

Late last year the University determined that that a new property that became available in downtown Brigham City was more conducive to the on-going growth and future needs of this regional campus. The property was approved by the Regents for purchase and the purchase was completed in January of this year. The new land is a brownfield site, with dilapidated buildings used historically as a military hospital and the Intermountain School for Native American students. Razing these buildings to prepare the way for development of the new campus was part of the purchase contract. The site also includes eight acres of land donated to USU previously, on which an empty K-Mart building is located, making a campus total of 48 acres. This site is ideally situated near downtown Brigham City, with convenient and safe access from Main Street and Highway 89.

The new building requested will be approximately 60,000 square feet in size, and will house classrooms, faculty and staff offices, and student support spaces such as study space, food services, a bookstore, and child care. It will accommodate Phase I of the move to the new site, consisting of most of the academic programs with the exception of certain science programs that already have high quality lab space in the current facility. The new site provides a safer, more favorable location to provide for the expanding needs of this region of the state.

Brigham City has agreed to bond for \$7.5 million to help fund the project. An estimated annual amount of \$372,818 will be needed to fund the on-going O&M needs of the facility.

UTAH STATE UNIVERSITY EASTERN – ARTS & EDUCATION BUILDING:

Note: This project was revised

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
\$23.8M	\$0	\$23.8M	\$456,664

Project Space - Gross Square Footage		
New	Renovated	Demolished
62,000	18,400	49,684

The current theater, music, and art programs are housed in three separate buildings – the SAC (Old Student Activity Center that was built in the late 30s and the Geary Theater and Music Building that were built in the 60s. All three buildings are no longer code compliant and have serious life safety, structural, and ADA compliance issues. The Geary Theater and Music Building are considered by DFCM to be among the state's most dangerous buildings and the SAC building is in very poor condition with aging mechanical systems and structural, and life safety issues (asbestos et.al.).

As USU Eastern strives to attract and retain students and faculty in the face of declining local populations, the safety, efficiency, and attractiveness of the facilities are of increasing importance. Continuing the traditions of successful education at CEU will depend on having renewed campus facilities that will ensure an effective setting for teaching and learning. The original buildings have served for a number of years and are now at the end of their life cycle.

The existing facilities are very limited in providing students with adequate opportunities to study these programs effectively. The art department is scattered across campus and has only limited space for displaying student work. The theater is also 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 requested project involves demolishing the existing buildings and replacing them with a new building that will bring together the theater, music and visual arts programs into one facility. In addition, space currently occupied by the art department in the Career Center will be remodeled and used for expansion of the nursing program

WEBER STATE UNIVERSITY – NEW SCIENCE LAB BUILDING:

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$60M	0	\$60M	\$502,096	200,000	0	168,903

This Project consists of razing three existing buildings, including the existing Science Lab Building, and constructing a new Science Lab Building. The structures to be razed are:

- Existing Science Lab Building – This is a six-story laboratory building with a seven-story northern mezzanine where faculty offices are located. It is laden with asbestos making it difficult to safely provide needed maintenance. It has not been upgraded since its construction in 1969 and is very energy inefficient. Lighting and ventilation are inadequate and storage space is woefully inadequate and inconvenient for use by the labs. The laboratories are small and inefficient and there is a lack of student study space which results in students crowding into hallways which compromises egress for fire safety. The building is not ADA compliant and has been identified as a high seismic risk because of its concrete beam and column construction, close proximity to a known fault, and lack of rigid floor plates. In addition, because of the many advances in science over the past 40 years and the new equipment items now used in laboratory analysis, the building is inadequate in terms of size, layout, configuration, electric power, and ventilation.
- Buildings 3 & 4 – These buildings were constructed in 1954 when then Weber State College was moved from downtown Ogden to the Current campus. They are unreinforced masonry facilities and are very obsolete and inefficient, having single pane glazing in the windows, very little insulation, and badly corroded water pipes. They are not ADA compliant and the classrooms are improperly size and lack multi-media capabilities and computer labs needed for educational presentations and program pedagogy. The programs and functions currently using these buildings will be relocated to other facilities.

The proposed new facility will be a modern science laboratory and classroom building that will meet the needs of science programs into the future. It will include adequately sized laboratories with necessary safety features, with sufficient storage and study space for the programs of Zoology, Botany, Mathematics, Chemistry, Geosciences, Microbiology, and Physics. It will increase the science lab space by about 35 percent and will also contain faculty and staff offices, classrooms, storage and equipment space, an expanded greenhouse, and student study areas.

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SOUTHERN UTAH UNIVERSITY – NEW BUSINESS BUILDING:

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
\$9M	\$3	\$12M	\$45,207

Project Space - Gross Square Footage		
New	Renovated	Demolished
42,000	0	36,292

Space for the School of Business has not been increased since 1980 despite increases in enrollment of 142% and faculty of 73%. In addition, the role assignment was expanded to include a Masters in Business Administration and a Masters of Accounting. The lack of seminar style classrooms, student breakout rooms, and service learning space is not conducive to the curriculum of the undergraduate and graduate degree programs.

Because of the life safety and functional deficiencies in the existing building, including occupant flow and ADA compliance issues, and the cost required to correct them, it has been determined that the existing building will be razed. In addition, the Old Facilities Building and Automotive Shop will be razed to make way for the new 42,000 square foot building.

The project will provide classrooms, seminar rooms, advanced business computing labs, graduate assistant work-study areas, break-out/study rooms, an academic advising suite, additional faculty offices and ROTC classrooms and offices. It will also improve program effectiveness by providing programmatic space innovations and room for expanding numbers of majors, faculty, and graduate assistants.

SNOW COLLEGE – SCIENCE BUILDING RENOVATION/ADDITION:

Project Cost Estimates			
State Funds	Other Funds	Total Project Cost	O&M Funds
\$11.8M	\$0	\$11.8M	\$0

Project Space - Gross Square Footage		
New	Renovated	Demolished
12,000	57,000	0

The current building was constructed in 1972 and has numerous safety (including asbestos) and code compliance issues. There are numerous ADA compliance issues that need to be addressed. Ventilation and air movement are inadequate. The teaching laboratories are functionally obsolete and do not meet current standards for chemistry and biology education. There are also inherent problems with the original supply lines required for delivery of certain chemicals.

A previous request for this project anticipated demolition of the existing facility and replacing it with a new building. There is a large crack on one corner that runs the full height of the building, which while unsightly, has been determined to be correctable without demolishing and rebuilding any part of the building. DFCM has determined that the other existing problems can be corrected and the space updated at a significantly reduced cost by remodeling the current building with a small addition.

USHE 2012-13 Capital Development Projects

DIXIE STATE COLLEGE – GENERAL CLASSROOM BUILDING

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$35M	\$0	\$35M	\$945,625	170,000	0	39,315

The proposed project is a multi-story, 170,000 square foot building that will provide needed classroom and office space needed for expansion of existing programs and planned future programs as the College moves toward university status. It is anticipated that at least one sub-level of the facility will provide for needed parking. The project also includes demolition of the 39,315 square foot North Plaza building.

The facility is projected to house the following programs with the associated classrooms and office space:

Computer Science	Developmental Education	Distance Education
Environmental Science	Foreign Language	Graduate Center
History	Humanities	Philosophy
Physical Science	Social Science	Testing Center
TRIO	Visual Arts	Visual Technology

Enrollment at DSC is projected to grow by more than 2,000 FTE students during the next 5 years above the fall of 2010 level of 6,203 FTE students. To accommodate this growth, coupled with the expanding numbers of baccalaureate degree programs, significant numbers of new classrooms as well as faculty and staff offices will be required. Once this facility is in place, the North Plaza Building will be demolished. This facility was originally built in 1969 as a grocery store. It has numerous deficiencies, including: ADA and code compliance issues; seismic and structural integrity issues; floor cracks and uneven surfaces throughout the building; ground water entry from under the floor; exterior façade deterioration;; HVAC and electrical systems deficiencies; single-pane glazed windows; et al.

UTAH VALLEY UNIVERSITY – CLASSROOM BUILDING:

Project Cost Estimates				Project Space - Gross Square Footage		
State Funds	Other Funds	Total Project Cost	O&M Funds	New	Renovated	Demolished
\$50M	\$0	\$50M	\$1,845,000	250,000	0	0

The proposed facility will consist of about 250,000 square feet and will include 60 new classrooms in varying sizes of from 40 to 150 seats. It will also contain about 150 new offices for faculty and staff; approximately 20 study rooms for the use of students; and various academic departments. The facility will also have a 1,000 seat auditorium for large lecture classes and performances. The design of the building will consistent with the overall master plan of the campus. It will tie into the existing central plant HVAC system of the campus.

This facility is vitally needed to enable UVU to return to an acceptable level of square feet per FTE student and to address the burgeoning enrollment of the institution which is projected to increase by some 6,000 FTE over the next 5 years. This issue was identified as the number 1 concern of the 2010 Northwest Commission of Colleges and Universities evaluation team.

September 7, 2011

MEMORANDUM

TO: State Board of Regents

FROM: William A. Sederburg

SUBJECT: USHE – Institutional Non-state Funded Capital Development Projects and Land Bank Requests for 2012-13

Background

In addition to the state funded projects reviewed and recommended by the Regents for funding each year, the Regents also deliberate capital development needs in two other categories:

- Projects to be built entirely with non-state appropriated funds – These are projects proposed to be built using a variety of non-state appropriated funds, including private donations, revenue bonds, federal funds, et al that need Regents' and Legislative approval in order to be built. Those projects to be financed with revenue bonds also require Regents' authorization to seek approval from the legislature to issue the bonds. In some cases, because the facilities will house approved role and mission programs and activities, the projects are eligible under Board policy for state appropriated funding for all or part of the resulting ongoing O&M cost needs. A request for these O&M funds also requires, as stipulated in policy, Regents' recommendation to Legislature for consideration.
- Land bank purchases for future expansion – These proposals, if authorized by the Regents are, submitted to the legislature for funding consideration.

For your information, the following non-state funded capital projects are currently under construction at USHE institutions:

- University of Utah - Guest House
- University of Utah - Marriott Legacy Honors Housing
- University of Utah - Huntsman Cancer Hospital
- University of Utah - Thatcher Chemistry Building Addition
- University of Utah - L.S. Skaggs Pharmacy Research Building
- University of Utah - University Neuropsychiatric Institute
- University of Utah - Wintrobe Lab Remodel
- University of Utah - Hospital MICU Remodel
- University of Utah – South Jordan Health Care Facility
- Utah State University – Regional Campus & Distance Education Building
- Weber State University – Residential Housing

- Snow College – Student Housing

The non-state funded projects that have been submitted for consideration by the Regents for approval in the 2012 legislative session are summarized in the attachments. Those projects that also need legislative authorization for bonding and future state-funded O&M are identified in the following list:

- University of Utah:
 - International Building O&M
 - University Orthopaedic Center Phase II Expansion Bonding
 - S. J. Quinney College of Law Replacement O&M
 - HPER Parking Structure Bonding
 - Health Sciences Center (HTC) Parking Structure Bonding
 - Dee Glen Smith Athletic Center Expansion Bonding
- Utah State University:
 - Blanding Housing Project (San Juan Campus) Bonding
- Weber State University
 - Social Sciences Building Renovation O&M
 - Stromberg Center Addition Bonding

The following institutions have Land Bank Requests that are also summarized in the attachments:

- Utah State University
- Southern Utah University
- Dixie College

Commissioner's Recommendation

It is the Commissioner's recommendation that the Regents review these requested project and land bank requests carefully and recommend for legislative authorization those deemed to be appropriate. Particular attention should be given to those also requesting bonding and state-funded O&M.

William A. Sederburg
Commissioner of Higher Education

WAS/GLS/WRH
Attachment

USHE 2012-13 NON-STATE FUNDED CAPITAL PROJECTS

UNIVERSITY OF UTAH – INTERNATIONAL BUILDING:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$8.7M	13,635	\$108,000	Donor & Other Institutional Funds

The International Building is proposed to provide space to bring together in one location the functions of the International Center, which deals primarily with foreign students coming to the University of Utah, and the Office of International Education/Study Abroad, which deals primarily with sending University of Utah students abroad as well as managing other international programs at the University. These functions currently are housed in three non-adjacent rooms in the A. Ray Olpin Union Building and the majority of the lower level of the Sterling W. Sill Center. These locations do not provide adequate adjacencies for efficient operations and hamper the University's ability to proficiently serve the international community. This new facility will combine all of their functions in one location, providing them with the opportunity to optimize the promotion of internationalization of the University and a broader understanding of politics. The International Building will act as the heart of Utah's global community, bringing international and study abroad students and scholars together to share their experiences and learn from each other in a scholastic environment.

The major objectives of this project are:

- To house the many services that facilitate the University of Utah being part of the international community in a location that is central to its clients
- Allow for economies of operations and provide better service
- Improve the experience of those waiting to be assisted
- Create synergies that the current separation does not allow
- Enhance collaboration and production as a result of the interactions that will become possible

The \$20 million estimated cost of the facility will be funded in its entirety with donor and other institutional funds. \$108,000 of annual state-funded O&M support is requested with supporting justification included in the attached Appendix.

UNIVERSITY OF UTAH - UNIVERSITY (UOC) ORTHOPAEDIC CENTER PHASE II EXPANSION:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$9.58M	19,480 new 5,630 remodeled	\$0	Bonding Defeased by Donations & Clinical Revenue

The University of Utah Hospitals and Clinics network includes medical and educational facilities that serve both the Salt Lake community and intermountain west. The Department of Orthopaedics and University of Utah Hospitals and Clinics are the umbrella under which a number of medical, educational, therapeutic and research specialties come together. Orthopaedic service has grown vigorously over the last fifty years and has become an internationally recognized entity. Overtime, because of this growth, its components have become spread out across two separate medical and research campuses at the University. Physical facility constraints have become a limiting factor to the success of the service line in pursuit of healing, teaching and research objectives. Through expansion of the University Orthopaedic Center, Grand Rounds, Academic Conferences and other teaching activities will be centralized and coexist with clinical and research activity.

The vision of having a world-class facility resulted in the University of Utah Orthopaedic Center (UOC), which opened in the Fall of 2004. The facility houses each aspect of the complex discipline of biomedical research, orthopaedic surgery, diagnostic imaging, physical and occupational therapy, MRI, clinic care, as well as resident and fellow education.

This request is to initiate the first expansion of the facility in order to fulfill several needs unmet by the original project. Principally, the second floor of the expansion will include additional clinic and physical therapy space to allow for the recruitment and retention of orthopaedic specialists that meet unmet demand in the market of sports medicine care. The first floor will provide for additional teaching and faculty space with a 120 person auditorium as well as office and support space on the 3rd floor.

The expansion of the UOC will be funded from donated funds and clinical revenues. The \$160,066 increase in annual O&M expense for the increase in square footage of the facility will be funded from clinical revenues and activities at the UOC.

UNIVERSITY OF UTAH – S. J. QUINNEY COLLEGE OF LAW REPLACEMENT:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$60.5M	155,825	\$1,177,100	Donations & Other Institutional Revenues

The current S. J. Quinney College of Law building opened in 1963. The law library building opened in 1982. The existing facilities have inadequate space to meet classroom, faculty office, student program, and other needs. A recently completed Facility Plan identified an existing shortage of 62,500 GSF. Accounting for a more efficient redistribution of space and growth over the next decade, an additional 73,664 GSF will be needed.

This lack of sufficient space was noted in the college's accreditation review conducted in 2000-2001 as limiting the College of Law from reaching its full potential. A comprehensive analysis of the existing College of Law facilities was completed in May 2003. It stated that the image and condition of the current buildings are not in keeping with the quality of the programs, faculty and students of the SJ Quinney College of Law.

Long term use of the existing facilities is neither economically viable nor sustainable. However, they could serve for a few years as surge space for a number of seriously needed renovations that cannot be accomplished without somewhere to temporarily house existing functions.

The proposed facility would be funded in its entirety with non-state appropriated funds, including donor and other institutional funds. An additional \$1,177,100 of on-going state appropriated funding will be needed since the existing facilities will be converted to serve other institutional needs.

Authorization for bonding, to be defeased with the aforementioned revenue streams, will not be required until the 2013 legislative session. Approval of this request for programming, design and construction will enable the University to move forward with fundraising and to develop a final financial plan.

UNIVERSITY OF UTAH – UIT/ITS OFFICE BUILDING:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$30.335M	102,000	\$0	Bonding Defeased by Hospital/Auxiliary Fee Revenue

Over the past 3 years, the University Information Technology (UIT) and Hospital Information Technology (ITS) have consolidated and reorganized all central information technology services. The organizational consolidation has: improved collaboration; reduced duplication; and improved processes and the overall efficiency and accountability of IT services. This has led to annual savings of over \$ 5.2 million and \$ 2.1 million in one-time IT savings. However, UIT & ITS office personnel are still housed in multiple locations around campus which is not conducive to productive work. In most instances, the locations were not specifically designed for the current use and administrators need to be in closer proximity to their people.

While significant savings and synergies have been realized within information technology organizations, further savings and synergies require greater physical proximity by combining the university's two major IT departments, UIT & ITS, into a single location. Locating these operations centrally on campus also will allow them to better serve hospital physicians and staff, academic and administrative departments, faculty, students, and staff, further enhancing the overall collaboration and productivity of campus.

The project will accomplish the following major objectives:

- Housing UIT & ITS in a central location
- Creating synergies among different departments
- Enhancing collaboration and production

It will continue consolidation of UIT & ITS and reduce redundant departments, equipment and personnel at the University while still growing to meet the changing IT needs. As traditional barriers between physical and virtual learning and research are being erased, the need for intensification and broadening of IT services to support a next generation learning environment increases. Educators, administrators, and

particularly students are becoming more and more accustomed to a media-rich, mobile lifestyle. Future demand for IT services will only continue to expand as new technologies emerge.

This UIT/ITS Office Building will be constructed north of the Eccles Broadcast Center (EBC). It will house over 600 employees and take advantage of an already planned 300-car parking lot to be located behind EBC next to the TRAX line which will enable a lower ratio of building occupants to parking stalls due to the proximity to the TRAX line. The building will also meet the sustainability requirements established by the University and will become a critical component within the technology function at the University.

The proposed capital funding for the facility will come from two sources:

1. Associated Regional and University Pathologists (ARUP) has offered to purchase the building currently occupied by University of Utah Information Technology (UIT) and Hospital Information Technology (ITS) located at 585 Komar Dr. in Research Park. The equity from the Komar building will be used as the down payment for the new building.
2. The University of Utah will bond for the \$26.7 million balance needed over a 30 year period. Monthly payments and on-going O&M will be covered using existing budgets. No additional one-time or on-going funds are being requested. The University and the Hospital will be responsible for their prorated share of all costs and debt retirement, estimated to be shared as follows.
 - University Information Technology (UIT) ~ 30%
 - Hospital Information Technology (ITS) ~ 55%
 - Hospital Administration (Facilities & Support Services) ~ 15%

UNIVERSITY OF UTAH – HPER PARKING TERRACE:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$21.702M	316,000	0	Bonding defeased with permit fee & event parking revenue

The University recognizes the value of TRAX and other mass transit systems, and continues to find ways to reduce dependency on vehicular trips and encourage more widespread use of alternative transportation, both as a way to reduce strain on the infrastructure and facilities as well as to encourage good environmental practices and parking needs have been carefully evaluated in light of promotion of mass transit. Notwithstanding the continuing success of mass transit, which accounts for approximately 16,000 daily trips to/from campus, the University requires onsite parking to accommodate the variety of activities that take place.

This proposed parking facility will be built in the open space between Milton Bennion Hall and HPER West and will contain approximately 1,000 stalls. It will be used for student, staff and faculty parking. It also will include visitor pay-lot parking and will provide special event parking. This site was chosen because of the consistently high demand for parking in this area of campus by students, staff, faculty, everyday visitors, and special event attendees.

UNIVERSITY OF UTAH – HEALTH SCIENCES CENTER (HSC) PARKING TERRACE

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$19.98M	155,825 To 287,000	0	Bonding defeased with permit fee & event parking revenue

As surface parking has been eliminated to make way for new buildings, the parking situation at the University has worsened despite the continuing success of TRAX and other mass transit systems. A large number of World War II military buildings that were used for nearly half a century were replaced in the late 90s with modern facilities, which dramatically reduced available land for surface parking. Continued success in the Health Sciences areas of the University continues to exacerbate the parking situation as the resulting additional construction further eliminates space for parking. Many employees and students needing access to Health Sciences facilities are required to park in poorly configured and inconvenient lots.

The location for this proposed terrace will be on upper campus with multiple sites currently under consideration. It will contain from 500 to 900 stalls. It is intended to serve the parking needs of Health Sciences students, staff, and faculty. A large number of World War II military buildings that were used for nearly half a century were replaced in the late 90s with modern facilities, which dramatically reduced available land for surface parking. Continued success among the Health Sciences has resulted in additional construction and the loss of parking.

UNIVERSITY OF UTAH – DEE GLEN SMITH ATHLETIC CENTER EXPANSION:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$30M	115,000	\$0	Bonding Defeased with Athletic Department Revenue

This project was approved by the Regents in last year's Capital Development cycle and was approved for bonding by the 2011 Legislature. During the programming for the project it has become apparent that the facilities required for the University as a member of the PAC-12 Conference require additional scope and substance including a full-scale dining facility, specialized media rooms, additional support spaces, and integration with exterior practice facilities.

The resulting facility is now projected to cost \$30 million, an increase of \$10 million over the approved bonding authorization. The University, therefore, is requesting reauthorization of bonding in the amount of \$30 million plus amounts necessary for issuance costs, debt service reserve, and capitalized interest as applicable.

The entire capital cost of the facility will be funded from the bond funds, with athletic operations revenue, including PAC-12 proceeds, committed for retirement of the debt. O&M support will likewise be funded from future athletic department funds..

UTAH STATE UNIVERSITY – BLANDING HOUSING PROJECT (SAN JUAN CAMPUS):

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$4M	16,000	0	Bonding defeased by housing rental income

The USU Eastern San Juan campus is located in Blanding, Utah, a remote area in the southeast portion of the state. The campus has become an important location to serve that portion of the state, as well as other remote areas in the Four Corners region. Current on-campus housing consists of 72 beds in traditional-style housing and is fully occupied. The proposed project will add a new residence hall on campus, providing approximately 75 new beds and will be adjacent to the existing housing and food services building called the "Quad", allowing the new facility to share food services with the existing facility. The new housing development also will be traditional style with kitchenettes built into the apartments.

There are few other rental opportunities available in the area so most of the students live on campus. Students who can't find housing on campus are living in sub-optimal arrangements in local hotels and motels. Food service and kitchen facilities are not available in these rooms, and they are not near campus. Current and future demand is sufficient to justify addition of new residence halls on campus.

WEBER STATE UNIVERSITY – SOCIAL SCIENCES BUILDING RENOVATION:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$20.0M	119,322	\$379,475	Donations

The Social Sciences Building was designed in 1969 and finished construction in 1973. Classes were first offered in the Fall of 1973. For over 30 years, the Social Sciences Building was the largest and most heavily used classroom building on the Ogden Campus of Weber State University. It currently houses the Departments of History, Anthropology, Criminal Justice, Geography, Political Science and Philosophy, Psychology, Social Work and Sociology. With all of these departments, the building continues to be one of the most heavily used academic instruction buildings on the campus, and is used from 7 AM in the morning until after 10 PM in the evenings for academic instruction.

The building was built approximately 40 years ago and does not comply with current seismic standards nor comply with ADA requirements. A recent structural analysis revealed that additional seismic reinforcing, including added shear walls and bracing of the floor connections to supporting columns is required to meet seismic standards. The exterior façade concrete panels need improved mounting tabs to survive and remain adhered during a seismic event. The interior of the building is a difficult maze of corridors and passageways without a coherent pattern or scheme. A common complaint is that visitors and first time students cannot find their classroom or faculty office within the building because of the layout of interior partitions.

Because of its age, the building heating, ventilating and air conditioning (HVAC) system is outdated, inefficient and maintenance intensive. The culinary water supply system in the building is rusty and provides brown water in many places. Lavatories are difficult to maintain because of poor plumbing and inadequate or corroded drain systems. The electrical system does not meet the demands placed upon it due to the much more intensive use of computer and multimedia technology for instructional purposes. The building envelope is drafty and has voids that allow insects to infest the building during various seasons.

The project will consist of essentially gutting the interior, including all interior partitions, electrical, heating and air conditioning systems and plumbing systems. Basic structural elements will be strengthened to meet seismic code requirements, and the interior will be reconfigured and rebuilt to accommodate the most effective and efficient use of space and systems to meet the current and projected academic requirements. This includes multi-media classrooms of sufficient size and configuration. Faculty offices will be reconfigured and interior circulation and restrooms will be upgraded. Appropriate study rooms, faculty preparation rooms and work rooms will be incorporated. Interior finishes will be upgraded or improved, to include lighting, floor coverings, wall coverings, and ceilings. Exterior wall panels will be cleaned, and mounting systems for these panels will be upgraded to meet seismic requirements. Where appropriate and feasible, additional daylight will be incorporated into the design to make the facility less energy intensive and more user-friendly. Additionally, approximately 13,000 square feet of "porch" area around the perimeter of the first floor will be incorporated into office, classroom, study and lab spaces.

The capital needs of the renovation and expansion will be met primarily with proceeds obtained from donations to the University's Capital Campaign. This will be augmented with limited capital improvement funds to address some of the more egregious mechanical, electrical and plumbing deficiencies. The University will also use some institutional funding to complete the funding requirements of this renewal and renovation project.

This is a very high-use academic facility that typically would be a state-funded project request but the critical need to renovate this facility does not allow the University the time that would be necessary to program and obtain state legislature supported funding for this project and also obtain state funding for other very important and critical projects that support the growth and academic program changes that are occurring at Weber State University. The University's decision to seek donated funds to renovate and expand this facility recognizes that sufficient state funds are not available to address all of the state capital facilities needs of USHE and the state. However, additional state funding for O&M needs in the amount of \$379,475 is requested to accommodate the ongoing costs for the increased space and updated HVAC and electrical needs of the facility.

WEBER STATE UNIVERSITY – STROMBERG CENTER ADDITION:

Total Cost Estimate	Gross Sq Feet	State Funded O&M	Source of Funding
\$8.0M	29,149	0	Bonding & Donations

This project was presented to and approved by the Regents in the May 20, 2011 meeting in order to enable WSU to expedite the programming and design work for the project. It is included here to make the non-state funded project request packet complete.

The funding for design and construction of this project will come from donations and bonds issued by the university with debt service for the bonds to be provided by revenues from student fees and facility use fees. Donated funds will be sought to help diminish the amount needed from bonding. However, The University is prepared to issue bonds for the full amount of design and construction if necessary. This will be a self-supporting facility and will not require state-funded O&M support.

The Stromberg Center is a complex of two buildings and an interconnecting structure that were built at different times. The original building of this complex is the Swenson Building, which has classrooms, locker rooms, the original gymnasium, a swimming pool, and various offices and support spaces. The Stromberg Building is a large open bay facility that has an indoor running track, three basketball courts, and various other areas that are occupied with various fitness machines and work out spaces.

Connecting the Swenson and Stromberg Buildings is a structure that has a garden plaza for a roof at the same elevation as the main entrance to the Swenson Building, and contains classrooms, offices, racquetball and handball courts, and support spaces on lower levels. Although the three structures are adjacent, they are marginally accessible from one another, and once inside, the tight pathways, complex corridors and obscure location of elevators makes circulation difficult and in some cases dangerous.

This project will add 29,149 square feet to the Stromberg Center for use as a student recreation facility with supporting offices and locker rooms. It will also add an elevated walkway to allow unimpeded access for patrons from the new addition to the areas of the Stromberg Center that are east of the main sports court arena. An elevated running track will be installed within the existing Stromberg Center main arena and well above the existing track surface to increase running track capacity and avoid congestion between recreational runners and academic program and intercollegiate athletic event training users of the facilities. This new facility will be adjacent to the existing Stromberg complex to facilitate greater interaction by patrons, reduce the overall impact on utilities and parking, and provide the added capacity to meet the needs of the programs and events required by the students, faculty, and staff of the University.

USHE 201-13 Land Bank Requests

Utah State University

Proposed Purchase	Location	Price	Acres	Future Use
Developed Land (rental units)	NW of Campus	\$ 11,000,000	5.5	Future Expansion
Developed Land (rental units)	Contiguous to Campus	9,500,000	4.5	Future Expansion

Southern Utah University

Proposed Purchase	Location	Price (\$\$\$)	Acres	Future Use
7 Residential Lots	Proximate to Campus	\$ 1,150,000	1.87	SUMA (Fine Arts Museum) Parking
6 Residential Lots	Proximate to Campus	1,200,000	1.2	Student Housing and Related Parking
2 Residential Lots	Contiguous to Campus	370,000	0.61	Upper Campus Parking

Dixie State College

Proposed Purchase	Location	Price	Acres	Future Use
University Plaza (structures)	Adjacent to Campus	\$ 4,200,000	2.0	Expansion
Larkin Property (structures)	Adjacent to Campus	1,500,000	1.8	Expansion
Commercial Property	Adjacent to Campus	1,500,000	1.7	Expansion
Apartment Complex	Adjacent to Campus	960,000	.80	Student Housing Expansion
14 Vacant Land Tracts	Adjacent to Campus	2,000,000	1.04	Expansion