

STATE BOARD OF REGENTS  
DIXIE STATE UNIVERSITY  
Holland Centennial Commons & Gardner Center  
THURSDAY/FRIDAY NOVEMBER 15 &16, 2018

AGENDA  
Thursday, November 15, 2018

4:30 PM – 6:00 PM      **COMMITTEE OF THE WHOLE**  
Location: Zion Room, Holland Centennial Commons

1. Oath of Office, Sanchaita Datta
2. Legislative Audits 2018-11 and ILR 2018-D

7:00 PM – 8:30 PM      **DINNER - REGENTS, PRESIDENTS, COMMISSIONER**  
Location: Cottom Room, Gardner Center

AGENDA  
Friday, November 16, 2018

7:30 AM – 8:50AM      **BREAKFAST MEETING – STATE BOARD OF REGENTS, DIXIE STATE UNIVERSITY  
BOARD OF TRUSTEES, PRESIDENT WILLIAMS, COMMISSIONER BUHLER**  
Discussion and Executive Session (if needed)  
Location: Zion Room, Holland Centennial Commons

8:50 AM – 9:00 AM      **TRANSITION BREAK**

9:00 AM – 10:00 AM      **DISCUSSION – REGENTS, COMMISSIONER, PRESIDENTS**  
Topic: Review of Roles and Responsibilities of Regents and Commissioner  
Location: Zion Room, Holland Centennial Commons

10:00 AM – 10:15 AM      **TRANSITION BREAK**

10:15 AM – 11:45 AM      **MEETINGS OF BOARD COMMITTEES**

**ACADEMIC AND STUDENT AFFAIRS COMMITTEE**  
Regent Teresa L. Theurer, Chair  
Location: Cottam Room, Gardner Center

**DISCUSSION:**

1. Transfer and Articulation
2. Women in Leadership Mentoring Exchange Proposal

TAB A

**ACTION:**

1. Adoption of Policy R615, *Talent Development Incentive Loan Program*
2. Revision and Policy Title Change R805, *Women and Minorities in Faculty and Administrative Positions*
3. Revised Regents' Mental Health Recommendations

TAB B

TAB C

TAB D

**INFORMATION:**

1. University of Utah – Dental School Progress and Partnerships

**FINANCE/FACILITIES COMMITTEE**

**Regent Mark R. Stoddard, Chair**

Location: Conference Room B, Gardner Center

**ACTION:**

**POLICY DISCUSSION & ACTION:**

- |  |       |
|--|-------|
| 1. USHE – Revision of Policy R510 & Adoption of Policies R514, R515, R516          | TAB E |
| 2. USHE – Revisions of Policies R565 & R567  | TAB F |
| 3. USHE – Adoption of Policy R572, <i>Noncapital Asset Inventory and Tracking</i>  | TAB G |
| 4. USHE – Revision to Policy R345, <i>Information Technology Resource Security</i> | TAB H |
| 5. USHE – Revision to Policy R513, <i>Tuition Waiver and Reductions</i>            | TAB I |

**CAPITAL FACILITIES & IT:**

- |   |       |
|---|-------|
| 1. USHE – Institutional Non-State Funded Projects for 2019-20       | TAB J |
| 2. University of Utah – Campus Master Plan Amendment                | TAB K |
| 3. University of Utah – Property Acquisition                        | TAB L |
| 4. University of Utah –Authorization for Legislative Bond Authority | TAB M |
| 5. University of Utah – Lease Renewal                               | TAB N |
| 6. USHE – 2018-19 Information Technology IT Operating Plan          | TAB O |

**FINANCE & AUDIT:**

- |  |       |
|--|-------|
| 1. USHE – Approval Board of Trustee Audit Committee Membership | TAB P |
| 2. USHE – Tuition and Student Aid Scope Approval               | TAB Q |

**INFORMATION:**

- |   |       |
|---|-------|
| 1. University of Utah – Trustee Property Action             | TAB R |
| 2. USHE – Certification for State's Moral Obligation Pledge | TAB S |
| 3. USHE – Annual Institutional Residences Expense Report    | TAB T |
| 4. USHE – Annual Report on Leased Space                     | TAB U |
| 5. USHE – Annual Contracts and Grants Report                | TAB V |
| 6. USHE – Fall 2018 Third-week Enrollment Report            | TAB W |
| 7. USHE – 2017-18 End-of-year Enrollment Report             | TAB X |

**11:45 AM – 12:30 PM**

**LUNCH**

Location: Gardner Ballroom A, Gardner Center

**12:30 PM – 1:00 PM**

**PRESIDENT'S REPORT**

Location: Zion Room, Holland Centennial Commons

**1:00 PM – 2:30 PM**

**COMMITTEE OF THE WHOLE**

Location: Zion Room, Holland Centennial Commons

- |   |        |
|---|--------|
| 1. General Consent Calendar                               | TAB Y  |
| 2. Amendment to 2018-19 Board of Regents Meeting Schedule | TAB Z  |
| 3. USHE – System Strategic Metrics                        | TAB AA |
| 4. USHE – Institutional Metrics                           | TAB BB |
| 5. Reports of Board Committees                            |        |

6. Update on the Statewide College Access Advising Initiative

TAB CC

2:30 PM – 2:45 PM

**TRANSITION BREAK**

2:45 PM – 5:00 PM

**EXECUTIVE SESSION** (if needed)

Location: Last Conference Room, Holland Centennial Commons

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.

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: Women in Leadership Exchange Program Proposal

Issue

Regents are considering today a change in Regents policy R805. The policy change is an update, which provides for a data set that will reveal the diversity within the Utah System of Higher Education (USHE) workforce and how representative it is relative to Utah's population as a whole. Strategies for addressing diversity in general will likely evolve from that data set. While not all elements of underrepresentation in the workforce are available, there is sufficient data from past system efforts and research to show that women are underrepresented in leadership positions in USHE institutions. One idea for addressing women in leadership positions is the Women in Leadership Exchange Program.

Background

This proposal grew out of informal conversations with mid-level women administrators from USHE institutions who were eager to have more formal support for enhancing their higher education leadership skills. Some faculty and staff at USHE institutions have an opportunity to participate in leadership development through programs sponsored by institutions. This proposal would extend that opportunity to women in all USHE institutions, growing the number of women with higher education administration skills, which they might use to advantage in their current roles, or which might assist them in steadily advancing in leadership positions. The end result of implementing this program would be a pool of well-qualified women in higher education leadership for USHE institutions.

Commissioner's Recommendation

The Commissioner recommends that the Board consider this proposal and provide input and direction for next steps.

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David L. Buhler  
Commissioner of Higher Education

DLB/EJH  
Attachments



## USHE Regent's Women in Leadership Exchange Program Proposal

### **Drafted by:**

Dr. Nancy Hauck, Associate Provost, Dixie State University

Dr. Jessica C. Hill, Associate Professor of Psychology, Utah Valley University

**Mission:** The Utah System of Higher Education (USHE) Regent's Women in Leadership Exchange Program pairs mid-career women with a high potential to emerge as leaders with women or men already in leadership positions within USHE to provide opportunities for professional mentorship and leadership development. The Exchange will afford participants the opportunity to have insights into: their own leadership capacity; different institutional cultures; the value of mentorship and leadership development; constraints and opportunities within higher education in Utah; diverse perspectives on leadership roles; and the value of networking and professional connections.

**Target Participants:** The program is for women who are mid-career (five or more years full-time employment at a USHE institution) and who are either currently in staff leadership positions at middle, senior, or executive levels within Student or Academic Affairs or faculty members who are in line to be department chairs, deans, or vice presidents within Academic Affairs.

### **A Leadership Exchange provides protégés with the opportunity to:**

- identify and develop personal leadership skill capacity;
- provide time and space to reflect on personal leadership style;
- form a network of support within aspiring and established USHE leaders;
- gain insight into different institutional cultures, constraints, and opportunities within higher education;
- enhance awareness and understanding of other USHE institutions, including unique challenges and governance structures;
- form stronger links between USHE institutions and individuals, discovering areas of synergy and opportunities for mutual benefit;
- build knowledge and skills in effective mentorship and leadership development;
- provide a safe 'sounding board' to challenge ideas and explore innovative ways of working and leading;
- create a forum in which to share best practices in leadership and governance; and
- explore diverse perspectives on leadership styles.

### **A Leadership Exchange provides mentors with the opportunity to:**

- all items listed above;
- develop knowledge and skills in mentorship;
- build a cohort of colleagues with diverse perspectives on leadership;
- expand their professional connections at other USHE institutions; and
- increase their awareness of current trends affecting USHE institutions.

**Sustained Time:** One year for each participant, including:

- Two one-day retreats with Women Regents at BOR Offices: August and May.

- The August retreat will be designed to orient the cohort of protégés to the Exchange program, explore what it means to be a leader in higher education, identify personal leadership values and strengths, identify a mentor, and foster a sense of group identity among the cohort members. Leadership project or study will be introduced.
- The May retreat will allow cohort members to reflect on their experiences, report on their leadership project outcomes, assess their developmental trajectory, and make further plans for career development.
- Two one-day mentorship meetings with Women Regents and mentors present at BOR Offices or host institution in September and January
  - September: Sessions and workshops led or arranged by the Women Regents and program advisory board on effective mentorship and current issues facing USHE related to leadership. Project or study topics will be explored.
  - January: Sessions and workshops led or arranged by the advisory board and mentors of USHE institutions as outlined below:
    - Snow and SLCC on leadership opportunities and challenges for community colleges.
    - DSU, SUU, Weber State, and UVU on leadership opportunities and challenges for dual-mission teaching institutions.
    - U of U and USU on leadership opportunities and challenges for research institutions.
- Two three-day protégé exchanges each year: one between October-December and one between February-April.
  - The exchanges should be planned in the following way. Based on an initial consultation at the August retreat and September mentorship meeting, the protégé will provide the mentor with a proposed schedule of activities that will occur during the exchange. The mentor must provide feedback and assist the protégé in refining the exchange activities prior to the exchange. Activities should be specific and measurable. The schedule of activities should be finalized no later than two weeks prior to the exchange.
  - The Oct-Dec exchange should allow the protégé time to shadow her mentor or other designated members of leadership during that individual's regular duties as well as provide time to plan a leadership project or study.
  - The Feb-Apr exchange should allow time for the protégé to report on her leadership project progress and have knowledge and skill-building experiences supervised by the mentor or a designee.
- Monthly hour-long protégé meetings with mentor. These meetings can occur in person or virtually (e.g., Skype). They will give protégés and mentors an opportunity to discuss leadership and career development, project or study, topics of mutual interest, progress on leadership skill development, general career advice, etc.

**Number of Participants:** 16 (two from each institution)

**Number of Mentors:** 16 (two from each institution)

**Budget:** \$28,600

This would cover the costs for the four meetings (2 retreats and 2 workshops) at the Board of Regents Offices: food (\$5,000) for four days, travel (\$5,000), and hotel (\$5,000) for those needing one (DSU, SUU, Snow, USU), materials (\$1,600), which includes the DecisionWise 360 Survey \$80 and *Strength Finders* book \$20 for each participant. A \$300 stipend and recognition gift/plaque will be given to each mentor and a program completion plaque given to participants (\$8,000). Additional funding (\$4,000) used as needed or for underserved participants. Snow and SLCC may not have adequate PD funds available.

USHE presidents would need to assure full support of participation for time commitments and devote other funding that may be required for their protégés and mentors. The time commitment is 10 days away from campus for protégés and eight days (two away from campus and six on campus) for mentors. All days will count as paid and will not count against sick or vacation time. Funding may be needed for some leadership projects. If so, the institution/s benefited will determine, approve and provide funding.

**Things we want to include:**

- A project or study that will lead to a concrete outcome to develop knowledge or skills documented on the CV/resume. Could be at home or host institution.
- Financial backing from home institution for travel, time off for meetings, etc.
- Investment of time from mentors
- Strengths Finder 2.0
  - Book: <https://www.gallup.com/press/176429/strengthsfinder.aspx>
  - Test: <https://www.gallupstrengthscenter.com/home/en-us/strengthsfinder>
- DecisionWise 360 Leadership Evaluation
  - <https://www.decision-wise.com/360-degree-feedback/>
- Advisory board or steering committee to help Regent Women with project
- Focus on women who are mid-career and in line to be Chairs, Deans, Directors, VPs, and CAOs (see table below for justification)

**Utah Trends: Highest Academic Positions in Higher Education**

|                         | 2014*    | 2017*    | 2018        |
|-------------------------|----------|----------|-------------|
|                         | % Female | % Female | % Female    |
| Board of Regents        | 31.6     | 31.6     | <b>35.3</b> |
| Presidents              | 12.5     | 25.0     | <b>44.4</b> |
| Board of Trustees       | 29.8     | 38.3     | 32.5        |
| Chief Academic Officers | 25.0     | 25.0     | 25.0        |
| Other Vice Presidents   | 22.9     | 18.4     | <b>23.4</b> |
| President's Cabinets    | 23.0     | 27.4     | 26.3        |
| Deans                   | 30.8     | 22.9     | 24.3        |

\*Madsen et al., 2014, 2017, Table 1. The Status of Women Leaders in Higher Education Reports

**Justification:**

The USHE Regent's Women in Leadership Exchange program is a promising way to create a catalyst for leadership development for women in higher education across the state. It will also illustrate the value and importance of mentoring in developing women leaders in USHE. As illustrated in the table above, Utah is not equitable in the status of women leaders in higher education. There are especially low numbers in the pipeline from mid-level to senior leadership positions. This gives women currently in USHE a great disadvantage in advancing within the system. Many studies have shown that families or couples are more likely to move for a man's job than for a woman's job. One US study found that many more men than women had relocated for a job -- 60.5% versus 31.2% (Allied, 2018). The lack of equity currently in the state combined with the lack of mobility for women compounds the need for leadership development and opportunities within the system. Therefore, providing leadership development and opportunities for women within USHE will greatly benefit women who call Utah their home.

<https://www.allied.com/infographic/job-relocation-survey>

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: Dave Buhler, Commissioner  
SUBJECT: Adoption of Policy R615, *Talent Development Incentive Loan Program*

Issue

During the 2018 Legislative Session, the Legislature passed S.B. 104, which creates a program to provide an incentive loan to a student who intends to work in a qualifying job. The legislation directed the Board of Regents to enact rules that establish an application process for an individual to apply for an incentive loan, establish qualifying criteria for an individual to receive an incentive loan, direct how appropriations are divided among the institutions, and to otherwise administer the program.

Background

The Talent Development Incentive Loan Program provides a loan to students who are pursuing a qualifying degree for a qualifying job, and intends to work in a qualifying job in Utah. The Governor's Office of Economic Development will determine which jobs are qualifying and the qualifying degrees for each. Institutions may forgive the students' loans based on how long the students work in qualifying jobs.

The Legislature directed the Board of Regents to oversee the application process and general administration of the program, including a process for appropriately dividing funding among the institutions. This policy establishes the operating procedures for this program directed by the Legislature.

Commissioner's Recommendation

The Commissioner recommends the Regents review the proposed policy and, if in agreement with the new policy, establish R615, *Talent Development Incentive Loan Program*, effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/GTL  
Attachments

# R615, Talent Development Incentive Loan Program<sup>1</sup>

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**R615-1. Purpose:** To establish the criteria and process for awarding incentive loans from the Talent Development Incentive Loan Program under Utah Code Section 53B-10-201.

## R615-2. References

- 2.1. Utah Code Section 53B-10-201

## R615-3. Definitions

- 3.1. "Full-time student" means a student who is enrolled in a minimum of 12 credit hours.
- 3.2. "GOED" means the Governor's Office of Economic Development created in 50 Section 63N-1-201.
- 3.3. "Incentive loan" means an incentive loan awarded by an institution to a full-time student who has met the eligibility criteria as established by the Board of Regents.
- 3.4. "Qualifying degree" means an associate's or a bachelor's degree that qualifies an individual to work in a qualifying job.
- 3.5. "Qualifying job" means a job described in Section \_\_\_\_\_ for which an individual may receive an incentive loan.

**R615-4. Appropriations:** The program is funded by appropriations from the Legislature made in accordance with Section 53B-10-201.

**R615-5. Application Procedures:** A full-time student pursuing a qualifying degree may apply for an incentive loan from the institution at which he or she is attending by doing the following:

- 5.1. The institutions shall develop an application that, at minimum, collects the following information:
  - 5.1.1. The applicant's status as a full-time or part-time student
  - 5.1.2. The applicant's current enrollment or registered enrollment for and the upcoming semester if available.
  - 5.1.3. A transcript demonstrating the student's completed course work.
  - 5.1.4. A section for the student to formally declare his or her intent to pursue a qualifying degree and to work in a qualifying job, with a signature.
- 5.2. Institutions shall set application deadlines, by which applicants must submit all required materials.

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<sup>1</sup> Adopted July 21, 2017.

5.3. Institutions shall determine the most efficient method for issuing incentive loan funds and collect the necessary information for that purpose.

#### **R615-6. Qualifying Criteria**

6.1. Students must meet the following criteria to qualify for an incentive loan:

6.1.1. The applicant must have completed at least two semesters of full-time equivalent course work if he or she is pursuing a Bachelor's degree, or at least one semester of full-time equivalent course work if he or she is pursuing an associate's degree.

6.1.2. The applicant is enrolled full-time.

6.1.3. The applicant signs a declaration stating he or she is pursuing or will pursue a qualifying degree.

6.1.4. The applicant signs a declaration stating his or her intent to work in a qualifying job in Utah following graduation.

6.1.5. The applicant must provide the institution verification of registration for classes within the qualifying degree program before the institution may release the funds.

6.2. Every other academic year, the Governor's Office of Economic Development (GOED) shall select five jobs that have the highest demand for new employees, and offer high wages. Beginning the August of that year, those five positions are designated as qualifying jobs for the purposes of this incentive loan program. When selecting the qualifying jobs, GOED shall ensure the jobs meet the following criteria:

6.2.1. Rank in the top 40 percent of jobs based on an employment index that considers job growth rates and total openings.

6.2.2. Rank in the top 40 percent for wages

6.2.3. Requires an associate's degree or a bachelor's degree

6.3. In conjunction with selecting the qualifying jobs, GOED will identify and designate the bachelor or associate degrees required to qualify for the five qualifying jobs.

#### **R615-7. Loan Amounts.**

7.1. Institutions may loan an amount up to the cost of resident tuition, books, and fees for their respective institutions.

7.2. Institutions may loan amounts up to the expected time for the recipient to complete the qualifying degree, as determined by the institution.

#### **R615-8. Funding Distribution.**

8.1. The Board will disburse appropriated funds to the institutions by calculating the three-year average of the qualifying degrees each institution awarded using the following assumptions:

8.1.1. Tuition and fees (not including books, differential, course, or program fees)

**8.1.2.** Full tuition and fee cost of associate's degree students by institution for three semesters (requires 1 semester before applying)

**8.1.3.** Full tuition and fee cost of bachelor's degree students by institution for six semesters (requires 2 semester before applying)

**8.1.4.** After year one, tuition and fees adjusted for inflation (five-year average of 3.5%)

#### **R615-9. Loan Cancellation, Repayment, and Waiver.**

**9.1.** For each year that a recipient works in a qualifying job in Utah following completion of a qualifying degree, the institution that awarded the incentive loan shall waive repayment of the amount of one year of the recipient's incentive loan.

**9.2.** An institution shall require a recipient to repay to the institution the full amount of an incentive loan if the recipient fails to:

**9.2.1.** graduate with a qualifying degree within six years of initially receiving the incentive loan, or

**9.2.2.** work in a qualifying job in Utah within one year of completing a qualifying degree.

**9.2.3.** works in a qualifying job for fewer years than the number of years required to waive repayment of the full incentive loan.

**9.3.** Institutions may cancel an incentive loan if the recipient changes the degree he or she selected in the declaration at any time prior to graduation.

**9.4.** Institutions may waive repayment if a recipient has graduated with a qualifying degree within six years of receiving the loan, works in a non-qualifying job the institution that is reasonably related to the degree, and resides in Utah.

**9.5.** Institutions may delay repayment for reasonable, unforeseen circumstances that inhibits the recipient's ability to meet the requirements for loan payment waivers as described above.

**9.6.** Institutions may waive repayment for circumstances of prolonged financial hardship.

#### **R615-10. General Administration.**

**10.1.** Institutions may establish policies for administering this program that align with their existing practices and financial aid programs.



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Revision of Regent Policy R805, *Women and Minorities in Faculty and Administrative Positions*

Issue

The Regents have a long history of actions designed to focus attention on and to encourage representative participation in the Utah System of Higher Education (USHE) for students, faculty and staff. Regents Policy R805, *Women and Minorities in Faculty and Administrative Positions*, approved by the Board in 1985, is a part of that history. It is time to update this 33-year-old policy to assure it is responsive to current times.

Background

Current Board members have expressed interest in continuing to carefully monitor the representation by gender and ethnic group of the faculty and staff of the USHE. This is particularly important because there is research that demonstrates students from diverse backgrounds are more likely to participate in higher education and continue to completion if they see individuals like themselves represented in the faculty, staff and administration of higher education institutions. Appointments of women to the presidencies of four of the eight USHE institutions have brought the power of these appointments into sharp focus.

Updating the policy to reflect more current language and data reporting includes:

1. **Policy Title Change:** A change in the policy title from “Women and Minorities in Faculty and Administrative Positions” to the broader, more specific, and inclusive of all USHE positions (not just faculty and administrative positions, but staff positions as well) “Demographic and Salary Representation within the Utah System of Higher Education.”
2. **Clarity in Board Goals:** This proposed revision includes more clearly stated policy goals: (1) representation to mirror Utah’s population, and (2) market-based salaries (to attract and retain a representative workforce).
3. **Clarity in the Data to be Collected:** Collecting good data to inform future best practices and policies requires a clear delineation of the data to be collected. USHE Chief Diversity Officers and USHE Institutional Research staff assisted in drafting the language being considered today, with advice about what data can and should be collected to inform Board decisions.

Commissioner's Recommendation

The Commissioner recommends the Board approve the proposed changes to R805, to include a change in policy title from "*Women and Minorities in Faculty and Administrative Positions*" to the broader, more specific, and inclusive of all USHE positions (not just faculty and administrative positions, but staff positions as well) "*Demographic and Salary Representation within the Utah System of Higher Education.*"

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David L. Buhler  
Commissioner of Higher Education

DLB/EJH/KH/GL  
Attachment



## R805, ~~Women and Minorities in Faculty and Administrative Positions~~ Demographic and Salary Representation Within the Utah System of Higher Education Workforce<sup>1</sup>

R805-1. ~~Purpose: To provide for an annual report to the Board on the representation by gender and ethnicity in the workforce of the Utah System of Higher Education (USHE) with the goals of having USHE institutions: (1) employ a diverse workforce that mirrors the population representation within Utah across all levels of faculty, staff, and administration; and (2) achieve equitable market-based salaries for all groups, concerning the status of women and minorities as faculty members and administrators in the Utah System of Higher Education.~~

### R805-2. References

- 2.1. Utah Code §53B-2-106 (Duties and Responsibilities of the President - Approval of the Board of Trustees)
- 2.2. Policy and Procedure R801, Equal Opportunity and Nondiscrimination

### R805-3. Policy Analysis of USHE Workforce

3.1. ~~Comparative Analysis of USHE Workforce Representation~~ **Faculty Employment:** ~~The Commissioner is directed, in consultation with the Presidents, to prepare annually comparative analyses of women and minorities in faculty and administrative employment, including salary levels, and tenure status and awards. The reports shall take into account specific academic departments, specific CIP categories of academic disciplines and fields, or appropriate classifications of administrative personnel, and length of service. The Commissioner shall prepare a report detailing the USHE workforce's demographic representation and salaries. Institutions shall provide the Commissioner's staff data as requested, including the following:~~

3.1.2. The number of faculty—tenured, tenure track, instructors, and adjunct separately, and disaggregated by gender, race, ethnicity, and salary for each classification.

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3.1.3. The number of general staff (FLSA non-exempt), part-time and full-time, and disaggregated by gender, race, ethnicity, and salary.

3.1.4. The number of administrative/executive (FLSA exempt), -disaggregated by gender, race, ethnicity, and salary.

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~~(1) The Presidents will ensure their respective institutions provide data such that the Commissioner can prepare Presidents, an annual report (in the aggregate) of faculty (tenured, tenure track, and adjunct), general staff, and administrative/executive positions showing, for for the full group and disaggregated by gender and ethnicity for each category the:  
(a) number and percentage represented:~~

<sup>1</sup> Adopted February 15, 1985, amended January 27, 1995.

~~(b) average salary; and include the following: and by college, school, and other administrative units within each institution; women and for minorities:~~

- ~~(a) the number and percentage in faculty positions;~~
- ~~(b) the number and percentage in administrative positions;~~
- ~~(c) the average faculty salary and the average salary for all faculty;~~
- ~~(d) the average administrative salary and the average salary for all administrators;~~
- ~~(e) the number and percentage holding tenure-track faculty positions; and~~
- ~~(f) the number and percentage with tenure.~~

~~(2) The report shall aggregate the data at the system level, but take into account and appropriately weight factors including academic department, CIP category of academic discipline and field, length of service, and classification of administrative personnel.~~

~~**3.2 Board Discussion.** The Commissioner shall present the annual report will be presented to the Board with comparative demographics analysis, potential areas of concern, analysis of areas needing improvement in order for the workforce of the USHE institutions to: (1) mirror representation consistent with Utah's population, and (2) reflect market salaries. Based on Board discussion, the Commissioner may and recommend recommendations for policy and/or best practices changes to be implemented to reach the Board's desired goals that will help the system cultivate a diverse workforce and equitable pay practices.~~

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# R805, Demographic and Salary Representation Within the Utah System of Higher Education Workforce<sup>1</sup>

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**R805-1. Purpose:** To provide an annual report to the Board on the representation by gender and ethnicity in the workforce of the Utah System of Higher Education (USHE) with the goals of having USHE institutions: (1) employ a diverse workforce across all levels of faculty, staff, and administration; and (2) achieve equitable market-based salaries for all groups. .

## R805-2. References

- 2.1. Utah Code [§53B-2-106](#) (Duties and Responsibilities of the President - Approval of the Board of Trustees)
- 2.2. Policy and Procedure [R801](#), Equal Opportunity and Nondiscrimination

## R805-3. Analysis of USHE Workforce

- 3.1. : The Commissioner shall prepare a report detailing the USHE workforce's demographic representation and salaries. Institutions shall provide the Commissioner's staff data as requested, including the following:
  - 3.1.2. The number of faculty—tenured, tenure track, instructors, and adjunct separately, and disaggregated by gender, race, ethnicity, and salary for each classification.
  - 3.1.3. The number of general staff (FLSA non-exempt), part-time and full-time, and disaggregated by gender, race, ethnicity, and salary.
  - 3.1.4. The number of administrative/executive (FLSA exempt), disaggregated by gender, race, ethnicity, and salary.
- 3.2 **Board Discussion.** The Commissioner shall present the annual report to the Board with comparative demographics analysis, potential areas of concern, and recommendations for policy or best practices that will help the system cultivate a diverse workforce and equitable pay practices.

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<sup>1</sup> Adopted February 15, 1985, amended January 27, 1995.

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: Revised Regents' Mental Health Recommendations

Issue

In implementing the Regents' Mental Health Recommendations approved in September 2017, it became clear that some of the strategies needed additional clarification and detail. The attached revisions to the recommendations are proposed for consideration and approval in an effort to clarify strategies.

Background

As required in the Regents' Mental Health Recommendations, the Utah System of Higher Education (USHE) Counseling Center Directors met (June 4, 2018). Regent Patricia Jones, chair of the Regents' Mental Health Working Group, led a focus group to gain the directors' insights into implementing the recommendations at each of the institutions. Each recommendation and strategy was reviewed and discussed. Edits to some of the strategies were suggested to: (1) make implementation possible, and (2) provide sufficient data to the Regents on the effectiveness of the strategies in responding to student mental health needs. The Chief Student Affairs Officers reviewed the revised strategies and provided feedback.

Changes to the suggested revisions to the Regents' Mental Health Recommendations include:

- Surveys – require every USHE institution to administer in alternating years two surveys (ACHA NCHA and Healthy Minds Study) to assess student mental health
- Staff ratios – added a new recommendation that includes working toward a staff to student ratio national standard, if supported by institutional data of student mental health needs
- Removed language that was vague, redundant, or not feasible to implement
- Clarified areas of confusion and moved language for better flow (slightly reduces the number or strategies)

Policy Issues

With these revised recommendations, the Regents provide more clear and specific guidance to institutions on assessing and addressing the mental health needs of students. The revisions to the Regents' Mental Health Recommendations will not require a policy change.

Commissioner's Recommendation

The Commissioner recommends the Board of Regents approve the revisions to the Regents' Mental Health Recommendations.

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David L. Buhler  
Commissioner of Higher Education

DLB/MCB  
Attachment

**Board of Regents Mental Health Recommendations**  
**Approved: September 2017**  
**Revised: November 2018**

The Regents' Mental Health Working Group recommends that the State Board of Regents affirms the following and directs the Commissioner to work with institutional presidents to address the mental health crisis at Utah System of Higher Education (USHE) institutions and to achieve the following outcomes. Specific strategies are listed below each outcome.

**1. Assess the Mental Health and Wellness Needs of USHE Students**

- ~~In an effort to make more data-informed policy decisions, assure the Chief Student Affairs Officers (CSAOs) of the USHE institutions agree upon use the following systematic evaluation tools to assess the mental health and wellness of USHE students: the American College Health Association National College Health Assessment (ACHA NCHA) in the spring semester of odd years starting 2019 and the Healthy Minds Study (HMS) in the spring semester of even years starting 2020. This evaluation will be conducted by all institutions in the same year (starting in the 2018-19 academic) and at least every three years.~~ The results of the evaluations will be reported to the Board of Regents.
- ~~Each USHE institution will report to the Commissioner's Office their mental health services utilization rates and wait times, which will be compiled as a system-wide report presented to the Board of Regents annually.~~

**2. Improve Mental Health Education at USHE Institutions**

In an effort to more effectively prevent and treat mental health issues within the USHE system, assess and, if needed, modify educational standards for faculty, adjunct faculty, staff, and students. The goal of the standards should be ~~to increase~~increasing the ability of these groups to identify mental health issues and to refer students to appropriate mental health resources, as needed.

The Commissioner's Office will:

- Convene the Counseling Center Directors from each USHE institution at least annually to discuss best practices for training and other strategies or other relevant topics to assure the best mental health practices for students. These topics may include "Okay to Say" or similar awareness campaigns, and collaboration with the Utah Suicide Prevention Coalition, Utah Division of Substance Abuse and Mental Health, and the Utah Student Association.

Each USHE institution will:

**Faculty/Staff**

- ~~Work to implement a mental health education training for new faculty and staff, with ongoing follow-up training opportunities available for all faculty and staff. Implement a mental health education requirement (recommended annually) for all faculty and staff that complements current sexual assault/harassment training.~~
- ~~Each USHE institution will actively provide either QPR (Question, Persuade, Refer) training or Mental Health First Aid training to faculty, using either continuously available on-line instruction or at least two times a year using another modality.~~



## Students

- Offer opportunities and encourage students to participate in mental health literacy training to help students identify, respond to, and refer peers to appropriate mental health resources.
- Offer service learning and volunteer opportunities that provide exposure to mental health issues and treatment and may lead to career opportunities in mental health settings.
- Assure that institutional student health and wellness programs systematically address the biopsychosocial aspects of mental health and well-being.
- Collaborate with existing or developing K-16 Alliances to determine how that are working to better prepare students for mental health issues across the continuum of K-16 education. Actions-Collaboration may include such things as: (1) increasing awareness and better coordination of the K-16 mental health continuum, (2) developing K-16 resiliency training, (3) working to transfer information on students under Section 504 of the Rehabilitation Act of 1973 from K-12 to higher education institutions students are attending, with consideration of whether such transfer includes Individualized Education Programs (IEPs).
- For those institutions with mental health therapy training programs, evaluate current group offerings and participation (evidence-based, including formal therapy and peer support) to determine their effectiveness and implement any changes needed to increase effectiveness.

### 3. Increase Access to Mental Health Services

In an effort to more effectively address the mental health needs of students in the USHE system, implement strategies to increase access to varying psychological treatments that are empirically supported.

- Work collaboratively with community and regional providers to increase access to psychiatric care community-wide, especially in underserved areas of the state.
- Evaluate and implement strategies that address mental health professional shortages, especially in underserved areas, such as:
  - Expanding graduate program capacity and program options to increase number and diversity of professionals produced.
  - Collaborating with the Utah Medical Education Council (UMEC) and other stakeholders in programs, such as the WICHE-sponsored Mental Health Program Rural Psychology Internship Initiative, where the objective of better mental health services for USHE students is one of the objectives. Support the UMEC's role coordinating implementation of the WICHE Rural Psychology Internship Initiative in Utah to expand mental health services in rural areas.
- For institution-based psychotherapy services:
  - Examine strategies for expanding services to better serve students (e.g., increasing after-hours and weekend hours, contracting with community-based providers, utilizing peer mentors and support groups for mild psychological distress, and/or utilizing telehealth and web-based program applications).
  - Evaluate current group offerings and student participation in various types of groups, including formal therapy, psychoeducational, and support/peer support. Assess effectiveness of groups and implement any changes needed to improve effectiveness. (evidence-based, including formal therapy and peer support) to determine their effectiveness and implement any changes needed to increase effectiveness.
  - Examine increasing the use of insurance compensation to expand mental health therapy services for students.

- Work-Collaborate with state and local agencies and coalitions that are working to create statewide and institution-based evidence-based stigma reduction campaigns.
- Support and implement the higher education expansion of the SafeUT mobile app, including personalizing the SafeUT app for each institution and identifying a point of contact at each institution.
- If supported by institutional data of student mental health needs, work toward the acquisition of therapeutic providers relative to the student body size and unique characteristics of the institution consistent with minimum staffing ratios established by the International Association of Counseling Services (IACS).

#### 4. **Develop Institutional Five-Year Mental Health Implementation Plans**

In order to systematically evaluate whether USHE student mental health services and wellness improve over time, each institution will:

- Develop a five-year mental health implementation plan that is based on Regent-adopted recommendations and includes measurable institutional goals and assessments. The plan will be due summer 2019 with subsequent review by the Board of Regents.
- Prepare an annual report on progress on the institutional implementation plan that will be submitted to the institutional Board of Trustees and to the Board of Regents.
- When an institution hosts the Board of Regents, the institution will present on progress and efforts on mental health issues including. Each USHE institution will report to the Commissioner's Office their mental health services utilization rates and wait times, which will be compiled as a system wide report presented to the Board of Regents annually.

**Board of Regents Mental Health Recommendations**  
**Approved: September 2017**  
**Revised: November 2018**

The Regents' Mental Health Working Group recommends that the State Board of Regents affirms the following and directs the Commissioner to work with institutional presidents to address the mental health crisis at Utah System of Higher Education (USHE) institutions and to achieve the following outcomes. Specific strategies are listed below each outcome.

**1. Assess the Mental Health and Wellness Needs of USHE Students**

- In an effort to make more data-informed policy decisions, assure the Chief Student Affairs Officers (CSAOs) of the USHE institutions use the following systematic evaluation tools to assess the mental health and wellness of USHE students: the American College Health Association National College Health Assessment (ACHA NCHA) in the spring semester of odd years starting 2019 and the Healthy Minds Study (HMS) in the spring semester of even years starting 2020. The results of the evaluations will be reported to the Board of Regents.

**2. Improve Mental Health Education at USHE Institutions**

In an effort to more effectively prevent and treat mental health issues within the USHE system, assess and, if needed, modify educational standards for faculty, adjunct faculty, staff, and students. The goal of the standards should be increasing the ability of these groups to identify mental health issues and to refer students to appropriate mental health resources, as needed.

The Commissioner's Office will:

- Convene the Counseling Center Directors from each USHE institution at least annually to discuss best practices for training and other strategies or other relevant topics to assure the best mental health practices for students. These topics may include "Okay to Say" or similar awareness campaigns, and collaboration with the Utah Suicide Prevention Coalition, Utah Division of Substance Abuse and Mental Health, and the Utah Student Association.

Each USHE institution will:

**Faculty/Staff**

- Work to implement a mental health education training for new faculty and staff, with ongoing follow-up training opportunities available for all faculty and staff.

**Students**

- Offer opportunities and encourage students to participate in mental health literacy training to help them identify, respond to, and refer peers to appropriate mental health resources.
- Offer service learning and volunteer opportunities that provide exposure to mental health issues and treatment and may lead to career opportunities in mental health settings.
- Assure that institutional student health and wellness programs systematically address the biopsychosocial aspects of mental health and well-being.
- Collaborate with existing or developing K-16 Alliances that are working to better prepare students for mental health issues across the continuum of K-16 education. Collaboration may include such things as: (1) increasing awareness and better coordination of the K-16 mental health continuum, (2) developing K-16 resiliency training, (3) working to transfer information on students under Section 504 of the Rehabilitation Act of 1973 from K-12 to higher education institutions students are attending, with consideration of whether such transfer includes Individualized Education Programs (IEPs).

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  - Expanding graduate program capacity and program options to increase number and diversity of professionals produced.
  - Collaborating with the Utah Medical Education Council (UMEC) and other stakeholders in programs, such as the WICHE-sponsored Mental Health Program Rural Psychology Internship Initiative, where the objective of better mental health services for USHE students is one of the objectives. Support the UMEC's role coordinating implementation of the WICHE Rural Psychology Internship Initiative in Utah to expand mental health services in rural areas.
- For institution-based psychotherapy services:
  - Examine strategies for expanding services to better serve students (e.g., increasing after-hours and weekend hours, utilizing peer mentors and support groups for mild psychological distress, and/or utilizing telehealth and web-based program applications).
  - Evaluate current group offerings and student participation in various types of groups, including formal therapy, psychoeducational, and support/peer support. Assess effectiveness of groups and implement any changes needed to improve effectiveness.
- Collaborate with state and local agencies and coalitions that are working to create statewide and institution-based evidence-based stigma reduction campaigns.
- Support and implement the higher education expansion of the SafeUT mobile app, including personalizing the SafeUT app for each institution and identifying a point of contact at each institution.
- If supported by institutional data of student mental health needs, work toward the acquisition of therapeutic providers relative to the student body size and unique characteristics of the institution consistent with minimum staffing ratios established by the International Association of Counseling Services (IACS).

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In order to systematically evaluate whether USHE student mental health services and wellness improve over time, each institution will:

- Develop a five-year mental health implementation plan that is based on Regent-adopted recommendations and includes measurable institutional goals and assessments. The plan will be due summer 2019 with subsequent review by the Board of Regents.
- Prepare an annual report on progress on the institutional implementation plan that will be submitted to the institutional Board of Trustees and to the Board of Regents.
- When an institution hosts the Board of Regents, the institution will present on progress and efforts on mental health issues including mental health services utilization rates and wait times.

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: USHE – Revision of Policy R510 & Adoption of Policies R514, R515, R516

Issue

The Board is asked to review and take action on the proposed policy revisions to Regent Policy, R510, *Tuition and Fees*.

Background

During the September 2018 Board meeting, the Finance and Facilities received an update related to the Board's initiative to review its tuition and student aid policies. As part of this update, the Board engaged in a conversation regarding its current tuition policy and practices and the potential impact on student affordability.

As a result of the conversation, the Finance and Facilities Committee directed the Commissioner's staff to begin work on a revised tuition policy that would do the following and report back at the November Board meeting:

1. Discontinue the practice of a uniform tuition rate being applied to all USHE institutions.
2. Discontinue the practice of a first-tier/second-tier tuition setting process and move to a process that allows for institution specific tuition rates (effective for the March 2019 tuition cycle).

In reviewing the current policy, the Commissioner's staff has recommended that the current policy be divided into the following four policies. Each of the four policies is included in the attachments for the Board's review and consideration.

1. R510, *Tuition*
2. R514, *Refunds of Tuition, Fees, and Other Student Charges*
3. R515, *Excess Credit Hour Surcharges*
4. R516, *General Student Fees*

It is important to note that the majority of the language in these four policies currently exists in the current version of the Regent Policy R510, *Tuition and Fees*. The primary exception to this is the new language that has been added to the tuition setting policy that eliminates the long-standing uniform tuition requirement and the tiered-tuition structure, as well as new language that provides guidance on what institutions are required to submit when proposing tuition adjustments.

It is anticipated that these policies will continue to be reviewed throughout the year in more detail once the tuition and student aid policy study is completed and as the Board continues its work strengthen the framework to ensure affordable access to higher education for Utah students.

Commissioner's Recommendation

The Commissioner recommends the Regents review and approve the revisions to Regent Policy R510 and adopt Regent policies R514, R515, and R516, effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH  
Attachments

**R510-1. Purpose:** To establish a tuition policy for the Utah System of Higher Education (USHE) including identification of authorized tuition models and other tuition charges.

## **R510-2. References**

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. State Board of Regents Policy, R511 (Tuition Disclosures and Consultation)

## **R510-3. Setting Tuition**

- 3.1. The Board of Regents shall set tuition, fees, and charges for each institution at levels necessary to meet budget requirements.
- 3.2. The president of each USHE institution, in consultation with their Board of Trustees and student body leadership, may recommend institutional tuition rate adjustments to the Board of Regents for review and action. Presidents who wish to adjust their institution's tuition rate must submit a formal proposal to the Board of Regents that includes the following:
  - 3.2.1. The total tuition adjustment in both dollars and percentage increase or decrease;
  - 3.2.2. A detailed list of how the institution plans to use the additional tuition revenue, which may include tuition adjustments required to meet Legislative funding matches for compensation and internal service fees, faculty promotion and tenure adjustments, and other operating needs identified by the institution;
  - 3.2.3. The anticipated impact of the proposed tuition adjustment on student access, retention, and completion rates;
  - 3.2.4. Rationale and justification for why the tuition rate adjustment is necessary, including reference to the institution's efforts to fund the proposed uses with existing resources, through internal reallocation, or institutional efficiencies;
  - 3.2.5. Documentation which shows support from the Board of Trustees; and
  - 3.2.6. Documentation which shows students were advised of proposed tuition rates through Truth-in-tuition Hearings and Student Body Leadership Councils.

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

3.3. The Board shall include its projected tuition rates in its unified budget proposal to the Legislature.

3.4. In the first Board of Regents meeting following the legislative session, the Board shall vote on final proposed tuition adjustments, if any.

3.5. Tuition changes approved by the Board take effect for the subsequent semester.

#### **R510-4. Annual Review**

4.1. The Board shall annually review price competitive tuition data including: comparisons with national and regional tuition and fee data, institutional cost data, median income statistics, average student debt load data, general and course fee data, and other affordability factors the Board identifies to determine if tuition adjustments are necessary to maintain fairness and price competitiveness.

4.2. Under the direction of the Regent Audit Subcommittee, the USHE internal auditor will select one or more institution's tuition adjustment proposals to verify accuracy, integrity, and reliability of the data provided to the Board of Regents at the end of the associated fiscal year.

#### **R510-5. Tuition Cost Ratios**

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

5.2. **Graduate/Undergraduate Tuition Cost Ratios:** Tuition for resident and nonresident graduate students will be set at no less than 110 percent of tuition for undergraduate students.

#### **R510-6. Authorized Tuition Models**

6.1. Institutions may use either one of the following tuition models:

6.1.1. A Linear Tuition Model in which the incremental tuition charge per student credit hour is the same without regard to the number of hours for which a student is enrolled.

6.1.2. A Plateau Model in which students carrying a defined full-time load are charged a uniform rate within a defined range of credit hours. Tuition per credit hour between one credit hour and the beginning of the plateau range shall increase in linear increments. Students enrolled for credit hours beyond the plateau range shall be charged at the same rate-per-credit-hour as the credit hours preceding the plateau range. The plateau, may be any range between 10 and 20 credit hours.

#### **R510-7. Other Tuition Charges**

7.1. **Registration Costs:** Registration costs shall be included in tuition, not assessed as a separate fee category.



**7.2. Online Tuition:** The Board may authorize alternative tuition schedules for online courses on a case by case basis.

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

**7.3.1.** The student and workforce demand for the program;

**7.3.2.** The impact of differential tuition rates on student access and retention;

**7.3.3.** The tuition rates of comparable programs at other institutions; and

**7.3.4.** The potential earnings capacity of program graduates.

**7.4. Apprenticeship Programs:** Tuition for courses offered specifically for apprenticeship programs shall be at least one-half the tuition for other credit courses at the institution, but shall not exceed regular tuition rates.

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

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

**7.7. Summer School:** Institutions may reduce tuition rates for summer school students to incentivize students to attend during summer semesters.

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

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

**7.10. Medicine and Law:** The Board will consider tuition for Medicine and Law programs separate from other programs.

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

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

**R510-1. Purpose:** ~~To establish a tuition and general fee policy.~~ To establish a tuition policy for the Utah System of Higher Education (USHE) including identification of authorized tuition models and other tuition charges.

## R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. State Board of Regents Policy, R511 (Tuition Disclosures and Consultation)

## R510-3. ~~General Policy~~ Setting Tuition

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

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

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

3.1. The Board of Regents shall set tuition, fees, and charges for each institution at levels necessary to meet budget requirements.

3.2. The president of each USHE institution, in consultation with their Board of Trustees and student body leadership, may recommend institutional tuition rate adjustments to the Board of Regents for review and action. Presidents who wish to adjust their institution's tuition rate must submit a formal proposal to the Board of Regents that includes the following:

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

3.2.1. The total tuition adjustment in both dollars and percentage increase or decrease;

3.2.2. A detailed list of how the institution plans to use the additional tuition revenue, which may include tuition adjustments required to meet Legislative funding matches for compensation and internal service fees, faculty promotion and tenure adjustments, and other operating needs identified by the institution;

3.2.3. The anticipated impact of the proposed tuition adjustment on student access, retention, and completion rates;

3.2.4. Rationale and justification for why the tuition rate adjustment is necessary, including reference to the institution's efforts to fund the proposed uses with existing resources, through internal reallocation, or institutional efficiencies;

3.2.5. Documentation which shows support from the Board of Trustees; and,

3.2.6. Documentation which shows students were advised of proposed tuition rates through Truth-in-tuition Hearings and Student Body Leadership Councils.

3.3. The Board shall include its projected tuition rates in its unified budget proposal to the Legislature.

3.4. In the first Board of Regents meeting following the legislative session, the Board shall vote on final proposed tuition adjustments, if any.

3.5 Tuition changes approved by the Board take effect for the subsequent semester.

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

#### R510-4. Annual Review

4.1. The Board shall annually review price competitive tuition data including: comparisons with national and regional tuition and fee data, institutional cost data, median income statistics, average student debt load data, general and course fee data, and other affordability factors the Board identifies to determine if tuition adjustments are necessary to maintain fairness and price competitiveness.

4.2. Under the direction of the Regent Audit Subcommittee, the USHE internal auditor will select one or more institution's tuition adjustment proposals to verify accuracy, integrity, and reliability of the data provided to the Board of Regents at the end of the associated fiscal year.

#### R510-5. Tuition Cost Ratios

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

**5.2. Graduate/Undergraduate Tuition Cost Ratios:** Tuition for resident and nonresident graduate students will be set at no less than 110 percent of tuition for undergraduate students.

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

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

~~**3.7. — Annual Review for Fairness and Price Competitiveness:** Annually, the tuition relationship targets, comparisons with national and regional tuition and fee data, institutional cost data, general and course fee data, and other factors shall be reviewed to determine if modifications are necessary to maintain fairness and price competitiveness.~~

#### **R510-46. Authorized Tuition Models ~~Tuition Charges~~**

**6.1. Institutions may use either one of the following tuition models:**

**6.1.1. A Linear Tuition Model in which the incremental tuition charge per student credit hour is the same without regard to the number of hours for which a student is enrolled.**

**6.1.2. A Plateau Model in which students carrying a defined full-time load are charged a uniform rate within a defined range of credit hours. Tuition per credit hour between one credit hour and the beginning of the plateau range shall increase in linear increments. Students enrolled for credit hours beyond the plateau range shall be charged at the same rate-per-credit-hour as the credit hours preceding the plateau range. The plateau, may be any range between 10 and 20 credit hours.**

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

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

#### **R510-7. Other Tuition Charges**

**7.1. Registration Costs:** Registration costs shall be included in tuition, not assessed as a separate fee category.

~~**4.1.2.**~~ **7.2. Online Tuition:** The Board may authorize alternative tuition schedules for online courses on a case by case basis.

~~Alternative tuition schedules for online courses may be authorized by the Board on a case by case basis.~~

~~7.34.2. Differential Tuition: The Board may authorize Differential tuition schedules for undergraduate and graduate programs may be authorized by the Board on a case by case basis. In addition to initially approving differential tuition rates for academic programs, differential tuition increases beyond the regular institutional tuition increase proposal should shall be approved by the Board. The institution shall use The increased revenues from the differential tuition rate charges shall be used by the institution to benefit the impacted program and to help support related campus services. Institutions requesting differential tuition schedules should consult with students in the program and consider the following:~~

~~7.3.1.4.2.1. The student and market-workforce demand for the program;~~

~~7.3.2.4.2.2. The impact of differential tuition rates on student access and retention;~~

~~7.3.3.4.2.3. The tuition rates of comparable programs at other institutions; and~~

~~7.3.4.4.2.4. The potential earnings capacity of program graduates.; and~~

~~4.2.5. the societal importance of the program~~

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

~~7.4.4.4. Apprenticeship Programs: Tuition for courses offered specifically for apprenticeship programs shall be at least one-half the of, and no greater than, tuition for other credit courses at the institution, but shall not exceed regular tuition rates.~~

~~7.5. 4.5. Non-Credit Programs: Short-term intensive training (STIT) funds are appropriated by the Legislature to each participating USHE institution. Tuition for non-credit CTE programs funded with STIT dollars will be established by each institution at a level sufficient to cover program costs and in accordance with USHE guidelines and legislative intent.~~

~~7.6. 4.6. Other Non-Credit Instruction: Tuition for other non-credit programs and courses shall be established by each USHE institution. The total of all available funds, including tuition, shall be sufficient to pay the total direct cost of providing such programs and courses, in the aggregate, for the institution.~~

~~7.7. 4.7. Summer School: Institutions may reduce tuition rates for summer school students to incentivize students to attend during summer semesters. Resident summer school students shall be assessed the same tuition per credit hour or full-time load as that assessed resident students during the regular academic year.~~

~~7.8. 4.8. Contract Credit Courses: Charges for credit courses provided under contract to outside agencies shall be at least sufficient to pay the total direct costs of providing such courses, in the aggregate for the institution.~~

~~7.9. 4.9. Continuing Education Credit Enrollments: Students enrolled in Continuing Education credit courses other than contract courses shall be assessed tuition at no less than the regular charge per credit hour.~~

~~4.10.7.10. -Medicine and Law: The Board will consider Ttuition for Medicine and Law programs will be considered separately. separate from other programs.~~

~~7.11. 4.11.-Course Audit Registrations: Students must register to audit any class. Such audit hours will be part of their total load and they shall pay tuition at the same rate as paid by students registering for credit in the course.~~

~~7.12. 4.12.-Correction Facility Program Tuition: Reduced tuition for programs provided to inmates at state correctional facilities will be considered separately. The State Board of Education advisory council overseeing corrections education and recidivism reduction issues will determine inmate eligibility for participation in Board of Regents authorized tuition reductions.~~

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

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

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

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

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

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

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

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

~~4.13.4.2. Credit Hours Excluded: Excluded from the calculation of the credits required for completion of a student's program of study are credit hours: (1) earned through concurrent enrollment, advanced placement, and credit by examination, (2) resulting from re-entry into the educational system by a student who may have accumulated a large number of credits, or even completed degrees, but where employment requirements~~

obligate his or her return to college, (3) resulting from a defensible change in major, and (4) developmental education credit.

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

## **R510-5. General Fees Other Than Tuition**

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

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

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

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

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

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

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

**5.3.2.2. Fee Review:** The student fee advisory board shall periodically monitor and annually review student fees. Processes and discussions should focus primarily on—but not be limited to—the adequacy of the fee in accomplishing the stated objective. Fee account fund balances should be minimal or, in cases where fund balances are accumulating, be supported by a plan for use of the funding.

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

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

**5.4 — Fee Percentage Rate Increase above 1<sup>st</sup> Tier Tuition Percentage Rate Increase:** If an institution is proposing to increase general student fees at a percentage rate greater than the percentage



rate the system is proposing to increase 1<sup>st</sup> tier tuition, the institution shall submit a letter to the Board regarding fee increases from student leadership at the institution. \_\_\_\_\_

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

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

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

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

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

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

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

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

calculations and determinations there under, are required to conform to the requirements of 34 CFR Section 668.22.

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

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

# R514, Refunds of Tuition, Fees, and Other Student Charges <sup>1</sup>

**R510-1. Purpose:** To establish a refund policy for the Utah System of Higher Education (USHE) institutions for tuition, fees, and other student charges.

## R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. Regents Policy, R510 (Tuition)
- 2.4. Regents Policy, R511 (Tuition Disclosures and Consultation)

## R514-3. Refunds of tuition, fees, and other student charges

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

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

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

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

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

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

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

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

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

# ~~R510~~R514, Refunds of Tuition, Fees, and Other Student Charges ~~Tuition and Fees~~<sup>1</sup>

**R510-1. Purpose:** To establish a refund policy for the Utah System of Higher Education (USHE) institutions for tuition, fees, and other student charges. ~~To establish a tuition and general fee policy.~~

## **R510-2. References**

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. [Regents Policy, R510 \(Tuition\)](#)
- 2.4. [Regents Policy, R511 \(Tuition Disclosures and Consultation\)](#)

## **~~R510-3. General Policy~~**

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

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

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

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

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

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

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

**3.7. — Annual Review for Fairness and Price Competitiveness:** Annually, the tuition relationship targets, comparisons with national and regional tuition and fee data, institutional cost data, general and course fee data, and other factors shall be reviewed to determine if modifications are necessary to maintain fairness and price competitiveness.

#### **R510-4. Tuition Charges**

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

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

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

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

———— **4.2.1. —** the student and market demand for the program;

———— **4.2.2. —** the impact of differential tuition rates on student access and retention;

———— **4.2.3. —** the tuition rates of comparable programs at other institutions;

———— **4.2.4. —** the potential earnings capacity of program graduates; and

———— **4.2.5. —** the societal importance of the program.

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

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

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

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

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

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

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

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

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

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

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

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

~~4.13.1.1. **Program of study**—A group of academic courses required for a baccalaureate degree.~~

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

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

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

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

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

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

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

### ~~**R510-5. General Fees Other Than Tuition**~~

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

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

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

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

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



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

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

**5.3.2.2. Fee Review:** The student fee advisory board shall periodically monitor and annually review student fees. Processes and discussions should focus primarily on—but not be limited to—the adequacy of the fee in accomplishing the stated objective. Fee account fund balances should be minimal or, in cases where fund balances are accumulating, be supported by a plan for use of the funding.

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

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

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

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

### **R510R514-6.3. Refunds of tuition, fees, and other student charges**

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

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

| Refund Period | Portion Refundable |
|---------------|--------------------|
|---------------|--------------------|

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

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

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

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

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

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

**R510-1. Purpose:** To establish a policy for the Utah System of Higher Education (USHE) to manage excess credit surcharges..

## R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. Regents Policy, R510 (Tuition)
- 2.4. Regents Policy, R514 (Refunds of Tuition, Fees, and Other Student Charges)
- 2.5. Regents Policy, R511 (Tuition Disclosures and Consultation)

## R515-3. Definitions

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

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

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

## R515-4. Policy

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

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

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

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

#### 4.4. **Determination of Number of Credit Hours Necessary for the Program of Study**

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

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

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

## R510R515, Excess Credit Hour Surcharges Tuition and Fees<sup>1</sup>

**R510-1. Purpose:** To establish a policy for the Utah System of Higher Education (USHE) to manage excess credit surcharges.~~To establish a tuition and general fee policy.~~

### R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. Regents Policy, R510 (Tuition)
- 2.4. Regents Policy, R514 (Refunds of Tuition, Fees, and Other Student Charges)
- 2.5. Regents Policy, R511 (Tuition Disclosures and Consultation)

### ~~R510~~R515-3. General Policy Definitions

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

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

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

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

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

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

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

**3.7. — Annual Review for Fairness and Price Competitiveness:** Annually, the tuition relationship targets, comparisons with national and regional tuition and fee data, institutional cost data, general and course fee data, and other factors shall be reviewed to determine if modifications are necessary to maintain fairness and price competitiveness.

#### **R510-4. Tuition Charges**

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

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

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

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

**4.2.1. —** the student and market demand for the program;

**4.2.2. —** the impact of differential tuition rates on student access and retention;

**4.2.3. —** the tuition rates of comparable programs at other institutions;

**4.2.4. —** the potential earnings capacity of program graduates; and

**4.2.5. —** the societal importance of the program.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**R510-5. General Fees Other Than Tuition**

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

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

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



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

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

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

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

~~**5.3.2.2. Fee Review:** The student fee advisory board shall periodically monitor and annually review student fees. Processes and discussions should focus primarily on—but not be limited to—the adequacy of the fee in accomplishing the stated objective. Fee account fund balances should be minimal or, in cases where fund balances are accumulating, be supported by a plan for use of the funding.~~

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

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

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

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

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

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

~~**6.2. — General Refund Policy for Students Who Withdraw from the Institution and Who Are Not First Time Enrollees in the Institution and Also Receiving Federal Student Financial Aid:**~~

Students who are not first time enrollees in the institution and also receiving Federal student financial aid, both as defined in Federal regulations, 34 CFR Section 668.22 and who withdraw from the institution or drop courses shall be entitled to refunds of tuition, fees, and other student charges (including housing and meal contract charges) paid to the institution which meet or exceed the following requirements:

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

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

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

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

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

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

**R510-1. Purpose:** To establish a student fee policy for the Utah System of Higher Education (USHE).

## R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. Regents Policy, R510 (Tuition)
- 2.4. Regents Policy, R514 (Refunds of Tuition, Fees, and Other Student Charges)
- 2.5. Regents Policy, R511 (Tuition Disclosures and Consultation)

## R510-3. Policy

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

**3.2. Advisory Board:** Each institution shall establish a student fee advisory board to oversee the creation, review and maintenance of required student fees and the advisory board membership shall include currently enrolled students.

**3.3. Institutional Policy:** Each USHE institution shall develop a student fee policy establishing processes that will govern how student fee advisory boards create, review and maintain student fees. The institutional policy shall include the following:

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

**3.3.2. Fee Review:** The student fee advisory board shall periodically monitor and annually review student fees. Processes and discussions should focus primarily on— but not be limited to— the adequacy of the fee in accomplishing the stated objective. Fee account fund balances should be minimal or, in cases where fund balances are accumulating, be supported by a plan for use of the funding.

**3.3.3. Fee Maintenance:** Fee amounts may be increased or decreased as necessary to adequately accomplish the stated objective. Changes resulting from a fee increase shall be

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

supported with adequate documentation describing the rationale for the increase and the planned uses of the additional fee revenue.

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

**3.5. Demonstrated Student Support:** If an institution is proposing to increase general student fees, the institution shall submit a letter to the Board regarding fee increases from student leadership at the institution.

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

# R510R516, Tuition and General Student Fees<sup>1</sup>

**R510-1. Purpose:** ~~To establish a student fee policy for the Utah System of Higher Education (USHE).~~ ~~To establish a tuition and general fee policy.~~

## R510-2. References

- 2.1. Utah Code §53B-7-101 (Combined Requests for Appropriations)
- 2.2. Federal Higher Education Act, 20 USC 1091b (Institutional Refunds)
- 2.3. [Regents Policy, R510 \(Tuition\)](#)
- 2.4. [Regents Policy, R514 \(Refunds of Tuition, Fees, and Other Student Charges\)](#)
- 2.5. [Regents Policy, R511 \(Tuition Disclosures and Consultation\)](#)

## R510-3. **General Policy**

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

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

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

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

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

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

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

**3.7. — Annual Review for Fairness and Price Competitiveness:** Annually, the tuition relationship targets, comparisons with national and regional tuition and fee data, institutional cost data, general and course fee data, and other factors shall be reviewed to determine if modifications are necessary to maintain fairness and price competitiveness.

#### **R510-4. Tuition Charges**

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

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

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

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

—— **4.2.1. —** the student and market demand for the program;

—— **4.2.2. —** the impact of differential tuition rates on student access and retention;

—— **4.2.3. —** the tuition rates of comparable programs at other institutions;

—— **4.2.4. —** the potential earnings capacity of program graduates; and

—— **4.2.5. —** the societal importance of the program.

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

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

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

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

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

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

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

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

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

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

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

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

~~4.13.1.1. **Program of study**—A group of academic courses required for a baccalaureate degree.~~

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

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

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

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

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

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

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

### ~~R510-5. General Fees Other Than Tuition~~

~~53.1. Approval by the Board:~~ All general student fees are subject to Board of Regents approval, normally in conjunction with annual determination of tuition rates. Course fees do not require Board approval but the Board will monitor such fees. Course fees will also be included in determining financial aid cost of attendance and the level of student contribution toward their total education costs.

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

~~3.2. Advisory Board:~~ Each institution shall establish a student fee advisory board to oversee the creation, review and maintenance of required student fees and the advisory board membership shall include currently enrolled students.

~~53.3~~ ~~3.~~ ~~General Student Fee Policy~~ ~~Institutional Policy:~~ Each USHE institution shall develop a student fee policy establishing processes that will govern how student fee advisory boards create, review and maintain student fees. The institutional policy shall include the following: ~~Each USHE institution shall develop a student fee policy to address the following:~~



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

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

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

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

~~5.3.2.2. Fee Review: The student fee advisory board shall periodically monitor and annually review student fees. Processes and discussions should focus primarily on— but not be limited to— the adequacy of the fee in accomplishing the stated objective. Fee account fund balances should be minimal or, in cases where fund balances are accumulating, be supported by a plan for use of the funding.~~

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

~~5.3.34. Fee Reporting: The student fee advisory board may require an annual report from each student fee program manager.~~

~~5.3.45. Fee Percentage Rate Increase above 1<sup>st</sup> Tier Tuition Percentage Rate Increase Demonstrated Student Support: If an institution is proposing to increase general student fees at a percentage rate greater than the percentage rate the system is proposing to increase 1<sup>st</sup> tier tuition, the institution shall submit a letter to the Board regarding fee increases from student leadership at the institution.~~

~~5.53.6. Option to Waive General Student Fees: General fees other than tuition may, at the institution's option, be waived in whole or in part for students.~~

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

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

~~6.2. General Refund Policy for Students Who Withdraw from the Institution and Who Are Not First Time Enrollees in the Institution and Also Receiving Federal Student Financial Aid: Students~~

who are not first time enrollees in the institution and also receiving Federal student financial aid, both as defined in Federal regulations, 34 CFR Section 668.22 and who withdraw from the institution or drop courses shall be entitled to refunds of tuition, fees, and other student charges (including housing and meal contract charges) paid to the institution which meet or exceed the following requirements:

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

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

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

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

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

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

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: USHE – Revisions of Policies R565 & R567

Issue

The Office of the Legislative Auditor, in its report "A Performance Audit of the Board of Regents," recommended the following as it relates to the system audit function:

"We recommend that the Board of Regents utilize an audit function to promote greater accountability throughout the Utah System of Higher Education. The internal audit director should report functionally to the Board of Regents

"We recommend that the internal auditor's duties only entail audit-related activities, which should be determined by the Board of Regents Audit Committee"

Background

The proposed revisions to the Board of Regents' auditing policies addresses these two recommendations by requiring the following:

- Require the system audit director to functionally report to the Regent Audit Subcommittee
- Restrict the system audit director from performing management or operational duties
- Clarify the role of the Regent Audit Subcommittee

Additional revisions include changes for consistency and style.

Commissioner's Recommendation

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

- Policy R565, *Audit Committees and*
- Policy R567, *Internal Audit Program*

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/DSP  
Attachments

**R565-1. Purpose:** To provide for the functions and responsibilities of ~~A~~audit ~~C~~committees within the Utah System of Higher Education (System).

## R565-2. References

- 2.1. Utah Code §53B-6-102 (Standardized Systems Prescribed by the Board)
- 2.2. Utah Code §53B-7-101 (Financial Affairs Under the General Supervision of the Board)
- ~~2.3. Utah Code Title 52, Chapter 4 (Utah Open and Public Meeting Act)~~
- 2.43. Utah Code §63I-5 (Utah Internal Audit Act)
- 2.45. Regents Policy R561, Accounting and Financial Controls
- 2.56. Regents Policy R567, Internal Audit Program
- 2.67. Institute of Internal Auditors, International Standards for the Professional Practice of Internal Auditing (IIA Standards)

## R565-3. Audit Committees

- 3.1. The Board of Regents shall establish and maintain a Regent Audit Subcommittee as a standing subcommittee of the Finance and Facilities Committee.
- 3.2. Creation of Trustee Audit Committees: Each Board of Trustees shall create a standing ~~a~~udit ~~C~~committee to assist the full board in overseeing financial matters and to oversee institutional internal audit activities, in accordance with the *Internal Audit Act*<sup>2</sup> and IIA Standards.

## R565-4. Regent and Trustee Audit Committee Charters

4.1. The Regent ~~Audit Subcommittee~~ and ~~institution boards of Trustees~~ ~~a~~udit ~~C~~committees shall establish respective audit charters that outline their purpose, authority, and responsibilities. The audit charters shall grant appropriate access to data, information, records, and personnel needed to conduct audit activities.

### 4.2. Authority

4.2.1. **Regent Audit Subcommittee:** The Regent Audit Subcommittee shall provide advice and recommendations to the Board of Regents regarding oversight ~~and internal controls~~ of the system and individual institutions, ~~and internal controls~~. Although the Regent Audit Subcommittee is not vested with decision making authority on behalf of the Board of Regents, the Regent Audit Subcommittee has authority to:

<sup>1</sup> Adopted November 22, 1977, amended June 27, 1978, September 2, 1999, March 18, 2005, March 9, 2007, October 29, 2010, and March 31, 2017.

<sup>2</sup> Utah Code 63I-5

4.2.1.1. Access any and all data, information, records, and personnel to fulfill its purpose and responsibilities;

4.2.1.2. Confer with external auditors, legal counsel, and others as necessary; and:

4.2.1.3. Conduct or authorize investigations into any matters considered necessary to achieve its purpose.

4.2.2. **Trustee Audit Committee:** Trustee Audit committees shall provide advice and recommendations to the Board of Trustees regarding institutional oversight and internal controls. Although ~~the T~~rustee Audit committees is are not vested with decision making authority on behalf of the board of Trustees, the Trustee audit Committee has authority to:

4.2.2.1. oversee the internal audit activities within the institution;

4.2.2.2. confer with external auditors, legal counsel, and others as necessary;

4.2.2.3. assist in resolving disagreements between institutional representatives and external auditors;

4.2.2.4. access any and all data, information, records, and personnel to fulfill its purpose and responsibilities;

4.2.2.5. conduct or authorize investigations into any matters considered necessary to achieve its purpose; and

4.2.2.6. consult with institutional representatives, the board of Trustees, and the Regent Audit Subcommittee concerning the adequacy of the institution's internal audit activities, staffing levels, and internal controls.

#### 4.3. Committee Membership

4.3.1. **Regent Audit Subcommittee:** The Regent Audit Subcommittee ~~will~~ shall consist of at least three but no more than five members, including at least three members of the Board of Regents. The chair of the Board of Regents will appoint the subcommittee chair and members will be appointed by the Chair of the Regents. Unless a Committee subcommittee chair is appointed by the Board chair, the members of the Committee subcommittee may designate a Chair by majority vote. When practicable, at least one of the committee members should have financial expertise either through professional certification or experience.

4.3.2. **Trustee Audit Committee:** The Trustee Audit committee shall consist of at least three but no more than five members, including at least three members of the Board of Trustees. The Committee members will be appointed by the trustee Chair of the Trustees. Unless a committee chair is appointed by the Board chair, the members of the committee may designate a chair by majority vote. When practicable, at least one of the committee members should have financial expertise either through professional certification or experience.

#### 4.4. Meetings

4.4.1. **Regent Audit Subcommittee:** The ~~Committee-subcommittee~~ shall meet at least ~~once~~ three times per year to review audit activities. The ~~subcommittee Committee~~ may meet with boards of trustees, institutional administrators, and auditors. Regent staff shall prepare and provide meeting agendas along with appropriate briefing materials.

4.4.2. **Trustee Audit Committee:** The ~~C~~committee shall meet at least three times a per year, with additional meetings as needed. The ~~c~~Committee may invite institutional administrators, auditors, and others to attend meetings and provide pertinent information. Meeting agendas will be prepared and provided in advance to members, along with appropriate briefing materials. Informal minutes will be prepared.

#### 4.5. Responsibilities

4.5.1. The Regent Audit Subcommittee shall:

4.5.1.1. Schedule meetings and correspondence as necessary to maintain regular, independent communication and information flow between the Regent Audit Subcommittee and trustee audit committees (via trustee chairs and trustee audit committee chairs).

4.5.1.2. Receive and review reports from trustee audit committees (via trustee chairs and trustee audit committee chairs) regarding the annual financial statements, including a summary of significant accounting and reporting issues.

4.5.1.3. Receive and review reports from trustee audit committees (via trustee chairs and trustee audit committee chairs) regarding the results of the annual financial statement audit, including audit scope and approach, any restrictions on the auditor's activities or on access to requested information, and any significant disagreements with institutional representatives.

4.5.1.4. Receive and review reports from the system audit director and institution auditors regarding the control environment, means of communicating standards of conduct, and practices with respect to risk assessment and risk management.

4.5.1.5. Receive and review reports from the system audit director and institution auditors regarding systems of internal control.

4.5.1.6. Receive and review reports from institutions regarding the receipt, retention, and treatment of complaints, including anonymous complaints about accounting, auditing, internal control, and other related issues.

4.5.1.7. Review reports from the system audit director and institution auditors regarding systems for monitoring compliance with all applicable laws and regulations.

4.5.1.8. Obtain regular updates from institutions regarding instances of material noncompliance that might have implications for the System.

4.5.1.9. Receive annual summary reports from trustee audit committees (via trustee chairs and trustee audit committee chairs) regarding the results of the internal auditing

program at each institution, including any restrictions and limitations on internal auditing activities.

4.5.1.10. At least annually, the ~~subcommittee~~ ~~Committee~~ will provide a report or minutes of meetings to the full Board of Regents detailing the Committee's activities and recommendations.

**4.5.2. The Trustee Audit Committee shall:**

4.5.2.1. Schedule meetings and correspondence as necessary to maintain regular, independent communication and information flow between the Trustee Audit Committee and external auditors.

4.5.2.2. Review the institution's financial statements, including significant accounting and reporting issues. This includes reviewing the management discussion and analysis of the financial statements, along with any analyses prepared by institutional administration and/or external auditors setting forth significant financial reporting issues and judgments made in connection with the preparation of the financial statements.

4.5.2.3. Review with the administration and the external auditors the results of the annual financial statement audit, including audit scope and approach, any restrictions on the auditor's activities or on access to requested information, and any significant disagreements with institutional representatives.

4.5.2.4. Review information regarding the institution's control environment, means of communicating standards of conduct, and practices with respect to risk assessment and risk management.

4.5.2.5. Confer with external and internal auditors regarding the quality of institutional systems of internal control.

4.5.2.6. Review information regarding the receipt, retention, and treatment of complaints, including anonymous complaints about accounting, auditing, internal control, and other related issues.

4.5.2.7. Review with campus administrators and other institutional representatives the adequacy of the institution's auditing personnel, staffing levels, and controls.

4.5.2.8. Review information provided by the administration regarding systems for monitoring compliance with all applicable laws and regulations.

4.5.2.9. Obtain regular updates from institutional administrators and/or legal counsel regarding instances of material noncompliance that might have implications for the institution.



4.5.2.10. Review with the administration and the chief internal audit executive the charter, plans, activities, staffing and organizational structure of the internal audit function.

4.5.2.11. Review any restrictions and limitations on internal auditing activities.

4.5.2.12. ~~Advise the Board of Trustees regarding the appointment, evaluate performance, if necessary, replacement, or dismissal of~~ the institution's chief internal audit executive.

4.5.2.13. Receive and review internal audit reports and/or periodic summaries of internal audit activities prepared by the chief internal audit executive.

4.5.2.14. Schedule meetings and correspondence as necessary to maintain regular, independent communication and information flow between the cCommittee and the institution's chief internal audit executive.

#### 4.6. Reporting

##### 4.6.1. Regent Audit Subcommittee

4.6.1.1. At least annually, the ~~subcommittee~~ Committee will provide a report or minutes of meetings to the full Board of Regents detailing the cCommittee's activities and recommendations.

##### 4.6.2. Trustee Audit Committee

4.6.2.1. At least annually, the cCommittee shall provide a report or minutes of meetings to the full Board of Trustees detailing the cCommittee's activities and recommendations.

4.6.2.2. The ~~T~~rustees chair and ~~t~~rustees ~~a~~Audit cCommittee chair shall meet at least annually with the Regent Audit Subcommittee to provide updates on the institutional activities required by this policy.

4.6.2.3 The cCommittee shall prepare an annual report summarizing internal and external audit results from the prior year and an audit plan for the upcoming year. -This report shall be submitted to the Board of Regents ~~Manager-audit director of Audit~~ no later than five business days before the annual ~~B~~oard of Regents ~~A~~udit Subcommittee meeting.

**R565-1. Purpose:** To provide for the functions and responsibilities of audit committees within the Utah System of Higher Education (System).

## R565-2. References

- 2.1. Utah Code §53B-6-102 (Standardized Systems Prescribed by the Board)
- 2.2. Utah Code §53B-7-101 (Financial Affairs Under the General Supervision of the Board)
- 2.3. Utah Code §63I-5 (Utah Internal Audit Act)
- 2.4. Regents Policy R561, Accounting and Financial Controls
- 2.5. Regents Policy R567, Internal Audit Program
- 2.6. Institute of Internal Auditors, International Standards for the Professional Practice of Internal Auditing (IIA Standards)

## R565-3. Audit Committees

- 3.1. The Board of Regents shall establish and maintain a Regent Audit Subcommittee as a standing subcommittee of the Finance and Facilities Committee.
- 3.2. Creation of Trustee Audit Committees: Each Board of Trustees shall create a standing Audit Committee to assist the full board in overseeing financial matters and to oversee institutional internal audit activities, in accordance with the *Internal Audit Act*<sup>2</sup> and IIA Standards.

## R565-4. Regent and Trustee Audit Committee Charters

4.1. The Regent Audit Subcommittee and institution boards of trustees audit committees shall establish respective audit charters that outline their purpose, authority, and responsibilities. The audit charters shall grant appropriate access to data, information, records, and personnel needed to conduct audit activities.

### 4.2. Authority

4.2.1. **Regent Audit Subcommittee:** The Regent Audit Subcommittee shall provide advice and recommendations to the Board of Regents regarding oversight and internal controls of the system and individual intuitions. Although the Regent Audit Subcommittee is not vested with decision making authority on behalf of the Board of Regents, the Regent Audit Subcommittee has authority to:

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<sup>1</sup> Adopted November 22, 1977, amended June 27, 1978, September 2, 1999, March 18, 2005, March 9, 2007, October 29, 2010, and March 31, 2017.

<sup>2</sup> Utah Code 63I-5

4.2.1.1. Access any and all data, information, records, and personnel to fulfill its purpose and responsibilities;

4.2.1.2. Confer with external auditors, legal counsel, and others as necessary; and

4.2.1.3. Conduct or authorize investigations into any matters considered necessary to achieve its purpose.

**4.2.2. Trustee Audit Committee:** Trustee audit committees shall provide advice and recommendations to the Board of Trustees regarding institutional oversight and internal controls. Although trustee audit committees are not vested with decision making authority on behalf of the board of trustees, the trustee audit committee has authority to:

4.2.2.1. oversee the internal audit activities within the institution;

4.2.2.2. confer with external auditors, legal counsel, and others as necessary;

4.2.2.3. assist in resolving disagreements between institutional representatives and external auditors;

4.2.2.4. access any and all data, information, records, and personnel to fulfill its purpose and responsibilities;

4.2.2.5. conduct or authorize investigations into any matters considered necessary to achieve its purpose; and

4.2.2.6. consult with institutional representatives, the board of trustees, and the Regent Audit Subcommittee concerning the adequacy of the institution's internal audit activities, staffing levels, and internal controls.

#### **4.3. Committee Membership**

**4.3.1. Regent Audit Subcommittee:** The Regent Audit Subcommittee shall consist of at least three but no more than five members, including at least three members of the Board of Regents. The Chair of the Board of Regents will appoint the subcommittee chair and members. When practicable, at least one of the committee members should have financial expertise either through professional certification or experience.

**4.3.2. Trustee Audit Committee:** The trustee audit committee shall consist of at least three but no more than five members, including at least three members of the board of trustees. The Committee members will be appointed by the trustee chair. Unless a committee chair is appointed by the board chair, the members of the committee may designate a chair by majority vote. When practicable, at least one of the committee members should have financial expertise either through professional certification or experience.

#### **4.4. Meetings**

**4.4.1. Regent Audit Subcommittee:** The subcommittee shall meet at least three times per year to review audit activities. The subcommittee may meet with boards of trustees, institutional administrators, and auditors. Regent staff shall prepare and provide meeting agendas along with appropriate briefing materials.

**4.4.2. Trustee Audit Committee:** The committee shall meet at least three times a per year, with additional meetings as needed. The committee may invite institutional administrators, auditors, and others to attend meetings and provide pertinent information. Meeting agendas will be prepared and provided in advance to members, along with appropriate briefing materials. Informal minutes will be prepared.

#### **4.5. Responsibilities**

**4.5.1.** The Regent Audit Subcommittee shall:

**4.5.1.1.** Schedule meetings and correspondence as necessary to maintain regular, independent communication and information flow between the Regent Audit Subcommittee and trustee audit committees (via trustee chairs and trustee audit committee chairs).

**4.5.1.2.** Receive and review reports from trustee audit committees (via trustee chairs and trustee audit committee chairs) regarding the annual financial statements, including a summary of significant accounting and reporting issues.

**4.5.1.3.** Receive and review reports from trustee audit committees (via trustee chairs and trustee audit committee chairs) regarding the results of the annual financial statement audit, including audit scope and approach, any restrictions on the auditor's activities or on access to requested information, and any significant disagreements with institutional representatives.

**4.5.1.4.** Receive and review reports from the system audit director and institution auditors regarding the control environment, means of communicating standards of conduct, and practices with respect to risk assessment and risk management.

**4.5.1.5.** Receive and review reports from the system audit director and institution auditors regarding systems of internal control.

**4.5.1.6.** Receive and review reports from institutions regarding the receipt, retention, and treatment of complaints, including anonymous complaints about accounting, auditing, internal control, and other related issues.

**4.5.1.7.** Review reports from the system audit director and institution auditors regarding systems for monitoring compliance with all applicable laws and regulations.

**4.5.1.8.** Obtain regular updates from institutions regarding instances of material noncompliance that might have implications for the System.

**4.5.1.9.** Receive annual summary reports from trustee audit committees (via trustee chairs and trustee audit committee chairs) regarding the results of the internal auditing program at each institution, including any restrictions and limitations on internal auditing activities.

**4.5.1.10.** At least annually, the subcommittee will provide a report or minutes of meetings to the full Board of Regents detailing the Committee's activities and recommendations.

**4.5.2. The Trustee Audit Committee shall:**

4.5.2.1. Schedule meetings and correspondence as necessary to maintain regular, independent communication and information flow between the trustee audit committee and external auditors.

4.5.2.2. Review the institution's financial statements, including significant accounting and reporting issues. This includes reviewing the management discussion and analysis of the financial statements, along with any analyses prepared by institutional administration and/or external auditors setting forth significant financial reporting issues and judgments made in connection with the preparation of the financial statements.

4.5.2.3. Review with the administration and the external auditors the results of the annual financial statement audit, including audit scope and approach, any restrictions on the auditor's activities or on access to requested information, and any significant disagreements with institutional representatives.

4.5.2.4. Review information regarding the institution's control environment, means of communicating standards of conduct, and practices with respect to risk assessment and risk management.

4.5.2.5. Confer with external and internal auditors regarding the quality of institutional systems of internal control.

4.5.2.6. Review information regarding the receipt, retention, and treatment of complaints, including anonymous complaints about accounting, auditing, internal control, and other related issues.

4.5.2.7. Review with campus administrators and other institutional representatives the adequacy of the institution's auditing personnel, staffing levels, and controls.

4.5.2.8. Review information provided by the administration regarding systems for monitoring compliance with all applicable laws and regulations.

4.5.2.9. Obtain regular updates from institutional administrators and/or legal counsel regarding instances of material noncompliance that might have implications for the institution.

4.5.2.10. Review with the administration and the chief internal audit executive the charter, plans, activities, staffing and organizational structure of the internal audit function.

4.5.2.11. Review any restrictions and limitations on internal auditing activities.

4.5.2.12. Appoint, evaluate performance, if necessary, dismiss the institution's chief internal audit executive.

4.5.2.13. Receive and review internal audit reports and/or periodic summaries of internal audit activities prepared by the chief internal audit executive.

4.5.2.14. Schedule meetings and correspondence as necessary to maintain regular, independent communication and information flow between the committee and the institution's chief internal audit executive.

#### 4.6. Reporting

##### 4.6.1. Regent Audit Subcommittee

4.6.1.1. At least annually, the subcommittee will provide a report or minutes of meetings to the full Board of Regents detailing the Committee's activities and recommendations.

##### 4.6.2. Trustee Audit Committee

4.6.2.1. At least annually, the committee shall provide a report or minutes of meetings to the full Board of Trustees detailing the Committee's activities and recommendations.

4.6.2.2. The trustees chair and trustees audit committee chair shall meet at least annually with the Regent Audit Subcommittee to provide updates on the institutional activities required by this policy.

4.6.2.3 The committee shall prepare an annual report summarizing internal and external audit results from the prior year and an audit plan for the upcoming year. This report shall be submitted to the Board of Regents audit director no later than five business days before the annual Board of Regents Audit Subcommittee meeting.

**R567-1. Purpose:** To establish policies and standards for internal audit departments within the Utah System of Higher Education (USHE).

## R567-2. References

- 2.1. Utah Code §53B-6-102 (Standardized Systems Prescribed by the Board)
- 2.2. Utah Code §53B-7-101 (Financial Affairs Under the General Supervision of the Board)
- 2.3. Policy and Procedures R565, Audit Review Subcommittee
- 2.4. Policy and Procedure R120-3.3.2.7, Bylaws of the Board of Regents, Auditing Records
- 2.5. Utah Code §63I-5 (Utah Internal Audit Act)
- 2.6. Institute of Internal Auditors, International Standards for the Professional Practice of Internal Auditing (IIA Standards)

## R567-3. Definitions

**3.1 Audit Charter.** “The purpose, authority, and responsibility of the internal audit activity must be formally defined in an internal audit charter, consistent with the Definition of Internal Auditing, the Code of Ethics, and the Standards. The chief audit executive must periodically review the internal audit charter and present it to senior management and the board for approval.”<sup>2</sup> The audit charter should grant appropriate access to data, information, records, and personnel needed to fulfill the internal audit activity’s purpose and responsibilities.

**3.2 Institution Audit Committee:** Institution audit committees provide functional oversight of the internal audit activities, as described in the *Internal Audit Act*<sup>3</sup>, and in accordance with IIA Standards.<sup>4</sup> Boards of trustees shall establish audit committees in adherence to the *Utah Internal Audit Act* and R565, Audit Committees.

**3.3. Internal Auditing:** An independent, objective assurance and consulting activity designed to add value and improve an organization’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

**3.2. Institution Internal Audit Activity:** Any activity administered by the institution’s internal auditing organization. Each institution’s audit committee shall establish an audit charter, granting the internal audit unit authority to engage in audit activities.

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<sup>1</sup> Adopted April 24, 1973, amended May 29, 1973, June 26, 1973, November 27, 1973, January 28, 1975 and April 22, 1975; replaced January 17, 1992, amended April 17, 1992, March 18, 2005, and March 31, 2017.

<sup>2</sup> IIA Standards, 1000: Purpose, Authority, and Responsibility.

<sup>3</sup> See Utah Code 63I-5-301(3).

<sup>4</sup> IIA Standard 1110.

3.3. **Board of Regents Audit Manager/Director:** The ~~manager audit director for audit and financial services~~ reports functionally to the Regent Audit Subcommittee and administratively to the Associate Commissioner for Finance, ~~and Facilities, and Research~~ within the Office of the Commissioner. The audit ~~manager/director~~ provides audit support to the Board of Regents and to institution audit activities.

#### R567-4. Policy

4.1. **General Standards:** Internal audit activities shall comply with IIA Standards. Other professional standards (such as "Generally Accepted Auditing Standards" disseminated by the American Institute of Certified Public Accountants, or Government Auditing Standards published by the Comptroller General of the United States) may also apply to particular audit assignments, as determined by the institution's audit committee or the Board of Regents.

4.2. **Internal Audit Activities Required at All Institutions:** The State Board of Regents requires each USHE institution to maintain an internal audit activity plan.

4.3. **Internal Audit Activity Independence and Objectivity:** Internal audit activities shall remain independent and objective. Institutions and internal auditors may foster independence by adhering to applicable standards, including:

4.3.1. **Organizational Independence:** Each institution should maintain organizational independence by establishing functional and administrative reporting relationships consistent with IIA Standards 1110 and 1111.

4.3.2. **Internal Audit Activity Objectivity:** Internal auditors shall adhere to standards of independence and objectivity outlined in IIA Standards 1100 and 1120.

4.3.3. **Independence Impairment Disclosure:** Internal auditors shall properly disclose impairments to independence, as required in IIA Standard 1130.

4.3.4. **Role in Institution Operations:** System and Institution internal auditors shall not participate in institution management or operational responsibilities that would impair independence.

4.4. **Institution Audits:** In addition to audits required by policy, institution internal auditors shall conduct risk-based audits for their institutions, as assigned by the institution audit committee. Institution presidents and executive cabinet may also request audit activities.

4.5. **Required Audits:** Institution internal auditors shall annually conduct the following audits:

4.5.1 **Presidential Travel** (in accordance with R212-1.2)

4.5.2 **Institutional Investments** (in accordance with R541-11)

4.5.3 **Auxiliary Enterprises** (in accordance with R550-7.3)

4.6. **Institution Risk Assessment:** Internal auditors shall participate in institution risk assessments at least annually and report the results to the institution audit committee. Institution risks may include financial, operational, efficiency, fraud, compliance, internal control, information systems, data loss, reputation and political.



4.7. **Institution Audit Communication:** Upon completion of internal audit activities, institution auditors shall communicate the results to the institution audit committee.

4.8. **Communication with Institution Management:** The chief audit executive shall meet with the institution president at least annually to review completed audits, institution responses, and other pertinent issues.

4.9. **Audit Committee Responsibilities:** The audit committee shall adhere to responsibilities established in the *Utah Internal Audit Act* and R565, Audit Committees.

4.10. **Coordination of System-Wide Audits:** Under the direction of the Regent Audit Subcommittee, ~~The~~ Commissioner of Higher Education and institution presidents shall coordinate assignments to conduct system-wide internal audits.

4.11. **Special Audits Directed by the Commissioner:** Under the direction of the Regent Audit Subcommittee, ~~The~~ Commissioner, ~~with prior notification to the institution president,~~ may schedule and conduct an audit at ~~the-an~~ institution, separately or in cooperation with a resident chief audit executive. (See State Board of Regents Bylaw R120-3.3.2.7.)

4.12. **Audit Notification:** The institution's vice president of finance or chief audit executive shall promptly notify the Board of Regents audit ~~manager~~director regarding apparent fraud or misconduct with any of the following attributes:

- 4.12.1 significant embezzlement, theft, or other fraud;
- 4.12.2 concerns that may damage an institution's reputation;
- 4.12.3 apparent misuse of institutional resources of at least \$25,000;
- 4.12.4 issues that may be covered by the media; or
- 4.12.5 any other issue that requires attention from the Board of Regents or the Commissioner.

**R567-1. Purpose:** To establish policies and standards for internal audit departments within the Utah System of Higher Education (USHE).

## R567-2. References

- 2.1. Utah Code §53B-6-102 (Standardized Systems Prescribed by the Board)
- 2.2. Utah Code §53B-7-101 (Financial Affairs Under the General Supervision of the Board)
- 2.3. Policy and Procedures R565, Audit Review Subcommittee
- 2.4. Policy and Procedure R120-3.3.2.7, Bylaws of the Board of Regents, Auditing Records
- 2.5. Utah Code §63I-5 (Utah Internal Audit Act)
- 2.6. Institute of Internal Auditors, International Standards for the Professional Practice of Internal Auditing (IIA Standards)

## R567-3. Definitions

**3.1 Audit Charter.** “The purpose, authority, and responsibility of the internal audit activity must be formally defined in an internal audit charter, consistent with the Definition of Internal Auditing, the Code of Ethics, and the Standards. The chief audit executive must periodically review the internal audit charter and present it to senior management and the board for approval.”<sup>2</sup> The audit charter should grant appropriate access to data, information, records, and personnel needed to fulfill the internal audit activity’s purpose and responsibilities.

**3.2 Institution Audit Committee:** Institution audit committees provide functional oversight of the internal audit activities, as described in the *Internal Audit Act*<sup>3</sup>, and in accordance with IIA Standards.<sup>4</sup> Boards of trustees shall establish audit committees in adherence to the *Utah Internal Audit Act* and R565, Audit Committees.

**3.3. Internal Auditing:** An independent, objective assurance and consulting activity designed to add value and improve an organization’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

**3.2. Institution Internal Audit Activity:** Any activity administered by the institution’s internal auditing organization. Each institution’s audit committee shall establish an audit charter, granting the internal audit unit authority to engage in audit activities.

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<sup>1</sup> Adopted April 24, 1973, amended May 29, 1973, June 26, 1973, November 27, 1973, January 28, 1975 and April 22, 1975; replaced January 17, 1992, amended April 17, 1992, March 18, 2005, and March 31, 2017.

<sup>2</sup> IIA Standards, 1000: Purpose, Authority, and Responsibility.

<sup>3</sup> See Utah Code 63I-5-301(3).

<sup>4</sup> IIA Standard 1110.

**3.3. Board of Regents Audit Director:** The audit director reports functionally to the Regent Audit Subcommittee and administratively to the Associate Commissioner for Finance, Facilities, and Research within the Office of the Commissioner. The audit director provides audit support to the Board of Regents and to institution audit activities.

#### R567-4. Policy

**4.1. General Standards:** Internal audit activities shall comply with IIA Standards. Other professional standards (such as "Generally Accepted Auditing Standards" disseminated by the American Institute of Certified Public Accountants, or Government Auditing Standards published by the Comptroller General of the United States) may also apply to particular audit assignments, as determined by the institution's audit committee or the Board of Regents.

**4.2. Internal Audit Activities Required at All Institutions:** The State Board of Regents requires each USHE institution to maintain an internal audit activity plan.

**4.3 Internal Audit Activity Independence and Objectivity:** Internal audit activities shall remain independent and objective. Institutions and internal auditors may foster independence by adhering to applicable standards, including:

**4.3.1. Organizational Independence:** Each institution should maintain organizational independence by establishing functional and administrative reporting relationships consistent with IIA Standards 1110 and 1111.

**4.3.2. Internal Audit Activity Objectivity:** Internal auditors shall adhere to standards of independence and objectivity outlined in IIA Standards 1100 and 1120.

**4.3.3. Independence Impairment Disclosure:** Internal auditors shall properly disclose impairments to independence, as required in IIA Standard 1130.

**4.3.4. Role in Institution Operations:** System and institution internal auditors shall not participate in institution management or operational responsibilities that would impair independence.

**4.4. Institution Audits:** In addition to audits required by policy, institution internal auditors shall conduct risk-based audits for their institutions, as assigned by the institution audit committee. Institution presidents and executive cabinet may also request audit activities.

**4.5. Required Audits:** Institution internal auditors shall annually conduct the following audits:

**4.5.1 Presidential Travel** (in accordance with R212-1.2)

**4.5.2 Institutional Investments** (in accordance with R541-11)

**4.5.3 Auxiliary Enterprises** (in accordance with R550-7.3)

**4.6. Institution Risk Assessment:** Internal auditors shall participate in institution risk assessments at least annually and report the results to the institution audit committee. Institution risks may include financial, operational, efficiency, fraud, compliance, internal control, information systems, data loss, reputation and political.

**4.7. Institution Audit Communication:** Upon completion of internal audit activities, institution auditors shall communicate the results to the institution audit committee.

**4.8. Communication with Institution Management:** The chief audit executive shall meet with the institution president at least annually to review completed audits, institution responses, and other pertinent issues.

**4.9. Audit Committee Responsibilities:** The audit committee shall adhere to responsibilities established in the *Utah Internal Audit Act* and R565, Audit Committees.

**4.10. Coordination of System-Wide Audits:** Under the direction of the Regent Audit Subcommittee, the Commissioner of Higher Education and institution presidents shall coordinate assignments to conduct system-wide internal audits.

**4.11. Special Audits Directed by the Commissioner:** Under the direction of the Regent Audit Subcommittee, the Commissioner may schedule and conduct an audit at an institution, separately or in cooperation with a resident chief audit executive. (See State Board of Regents Bylaw R120-3.3.2.7.)

**4.12. Audit Notification:** The institution's vice president of finance or chief audit executive shall promptly notify the Board of Regents audit director regarding apparent fraud or misconduct with any of the following attributes:

**4.12.1** significant embezzlement, theft, or other fraud;

**4.12.2** concerns that may damage an institution's reputation;

**4.12.3** apparent misuse of institutional resources of at least \$25,000;

**4.12.4** issues that may be covered by the media; or

**4.12.5** any other issue that requires attention from the Board of Regents or the Commissioner.

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

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

Issue

The Board is being asked to review and adopt the new Regent Policy, R572, *Noncapital Asset Inventory and Tracking*.

Background

During the September 2018 Board meeting, the Finance and Facilities committee reviewed a proposed new policy to establish guidance regarding noncapital asset inventory and tracking as a follow up to the Office of the Legislative Auditor General *Performance Audit of Inventory and Security Controls at Institutions of Higher Education*.

In the audit, the Office of the Legislative Auditor General recommended,

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

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

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

1. Assets with an acquisition cost greater than or equal to \$3,000.
2. All desktop computers and laptops of any value.

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

Commissioner's Recommendation

The Commissioner recommends the Regents approval of Regent policy R572, *Noncapital Asset Inventory and Tracking* effective immediately and authorize the Commissioner's Office to file an Administrative Rule adopting these changes into Administrative Code R765-571.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/DSP  
Attachments

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

### R572.2. References

- 2.1. *Utah Code §63G-2 (Utah Government Records Access Management Act)*
- 2.2. 20 U.S.C. § 1232g; 34 CFR Part 99 (*Family Education Rights and Privacy Act*)
- 2.3. HIPAA; Pub.L. 104–191, 110 Stat. 1936 (*Health Insurance Portability and Accountability Act of 1996*)
- 2.4. Regent Policy, R345, (*Information Technology Resources Security*)

### R572.3. Definitions

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

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

PII includes but is not limited to the following:

- 3.4.1 Full Social Security Number
- 3.4.2 Driver’s license or State ID number
- 3.4.3 Passport number

3.4.4 Visa number

3.4.5 Alien Registration Number

3.4.6 Fingerprints or other biometric identifiers

3.4.7 Full name in combination with:

3.4.7.1 Mother's maiden name

3.4.7.2 Date of birth, last 4 digits of SSN

3.4.7.3 Citizenship or immigration status

3.4.7.4 Ethnic or religious affiliation

3.4.8 Protected Health Information, as defined by the *Health Insurance Portability and Accountability Act of 1996*.

#### R572.4. Policy

4.1. **Noncapital Asset Inventory:** Each institution shall affix an asset tag with a unique identifier to, and maintain an inventory of, the following non-capital assets:

4.1.1. Assets with an acquisition cost greater than or equal to \$3,000.

4.1.2. Institution-owned computers and laptops that may contain PII at any point during the institution's ownership of the asset.

4.2. Each institution shall retain an updated list of all inventoried noncapital assets until such items are processed for disposal. This list should include the names of the custodian to whom each asset is assigned.

4.3. Each institution shall review the existence and ownership of all inventoried noncapital assets at least annually to ensure the asset is in possession of the designated custodian.

4.4. Noncapital asset custodians shall immediately report any lost or stolen noncapital assets to the their immediate supervisor.

4.5. A list of missing institution assets shall be reported to the institution's vice president for business or finance at least annually.

4.6. Institutions may create policies that are more restrictive than this policy.



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Revisions of Policy R345, *Information Technology Resource Security*

Issue

The Board is being asked to review and approve revisions to Regent Policy R345, *Information Technology Resource Security*.

Background

Regent Policy R345, *Information Technology Resource Security* provides minimum security standards for protecting USHE institutions' Personally Identifiable Information (PII) from potential threats. These threats are constantly evolving which requires that we update this policy when necessary. The Chief Information Security Officers, USHE CIOs and Institutional Legal Counsels would like to strengthen the IT security policy, particularly the rules on computer encryption and permissions to have PII retained on personal computing devices.

As originally written, IT security policies suggested best practice, standards and rules almost as if it were optional. This was done because the threat vector was not as high, and users were still learning why IT security was increasingly important. That has now changed. The current policy states in paragraph R345-4: Each institution "should" adopt the policy measures "as needed." In the current threat environment, this needs to be strengthened to state each institution "will" adopt the policy measures (and eliminate "as needed").

Paragraph 4.1.4 in the policy needs to be strengthened by including the phrase "on all institutionally-owned computing devices" after the phrase "Institutions shall implement."

The heading on Paragraph 4.3 which provides the rules for retaining personal information on private computers needs to be changed to "Protecting PII."

To further strengthen the policy, we recommend that all the conditions 4.3.1- 4.3.5 need to be met before any consideration is given to have PII on a private computer. The final phrase in the final sentence in paragraph 4.3 will read "except when all of the following conditions are met" instead of "except under the following conditions."

Commissioner's Recommendation

The Commissioner recommends the Regents review and approve the proposed changes to Regents Policy R345, effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/SH  
Attachments

# R345, Information Technology Resource Security

## R345, Information Technology Resource Security

**R345-1.Purpose:** To provide minimum security standards for protecting USHE institutions' Personally Identifiable Information from potential threats such as human error, accident, system failures, natural disasters, and criminal or malicious action. Specific institutional policies may be more restrictive depending on the security requirements of the institution.

### R345-2.References

- 2.1. Policy and Procedures R132, Government Records Access and Management Act Guidelines
- 2.2. Policy and Procedures R341, Computing Systems Programs
- 2.3. Policy and Procedures R343, Information Management

### R345-3.Definitions

**3.1. Acceptable Use Policy:** Defines User conduct for appropriate use of the Institution's IT Resources.

**3.2. Administrative Access:** Any account or other access mechanism that permits a Data Steward, Data Custodian, IT Resource administrator, or User to control an IT resource and/or grants functional access to multiple records of Confidential Data.

**3.3. Critical IT Resource:** An IT Resource which is required for the continuing operation of the institution and/or its colleges and departments, 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 the institution, but financial reporting at fiscal year-end may be considered a Critical IT Resource.

**3.4. Disaster:** Any event or occurrence that prevents the normal operation of a Critical IT Resource(s).

**3.5. Disaster Recovery Plan:** A written plan including provisions for implementing and running Critical IT Resources at an alternate site or provisions for equivalent alternate processing (possibly manual) in the event of a disaster.

**3.6. Information Security Office(s) (ISO):** The Information Security Office develops and maintains security strategies for the institution's IT Resource systems, risk assessments, compliance with ISO policies and guidelines, and for the resolution of campus IT security incidents. The institution may have ISO functions performed by one or more individuals or offices. If multiple individuals or offices are involved, their respective roles and assignments should be clearly delineated.

**3.7. Incident Response Team:** A team composed of appropriate campus personnel, including an ISO representative; 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 preventive measures that develop as a result of responding to and resolving security breaches.

**3.8. Information Technology Resource (IT Resource):** A resource used for electronic storage, processing or transmitting of any data or information, as well as the data or information itself. This definition includes but is not limited to electronic mail, voice mail, local databases, externally accessed

databases, Internet-based storage, mobile devices, removable storage, 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 or related electronic equipment that electronically stores such communications.

**3.9. 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.

**3.10. IT Resource Custodian:** The organization 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.

**3.11. IT Resource Administrator:** Institutional 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.

**3.12. Personally Identifiable Information:** Personally Identifiable Information (PII) is protected by federal and state laws and regulations, including federal regulations administered by the U.S. the Department of Homeland Security (DHS), and is defined by DHS as “any information that permits the identity of an individual to be directly or indirectly inferred, which if lost, compromised, or disclosed without authorization could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.” PII must be protected prior to release in accordance with the Utah Government Records Access Management Act (GRAMA) or other disclosures required by law. PII includes but is not limited to the following:

**3.12.1** Full Social Security Number (SSN)

**3.12.2** Driver’s license or State ID number

**3.12.3** Passport number

**3.12.4** Visa number

**3.12.5** Alien Registration Number

**3.12.6** Fingerprints or other biometric identifiers

**3.12.7** Full name in combination with:

**3.12.7.1** Mother’s maiden name

**3.12.7.2** Date of birth, last 4 digits of SSN

**3.12.7.3** Citizenship or immigration status

**3.12.7.4** Ethnic or religious affiliation

**3.12.8** Protected Health Information, as defined by the Health Insurance Portability and Accountability Act (HIPAA)

**3.13.** Personally Identifiable 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).

**3.14. Security:** Measures taken to reduce the risk of (a) unauthorized access to IT Resources, via either logical, physical, managerial, or social engineering means; and/or (b) damage to or loss of IT Resources through any type of disaster, including cases where a violation of security or a disaster occurs despite preventive measures.

**3.15. Server:** A computer used to provide information and/or services to multiple Users.

**3.16. Unauthorized Access to IT Resources:** Access to Personally Identifiable Information or Critical IT Resources by a User(s) that does not need access to perform his/her job duties.

**3.17. User:** Any person, including faculty members, staff members, students, patients and anyone else such as contractors, consultants, interns, and temporary employees, who accesses and uses institutional IT Resources.

**R345-4. Policy:** Each institution and its colleges, departments, and divisions, shall take measures to protect Personally Identifiable Information that is stored, processed or transmitted using IT Resources under their control. Institutions will adopt these measures and review their security methods with the ISO at regular intervals to ensure they are using best practices.

**4.1.** Institutions shall design reasonable and appropriate security procedures to prevent unauthorized individuals or organizations from accessing IT Resources which store, process, or transmit Personally Identifiable Information.

**4.1.1.** Institutions shall design security procedures for IT Resources that do not store, process or transmit Personally Identifiable Information if access to such IT Resources provides a possible vector or avenue to a breach of security of Personally Identifiable Information or critical IT resource.

**4.1.2.** Institutions and departments shall maintain appropriate controls for administrative or functional access to IT resources containing Personally Identifiable Information and shall regularly audit administrative accounts to ensure only currently valid users and administrators have access.

**4.1.3** Institutions shall implement multi-factor authentication for all administrative and functional access to IT resources that store, process or transmit Personally Identifiable Information.

**4.1.4** Institutions shall implement on all institutionally-owned computing devices industry-standard encryption that renders the storage media of the device reasonably unrecoverable by a third-party, or other reasonable controls, on any mobile computing or removable storage device that processes, stores, or transmits Personally Identifiable Information.

**4.1.5** Institutions and departments that entrust Personally Identifiable Information to third-parties (e.g. hosted and/or “cloud” IT Resources) shall review contracts and/or terms of service to ensure the third-party will implement reasonable protections for Personally Identifiable Information in all stages of its lifecycle, including creation, storage, processing, transmittal and destruction.

**4.1.6** Institutions shall maintain an inventory of all internal or third-party IT Resources that store, process or transmit Personally Identifiable Information.

**4.2. Preventing the Loss of Critical Institution or Departmental IT Resources:** At regular intervals using best practices designated by ISO, each institution shall take measures to identify and prevent the

loss of Critical IT Resources that are under their control, and to include Critical IT Resources in college, department or division Disaster Recovery Plans.

**4.3. Protecting PII:** Users of IT Resources must not knowingly retain on personal computers, servers, or other computing devices, Private Sensitive Information, such as Social Security Numbers, financial information including credit card numbers and bank information, or protected health information, including health records and medical information, except when all of the following conditions are met:

**4.3.1.** The User needs Personally Identifiable Information to perform duties that are necessary to conduct the business of the institution;

**4.3.2.** The appropriate dean, department chair, or vice president must have granted permission to the User

**4.3.3.** The institutions have installed industry-standard encryption that renders the storage media of the device reasonably unrecoverable by a third-party, or other reasonable controls, on the user's mobile computing or removable storage device that processes, stores, or transmits Personally Identifiable Information; and

**4.3.4.** The User must take reasonable precautions to secure the Personally Identifiable Information that resides on his/her personal computer or other computing device.

**4.3.5** Permission is not required to retain student grades, letters of recommendation, RPT documents, patentable research findings, etc., that are used regularly in the performance of faculty and staff duties. However, if a computer containing such data is readily accessible to unauthorized individuals, the User must take reasonable precautions to secure the data.

**4.4. Preventing the Loss of Critical IT Resources on Users' (Faculty, Staff, Students) IT Resources:** A User must take reasonable precautions to reduce the risk of loss of Critical IT Resources that reside on his/her personal computer or other computing device, i.e., at regular intervals back up critical documents on CDs or other media, or back up documents to a storage device or system which is administered by the User's IT Systems Administrator or otherwise approved by the campus for such use.

**4.5. Identification of Personally Identifiable Information and Critical IT Resources:** If uncertain whether or not an IT Resource contains Personally Identifiable Information or is a Critical IT Resource, a User shall seek direction from the IT Resource Steward, the IT Resource Custodian, the campus Health Insurance Portability and Accountability Act (HIPAA) Privacy Office, or the institution's Information Security Officer.

**4.6. Reporting of Security Breaches:** All suspected or actual security breaches of institutional or departmental systems must immediately be reported to the institution's Information Security Officer. IT Systems Administrators should report security incidents to the IT Resource Steward and IT Resource Custodian for their respective organization. If the compromised system contains personal or financial information (e.g. credit card information, Social Security Numbers, etc.), the organization must report the event to the institution's legal office.

**4.6.1.** If an unauthorized person or organization has been accessed or compromised personally identifiable information:

**4.6.1.1.** The IT Resource Steward or User who is responsible for the information must consult with the vice president, dean, department head, supervisor, ISO and the legal office to assess the level of threat and/or liability posed to the institution and to those whose Personally Identifiable Information was accessed.

**4.6.1.2.** The Institution shall notify and direct individuals whose Personally Identifiable Information was accessed or compromised to ISO for instructions regarding measures they should take to protect themselves from identity theft.

**4.7. Reporting Loss of Critical IT Resource:** If Critical IT Resources are lost, the Data Steward or User must notify those individuals and organizations that are affected by the loss of the resource.

**4.8. Insurance against Data Loss or Breach:** Institutions shall maintain an insurance policy covering loss or breach of Personally Identifiable Information.

**4.9. 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 shall follow at all times the security controls for each work area and that they comply with access restrictions, sensitive data handling procedures, and the security plan for each area.

**4.10 Destruction or “Wiping” of Electronic Media:** Departments and Users shall destroy Personally Identifiable Information as well as other personal or financial information in a campus IT Resource or on personal computers, servers, or other campus computing devices, when such information is no longer needed to conduct the business of the institution, using established institutional procedures.

**R345-5. Roles and Responsibilities:** Each institution shall clearly define the roles and responsibilities of persons charged with the security of institutional information resources. The institution may organize the ISO office(s) as one person or multiple groups to fit its needs. Also the institution may choose to use designations other than “IT Resource Steward, IT Resource Custodian, and IT Resource Administrators” to describe the persons charged with the following roles and responsibilities.

**5.1 Institutional Information Security Office(s) (ISO):** The ISO reports directly to a senior institutional administrator. The ISO is responsible for the coordination, review and approval of procedures used to provide the requisite security for Personally Identifiable Information or Critical IT 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 institutional policies, consultation, and assistance to campus departments and individuals regarding the proper use of computer workstations, servers, applications, group networks and other 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 campus network traffic information to ensure compliance with institutional security and acceptable use policies, and evaluate, identify, and resolve security vulnerabilities, breaches and threats to the institution’s IT Resources.

**5.1.5.** Conduct security audits ongoing, periodic to confirm compliance with this policy.

**5.1.6.** Direct the campus Incident Response Team, incident response activities, and incident resolution at institutional, departmental, and individual levels. Take appropriate and reasonable remedial action to resolve security incidents.

**5.1.7.** Assist institutional or third party auditors in the analysis of campus 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) the campus backbone network and other IT systems and resources and, as related to their security roles and responsibilities, shall:

**5.2.1.** Monitor the campus 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 campus IT Resources.

**5.2.3.** Apply security policy and procedures to campus 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 how critical the 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 the institution's 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 that 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 Information Security

**5.5. IT Resource Administrator:** The IT Resource Administrator(s) performs security functions and procedures as directed by the IT Resource Steward, implementing and administering the security of IT Resources in accordance with institutional and industry best practices and standards.



## **R345-6. 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 the institution's 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 the institution's 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 the institution's 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 the institution's 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:** USHE institutions shall reserve the right to revoke access to any IT Resource for any User who violates the institution's policy, or for any other business reasons as allowed by applicable institutional

**6.5. Disciplinary Action:** Violation of the institution's 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 institutional policy.

# R345, Information Technology Resource Security

## R345, Information Technology Resource Security

**R345-1.Purpose:** To provide minimum security standards for protecting USHE institutions' Personally Identifiable Information from potential threats such as human error, accident, system failures, natural disasters, and criminal or malicious action. Specific institutional policies may be more restrictive depending on the security requirements of the institution.

### R345-2.References

- 2.1. Policy and Procedures R132, Government Records Access and Management Act Guidelines
- 2.2. Policy and Procedures R341, Computing Systems Programs
- 2.3. Policy and Procedures R343, Information Management

### R345-3.Definitions

**3.1. Acceptable Use Policy:** Defines User conduct for appropriate use of the Institution's IT Resources.

**3.2. Administrative Access:** Any account or other access mechanism that permits a Data Steward, Data Custodian, IT Resource administrator, or User to control an IT resource and/or grants functional access to multiple records of Confidential Data.

**3.3. Critical IT Resource:** An IT Resource which is required for the continuing operation of the institution and/or its colleges and departments, 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 the institution, but financial reporting at fiscal year-end may be considered a Critical IT Resource.

**3.4. Disaster:** Any event or occurrence that prevents the normal operation of a Critical IT Resource(s).

**3.5. Disaster Recovery Plan:** A written plan including provisions for implementing and running Critical IT Resources at an alternate site or provisions for equivalent alternate processing (possibly manual) in the event of a disaster.

**3.6. Information Security Office(s) (ISO):** The Information Security Office develops and maintains security strategies for the institution's IT Resource systems, risk assessments, compliance with ISO policies and guidelines, and for the resolution of campus IT security incidents. The institution may have ISO functions performed by one or more individuals or offices. If multiple individuals or offices are involved, their respective roles and assignments should be clearly delineated.

**3.7. Incident Response Team:** A team composed of appropriate campus personnel, including an ISO representative; 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 preventive measures that develop as a result of responding to and resolving security breaches.

**3.8. Information Technology Resource (IT Resource):** A resource used for electronic storage, processing or transmitting of any data or information, as well as the data or information itself. This definition includes but is not limited to electronic mail, voice mail, local databases, externally accessed

databases, Internet-based storage, mobile devices, removable storage, 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 or related electronic equipment that electronically stores such communications.

**3.9. 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.

**3.10. IT Resource Custodian:** The organization 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.

**3.11. IT Resource Administrator:** Institutional 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.

**3.12. Personally Identifiable Information:** Personally Identifiable Information (PII) is protected by federal and state laws and regulations, including federal regulations administered by the U.S. the Department of Homeland Security (DHS), and is defined by DHS as “any information that permits the identity of an individual to be directly or indirectly inferred, which if lost, compromised, or disclosed without authorization could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.” PII must be protected prior to release in accordance with the Utah Government Records Access Management Act (GRAMA) or other disclosures required by law. PII includes but is not limited to the following:

**3.12.1** Full Social Security Number (SSN)

**3.12.2** Driver’s license or State ID number

**3.12.3** Passport number

**3.12.4** Visa number

**3.12.5** Alien Registration Number

**3.12.6** Fingerprints or other biometric identifiers

**3.12.7** Full name in combination with:

**3.12.7.1** Mother’s maiden name

**3.12.7.2** Date of birth, last 4 digits of SSN

**3.12.7.3** Citizenship or immigration status

**3.12.7.4** Ethnic or religious affiliation

**3.12.8** Protected Health Information, as defined by the Health Insurance Portability and Accountability Act (HIPAA)

**3.13.** Personally Identifiable 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).

**3.14. Security:** Measures taken to reduce the risk of (a) unauthorized access to IT Resources, via either logical, physical, managerial, or social engineering means; and/or (b) damage to or loss of IT Resources through any type of disaster, including cases where a violation of security or a disaster occurs despite preventive measures.

**3.15. Server:** A computer used to provide information and/or services to multiple Users.

**3.16. Unauthorized Access to IT Resources:** Access to Personally Identifiable Information or Critical IT Resources by a User(s) that does not need access to perform his/her job duties.

**3.17. User:** Any person, including faculty members, staff members, students, patients and anyone else such as contractors, consultants, interns, and temporary employees, who accesses and uses institutional IT Resources.

**R345-4. Policy:** Each institution and its colleges, departments, and divisions, shall take measures to protect Personally Identifiable Information that is stored, processed or transmitted using IT Resources under their control. Institutions ~~should will~~ adopt these measures ~~as needed~~ and review their security methods with the ISO at regular intervals to ensure they are using best practices.

**4.1.** Institutions shall design reasonable and appropriate security procedures to prevent unauthorized individuals or organizations from accessing IT Resources which store, process, or transmit Personally Identifiable Information.

**4.1.1.** Institutions shall design security procedures for IT Resources that do not store, process or transmit Personally Identifiable Information if access to such IT Resources provides a possible vector or avenue to a breach of security of Personally Identifiable Information or critical IT resource.

**4.1.2.** Institutions and departments shall maintain appropriate controls for administrative or functional access to IT resources containing Personally Identifiable Information and shall regularly audit administrative accounts to ensure only currently valid users and administrators have access.

**4.1.3** Institutions shall implement multi-factor authentication for all administrative and functional access to IT resources that store, process or transmit Personally Identifiable Information.

**4.1.4** Institutions shall implement on all institutionally-owned computing devices industry-standard encryption that renders the storage media of the device reasonably unrecoverable by a third-party, or other reasonable controls, on any mobile computing or removable storage device that processes, stores, or transmits Personally Identifiable Information.

**4.1.5** Institutions and departments that entrust Personally Identifiable Information to third-parties (e.g. hosted and/or “cloud” IT Resources) shall review contracts and/or terms of service to ensure the third-party will implement reasonable protections for Personally Identifiable Information in all stages of its lifecycle, including creation, storage, processing, transmittal and destruction.

**4.1.6** Institutions shall maintain an inventory of all internal or third-party IT Resources that store, process or transmit Personally Identifiable Information.

**4.2. Preventing the Loss of Critical Institution or Departmental IT Resources:** At regular intervals using best practices designated by ISO, each institution shall take measures to identify and prevent the loss of Critical IT Resources that are under their control, and to include Critical IT Resources in college, department or division Disaster Recovery Plans.

**4.3. Protecting ~~Private Sensitive Information on Users' (Faculty, Staff, Students) IT Resources: PII:~~**

Users of IT Resources must not knowingly retain on personal computers, servers, or other computing devices, Private Sensitive Information, such as Social Security Numbers, financial information including credit card numbers and bank information, or protected health information, including health records and medical information, except ~~under the following conditions~~when all of the following conditions are met:

**4.3.1.** The User needs Personally Identifiable Information to perform duties that are necessary to conduct the business of the institution;

**4.3.2.** The appropriate dean, department chair, or vice president must have granted permission to the User

**4.3.3.** The institutions have installed industry-standard encryption that renders the storage media of the device reasonably unrecoverable by a third-party, or other reasonable controls, on the user's mobile computing or removable storage device that processes, stores, or transmits Personally Identifiable Information; and

**4.3.4.** The User must take reasonable precautions to secure the Personally Identifiable Information that resides on his/her personal computer or other computing device.

**4.3.5** Permission is not required to retain student grades, letters of recommendation, RPT documents, patentable research findings, etc., that are used regularly in the performance of faculty and staff duties. However, if a computer containing such data is readily accessible to unauthorized individuals, the User must take reasonable precautions to secure the data.

**4.4. Preventing the Loss of Critical IT Resources on Users' (Faculty, Staff, Students) IT Resources:** A User must take reasonable precautions to reduce the risk of loss of Critical IT Resources that reside on his/her personal computer or other computing device, i.e., at regular intervals back up critical documents on CDs or other media, or back up documents to a storage device or system which is administered by the User's IT Systems Administrator or otherwise approved by the campus for such use.

**4.5. Identification of Personally Identifiable Information and Critical IT Resources:** If uncertain whether or not an IT Resource contains Personally Identifiable Information or is a Critical IT Resource, a User shall seek direction from the IT Resource Steward, the IT Resource Custodian, the campus Health Insurance Portability and Accountability Act (HIPAA) Privacy Office, or the institution's Information Security Officer.

**4.6. Reporting of Security Breaches:** All suspected or actual security breaches of institutional or departmental systems must immediately be reported to the institution's Information Security Officer. IT Systems Administrators should report security incidents to the IT Resource Steward and IT Resource Custodian for their respective organization. If the compromised system contains personal or financial information (e.g. credit card information, Social Security Numbers, etc.), the organization must report the event to the institution's legal office.

**4.6.1.** If an unauthorized person or organization has been accessed or compromised personally identifiable information:

**4.6.1.1.** The IT Resource Steward or User who is responsible for the information must consult with the vice president, dean, department head, supervisor, ISO and the legal office to assess the level of threat and/or liability posed to the institution and to those whose Personally Identifiable Information was accessed.

**4.6.1.2.** The Institution shall notify and direct individuals whose Personally Identifiable Information was accessed or compromised to ISO for instructions regarding measures they should take to protect themselves from identity theft.

**4.7. Reporting Loss of Critical IT Resource:** If Critical IT Resources are lost, the Data Steward or User must notify those individuals and organizations that are affected by the loss of the resource.

**4.8. Insurance against Data Loss or Breach:** Institutions shall maintain an insurance policy covering loss or breach of Personally Identifiable Information.

**4.9. 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 shall follow at all times the security controls for each work area and that they comply with access restrictions, sensitive data handling procedures, and the security plan for each area.

**4.10 Destruction or “Wiping” of Electronic Media:** Departments and Users shall destroy Personally Identifiable Information as well as other personal or financial information in a campus IT Resource or on personal computers, servers, or other campus computing devices, when such information is no longer needed to conduct the business of the institution, using established institutional procedures.

**R345-5. Roles and Responsibilities:** Each institution shall clearly define the roles and responsibilities of persons charged with the security of institutional information resources. The institution may organize the ISO office(s) as one person or multiple groups to fit its needs. Also the institution may choose to use designations other than “IT Resource Steward, IT Resource Custodian, and IT Resource Administrators” to describe the persons charged with the following roles and responsibilities.

**5.1 Institutional Information Security Office(s) (ISO):** The ISO reports directly to a senior institutional administrator. The ISO is responsible for the coordination, review and approval of procedures used to provide the requisite security for Personally Identifiable Information or Critical IT 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 institutional policies, consultation, and assistance to campus departments and individuals regarding the proper use of computer workstations, servers, applications, group networks and other 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 campus network traffic information to ensure compliance with institutional security and acceptable use policies, and evaluate, identify, and resolve security vulnerabilities, breaches and threats to the institution’s IT Resources.

**5.1.5.** Conduct security audits ongoing, periodic to confirm compliance with this policy.

**5.1.6.** Direct the campus Incident Response Team, incident response activities, and incident resolution at institutional, departmental, and individual levels. Take appropriate and reasonable remedial action to resolve security incidents.

**5.1.7.** Assist institutional or third party auditors in the analysis of campus 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) the campus backbone network and other IT systems and resources and, as related to their security roles and responsibilities, shall:

**5.2.1.** Monitor the campus 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 campus IT Resources.

**5.2.3.** Apply security policy and procedures to campus 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 how critical the 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 the institution's 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 that 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 Information Security

**5.5. IT Resource Administrator:** The IT Resource Administrator(s) performs security functions and procedures as directed by the IT Resource Steward, implementing and administering the security of IT Resources in accordance with institutional and industry best practices and standards.

## **R345-6. 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 the institution's 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 the institution's 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 the institution's 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 the institution's 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:** USHE institutions shall reserve the right to revoke access to any IT Resource for any User who violates the institution's policy, or for any other business reasons as allowed by applicable institutional

**6.5. Disciplinary Action:** Violation of the institution's 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 institutional policy.

[1] Approved March 21, 2008, and revised on September 16, 2016.



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: Dave L. Buhler

SUBJECT: USHE – Revision of Policy R513, *Tuition Waivers and Reductions*

Issue

The Board is being asked to review and approve proposed revisions to Regent Policy R513, *Tuition Waivers and Reductions*.

Background

Utah Code Section 53B-8-106 allows certain students who meet specific criteria to be exempt from nonresident tuition. The policy governing this waiver added language that unduly restricted the waiver beyond what was allowed under the law. The proposed revision adopts the statutory language and removes additional restrictions currently in Regent Policy R513.

In 2002, the Legislature enacted 53B-8-106, which states that a student shall be exempt from paying the nonresident portion of total tuition if the student:

- (a) attended high school in this state for three or more years;
- (b) graduated from a high school in this state or received the equivalent of a high school diploma in this state; and
- (c) registers as an entering student at an institution of higher education not earlier than the fall of the 2002-03 academic year.

The Board of Regents established R513-5.5 in response to that legislation, but with additional language that required the entering student to have matriculated into a USHE institution in order to qualify. Several institutions approached the Commissioner's office with concerns that entering students who had matriculated in institutions of higher education outside of the system were not qualifying under R513-5.5 but would qualify under the statute. After further review, the Commissioner's staff determined the additional policy language exceeded the Board's statutory authority.

Commissioner's Recommendation

The Commissioner recommends the Regents review the proposed policy and, if in agreement with the new policy, establish R513, *Tuition Waivers and Reductions* effective immediately.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/GTL  
Attachments



# R513, Tuition Waivers and Reductions<sup>1</sup>

**R513-1. Purpose:** To establish procedures for Utah System of Higher Education (USHE) institutions to administer tuition waiver and reduction programs.

## R513-2. References

- 2.1. Utah Code §53B-8-101, Waiver of Tuition—Resident—National Guard—Nonresident—Critical Occupations—Summer School—Graduate Students
- 2.2. Utah Code §53B-8-103, Partial Waivers Pursuant to Reciprocal Agreements
- 2.3. Utah Code §53B-8-104, Nonresident Partial Tuition Scholarships—Border7 Waivers
- 2.4. Utah Code §53B-8-104.5, Nonresident Tuition Scholarships
- 2.5. Utah Code §53B-8-106, Resident Tuition Scholarships—Requirements—Rules
- 2.6. Utah Code Title 53B, Chapter 9, Higher Education for Senior Citizens
- 2.7. Utah Code Title 53B, Chapter 8c, Police Officer's and Firefighter's Survivor Tuition Waiver
- 2.8. Utah Code Title 53B, Chapter 8d, Tuition Waivers for Wards of the State
- 2.9. Utah Code Title 53B, Chapter 8e, Tuition Waivers for Purple Heart Recipients
- 2.10. Utah Code §53A-15-101.5, Concurrent Enrollment Instruction in Mandarin Chinese
- 2.11. Policy and Procedures R510, Tuition and Fees
- 2.12. Policy and Procedures R512, Determination of Resident Status
- 2.13. Utah Code §53B-8-107, Scott B. Lundell Waiver of Tuition for Dependents of Military Members Killed in Action
- 2.14. Utah Code §53B-8-103.5, Alumni Legacy Nonresident Scholarships
- 2.15. Utah Code §53B-8-102, Definition of Resident Student

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<sup>1</sup> Approved October 19, 2001, amended November 8, 2002, March 14, 2003, April 16, 2004, March 10, 2006, June 9, 2006 and June 8, 2007. Revisions approved by the Board of Regents on May 29, 2009, November 18, 2011, March 29, 2013, May 15, 2015, May 20, 2016, and May 18, 2018.

**R513-3. Definitions:**

**3.1. Impecunious Resident Student:** A resident student whose demonstrated lack of financial resources presents a significant barrier to accessing higher education or completing a higher education degree or certificate.

**3.2. Meritorious Resident Student:** A resident student who has demonstrated exceptional academic and / or other achievements which qualify for recognition and reward.

**R513-4. Waiver of Resident Tuition:**

**4.1 10% Resident Tuition Waivers:** The president of each institution may waive all or part of the tuition in behalf of meritorious or impecunious resident students to an amount not exceeding 10 percent of the total amount of tuition which, in the absence of the waivers, would have been collected from all Utah resident students at the institution.

**4.1.1.** Of the amount waived in 4.1, at least 10 percent of total amount shall be used to support tuition waivers for impecunious resident students.

**4.1.1.1.** Each of the institutions will develop and present a plan to the Board of Regents on how it expects to be compliant with 4.1.1. for the reporting cycle beginning July 1, 2021.

**4.1.1.2.** The Board shall review the percentage set aside for impecunious students every three years beginning July 1, 2024.

**4.2 National Guard Set Aside:** Of the amount waived for resident students under 4.1, 2.5 percent of the total amount shall be set aside by institutions for waivers reserved for members of the Utah National Guard.

**4.2.1.** To ensure timely processing, the Utah National Guard Administration will provide to the institutions a prioritized list of qualified candidates for tuition waivers no later than 60 calendar days prior to the start of an academic term. Candidates for Utah National Guard tuition waivers must be full-time students. To ensure the highest number of candidates receive a tuition waiver, institutions may adjust the waiver amount between partial and full amounts.

**4.2.2.** An institution may, at its discretion and within its established criteria, allow recipients to use tuition waivers toward self-supported courses.

**4.2.3.** Any National Guard tuition waivers set aside but not claimed 30 days prior to the beginning of the term may be used for other qualified students.

**4.3. Partial Tuition Waivers for Critical Occupations:** Upon recommendation of the Board of Regents, a president shall grant additional full or partial tuition waivers to encourage students to enroll for instruction in specifically identified occupations critical to the state for which trained personnel are in short supply.

**4.4. Senior Citizens Audit Waivers:** Utah residents age 62 and over shall be permitted to enroll on a space available audit basis in classes for which they are qualified, in any USHE institution, without regular tuition charges, but subject to payment of the following:

**4.4.1.** A minimum administrative fee shall be charged, for the institution's cost of registration, record keeping, and report preparation. The fee shall be at least \$10 per semester of registration.

**4.4.2.** Where applicable, specific course fees also shall be charged.

**4.4.3.** No credit shall be awarded to a senior citizen for a course taken pursuant to the senior citizens waiver in 3.4. To receive credit a senior citizen must pay regular tuition.

**4.5. Police Officer's and Firefighter's Survivor Tuition Waiver:**

**4.5.1. Definitions:** As used in this part:

**4.5.1.1. "Child"** means an individual who (a) is a natural or adopted child of a deceased peace officer or deceased firefighter; and (b) was under the age of 25 at the time of the peace officer's or firefighter's death.

**4.5.1.2. "Department"** means the Department of Public Safety.

**4.5.1.3. "Killed"** means that the peace officer's or firefighter's death is the direct and proximate result of a traumatic injury incurred in the line of duty.

**4.5.1.4. "Line of Duty"** means an action that a peace officer or firefighter is obligated or authorized to perform by rule, regulation, condition of employment or service, or law, including a social, ceremonial, or athletic function that the peace officer or firefighter is assigned to or compensated for by the public agency being served.

**4.5.1.5. "Occupational Disease"** means a disease that routinely constitutes a special hazard in, or is commonly regarded as concomitant of, the peace officer's or firefighter's occupation.

**4.5.1.6. "Traumatic Injury"** means a wound or the condition of the body caused by external force, including an injury inflicted by bullet, explosive, sharp instrument, blunt object, or other physical blow, fire, smoke, chemical, electricity, climatic condition, infectious disease, radiation, or bacteria, but excluding an occupational disease.

**4.5.1.7. "Tuition"** means tuition at the rate charged for residents of the state.

**4.5.1.8. "Utah Firefighter" or "Firefighter"** means a member, including volunteer members and members paid on call, of a fire department or other organization that provides fire suppression and other fire related services, of a political subdivision who is responsible for or is in a capacity that includes responsibility for the extinguishment of fires. This does not include a person whose job description, duties, or responsibilities do not include direct involvement in fire suppression.

**4.5.1.9. "Utah Peace Officer" or "Peace Officer"** means an employee of a law enforcement agency that is part of or administered by the state or any of its political subdivisions, and whose duties consist primarily of the prevention and detection of crime and the enforcement of criminal statutes or ordinances of this state or any of its political subdivisions.

**4.5.2. Tuition Waivers for Surviving Spouses and Children:** Subject to the limitations below, a USHE institution shall waive tuition for each child and surviving spouse of a Utah peace officer or Utah firefighter who has been killed or is killed in the line of duty if the individual meets the following requirements:

**4.5.2.1.** applies, qualifies, and is admitted as a full-time, part-time, or summer school student in a program of study leading to a degree or certificate;

**4.5.2.2.** is a resident student of the state as determined under R512, Determination of Resident Status;

**4.5.2.3.** applies to the Department for a waiver of tuition under this chapter and provides evidence satisfactory to the Department that (a) the applicant is the surviving spouse or child of a peace officer or firefighter who was killed in the line of duty; (b) the course or courses for which the applicant is seeking a tuition waiver meet the requirements of 3.5.3; and (c) the applicant meets the other requirements of this part;

**4.5.2.4.** for a child of a peace officer or firefighter killed in the line of duty, applies under section 3.5.2 for the first time before the age of 25;

**4.5.2.5.** is certified by the financial aid officer at the institution as needing the tuition waiver in order to meet recognized educational expenses, with the understanding that if the applicant's family income, excluding any income from death benefits attributable to the peace officer's or firefighter's death, is below 400 percent of the poverty level under federal poverty guidelines, then the income from any death benefits accruing to the applicant as a result of the death may not be counted as family income in determining financial need under this 3.5.3.1;

**4.5.2.6.** maintains satisfactory academic progress, as defined by the institution, for each term or semester in which the individual is enrolled, which may be measured by the definition used for federal student assistance programs under Title IV of the Higher Education Act of 1965; and

**4.5.2.7.** has not achieved a bachelor's degree and has received tuition reimbursement under this chapter for less than 124 semester credits or 180 quarter credits at an institution of higher education.

**4.5.3. Limited Term for Waiver:** A child or surviving spouse of a peace officer or firefighter who was killed in the line of duty is eligible for a tuition waiver under this section of not more than nine semesters or the equivalent number of quarters.

**4.5.3.1. Waiver Only If Tuition Not Otherwise Covered:** Tuition shall be waived only to the extent that the tuition is not covered or paid by any scholarship,

trust fund, statutory benefit, or any other source of tuition coverage available for a waiver.

**4.5.3.2. Waiver for Required Courses Only:** An institution shall waive tuition under this chapter only for courses that are applicable toward the degree or certificate requirements of the program in which the child or surviving spouse is enrolled.

**4.5.3.3. Prior Approval by Department:** Upon receiving an application under Utah Code 53B-8c-103(1)(c), the Department shall determine whether the applicant and the courses for which tuition waiver is sought meet the requirements of Section 53B-8c-103 and, if so, shall approve the application and notify the higher education institution that the application has been approved.

**4.5.3.4. Department Cooperation:** The institutions shall cooperate with the Department in developing efficient procedures for the implementation of this program and shall use the forms and applications provided by the Department.

#### **4.6. Tuition Waivers for Wards of the State:**

##### **4.6.1. Definitions:** As used in this part:

**3.5.1.1 4.6.1.1. "Division"** means the Division of Child and Family Services.

**4.6.1.2. "Long-term Foster Care"** means an individual who remains in the custody of the Division, whether or not the individual resides with licensed foster parents or in independent living arrangements under the supervision of the Division.

**4.6.1.3. "State Institution of Higher Education"** means those institutions designated in Section 53B-1-102 and any public institution that offers postsecondary education in consideration of the payment of tuition or fees for the attainment of educational or vocational objectives leading to a degree or certificate, including business schools, technical schools, applied technology centers, trade schools, and institutions offering related apprenticeship programs.

**4.6.1.4. "Tuition"** means tuition at the rate for residents of the state.

**4.6.1.5. "Ward of the State"** means an individual (a) who is at least 17 years of age and not older than 26 years of age; (b) who had a permanency goal in the individual's treatment plan, as defined in Sections 62A-4a-205 and 78-3a-312, of long-term foster care while in the custody of the Division; and (c) for whom the custody of the Division was not terminated as a result of adoption.

**4.6.2. Tuition Waivers for Wards of the State:** Subject to the limitations in 4.6.2.1, 4.6.2.2., and 4.6.2.3, a state institution of higher education shall waive tuition for each ward of the state applicant who meets the following requirements:

**4.6.2.1.** applies, qualifies, and is admitted as a full-time, part-time, or summer school student in a program of study leading to a degree or certificate;

**4.6.2.2.** is a resident student of the state as determined under R512, Determination of Resident Status;

**4.6.2.3.** provides the institution with documentation from the Division that the Division has verified: (a) applicant is at least 17 years of age and not older than 26 years of age; (b) applicant had a permanency goal in the Division treatment plan, as defined in Sections 62A-4a-205 and 78-3a-312, of long-term foster care while in the custody of the Division; (c) applicant's custody was not terminated as a result of adoption; (d) applicant was in the custody of the Division for an aggregate period of not less than 24 months; (e) applicant applied for the first time under this program before the age of 22; and (f) applicant has not achieved a bachelor's degree, and has received tuition reimbursement under this program for less than 124 semester credits (or 180 quarter credits) and for not more than nine semesters at an institution of higher education.

**4.6.2.4.** verifies that the course or courses for which the applicant is seeking a tuition waiver meet the requirements of 4.6.2.3;

**4.6.2.5.** is certified by the financial aid officer at the higher education institution as needing the tuition waiver in order to meet recognized educational expenses;

**4.6.2.6.** maintains satisfactory academic progress, as defined by the institution of higher education, for each term or semester in which the individual is enrolled, which may be measured by the definition used for federal student assistance programs under Title IV of the Higher Education Act of 1965; and

**4.6.3. Limited Term of Waiver:** A ward of the state is eligible for a tuition waiver under this section for not more than nine semesters.

**4.6.3.1. Waiver Only if Tuition Not Otherwise Covered:** Tuition shall be waived (a) after the individual has applied for financial assistance, including scholarships and Pell Grants; and (b) only to the extent that the tuition is not covered or paid by any scholarship, trust fund, statutory benefit, Pell Grant, or any other source of tuition coverage available for a waiver.

**4.6.3.2. Waiver for Required Courses Only:** An institution of higher education shall waive tuition under this chapter only for courses that are applicable toward the degree or certificate requirements of the program in which the student is enrolled.

**4.6.4. Reimbursement of Waivers by Division:** The institutions shall seek reimbursement from the Division for any tuition waived under this chapter.

#### **4.7. Tuition Exemption for Teachers:**

**4.7.1. Definitions:** As used in this part

**4.7.1.1. "Educator":** means an educator is a person currently employed in the Utah public school system who is a licensed educator in good standing or has been issued a letter of authorization permitting such employment under [Utah Code 53A-6-104](#), the Board Licensure section of the Educator Licensure and Professional Practices Act.



**4.7.1.2. “Tuition Waivers for Teachers”** means an educator who enrolls in a course of study determined by the State Board of Education to satisfy the professional development requirements of §53A-6-104(2)(b)(i) is exempt from the tuition charges for a class taken as part of that course of study provided that the following conditions are met:

**4.7.1.3. “Master’s and Doctoral Degree Candidates”** means because of the extensive involvement of faculty members in committees, mentoring, and counseling of master’s and doctoral degree candidates, the concept of surplus space does not apply and such educators are not eligible for the exemption from tuition under this section.

**4.7.2. Administrative Semester Registration Fee:** The institution may charge an educator an administrative semester registration fee not to exceed \$100 per semester to cover the actual increased costs associated with registration, verification of educator status, identification of eligible courses, certification of space availability, and record keeping.

**4.7.3. Surplus Space Enrollment:** The educator may be enrolled on the basis of surplus space as determined by the institution under these rules and guidelines as follows:

**4.7.3.1.** If a principal or substantial reason for the institution to offer the class is to serve educators, then no educator enrolled in that class can be considered to be enrolled on the basis of surplus space, and therefore cannot be eligible for this exemption from tuition charges;

**4.7.3.2.** If the class meets the requirements of 53A-6-104(2)(b)(i) but does not have as a principal or substantial purpose to serve educators, then the institution shall define the optimum class size of the class in accordance with regular procedures and normal teaching loads in that space within the institution's approved budget. The number of surplus space enrollments available to educators is determined by subtracting from the optimum class size the number of tuition paying students enrolled in the class. The surplus space enrollments may then be filled by educators on a first come first served basis. However, in order to maintain the optimum class size, educators exempt from tuition may be bumped (last in, first out) by regular tuition paying students who later register for the class.

#### **4.8. Tuition Reimbursement for Sequential Mandarin Chinese Course:**

**4.8.1. Extended Sequential Study for Difficult Languages:** Difficult languages require extended sequences of study to acquire proficiency in listening, speaking, reading, and writing.

**4.8.2. Mandarin Chinese Program:** The Board and the State Board of Education, in consultation with the Utah Education Network, may develop and implement a concurrent enrollment course of study in Mandarin Chinese. The course shall be taught over EDNET to high school juniors and seniors in the state's public education system.

**4.8.3. Tuition Reimbursement:** Students who successfully complete the concurrent enrollment course in Mandarin Chinese offered under the part shall receive tuition reimbursement for a sequential Mandarin Chinese course they successfully complete with a “B” grade or above at an institution within the USHE.

#### **4.9. Scott B. Lundell Waiver of Tuition for Dependents of Military Members Killed in Action:**

**4.9.1. Tuition Waiver:** USHE institutions shall waive undergraduate tuition for surviving dependents of a Utah resident, as defined in Utah Code §53B-8-107, who, as a member of the armed forces of the United States, including the Utah National Guard or a reserve component, was killed or died of wounds or injuries received while serving on federal active duty, under orders of competent authority and not as a result of the member's own misconduct.

**4.9.1.2.** The dependent must be accepted by the institution as a student in accordance with the institution's admission guidelines.

**4.9.1.3.** The dependent must be a resident student as defined by Utah Code §53B-8-102 and Regent Policy R512.

**4.9.1.4.** The dependent may not be excluded from the waiver if the dependent has previously taken courses at, or has been awarded credit by, a USHE institution.

**4.9.2. Certification by Adjutant General or Designee:** The adjutant general, after consultation with federal authorities if necessary, shall certify to the institution that the dependent is a surviving dependent eligible for the waiver. The adjutant general may delegate this responsibility to the Utah Department of Veterans Affairs.

**4.9.3. Definition of "Dependent":** For purposes of this policy, the term "dependent" shall include a surviving spouse.

**4.9.4. Limitations on Waiver:** The waiver is subject to the following limitations:

**4.9.4.1.** The waiver is not applicable if the dependent has already completed an undergraduate degree.

**4.9.4.2.** The waiver is applicable for undergraduate study only.

**4.9.4.3.** The dependent may only utilize the waiver for courses that are applicable toward the degree or certificate requirement of the program in which the dependent is enrolled.

**4.9.4.4.** The waiver is not applicable to fees, books, or housing expenses, and tuition shall be waived only to the extent that tuition is not covered by scholarships, Pell Grants, statutory benefit, or any other form of non-loan tuition coverage.

**4.10. Waiver of Tuition for Purple Heart Recipients:** USHE institutions shall waive undergraduate tuition for each Purple Heart recipient who is admitted as a full-time, part-time, or summer school student in an undergraduate program of study leading to a degree or certificate, provided that the student is a resident of the state as determined under Section 53B-8-102, and that the student submits verification from the Division of Veterans Affairs that the student has earned a Purple Heart award as a result of military service.

**4.11. When Verification of Lawful Presence is Not Required.** As provided by Utah Code Ann. §63G-12-402, verification of lawful presence in the United States is not required of a student who is a graduate of a high school located in Utah and (1) is exempt from paying the nonresident portion of total tuition under Utah Code Ann. §53B-8-106; or (2) applies for, and may be awarded, a privately funded scholarship that is administered by a USHE institution.

**R513 – 5.Waiver of Nonresident Tuition:**

**5.1. Waivers for Nonresident Undergraduate, Graduate, or Summer School Students:**

The president of each institution may waive all or part of the nonresident portion of tuition for meritorious nonresident undergraduate students to an amount not exceeding the designated percent of the total amount of tuition which, in the absence of the waivers, would have been collected from all nonresident students at the institution outlined in the chart below.

| <b>Institution</b>          | <b>Not to exceed percentage</b> |
|-----------------------------|---------------------------------|
| University of Utah          | 16%                             |
| Utah State University       | 13%                             |
| Weber State University      | 40%                             |
| Southern Utah University    | 35%                             |
| Snow College                | 27%                             |
| Dixie State University      | 30%                             |
| Utah Valley University      | 18%                             |
| Salt Lake Community College | 10%                             |

**5.1.1.** In determining which students are meritorious for purposes of granting a tuition waiver under 5.1, a president shall consider students who are performing above the average at the institution, including having an admissions index higher than the average for the institution, if an admission index is used.

**5.1.2.** A president may continue to waive the nonresident portion of tuition for a student described in 4.1 for as long as the student is enrolled at the institution.

**5.1.3.** In addition to waiving the nonresident portion of tuition for a meritorious nonresident undergraduate student under 5.1, a president may waive the resident portion of tuition after the meritorious nonresident undergraduate student completes a year of full-time study at the institution.

**5.1.4.** Institutions will be given until July 2021 to adjust their financial aid awards practice to align with these percentages and would be asked to be compliant with the policy for the 2022 Academic school year reports.

**5.1.5.** The Commissioner's office will review the percentages in 2022 and then no longer than every five years thereafter and recommend changes if appropriate and justified.

**5.1.5.1.** Institutions may also request an adjustment to these percentages for the Board's consideration outside of the five year review period.

**5.1.6.** A president may waive all or part of the nonresident portion of tuition for nonresident graduate students.

**5.1.7.** A president may waive all or part of the nonresident portion of tuition for nonresident summer school students

**5.2. Nonresident Tuition Scholarships:**

**5.2.1.** In addition to the "border waiver" scholarships authorized under Section 53B-8-104, USHE presidents are authorized to grant scholarships for a waiver of the nonresident portion of total tuition charged to nonresident students when the scholarships will:

5.2.1.1. assist in maintaining an adequate level of service and related cost-effectiveness of auxiliary operations; and

5.2.1.2. promote enrollment of nonresident students with high academic aptitudes.

**5.2.2. Policy Guidelines:** Nonresident tuition scholarships may be awarded at the institutions with the following provisions:

5.2.2.1. the amount of the approved scholarship may be up to 100 percent of the differential tuition charged to nonresident students for an equal number of credit hours of instruction;

5.2.2.2. 675 of the approved scholarships may be at a level of more than 50 percent of the differential tuition charged to nonresident students for an equal number of credit hours of instruction;

5.2.2.3. a nonresident scholarship may be awarded initially only to a nonresident student who has not previously been enrolled in a college or university in Utah and who has enrolled full time for ten or more credit hours; and

5.2.2.4. a nonresident student who receives a scholarship of greater than 50 percent of the differential tuition charged to nonresident students for an equal number of credit hours of instruction may not be counted against the funded target for the institution attended.

**5.2.3. Annual Number of Nonresident Tuition Scholarships:** Each academic year the president of the following institutions may award nonresident tuition scholarships as set forth below, not to exceed a total of 900 such scholarships in effect at any one time:

| Institution                 | Differential Tuition Scholarships (up to 100%) | Differential Tuition Scholarships (up to 50%) | Total |
|-----------------------------|--|---|-------|
| University of Utah          | 24   | 14  | 38    |
| Utah State University       | 330  | 112   | 442   |
| Weber State University      | 55   | 15  | 70    |
| Southern Utah University    | 96   | 25  | 121   |
| Snow College                | 2  | 7   | 9     |
| Dixie State University      | 161  | 44  | 205   |
| Utah Valley University      | 0  | 0   | 0     |
| Salt Lake Community College | 7  | 8   | 15    |
| USHE Total                  | 675  | 225   | 900   |

5.2.3.1. Institutions shall determine award eligibility on a meritorious basis, considering measures such as grade point averages and test scores.

5.2.3.2. In determining eligibility for these scholarships, institutions may consider the impact of maintaining critical enrollment levels in academic programs.

### **5.3. Partial Waivers Pursuant to Reciprocal Agreements:**

**5.3.1. Partial Waiver of Nonresident Differential:** The Board may grant a full or partial waiver of the nonresident differential in tuition rates charged to undergraduate students pursuant to reciprocal agreements with other states. In making the determination, the Board considers the potential of the waiver to: (A) enhance educational opportunities for Utah residents; (B) promote mutually beneficial cooperation and development of Utah communities and nearby communities in neighboring states; (C) contribute to the quality of educational programs; and (D) assist in maintaining the cost effectiveness of auxiliary operations in Utah institutions of higher education.

**5.3.2. Dixie State University Good Neighbor Waiver:** Dixie State University may offer a good neighbor full waiver of the nonresident differential in tuition rates charged to undergraduate students pursuant to the reciprocal agreements with other states or to a resident of a county that has a portion of the county located within 70 miles of the main campus of Dixie State University. A student who attends Dixie State University under a good neighbor tuition waiver shall pay a surcharge per credit hour in addition to the regular resident tuition and fees of Dixie State University. The surcharge per credit hour shall be based on a percentage of the approved resident tuition per credit hour each academic year. The percentage assessed as a surcharge per credit hour shall be set by the State Board of Regents. Dixie State University may restrict the number of good neighbor tuition waivers awarded. A student who attends Dixie State University on a good neighbor tuition waiver may not count the time during which the waiver is received towards establishing resident student status in Utah.

**5.3.3. Reciprocal Agreements with Other States:** Consistent with its determinations made pursuant to section 4.3, the board may enter into agreements with other states to provide for a full or partial reciprocal waiver of the nonresident tuition differential charged to undergraduate students. An agreement shall provide for the numbers and identifying criteria of undergraduate students, and shall specify the institutions of higher education that will be affected by the agreement.

**5.3.4. Policy Guidelines:** Each Utah institution affected by tuition waivers authorized by this part shall establish policy guidelines for evaluating applicants for such waivers.

### **5.4. "Border Waiver" Nonresident Partial Tuition Scholarships:**

**5.4.1. Border Waivers:** An institution may grant a scholarship for partial waiver of the nonresident portion of total tuition charged by public institutions of higher education to nonresident undergraduate students, subject to the limitations provided in this part, if the institution determines that the scholarship will (a) promote mutually beneficial cooperation between Utah communities and nearby communities in states adjacent to Utah; (b) contribute to the quality and desirable cultural diversity of educational programs in the institution; (c) assist in maintaining an adequate level of service and related cost effectiveness of auxiliary operations in the institution; and (d) promote enrollment of nonresident students with high academic aptitudes.

**5.4.2. Policy Guidelines:** The institution shall establish policy for the administration of any "border waiver" partial tuition scholarships authorized under this part and for

evaluating applicants for those scholarships. The institutional policy shall include the following provisions:

**5.4.2.1.** The amount of the approved scholarship may not be more than ½ of the differential tuition charged to nonresident students for an equal number of credit hours of instruction;

**5.4.2.2.** a “border waiver” nonresident partial tuition scholarship may be awarded initially only to a nonresident undergraduate student who has not previously been enrolled in a college or university in Utah and who has enrolled full time for ten or more credit hours, whose legal domicile is within approximately 100 highway miles of the USHE institution at which the recipient wishes to enroll, or within such distance or such designated eligible communities or regions as the Board may establish for each institution;

**5.4.2.3.** the total number of “border waiver” nonresident partial tuition scholarships granted by the institution may not exceed a total of 600 such scholarships in effect at any one time as provided in the table below; and

**5.4.2.4.** the institution shall determine eligibility for “border waiver” nonresident partial tuition scholarships on the basis of program availability at the institution and on a competitive basis, using quantifiable measurements such as grade point averages and results of test scores.

| Institution                 | Number of Scholarships |
|-----------------------------|------------------------|
| University of Utah          | 30                     |
| Utah State University       | 290                    |
| Weber State University      | 35                     |
| Southern Utah University    | 74                     |
| Dixie State University      | 157                    |
| Utah Valley University      | 10                     |
| Snow College                | 0                      |
| Salt Lake Community College | 4                      |
| USHE Total                  | 600                    |

**5.5. Exemption for Certain Students with Utah High School Graduation:** A student, other than a non-immigrant alien within the meaning of paragraph (15) of subsection (a) of Section 1101 of Title 8 of the United States Code, shall be exempt from paying the nonresident portion of total tuition if the student:

**5.5.1.** attended high school in Utah for three or more years;

**5.5.2.** graduated from a high school in this state or received the equivalent of a high school diploma in Utah; and

**5.5.3.** registers as an entering student at an institution of higher education not earlier than the fall of the 2002-03 academic year.

**5.5.4.** In addition, a student without lawful immigration status shall file an affidavit with the USHE institution stating that the student has filed an application to legalize his or her immigration status, or will file an application as soon as he or she is eligible to do so.

**5.6. Exemption of Nonresident Tuition for Certain Foreign Nationals:** A student shall be exempt from paying the nonresident portion of total tuition if the student

**5.6.1.** is a foreign national legally admitted to the United States;

**5.6.2.** attended a Utah high school in Utah for three or more years; and

**5.6.3.** graduated from a Utah high school or received the equivalent of a high school diploma in Utah.

**5.7. Alumni Legacy Nonresident Scholarships:**

**5.7.1. Alumni Legacy Nonresident Scholarships:** In addition to other nonresident tuition scholarships, USHE presidents may waive an amount up to the full nonresident portion of tuition for alumni legacy nonresident scholarships when the scholarship will:

**5.7.1.1.** assist in maintaining an adequate level of service and related cost-effectiveness of auxiliary operations in institutions of higher education; and

**5.7.1.2.** promote enrollment of nonresident students with high academic aptitudes;

**5.7.1.3.** recognize the legacy of past graduates and promote a continued connection to their alma mater.

**5.7.2. Policy Guidelines:** The institution shall establish institutional procedures for the administration of any Alumni Legacy Nonresident Scholarships authorized under this part and for evaluating applicants for those scholarships. The institutional procedures shall include the following criteria and provision:

**5.7.2.1.** enroll at an institution within the USHE for the first time; and

**5.7.2.2.** have at least one parent or grandparent who graduated with an associate's degree or higher from the same institution in which the student is enrolling.

**5.8. Exemption of Nonresident Tuition as Athletic Scholarships:** Pursuant to §53B-8-102. In addition to the waivers of nonresident tuition available to each institution under Utah Code Ann. § 53B-8-101 et seq., and this policy (R513), each institution may, at its discretion, grant as athletic scholarships full waiver of fees and nonresident tuition, up to the maximum number allowed by the appropriate athletic conference, and as recommended by the president of each institution.

**R513-6. Annual Tuition Waiver Reporting Requirements:**

- 6.1.** Institutions shall annually submit to the Board a report that provides the following data:
  - 6.1.1.** An assessment of how the institutions use of tuition waivers support the goals established by the Board;
  - 6.1.2.** The total amount of all waivers established under this policy that each institution granted stated in gross totals and as a percentage of total tuition revenue that, in the absence of waivers, the institution would have collected.
  - 6.1.3.** The amount waived for each individual waiver established under this policy, stated in gross totals and as a percentage of total tuition revenue that, in the absence of waivers, the institution would have collected.
  - 6.1.4.** The number of tuition waivers awarded by student type for each waiver awarded.
- 6.2.** The Board of Regents shall provide an annual report to the general Legislature and the Legislature's Higher Education Appropriations Subcommittee containing the following information:
  - 6.2.1.** A report and financial analysis of any waivers of tuition authorized under this part as part of the budget recommendations of the board for the USHE; and
  - 6.2.2.** A budget appropriation request for each institution, which include requests for funds sufficient in amount to equal the estimated loss of dedicated credits realized by tuition wavier type.





# R513, Tuition Waivers and Reductions<sup>1</sup>

**R513-1. Purpose:** To establish procedures for Utah System of Higher Education (USHE) institutions to administer tuition waiver and reduction programs.

## R513-2. References

- 2.1. Utah Code §53B-8-101, Waiver of Tuition—Resident—National Guard—Nonresident—Critical Occupations—Summer School—Graduate Students
- 2.2. Utah Code §53B-8-103, Partial Waivers Pursuant to Reciprocal Agreements
- 2.3. Utah Code §53B-8-104, Nonresident Partial Tuition Scholarships—Border7 Waivers
- 2.4. Utah Code §53B-8-104.5, Nonresident Tuition Scholarships
- 2.5. Utah Code §53B-8-106, Resident Tuition Scholarships—Requirements—Rules
- 2.6. Utah Code Title 53B, Chapter 9, Higher Education for Senior Citizens
- 2.7. Utah Code Title 53B, Chapter 8c, Police Officer's and Firefighter's Survivor Tuition Waiver
- 2.8. Utah Code Title 53B, Chapter 8d, Tuition Waivers for Wards of the State
- 2.9. Utah Code Title 53B, Chapter 8e, Tuition Waivers for Purple Heart Recipients
- 2.10. Utah Code §53A-15-101.5, Concurrent Enrollment Instruction in Mandarin Chinese
- 2.11. Policy and Procedures R510, Tuition and Fees
- 2.12. Policy and Procedures R512, Determination of Resident Status
- 2.13. Utah Code §53B-8-107, Scott B. Lundell Waiver of Tuition for Dependents of Military Members Killed in Action
- 2.14. Utah Code §53B-8-103.5, Alumni Legacy Nonresident Scholarships
- 2.15. Utah Code §53B-8-102, Definition of Resident Student

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<sup>1</sup> Approved October 19, 2001, amended November 8, 2002, March 14, 2003, April 16, 2004, March 10, 2006, June 9, 2006 and June 8, 2007. Revisions approved by the Board of Regents on May 29, 2009, November 18, 2011, March 29, 2013, May 15, 2015, May 20, 2016, and May 18, 2018.

**R513-3. Definitions:**

**3.1. Impecunious Resident Student:** A resident student whose demonstrated lack of financial resources presents a significant barrier to accessing higher education or completing a higher education degree or certificate.

**3.2. Meritorious Resident Student:** A resident student who has demonstrated exceptional academic and / or other achievements which qualify for recognition and reward.

**R513-4. Waiver of Resident Tuition:**

**4.1 10% Resident Tuition Waivers:** The president of each institution may waive all or part of the tuition in behalf of meritorious or impecunious resident students to an amount not exceeding 10 percent of the total amount of tuition which, in the absence of the waivers, would have been collected from all Utah resident students at the institution.

**4.1.1.** Of the amount waived in 4.1, at least 10 percent of total amount shall be used to support tuition waivers for impecunious resident students.

**4.1.1.1.** Each of the institutions will develop and present a plan to the Board of Regents on how it expects to be compliant with 4.1.1. for the reporting cycle beginning July 1, 2021.

**4.1.1.2.** The Board shall review the percentage set aside for impecunious students every three years beginning July 1, 2024.

**4.2 National Guard Set Aside:** Of the amount waived for resident students under 4.1, 2.5 percent of the total amount shall be set aside by institutions for waivers reserved for members of the Utah National Guard.

**4.2.1.** To ensure timely processing, the Utah National Guard Administration will provide to the institutions a prioritized list of qualified candidates for tuition waivers no later than 60 calendar days prior to the start of an academic term. Candidates for Utah National Guard tuition waivers must be full-time students. To ensure the highest number of candidates receive a tuition waiver, institutions may adjust the waiver amount between partial and full amounts.

**4.2.2.** An institution may, at its discretion and within its established criteria, allow recipients to use tuition waivers toward self-supported courses.

**4.2.3.** Any National Guard tuition waivers set aside but not claimed 30 days prior to the beginning of the term may be used for other qualified students.

**4.3. Partial Tuition Waivers for Critical Occupations:** Upon recommendation of the Board of Regents, a president shall grant additional full or partial tuition waivers to encourage students to enroll for instruction in specifically identified occupations critical to the state for which trained personnel are in short supply.

**4.4. Senior Citizens Audit Waivers:** Utah residents age 62 and over shall be permitted to enroll on a space available audit basis in classes for which they are qualified, in any USHE institution, without regular tuition charges, but subject to payment of the following:

**4.4.1.** A minimum administrative fee shall be charged, for the institution's cost of registration, record keeping, and report preparation. The fee shall be at least \$10 per semester of registration.

**4.4.2.** Where applicable, specific course fees also shall be charged.

**4.4.3.** No credit shall be awarded to a senior citizen for a course taken pursuant to the senior citizens waiver in 3.4. To receive credit a senior citizen must pay regular tuition.

**4.5. Police Officer's and Firefighter's Survivor Tuition Waiver:**

**4.5.1. Definitions:** As used in this part:

**4.5.1.1. "Child"** means an individual who (a) is a natural or adopted child of a deceased peace officer or deceased firefighter; and (b) was under the age of 25 at the time of the peace officer's or firefighter's death.

**4.5.1.2. "Department"** means the Department of Public Safety.

**4.5.1.3. "Killed"** means that the peace officer's or firefighter's death is the direct and proximate result of a traumatic injury incurred in the line of duty.

**4.5.1.4. "Line of Duty"** means an action that a peace officer or firefighter is obligated or authorized to perform by rule, regulation, condition of employment or service, or law, including a social, ceremonial, or athletic function that the peace officer or firefighter is assigned to or compensated for by the public agency being served.

**4.5.1.5. "Occupational Disease"** means a disease that routinely constitutes a special hazard in, or is commonly regarded as concomitant of, the peace officer's or firefighter's occupation.

**4.5.1.6. "Traumatic Injury"** means a wound or the condition of the body caused by external force, including an injury inflicted by bullet, explosive, sharp instrument, blunt object, or other physical blow, fire, smoke, chemical, electricity, climatic condition, infectious disease, radiation, or bacteria, but excluding an occupational disease.

**4.5.1.7. "Tuition"** means tuition at the rate charged for residents of the state.

**4.5.1.8. "Utah Firefighter" or "Firefighter"** means a member, including volunteer members and members paid on call, of a fire department or other organization that provides fire suppression and other fire related services, of a political subdivision who is responsible for or is in a capacity that includes responsibility for the extinguishment of fires. This does not include a person whose job description, duties, or responsibilities do not include direct involvement in fire suppression.

**4.5.1.9. "Utah Peace Officer" or "Peace Officer"** means an employee of a law enforcement agency that is part of or administered by the state or any of its political subdivisions, and whose duties consist primarily of the prevention and detection of crime and the enforcement of criminal statutes or ordinances of this state or any of its political subdivisions.

**4.5.2. Tuition Waivers for Surviving Spouses and Children:** Subject to the limitations below, a USHE institution shall waive tuition for each child and surviving spouse of a Utah peace officer or Utah firefighter who has been killed or is killed in the line of duty if the individual meets the following requirements:

**4.5.2.1.** applies, qualifies, and is admitted as a full-time, part-time, or summer school student in a program of study leading to a degree or certificate;

**4.5.2.2.** is a resident student of the state as determined under R512, Determination of Resident Status;

**4.5.2.3.** applies to the Department for a waiver of tuition under this chapter and provides evidence satisfactory to the Department that (a) the applicant is the surviving spouse or child of a peace officer or firefighter who was killed in the line of duty; (b) the course or courses for which the applicant is seeking a tuition waiver meet the requirements of 3.5.3; and (c) the applicant meets the other requirements of this part;

**4.5.2.4.** for a child of a peace officer or firefighter killed in the line of duty, applies under section 3.5.2 for the first time before the age of 25;

**4.5.2.5.** is certified by the financial aid officer at the institution as needing the tuition waiver in order to meet recognized educational expenses, with the understanding that if the applicant's family income, excluding any income from death benefits attributable to the peace officer's or firefighter's death, is below 400 percent of the poverty level under federal poverty guidelines, then the income from any death benefits accruing to the applicant as a result of the death may not be counted as family income in determining financial need under this 3.5.3.1;

**4.5.2.6.** maintains satisfactory academic progress, as defined by the institution, for each term or semester in which the individual is enrolled, which may be measured by the definition used for federal student assistance programs under Title IV of the Higher Education Act of 1965; and

**4.5.2.7.** has not achieved a bachelor's degree and has received tuition reimbursement under this chapter for less than 124 semester credits or 180 quarter credits at an institution of higher education.

**4.5.3. Limited Term for Waiver:** A child or surviving spouse of a peace officer or firefighter who was killed in the line of duty is eligible for a tuition waiver under this section of not more than nine semesters or the equivalent number of quarters.

**4.5.3.1. Waiver Only If Tuition Not Otherwise Covered:** Tuition shall be waived only to the extent that the tuition is not covered or paid by any scholarship,

trust fund, statutory benefit, or any other source of tuition coverage available for a waiver.

**4.5.3.2. Waiver for Required Courses Only:** An institution shall waive tuition under this chapter only for courses that are applicable toward the degree or certificate requirements of the program in which the child or surviving spouse is enrolled.

**4.5.3.3. Prior Approval by Department:** Upon receiving an application under Utah Code 53B-8c-103(1)(c), the Department shall determine whether the applicant and the courses for which tuition waiver is sought meet the requirements of Section 53B-8c-103 and, if so, shall approve the application and notify the higher education institution that the application has been approved.

**4.5.3.4. Department Cooperation:** The institutions shall cooperate with the Department in developing efficient procedures for the implementation of this program and shall use the forms and applications provided by the Department.

#### **4.6. Tuition Waivers for Wards of the State:**

##### **4.6.1. Definitions:** As used in this part:

**3.5.1.1 4.6.1.1. "Division"** means the Division of Child and Family Services.

**4.6.1.2. "Long-term Foster Care"** means an individual who remains in the custody of the Division, whether or not the individual resides with licensed foster parents or in independent living arrangements under the supervision of the Division.

**4.6.1.3. "State Institution of Higher Education"** means those institutions designated in Section 53B-1-102 and any public institution that offers postsecondary education in consideration of the payment of tuition or fees for the attainment of educational or vocational objectives leading to a degree or certificate, including business schools, technical schools, applied technology centers, trade schools, and institutions offering related apprenticeship programs.

**4.6.1.4. "Tuition"** means tuition at the rate for residents of the state.

**4.6.1.5. "Ward of the State"** means an individual (a) who is at least 17 years of age and not older than 26 years of age; (b) who had a permanency goal in the individual's treatment plan, as defined in Sections 62A-4a-205 and 78-3a-312, of long-term foster care while in the custody of the Division; and (c) for whom the custody of the Division was not terminated as a result of adoption.

**4.6.2. Tuition Waivers for Wards of the State:** Subject to the limitations in 4.6.2.1, 4.6.2.2., and 4.6.2.3, a state institution of higher education shall waive tuition for each ward of the state applicant who meets the following requirements:

**4.6.2.1.** applies, qualifies, and is admitted as a full-time, part-time, or summer school student in a program of study leading to a degree or certificate;

**4.6.2.2.** is a resident student of the state as determined under R512, Determination of Resident Status;

**4.6.2.3.** provides the institution with documentation from the Division that the Division has verified: (a) applicant is at least 17 years of age and not older than 26 years of age; (b) applicant had a permanency goal in the Division treatment plan, as defined in Sections 62A-4a-205 and 78-3a-312, of long-term foster care while in the custody of the Division; (c) applicant's custody was not terminated as a result of adoption; (d) applicant was in the custody of the Division for an aggregate period of not less than 24 months; (e) applicant applied for the first time under this program before the age of 22; and (f) applicant has not achieved a bachelor's degree, and has received tuition reimbursement under this program for less than 124 semester credits (or 180 quarter credits) and for not more than nine semesters at an institution of higher education.

**4.6.2.4.** verifies that the course or courses for which the applicant is seeking a tuition waiver meet the requirements of 4.6.2.3;

**4.6.2.5.** is certified by the financial aid officer at the higher education institution as needing the tuition waiver in order to meet recognized educational expenses;

**4.6.2.6.** maintains satisfactory academic progress, as defined by the institution of higher education, for each term or semester in which the individual is enrolled, which may be measured by the definition used for federal student assistance programs under Title IV of the Higher Education Act of 1965; and

**4.6.3. Limited Term of Waiver:** A ward of the state is eligible for a tuition waiver under this section for not more than nine semesters.

**4.6.3.1. Waiver Only if Tuition Not Otherwise Covered:** Tuition shall be waived (a) after the individual has applied for financial assistance, including scholarships and Pell Grants; and (b) only to the extent that the tuition is not covered or paid by any scholarship, trust fund, statutory benefit, Pell Grant, or any other source of tuition coverage available for a waiver.

**4.6.3.2. Waiver for Required Courses Only:** An institution of higher education shall waive tuition under this chapter only for courses that are applicable toward the degree or certificate requirements of the program in which the student is enrolled.

**4.6.4. Reimbursement of Waivers by Division:** The institutions shall seek reimbursement from the Division for any tuition waived under this chapter.

#### **4.7. Tuition Exemption for Teachers:**

**4.7.1. Definitions:** As used in this part

**4.7.1.1. "Educator":** means an educator is a person currently employed in the Utah public school system who is a licensed educator in good standing or has been issued a letter of authorization permitting such employment under [Utah Code 53A-6-104](#), the Board Licensure section of the Educator Licensure and Professional Practices Act.

**4.7.1.2. “Tuition Waivers for Teachers”** means an educator who enrolls in a course of study determined by the State Board of Education to satisfy the professional development requirements of §53A-6-104(2)(b)(i) is exempt from the tuition charges for a class taken as part of that course of study provided that the following conditions are met:

**4.7.1.3. “Master’s and Doctoral Degree Candidates”** means because of the extensive involvement of faculty members in committees, mentoring, and counseling of master’s and doctoral degree candidates, the concept of surplus space does not apply and such educators are not eligible for the exemption from tuition under this section.

**4.7.2. Administrative Semester Registration Fee:** The institution may charge an educator an administrative semester registration fee not to exceed \$100 per semester to cover the actual increased costs associated with registration, verification of educator status, identification of eligible courses, certification of space availability, and record keeping.

**4.7.3. Surplus Space Enrollment:** The educator may be enrolled on the basis of surplus space as determined by the institution under these rules and guidelines as follows:

**4.7.3.1.** If a principal or substantial reason for the institution to offer the class is to serve educators, then no educator enrolled in that class can be considered to be enrolled on the basis of surplus space, and therefore cannot be eligible for this exemption from tuition charges;

**4.7.3.2.** If the class meets the requirements of 53A-6-104(2)(b)(i) but does not have as a principal or substantial purpose to serve educators, then the institution shall define the optimum class size of the class in accordance with regular procedures and normal teaching loads in that space within the institution's approved budget. The number of surplus space enrollments available to educators is determined by subtracting from the optimum class size the number of tuition paying students enrolled in the class. The surplus space enrollments may then be filled by educators on a first come first served basis. However, in order to maintain the optimum class size, educators exempt from tuition may be bumped (last in, first out) by regular tuition paying students who later register for the class.

#### **4.8. Tuition Reimbursement for Sequential Mandarin Chinese Course:**

**4.8.1. Extended Sequential Study for Difficult Languages:** Difficult languages require extended sequences of study to acquire proficiency in listening, speaking, reading, and writing.

**4.8.2. Mandarin Chinese Program:** The Board and the State Board of Education, in consultation with the Utah Education Network, may develop and implement a concurrent enrollment course of study in Mandarin Chinese. The course shall be taught over EDNET to high school juniors and seniors in the state's public education system.

**4.8.3. Tuition Reimbursement:** Students who successfully complete the concurrent enrollment course in Mandarin Chinese offered under the part shall receive tuition reimbursement for a sequential Mandarin Chinese course they successfully complete with a “B” grade or above at an institution within the USHE.

#### **4.9. Scott B. Lundell Waiver of Tuition for Dependents of Military Members Killed in Action:**

**4.9.1. Tuition Waiver:** USHE institutions shall waive undergraduate tuition for surviving dependents of a Utah resident, as defined in Utah Code §53B-8-107, who, as a member of the armed forces of the United States, including the Utah National Guard or a reserve component, was killed or died of wounds or injuries received while serving on federal active duty, under orders of competent authority and not as a result of the member's own misconduct.

**4.9.1.2.** The dependent must be accepted by the institution as a student in accordance with the institution's admission guidelines.

**4.9.1.3.** The dependent must be a resident student as defined by Utah Code §53B-8-102 and Regent Policy R512.

**4.9.1.4.** The dependent may not be excluded from the waiver if the dependent has previously taken courses at, or has been awarded credit by, a USHE institution.

**4.9.2. Certification by Adjutant General or Designee:** The adjutant general, after consultation with federal authorities if necessary, shall certify to the institution that the dependent is a surviving dependent eligible for the waiver. The adjutant general may delegate this responsibility to the Utah Department of Veterans Affairs.

**4.9.3. Definition of "Dependent":** For purposes of this policy, the term "dependent" shall include a surviving spouse.

**4.9.4. Limitations on Waiver:** The waiver is subject to the following limitations:

**4.9.4.1.** The waiver is not applicable if the dependent has already completed an undergraduate degree.

**4.9.4.2.** The waiver is applicable for undergraduate study only.

**4.9.4.3.** The dependent may only utilize the waiver for courses that are applicable toward the degree or certificate requirement of the program in which the dependent is enrolled.

**4.9.4.4.** The waiver is not applicable to fees, books, or housing expenses, and tuition shall be waived only to the extent that tuition is not covered by scholarships, Pell Grants, statutory benefit, or any other form of non-loan tuition coverage.

**4.10. Waiver of Tuition for Purple Heart Recipients:** USHE institutions shall waive undergraduate tuition for each Purple Heart recipient who is admitted as a full-time, part-time, or summer school student in an undergraduate program of study leading to a degree or certificate, provided that the student is a resident of the state as determined under Section 53B-8-102, and that the student submits verification from the Division of Veterans Affairs that the student has earned a Purple Heart award as a result of military service.

**4.11. When Verification of Lawful Presence is Not Required.** As provided by Utah Code Ann. §63G-12-402, verification of lawful presence in the United States is not required of a student who is a graduate of a high school located in Utah and (1) is exempt from paying the nonresident portion of total tuition under Utah Code Ann. §53B-8-106; or (2) applies for, and may be awarded, a privately funded scholarship that is administered by a USHE institution.

**R513 – 5.Waiver of Nonresident Tuition:**



**5.1. Waivers for Nonresident Undergraduate, Graduate, or Summer School Students:**

The president of each institution may waive all or part of the nonresident portion of tuition for meritorious nonresident undergraduate students to an amount not exceeding the designated percent of the total amount of tuition which, in the absence of the waivers, would have been collected from all nonresident students at the institution outlined in the chart below.

| <b>Institution</b>          | <b>Not to exceed percentage</b> |
|-----------------------------|---------------------------------|
| University of Utah          | 16%                             |
| Utah State University       | 13%                             |
| Weber State University      | 40%                             |
| Southern Utah University    | 35%                             |
| Snow College                | 27%                             |
| Dixie State University      | 30%                             |
| Utah Valley University      | 18%                             |
| Salt Lake Community College | 10%                             |

**5.1.1.** In determining which students are meritorious for purposes of granting a tuition waiver under 5.1, a president shall consider students who are performing above the average at the institution, including having an admissions index higher than the average for the institution, if an admission index is used.

**5.1.2.** A president may continue to waive the nonresident portion of tuition for a student described in 4.1 for as long as the student is enrolled at the institution.

**5.1.3.** In addition to waiving the nonresident portion of tuition for a meritorious nonresident undergraduate student under 5.1, a president may waive the resident portion of tuition after the meritorious nonresident undergraduate student completes a year of full-time study at the institution.

**5.1.4.** Institutions will be given until July 2021 to adjust their financial aid awards practice to align with these percentages and would be asked to be compliant with the policy for the 2022 Academic school year reports.

**5.1.5.** The Commissioner's office will review the percentages in 2022 and then no longer than every five years thereafter and recommend changes if appropriate and justified.

**5.1.5.1.** Institutions may also request an adjustment to these percentages for the Board's consideration outside of the five year review period.

**5.1.6.** A president may waive all or part of the nonresident portion of tuition for nonresident graduate students.

**5.1.7.** A president may waive all or part of the nonresident portion of tuition for nonresident summer school students

**5.2. Nonresident Tuition Scholarships:**

**5.2.1.** In addition to the "border waiver" scholarships authorized under Section 53B-8-104, USHE presidents are authorized to grant scholarships for a waiver of the nonresident portion of total tuition charged to nonresident students when the scholarships will:

5.2.1.1. assist in maintaining an adequate level of service and related cost-effectiveness of auxiliary operations; and

5.2.1.2. promote enrollment of nonresident students with high academic aptitudes.

**5.2.2. Policy Guidelines:** Nonresident tuition scholarships may be awarded at the institutions with the following provisions:

5.2.2.1. the amount of the approved scholarship may be up to 100 percent of the differential tuition charged to nonresident students for an equal number of credit hours of instruction;

5.2.2.2. 675 of the approved scholarships may be at a level of more than 50 percent of the differential tuition charged to nonresident students for an equal number of credit hours of instruction;

5.2.2.3. a nonresident scholarship may be awarded initially only to a nonresident student who has not previously been enrolled in a college or university in Utah and who has enrolled full time for ten or more credit hours; and

5.2.2.4. a nonresident student who receives a scholarship of greater than 50 percent of the differential tuition charged to nonresident students for an equal number of credit hours of instruction may not be counted against the funded target for the institution attended.

**5.2.3. Annual Number of Nonresident Tuition Scholarships:** Each academic year the president of the following institutions may award nonresident tuition scholarships as set forth below, not to exceed a total of 900 such scholarships in effect at any one time:

| Institution                 | Differential Tuition Scholarships (up to 100%) | Differential Tuition Scholarships (up to 50%) | Total |
|-----------------------------|--|---|-------|
| University of Utah          | 24   | 14  | 38    |
| Utah State University       | 330  | 112   | 442   |
| Weber State University      | 55   | 15  | 70    |
| Southern Utah University    | 96   | 25  | 121   |
| Snow College                | 2  | 7   | 9     |
| Dixie State University      | 161  | 44  | 205   |
| Utah Valley University      | 0  | 0   | 0     |
| Salt Lake Community College | 7  | 8   | 15    |
| USHE Total                  | 675  | 225   | 900   |

5.2.3.1. Institutions shall determine award eligibility on a meritorious basis, considering measures such as grade point averages and test scores.

5.2.3.2. In determining eligibility for these scholarships, institutions may consider the impact of maintaining critical enrollment levels in academic programs.

### **5.3. Partial Waivers Pursuant to Reciprocal Agreements:**

**5.3.1. Partial Waiver of Nonresident Differential:** The Board may grant a full or partial waiver of the nonresident differential in tuition rates charged to undergraduate students pursuant to reciprocal agreements with other states. In making the determination, the Board considers the potential of the waiver to: (A) enhance educational opportunities for Utah residents; (B) promote mutually beneficial cooperation and development of Utah communities and nearby communities in neighboring states; (C) contribute to the quality of educational programs; and (D) assist in maintaining the cost effectiveness of auxiliary operations in Utah institutions of higher education.

**5.3.2. Dixie State University Good Neighbor Waiver:** Dixie State University may offer a good neighbor full waiver of the nonresident differential in tuition rates charged to undergraduate students pursuant to the reciprocal agreements with other states or to a resident of a county that has a portion of the county located within 70 miles of the main campus of Dixie State University. A student who attends Dixie State University under a good neighbor tuition waiver shall pay a surcharge per credit hour in addition to the regular resident tuition and fees of Dixie State University. The surcharge per credit hour shall be based on a percentage of the approved resident tuition per credit hour each academic year. The percentage assessed as a surcharge per credit hour shall be set by the State Board of Regents. Dixie State University may restrict the number of good neighbor tuition waivers awarded. A student who attends Dixie State University on a good neighbor tuition waiver may not count the time during which the waiver is received towards establishing resident student status in Utah.

**5.3.3. Reciprocal Agreements with Other States:** Consistent with its determinations made pursuant to section 4.3, the board may enter into agreements with other states to provide for a full or partial reciprocal waiver of the nonresident tuition differential charged to undergraduate students. An agreement shall provide for the numbers and identifying criteria of undergraduate students, and shall specify the institutions of higher education that will be affected by the agreement.

**5.3.4. Policy Guidelines:** Each Utah institution affected by tuition waivers authorized by this part shall establish policy guidelines for evaluating applicants for such waivers.

### **5.4. "Border Waiver" Nonresident Partial Tuition Scholarships:**

**5.4.1. Border Waivers:** An institution may grant a scholarship for partial waiver of the nonresident portion of total tuition charged by public institutions of higher education to nonresident undergraduate students, subject to the limitations provided in this part, if the institution determines that the scholarship will (a) promote mutually beneficial cooperation between Utah communities and nearby communities in states adjacent to Utah; (b) contribute to the quality and desirable cultural diversity of educational programs in the institution; (c) assist in maintaining an adequate level of service and related cost effectiveness of auxiliary operations in the institution; and (d) promote enrollment of nonresident students with high academic aptitudes.

**5.4.2. Policy Guidelines:** The institution shall establish policy for the administration of any "border waiver" partial tuition scholarships authorized under this part and for

evaluating applicants for those scholarships. The institutional policy shall include the following provisions:

**5.4.2.1.** The amount of the approved scholarship may not be more than ½ of the differential tuition charged to nonresident students for an equal number of credit hours of instruction;

**5.4.2.2.** a “border waiver” nonresident partial tuition scholarship may be awarded initially only to a nonresident undergraduate student who has not previously been enrolled in a college or university in Utah and who has enrolled full time for ten or more credit hours, whose legal domicile is within approximately 100 highway miles of the USHE institution at which the recipient wishes to enroll, or within such distance or such designated eligible communities or regions as the Board may establish for each institution;

**5.4.2.3.** the total number of “border waiver” nonresident partial tuition scholarships granted by the institution may not exceed a total of 600 such scholarships in effect at any one time as provided in the table below; and

**5.4.2.4.** the institution shall determine eligibility for “border waiver” nonresident partial tuition scholarships on the basis of program availability at the institution and on a competitive basis, using quantifiable measurements such as grade point averages and results of test scores.

| Institution                 | Number of Scholarships |
|-----------------------------|------------------------|
| University of Utah          | 30                     |
| Utah State University       | 290                    |
| Weber State University      | 35                     |
| Southern Utah University    | 74                     |
| Dixie State University      | 157                    |
| Utah Valley University      | 10                     |
| Snow College                | 0                      |
| Salt Lake Community College | 4                      |
| USHE Total                  | 600                    |

**5.5. Exemption for Certain Students with Utah High School Graduation:-** A student, other than a non-immigrant alien within the meaning of paragraph (15) of subsection (a) of Section 1101 of Title 8 of the United States Code, shall be exempt from paying the nonresident portion of total tuition if the student:

**5.5.1.** attended high school in Utah for three or more years;

**5.5.2.** graduated from a high school in this state or received the equivalent of a high school diploma in Utah; and

**5.5.3.** registers as an entering student at an USHE institution of higher education not earlier than the fall of the 2002-03 academic year.

5.5.4. In addition ~~to the requirements of R513-13~~, a student without lawful immigration status shall file an affidavit with the USHE institution stating that the student has filed an application to legalize his or her immigration status, or will file an application as soon as he or she is eligible to do so.

~~5.5.5.—For the purposes of this section, “entering student” means a student whose first matriculation in any institution of higher education is in a public institution of higher education within the Utah System of Higher Education.~~

**5.6. Exemption of Nonresident Tuition for Certain Foreign Nationals:** A student shall be exempt from paying the nonresident portion of total tuition if the student

5.6.1. is a foreign national legally admitted to the United States;

5.6.2. attended a Utah high school in Utah for three or more years; and

5.6.3. graduated from a Utah high school or received the equivalent of a high school diploma in Utah.

**5.7. Alumni Legacy Nonresident Scholarships:**

**5.7.1. Alumni Legacy Nonresident Scholarships:** In addition to other nonresident tuition scholarships, USHE presidents may waive an amount up to the full nonresident portion of tuition for alumni legacy nonresident scholarships when the scholarship will:

5.7.1.1. assist in maintaining an adequate level of service and related cost-effectiveness of auxiliary operations in institutions of higher education; and

5.7.1.2. promote enrollment of nonresident students with high academic aptitudes;

5.7.1.3. recognize the legacy of past graduates and promote a continued connection to their alma mater.

**5.7.2. Policy Guidelines:** The institution shall establish institutional procedures for the administration of any Alumni Legacy Nonresident Scholarships authorized under this part and for evaluating applicants for those scholarships. The institutional procedures shall include the following criteria and provision:

5.7.2.1. enroll at an institution within the USHE for the first time; and

5.7.2.2. have at least one parent or grandparent who graduated with an associate's degree or higher from the same institution in which the student is enrolling.

**5.8. Exemption of Nonresident Tuition as Athletic Scholarships:** Pursuant to §53B-8-102. In addition to the waivers of nonresident tuition available to each institution under Utah Code Ann. § 53B-8-101 et seq., and this policy (R513), each institution may, at its discretion, grant as athletic scholarships full waiver of fees and nonresident tuition, up to the maximum number allowed by the appropriate athletic conference, and as recommended by the president of each institution.

## **R513-6. Annual Tuition Waiver Reporting Requirements:**

- 6.1.** Institutions shall annually submit to the Board a report that provides the following data:
  - 6.1.1.** An assessment of how the institutions use of tuition waivers support the goals established by the Board;
  - 6.1.2.** The total amount of all waivers established under this policy that each institution granted stated in gross totals and as a percentage of total tuition revenue that, in the absence of waivers, the institution would have collected.
  - 6.1.3.** The amount waived for each individual waiver established under this policy, stated in gross totals and as a percentage of total tuition revenue that, in the absence of waivers, the institution would have collected.
  - 6.1.4.** The number of tuition waivers awarded by student type for each waiver awarded.
- 6.2.** The Board of Regents shall provide an annual report to the general Legislature and the Legislature's Higher Education Appropriations Subcommittee containing the following information:
  - 6.2.1.** A report and financial analysis of any waivers of tuition authorized under this part as part of the budget recommendations of the board for the USHE; and
  - 6.2.2.** A budget appropriation request for each institution, which include requests for funds sufficient in amount to equal the estimated loss of dedicated credits realized by tuition wavier type.

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L Buhler

SUBJECT: USHE – Institutional Non-State Funded Projects for 2019-20

Background

In accordance with Regent Policy R702, *Non-State Funded Project*, the Board of Regents reviews and authorizes institutional requests for non-state funded capital development projects that require legislative approval.

The following non-state funded projects were submitted for consideration. These projects require legislative authorization for bonding, but are not requesting state-appropriations for design, construction, or operation and maintenance (O&M):

- University of Utah – Kathryn F Kirk Center for Comprehensive Cancer Care and Women’s Cancers
- University of Utah – Athletic Facility
- Utah State University – Mountain View Residence Hall Replacement
- Utah State University – USU East Parking Terrace
- Utah State University – Space Dynamics Lab Research Building
- Utah State University – Space Dynamics Lab High Bay Building
- Dixie State University – Student Housing
- Utah Valley University – Sorensen Center Remodel

In addition, two non-state funded requests also requires legislative authorization because they request state-funded operation and maintenance:

- Utah State University – Information Technology Services Building
- Utah State University – Moab Academic Building

Further information about the non-state funded projects may be found in the following attachment.

Commissioner's Recommendation

The Commissioner recommends that the Regents review these projects carefully and approve them for legislative action.

DLB/KLH/RPA  
Attachment

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David L Buhler  
Commissioner of Higher Education



### UNIVERSITY OF UTAH – KATHRYN F KIRK CENTER FOR COMPREHENSIVE CANCER CARE AND WOMEN’S CANCERS

| Revenue Bond | Donations    | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Sources Bond Repayment |
|--------------|--------------|---------------------|----------------|------------------|------------------------|
| \$40,000,000 | \$89,000,000 | \$129,000,000       | 190,000        | \$0              | Hospital Revenues      |

The University proposes a new cancer research facility that will be built as an eight-story addition to the northwest portion of the Huntsman Hospital complex. This would be the fifth phase of the Huntsman Hospital complex. The initial Huntsman Cancer Institute opened in 1999 to research cancer. The second phase established a hospital which opened in 2004 with 50 inpatient beds and 256,000 square feet. In 2011 phase III expanded the hospital with 156,000 square feet, which doubled the number of inpatient beds and outpatient space. In 2017 Phase IV consisted of the Primary Children’s and Families’ research center that added approximately 220,000 square feet of space to research children’s cancers.

The new facility will add an additional 190,000 square feet of hospital, clinical and research space focused on women’s cancers. Approximately 102,000 square feet on four floors of the proposed facility will house 45-50 inpatient rooms, oncology faculty workspace, clinical trial space, and outpatient services. Of the other four floors, half will be used for nonclinical operations and the other half (approximately 44,000 square feet) will be shelled for future growth. The new facility will provide additional teaching and educational opportunities for physician residents, medical students, and student nurses. The facility will also accommodate the growing need for inpatient bed-space and outpatient cancer care as the Huntsman Hospital currently operates at capacity and administrators project ongoing clinical need in the growing and aging Utah population.

The University will fund the Kathryn F Kirk Center for Comprehensive Cancer Care and Women’s Cancers facility with \$89,000,000 of donations and \$40,000,000 of revenue bonds. Hospital revenue will service the debt on the revenue bonds and will pay for ongoing operation and maintenance of the facility. No state funds will be requested for the new facility.

### UNIVERSITY OF UTAH – ATHLETIC FACILITY

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Sources of Bond Repayment |
|--------------|------------------|---------------------|----------------|------------------|---------------------------|
| \$80,000,000 | \$0              | \$80,000,000        | 174,000        | \$0              | Athletic Revenue          |

The University requests an \$80,000,000 athletic facility that will be funded by revenue bonds repaid with athletic revenue. Additional details will be provided in the November 16 Board of Regents meeting.

**UTAH STATE UNIVERSITY – INFORMATION TECHNOLOGY SERVICES BUILDING**

| Revenue Bond | Other Funding | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Funds     |
|--------------|---------------|---------------------|----------------|------------------|---------------------|
| \$0          | \$7,700,000   | \$7,700,000         | 23,500         | \$206,330        | Institutional Funds |

This Utah State University (USU) project will construct a new 23,500 square foot stand-alone facility for the department of Information Technology (IT). The IT department provides IT services to the University including a service desk, application development, database administration, website design, computer lab management, networking, and information. The IT department currently occupies space in three buildings spread across the Logan campus which results in operational inefficiencies and utilizes valuable academic space. With the construction of this new facility, space in two of the facilities will be returned to the academic units that have requested the space to accommodate student growth in their programs. The space in the third building, the Quonset hut, is planned for demolition contingent on a future state-funded academic building.

The new facility will include office and support space for the IT department as well as conference rooms, a call center for the customer service help desk, and IT equipment storage, repair, and assembly space. The facility will also include office, storage, and workshop space for the Academic and Instructional Services (AIS) department that coordinates audio/visual and broadcast equipment for classroom support. The new facility will be constructed on the east side of campus directly north of the creamery and food sciences building. Non-state institutional funds will pay for the design and construction of the facility, but the University intends to request ongoing operation and maintenance funding of the State Legislature.

**UTAH STATE UNIVERSITY – MOAB ACADEMIC BUILDING**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Funds                   |
|--------------|------------------|---------------------|----------------|------------------|-----------------------------------|
| \$0          | \$11,000,000     | \$11,000,000        | 20,500         | \$184,526        | Institutional Funds and Donations |

The 20,500 square foot USU Moab Academic Building would be the first facility for a new Moab campus located on 40-acres of property acquired by the University in 2012. The University currently provides instruction in approximately 15,600 square-feet of commercial space owned by the University in Moab. Current offerings at the Moab facility include 24 bachelor's degrees, 24 master's degrees, 2 doctoral degrees, and various certificate programs. Upon completion of the new Academic Building, USU intends to sell the current commercial buildings and apply the proceeds to the construction cost of the new facility.

The Moab Academic Building will include one large classroom to accommodate up to 50 students, three to four medium-sized classrooms to accommodate up to 25 students, and between 11 and 14 smaller classrooms or online instructional rooms. The facility will also provide space for nursing and health profession labs, a computer lab, testing center, and office space. Non-state institutional funds and donations will pay for the design and construction of the facility, but the University intends to request ongoing operation and maintenance funding of the State Legislature

**UTAH STATE UNIVERSITY – MOUNTAIN VIEW RESIDENCE HALL REPLACEMENT**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Bond Repayment |
|--------------|------------------|---------------------|----------------|------------------|--------------------------|
| \$41,600,000 | \$0              | \$41,600,000        | 129,160        | \$0              | Housing Rental and Fees  |

USU proposes a 401-bed housing facility to replace the Mountain View Residence Hall built in 1966. The fifty-year-old facility consists of 365 beds in a seven-story dorm-style living structure. Due to its age, the current residence hall lacks modern fire-suppression and life-safety systems and will require significant investment to resolve aging infrastructure needs including a new roof, new elevators, new air conditioning, and upgraded finishes. Additionally, the existing building will not accommodate a more modern design; therefore, the University recommends replacement and demolition of the existing facility.

The new residence hall will include single and double occupancy rooms in suite-style and apartment-style units. The new Mountain View hall will be built in a parking lot adjacent to the current facility and will share access to dining and recreation facilities with other existing residential facilities. The site is located within the core of the Logan campus and provides convenient access to academic and student facilities. The University has found that students living on-campus during their first year have higher graduation rates and grades than their counterparts. Student housing rent and other associated fees will pay the debt service on the proposed bond for design and construction of the facility as well as ongoing operation and maintenance. No state funds will be requested for this facility.

**UTAH STATE UNIVERSITY – USU EAST PARKING TERRACE**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Bond Repayment |
|--------------|------------------|---------------------|----------------|------------------|--------------------------|
| \$11,700,000 | \$0              | \$11,700,000        | 225,000        | \$0              | Parking Revenue          |

USU proposes a new 500-600 stall parking structure adjacent to the Fine Arts facilities on the east side of the Logan campus. The parking terrace will be four to five stories tall and will serve art and music events as well as balance the distribution of parking across campus. Over time the University has lost some surface-level parking lots to new facility construction and growing student demand requires the University to provide additional parking options. A multi-story structure will alleviate congestion on-campus and in the adjacent communities and will provide closer parking options for fine arts events. Parking revenue will support the issuance of \$11,700,000 in revenue bonds that will fund the design and construction of the facility as well as the ongoing maintenance. No state funds will be requested for the parking structure.

**UTAH STATE UNIVERSITY – SPACE DYNAMICS LAB RESEARCH BUILDING**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Bond Repayment             |
|--------------|------------------|---------------------|----------------|------------------|--------------------------------------|
| \$37,700,000 | \$0              | \$37,700,000        | 78,000         | \$0              | Research Program Reimbursed Overhead |

The Space Dynamics Laboratory (SDL) is one of fourteen nation-wide university affiliated research centers tasked with developing scientific research solutions for military and space applications. The Laboratory, located on the Logan Innovation Campus, develops intelligence, surveillance and reconnaissance technologies including technologies used for tactical sensors, data compression, flight testing, and cyber security. These technologies are in heavy demand by industry, the scientific community, and the military.

The proposed project is a third phase of the Space Dynamics Laboratory and will provide additional space for offices, electronic and computer testing labs, server rooms, and conference rooms. The first phase of the SDL project was funded in two parts with bond issuances of \$18,000,000 in September 2015 and \$12,000,000 in July 2016. The second phase was funded with a bond issuance of \$32,210,000 in June 2018. Construction of Phase II is currently underway.

The proposed 78,000 square-foot facility will be built to the east of Phase I and Phase II buildings. The requested project will provide additional space for the growing research program that is currently at maximum capacity and is projected to exceed the capacity of both phase I and II buildings. The USU Research Foundation, which oversees the creation and implementation of commercialized research technology, requests the additional facility to capture available research funding beyond what could be accommodated in the existing facilities. Revenue from federal grants and research funding will service the debt on \$37,700,000 of new research revenue bonds and will pay for ongoing operation and maintenance of the facilities. No state funds will be requested for the new facility.

**UTAH STATE UNIVERSITY – SPACE DYNAMICS LAB HIGH BAY BUILDING**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Bond Repayment             |
|--------------|------------------|---------------------|----------------|------------------|--------------------------------------|
| \$15,000,000 | \$0              | \$15,000,000        | 40,000         | \$0              | Research Program Reimbursed Overhead |

In addition to the third phase of the Space Dynamics Laboratory, the USU Research Foundation requests a 40,000 square foot high-bay structure to test and calibrate large space-based sensors and projects. As mentioned previously, the Research Foundation documents the need for additional space to accommodate high demand from government and industrial contracts. The Space Dynamics Laboratory works with NASA, the Department of Defense, and private contractors to develop satellite and communication technology. Current demand for research and development exceeds the space available in the USU Innovation Campus and a high-bay structure would provide additional capacity for multiple, large-scale projects.

The proposed 40,000 square foot facility will include office space, laboratory space, cleanrooms, and high-bay integration and test facilities. The facility will be located west of the Calibration and Optical Research facility which will make use of the high-bay facility. Revenue from federal grants and research funding will service the debt on \$15,000,000 of new research revenue bonds and will pay for ongoing operation and maintenance of the facilities. No state funds will be requested for the new facility.

**DIXIE STATE UNIVERSITY – STUDENT HOUSING**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Bond Repayment |
|--------------|------------------|---------------------|----------------|------------------|--------------------------|
| \$41,835,000 | \$0              | \$41,835,000        | 125,000        | \$0              | Housing Rental and Fees  |

Dixie State University proposes a 450-bed housing facility in order to accommodate the demand for on-campus housing and to replace outdated existing facilities. DSU currently has 662 on-campus beds with near full occupancy. The proposed facility will replace the 48-bed Shiloh dormitory, which was constructed in 1962 and has exceeded its useful life. In addition to replacing outdated space, the new dormitory will make better use of the limited land remaining on-campus by constructing higher-capacity housing. The new facility will consist of apartment units with approximately six students per unit. The facility will also include group study space, community kitchens, and exercise space.

The current demand for on-campus housing exceeds capacity by almost three times and surrounding private housing options are also running at near capacity. Student demand for on-campus housing is expected to grow each year as enrollments increase. Students living on-campus during their first year have higher graduation rates and grades than their counterparts. Student housing rent and other associated fees will pay the debt services on the proposed bond for design and construction of the facility as well as ongoing operation and maintenance. No state funds will be requested for this facility.

**UTAH VALLEY UNIVERSITY – SORENSEN CENTER REMODEL**

| Revenue Bond | Donations/ Other | Total Cost Estimate | Gross Sq. Feet | State Funded O&M | Source of Bond Repayment           |
|--------------|------------------|---------------------|----------------|------------------|------------------------------------|
| \$24,557,800 | \$0              | \$24,557,800        | 64,970         | \$0              | Student Fees and Auxiliary Revenue |

The Sorensen Student Center at Utah Valley University is a multi-phased building, constructed over the past 40 years in three major efforts. The last phase of construction was completed in 2001. As an auxiliary service, the Sorensen Student Center is funded and maintained through student approved fees and bonds.

The Utah Valley University Student Association proposes to remodel and expand the Sorensen building. The multi-year project will enhance the food court and add more seating for student dining. Additional conference, office, and service spaces are included. Aging venues such as the Ragan Theater will be updated and the main concourse will be refreshed with new wall treatments, ceilings, and light fixtures. Entries into the bookstore and meeting spaces will be improved to make them easier for students to find.

The project will also add space for mental health initiatives proposed by the students. This important facet of student success has experienced a sharp increase in service demand. Adding the needed consultation spaces will allow those seeking services, better access than is possible now with the limited spaces available in the old building. Student fees and auxiliary revenue will pay the debt services on the proposed bond for design and construction of the facility as well as ongoing operation and maintenance. No state funds will be requested for this facility.

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: University of Utah – Campus Master Plan Amendment

Issue

Regent policy R706, *Capital Facilities Master Planning* requires the Board of Regents to review and approve institutional campus master plans every two years. The University of Utah seeks approval of an amendment to the institutional campus master plan, which was last approved on January 22, 2016.

Background

The University of Utah requests the review and approval of an amendment to the institutional campus master plan which was last approved in 2016. A letter from the University describing the updates to the master plan is attached along with a map of the master plan for the University. University officials will be present at the meeting and be available to respond to Board questions.

Commissioner's Recommendation

The Commissioner recommends that the Board approve the University of Utah Master Plan.

---

David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachment

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

Subject: 2018 University of Utah Campus Master Plan Update

Dear Commissioner Buhler:

The University of Utah requests review and approval of an update to its Campus Master Plan per Board of Regent policy. The attached map and key identify substantive changes to the University's campus that have been recently completed, have been approved and are in process, and those currently proposed.

These specific projects reflect progress made or being pursued to implement our adopted master plan and are consistent with the intent of the adopted plan.

The attached map does not include our Research Park nor off-campus U-Health clinics. Also not included in the map is a proposed land bank purchase in Daybreak.

We look forward to presenting this to the Board of Regents in their meeting on November 16, 2018.



Cathy Anderson



## Fall 2018 Campus Master Plan Update


The following is a list of recently completed projects, projects in design or construction and future proposed projects. An illustration of project locations on campus is attached to this document. This list represents projects that impact the master plan and is not comprehensive to all projects the University has or is working on.

---

- A. Gary and Ann Crocker Science Center at the George Thomas Building**
- B. Carolyn and Kem Gardner Commons**
- C. Robert H. and Katharine B. Garff Executive Education Building**
- D. Cleone Peterson Eccles Alumni House**
- E. Rice Eccles Stadium South End Zone Upgrade**
- F. South Campus Student Housing**
- G. Soccer and Lacrosse NCAA Competition Site**
- H. University Guest House Expansion**
- I. Wasatch Drive Rebuild – Phases 1 and 2**
- J. East Wasatch Drive Parking Lot**
- K. Ambulatory Care Complex**
- L. Medical Education and Discovery Building**
- M. Craig H. Neilsen Rehabilitation Hospital**
- N. Kathryn F. Kirk Center for Comprehensive Cancer Care & Women's Cancers**
- O. Interdisciplinary Physical Science Education and Research Building**
- P. Partial Demolition of James Fletcher Building as part of Physical Science Project**

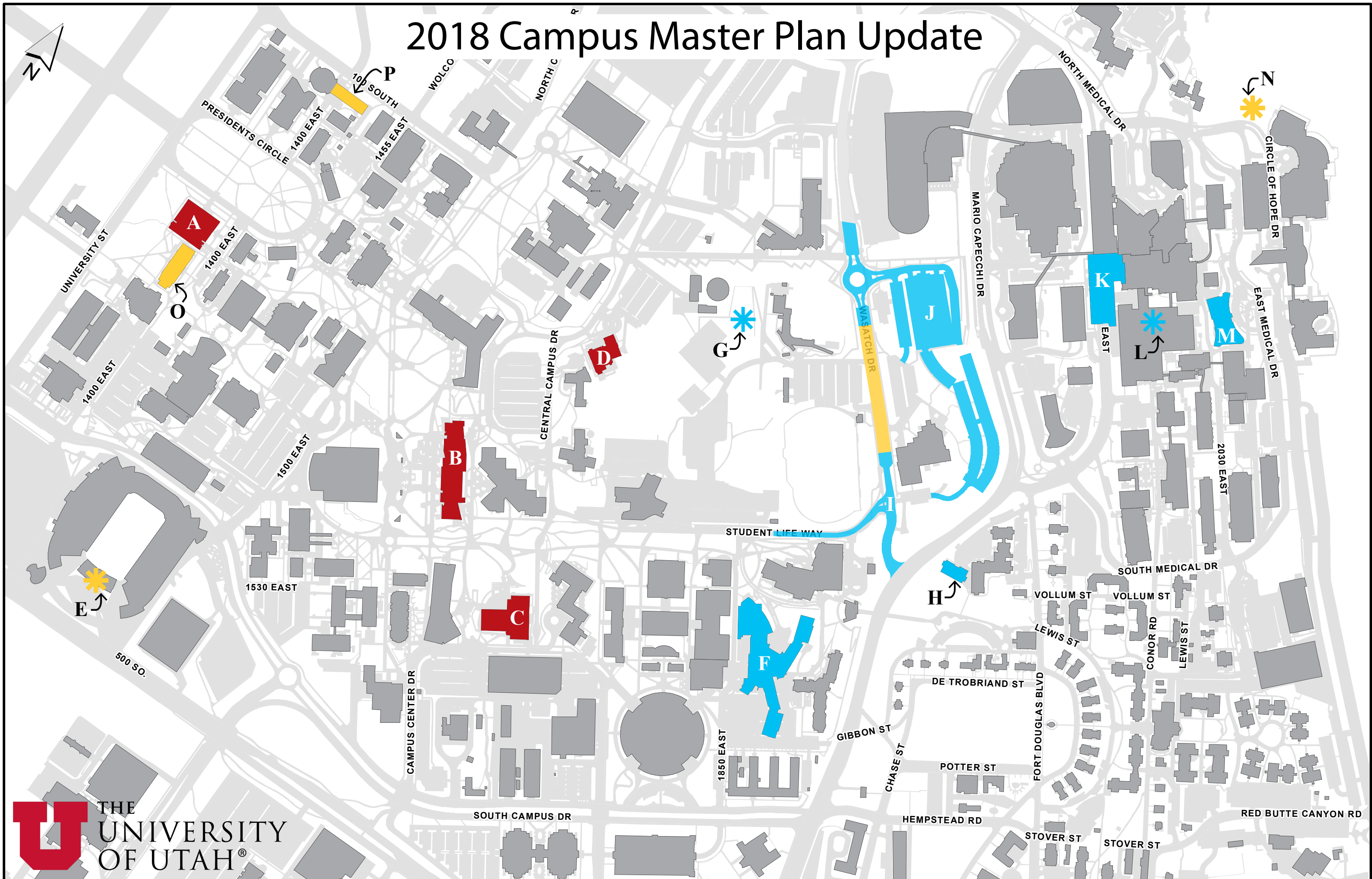
RECENTLY COMPLETED 

IN PROGRESS 

PROPOSED 



# 2018 Campus Master Plan Update



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Property Acquisition

Issue

Regent Policy R703, *Acquisition of Real Property* requires the Board of Regents to approve institutional property purchases that exceed \$500,000. The University of Utah requests Board approval to purchase approximately 90 acres of vacant land in the Daybreak development of South Jordan for \$10,570,000 using institutional funds.

Background

The University of Utah has the opportunity to purchase vacant property just north of the current South Jordan Health Center in the Daybreak development of South Jordan. The property consists of 89.58 acres of vacant land bounded by Mountain View Corridor on the west, the UTA South Jordan Parkway TRAX Station on the east, South Jordan Parkway on the south and a future Bingham Rim Road to the north. The property includes approximately 18 acres of a high-voltage utility easement. The property appraised for \$20,400,000 and the University negotiated with the seller to purchase the property for \$10,570,000. The seller will donate half of the property to the University and discount the 18 acres of property that are encumbered by a utility easement.

The University of Utah requests authorization to acquire the 89.58 acres as a land bank for future use. The University does not currently have plans to develop the proposed property, but recognizes the value of acquiring property with access to a TRAX station that connects to both the main campus and the South Jordan Health Center. The University will keep the Board informed as plans for the use of this property develop and will ensure that the property use best meets the needs of both the University and the System.

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

Commissioner's Recommendation

The Commissioner recommends that the Board authorize the University of Utah to acquire property located in the Daybreak development of South Jordan, Utah as proposed.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachments

October 19, 2018

Mr. David Buhler  
Commissioner  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

The University of Utah hereby requests approval from the Board of Regents' to proceed with closing on the acquisition of 89.5 acres of vacant land in the Daybreak community in South Jordan, Utah. The purchase price has been set at approximately \$10,570,000 and closing would be contingent on the completion of the following due diligence items:

- Appraisal (completed and provided a valuation of \$20.4M)
- Title Report and Insurance Commitment
- Phase I Environmental
- ALTA Survey

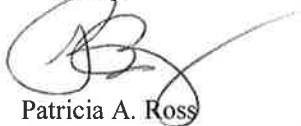
This acquisition is being made strategically in order to leverage the current financial opportunities represented in the purchase terms. The University will then begin developing more indepth master plans once academic programming is completed to guide the development of the University's first major satellite campus. Additional details on this request can be found in the attached slides.

The University of Utah's Board of Trustees approved this acquisition during its meeting on October 9, 2018.

Accordingly, Jonathon Bates, Executive Director of Real Estate Administration, would appreciate an opportunity to present this purchase to the Finance and Facilities Committee at the November 16, 2018 Board of Regents meeting.

Thanks, as always, for your consideration and support.

Sincerely,



Patricia A. Ross  
Chief Business Strategy Officer

c: Dr. Ruth V. Watkins  
Dr. Kimberly Henrie  
Richard P. Amon  
Jonathon Bates

August 22, 2018

Mr. Jonathon Bates  
UNIVERSITY OF UTAH  
505 Wakara Way, Suite 210  
Salt Lake City, Utah 84108

RE: Appraisal of: Daybreak Land  
East side of Mountain View Corridor, North of South Jordan Parkway  
South Jordan, Salt Lake County, Utah  
CBRE, Inc. File No. 18-271PH-2050-1

Dear Mr. Bates:

At your request and authorization, CBRE, Inc. has prepared an appraisal of the market value of the referenced property. Our analysis is presented in the following Appraisal Report.

The subject is a 92.431-acre tract of vacant land located at East side of Mountain View Corridor, North of South Jordan Parkway in South Jordan, Utah. The property is located within the Daybreak Master Planned Community and is part of the commercial corridor approved within the community.

Based on the analysis contained in the following report, the market value of the subject is concluded as follows:

| <b>MARKET VALUE CONCLUSION</b> |                           |                      |                         |
|--------------------------------|---------------------------|----------------------|-------------------------|
| <b>Appraisal Premise</b>       | <b>Interest Appraised</b> | <b>Date of Value</b> | <b>Value Conclusion</b> |
| As Is                          | Fee Simple Estate         | August 13, 2018      | \$20,400,000            |
| Compiled by CBRE               |                           |                      |                         |

The report, in its entirety, including all assumptions and limiting conditions, is an integral part of, and inseparable from, this letter.

The following appraisal sets forth the most pertinent data gathered, the techniques employed, and the reasoning leading to the opinion of value. The analyses, opinions and conclusions were developed based on, and this report has been prepared in conformance with, the guidelines and recommendations set forth in the Uniform Standards of Professional Appraisal Practice (USPAP), and the requirements of the Code of Professional Ethics and Standards of Professional Appraisal Practice of the Appraisal Institute.

Mr. Jonathon Bates

August 22, 2018

Page 2

The intended use and user of our report are specifically identified in our report as agreed upon in our contract for services and/or reliance language found in the report. As a condition to being granted the status of an intended user, any intended user who has not entered into a written agreement with CBRE in connection with its use of our report agrees to be bound by the terms and conditions of the agreement between CBRE and the client who ordered the report. No other use or user of the report is permitted by any other party for any other purpose. Dissemination of this report by any party to any non-intended users does not extend reliance to any such party, and CBRE will not be responsible for any unauthorized use of or reliance upon the report, its conclusions or contents (or any portion thereof).

It has been a pleasure to assist you in this assignment. If you have any questions concerning the analysis, or if CBRE can be of further service, please contact us.

Respectfully submitted,

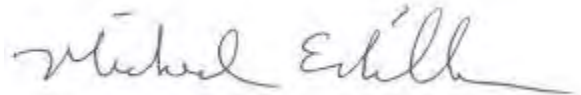
CBRE - VALUATION & ADVISORY SERVICES



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Bob Brown, MAI  
Vice President  
Utah Certification No. 5474215-CG00  
Expires July 31, 2019

Phone: 801-930-6108  
Email: bob.brown@cbre.com



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Micheal E. Miller, MAI  
Director  
Utah Certification No. 5482081-CG00  
Expires June 30, 2019

Phone: 801-930-6107  
Email: mike.miller@cbre.com

**CBRE**



THE UNIVERSITY OF UTAH

# Daybreak Land Acquisition

*Presented by:*

**Jonathon Bates**

Executive Director – Real Estate Administration

November 16, 2018





THE UNIVERSITY OF UTAH

# Recommendation

Approval to close on the acquisition of 89.5 acres of vacant land in the Daybreak community in South Jordan, Utah.

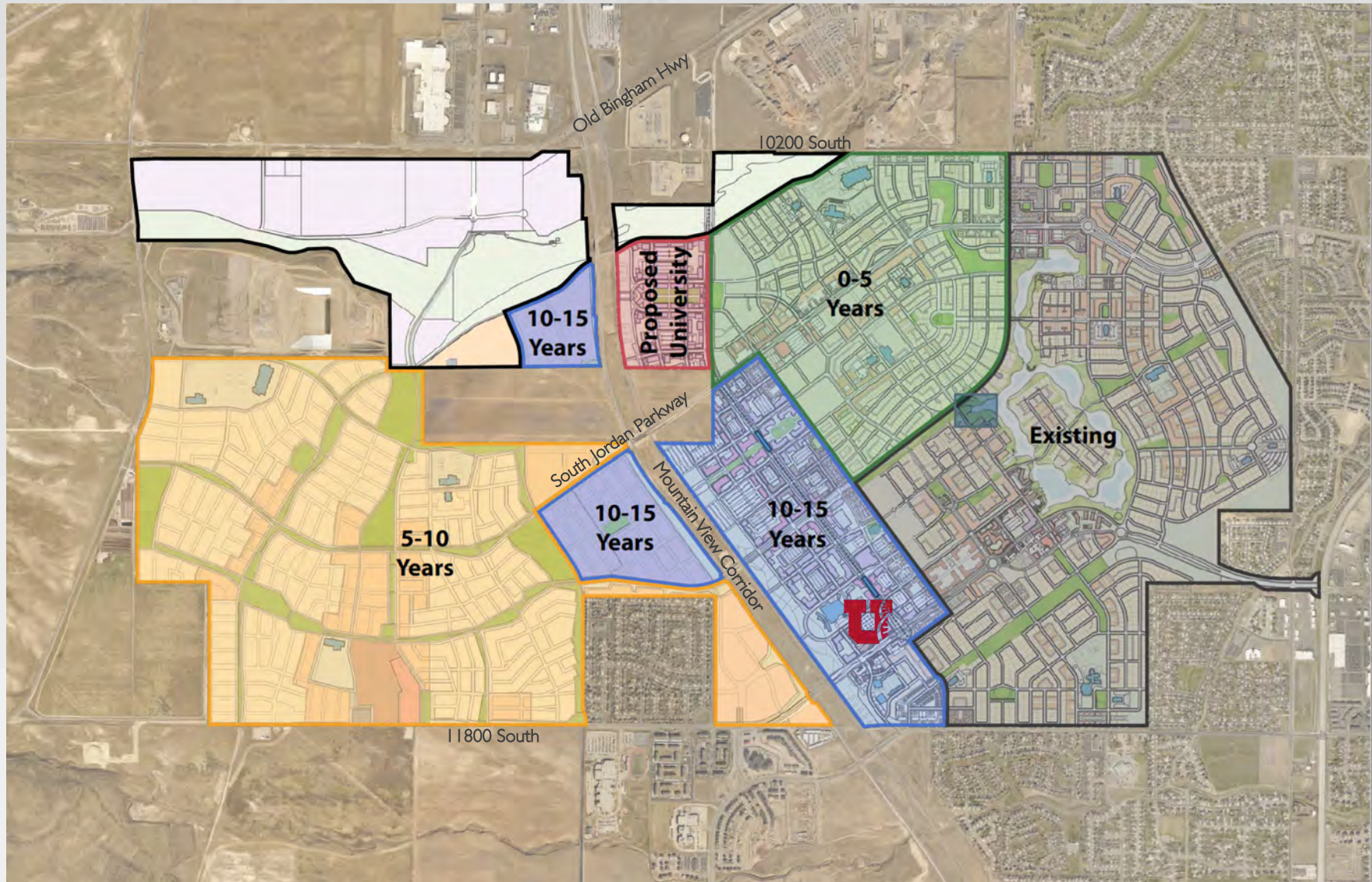
- *Contingent on successful completion of due diligence items.*





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# Daybreak Land Acquisition





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## Purchase Price & Donation

Seller will convey half (1/2) of the Land to the University as an outright donation and the remainder of the land shall be purchased as follows:

- \$250,000/acre or \$5.74/sf
  - 71.6 acres: ~\$8.95M
- Acreage encumbered by a utility easement shall be reduced by \$1.60/sf
  - 18 acres: ~\$1.62M
- TOTAL PURCHASE PRICE: ~\$10.57M
  - Effective rate per acre: \$118k

Purchase shall be paid in three interest free installments (\$3.5M each):

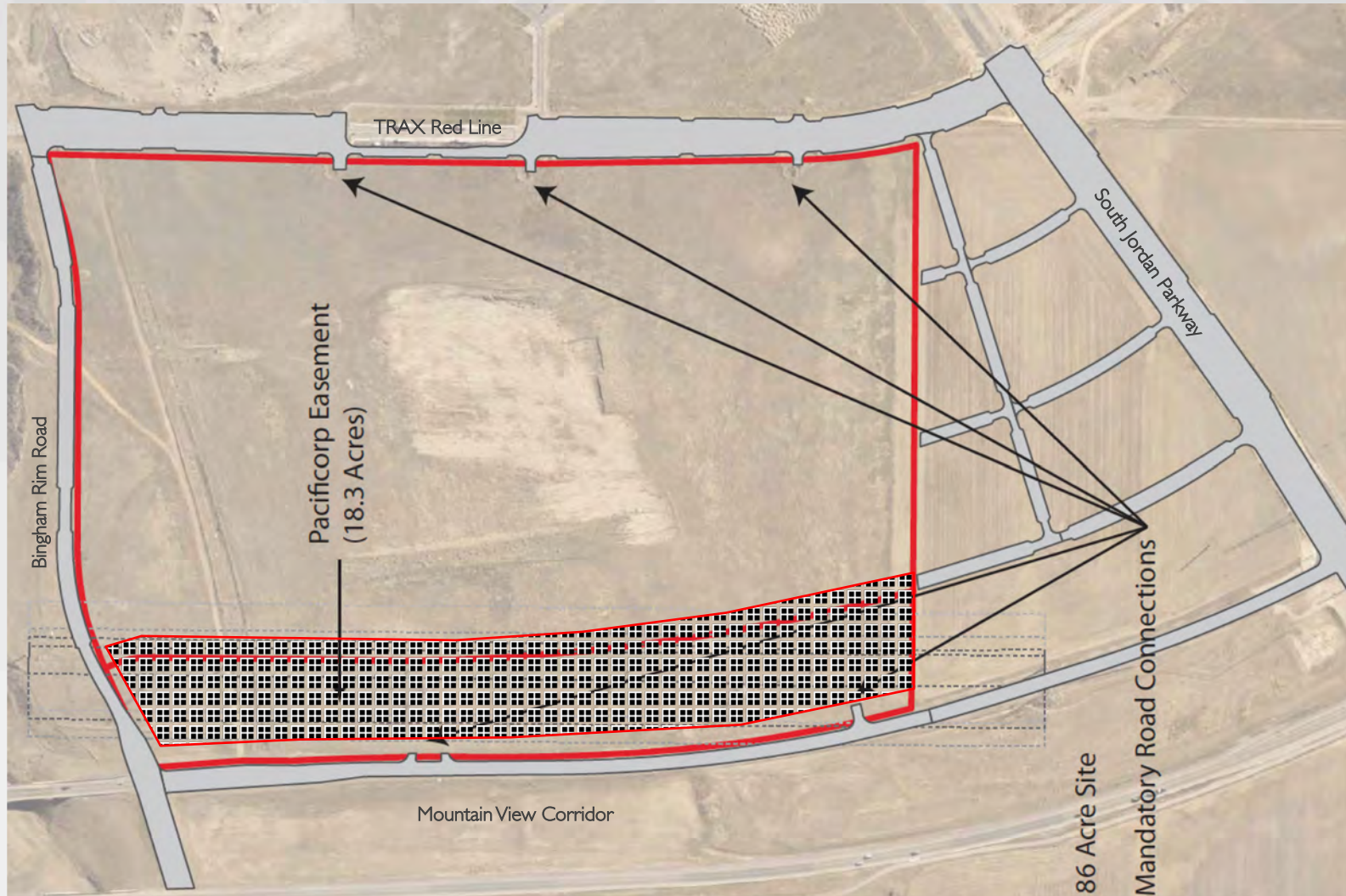
- 1/3 at closing (first half of January 2019)
  - 1/3 on or before July 15, 2019
  - 1/3 on or before July 15, 2020
- 
- Appraisal provided a valuation of \$20.4M.





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# Site Constraints





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# Recommendation

Approval to close on the acquisition of 89.5 acres of vacant land in the Daybreak community in South Jordan, Utah.

Purchase price to be ~\$10.57M made via three interest-free installments.

- Approval to be contingent on successful completion of necessary due diligence items (Environmental Surveys, ALTA Survey, Geotechnical Report still outstanding).

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: University of Utah – Authorization for Legislative Bond Authority

Issue

As required by Regent Policy R590, *Issuance of Revenue Boards for Colleges and Universities* the University of Utah requests authorization to seek legislative approval to issue revenue bonds to purchase a leased building in downtown Salt Lake City. The University will return to the Board for formal approval to purchase the property at a later date.

Background

The University of Utah currently leases approximately three-fourths of the 192,000 square foot office building known as 102 Tower located at 102 South 200 East in Salt Lake City. Occupants of the building include the information technology departments of the University of Utah and the University Hospital as well as the medical billing department for the School of Medicine. The current lease includes a purchase option for the entire building set at \$50,000,000, which the University intends to exercise by the contract date of February 28, 2021.

A financial analysis by the institution finds that purchasing the property will save approximately \$9.9 million over the remaining term of the lease. The analysis includes projected debt service on a \$50 million revenue bond, operating expenses to maintain and oversee the facility, current lease expenses, and projected revenue from tenants occupying the other quarter of the building. A summary of the analysis is provided below and additional information is contained in the attached slides prepared by the University.

|                                  |           |                  |
|----------------------------------|-----------|------------------|
| Projected Debt Service           | \$        | (27,416,000)     |
| Projected Operating Expenses     | \$        | ( 9,972,000)     |
| Projected Revenue from Leasing   | \$        | 19,205,000       |
| <hr/>                            |           |                  |
| Post-Purchase Projected Expense: | \$        | (18,183,000)     |
| <hr/>                            |           |                  |
| Current Projected Lease Expense: | \$        | (28,043,000)     |
| <hr/>                            |           |                  |
| <b>Projected Savings:</b>        | <b>\$</b> | <b>9,860,000</b> |

The University of Utah requests Regent approval to seek legislative bonding authority for the purchase of the 102 Tower property. While the University does not intend to purchase the property until 2019 or 2020, legislative authority provides flexibility in timing to be able to make the purchase. The University will return to the Board of Regents to obtain final approval to close on the property after completing the due diligence including an appraisal, title review, 3rd party review of mechanical, electrical, plumbing and structural systems, and a phase I environmental survey.

Additional information may be found in the attached letter and presentation materials from the institution. Representatives from the University will be in attendance at the meeting to provide additional information and answer questions from the Board.

#### Commissioner's Recommendation

The Commissioner recommends approving the University of Utah to seek legislative authority to issue up to \$50,000,000 of revenue bonds to exercise a lease-purchase option for property in Salt Lake City.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachments

October 19, 2018

Mr. David Buhler  
Commissioner  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

The University of Utah hereby requests approval from the Board of Regents' to proceed with seeking bonding authorization from the state legislature to support exercising its Purchase Option for the 102 Tower in Salt Lake City, Utah at either the 2019 or 2020 legislative session. The purchase price has been set within the existing Lease Agreement at \$50,000,000 until February 28, 2021. Following appropriate due diligence, the University will come back to the Regents to obtain approval to close on the property acquisition.

The 102 Tower in downtown Salt Lake City, is the home of the University's IT groups for both the academic campus and health system. The ability to purchase the 102 Tower presents an opportunity to significantly reduce annual ongoing occupancy expenses for the University. O&M, debt service and reserve funding following an acquisition represent annual costs that are an average of \$1.2M less than the current lease obligations. This represents a total savings over the remaining term of the lease agreement of \$9.9M. Additional details on this request can be found in the attached slides.

The University of Utah's Board of Trustee's reviewed and approved this request for bonding authorization during their meeting on October 9, 2018.

Accordingly, Jonathon Bates, Executive Director of Real Estate Administration, would appreciate an opportunity to present this bonding authorization to the Finance and Facilities Committee at the November 16, 2018 Board of Regents meeting.

Thanks, as always, for your consideration and support.

Sincerely,



Patricia A. Ross  
Chief Business Strategy Officer

c: Dr. Ruth V. Watkins  
Dr. Kimberly Henrie  
Richard P. Amon  
Jonathon Bates



THE UNIVERSITY OF UTAH

# 102 Tower Bonding Authorization

*Presented by:*

**Jonathon Bates**

Executive Director – Real Estate Administration

November 16, 2018





THE UNIVERSITY OF UTAH

# Recommendation

The University of Utah has a Purchase Option as a component of its Lease Agreement for the 102 Tower.

Recommend approval to proceed with bonding authorization to support exercising Purchase Option. Closing on the acquisition to be contingent on successful completion of due diligence.

- Purchase price set at \$50M.
- Current market value estimated at \$75M.



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# Occupant Summary

- University occupies 74% of the building
- Building is a total of 192,037 sf
- TOTAL FTE's: 891
  - University IT: 281
  - Hospital IT: 400
  - Medical Billing for SOM: 210



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# The Why

Purchase Date: 1-Jul-19

|                                   | FY19-20           | FY20-21           | FY21-22           | FY22-23           | FY23-24           | FY24-25           | FY25-26           | FY26-27 (Partial) | TOTAL              |
|-----------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|--------------------|
| Current Projected Expense:        | \$ 3,287,349.35   | \$ 3,384,108.62   | \$ 3,487,182.55   | \$ 3,597,805.43   | \$ 3,717,457.11   | \$ 3,847,912.06   | \$ 3,991,298.22   | \$ 2,729,801.36   | \$ 28,042,914.69   |
| Projected Debt Service & Reserve: | \$ 3,384,500.93   | \$ 3,625,728.76   | \$ 3,622,450.66   | \$ 3,620,589.01   | \$ 3,620,899.93   | \$ 3,618,344.18   | \$ 3,554,230.33   | \$ 2,369,486.88   | \$ 27,416,230.68   |
| Projected Operating Expenses:     | \$ 1,163,804.69   | \$ 1,202,054.40   | \$ 1,241,618.37   | \$ 1,282,544.38   | \$ 1,324,882.05   | \$ 1,368,682.91   | \$ 1,414,000.52   | \$ 973,927.01     | \$ 9,971,514.33    |
| Projected Revenue:                | \$ (2,295,142.42) | \$ (2,352,793.55) | \$ (2,412,623.79) | \$ (2,474,805.49) | \$ (2,539,532.95) | \$ (2,610,682.78) | \$ (2,681,737.64) | \$ (1,837,446.53) | \$ (19,204,765.16) |
| Post Purchase Projected Expense:  | \$ 2,253,163.20   | \$ 2,474,989.61   | \$ 2,451,445.24   | \$ 2,428,327.90   | \$ 2,406,249.03   | \$ 2,376,344.31   | \$ 2,286,493.21   | \$ 1,505,967.36   | \$ 18,182,979.85   |
| Projected Savings:                | \$ 1,034,186.15   | \$ 909,119.01     | \$ 1,035,737.31   | \$ 1,169,477.53   | \$ 1,311,208.08   | \$ 1,471,567.75   | \$ 1,704,805.02   | \$ 1,223,833.99   | \$ 9,859,934.84    |

- Purchase price of \$50M funded via bonds.
- Debt service projection provided by Treasury Services.
- Repayment of unamortized abated rent of \$2.6M.
  - Paid for by cash from UIT/ITS reserves at closing; not a component of bonding.
  - Included in proforma.
- Proforma of remaining term of lease (7 yrs, 8 mths)
  - Average annual reduction in cost of \$1.2M.
  - Total savings over term of \$9.9M.



THE UNIVERSITY OF UTAH

## Purchase Approval Schedule

- Board of Trustees Campus Master Plan Committee
  - September 25, 2018
- Board of Trustees
  - October 9, 2018
- Board of Regents
  - November 16, 2018
- Bonding authorization will be sought during the 2019 or 2020 session of the State of Utah Legislature.
- Approval to close to be contingent on completion of the following due diligence items:
  - Appraisal
  - Title review and ALTA survey
  - 3<sup>rd</sup> party review of mechanical, electrical, plumbing and structural systems.
  - Phase I Environmental survey





THE UNIVERSITY OF UTAH

# Recommendation

The University of Utah has a Purchase Option as a component of its Lease Agreement for the 102 Tower.

Recommend approval to proceed with bonding authorization to support exercising Purchase Option. Closing on the acquisition to be contingent on successful completion of due diligence.

- Purchase price set at \$50M.
- Current market value estimated at \$75M.

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Lease Renewal

Issue

Regent Policy R705, *Leased Space* requires the Board of Regents to approve institutional leases with state-appropriated funds that are more than \$250,000 per year or commit the institution for ten or more years. The University of Utah seeks Board approval to renew a lease for 13,866 square feet at \$371,400 average annual rent in the University's Research Park in Salt Lake City, Utah.

Background

The University currently leases 10,856 square feet at 675 Arapeen Drive in Salt Lake City for the program of Cell Therapy and Regenerative Medicine, which researches and studies the delivery of cell and tissue-based therapies and products to patients. The University requests approval to renew the lease for an additional five years and three months with an additional 3,010 square feet. The 13,866 square foot lease will have an average annual rental rate of \$371,400.

Additional information about this request may be found in the attached letter from the University and representatives from the University will be in attendance at the meeting to provide additional information and respond to questions from the Board.

Commissioner's Recommendation

The Commissioner recommends that the Board authorize the University of Utah to expand and extend the lease at 675 Arapeen Drive for an additional five years and three months as proposed.

---

David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachment



October 19, 2018

Mr. David Buhler  
Commissioner  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

The University of Utah hereby requests approval from the Board of Regents' to enter into an Amendment to Lease for the following leased space:

675 Arapeen, Suite 107/300/304, Salt Lake City, Utah

- School of Medicine – Cell Therapy & Regenerative Medicine
- 13,866 sf
- Average annual rent: \$371.4k (Full Service)
- Total lease term commitment: \$1.95M
- Term: Five (5) years and three (3) months (January 1, 2019 – March 31, 2024)
- Purpose: Faculty offices with lab and research components.

Cell Therapy has occupied this space since 2004 and this extension and expansion will give the University flexibility to accommodate the growth of this important research program.

Accordingly, Jonathon Bates, Executive Director of Real Estate Administration, would appreciate an opportunity to present this Lease Amendment to the Finance and Facilities Committee at the November 16, 2018 Board of Regents meeting.

Thanks, as always, for your consideration and support.

Sincerely,



Patricia A. Ross  
Chief Business Strategy Officer

c: Dr. Ruth V. Watkins  
Dr. Kimberly Henrie  
Richard P. Amon  
Jonathon Bates

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: USHE – 2018-19 Information Technology (IT) Operating Plan

Issue

The Board is being asked to review and approve the USHE 2018-19 Information Technology (IT) Operating Plan.

Background

Every year, the Chief Information Officers from each USHE institution meet together to formulate an operational plan addressing information technology issues affecting all of the institutions. In the past, these plans have typically focused on the joint purchases of software (saving \$3.6 million each year for the institutions), security, and other joint issues that are better solved by the institutions collaborating together.

For the 2018 operational plan, the CIOs chose to focus heavily on security. Security risks and threats have greatly increased over the years, and subsequently, institutions have fallen behind in the tools, training, and people needed to mitigate these additional security risks and threats. Specifically, this year's plan includes the following:

- changes to Regents security policy R345 to allow for minimum security standards across all institutions;
- an appropriation request for standard security staffing levels, next generation network firewalls, advanced malware endpoint protection, and updated edge network equipment;
- an effort to continue leveraging USHE's size to save on system-wide software contracts, as well as share best practices for enterprise software, disaster recovery, business continuity, strategic initiatives, and business case analytics; and
- an effort to create awareness and increase maturity on electronic accessibility issues for student access and completion.

Commissioner's Recommendation

The Commissioner recommends the Board review and approve the 2018-19 USHE Information Technology Operating Plan.

DLB/KLH/SH  
Attachment

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David L. Buhler  
Commissioner of Higher Education

# 2018-19 USHE IT Operating Plan

## Ensure security of - and appropriate, timely access to - data

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### USHE R345 Regents Security Policy Changes

1. Adopt minimum security standards recommended by the USHE ISO Committee following NIST CSF, HITRUT, and ISO
  - a. Standard security staffing levels (\$1 million ongoing), \$125,000 per institution
  - b. Separate administrative credentials for systems and devices containing restricted data
  - c. Whitelisted network
  - d. Segment networks to shield restricted/sensitive data
  - d. No restricted/confidential institutional information on private devices
  - e. Encrypt all computers and servers with PII, PHI, and FERPA data
  - f. Comply with the changing compliance landscape (e.g., PCI, HIPAA, GDPR, FERPA, ITAR, GLBA)
  - g. Require annual security awareness user training for all USHE schools

### Security Tools

1. Purchase and install next generation network firewalls (\$500,000 ongoing)
2. Purchase and install advanced malware endpoint protection (\$750,000 ongoing)

### Network Upgrades Essential for Security

Update and capitalize edge network equipment to meet IOT, Network Access Control, and security standards (\$4.9 million ongoing)

## Increase fiscal and operational efficiency across the system

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- Leverage USHE's size to save on software contracts from Adobe, Microsoft, and Ellucian
- Develop and share best practices for acquisition, integration, and implementation of enterprise software
- Share and institute best practices across institutions through topical gatherings, including coordinating the following subcommittees (e.g., ISO, NISST, UTTC, UBUG) and updating their charters and directions
- Increase maturity on disaster recovery and business continuity
- Identify and align with strategic initiatives of higher education and how IT can support and bring those about to make higher education relevant for the future economy and environment
- Business case analytics

## Support efforts to increase student access and completion

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- Create awareness and increase maturity on electronic accessibility issues
- Compare UTTC inventory on student services applications and tools with CIO-compiled inventory on student services applications and tools, and look for opportunities to cooperate on:
  - o Strategic scheduling technology
  - o Business intelligence capability
  - o Student data analytics

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Approval Board of Trustee Audit Committee Membership

Issue

The Board is being asked to review and approve the USHE institutions' recommendations for Board of Trustee Audit Committee membership. Utah statute, 63I-5, [Internal Audit Act](#), identifies the Board of Regents as the "appointing authority" for USHE institution audit committees and requires that the Board appoint institution's Board of Trustee audit committee members.

Background

Regent policy R565-4.3.2 requires each institution to have an audit committee of three to five members, including at least three members of the board of trustees. At least one audit committee member at each institution "should have financial expertise either through professional certification or experience... when practicable."

Bios of the existing audit committee members for all eight USHE institutions are attached for review.

Commissioner's Recommendation

The Commissioner recommends the Board review and approve the lists of Trustee audit committee members for each of the eight USHE institutions. Audit committee members include:

University of Utah

Phillip W. Clinger, Chair

J. Steven Price

David Parkin

Joe Sargetakis

Utah State University

J. Scott Nixon, Chair

Clark Whitworth

Mark Holland

**Weber State University**

Nolan Karras, Chair

Scott W. Parson

Donald J. Salazar

Steve Avis

Julie Park

**Southern Utah University**

Marshall Erb, Chair

Eric O. Leavitt

Michael Wankier

Bruce Hughes

**Snow College**

Rick Robinson, Chair

Scott Bushnell

Leslie Kiesel

David Christensen

Randy Cox

**Dixie State University**

David Clark, Chair

Kelli G. Prince

Colleen Kvetko

**Utah Valley University**

Duff Thompson, Chair

Jack Sunderlage

Paul Thompson

John Gardner

**Salt Lake Community College**

Jim Wall, Chair

Clint Ensign

Brady Southwick

Roland Brimley

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/DSP  
Attachments



### **Phillip W. Clinger, Chair**

Clinger, a U. graduate, was senior vice president for Merrill Lynch before his retirement. He has served on the University's National Advisory Council, the Bennion Center Board, the Financial Advisory Committee, and the Hospital Board - including a term as president from 2004 to 2006.

Mr. Clinger has also served on the Utah Retirement Systems Board and the Country Club of Salt Lake Board.

### **J Steven Price**

Steven Price attended the university, was a Sigma Chi member, and has a strong family connection with the university. Price graduated from a California State University in 1986. Three of Price's five children are U alums and his parents are also the actively involved Ambassador John Price and Marcia Poulsen Price. Steve was involved with the DESB Campaign Leadership Committee; Health Science Advocates, and the President's Club Committee.

Mr. Price currently serves as a Board Member of the John and Marcia Price Family Foundation, EDCUtah, The World Trade Center Utah, the SLC 2022 Olympic Winter Game Exploratory Committee, The Salt Lake City Police Foundation, and the Utah Sports Commission, where he served as the past Chairman. He has been an active member of the Young Presidents Organization since 1996, and the Utah World Presidents Organization since 2013.

He has served the local community in various capacities including coaching youth soccer and baseball since 1993-present, serving on the board of the South Salt Lake Chamber of Commerce, the Utah Ski & Snowboard Ball, membership of the Draper City Chamber of Commerce, leader and key partner in the current renovation project in establishing the Utah Tibetan Community Center for the Utah Tibetan Association, and the UMFA.

Steve is the Founder of Price Realty Group, LLC. He owns, develops and manages approximately 2.5 million square feet of industrial distribution and manufacturing commercial real estate with a portfolio of 100+ local, regional, national, and international tenants in economic clusters in the life and bio sciences, information technology, aerospace, defense, transportation, supply chain logistics, eCommerce and outdoor recreation sectors, in the Western Unites States. He lives, and his companies are headquartered, in Salt Lake City, Utah.

## **David Parkin**

Dave is a Partner at Tower Arch Capital. Prior to co-founding Tower Arch Capital, he was a Partner at Huntsman Gay Global Capital. Dave's career began at Huntsman Corporation where he spent 15 years.

Dave earned a Bachelor of Arts in Finance from the University of Utah. He is a member of the Board of Directors of Future Infrastructure, Pathline Emerge and Enertech Resources.

## **Joe Sargetakis**

Joseph Sargetakis (BA'80) is the new president of the Alumni Association's Board of Directors. The owner of Frog Bench Farms in Sugar House, Sargetakis is committed to providing organic fruits, vegetables, herbs and micro greens for farm-to-table restaurants in Salt Lake City. He previously held vice president positions at Kidder Peabody, Paine Webber, and Morgan Stanley. His involvement with the U also includes membership in the Copper Club at the Natural History Museum of Utah and being a longtime member of Red Butte Garden. His other volunteer work includes serving on the boards of the Swaner Nature Preserve, Ronald McDonald House Charities, and Ducks Unlimited, and being on the founding board of the Sugar House Farmers Market. He is married to Paula Swaner-Sargetakis and has 2 children, Pauline 32 and Mike 29.





## **J Scott Nixon , Chair**

Scott retired June 30, 2015 as a Partner of the Salt Lake City office of PricewaterhouseCoopers (PwC). He had over 31 years of experience in public accounting most of which was in the Salt Lake City office, including five years as the Office Managing Partner. His experience includes providing audit and business advisory services to public and private companies in various industries. Scott worked his last three years in a strategic role in PwC's Transformation Group and represented the PwC global firm as a "Review Team Leader" for several reviews of international member firms of the PwC global network to ensure compliance with global standards.

In 2007 Scott returned from a four year assignment in Sao Paulo, Brazil where he represented the PwC global firm in various functions to the 18 PwC member firms in South and Central America. He had oversight responsibility for many regulatory and risk management related matters, including the adoption, implementation and monitoring of Sarbanes-Oxley requirements for the member firms, in addition to functioning as the client service partner for several large multi-national clients that had reporting requirements in the United States. Scott currently serves on the governing boards of Utah State University, Deseret Trust Company, the Utah Chapter of the National Association of Corporate Directors (NACD), and was appointed in 2016 to the Board of Directors of ProLung, Inc. where he also serves as the Audit Committee chair. In October 2017, Scott was appointed to the Board of Directors of USANA Health Sciences, Inc. (NYSE: USNA). Scott is a NACD Governance Fellow. He has demonstrated his commitment to boardroom excellence by completing NACD's comprehensive program of study for corporate directors.

Beginning in October 2016, Scott and his wife Shiree began serving a two-year voluntary assignment for the LDS Church hosting VIP visitors to Salt Lake City.

## **Clark Whitworth**

Clark has worked for the Larry H. Miller Group of Companies for more than 28 years and currently serves as CEO. In this role he helps create the company's long-term vision and works to position the Group for future opportunities and expansion. He works closely with Gail Miller, the presidents of each organization, and the board of directors to maintain the values on which this organization is based. Working directly with Larry H. Miller on a daily basis for 22 years and then six more with Greg Miller helped Clark develop an understanding of the fundamentals of this organization.

He began his career with the Group in 1987 working on special projects, implementing 401(k) and financial administration. He also spent much of his time working with the dealerships helping to implement different cost control measures (PIA). One the most exciting projects he helped bring to a close was the financing for

the Delta Center (now Vivint Smart Home Arena). Shortly thereafter, he was appointed as chief financial officer for Miller Automotive and Miller Family Real Estate in the early 1990s.

Before joining the Group, Clark worked in public accounting at Peat, Marwick, Mitchell & Co. in New Orleans and for Deloitte in Salt Lake City. He subsequently accepted a position with the Rick Warner group of companies in Salt Lake City where he gained basic experience in the automotive industry. He completed his bachelor degree in accounting from Utah State University and is a CPA. He is still a devoted Aggies fan and enjoys tailgating with the family at football games.

Clark has also taught a course on business turnarounds for the MBA program at the University of Utah, and he served on the board of trustees for Larry Miller Charities as well as other charitable foundations.

He is an avid runner and cyclist and enjoys boating with his family at Bear Lake. Golf has caught his attention again, and he hopes to improve his game and loves to be on the course. His family is most important, and he enjoys spending time with his wife and children and helping them with various projects.

## **Mark Holland**

Mark Holland is CEO and Chairman of Intermountain Staffing. The Utah based company has grown from 3 offices into 25 offices in seven states during Mark's tenure. Intermountain Staffing is among the largest (top 2%) staffing companies in the United States. Specializing in light industrial and non-clinical hospital staffing, Intermountain Staffing has been helping put people and jobs together since 1969.

In 1995 Mark founded Ascend HR Solutions, an HR outsourcing company. Ascend was listed as #17 in Inc. Magazine's Inc 500 list in 2000 and has been included in the Utah 100 nine out of ten years in a row. The Company was honored as the 8th largest revenue increase of all companies in Utah in 2010.

He is also co-founder of Ascend Medical Staffing, an elite Physician staffing organization providing temporary doctors throughout the United States.

Mark is Vice Chair of the Utah State University Board of Trustees. He was appointed by Governor Herbert in 2011. He serves on the board of Raffles Insurance, a large captive insurance ltd. He is a member of the steering committee for Education First. Mark was awarded the Utah State University Spirit of Old Main Award, Next Generation in 2008. He is the Past Chapter Chair for the Utah Chapter of YPOI. Mark has served as a Board Member for the Children's Center, Single Mom's Foundation, Ballet West and is a past president of the Utah Staffing Association. In 1996, Mark was Young Alumnus of the Year at USU. In addition, he has held many other positions in the community and his church where he remains active.

Mark is married to Wendi and they have 4 children ages 12 to 20.



### **Nolan Karras, Chair**

Weber State University Board of Trustees Chair Nolan Karras is also the chairman and CEO of The Karras Company, Inc., a national investment advisory firm. In addition, he is co-chair for Education First, a citizen-based political action committee that promotes education.

He is also a member of the board of directors for WSU's Olene S. Walker Institute of Politics and Public Service and is on the board of Merit Medical, Inc.

A licensed CPA, Karras is a past board member of Utah Power, Beneficial Life, Pacificorp and Scottish Power and the University Of Utah Hospital Board.

He was elected to the Utah Legislature from 1981 to 1990, where he served as speaker of the house. He was on the Board of Trustees of the Salt Lake Olympic Committee and served 12 years as member of the Utah Board of Regents, where he was chairman from 2001 to 2005.

Karras earned a Bachelor of Science in banking and finance from Weber State College and an MBA from the University of Utah. He became chair of WSU's Board of Trustees in 2016.

He is married to Lynda Purrington. They have three children and 13 grandchildren.

### **Scott W. Parson**

Parson is the president of Staker Parson Companies and the Oldcastle Materials Mountain West Division, comprising 18 businesses in eight western states: Montana, Wyoming, Idaho, Utah, Nevada, Arizona, New Mexico and Colorado. Oldcastle Materials is the nation's leading integrated supplier of rock products, ready-mixed concrete, asphalt, paving and construction services.

Parson is a past chair of the Salt Lake Chamber of Commerce and a member of the organization's executive committee and Board of Governors. He previously chaired the Transportation and Public Policy committees.

He helped establish the Weber State University Parson Construction Management Program and chaired the Industry Advisory Committee for many years. In 2004, he received the Distinguished Service Award from Weber State University.

Parson is a National Ready Mixed Concrete Association director, former Utah Associated General Contractors director, Ready Mix Concrete Education and Research Foundation chair, and he served eight years on the Utah State Parks and Recreation Board.

He graduated from Brigham Young University and the University of Chicago Booth School of Business, where he earned a Master of Business Administration degree.

In his spare time, he enjoys golf, music, gardening, fly-fishing and hunting. He resides in Layton, Utah, with his wife, Allison, and three children (triplets).

### **Donald J. Salazar**

Salazar is president and CEO of an Ogden-based design-build construction company, Creative Times Inc., joined WSU's Board of Trustees in 2017.

In his leadership role, Salazar oversees all management activities, which include business planning, accounting, bonding, finance, marketing, resource allocation, contract negotiation and on-site job performance. He has successfully performed on contracts ranging from \$200,000 to \$34 million.

In an effort to guide other business owners to success, Salazar has been active in many organizations on national and local levels. He currently serves as chair of the United States Hispanic Chamber of Commerce. With 4.3 million members, the chamber is the largest Hispanic business organization in the nation. He also serves as an advisory board member of the Utah Hispanic Chamber and Zions Bank, and he previously served as chair of the Ogden Area Hispanic Chamber of Commerce. He is also a past president of the Northern Utah Public Employees Association.

At Weber State University, Salazar serves on the National Advisory Council and is a past member of the Arts and Humanities Advisory Council (AHA!). He has served on many other boards throughout the community in the sectors of health, finance, environment and legislation.

Salazar has been recognized with multiple awards, including the Small Business Administration's Contractor of the Year award in 2005.

Salazar graduated from Business Transformation Program at Dartmouth University's Tuck School of Business and has a Master of Arts degree in organizational management.

### **Steve Avis, CPA**

Audit Committee Member – Audit partner and business consultant with a 20 year public accounting career for large local and regional CPA firms with experience working with a variety of industries including financial institutions, manufacturing, construction and those filing with the Securities Exchange Commission.

Instructor for various training sessions including financial accounting updates, fraud and auditing standards.

Steve is a member of the Association of Certified Public Accountants and serves as Chair of CPE Review and Approval Committee for the Utah Association of Certified Public Accountants.

He received a Bachelor and Master's degree from Weber State University.

**Julie Park**

Audit Committee Member - Manager, Data Privacy Office, The Church of Jesus Christ of Latter-day Saints, Salt Lake City, Utah.

She earned a Bachelor of Science in Finance from Weber State University and an MBA from Utah State University. She also has earned several information security and data privacy professional certifications. She is a past board member of the Information Security Audit and Control Association (ISACA) Utah chapter and served as chapter president from 2009 to 2011.

In 2013, she was appointed to serve on the Department of Homeland Security Data Privacy and Integrity Advisory Committee.



### **Marshall Erb, Chair**

Marshall is a native of Eugene, Oregon, who now lives in Draper, Utah, has worked in accounting and finance throughout his professional career since completing the accounting program at Portland State University. As the owner of KME Associates, he has also worked at EnergySolutions as treasurer and senior vice president, was the chief financial officer at Enviocare of Utah, and was the western region director for finance and accounting for XO Communications. With a penchant to give back, Marshall has served as an influential member of many corporate and startup company boards and on several community boards and committees on every level, from the political to those within his local neighborhood. When he is not in the office, Marshall enjoys fly fishing, golfing, snow skiing and baseball. He and his wife Debora have been married for the past 28 years, and the couple has raised three daughters. Their youngest, Michelle, is a proud SUU graduate.

### **Eric O. Leavitt**

Eric is the President of Leavitt Group Enterprises, Inc., the parent company of The Leavitt Group — a network of over 115 independent insurance agencies located in 14 states. After attending Southern Utah University, Eric graduated from the University of Utah in 1986 and then in 1988, earned a master's degree from the William E. Simon Graduate School of Business Administration at the University of Rochester.

Before joining The Leavitt Group, Eric worked for five years in the independent power industry developing cogeneration projects in Massachusetts, Vermont, Utah and California. He serves on the Board of Directors of Zions Bank and also on its Trust Committee, and is a member of the Board of Directors of the Council of Insurance Agents and Brokers. Eric resides in Cedar City with his wife Melissa and their six children.

### **Michael Wankier**

Mike is the CFO for Larry H. Miller Management Company, the Company responsible for managing the Larry H. Miller Group of Companies. After graduating from Southern Utah University with a Masters of Accountancy degree in 2001, Mike began a career in public accounting with Arthur Andersen, LLP in Salt Lake City, UT. Much of the success Mike achieved during more than seven years as an auditor with Andersen and KPMG can be attributed to his experiences inside and outside of the classrooms of SUU. After leaving KPMG in 2009, Mike worked as a controller for Pinnacle Security and Devcon Security before joining the Larry H. Miller Group on 2012. Mike and his wife Timette, who we met at SUU, are the parents to four daughters and a son and reside in Draper, Utah.

## **Bruce Hughes, CPA**

Bachelor of Accounting – University of Utah, Master of Taxation – University of Southern California    Utah  
Air National Guard 151<sup>st</sup> MAC, 1968 – 1975, Spec 5

Certified Public Accountant – 22 years in Southern California and 25 years in Cedar City

Real Estate Broker – 17 years in Southern California and 25 years in Cedar City

Swimming Pool Industry – 17 years in Southern California, Founding Chairman of the National Plasterers Council

Public accounting specializing in consulting for small business, income tax, real estate, non-profits and entrepreneurs. Tax specialties include individual taxation, gift and estate taxation, non-profit, corporation, LLC and partnership taxation.

Owner/President of a major pool plastering business in California for 17 years during which the Company plastered and remodeled over 145,000 swimming pools.

Founding chairman for the first five years of the National Plasterers Council, an international pool plaster trade association.

Taught free market business seminars through all 11 time zones of the former Soviet Union and the Ukraine in 1991, 1992 and 1993 with the Kriebel Institute, The Free Congress Foundation and SCORE.

Taught for 10 years, real estate licensing and continuing education classes with the Stringham Real Estate School in Southern Utah.

Hobbies – Volunteering, radio forum - KSUB, travel, reading, being in the outdoors, 4-wheeling, Boy Scouts – Silver Beaver, teaching, Dutch oven cooking, CrossFit



### **Rick Robinson, Chair**

Appointed to the Snow College Board of Trustees in 2015. Mr. Robinson is a graduate of North Sevier High School and Brigham Young University (Business Management/Finance). He served a mission for Church Of Jesus Christ of Latter Day Saints Mission to the Louisiana/Baton Rouge Mission and has spent his career with Zions Bank in September of 1983. He worked as the Branch Manager in Manti, Utah, and is currently the Branch Manager/Vice President in Richfield, Utah. All five of his children have taken classes at Snow College, and one is currently enrolled in the fall Semester. He is involved with community and church service and currently serves on the Republican State Central Committee.

### **Scott Bushnell**

Appointed to the Snow College Board of Trustees in 2011. Mr. Bushnell currently serves as the Assistant Superintendent in the Murray City School District. He was the principal of Murray High School from 2004-2011 and was recognized as the Utah Association of Secondary School Principals (UASSP) High School Principal of the Year in 2011. He is a current member and past chair of The Orthopedic Specialty Hospital (TOSH) Community Benefits Committee, served on the University of Phoenix Advisory Committee, was a member of the Utah High School Activity Association (UHSA) Executive Committee and is a past member of the Snow College Alumni Association. He has taught as an adjunct professor for the University of Utah in the Educational Leadership and Policy Department. He graduated from Snow College in 1984 earning an Associate of Arts degree. He went on to Mesa State College (Colorado), Utah State University and the University of Utah.

### **Leslie Kiesel**

Appointed to the Snow College Board of Trustees in 2013. Mrs. Keisel spent her career as an educator in the North Sanpete School District where she started her career teaching elementary school. She served as a principal at the elementary and middle school levels and retired her career after serving as the District Superintendent. She has served on the Sanpete Valley Hospital Board and city and county Planning Commissions. Her retirement years have given her more time to spend enjoying retirement years with her husband, devote more time to grandchildren, making quilts for humanitarian projects, and serving in her church callings.



## **David A. Christensen**

David A. Christensen undoubtedly inherited his desire to serve and give back from his parents, Alta Wintch and Alten Christensen. Both Alta and Alten had a great love of education and were tremendous examples of service, receiving many awards from the community in honor of that tradition. Alten started a scholarship endowment in honor of his beloved wife, who graduated from Snow College in 1935 and spoke highly of her experience there. David has adopted their love for Snow College as well. He currently serves as a member of the Board of Trustees and the Foundation Board. Four of his children have also graduated from Snow College. When David is not working at the family business (Christensen's Department Stores) he likes to snow-ski, drive up to the mountains, go to Lake Powell, and watch younger family members water-ski. He also loves gardening. David and his wife, Kathleen, live in Richfield where they are both active in their church and community.

## **Randy Cox**

Randy Cox has been in the brokerage industry for more than 30 years. He was branch manager at Kidder, Peabody for 10 years and has managed investments for high net worth individuals and corporations since 1994. He is currently the managing director for investments at Wells Fargo Advisors, LLC, in Salt Lake City. Randy graduated from Snow College and went on to receive his bachelor's degree in economics and a master's degree in business from Brigham Young University. He and his wife are the parents of five children.



### **David Clark - Chair**

David Clark was appointed to Dixie State's Board of Trustees in May of 2012, and was named Board Vice Chair in November of 2013.

Clark is currently the Southern Utah Regional Vice President for Zions Bank, for which he has worked for more than 35 years. He has also been an active member of the St. George Rotary Club and was recognized as a Rotarian of the Year in 1998. In addition, Clark represented Utah's 74th District (Washington County) in the State House of Representatives from 2001-12. In 2006, he was elected to serve as majority leader and in November of 2008, he was voted Speaker of the House.

A resident of Santa Clara, Clark and his wife and high school sweetheart, Nan Nielsen Clark, have four children and 10 grandchildren. He received his Bachelor's of Science Degree from Brigham Young University where he played football under legendary coach LaVell Edwards. In addition, he also holds degrees from the National Commercial Lenders Graduate School and the Pacific Coast School of Banking. In 2010, Clark served as DSU's 99th Commencement speaker and was awarded an honorary Doctor of Humanities degree as part of the ceremony.

### **Kelli Grygla Prince**

Kelli Grygla Prince was voted in as DSU Alumni President and began her two-year tenure in June 2018, though her service on the alumni board dates back to 2013. Her last year has been spent as the Vice President of Special Events, with a focus on bringing the community closer to Dixie State University. That year's service culminated in the successful event Evening of Dixie, an event that honored distinguished alumni.

Kelli graduated from Dixie State College in 1994 and finished her education at the University of Utah in 1997 while pregnant with her first child. Since then, she has had four more children and dedicated her time and energy to their education by volunteering in their classrooms and serving as the health chair coordinating vision exams and maturation instruction. Kelli's other community services have extended to being a young women's president for The Church of Jesus Christ of Latter-Day Saints for three years and an ambassador for Red Rock cycling company.

When not serving in the classroom or the community, Kelli can be found on her bicycle, training for various races in the Mountain West, or swimming and hiking with her husband and children.

## **Colleen Kvetko**

Colleen Kvetko was appointed to the Board of Trustees in 2018. She moved to St. George in 2015 after retiring from the banking industry. Ms. Kvetko and her husband Kirk grew up in the Cleveland area before moving to Cincinnati, Ohio, and Naples, Florida. She is a seasoned banking executive with more than 40 years of experience in the industry. In Naples, Florida, Ms. Kvetko was President, CEO and Chairman of Fifth Third Bank; President and CEO of a local community bank, Shamrock Bank; and is currently a Bank Director for First Florida Integrity Bank. She was named by the America Banker Magazine as one of the "Twenty-Five Most Powerful Women in Banking", ranked tenth in 2004 and fifth in 2005.

Ms Kvetko has always given her time and talent to the community organizations including the YMCA, Chamber of Commerce, Economic Development, Naples Daily News Advisory Board, Florida Bankers Association, Sheriff Advisory Committee, Hodges University Board of Trustees, and Ave Maria University Board of Trustees, to name a few. Ms Kvetko is currently on the Board of Directors of First Florida Integrity Bank in Naples, Florida; the Board for PAWS in Heber City/Midway, Utah; and is a volunteer at Snow Canyon State Park in Ivins, Utah. She has been married to Kirk for 40 years and they reside in St George, Utah.



## **Duff Thompson, Chair**

Duff Thompson was appointed a member of the UVU Board of Trustees in July of 2013. For the past 19 years, Mr. Thompson has been a Managing General Partner of EsNet Ltd., a Utah based private investment firm. Before participating in the founding of EsNet, Ltd., he was Sr. Vice President of Business Development and Strategic Relations at Novell. The relationship with Novell was a result of Novell's purchase of WordPerfect Corporation, where he served as Executive Vice President and General Counsel. Prior to joining WordPerfect Corporation, he was a partner in the law firm of Callister, Nebeker and McCullough in Salt Lake City. He holds a bachelors degree in Economics and an MBA from Brigham Young University and received a Juris Doctorate degree from Brigham Young University's J. Reuben Clark Law School (1981).

Over the past twenty years, Duff has served on a number of corporate boards (both public and private) and currently serves on the board of Qualtrics, LLC, where he is Chairman. In addition to the Qualtrics board, he sits on the boards of Remedy Informatics and Cypher, LLC, two Utah based technology companies.

Duff's long association with the software industry includes participating in the board of the Software Publishers Association, and in the creation of the Business Software Alliance, where he participated on the board and filled a term as Chairman.

Thompson was raised in Pocatello, Idaho, but has been a long-time resident of Utah. He is married to Sharleen; they are the parents of seven sons, and the grandparents of 16 (soon to be 18) grandchildren.

## **Jack Sunderlage**

Jack Sunderlage was appointed a member of the UVU Board of Trustees July 2015. He previously served as the Chair of the President's National Advisory Board at UVU in 2014 and 2015. Jack is the retired CEO of ContentWatch, an Internet management software and services company. Under his leadership for five years ContentWatch grew over 600% in revenue and distributed its software in 157 countries. Prior to ContentWatch, Jack enjoyed a long and successful career with several leading companies in the Information Technology industry. He held key sales and marketing executive positions with Burroughs, UNISYS, Digital Equipment, Compaq Computer and Hewlett-Packard. His last assignment was Vice President of Global Accounts, West Region.

Jack is the past chairman of the board of trustees for the Utah Technology Council, founding chairman of the board of directors for the World Trade Center Utah and was appointed to the Utah Science Technology and Research (USTAR ) governing authority for the State of Utah. Jack is a past recipient of the Utah Governor's Medal for Science and Technology. He has also been recognized by Utah Business Magazine

as one of The 100 Most Influential People in Utah and by Connect Magazine as one of The 25 People Who Most Influenced Business in Utah.

Other community affiliations have included the National Advisory Council for the Marriott School of Management at BYU, the Engineering National Advisory Council for the College of Engineering at the University of Utah and the MBA Advisory Board for the Gore School of Management at Westminster College.

His bachelor's Degree in Business Administration and Economics is from Cornell College of Iowa. Executive Education included leadership coursework at Babson College, Wellesley, Massachusetts. Jack met his wife Jean at Cornell. They have four children and sixteen grandchildren.

### **Paul Thompson**

Paul Thompson, Ph.D., was appointed to the UVU Board of Trustees July 2017. Dr. Thompson served as president of Weber State University from 1990 to 2002. Following his service at Weber State he served as president of the Massachusetts Boston Mission of the LDS Church, and he has since served as a counselor in the Boston Temple presidency.

Dr. Thompson received a Doctorate in Business Administration from Harvard University in 1969. From 1969 to 1973, he was an assistant professor at the Harvard Business School. He began work at Brigham Young University in 1973, serving there as professor of Organizational Behavior, chairman of the Department of Organizational Behavior, Dean of the Marriott School of Management, and Vice President of Development and University Relations.

Dr. Thompson is co-author of two books - Novations: Strategies for Career Management and Organization and People: Readings, Cases, and Exercises in Organizational Behavior. He has had articles appearing in Harvard Business Review, Research Management, Management Review, and Organizational Dynamics.

Dr. Thompson and his wife, Carolyn, are the parents of six children, five daughters and one son. They are also grandparents to 29 grandchildren.

### **John N. Gardner**

John N. Gardner was appointed to the UVU Audit Committee in 2017. He has been a resident of Orem since 1986 living just three blocks north of the UVU campus. He is a retired certified public accountant, and holds a bachelor's degree in Accounting and MBA both from Brigham Young University.

He was employed in public accounting for the first 9 years of his career. He joined the BYU Development Office (now LDS Philanthropies) as a field representative specializing in charitable gifts as part of estate planning.

After 5 years he was employed by Brigham Young University working in Financial Services as an accountant over Auxiliary Services. For the final 15 years at BYU he supervised the gifts and endowments

department of Financial Services. At BYU he was responsible for all tax preparation and reporting for the university.

He served as Chairman of the Board of Electrical Wholesale Supply of Utah, Inc. from 1988 until 2013 when the business was sold. He and his wife, Karen, are the parents of nine children and grandparents of 21 +. Two of his four sons attended UVSC--now Utah Valley University.



### **Jim M. Wall, Chair**

Jim M. Wall served as Publisher of Deseret News Publishing Company, Inc. from 2000 until 2010. Prior to that, Mr. Wall served as Executive Vice President and General Manager of the Denver Post. His career has been spent in many positions in the newspaper industry. Wall has been active in each of the communities where he has lived and worked, including The Church of Jesus Christ of Latter-day Saints, executive board positions with the United Way, local chambers of commerce, community economic development, college boards of trustees, Boy Scouts of America, theater, opera, and symphony boards and charitable organizations. He is a constant presence in the community and has participated on more than 20 Utah boards and committees.

In 2004, Wall was honored as the American Heart Association's "Heart of Utah" recipient. He attended Washington State University for one year and later graduated from Brigham Young University with a degree in communications in 1972.

### **Clint Ensign**

Clint Ensign serves as Senior Vice President for the Sinclair Oil Corporation where he has worked since 1984. He oversees government relations and represents The Sinclair Companies before the federal government in Washington, D.C., and state and local governments in the western United States. Ensign also handles other external corporate affairs responsibilities for the petroleum, hospitality, resort, and ranching interests of Sinclair.

In 1994, Clint authored *Inscriptions of a Nation*, a compilation of the inspiring quotations found on the major historic memorials and public buildings in Washington, D.C., which was selected as "Editor's Choice" by the *American Heritage* magazine. He received a Masters of Business Administration degree from the University of Utah, a Bachelor of Science degree in Finance from Brigham Young University, and has done graduate studies at Georgetown University and at Bowling Green State University. He and his wife Cindy are the parents of four children.

Clint has served on the SLCC Board of Trustees since 2011, serving as Vice Chair from 2014-2017. He has led fundraising efforts for the College by chairing the Gail Miller Utah Leadership Cup tournament for five years. Clint also serves on the Public Policy Committee of the Association for Community College Trustees.

### **Brady Southwick**

Brady Southwick is the Senior Vice President of Field Operations at Vivint Smart Home. Before joining Vivint, Brady served as the President of Cummins Rocky Mountain, a \$400 million business that employs over 900 people, spanning nine Western states and the mining business in Central America. He was a key player in the development of the Diesel Technology Pathway program linking high school students with workforce training, SLCC, and a career in the industry. Prior to serving as President, he held numerous leadership positions within Cummins Inc. in Africa, Singapore and Beijing, China.

Brady holds a Bachelor's Degree in Political Science from Brigham Young University. He received master's degrees in Business Administration and Public Administration from Harvard University. Brady and his wife Kristen are the proud parents of four children.

Brady was appointed to serve a four-year term on the Salt Lake Community College Board of Trustees in 2017.

### **Roland K Brimley**

Licensed Certified Public Accountant (CPA) since 1984, with experience in bank auditing, small business and government auditing, as well as individual, partnership and corporate income taxes. Member of the audit committee of Salt Lake Community College since 2008

Voluntary treasurer since 2011 for Friends of Gilgal Garden, a non-profit organization dedicated to protecting Gilgal Garden's monuments and statues as a Salt Lake City Park  
BS degree from the University of Utah, 1984



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Tuition and Student Aid Scope Approval

Issue

The Finance and Facilities committee of the Board of Regents has been assigned to serve as the steering committee for the Board's strategic initiative focused on tuition and student aid policies. The Board is asked to review and take action on the final scope of work document associated with the Board's Tuition and Student Aid policy study.

Background

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

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

Over the course of the last few months, the Commissioner's staff has worked with institutional representatives including Presidents, Business Vice Presidents, Student Financial Aid Officers, and Enrollment Management and Admissions Officers to develop a scope of work document to guide the work of the Kem C. Gardner Institute.

The currently proposed study will address the following three actions:

1. Conduct a tuition and student aid policy baseline assessment;
2. Identify the value of nonresident students to the USHE institutions and state of Utah; and
3. Identify potential options for the Board to consider when defining affordability and appropriate system metrics.

Commissioner's Recommendation

The Commissioner recommends the Regents review and approve the scope of work document for the Board's tuition and student aid study as outlined by the Kem C. Gardner Institute.

---

David L. Buhler  
Commissioner of Higher Education

DLB/KLH  
Attachments

**Proposal to Conduct Research  
For the Utah System of Higher Education  
October 8, 2018**

## **Objective**

The Kem C. Gardner Policy Institute will assess system-wide tuition and student aid policies, evaluate the net value of nonresident students, and contemplate affordability. This research will inform the Utah System of Higher Education (USHE) decision-makers as they consider potential policy modifications and enhancements.

## **Action Items**

### *Tuition and State Aid Policy Baseline Assessment*

General tuition and aid policies, practices, and even terminology vary among Utah's public colleges and universities. We will catalogue current policies and practices for each of the eight USHE institutions, identifying both opportunities for systemization and justifications for certain variances. We will also propose a common terminology for tuition and aid.

In addition to assessing the current landscape of tuition and aid for USHE institutions, we will study tuition policies and practices of selected higher education systems in other states and conduct a brief academic literature review to identify any best practices.

### *Value of Nonresident Students*

We will apply a traditional economic impact analysis framework to assess the economic benefits of students who come to USHE institutions from outside of Utah and of those who remain in Utah after graduation. To do this, we will first evaluate the feasibility of using existing data from the institutions and other sources to estimate the direct in-state expenditures of these students. If these data sources are sufficient for estimating in-state expenditures, we will calibrate and run an economic model to assess total impacts. If the data sources are insufficient, we may need to expand the scope and budget of this proposal to include surveying of nonresident students.

We will review selected economic literature to identify those benefits and costs associated with nonresident students at public universities that are not easily quantified.

### *Measuring College Affordability*

We will conduct a review of academic literature and other sources to identify potential options for defining college affordability. We will then use existing demographic and economic data to demonstrate how these options would apply to Utah's institutions and develop a proposal for more refined research.

## **Deliverables**

For each deliverable, the client should provide any feedback, in writing, within two weeks of the delivery of each draft. The Gardner Policy Institute will deliver a final electronic publication of each deliverable four weeks after delivery of the initial draft (client requests for substantive changes may require more time).

### Technical Memoranda

The Gardner Policy Institute will deliver three technical memoranda, each containing a detailed analysis of an action item. A technical memorandum concisely summarizes results of an analysis for an informed internal audience (i.e. less context is provided than would be for a more general audience).

- On or before April 1, 2019 we will deliver an electronic draft of the Tuition and State Aid Policy Baseline Assessment Technical Memorandum.
- On or before April 1, 2019 we will deliver an electronic draft of the Value of Nonresident Students Technical Memorandum.
- On or before June 28, 2019 we will deliver an electronic draft of the Measuring College Affordability Technical Memorandum.

### Comprehensive Report

On or before July 29, 2019 the Gardner Policy Institute will deliver an electronic draft of a comprehensive report that includes all of the research in this proposal and an executive summary.

### Presentation of Results

Juliette Tennert, Director of Economic and Public Policy Research, and Angela Oh, Senior Managing Economist, will be available for presentation of the results after completion of technical memoranda. We ask that the presenters are given notice at least 20 days in advance for adequate preparation.

## **Client Responsibilities**

Our research is contingent upon the cooperation of all USHE institutions. The client will identify point-people at each institution to support the collection of data and other information.

Delays in communication with Gardner Policy Institute analysts or information requests may delay the delivery of final products and require an amendment to the contract.

## **Key Personnel**

Angela Oh will serve as the Lead Analyst in fulfilling this scope of work and will be primary point of contact for day-to-day project execution. Juliette Tennert will serve as the Principal Investigator, advising on and reviewing methodology and results. In addition to Angela and Juliette, other Gardner Policy Institute analysts will contribute to this project. Meredith King will serve as the research coordinator.

All amendments to the contract, including changes to the scope of work and deliverable dates, and administrative and budget inquiries should be coordinated through Meredith King.

INFORMED DECISIONS™

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Kem C. Gardner Policy Institute | 411 East South Temple Street, Salt Lake City, Utah 84111 | 801-585-5618 | [gardner.utah.edu](http://gardner.utah.edu)

DAVID ECCLES SCHOOL OF BUSINESS

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: University of Utah – Trustee Property Action

Issue

As required by Regent Policy R703, *Acquisition of Real Property* the University of Utah is notifying the Board that its Board of Trustees approved the disposal of 10.75 acres of vacant land at the October 2018 meeting.

Background

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

During the October 9, 2018 meeting, the University of Utah Board of Trustees approved the disposal of 10.75 acres of gifted property located on a mountainside east of Beck Street in Salt Lake City. The property does not have legal access or close proximity to utilities. The University sold the property for the appraised value of \$30,000. The attached letter from the University provides additional details on the Board of Trustee action including the appraisal and a map and fulfills the requirement of the Regent policy.

Commissioner's Recommendation

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

---

David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachment

October 19, 2018

Mr. David Buhler  
Commissioner  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Dear Commissioner Buhler:

The University of Utah would like to notify the Board of Regents' at their next meeting of the following sales of donated or gifted property:

1. 10.75 acres located at approximately 400 West 1400 North in Salt Lake City, Utah
  - a. Gifted to the University by Paula M. Swaner, Charlotte Marilyn Margetts Stewart, and the Catherine M. and Donald C. Marelius Trust.
  - b. Sold for \$30,000.
  - c. Appraised for \$30,000.

Thanks, as always, for your consideration and support.

Sincerely,

  
Patricia A. Ross  
Chief Business Strategy Officer

c: Dr. Ruth V. Watkins  
Dr. Kimberly Henrie  
Jonathon Bates



222 South Main St., 4th Fl  
Salt Lake City, UT 84101

T 801-930-6107

www.cbre.com

February 15, 2018

Jonathon Bates, CPM  
Executive Director - Real Estate Administration  
UNIVERSITY OF UTAH  
505 Wakara Way, Suite 210  
Salt Lake City, Utah 84108

RE: Appraisal of Vacant Land  
400 West 1400 North  
Salt Lake City, Salt Lake County, Utah  
CBRE, Inc. File No. 18-271PH-0305-1

Dear Mr. Bates:

At your request and authorization, CBRE, Inc. has prepared an appraisal of the market value of the referenced property. Our analysis is presented in the following Appraisal Report.

The subject is 10.75 acres of vacant land located at approximately 400 West 1400 North in Salt Lake City, Utah. The subject has steep sloping topography with no legal access or utilities. Physical access to the site is via a footpath from Sandhurst Drive, approximately 0.75 miles to the southeast.

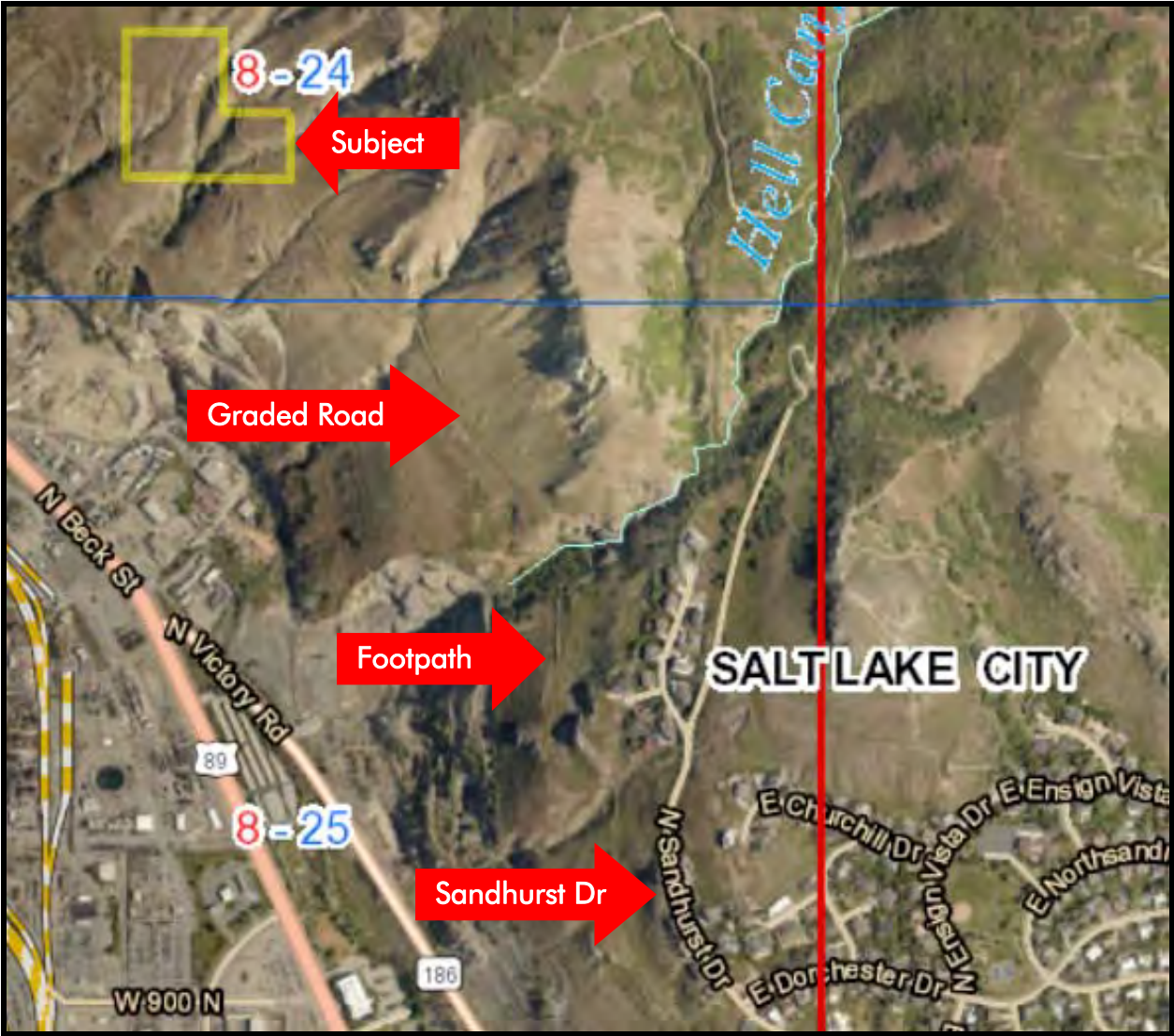
Based on the analysis contained in the following report, the market value of the subject is concluded as follows:

| <b>MARKET VALUE CONCLUSION</b> |                           |                      |                         |
|--------------------------------|---------------------------|----------------------|-------------------------|
| <b>Appraisal Premise</b>       | <b>Interest Appraised</b> | <b>Date of Value</b> | <b>Value Conclusion</b> |
| As Is                          | Fee Simple Estate         | February 12, 2018    | \$30,000                |
| Compiled by CBRE               |                           |                      |                         |

The report, in its entirety, including all assumptions and limiting conditions, is an integral part of, and inseparable from, this letter.

The following appraisal sets forth the most pertinent data gathered, the techniques employed, and the reasoning leading to the opinion of value. The analyses, opinions and conclusions were developed based on, and this report has been prepared in conformance with, the guidelines and recommendations set forth in the Uniform Standards of Professional Appraisal Practice (USPAP), and the requirements of the Code of Professional Ethics and Standards of Professional Appraisal Practice of the Appraisal Institute. It also conforms to Title XI Regulations and the Financial





November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Certification for State's Moral Obligation Pledge

Issue

Utah Code 53B-21-102(1)(c) requires the Chair of the Board of Regents to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. All USHE institutions confirm that they have sufficient financial resources to make all debt service payments for calendar year 2019.

Background

The state legislature authorizes the Board of Regents to issue bonds for USHE institutions to finance buildings based on revenues pledged from the operation of buildings, student fees, or proprietary activities. Revenue bonds issued by the Board are not indebtedness of the State of Utah, but are secured by a pledge known as a "moral obligation" that the state may intercede to appropriate funds if a USHE institution cannot pay debt service obligations.

The statutory moral obligation requires the Chair of the Board of Regents to certify to the Governor whether any USHE institution requires assistance to meet debt service obligations or restore a shortfall in a debt service reserve fund. The Governor is not obligated to include the debt service in the Governor's budget recommendations nor is the state legislature obligated to appropriate funds to cover the shortfall. The moral obligation allows USHE to receive a higher credit rating based on the state's "AAA" credit and thereby issue bonds at lower interest rates.

For the calendar year 2019 all eight USHE institutions with outstanding revenue bond debt certify in the attached letters to the Commissioner that they have sufficient revenue to pay principal and interest payments and that all debt service reserve funds are fully funded and will not need any additional legislative appropriations. The Chair of the Board will not need to make a certification to the Governor for 2019.

Commissioner's Recommendation

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

---

David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachments

November 1, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

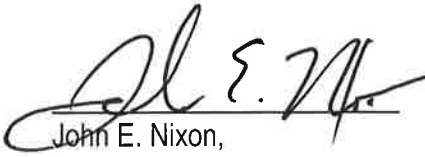
Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

The University of Utah hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the University of Utah are fully funded as required by the related authorizing proceedings and therefore the University of Utah will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. The University of Utah also hereby acknowledges and confirms that the University of Utah has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for the University of Utah for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

  
Cathy Anderson,  
Chief Financial Officer

  
John E. Nixon,  
Vice President for Administrative Services



November 1, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Utah State University hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the University are fully funded as required by the related authorizing proceedings and therefore the University will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Utah State University also hereby acknowledges and confirms that the University has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for Utah State University for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

David T. Cowley  
Vice President  
for Business & Finance





# WEBER STATE UNIVERSITY

November 1, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Weber State University hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the University are fully funded as required by the related authorizing proceedings and therefore the University will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Weber State University also hereby acknowledges and confirms that the University has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for Weber State University for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

A handwritten signature in black ink, appearing to read 'Steven E. Nabor'.

Steven E. Nabor, C.P.A.  
Chief Financial Officer



A Mitchell Bealer  
Assistant Vice President for Finance  
351 West University Blvd.  
Cedar City, UT 84720  
(435) 586-7723

October 17, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Southern Utah University hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the University are fully funded as required by the related authorizing proceedings and therefore the University will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Southern Utah University also hereby acknowledges and confirms that the University has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for Southern Utah University for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

A handwritten signature in cursive script that reads "A. Mitchell Bealer".

A Mitchell Bealer  
Assistant VP for Finance



# SNOW COLLEGE

OFFICE OF FINANCE AND ADMINISTRATIVE SERVICES

November 1, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Snow College hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the College are fully funded as required by the related authorizing proceedings and therefore the College will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Snow College also hereby acknowledges and confirms that the College has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for Snow College for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

Jake Dettinger  
V.P. Finance & Administrative Services



November 1, 2018

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

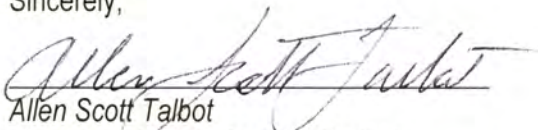
Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Dixie State University hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the University are fully funded as required by the related authorizing proceedings and therefore the University will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Dixie State University also hereby acknowledges and confirms that the University has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for Dixie State University for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,



Allen Scott Talbot  
Vice-President for Special Projects  
Dixie State University



UTAH VALLEY UNIVERSITY

VICE PRESIDENT FOR FINANCE & ADMINISTRATION

November 1, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Utah Valley University hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of Utah Valley University are fully funded as required by the related authorizing proceedings and therefore Utah Valley University will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Utah Valley University also hereby acknowledges and confirms that Utah Valley University has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for [USHE Institution] for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

Val Peterson





October 16, 2018

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

Subject: 2019 Certification for the State's Moral Obligation Pledge

Dear Commissioner Buhler:

Revenue bonds issued by the State Board of Regents on behalf of the institutions are not indebtedness of the State of Utah. However, U.C.A. 53B-21-102(1)(c) requires the Chair of the Board to certify annually by December 1 any amount required to restore debt service reserve funds or to meet projected shortfalls of principal or interest for the coming year. Based on the Chair's certification, the Governor may request a legislative appropriation to restore the debt service reserve fund or meet a projected principal or interest payment deficiency.

Salt Lake Community College hereby acknowledges and confirms that the debt service reserve funds established for bonds issued by the State Board of Regents on behalf of the College are fully funded as required by the related authorizing proceedings and therefore the College will not need any legislative appropriations to restore any debt service reserve funds established for such bonds. Salt Lake Community College also hereby acknowledges and confirms that the College has sufficient revenue projected for calendar year 2019 (January 1, 2019 to December 31, 2019) necessary to pay the required principal and interest payments for bonds issued by the State Board of Regents for calendar year 2019. The Board of Regents will not need to certify to the Governor any amount needed for Salt Lake Community College for purposes of U.C.A. 53B-21-102(1)(c) for calendar year 2019.

Sincerely,

A handwritten signature in black ink, appearing to read "D. R. Klaus", written over a horizontal line.

Dennis R. Klaus  
Vice President for Finance and Administration, CFO

cc: Debra Glenn  
Travis Kartchner

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: USHE – Annual Institutional Residences Expense Report

Issue

Regent Policy R207, *Institutional Residences for Colleges and Universities in the Utah System of Higher Education* requires USHE institutions to submit an annual report summarizing the actual and budgeted expenses, as approved by the institution's respective Board of Trustees, for institutional residences.

Background

The Board has asked for an annual report summarizing the actual and budgeted expenses associated with institutional residences, including: maintenance costs, custodial and domestic assistance, and insurance.

This report is used not only to inform the Board about institutional residence expenditures but also to help Boards of Trustees and institutions monitor and maintain appropriate internal controls; ensure that institutional residence budgets and expenses are reviewed and approved annually; and provide transparency regarding the facility's operation and maintenance costs.

The attached report summarizes the approved budget and expenditures for each institutional residence for the past three fiscal years. Footnotes have been added to describe the following: any significant change from prior years; any significant variances between the budgeted and actual expenditures; and/or any significant capital improvements to the residence.

Commissioner's Recommendation

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

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/BLS  
Attachment

# Utah System of Higher Education

## *Institutional Residences Operation and Maintenance Report*

*FY 2016-2019*

|                    | 2015-16   |           | 2016-17   |           | 2017-18    |            | 2018-19    | Source of Funds    | Square Footage |
|--------------------|-----------|-----------|-----------|-----------|------------|------------|------------|--------------------|----------------|
|                    | Budget    | Actual    | Budget    | Actual    | Budget     | Actual     | Budget     |                    |                |
| UU                 | \$ 64,100 | \$ 57,203 | \$ 65,100 | \$ 56,646 | \$ 66,260  | \$ 56,094  | \$ 66,400  | Discretionary      | 8,803          |
| USU <sup>1</sup>   | \$ 72,000 | \$ 51,263 | \$ 72,000 | \$ 72,000 | \$ 72,000  | \$ 72,000  | \$ 254,625 | E&G, Discretionary | 12,403         |
| WSU <sup>2</sup>   | \$ 28,300 | \$ 21,209 | \$ 28,300 | \$ 21,237 | \$ 28,300  | \$ 22,068  | \$ 28,300  | E&G                | -              |
| SUU <sup>3</sup>   | \$ 83,000 | \$ 46,104 | \$ 92,000 | \$ 52,917 | \$ 42,000  | \$ 30,033  | \$ 289,999 | E&G, Descretionary | 11,314         |
| Snow               | \$ 10,900 | \$ 8,186  | \$ 12,000 | \$ 3,503  | \$ 10,100  | \$ 7,026   | \$ 10,100  | E&G                | 6,128          |
| DSU <sup>4</sup>   | \$ 72,000 | \$ 20,476 | \$ 34,000 | \$ 15,709 | \$ 28,500  | \$ 111,472 | \$ 152,000 | E&G, Auxiliary     | 5,246          |
| UVU <sup>2,5</sup> | \$ 40,940 | \$ 21,468 | \$ 41,100 | \$ 39,361 | \$ 116,500 | \$ 19,824  | \$ 21,300  | E&G                | -              |
| SLCC <sup>2</sup>  | \$ 24,370 | \$ 24,370 | \$ 20,000 | \$ 20,000 | \$ 21,300  | \$ 21,300  | \$ 21,300  | Discretionary      | -              |

Notes: Board Policy R207 provides for institutional coverage of expenses for maintenance, repair, utilities, insurance, and domestic assistance serving institutional purposes. Policy requires annual reports for the previous year's actual expenses and the current year's budget, as summarized in the table above.

<sup>1</sup>USU - FY19 budget includes \$182,625 for basement remodel using discretionary funds.

<sup>2</sup>WSU, UVU, SLCC - amounts reflect housing allowance and institutional functions.

<sup>3</sup>SUU - remodel of newly purchased home during FY19 of \$249,000 with discretionary funds; remodel of current residence to Child & Family Development Center funded from private donations.

<sup>4</sup>DSU - remodel project was started in FY18 to replace the 24 year-old kitchen (original to construction) and simultaneously remodel the dining and living space to better accommodate group meetings and donor events. The remainder of this project will be completed in FY19. Remodeling project was funded by auxiliary reserves.

<sup>5</sup>UVU - May 2018 Board of Regents approved repurposing the institutional residence to an Alumni house effective 7/1/2018, with the new president to receive a housing allowance.



October 30, 2018

Commissioner David L. Buhler  
Utah State Board of Regents  
Board of Regents Building, The Gateway  
60 South 400 West  
Salt Lake City, Utah 84101-1284

Subject: Reporting of Enhancements to Utah State University's Institutional Residence

Dear Commissioner Buhler:

Utah Board of Regents policy R207, Institutional Residences for Colleges and Universities in the Utah System of Higher Education authorizes the Boards of Trustees to approve and oversee capital enhancements of institutional residences provided that the cost of the enhancements do not exceed \$200,000 and no state-appropriated funds are used. When exercising this provision of the policy, institutions are required to report this information at the next regularly scheduled meeting.

Utah State University desires to finish the basement of the institutional residence to include a theater room, game room, and restroom. The finished space will be used by the President when hosting students. Utah State University Facilities has provided an estimate for the work and intends to perform the work in-house. The estimated total project cost including construction, furnishings, AV, and contingency is \$182,625 and will be funded with President's discretionary funds. The Board of Trustees has approved the project and funding as described above.

Please provide this information item to the Board of Regents at the November 16, 2018 meeting.

As always, we appreciate your ongoing support of Utah State University.

Sincerely,

David T. Cowley  
Vice President for  
Business and Finance

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

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Annual Report on Leased Space

Issue

Regent Policy R710, *Capital Facilities* requires that the Commissioner provide the Board with an annual report on leased space for the USHE system. A summary of this report will also be submitted to DFCM and the State Building Board for inclusion in the *Five-year Building Program* document.

Background

Each USHE institution submitted a detailed list of leased spaces currently under contract (with the exception of Snow College that does not currently have leased space). This information has been summarized in the following table:

| Institution                 | Leases     | New Leases | Square Feet      | Rent                |
|-----------------------------|------------|------------|------------------|---------------------|
| University of Utah          | 48         | 6          | 258,513          | \$3,252,737         |
| Univ. of Utah Healthcare    | 87         | 7          | 884,116          | \$18,557,075        |
| Utah State University       | 29         | 4          | 154,050          | \$689,901           |
| Weber State University      | 6          | 0          | 85,869           | \$450,519           |
| Southern Utah University    | 19         | 0          | 158,341          | \$882,129           |
| Snow College                | 0          | 0          | 0                | \$0                 |
| Dixie State University      | 1          | 0          | 15,000           | \$50,000            |
| Utah Valley University      | 4          | 0          | 13,700           | \$409,363           |
| Salt Lake Community College | 8          | 0          | 133,374          | \$1,535,050         |
| <b>Total</b>                | <b>202</b> | <b>17</b>  | <b>1,702,963</b> | <b>\$25,826,773</b> |

As requested by the Board, staff has highlighted the significant changes from the prior year's report which include:

- University of Utah – the addition of a lease to expand the Education@Work program authorized by the Board in the January 2018 meeting; the addition of a healthcare administration lease authorized in the March 2017 Board meeting, and the addition of five clinical leases.

- Utah State University – the elimination of two leases totaling \$815,756 for the regional campus in Salt Lake County that was purchased through bonds approved by the Board in the January 2018 meeting.
- Dixie State University – the elimination of a \$107,782 lease for office space.

A more detailed summary showing the sources of funding for the leases is attached for your information. A listing of all leases, which includes additional detail about each of the institutional leases, is on file in the Office of the Commissioner.

Commissioner's Recommendation

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

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/RPA  
Attachments



Utah System Of Higher Education

Annual Leased Space Report - 2018

For the Period from July 1, 2017 to June 30, 2018

| Location  | # of Leases | New Lease | Gross Sq. Ft.    | Average Cost Per Sq. Ft. | Annual Lease Payment | Source of Funding | Type of Space         |
|---|-------------|-----------|------------------|--------------------------|----------------------|-------------------|-----------------------|
| <b>University of Utah</b>                               |             |           |                  |                          |                      |                   |                       |
| <b>Building Leases:</b>                                 |             |           |                  |                          |                      |                   |                       |
| Residential, Various Locations                          | 13          | 3         | 13,223           | \$ 15.37                 | \$ 203,256           | State/Other       | Residential           |
| Washington D.C., Hinkley Institute Apartments           | 7           |           | 7,910            | \$ 28.96                 | \$ 229,044           | Other             | Residential           |
| Murray, Reading Clinic                                  | 1           |           | 9,618            | \$ 16.93                 | \$ 162,811           | Other             | Classroom             |
| Continuing Education, Various Locations                 | 3           |           | 33,226           | \$ 23.06                 | \$ 766,204           | State             | Classroom             |
| Campus Store for Continuing Education, Sandy            | 1           |           | 3,942            | \$ 23.15                 | \$ 91,250            | Other             | Retail/Non-assignable |
| Business School and Education@Work Program              | 2           | 1         | 31,354           | \$ 17.00                 | \$ 532,885           | Other             | Office                |
| Technology Venture Communications                       | 1           |           | 8,274            | \$ 25.50                 | \$ 210,984           | Other             | Office                |
| <i>Subtotal University Operations Leases</i>            | <i>28</i>   | <i>4</i>  | <i>107,547</i>   | <i>\$ 20.42</i>          | <i>\$ 2,196,433</i>  |                   |                       |
| Healthcare - Residential Facilities, Various Locations  | 2           |           | 50,952           | \$ 13.70                 | \$ 698,018           | Clinical          | Residential           |
| Healthcare - AirMed, Various Locations                  | 12          |           | 110,577          | \$ 2.21                  | \$ 243,987           | Clinical          | Hanger/Residential    |
| Healthcare - Primary Children's Hospital                | 9           |           | 70,928           | \$ 27.56                 | \$ 1,954,532         | Clinical          | Clinical              |
| Healthcare - Dialysis Centers, Various Locations        | 15          |           | 101,300          | \$ 21.76                 | \$ 2,204,360         | Clinical          | Clinical              |
| Healthcare - Clinics, Various locations                 | 29          | 5         | 183,797          | \$ 26.47                 | \$ 4,865,995         | Clinical          | Clinical              |
| Healthcare - Clinical Research and Admin, Research Park | 17          |           | 154,688          | \$ 25.11                 | \$ 3,883,920         | Clinical          | Office/Laboratory     |
| Healthcare - Administrative Operations                  | 3           | 2         | 211,874          | \$ 22.21                 | \$ 4,706,263         | Clinical          | Office                |
| <i>Subtotal Healthcare Leases</i>                       | <i>87</i>   | <i>7</i>  | <i>884,116</i>   | <i>\$ 20.99</i>          | <i>\$ 18,557,075</i> |                   |                       |
| <b>Land and Storage Leases:</b>                         |             |           |                  |                          |                      |                   |                       |
| Storage, Various locations                              | 7           |           | 67,902           | \$ 7.24                  | \$ 491,801           | State/Other       | Storage               |
| KUER/KUED Communication/Transmitter Sites               | 11          | 2         | 83,064           | \$ 1.51                  | \$ 125,512           | Other             | Ground                |
| Parking Leases, Salt Lake City                          | 2           |           | N/A              |                          | \$ 438,991           | Other             | Parking               |
| <i>Subtotal Land and Storage Leases</i>                 | <i>20</i>   | <i>2</i>  | <i>150,966</i>   |                          | <i>\$ 1,056,304</i>  |                   |                       |
| <b>TOTAL - UU</b>                                       | <b>135</b>  | <b>13</b> | <b>1,142,629</b> | <b>\$ 20.93</b>          | <b>\$ 21,809,812</b> |                   |                       |

| Location | # of Leases | New Lease | Gross Sq. Ft. | Average Cost Per Sq. Ft. | Annual Lease Payment | Source of Funding | Type of Space |
|----------|-------------|-----------|---------------|--------------------------|----------------------|-------------------|---------------|
|----------|-------------|-----------|---------------|--------------------------|----------------------|-------------------|---------------|

| Utah State University   |           |          |                |                |                   |             |                              |
|---|-----------|----------|----------------|----------------|-------------------|-------------|------------------------------|
| Building Leases:  |           |          |                |                |                   |             |                              |
| Apartments for Student Interns, Washington D.C.               | 4         |          | 5,731          | \$ 25.44       | \$ 145,768        | Other       | Residential                  |
| Cache County 4-H, Bridgerland Tech, Logan                     | 1         | 1        | 2,741          | \$ 0.00        | \$ 1              | Grant/Other | Classroom/Office             |
| Center Persons w. Disabilities - Early Intervention, Various  | 4         |          | 6,203          | \$ 7.14        | \$ 44,271         | Grant/Other | Classroom/Office             |
| Center Persons w. Disabilities - Assistive Technology, Vernal | 1         | 1        | 1,940          | \$ 5.88        | \$ 11,400         | Grant       | Office/Other                 |
| CTE Program-Trucking & Hvy. Equip. Operations, Blanding       | 1         |          | 56,628         | \$ 0.12        | \$ 7,045          | State       | Classroom/Office             |
| Development Office, Salt Lake City                            | 1         |          | 2,305          | \$ 5.93        | \$ 13,680         | Other       | Office/Other                 |
| Life Span Learning Centers, Brigham City                      | 4         |          | 49,474         | \$ 4.79        | \$ 237,201        | State/Other | Classroom/Office/Lab/Storage |
| Montezuma Creek Seminary Building, Blanding                   | 1         |          | 2,354          | \$ 2.55        | \$ 6,000          | State       | Classroom/Office             |
| Nursing Program, Various Locations                            | 4         | 2        | 6,151          | \$ 1.46        | \$ 9,000          | Other       | Office                       |
| Regional Campus, Orem/Provo                                   | 1         |          | 3,507          | \$ 16.69       | \$ 58,544         | Other       | Classroom/Office             |
| Regional Campus, Salt Lake City                               | 1         |          | 853            | \$ 12.00       | \$ 10,236         | Other       | Classroom/Office             |
| Small Business Development Center, Logan                      | 1         |          | 1,281          | \$ 11.26       | \$ 14,424         | Other       | Classroom/Office             |
| USU Commercialization & Regional Development, Logan           | 1         |          | 5,000          | \$ 13.51       | \$ 67,531         | Other       | Office/Research              |
| Utah Conservation Corps Program, Various                      | 3         |          | 7,094          | \$ 6.09        | \$ 43,200         | Other       | Office/Other                 |
| UT Academic and Institutional Services, Nephi                 | 1         |          | 2,788          | \$ 7.75        | \$ 21,600         | Other       | Classroom/Office             |
| <b>TOTAL - USU</b>  | <b>29</b> | <b>4</b> | <b>154,050</b> | <b>\$ 4.48</b> | <b>\$ 689,901</b> |             |                              |

| Weber State University                            |          |          |               |                |                   |       |                  |
|---|----------|----------|---------------|----------------|-------------------|-------|------------------|
| Building Leases:                                  |          |          |               |                |                   |       |                  |
| Continuing Education - Startup Ogden              | 1        |          | 27,000        | \$ 0.00        | \$ 10             | State | Classroom/Office |
| Continuing Education - United Way Building, Ogden | 1        |          | 4,461         | \$ 8.04        | \$ 40,060         | State | Classroom/Office |
| Instructional Center - Morgan High School, Morgan | 1        |          | 4,032         | \$ 0.11        | \$ 1              | State | Classroom        |
| Instructional Center - Station Park, Farmington   | 1        |          | 10,937        | \$ 25.21       | \$ 282,672        | State | Classroom        |
| Instructional Center - WSU West, Roy              | 1        |          | 7,525         | \$ 16.66       | \$ 127,775        | State | Classroom        |
| Weber Sports Complex                              | 1        |          | 31,914        | \$ 0.00        | \$ 1              | Other | Laboratory       |
| <b>TOTAL - WSU</b>                                | <b>6</b> | <b>0</b> | <b>85,869</b> | <b>\$ 5.25</b> | <b>\$ 450,519</b> |       |                  |

| Location | # of Leases | New Lease | Gross Sq. Ft. | Average Cost Per Sq. Ft. | Annual Lease Payment | Source of Funding | Type of Space |
|----------|-------------|-----------|---------------|--------------------------|----------------------|-------------------|---------------|
|----------|-------------|-----------|---------------|--------------------------|----------------------|-------------------|---------------|

| Southern Utah University                 |           |          |                |                |                   |       |                  |
|--|-----------|----------|----------------|----------------|-------------------|-------|------------------|
| <b>Building Leases</b>                   |           |          |                |                |                   |       |                  |
| Business Resource Center, Cedar City     | 1         |          | 4,335          | \$ 1.66        | \$ 7,200          | Other | Office           |
| Center for the Arts, Cedar City          | 1         |          | 89,267         | \$ 1.67        | \$ 149,001        | Other | Office/Other     |
| Community Engagement, Cedar City         | 1         |          | 2,658          | \$ 11.44       | \$ 30,396         | State | Office           |
| Community Outreach Center, Cedar City    | 1         |          | 11,705         | \$ 15.38       | \$ 180,024        | State | Office           |
| Early Intervention, Cedar City           | 1         |          | 1,080          | \$ 9.56        | \$ 10,320         | Other | Classroom        |
| Global Engagement, Cedar City            | 1         |          | 4,097          | \$ 9.01        | \$ 36,912         | State | Office           |
| Head Start, Various Locations            | 10        |          | 43,124         | \$ 10.42       | \$ 449,376        | Other | Classroom/Office |
| Utah Center for Rural Health, Cedar City | 3         |          | 2,075          | \$ 9.11        | \$ 18,900         | Other | Residential      |
| <b>TOTAL - SUU</b>                       | <b>19</b> | <b>0</b> | <b>158,341</b> | <b>\$ 5.57</b> | <b>\$ 882,129</b> |       |                  |

|                                 |
|---------------------------------|
| <b>Snow College - No Leases</b> |
|---------------------------------|

| Dixie State University         |          |          |               |                |                  |       |              |
|--------------------------------|----------|----------|---------------|----------------|------------------|-------|--------------|
| <b>Building Leases:</b>        |          |          |               |                |                  |       |              |
| Digital Film Studio, St. Georg | 1        |          | 15,000        | \$ 3.33        | \$ 50,000        | State | Office/Other |
| <b>TOTAL - DSU</b>             | <b>1</b> | <b>0</b> | <b>15,000</b> | <b>\$ 3.33</b> | <b>\$ 50,000</b> |       |              |

| Utah Valley University   |          |          |               |                 |                   |             |                  |
|--------------------------|----------|----------|---------------|-----------------|-------------------|-------------|------------------|
| <b>Building Leases:</b>  |          |          |               |                 |                   |             |                  |
| Thanksgiving Point, Lehi | 1        |          | 13,700.00     | 26.26           | \$ 359,830        | State       | Classroom/Office |
| <b>Land Leases:</b>      |          |          |               |                 |                   |             |                  |
| Provo Airport            | 3        |          | N/A           |                 | \$ 49,533         | State/Other | Ground/Hanger    |
| <b>TOTAL - UVU</b>       | <b>4</b> | <b>0</b> | <b>13,700</b> | <b>\$ 26.26</b> | <b>\$ 409,363</b> |             |                  |

| Location | # of Leases | New Lease | Gross Sq. Ft. | Average Cost Per Sq. Ft. | Annual Lease Payment | Source of Funding | Type of Space |
|----------|-------------|-----------|---------------|--------------------------|----------------------|-------------------|---------------|
|----------|-------------|-----------|---------------|--------------------------|----------------------|-------------------|---------------|

| Salt Lake Community College          |          |          |                |                 |                     |             |                             |
|--------------------------------------|----------|----------|----------------|-----------------|---------------------|-------------|-----------------------------|
| <b>Building Leases:</b>              |          |          |                |                 |                     |             |                             |
| Airport Center, Salt Lake City       | 2        |          | 20,937         | \$ 6.86         | \$ 143,606          | State       | Classroom/Office/Lab/Hanger |
| Central Receiving, Salt Lake City    | 1        |          | 25,200         | \$ 4.81         | \$ 121,187          | State       | Storage                     |
| Library Square, Salt Lake City       | 1        |          | 22,049         | \$ 17.51        | \$ 386,077          | State       | Classroom/Office            |
| Westpointe Center, Salt Lake City    | 1        |          | 35,887         | \$ 18.33        | \$ 657,884          | State/Other | Classroom/Office            |
| Writing Center, Salt Lake City       | 1        |          | 1,545          | \$ 7.06         | \$ 10,908           | State       | Classroom/Office            |
| West Valley Center, West Valley City | 2        |          | 27,756         | \$ 7.76         | \$ 215,388          | State       | Classroom/Office            |
| <b>TOTAL - SLCC</b>                  | <b>8</b> | <b>0</b> | <b>133,374</b> | <b>\$ 11.51</b> | <b>\$ 1,535,050</b> |             |                             |

| USHE Institutions   | # of Leases | New Lease | Gross Sq. Ft.    | Average Cost Per Sq. Ft. | Annual Lease Payment |
|---------------------|-------------|-----------|------------------|--------------------------|----------------------|
| Building Leases     | 179         | 15        | 1,551,997        | \$ 15.93                 | \$ 24,720,936        |
| Land Leases         | 23          | 2         | 150,966          |                          | \$ 1,105,837         |
| <b>TOTAL - USHE</b> | <b>202</b>  | <b>17</b> | <b>1,702,963</b> |                          | <b>\$ 25,826,773</b> |

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: USHE – Annual Contracts and Grants Report

Issue

Regent Policy R532, *Acceptance and Approval of Contracts and Grants* requires USHE institutions submit an annual report summarizing the number and dollar amounts of contract and grant awards received during the previous fiscal year.

Background

The Board recognizes that securing research contracts and training grants provide significant benefits to the higher education community, the state of Utah, and society as a whole, by not only supporting critical advances in research but also through job creation. To ensure that the Board is informed about the contracts and grants that institutions are engaged in, the Board has requested that an annual report be provided for each fiscal year that summarizes both the number of and dollar amount of awards received.

For FY 2018, the total number of contracts and grants, compared with the prior fiscal year, increased by 316 or 6.9% and the total dollar amount increased by \$126,404,806 or 18% - with the University of Utah leading the system on both the number of awards and dollars received.

Commissioner's Recommendation

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

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/BLS  
Attachment

**Utah System of Higher Education  
Contracts and Grants Report**

| Institution                     | Fiscal Year 2017 |                      | Fiscal Year 2018 |                      | % Change      |               |
|---------------------------------|------------------|----------------------|------------------|----------------------|---------------|---------------|
|                                 | No.              | Total \$ Amount      | No.              | Total \$ Amount      | No.           | Amount        |
| <b>University of Utah</b>       |                  |                      |                  |                      |               |               |
| Research                        | 1,739            | \$329,949,041        | 1,941            | \$359,603,895        | 11.6%         | 9.0%          |
| Instruction                     | 232              | 30,391,998           | 200              | 25,977,199           | -13.8%        | -14.5%        |
| Clinical                        | 293              | 46,260,991           | 344              | 70,648,110           | 17.4%         | 52.7%         |
| Other                           | 492              | 52,520,218           | 420              | 58,440,912           | -14.6%        | 11.3%         |
| <b>TOTAL Utah</b>               | <b>2,756</b>     | <b>\$459,122,248</b> | <b>2,905</b>     | <b>\$514,670,116</b> | <b>5.4%</b>   | <b>12.1%</b>  |
| <b>Utah State University</b>    |                  |                      |                  |                      |               |               |
| Research                        | 989              | \$148,504,820        | 1,108            | \$201,589,267        | 12.0%         | 35.7%         |
| Instruction                     | 49               | 9,180,702            | 62               | 6,297,249            | 26.5%         | -31.4%        |
| Clinical                        |                  |                      |                  |                      |               |               |
| Other                           | 378              | 35,187,654           | 422              | 55,444,557           | 11.6%         | 57.6%         |
| <b>TOTAL USU</b>                | <b>1,416</b>     | <b>\$192,873,176</b> | <b>1,592</b>     | <b>\$263,331,073</b> | <b>12.4%</b>  | <b>36.5%</b>  |
| <b>Weber State University</b>   |                  |                      |                  |                      |               |               |
| Research                        | 33               | \$1,960,640          | 30               | \$1,958,911          | -9.1%         | -0.1%         |
| Instruction                     | 14               | 3,723,825            | 13               | 3,428,558            | -7.1%         | -7.9%         |
| Clinical                        |                  |                      |                  |                      |               |               |
| Other                           | 76               | 11,045,702           | 90               | 11,363,858           | 18.4%         | 2.9%          |
| <b>TOTAL WSU</b>                | <b>123</b>       | <b>\$16,730,167</b>  | <b>133</b>       | <b>\$16,751,327</b>  | <b>8.1%</b>   | <b>0.1%</b>   |
| <b>Southern Utah University</b> |                  |                      |                  |                      |               |               |
| Research                        | 5                | \$87,822             | 8                | \$92,038             | 60.0%         | 4.8%          |
| Instruction                     | 4                | 151,189              | 3                | 137,658              | -25.0%        | -8.9%         |
| Clinical                        |                  |                      |                  |                      |               |               |
| Other                           | 100              | 9,420,288            | 114              | 10,939,751           | 14.0%         | 16.1%         |
| <b>TOTAL SUU</b>                | <b>109</b>       | <b>\$9,659,299</b>   | <b>125</b>       | <b>\$11,169,447</b>  | <b>14.7%</b>  | <b>15.6%</b>  |
| <b>Snow College</b>             |                  |                      |                  |                      |               |               |
| Research                        | 2                | \$30,463             | 4                | \$40,302             | 100.0%        | 32.3%         |
| Instruction                     | 20               | 1,284,167            | 9                | 865,372              | -55.0%        | -32.6%        |
| Clinical                        |                  |                      |                  |                      |               |               |
| Other                           | 11               | 593,612              | 14               | 553,982              | 27.3%         | -6.7%         |
| <b>TOTAL Snow</b>               | <b>33</b>        | <b>\$1,908,242</b>   | <b>27</b>        | <b>\$1,459,656</b>   | <b>-18.2%</b> | <b>-23.5%</b> |

**Utah System of Higher Education  
Contracts and Grants Report**

| Institution                        | Fiscal Year 2017 |                      | Fiscal Year 2018 |                      | % Change      |               |
|------------------------------------|------------------|----------------------|------------------|----------------------|---------------|---------------|
|                                    | No.              | Total \$ Amount      | No.              | Total \$ Amount      | No.           | Amount        |
| <b>Dixie State University</b>      |                  |                      |                  |                      |               |               |
| Research                           | 2                | \$100,224            | 2                | \$83,450             | 0.0%          | -16.7%        |
| Instruction                        |                  |                      |                  |                      |               |               |
| Clinical                           |                  |                      |                  |                      |               |               |
| Other                              | 33               | 1,798,225            | 34               | 2,009,973            | 3.0%          | 11.8%         |
| <b>TOTAL DSU</b>                   | <b>35</b>        | <b>\$1,898,449</b>   | <b>36</b>        | <b>\$2,093,423</b>   | <b>2.9%</b>   | <b>10.3%</b>  |
| <b>Utah Valley University</b>      |                  |                      |                  |                      |               |               |
| Research                           | 25               | \$672,466            | 21               | \$903,133            | -16.0%        | 34.3%         |
| Instruction                        | 9                | 5,371,658            | 8                | 5,397,227            | -11.1%        | 0.5%          |
| Clinical                           |                  |                      |                  |                      |               |               |
| Other                              | 32               | 7,086,805            | 34               | 6,604,682            | 6.3%          | -6.8%         |
| <b>TOTAL UVU</b>                   | <b>66</b>        | <b>\$13,130,929</b>  | <b>63</b>        | <b>\$12,905,042</b>  | <b>-4.5%</b>  | <b>-1.7%</b>  |
| <b>Salt Lake Community College</b> |                  |                      |                  |                      |               |               |
| Research                           | 7                | \$239,035            | 5                | \$447,720            | -28.6%        | 87.3%         |
| Instruction                        | 28               | 3,667,413            | 13               | 2,085,808            | -53.6%        | -43.1%        |
| Clinical                           |                  |                      |                  |                      |               |               |
| Other                              | 30               | 2,352,712            | 20               | 3,072,864            | -33.3%        | 30.6%         |
| <b>TOTAL SLCC</b>                  | <b>65</b>        | <b>\$6,259,160</b>   | <b>38</b>        | <b>\$5,606,392</b>   | <b>-41.5%</b> | <b>-10.4%</b> |
| <b>Total USHE</b>                  |                  |                      |                  |                      |               |               |
| Research                           | 2,802            | \$481,544,511        | 3,119            | \$564,718,716        | 11.3%         | 17.3%         |
| Instruction                        | 356              | 53,770,952           | 308              | 44,189,071           | -13.5%        | -17.8%        |
| Clinical                           | 293              | 46,260,991           | 344              | 70,648,110           | 17.4%         | 52.7%         |
| Other                              | 1,152            | 120,005,216          | 1,148            | 148,430,579          | -0.3%         | 23.7%         |
| <b>TOTAL USHE</b>                  | <b>4,603</b>     | <b>\$701,581,670</b> | <b>4,919</b>     | <b>\$827,986,476</b> | <b>6.9%</b>   | <b>18.0%</b>  |

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Fall 2018 Third-week Enrollment Report

Issue

Annually, the Board receives several reports from the Commissioner's Office regarding student enrollment at each of the eight USHE colleges and universities. This report provides the first view of student enrollment for the 2018-19 academic year based on the number of students enrolled by the third-week of fall semester.

Background

USHE institutions reported an increase in total headcount of 3,915 students (2.17%) when compared to 2017 fall semester third-week enrollments. USHE also experienced an increase in total FTE of 2,590 (2.04%), and a 1,611 (1.42%) increase in budget-related Full-Time Equivalent (FTE) students. Six of the eight USHE institutions experienced growth in the number of students attending; Southern Utah University reported the greatest gains with 7.69% growth in total headcount and a 4.47% increase in budget-related FTE. Dixie State University, Snow College, and Salt Lake Community College all experienced a slight decrease in budget-related FTE's.

Females continue to enroll in greater numbers (95,369, 52%) at fall third-week when compared to males (88,580, 48%). The ethnic demographics of students remained similar to the 2017 fall snapshot with 74% of students enrolled listing their ethnicity as White and 11% Hispanic. Non-resident (foreign) students made up 3% of the USHE enrollments. The remaining ethnic categories and unspecified students make up the balance of the enrollments.

Third-week numbers are preliminary in nature and do not include new enrollments that occur after the third-week census date (e.g. 2<sup>nd</sup> block registrations and non-credit CTE enrollments). These enrollments will be included in the end-of-term reports that will be provided at the March 2019 Board of Regents meeting.

Total and budget-related headcounts and FTE numbers are provided in the attached tables and graphs. Also included in the attachment are USHE headcounts summarized by gender and ethnicity. Additional headcount data may be found at: <http://higheredutah.org/data/enrollments/>



Commissioner's Recommendation

This item is for information only; no action is necessary.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH/JAC  
Attachments

## Utah System of Higher Education

### Fall 2018 3rd Week Headcount Enrollment Report

| <b>TOTAL HEADCOUNT<br/>(Budget Related &amp; Self Support)</b> | <b>2017</b>    | <b>2018</b>    | <b>CHANGE</b> | <b>CHANGE</b> |
|--|----------------|----------------|---------------|---------------|
| University of Utah   | 32,800         | 33,023         | 223           | 0.68%         |
| Utah State University  | 27,679         | 27,932         | 253           | 0.91%         |
| Weber State University   | 27,949         | 28,247         | 298           | 1.07%         |
| Southern Utah University*                                      | 9,468          | 10,196         | 728           | 7.69%         |
| Snow College   | 5,563          | 5,514          | - 49          | -0.88%        |
| Dixie State University   | 9,673          | 9,950          | 277           | 2.86%         |
| Utah Valley University   | 37,282         | 39,931         | 2,649         | 7.11%         |
| Salt Lake Community College                                    | 29,620         | 29,156         | - 464         | -1.57%        |
| <b>USHE</b>  | <b>180,034</b> | <b>183,949</b> | <b>3,915</b>  | <b>2.17%</b>  |

| <b>BUDGET RELATED HEADCOUNT</b> | <b>2017</b>    | <b>2018</b>    | <b>CHANGE</b> | <b>CHANGE</b> |
|---------------------------------|----------------|----------------|---------------|---------------|
| University of Utah              | 31,965         | 32,195         | 230           | 0.72%         |
| Utah State University           | 25,339         | 25,604         | 265           | 1.05%         |
| Weber State University          | 18,808         | 18,666         | - 142         | -0.75%        |
| Southern Utah University*       | 8,479          | 8,577          | 98            | 1.16%         |
| Snow College                    | 4,906          | 4,762          | - 144         | -2.94%        |
| Dixie State University          | 8,242          | 8,105          | - 137         | -1.66%        |
| Utah Valley University          | 28,614         | 29,561         | 947           | 3.31%         |
| Salt Lake Community College     | 22,999         | 22,655         | - 344         | -1.50%        |
| <b>USHE</b>                     | <b>149,352</b> | <b>150,125</b> | <b>773</b>    | <b>0.52%</b>  |

## Utah System of Higher Education

### Fall 2018 3rd Week FTE Student Enrollment Report

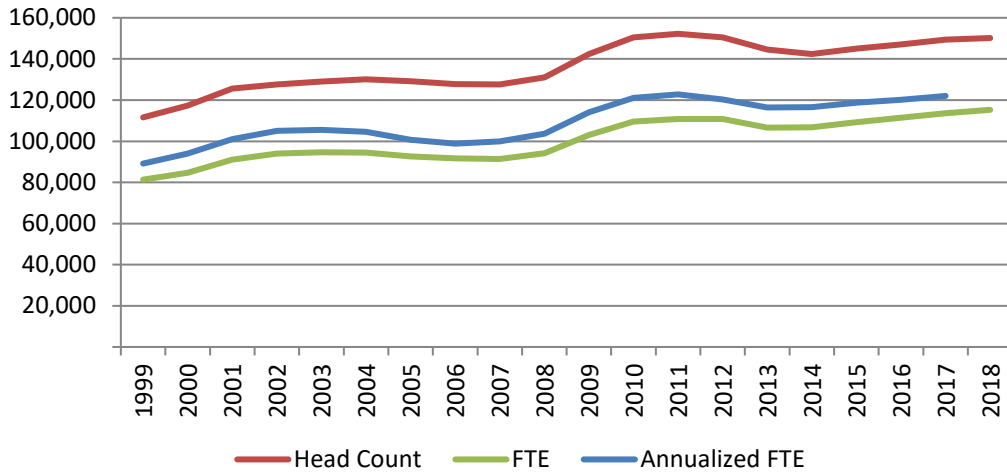
| <b>TOTAL FTE<br/>(Budget Related &amp; Self Support)</b> | <b>2017</b>    | <b>2018</b>    | <b>CHANGE</b> | <b>CHANGE</b> |
|--|----------------|----------------|---------------|---------------|
| University of Utah                                       | 27,984         | 28,382         | 398           | 1.42%         |
| Utah State University                                    | 22,024         | 22,351         | 328           | 1.49%         |
| Weber State University                                   | 17,183         | 17,422         | 239           | 1.39%         |
| Southern Utah University*                                | 7,542          | 8,076          | 534           | 7.08%         |
| Snow College   | 4,085          | 3,989          | - 96          | -2.35%        |
| Dixie State University                                   | 7,382          | 7,522          | 140           | 1.89%         |
| Utah Valley University                                   | 25,037         | 26,574         | 1,537         | 6.14%         |
| Salt Lake Community College                              | 15,693         | 15,203         | - 490         | -3.12%        |
| <b>USHE</b>  | <b>126,930</b> | <b>129,520</b> | <b>2,590</b>  | <b>2.04%</b>  |

| <b>BUDGET RELATED FTE</b>   | <b>2017</b>    | <b>2018</b>    | <b>CHANGE</b> | <b>CHANGE</b> |
|-----------------------------|----------------|----------------|---------------|---------------|
| University of Utah          | 27,536         | 27,898         | 362           | 1.31%         |
| Utah State University       | 20,524         | 20,894         | 370           | 1.80%         |
| Weber State University      | 13,179         | 13,282         | 104           | 0.79%         |
| Southern Utah University*   | 7,284          | 7,609          | 326           | 4.47%         |
| Snow College                | 3,744          | 3,615          | - 129         | -3.45%        |
| Dixie State University      | 6,765          | 6,739          | - 26          | -0.38%        |
| Utah Valley University      | 21,317         | 22,293         | 976           | 4.58%         |
| Salt Lake Community College | 13,308         | 12,937         | - 371         | -2.79%        |
| <b>USHE</b>                 | <b>113,657</b> | <b>115,268</b> | <b>1,611</b>  | <b>1.42%</b>  |

#### Notes:

Rounding Error - FTEs are calculated then rounded to the nearest one

## Fall third Week Enrollment History Budget - Related



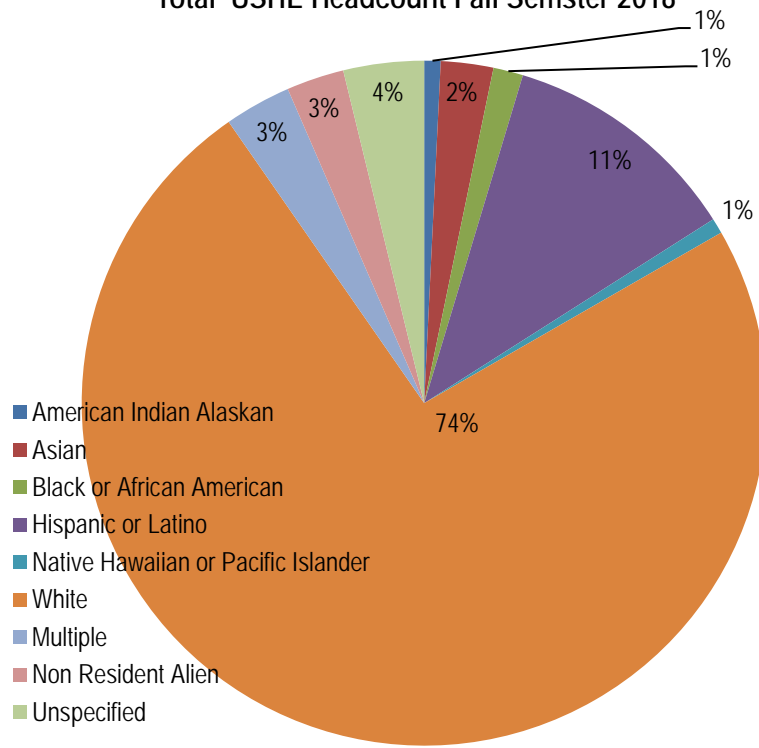
### Utah System of Higher Education

*Fall 2018 3rd Week Total Headcount by Gender & Ethnicity*

| GENDER       | 2017           | 2018           | CHANGE       | CHANGE       |
|--------------|----------------|----------------|--------------|--------------|
| Female       | 91,841         | 95,369         | 3,528        | 3.84%        |
| Male         | 88,193         | 88,580         | 387          | 0.44%        |
| <b>Total</b> | <b>180,034</b> | <b>183,949</b> | <b>3,915</b> | <b>2.17%</b> |

| Ethnicity                           | 2017           | 2018           | CHANGE       | CHANGE       |
|-------------------------------------|----------------|----------------|--------------|--------------|
| American Indian Alaskan             | 1,506          | 1,418          | - 88         | -5.84%       |
| Asian                               | 4,459          | 4,557          | 98           | 2.20%        |
| Black or African American           | 2,497          | 2,588          | 91           | 3.64%        |
| Hispanic or Latino                  | 19,887         | 20,841         | 954          | 4.80%        |
| Native Hawaiian or Pacific Islander | 1,384          | 1,328          | - 56         | -4.05%       |
| White                               | 133,878        | 135,430        | 1,552        | 1.16%        |
| Multiple                            | 5,348          | 5,791          | 443          | 8.28%        |
| Non Resident Alien                  | 5,226          | 5,002          | - 224        | -4.29%       |
| Unspecified                         | 5,849          | 6,994          | 1,145        | 19.58%       |
| <b>Total</b>                        | <b>180,034</b> | <b>183,949</b> | <b>3,915</b> | <b>2.17%</b> |

Total USHE Headcount Fall Semester 2018



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – 2017-2018 End-of-Year Enrollment Report

Issue

The Board has asked that the Commissioner provide an annual enrollment report that highlights the previous year's enrollment activity for each of the eight USHE colleges and universities.

Background

The annual End-of-Year Enrollment report provides an account of the enrollment activity at the USHE institutions for summer 2017, fall 2018, and spring 2018. In FY18, the USHE system reported a 2.5 percent increase (3,320 additional FTE) in its total annualized FTE student count. When looking only at budget-related annualized FTE, the system reported an increase at 1.8 percent when compared to last year. The USHE system served 205,128 unique individuals (unduplicated headcount) over the course of the three semesters taught in the academic year.

The 2017-18 total FTE student count of 135,851 was within one percent of the enrollment projections approved in May 2018. In order to meet enrollment projections of an average annual growth of 2.4 percent for the next ten years, institutions will need to continue and expand their efforts focused on improving student enrollment and persistence.

The attached issue brief provides an additional summary of information that is found in the full report. The full End-of-Year report can be accessed at <http://higheredutah.org/data/>. The report provides Regents a number of different looks at the 2017-18 enrollment data including:

- Total Annualized and Academic Year FTE by residency and budget status
- Headcount
- Total FTE enrollment by level of instruction
- Resident FTE enrollment by level of instruction

Commissioner's Recommendation

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

DLB/KLH/JAC  
Attachment

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David L. Buhler  
Commissioner of Higher Education

## End-of-Year, Annualized Enrollment Report- *Academic Year 2017-2018*

One of the primary areas measured by institutions of higher education is student enrollment. Annually, the Utah System of Higher Education (USHE) publishes the *End-of-Year, Annualized Enrollment Report* that highlights the various metrics used to measure student enrollment over the course of an academic year.

### Key Terminology

- 2017-2018 Academic Year: Summer Term of 2017, Fall Semester 2017, and Spring Semester 2018.
- Annualized Full-time Equivalent (FTE) Enrollment: A calculated estimate of the number of full-time students at an institution based on type of courses taken.
  - Annualized Undergraduate FTE: 30 credit hours earned over the academic year
  - Annualized Graduate FTE: 20 credit hours earned over the academic year
- Annualized Non-credit FTE: 900 instruction contact or membership hours
- Budget-related FTE: Enrollment in courses funded using appropriated state tax funds and tuition
- Self-support FTE: Enrollment in courses not eligible to receive state tax fund support
- Annualized Student Headcount: The number of unique individuals who enrolled in classes during the course of the academic year either full or part-time.

### Total FTE Enrollment (Budget-Related & Self-Support)

USHE measures enrollment in several ways, including based on how a course is funded (budget-related or self-support). The following table captures all student enrollment (budget-related and self-support) at an institution regardless of funding source.

Table 1 – Budget-Related & Self-Support Annualized FTE

|                          | Annualized Year 2016-17           |              |            | Annualized Year 2017-18           |              |            | Difference Between Annualized Year 2016-17 and 2017-18 |              |          |
|--------------------------|-----------------------------------|--------------|------------|-----------------------------------|--------------|------------|--|--------------|----------|
|                          | Budget-Related & Self Support FTE |              |            | Budget-Related & Self Support FTE |              |            |  |              |          |
|                          | Resident                          | Non-resident | Total      | Resident                          | Non-resident | Total      | Resident   | Non-resident | Total    |
| University of Utah       | 24,086.13                         | 6,276.89     | 30,363.02  | 24,279.87                         | 6,413.57     | 30,693.44  | 193.74   | 136.68       | 330.42   |
| Utah State University    | 18,914.55                         | 4,669.27     | 23,583.82  | 18,988.59                         | 4,524.54     | 23,513.13  | 74.04  | -144.73      | -70.69   |
| Weber State University   | 15,614.48                         | 1,819.90     | 17,434.38  | 16,281.98                         | 1,787.07     | 18,069.05  | 667.50   | -32.83       | 634.67   |
| Southern Utah University | 6,206.94                          | 1,708.05     | 7,914.99   | 6,375.08                          | 1,864.65     | 8,239.73   | 168.14   | 156.60       | 324.74   |
| Snow College             | 3,585.22                          | 345.93       | 3,931.15   | 3,502.11                          | 413.25       | 3,915.36   | -83.11   | 67.32        | -15.79   |
| Dixie State University   | 5,400.61                          | 1,405.52     | 6,806.13   | 5,750.37                          | 1,547.14     | 7,297.51   | 349.76   | 141.62       | 491.38   |
| Utah Valley University   | 21,345.83                         | 3,722.78     | 25,068.61  | 22,713.97                         | 3,750.01     | 26,463.98  | 1,368.14   | 27.23        | 1,395.37 |
| Salt Lake C College      | 16,147.67                         | 1,281.91     | 17,429.58  | 16,277.46                         | 1,381.73     | 17,659.19  | 129.79   | 99.82        | 229.61   |
| TOTAL - USHE             | 111,301.43                        | 21,230.25    | 132,531.68 | 114,169.43                        | 21,681.96    | 135,851.39 | 2,868.00   | 451.71       | 3,319.71 |
|                          |                                   |              |            |                                   |              |            | 2.6%   | 2.1%         | 2.5%     |

Overall, USHE increased its total FTE enrollment by 3,319 students in 2018 when compared to the previous academic year. This is almost the equivalent of adding a new Snow College in a single year.



## Budget-Related FTE Enrollments

USHE also tracks enrollment of students in course sections that are subsidized by state-appropriated funds (budget-related). Similar to total FTE, budget-related FTE also showed significant growth from the 2017 to 2018 academic years with an overall increase of over 2,000 FTE or a 1.8% increase (Table 2).

*Table 2- Budget-Related Annualized FTE*

|                          | Annualized Year 2016-17 |                  |                   | Annualized Year 2017-18 |                  |                   | Difference Between Annualized Year 2016-17 and 2017-18 |               |                 |
|--------------------------|-------------------------|------------------|-------------------|-------------------------|------------------|-------------------|--|---------------|-----------------|
|                          | Budget-Related FTE      |                  |                   | Budget-Related FTE      |                  |                   |  |               |                 |
|                          | Resident                | Non-resident     | Total             | Resident                | Non-resident     | Total             | Resident   | Non-resident  | Total           |
| University of Utah       | 23,851.35               | 5,710.96         | 29,562.31         | 24,059.46               | 5,815.02         | 29,874.48         | 208.11   | 104.06        | 312.17          |
| Utah State University    | 16,980.78               | 4,461.86         | 21,442.64         | 17,090.79               | 4,407.29         | 21,498.08         | 110.01   | -54.57        | 55.44           |
| Weber State University   | 12,736.16               | 1,454.76         | 14,190.92         | 13,033.42               | 1,443.01         | 14,476.43         | 297.26   | -11.75        | 285.51          |
| Southern Utah University | 5,596.34                | 1,494.19         | 7,090.53          | 5,737.13                | 1,648.25         | 7,385.38          | 140.79   | 154.06        | 294.85          |
| Snow College             | 3,353.23                | 334.8            | 3,688.03          | 3,245.64                | 401.52           | 3,647.16          | -107.59  | 66.72         | -40.87          |
| Dixie State University   | 4,986.69                | 1,351.31         | 6,338.00          | 5,201.29                | 1,497.57         | 6,698.86          | 214.60   | 146.26        | 360.86          |
| Utah Valley University   | 19,318.32               | 2,954.92         | 22,273.24         | 20,188.00               | 3,055.33         | 23,243.33         | 869.68   | 100.41        | 970.09          |
| Salt Lake C College      | 14,155.48               | 1,225.99         | 15,381.47         | 14,062.09               | 1,199.81         | 15,261.90         | -93.39   | -26.18        | -119.57         |
| <b>TOTAL - USHE</b>      | <b>100,978.35</b>       | <b>18,988.79</b> | <b>119,967.14</b> | <b>102,617.82</b>       | <b>19,467.80</b> | <b>122,085.62</b> | <b>1,639.47</b>  | <b>479.01</b> | <b>2,118.48</b> |
|                          |                         |                  |                   |                         |                  |                   | <b>1.6%</b>  | <b>2.5%</b>   | <b>1.8%</b>     |

## Headcount

The third enrollment metric that USHE reports is the annualized student headcount. The annualized headcount enrollment for an institution identifies the number of unique individuals who enrolled in classes during the course of the academic year either full or part-time. Duplication of enrollments may exist between institutions.

*Table 3 - Annualized Budget Related & Self-Support Headcount*

|                             | Annualized Year |               |                |
|-----------------------------|-----------------|---------------|----------------|
|                             | 2017-18         |               |                |
|                             | Resident        | Non-resident  | Total          |
| University of Utah          | 30,697          | 7,924         | 38,620         |
| Utah State University       | 25,513          | 6,038         | 31,551         |
| Weber State University      | 27,494          | 2,755         | 30,248         |
| Southern Utah University    | 9,207           | 2,576         | 11,783         |
| Snow College                | 5,063           | 512           | 5,574          |
| Dixie State University      | 8,538           | 1,788         | 10,326         |
| Utah Valley University      | 35,690          | 4,792         | 40,481         |
| Salt Lake Community College | 33,326          | 3,220         | 36,546         |
| <b>TOTAL - USHE</b>         | <b>175,526</b>  | <b>29,602</b> | <b>205,128</b> |

## Student FTE by Level of Instruction

In addition to basic counts of students, USHE looks at student enrollment based on the type and level of course in which a student is enrolled. USHE designates courses as vocational or continuing education and then by lower division courses (< 3000 courses), upper division (3000 to < 6000), Beginning Graduate (6000 - 6999) and Advanced Graduate (>=7000) level courses. Any course classified as “self-supported” and not receiving state appropriated money as part of its funding source does not contribute to the FTE calculations in Figure 1.

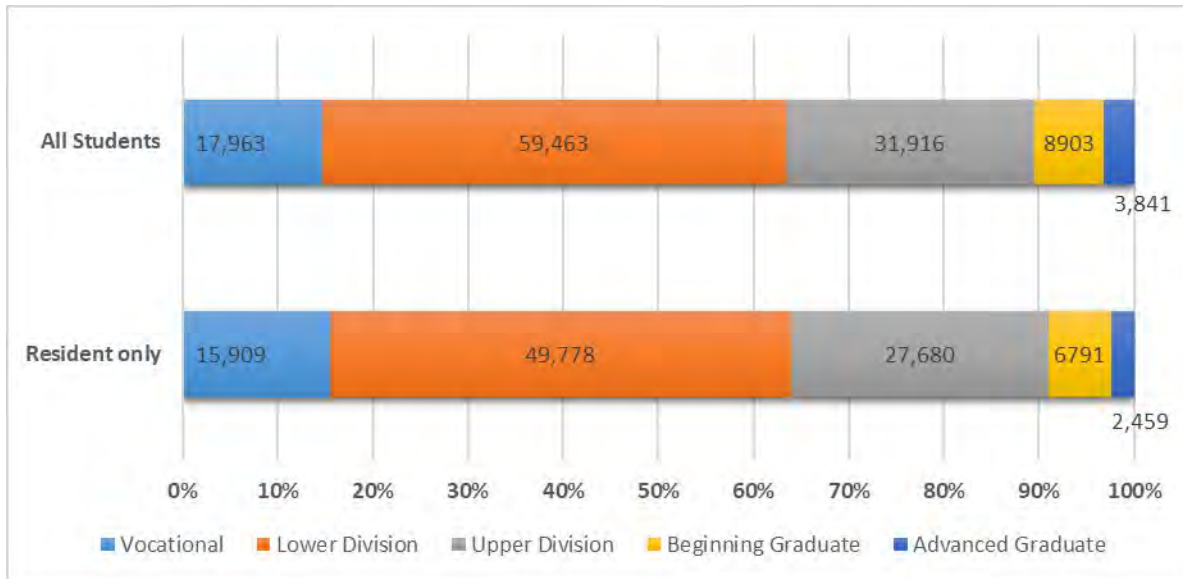


Figure 1 – Budget-Related FTE by Level

Figure 1 shows that the largest percentage of students are enrolled in undergraduate courses. However,, it is important to note that approximately 14.7% of USHE annualized enrollments were in vocational areas of studies with the equivalent of 17,963 full-time students’ enrolled in coursework that builds skills through career and technical education offerings. These career and technical education offerings can provide the foundation for students to continue their education beyond the vocational coursework, thus increasing competence in critical thinking, communication, and writing skills that are being demanded by today’s employers.

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: General Consent Calendar

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

A. Minutes

1. Minutes of the Board Meeting September 20 & 21, 2018, University of Utah, Salt Lake City, Utah (Attachment).

B. Grant Proposals

1. University of Utah – Ed Institute of Education Sciences; “Tech with Telepresence Robots”; \$1,400,000. Aaron Jason Fischer, Principal Investigator.
2. University of Utah – Ed Institute of Education Sciences; “Improving Early Reading”; \$1,368,165. Breda Victoria O’Keefe, Principal Investigator.
3. University of Utah – US Agency for International Development; “Egypt COE Water”; \$29,991,192. Steven John Burian, Principal Investigator.
4. University of Utah – National Science Foundation; “Animal: Accessible Interfaces”; \$6,860,417. Ross M Walker, Principal Investigator.
5. University of Utah – NIH Office Of The Director; “Intracellular mass Transport”; \$2,287,500. Stacy Shumway Manwaring, Principal Investigator.
6. University of Utah – US Department of Education; “Autism Leadership Training”; \$1,250,000. Kim Korinek, Principal Investigator.
7. University of Utah – Brigham & Womens Hospital; “Advancing Countermeasures”; \$4,643,300. Randall Theodore Peterson, Principal Investigator.
8. University of Utah – NIH National Institute of Mental Health; “Resilience - Bortolato”; \$3,340,796. Marco Bortolato, Principal Investigator.

9. University of Utah – NIH National Cancer Institute; “08.15.18\_NIH R01”; \$3,807,387. Nicola J Camp, Principal Investigator.
10. University of Utah – St Baldrick’s Foundation; “Schiffman\_SBF”; \$1,350,000. Joshua David Schiffman, Principal Investigator.
11. University of Utah – NIH National Institute of Mental Health; “Docherty R01 10.5.18”; \$3,812,500. Anna Rose Docherty, Principal Investigator.
12. University of Utah – NIH National Institute of Mental Health; “Hilary Coon Resubmission 9.28”; \$3,792,446. Hilary H Coon, Principal Investigator.
13. University of Utah – NIH National Heart Lung & Blood Inst; “Selzman UM1 Aug2018”; \$3,602,377. Craig H Selzman, Principal Investigator.
14. University of Utah – DHHS National Institutes of Health; “Learning Healthcare System”; \$3,500,000. Alan Howard Morris, Principal Investigator.
15. University of Utah – DHHS National Institutes of Health; “CD9 TCR 2D\_Evavold”; \$2,496,595. Brian D Evavold, Principal Investigator.
16. University of Utah – DHHS National Institutes of Health; “R01 GM064649 Renewal Formosa”; \$1,906,250. Timothy Formosa, Principal Investigator.
17. University of Utah – CDC Natl Inst Occupational Safety & Hlth; “Shoulder Injuries Truck Drive”; \$1,870,795. Matthew S Thiese, Principal Investigator.
18. University of Utah – DHHS National Institutes of Health; “Alcohol Policy”; \$1,701,847. Kolawole S Okuyemi, Principal Investigator.
19. University of Utah – NIH Natl Inst Allergy & Infectious Dis; “III T32”; \$1,625,539. Brian D Evavold, Principal Investigator.
20. University of Utah – AKCEA Therapeutics; “Trapp Study”; \$1,000,000. Kelsey Rachel Barrell, Principal Investigator.
21. University of Utah – DHHS National Institutes of Health; “Deans Innovator 2018”; \$2,285,000. Tara Lynn Deans, Principal Investigator.
22. University of Utah – National Science Foundation; “Preevents Wind”; \$2,084,714. Jeremy Alan Gibbs, Principal Investigator.

23. University of Utah – DOD Defense Advanced Reserch Prjcts Agcy; “HEPSA: High Efficiency Piezo”; \$1,584,184.
24. University of Utah – Virginia Tech Carilion Research Inst; “BETTER”; \$1,550,002. Ellen m Riloff, Principal Investigator.
25. University of Utah – NIH Office of the Director; Kubanek – NIH Innovator”; \$1,500,000. Jan Kubanek, Principal Investigator.
26. University of Utah – NIH Office of the Director; “Timmins NIH New innovator DP2”; \$1,500,000. Lucas H Timmins, Principal Investigator.
27. University of Utah – National Science Foundation; “Breath Analysis of PIF”; \$1,193,479. Ling Zang, Principal Investigator.
28. University of Utah – University of California Davis; “CEVT”; \$1,250,000. Keith David Koper, Principal Investigator.
29. University of Utah – National Science Foundation; “CFACT”; \$1,102,377. Zhaoxia Pu, Principal Investigator.
30. University of Utah – NIH National Cancer Institute; “Caregiving P01 Sept 2018”; \$22,990,735. B Kathleen Mooney, Principal Investigator.
31. University of Utah – SCM Lifescience; “SCM CSTEK Collaboration” \$1,000,000. Teruo Okano, Principal Investigator.
32. University of Utah – Solargise UK Limited; “Development of Magnonic Mater”; \$2,900,122. Joel Steven Miller, Principal Investigator.
33. University of Utah – NIH Office of the Director; “Annotating Cell Lineage Trees”; \$2,287,500. James Gagnon, Principal Investigator.
34. University of Utah – Solargise UK Limited; “Photovoltaic Solar Cells”; \$1,000,000. Zeev Valentine Vardeny, Principal Investigator.
35. University of Utah – NIH National Cancer Institute; “Melanoma Prevention-Children”; \$3,720,895. Yelena Ping Wu, Principal Investigator.

36. University of Utah – NIH National Cancer Institute; “Multi-Level Patient Navigator”; \$2,371,787. Deanna Lee Kepka, Principal Investigator.
37. University of Utah – Cincinnati Childrens Hospital Med Ctr; “Cincinnati R01 Sub”; \$1,601,250. Eric Snyder, Principal Investigator.
38. University of Utah – Utah State University; “Improving Bovine Cloning”; \$1,264,470. Bradley Cairns, Principal Investigator.
39. University of Utah – National Science Foundation; “INFEWS”; \$1,745,804. Trevor P Irons, Principal Investigator.
40. University of Utah – DHHS National Institutes of Health; “J Shepherd’s Transformative”; \$5,505,090. Jason Dennis Shepherd, Principal Investigator.
41. University of Utah – DHHS National Institutes of Health; “Complex Microbiomes”; \$5,449,674. Laura Armstrong Pace, Principal Investigator.
42. University of Utah – US Department of Defense; “SSC Vasculopathy”; \$4,706,441. Tracy Minan Frech, Principal Investigator.
43. University of Utah – DHHS National Institutes of Health; “R01\_Round\_O’Connell”; \$4,092,934. June Louise Round, Principal Investigator.
44. University of Utah – DHHS National Institutes of Health; “Jason Shepherd’s Pioneer”; \$3,500,000. Jason Dennis Shepherd, Principal Investigator.
45. University of Utah – NIH National Inst Child Hlth & Human Dev; “Keenan K12 Sept 2018”; \$3,246,544. Heather Todd Keenan, Principal Investigator.
46. University of Utah – DHHS Agency for Healthcare Resh & Quality; “CARB”; \$2,500,000. Matthew H Samore, principal Investigator.
47. University of Utah – Army Medical Research Acquisition Activity; “CDMRP 3”; \$1,830,000. Kevin C Brennan, Principal Investigator.
48. University of Utah – DHHS Centers for Disease Control & Prevention; “Shepherd: Urgent Care”; \$1,800,000. Matthew H Samore, Principal Investigator.
49. University of Utah – US Department of Defense; “DOD/IPA”; \$1,524,301. Lin Eric Huang, Principal Investigator.

50. University of Utah – DHHS National Institutes of Health; “DPS RFA-RM-18-008 Paul Sigala”; \$1,500,000. Paul Andrew Sigala, Principal Investigator.
51. University of Utah – DHHS Centers for Disease Control & Prevention; “Shepherd Opioid Overdose”; \$1,380,090. Gerald Thomas Cochran, Principal Investigator.
52. University of Utah – US Department of Defense; “Weiss Johnson DOD”; \$1,308,618. Robert B Weiss, Principal Investigator.
53. University of Utah – DHHS Agency for Healthcare Research & Quality; “Outcome Trajectories: Spinau18”; \$1,200,000. Nicholas T Sina III, Principal Investigator.
54. University of Utah – DHHS Agency for Healthcare Research & Quality; “R18 PA-17-261 Ken Kawamoto”; \$1,199,124. Kensaku Kawamoto, Principal Investigator.
55. University of Utah – US Department of Defense; “Sanguis-Shield”; \$1,715,625. Marc D Porter, Principal Investigator.
56. Utah State University – The American University in Cairo; “WF-2351 Provide Pedagogical and Technical assistance to help improve the state of water-related research and training”; \$3,077,035. Mac McKee, Principal Investigator.
57. Utah State University – National Institutes of Health; “Cognitive Predictors of Sentence Comprehension in Children with and without Developmental Language Disorders”; \$3,669,792. Ron Gillan, Principal Investigator.
58. Utah State University – US Dept of Ed – Institute of Education Sciences; “MathVision Interventions: Improving Rural First-Graders’ Visual Number System Knowledge”; \$1,165,100. Jessica Francis Shumay, Principal Investigator.
59. Utah State University – US Dept of Ed – Institute of Education Sciences; “Bridging the Vector Calculus Gap: An Artificial Intelligence Intervention for Engineering and Science Undergraduates”; \$1,271,756. Andreas Malmendier, Principal Investigator.
60. Utah State University – US Dept of Ed – Institute of Education Sciences; “Computational Thinking Measure: Linkages to Spatial, Scientific, and Mathematical Reasoning”; \$1,399,912. David Frank Feldon, Principal Investigator.

61. Utah State University – UT Department of Workforce Services; “Food \$ense (SNAP-Ed) Supplemental Nutrition Assistance Program – Education”; \$1,544,689. Heidi Reese LeBlanc, Principal Investigator.
62. Utah State University – Substance Abuse and Mental Health Services Admin; “Translating Effective Opioid Harm Reduction and Wellness Training to Tribal and Rural Utah”; \$1,094,337. Sandra H Sulzer, Principal Investigator, Suzanne M Prevedel, Co-Investigator.
63. Utah State University – US National Science Foundation; “CNS Core: Medium: overcoming Barriers to Adapt Near Threshold Systems to Mainstream Computing”; \$1,199,984. Koushik Chakraborty, Principal Investigator, Sanghamitra Roy, Co-Investigator.
64. Utah State University – US NSF – Directorate for Geosciences; “PREEVENTS Track 2: Catching Fire From Deluge to Drought: Building Integrated Prediction Framework and Risk Assessment in US West”; \$1,641,752, Yoshimitsu Chikamoto, Principal Investigator, Larissa Yocom, Ruijie Zeng, Co-Investigators.
65. Utah State University – Utah State Board of Education; “SLCO/Juab 4-H after-school partnership”; \$1,073,819. Vernon C Parent, Principal Investigator, Tasha Mae Killian, Co-Investigator.
66. Utah State University – National Institutes of Health; “Improving Bovine Cloning Efficiency by Enhancing Reprogramming during Embryonic Genome Activation”; \$2,548,265. Kenneth L White, Principal Investigator.

C. Awards

1. University of Utah – National Science Foundation; “CLOUDLAB2”; \$1,018,359. Robert Preston Riekenberg Ricci, Principal Investigator.
2. University of Utah – NIH National inst Child Hlth & Human Dev; “Postpartum Pelvic Floor”; \$1,189,905. Ingrid E Nygaard MD, Principal Investigator.
3. University of Utah – US Department of Energy; “Enhanced Geothermal – Forge”; \$10,000,000. Joseph N Moore, Principal Investigator.
4. University of Utah – Laura and John Arnold Foundation; “Family Planning Elevate”; \$4,000,000. David Turok, Principal Investigator.
5. University of Utah – American Heart Association; “AHA/PCORI Decide Center Grant”; \$2,778,000. Philip J Smith, Principal Investigator.



6. University of Utah – National Science Foundation; “EFRI C3 SoRo: MESo-C3”; \$1,999,910. Jake J Abbott, Principal Investigator.
7. University of Utah – Patient Centered Outcomes Research Institute; “Treatment Sequencing Back pain”; \$1,961,335. Julie Mae Fritz, Principal Investigator.
8. University of Utah – NIH National Inst of General Medcial Sci; “Conus Peptides”; \$2,005,656. Baldomero M Olivera, Principal Investigator.
9. University of Utah – LSK Biopartners; “IIT Pembroapatinib (Appease)”; \$1,294,133. Sumati Virendra Gupta, Principal Investigator.
10. University of Utah – NIH National Inst of General Medical Sci; “Cheetah P50 Renewal”; \$4,797,029. Wesley I Sundquist, Principal Investigator.
11. University of Utah – NIH National Cancer Institute; “Seer 2018”; \$1,913,829. Carol Sweeney, Principal Investigator.
12. University of Utah – National Science Foundation; “MS Heredity and Evolution”; \$1,263,452. Louisa A Stark, Principal Investigator.

D. Academic and Student Affairs Items

Action Items:

Seven Year Review:

- University of Utah – Department of Art and Art History

Information Items:

- Weber State University – Bachelor of Science in Computational Statistics and Data Science

Notification Items:

New Program:

- Dixie State University – Emphasis in Entertainment, Arts and Animation within the BA/BS in Art

Name Change:

- Dixie State University – Minor in Humanities to Minor in Humanities
- Dixie State University – Emphasis in Humanities within the BA/BS in Integrated Studies to Emphasis in Humanities and Philosophy within the BA/BS in Integrated Studies

Program Discontinuation:

- Dixie State University – Emphasis in Digital Film within the BS in Media Studies
- Dixie State University – Emphasis in Graphic Design within the BA/BS in Art
- Dixie State University – Minor in Graphic Design

New Center

- Utah State University – Latinx Cultural Center

New Institution:

- Utah State University – Hunger Solutions Institute

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David L. Buhler  
Commissioner of Higher Education

DLB/LO  
Attachments

STATE BOARD OF REGENTS  
UNIVERSITY OF UTAH, SALT LAKE CITY, UTAH  
ALUMNI HOUSE  
SEPTEMBER 20, 2018

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STATE BOARD OF REGENTS  
UNIVERSITY OF UTAH, SALT LAKE CITY, UTAH  
ALUMNI HOUSE  
THURSDAY, SEPTEMBER 20, 2018

COMMITTEE OF THE WHOLE  
MINUTES

Regents Present

Harris Simmons, Chair  
Nina R. Barnes, Vice Chair  
Jessellie B. Anderson  
Wilford W. Clyde  
Marlin K. Jensen  
Patricia Jones  
JaKell Larson  
Steve Lund  
Mark Stoddard  
Teresa L. Theurer  
Thomas E. Wright

Regents Absent

Daniel W. Campbell  
Ron Jibson  
Robert S. Marquardt  
Robert W. Prince  
Cristina Ortega

Office of the Commissioner

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

Institutional Presidents Present

Ruth Watkins, University of Utah  
Noelle Cockett, Utah State University  
Scott L Wyatt, Southern Utah University  
Astrid S. Tuminez, Utah Valley University  
Richard B. Williams, Dixie State University  
Deneece G. Huftalin, Salt Lake Community College  
Norm Tarbox, Weber State University

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

**Chair Simmons called the meeting to order at 1:34 p.m.** He noted we would focus on Capital Facilities and turned the time over to Rich Amon, Assistant Commissioner for a review of the process.

The Regents heard presentations on the following proposed state-funded projects:

- Utah State University – Center for Languages and Cultures
- Snow College – Social Science and General Education Building
- Dixie State University – Science Building
- Salt Lake Community College – Herriman Campus Building

- Utah Valley University – New Business School Building
- University of Utah – Interdisciplinary Physical Science Ed.
- Weber State University – Noorda Eng. And Applied Science
- Southern Utah University – Technology, Eng., and Design

Chair Simmons asked Regent Anderson to talk about the Our Schools Now initiative that will be on the upcoming voter's ballot in November.

Regent Anderson gave a brief update stating Regent Marquardt and former Regent Karras have been more involved in this Our Schools Now project than they ever imagined. They reached a compromise with the legislature to attempt to get a ten cent gas tax passed. This would mean approximately 25 million in new money for higher education; UVU receiving three million, U receiving seven million, SLCC three million, SUU five million, DSU one million, WSU three million, Snow College one million. This is very important and will be rolled over into performance funding. She thanked the presidents for their efforts in supporting this initiative. There is an underlying issue of great concern to anyone in higher education; each time the legislature reached out in the final days of the session, there was no mention of higher education from any legislators, which was a deal breaker for them. An agreement was finally reached with 20 percent going to higher education and 80 percent going to public education, going directly to classrooms. There is a perception that students can pay the cost of education through increased tuition. Regent Anderson encouraged everyone to get out and vote. Chair Simmons said this may be the best opportunity we will see to address issues and make a difference in a big way. President Wyatt said if this fails, the legislature might say it is clear the public is not interested in funding higher education. Commissioner said we have shared legal guidance to the presidents and said it is acceptable to share information and opinions as long as they are not making a campaign statement. Regent Jones asked if there is a strategy to relay the Regents' position on this. Commissioner and presidents signed a letter of support for this initiative and that letter can be shared; the most effective thing regents can do is to share this letter.

Chair Simmons thank everyone who has participated, especially Regent Anderson and Marquardt.

Regent Theurer motioned to adjourn meeting; the motion was seconded by Regent Barnes.

The meeting adjourned at 4:04 p.m.

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Loreen Olney, Executive Secretary

Date Approved:

STATE BOARD OF REGENTS  
UNIVERSITY OF UTAH, SALT LAKE CITY, UTAH  
ALUMNI HOUSE  
SEPTEMBER 21, 2018

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STATE BOARD OF REGENTS  
UNIVERSITY OF UTAH, SALT LAKE CITY, UTAH  
ALUMNI HOUSE  
FRIDAY, SEPTEMBER 21, 2018

COMMITTEE OF THE WHOLE  
MINUTES

Regents Present

Harris Simmons, Chair  
Nina R. Barnes, Vice Chair  
Jesselie B. Anderson  
Wilford W. Clyde  
Marlin K. Jensen  
Patricia Jones  
JaKell Larson  
Steve Lund  
Robert S. Marquardt  
Cristina Ortega  
Mark Stoddard  
Teresa L. Theurer  
Thomas E. Wright

Regents Absent

Daniel W. Campbell  
Ron Jibson  
Robert W. Prince

Office of the Commissioner

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

Institutional Presidents Present

Ruth Watkins, University of Utah  
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Astrid S. Tuminez, Utah Valley University  
Gary Carlston, Snow College  
Richard B. Williams, Dixie State University  
Deneece G. Huftalin, Salt Lake Community College  
Norm Tarbox, Weber State University

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

Discussion – Strategic Plan Metrics

Kimberly Henrie provided a brief PowerPoint highlighting the efforts of the Board to date on the development of system metrics. She indicated that as directed by the Board, the Commissioner and his staff have worked with the institutions in the development of the proposed metrics.

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

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

She briefly walked through each metric and outlined the name and description, definition of the metric, benchmark, current baseline and relevant data points, a recommended goal, and challenges with the metric of which the Board should be aware. She then turned time to the Board for discussion.

Chair Simmons opened the discussion by reiterating that the Board needs to develop not only system but institution metrics and goals. The question being posed today is whether the Board is comfortable moving forward with these metrics as a starting point and if there are additional metrics they would like to include from a system perspective.

Regent Wright started the conversation by stating that our metrics should have a sense of fluidity and athleticism to them. The Board must not only look at short-term needs of the system and students but also be in it for the long-game. The metrics should be reviewed and monitored at every meeting. He indicated his preference is for more metrics vs. less. He then highlighted his thoughts about the individual metrics being proposed.

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

Not a big fan of this metric to measure affordability. It is a first step, but we should develop additional metrics regarding affordability from a student perspective

- The annual change in total cost per award compared to the annual change in the higher education price index

Regent Wright believes that this metric is very important and one that we should continue to review and refine. We have a responsibility to the students and tax payers to demonstrate how we are effectively utilizing the resources they have given us. Are we providing the best value we can?

- Classroom space utilization

Recognizing that this is a relatively new data set and more information will be coming, Regent Wright expressed that he is a fan of this metric.

Additional thoughts on system metrics (or metrics that we should at least track in some form)

- Construction costs for facilities as compared to the private sector (not the costs from five years ago, but to today's market –are we competitive?)



Regent Clyde agreed that it may be interesting to see this information – maybe not as a system metric, but in the Finance and Facilities or the Capital Facilities Committee. He expressed that we should look at the design phase carefully. If you design the wrong building, costs will increase over time.

- Consider reviewing budget vs. actual expenditures post-construction for each building

Regent Marquardt indicated that he likes the direction that has been presented regarding metrics and the overall number of metrics seems like a reasonable place to start. He shared his specific thoughts on the following metrics.

- Utah's tuition and fee rates as compared to other states  
Similar to Regent Wright, this particular metric is one that seems to work against us. Where we compare to the rest of the country is not resonating with our stakeholders and partners. He recommended that perhaps we look at a metric focused on unmet student financial aid.
- Total number of certificates and degrees awarded between 2011 and 2020  
Using a raw number of awards does not appear to be very useful in measuring timely completion. He recommended perhaps we should move towards a metric that measures the graduation rate for the system as well as the institutions.

President Watkins indicated her support and appreciation for the work of the Commissioner's Office related to system metrics. She is an avid supporter of metrics for the institutions and commented on how well the University of Utah is doing on some very key metrics for their institution.

Regent Jensen indicated his support for system metrics and reiterated that as the Board develops institution metrics and goals, it will be important to ensure that the Board recognize that each institution has different strengths and levels of sophistication. Metrics should be developed for each institution to help enhance and improve overall performance in key areas.

Vice Chair Barnes expressed she feels that proposed metrics are a good step and appear to be focused on addressing key areas of the Board's strategic plan. She expressed her concern that the current recommendation for metrics does not appear to directly address timely completion issues identified by the Regent Work Group earlier this year and specifically for transfer students.

Regent Theurer echoed Vice Chair Barnes and expressed that in every meeting with students, transfer of credit is one of the biggest challenges facing our students. She expressed a strong desire for the system to take action to strengthen the ability for students to transfer as "Juniors" into the receiving institution (including the program majors – not just general education).

Associate Commissioner Liz Hitch shared with the group the efforts that have been made in this area including the 31 different majors meetings and graduation maps that institutions have put into place. To better understand what students are experiencing, the Commissioner's office is doing an analysis of the programs where this appears to be the largest issue and those that affect the largest numbers of students.

President Huftalin shared that from what she has seen and heard for SLCC students, the challenge is Business programs. She indicated she and President Watkins are specifically looking at the transfer issues for SLCC to UU.

Vice Chair Barnes asked the Commissioner to work on incorporating at least one metric for timely completion knowing that it may evolve over time including looking at the IPEDS 150% graduation rate as a starting place.

Regent Theurer also suggested perhaps looking at the new IPEDS Outcomes measures.

Regent Jones asked about a metric for workforce. She mentioned that she has recently become aware of work being done by Gallup to develop an employability metric. She asked the Commissioner to look into this possibility. President Tuminez echoed the importance of finding a metric in this area.

Chair Simmons then shared his concern that the proposed Return on Investment (ROI) measure is one that the Board really cannot influence and does not seem to align as well with the strategic plan. He recommended this metric be removed.

The session then concluded with the following direction provided to staff regarding system and institution metrics from the Chair.

1. Remove the ROI metric
2. Add a system metric related more directly to timely completion such as the IPEDs Outcome or 150% time to graduation
3. Continue to look for a second affordability metric (perhaps as part of the outcome for the tuition and student aid policy review)
4. Work with the institutions to specifically identify metrics and goals which will align with the Board's Strategic Plan
5. Report back in November with a proposal for metrics for the Board to consider and take action on.

**Chair Harris Simmons called the Committee of Whole meeting to order at 12:27 p.m.**

#### President's Report

President Watkins began by saying critical indicators of success are rising and up at the University of Utah (U). Another indicator is that research success and impart are also up. She said she spent her summer on a bus tour; the purpose to get feedback about the U and what people need and how the U can be a more effective partner and meet the needs of the state. She said we heard the same message over and over and that is "we need more talent". In addition to STEM and degrees, they also need more diversity. She noted the U is a destination for people of great talent. In addition to the bus tour this summer, they have recruited three new leaders to the institution. She then invited four students to share their experiences at the U.

Watkins said they are celebrating the U reaching the 70% six year graduation milestone. This has taken the work of everyone on campus. She said access without completion is a hollow promise. We must help people complete the degree they came for. The U is working with Civitas on data analytics; the goal is to identify predictors early and act on them, so we can help more people be successful.

The U has worked very hard on making sure they are reaching talented students and students of color as enrollment increases.

Watkins said she wanted to talk about research and one initiative currently is the Wellness Bus and Driving Out Diabetes. This is designed to help people get screened and receive early detection of diabetes. She said research and scholarships are up and they are very proud of that accomplishment. They have received 515 million in research funding.

The U is also celebrating some new facilities including the Gardner Commons and the Garff Executive Education Building.

Lastly, she mentioned the American Dream Challenge. The U is one of four institutions in the country selected to participate. The aim is part of the American story is a vibrant middle class; that middle class is threatened in the present and is happening here in Utah. The goal is to move the income of 10,000 families by 10 percent by 2020.

Consent Calendar (TAB P)

**On a motion by Regent Marquardt and seconded by Regent Theurer the following items were approved on the Regents' General Consent Calendar**

- A. Minutes – Minutes of the Board meeting July 20, 2018, Southern Utah University, Cedar City, Utah.
- B. Grand Proposals
- C. Awards
- D. Academic Items Received and Approved
- E. Revision to Policy R686, Student Prosperity Savings Program
- F. Revision to Policies R924, R951, and R964

Statewide College Access Advisors (TAB D)

Chair Simmons expressed his excitement about this initiative and noted Utah would be the first state to have a college advisor at every high school. This reflects the Board's strategic plan of Access and Affordability and the work of the working groups. The projected cost is just under six million and would be part of the overall budget priorities submitted. He and Commissioner Buhler have met with some of the legislative leadership and noted they are excited about it as well.

Commissioner Buhler said he is happy to share a few of the details. Just 45 percent of high school seniors go immediately on to college. Many students don't think it's possible for them to go to college or they don't know where to start, or it's complicated and they need help. A recent statewide study shows nine out of ten say college is more important than it was a decade ago and yet only 50 percent felt like college in Utah is accessible to everyone. The University of Utah has been running this program successfully and is currently in twelve high schools, and it has proven very effective in increasing college access as well as completion. They show students with a college access advisor enroll at a rate of 58 percent which is 10 percent above the statewide average and is improved with more meetings with advisors. The students are also more likely to graduate from college, particularly impactful for first-generation students. Of note is that these advisors are "near peer"; they are students who have recently graduated from college and have made a 2-3 year commitment to work in the high schools. The power of this "near peer" is important because students can relate to them. The estimated cost will be approximately 7 million annually once it is fully implemented; we are requesting just under 6 million from the legislature. To fill the gap between the 6 and 7 million we are looking at the resources coming into the Commissioner's Office to repurpose about 1 million.

Regent Theurer said the committee had a good discussion about this and noted one thing that came from the discussion is that there are some things we need to work through. We need to make sure students are being helped in a way that provides opportunities and focus on what institutions may be best for that student; training will be important. We also need to make sure the advisors will be accepted by students into the high schools.

Regent Jones noted high school counselors are overworked and said every counselor she has talked with has expressed how wonderful this initiative is to augment their work. She is very excited about this and can think of nothing else that will help to achieve the goals of the Board.

Regent Ortega said this is a win-win for students and college advisors. This is a great foundation for students to get connected to the institution they want to attend. We must maintain affordability

Regent Larsen said there are a lot of things to navigate to attend college; the need is there for helping students navigate the system.

Regent Theurer said we need to make clear that these advisors are to advise each student on their own pathway.

Regent Barnes noted that fit is critically important and that is how everyone wins. She said there is a huge amount of FASFA money that is not claimed and the opportunity to have students access that money is critical in helping them be successful. Another critical piece is to have someone there to help a student regardless of demographic area. Helping student be successful is why we are all here.

Regent Wright said it is a proud moment to be a member of the Board. This is an exciting opportunity for the Board of Regents to lead.

**Regent Jones made a motion to approve as outlined in TAB D; the motion was seconded by Regent Barnes and the motion passed.**

Utah State Board of Regents 2019-2020 Meeting Schedule Approval (TAB Q)

**Regent Wright made a motion to approve as outline in TAB Q; the motion was seconded by Regent Ortega and the motion passed.**

USHE – FY2020 Operating Budget Request (TAB R)

Commissioner Buhler noted the budget aligns with the Board's strategic plan. He noted he has been working with presidents to develop the recommendation. The plan calls for an annual revenue increase equivalent to approximately 58.2 million in new tax funds, not including compensation. Tuition recommendations will come to the Board after the legislative session. **Regent Anderson made a motion to approve as outlined in TAB R; the motion was seconded by Regent Lund and the motion carried.**

USHE – Prioritization of Institutional State-Funded Capital Development Projects for 2019-20 (TAB A)

Regent Clyde noted all scores provided by Regents were used to determine the scoring for projects. The committee met yesterday to assign discretionary points and provided details on how the points were assigned.

The rankings are as follows:

1. Dixie State University – New Science Building
2. Weber State University – Noorda Engineering
3. Utah Valley University – Business School
4. Southern Utah University – Technology Engineering Design
5. Salt Lake Community College – Herriman Campus General Ed
6. University of Utah – Interdisciplinary Physical Science
7. Snow College – Social Science and General Education
8. Utah State University – Center Languages and Cultures

Regent Clyde moved to approve the recommended Regent Priority Points and capital facilities prioritization for 2019-2020 as outline in the handout to be communicated to the State Building Board, the Governor, and the State Legislature; the motion was seconded by Regent Jensen and the motion carried.

#### Academic and Student Affairs

Revision of Regent Policy R401, Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports. (TAB C)

Regent Theurer noted the change in policy is to add a new Bachelor degree. **Regent Theurer made a motion to approve as outlined in TAB C; the motion was seconded by Regent Ortega and the motion passed.**

Access, Affordability, Completion, and Workforce Development Pass-through Funds to Institutions (TAB E)  
Regent Theurer noted this is an annual report. **This is an information item only; no action was taken.**

Outreach and Access Updates: USHE Conference for Counselors and School Administrators and The Expect the Great Conference for Students. (TAB F)

Regent Theurer noted this is an annual report. **This is an information item only; no action was taken.**

University of Utah – Enrollment Strategies Presentation

Regent Theurer noted this presentation was given by Mary Parker with the University of Utah and was very informative.

#### Finance and Facilities

USHE – Tuition and Student Aid Policy and Study Update (TAB G)

Regent Stoddard noted there was a healthy discussion. The report asked the committee to consider several questions regarding the current tuition policy for the committee to consider as it expands its discussion regarding college affordability and tuition and student aid policies. The policy will come to the Board at the November meeting. Regent Wright applauded the committee for taking a look at the overall way we are addressing tuition increases. Regent Larson stated she believes that any committee addressing tuition should include the current Student Regent.

USHE – Adoption of Policy R571, *Noncapital Asset Inventory and Tracking* (TAB H)

Regent Stoddard noted this discussion is based on recommended changes from the Legislative General Auditor that came from the audit called A Performance Audit of Inventory and Security Controls at Institutions of Higher Education.

Southern Utah University – Institutional Residence Repurposing and Designation (TAB I)

Regent Stoddard noted SUU is requesting approval to repurpose the current institutional residence into a Sorenson Legacy Foundation Child and Family Development Center and designate the recently acquired residence at 11 N 200 W in Cedar City as the institutional residence as allowed under Regent Policy R207.

**Regent Stoddard moved to approve as outlined in TAB I; the motion was seconded by Regent Anderson and the motion carried.**

Utah Valley University – Property Acquisition (TAB J)

Regent Stoddard noted this request is to approve approximately 60 acres of commercial/industrial land adjacent to UVU-owned property at 1200 N Mill Rd in Vineyard, Utah for \$12,900,000 (less than the appraised value of \$13,000,000) using institutional funds. **Regent Stoddard moved to approve as outlined in TAB J; the motion was seconded by Regent Barnes and the motion carried.**

Salt Lake Community College – Property Disposal (TAB K)

Regent Stoddard noted this request is to sell 38.3 acres of undeveloped property at the Jordan Campus for 6,000,000 (above the appraised value of \$5,840,000). The proceeds will be used towards the construction of the Herriman Campus project. **Regent Stoddard moved to approve as outlined in TAB K; the motion was seconded by Regent Jensen and the motion carried.**

USHE – Revision of Regent Policy R571, *Procurement* (TAB L)

Regent Stoddard noted the changes to the States Procurement Code require additional revision to R571. The proposed policy changes will align the Regent policy with statute and continue to provide procurement governance and guidance for the System of Higher Education. **Regent Stoddard moved to approve as outlined in TAB L; the motion was seconded by Regent Clyde and the motion carried.**

Utah State University – Trustee Property Actions (TAB M)

**Regent Stoddard noted this is an information item only; no action was taken.**

Salt Lake Community College – Trustee Property Actions (TAB N)

**Regent Stoddard noted this is an information item only; no action was taken.**

USHE – Annual Report on Foreign Gifts and/or Donations (TAB O)

**Regent Stoddard noted this is an information item only; no action was taken.**

Regent Theurer motioned to adjourn meeting; the motion was seconded.

The meeting adjourned at 1:49 p.m.

Date Approved:

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Loreen Olney, Executive Secretary

November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: Amendment to the Utah State Board of Regents 2018-2019 Meeting Schedule

Issue

In compliance with Utah Code and the Open Public Meetings Act, the Utah State Board of Regents is required to give public notice at least once a year of its annual meeting schedule. For this reason in addition to scheduling purposes, the schedule for the 2018-2019 academic year was approved at the Board's September 2017 meeting. Since the September Board meeting, the following date has been added to the 2018-19 schedule.

- March 28, 2019

Commissioner's Recommendation

The Commissioner recommends the approval of the amended State Board of Regents meeting schedule for the academic year 2018-2019.

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David L. Buhler  
Commissioner of Higher Education

DLB/LO

November 7, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: USHE – System Strategic Metrics

Issue

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

Background

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

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

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

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

At the July and September 2018 Board meetings, the Board received several possible system metrics for their discussion and consideration. After both of these meetings, the Board asked for additional information and directed the Commissioner to continue to work with the institutions to refine the metrics to best align with the Board's strategic objectives outlined in its 2025 Strategic Plan.



As a result of the work of the Board, Commissioner and staff, and institutions are advancing the following list of system metrics for final consideration and action of the Board. These metrics will be incorporated into the Board's Strategic Plan and the Board will receive annual updates on performance related to these system metrics.

- **General Attainment:** Increase in the total number of certificates and degrees awarded between 2011 and 2020
- **Access:** Five-year college participation rate of high school graduates
- **Affordability:** Average tuition and fees at USHE four-year universities as a share of the state's median household income
- **Timely Completion:** IPEDs awards granted within eight years
- **Workforce and Research:** Annual number and percentage of degrees and certificates in DWS 5-star occupation related programs
- **Effective Use of Resources:** Change in total cost per award compared to change in HEPI
- **Effective Use of Resources:** Instruction-related classroom space utilization

The Board recognizes that these metrics are a starting point related to system performance and has directed the Commissioner's Office to continue to refine the metrics and identify future metrics associated with affordability, tracking the impact of student transfers, and to identify measures that could be used to assess academic quality and workforce impact and report back to the Board as new metrics are developed.

#### Commissioner's Recommendation

The Commissioner recommends that the Board review and approve the attached system metrics.

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David L. Buhler  
Commissioner of Higher Education

DLB/KLH  
Attachments

Board of Regents Strategic Plan 2025  
System Metrics Update  
November 2018

**General Attainment Metric**

Increase in the total number of certificates and degrees awarded by  
USHE institutions between 2011 and 2020

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

**Definition:** The cumulative number of certificates and degrees awarded by USHE institutions within the system as compared to the 2020 goal. To achieve the 2020 goal each year from 2012 to 2020 has a target number of award increases, which will be measured against actual awards.

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

**Current Baseline:**

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

**Goal:** A 25 percent increase (cumulative total amount of 336,950) USHE certificates and degrees awarded from 2011 to 2020 and annual achievements of at least 100 percent of the goal set for that year.

**Data report:** Higher Education 2020 Report, Annual reports from USHE Institutional Research (IR)

Board of Regents Strategic Plan 2025  
System Metrics Update  
November 2018

*Access / Participation Metric*  
The Five-year College Participation Rate of High School Graduates

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

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

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

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

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

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

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

**Future Metrics:** The Board may want to consider a metric to capture adult student participation rates in addition to high school graduates and look at disaggregated data based on gender, race and ethnicity.

**Affordability Metric**  
 Average Tuition and Fees at USHE Four-Year Universities  
 as a Share of Median Household Income

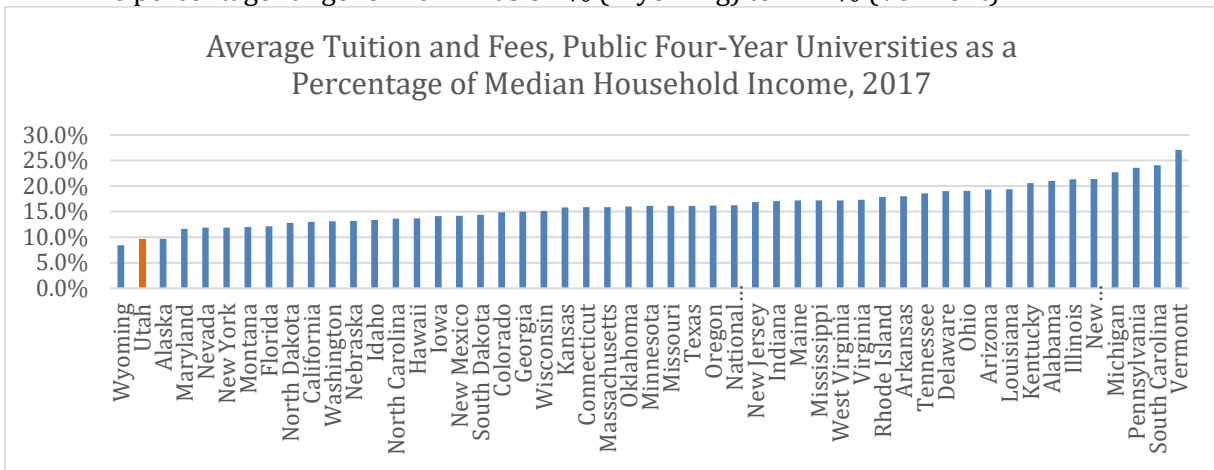
**Reported at system level.** New metric published by 1-year American Community Survey (ACS) data. This metric reviews how the average tuition and fee rate for public four-year universities in each state compares to the state’s median household income.

**Definition:** Rank of USHE’s average published tuition and fee rates as a percentage of the state’s median household.

**Benchmark:** The 1-year American Community Survey data will be used to track and monitor this metric (or the underlying data sources may be used in the future).

**Current Baseline:** The Current baseline data is based on 2017 average tuition and fees for public four-year institutions (not based on Carnegie classification) and state median household income.

- **Utah:** For 2017 Utah ranks 2<sup>nd</sup> in the nation for the lowest public four-year universities average tuition and fees as a percentage of median household income (9.6% overall for all students)
- **National Average:** For 2017, the national average tuition and fees for public four-year universities as a percentage of median household income was 16.2% for all students. The percentage range for 2017 was 8.4% (Wyoming) to 27.1% (Vermont)



**Goal:** The average tuition and fees for all public four-year universities in Utah should not exceed 10% of the state’s median household income for the corresponding year.

**Data Reported:** <https://www.cbpp.org/research/state-budget-and-tax/unkept-promises-state-cuts-to-higher-education-threaten-access-and> Utilizes data from the following data sources: Sources: 1-year American Community Survey data, Table B19013, <https://factfinder.census.gov/faces/nav/jsf/pages/searchresults.xhtml?refresh=t>, “College Board, “Trends in Higher Education Finance,” Table 5, Public Four-Year In-State Tuition & Fees, current dollars, <https://trends.collegeboard.org/college-pricing/figures-tables/list>.

**Future Metric:** Average Tuition and Fees for public two-year colleges as a percentage of the state’s median household income.

***Timely Completion Metric***  
**IPEDs Awards Granted Within Eight Years**

**Reported at system level.** Using the new Integrated Postsecondary Education Data System (IPEDS) outcomes report, the system will track the percentage of USHE students who receive an award within eight years of enrolling.

**Definition:** Percentage of USHE students who receive an award within eight years of enrolling.

**Benchmark:** The metric will be calculated using the IPEDS Outcomes data survey and will look at annual system eight-year award rates for students.

**Current Baseline:** For 2017, the IPEDS eight-year award rate for USHE students was approximately 40.6%.

|                  | IPEDS Cohort | Number of USHE IPEDS Cohort Awards within 8 years | % of USHE IPEDS Cohort Awards within 8 years |
|------------------|--------------|---|--|
| <i>USHE 2017</i> | 41,406       | 16,836  | 40.6%  |

**Goal:** The system will increase its percentage of the USHE IPEDS cohort receiving awards within eight years to 45% by 2025.

**Data Reported:** The information is currently reported by institutions to IPEDS through annual survey collection.

**Challenges with this metric:** This is a relatively new data source from IPEDS and definitions of student cohorts continue to evolve. The current data set cannot be disaggregated by gender, race and ethnicity and does not capture 100% of USHE enrollments. Additionally, IPEDS data does not account for the impact of ecclesiastical service that students may engage in which impacts post-secondary participation and completion.

**Future Possible Metric (Transfer):** It is strongly recommended that the Board identify a meaningful metric to measure and assess transfer within the USHE system and that the Board include future metrics disaggregated by gender, race and ethnicity when available. It is also recommended that the Board consider future metrics which include completion by award type disaggregated by demographics; retention rate; credits and time to degree.

**Workforce Metric**  
Annual Number and Percentage of Degrees and Certificates  
in Utah Department of Work Services (DWS) 5-Star Occupation Related Programs

**Reported at system level.** This metric is designed to measure how the annual number and percentage of USHE degrees and certificates awarded in 5-star occupations compare to total USHE awards granted in programs leading to employment in those occupations and if that reflects total employment opportunities in 5-star occupations as compared to all available occupations.

**Definition:** Annual number and percentage of degrees and certificates awarded in DWS 5-star occupation related programs out of total awards granted as compared to percentage of total employment opportunities in 5-star occupations as compared to all available occupations.

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

**Current Baseline:**

- In 2017, USHE institutions awarded 9,901 degrees and certificates in 5-Star Occupation related programs. This represented an increase of 257 awards (2.7%) over the previous year.
- In 2017, 27% of all USHE degrees and certificates were awarded in 5-Star Occupation related programs.
- In 2017, DWS reports that 5-Star Occupations represent 12.9% of all occupations and 23.8% of available job openings in Utah.

|   | 2011-12 | 2012-13 | 2013-14 | 2014-15 | 2014-15 | 2016-17 |
|---|---------|---------|---------|---------|---------|---------|
| <i># of Awards in 5 Star Job Programs</i> | 8,373   | 8,710   | 8,930   | 9,403   | 9,644   | 9,901   |
| <i>% of Awards in 5 Star Job Programs</i> | 27%     | 27%     | 27%     | 29%     | 29%     | 27%     |

**Goal:**

- USHE will work toward increasing the annual number of degrees and certificates granted in 5-Star Occupation related programs by at least 3% each year.
- USHE will work toward increasing the percentage of degrees and certificates granted in 5-Star Occupation related programs to 30 percent of all awards by 2025.

**Data Reported:** Data is reported in the Performance Based Funding Model prepared by the USHE and the Institutional Research (IR) office. Workforce Data provided by DWS.

*Use of Resources Metric (Capacity and Growth)*  
Change in Total Cost per Award

**Reported at system level.** This metric measures the five-year rolling average change in cost per certificates and degrees (awards) granted compared to the five-year rolling average change in the Higher Education Price Index (HEPI).

**Definition:** The five-year rolling average change in the total cost per award as calculated by the total awards granted by an institution divided by the corresponding year’s operating expenses averaged over five years.

**Benchmark:** This metric will be measured against 95 percent of the five-year rolling average change in the HEPI.

**Current Baseline:**

- The five-year rolling average USHE average change in total cost per award granted from FY16 to FY17: 1.7%
- The five-year rolling average change in HEPI annual change from FY16 to FY17: 1.3%
- 95 percent of five-year rolling average change in HEPI FY16 to FY17: 1.2%

| Year    | Five-year Average % Change in USHE Cost per Award | Five-year Average Change in HEPI | 95% of the Five-year Change in HEPI |
|---------|---|----------------------------------|-------------------------------------|
| 2016-17 | 1.7%  | 1.3%                             | 1.2%                                |
| 2015-16 | 2.1%  | 1.5%                             | 1.4%                                |
| 2014-15 | 2.1%  | 1.8%                             | 1.7%                                |
| 2013-14 | -0.4%   | 1.8%                             | 1.7%                                |
| 2012-13 | -0.8%   | 1.8%                             | 1.7%                                |

**Goal:** The five-year rolling average change in total cost per award granted is no more than 95% of the five-year rolling average change in HEPI.

**Data reports:**

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

*Use of Resources (Capacity and Growth) Metric*  
Instruction-related Classroom Space Utilization

**Reported by institution.** This metric measures the utilization rates for classrooms at the USHE institutions. The utilization is based on two measures: (1) room utilization, and (2) station occupancy rates. This metric is intended to show the Board how well an institution is meeting the standard utilization expectation.

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

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

**Current Baseline:**

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

***Fall 2016 Institution Space Utilization Scores***

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

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

**Data report:**

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

[https://higheredutah.org/pdf/agendas/20180330/TABL\\_2018-03-30.pdf](https://higheredutah.org/pdf/agendas/20180330/TABL_2018-03-30.pdf)

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



November 7, 2018

MEMORANDUM

TO: State Board of Regents

FROM: David L. Buhler

SUBJECT: USHE – Institution Strategic Metrics

Issue

The Board is actively engaged in establishing both system and institution metrics that will measure and assess the Board's and institutions' progress in achieving the overarching higher education goal to "[i]ncrease the educational attainment of Utahns to enhance their overall quality of life, and to meet Utah's current and future workforce needs." The Board is asked to review and discuss the initial submission of USHE institution metrics.

Background

Utah code 53B-1-102, updated in 2017, outlines key roles and responsibilities for the Board of Regents including the responsibility to "establish measurable goals and metrics and delineate the expected contributions of individual institutions of higher education towards these goals." The Board has been actively engaged in this work beginning with the adoption of its 2025 Strategic Plan in January 2016.

In order to facilitate the development of metrics and goals, the Board identified four key performance areas important to the overall success of higher education in the state of Utah including: (1) Affordable Access, (2) Timely Completion, (3) Workforce and Research, and (4) Capacity and Growth.

Over the last year, the Board has engaged in several conversations focused on the need to create meaningful metrics for both the system and the institutions designed to measure the impact and efficiency of the Utah System of Higher Education (USHE). At the July and September 2018 Board meetings, the Board received several possible system metrics for their discussion and consideration. After both of these meetings, the Board asked for additional information and directed the Commissioner to continue to work with the institutions to refine the system metrics to best align with the Board's strategic objectives outlined in its 2025 Strategic Plan to be finalized at its November meeting

In addition to the proposed system metrics, the Board has requested that the Presidents submit five performance metrics that focus on assessing institutional performance towards meeting the Board's programmatic Strategic Objectives (Affordable Access, Timely Completion, and Workforce and Research); encapsulate the top performance priorities for the institution and role within the system; and identify areas for improved institutional performance for the Board's review and consideration as it delineates the expected contribution of the individual institutions of higher education towards achieving the Board's overarching higher education goal.

As of end of October, each institution has submitted possible institution metrics and goals (attached) for the Board's consideration to the Commissioner's Office as directed by the Board Chair and Commissioner. The Commissioner's staff is currently working to review and assess the metrics and goals submitted by each institution on behalf of the Board.

The initial metrics submitted by institutions include the following types of metrics:

- Access: College participation rates of specific populations (SUU, SNOW, UVU, SLCC)
- Affordability: Tuition and fee comparisons to peers (WSU, SUU, DSU)
- Affordability: Tuition and fee comparisons to median income levels (SNOW)
- Affordability: Student aid access and impact (SNOW, DSU)
- Completion: Number of awards granted (USU, WSU, UVU)
- Timely Completion: Student retention rates (UU, USU, WSU)
- Timely Completion: IPEDS 6-year graduation rate (UU, SNOW, UVU, SLCC)
- Timely Completion: IPEDS 8-year out outcomes report (SUU, DSU)
- Timely Completion: Student Engagement in High Impact Practices (HIPs) (WSU, SNOW)
- Timely Completion: Student transfer conversion rates (SLCC)
- Workforce & Research: Total research funding (UU, USU)
- Workforce & Research: Mission focused (UU Health System Quality, USU Extension Engagement)
- Workforce & Research: Degrees in key high demand areas (UU, SUU, SNOW, DSU)
- Workforce & Research: Graduates employed within 1 year (WSU)
- Workforce & Research: Graduate salary compared to cost of attendance (UVU)
- Workforce & Research: Non-credit CTE industry certifications (USU)
- Workforce & Research: CTE graduates salary vs. median income within 1 year (SLCC)

Copies of the institution metric submissions are included in the associated attachments and Presidents are prepared to give a short presentation to the Board highlighting how these metrics best address the Board's request for the institutions five key performance metrics.

#### Commissioner's Recommendation

The Commissioner recommends that the Board direct the Commissioner to work with institution presidents to refine the proposed metrics to ensure that metrics and goals advanced for final consideration are well-aligned to the programmatic Strategic Objectives, focused on meaningful improvement, and are appropriately benchmarked.

The Commissioner also recommends that the Board require that a final report on institution specific metrics be presented to the Board at the January 2019 meeting for final consideration and action by the Board.

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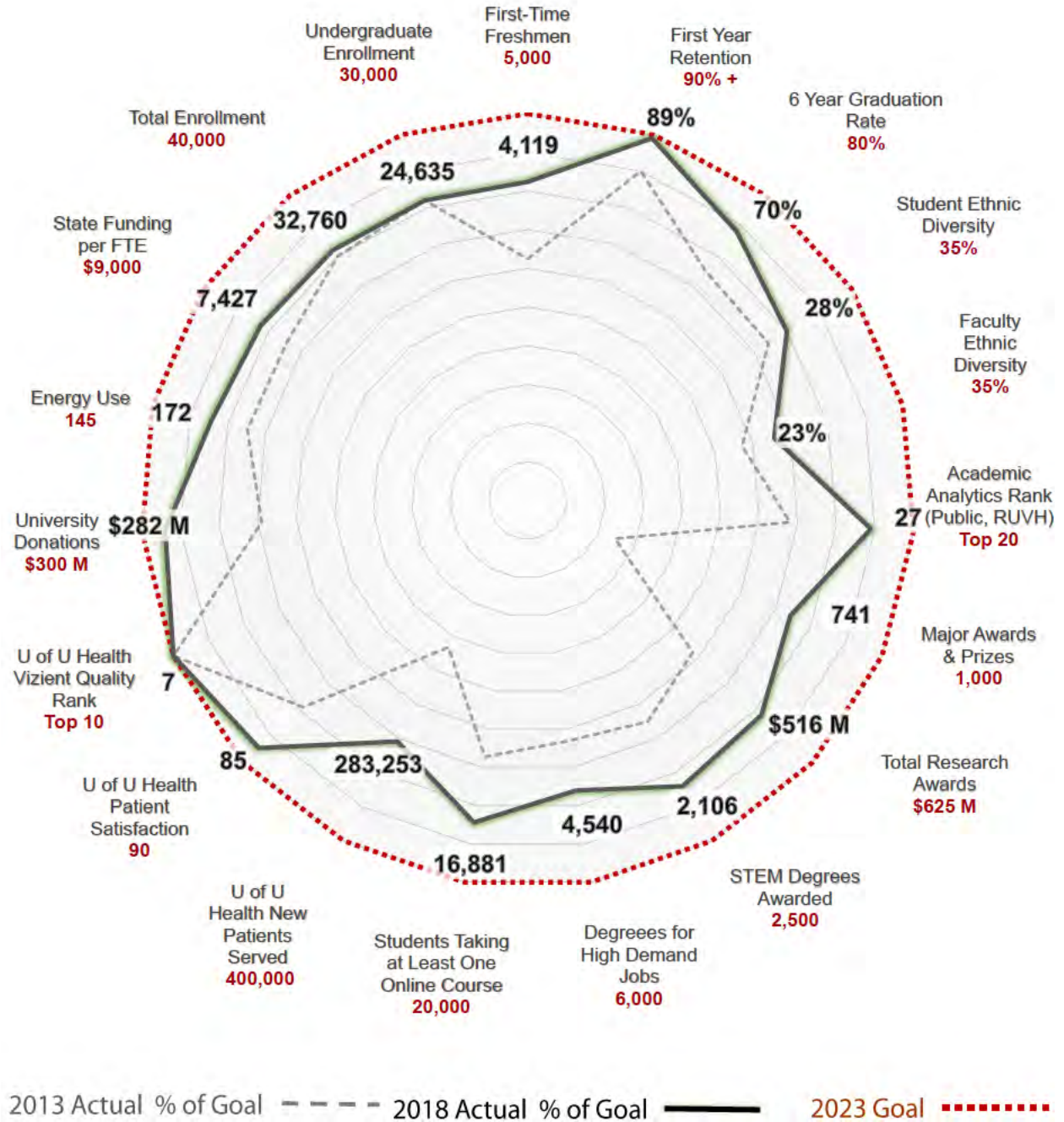
David L. Buhler  
Commissioner of Higher Education

DLB/KLH  
Attachments

# University of Utah Metrics

## Enterprise-Wide Dashboard

The University of Utah has developed an enterprise-wide dashboard to measure institutional vitality, including students and education; faculty, research and innovation; patient care; and financial health. The dashboard illustrates institutional progress from 2013 (inside gray dotted line) to 2018 (red line), and identifies five-year targets (outer black line).



### Five Key Metrics for USHE (Subset of Enterprise-Wide Dashboard)

To align with our enterprise-wide aims, we have identified five metrics from the enterprise-wide dashboard to highlight as our USHE indicators. These five metrics are selected because: (a) they are all central to performance as Utah’s flagship institution, (b) they represent a balanced snapshot of our overall mission, and (c) they are relevant for national benchmarking and how we are viewed by other flagship institutions, and they have standard, easily replicable definitions.

| METRIC 1: First-Year Retention  |                  |  |                              |  |
|---|------------------|--|------------------------------|--|
| Definition  | Benchmark        | Current Baseline   | Goal 2023                    | Data Report  |
| A nationally used benchmark, first-year retention is the percentage of first-year students who return to the same institution for their second year | Fall 2018: 88%   | Five-Year Trend: Rising<br><br>Fall 2014=89%<br>Fall 2015=89%<br>Fall 2016=90%<br>Fall 2017=91%<br>Fall 2018=89%           | Consistently at or above 90% | First-year retention is a standard IPEDS metric with a well-established, shared definition. It is also available in UU institutional analysis and our core dashboard. IPEDS lags institutional data by one year. |
| METRIC 2: Six-Year Graduation Rate  |                  |  |                              |  |
| Definition  | Benchmark        | Current Baseline   | Goal 2023                    | Data Report  |
| A nationally used benchmark, six-year graduation rate is the percentage of students who complete their baccalaureate degree within 150% time.       | Fall 2018: 69.5% | Five-Year Trend: Rising<br><br>Fall 2014=62.2%<br>Fall 2015=63.8%<br>Fall 2016=65.2%<br>Fall 2017=67.4%<br>Fall 2018=69.5% | At or above 75%              | Six-year graduation rate is a standard IPEDS metric with a well-established, shared definition. It is also available in UU institutional analysis and our core dashboard.  |

|  |  |  |  |  |
|--|--|--|--|--|
|  |  |  |  | IEPDS lags institutional data by one year. |
|--|--|--|--|--|

**METRIC 3: Total Research Funding**

| Definition   | Benchmark       | Current Baseline   | Goal 2023       | Data Report   |
|--|-----------------|--|-----------------|---|
| A nationally used benchmark, total research funding is the total funding awarded in a year in support of research. | FY 2018: \$515M | Five-Year Trend: Rising<br><br>FY2014=\$388m<br>FY2015=\$417m<br>FY2016=\$438m<br>FY2017=\$459m<br>FY2018=\$515m | FY 2023: \$625M | Total research funding is a nationally reported metric (Common Data Set), and is also available in UU institutional analysis and our core dashboard. A submetric, total federal research funding, is also available in national reports, such as CDS, and is particularly relevant as we seek AAU membership. |

**METRIC 4: Health System Quality Ranking/Patient Experience**

| Definition   | Benchmark   | Current Baseline   | Goal 2023              | Data Report  |
|--|---|--|------------------------|--|
| Every year, UU Health receives a quality and patient satisfaction ranking from the Vizient review of academic medical centers. This is a widely utilized, national | Fall 2018:<br><br>#5 nationally for ambulatory care<br><br>#7 nationally for inpatient care | Five-Year Trend:<br><br>UU Health has consistently ranked in the top 10 nationally for quality care and patient satisfaction. Only Mayo Hospitals and Clinics has also | Consistently in Top 10 | Vizient rankings are publicly available, standard measures. UUHealth quality indicators are incorporated in UU institutional data and in the core dashboard. |

| benchmarking study.   |  | achieved this status.  |                                   |   |
|---|--|--|-----------------------------------|---|
| METRIC 5: Degrees Awarded in High-Demand Areas for Utah's Economy and Workforce   |  |  |                                   |   |
| Definition  | Benchmark                                      | Current Baseline   | Goal 2023                         | Data Report   |
| Utah's Division of Workforce Services has identified areas of particular workforce demand and the degrees that align with them. Degrees awarded in high demand areas is the total degrees (UG and G) awarded in these areas by year. Percent of total awarded in Utah is also provided. | 2018:<br><br>4,469 degrees<br><br>55% of total | Five-Year Trend:<br><br>Increasing<br><br>Total degrees awarded in high demand areas has increased steadily over the past five years<br><br>(see data below) | 6,000 degrees<br><br>60% of total | This metric is reported in UU institutional data and on our core dashboard. In addition, the metric can be obtained for UU and all USHE institutions through USHE annual reports on degrees awarded by area, using the high-demand areas identified by DWS. |

DEGREES AWARDED: **HIGH DEMAND** ALL OTHERS

| Fiscal Year | High Demand | All Others | Total | High Demand % | All Others % |
|-------------|-------------|------------|-------|---------------|--------------|
| 2013-2014   | 3,768       | 3,858      | 7,626 | 49.4%         | 50.6%        |
| 2014-2015   | 4,000       | 3,961      | 7,961 | 50.2%         | 49.8%        |
| 2015-2016   | 4,092       | 3,694      | 7,786 | 52.6%         | 47.4%        |
| 2016-2017   | 4,540       | 3,605      | 8,145 | 55.7%         | 44.3%        |
| 2017-2018   | 4,469       | 3,705      | 8,174 | 54.7%         | 45.3%        |

Board of Regents Strategic Plan 2025  
Utah State University – Performance Measures

Metric Name: **1-Year Retention Rate**

Metric Description: A measure of the university’s success in retaining students after their first year.

Definition: The retention from year 1 to year 2 reported by the University to IPEDS for the first-time, full-time, 4-year degree-seeking cohort

Benchmark: 70.4% (average of the past five reported years: 2012-2016)

Current Baseline:

| Fiscal Year            | 2012  | 2013  | 2014  | 2015  | 2016  |
|------------------------|-------|-------|-------|-------|-------|
| 5 year rolling average | 71.8% | 71.4% | 71.0% | 71.1% | 70.4% |

Goal: The benchmark for this metric is the annual increase of 1.0% in the 5 year rolling average from the current baseline.

Data report: Utah State University Retention/Graduation Report of full-time, first-time, bachelor’s degree-seeking cohorts as reported to IPEDs

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Board of Regents Strategic Plan 2025  
Utah State University – Performance Measures

Metric Name: **Degrees and Certificates Awarded at USU (Attainment Metric).**

Metric Description: Increase in the total number of degrees and certificates awarded by USU each year.

Definition: The annual percentage increase in the total number of degrees and certificates awarded by USU each academic year when compared to the total number of degrees and certificates awarded in the prior academic year, with both annual and ten-year cumulative goals.

Benchmark: Academic year 2018; the total was 6,468.

Current Baseline:

| Fiscal Year            | <u>2014</u> | <u>2015</u> | <u>2016</u> | <u>2017</u> | <u>2018</u> |
|------------------------|-------------|-------------|-------------|-------------|-------------|
| Degrees & Certificates | 5,660       | 5,944       | 6,161       | 6,359       | 6,468       |

Goal: In order to achieve a 20% increase in degrees and certificates awarded over ten years, the average annual increase in total degrees and certificates awarded by USU will be 2%.

Data report: Total Degrees and Certificates Awarded as reported to IPEDS (Common Data Set)

Board of Regents Strategic Plan 2025  
Utah State University – Performance Measures

Metric Name: **Research Expenditures**

Metric Description: Quantification of research productivity and growth in terms of funding.

Definition: Total dollar amount of sponsored awards

Benchmark: Three-year rolling average of annual funding of sponsored awards.

Current Baseline: \$181,086,000

| Fiscal Year               | 2013          | 2014          | 2015          | 2016          | 2017          |
|---------------------------|---------------|---------------|---------------|---------------|---------------|
| Expenditures (3 year avg) | \$163,291,000 | \$161,771,000 | \$167,770,000 | \$175,183,000 | \$181,086,000 |

Goal: Exceed previous year's reported amount.

Data report: Annual reported amount of sponsored awards from the USU Sponsored Programs Accounting office.

Board of Regents Strategic Plan 2025  
Utah State University – Performance Measures

Metric Name: **Extension Engagement -- Statewide Activities**

Metric Description: This measures Direct and Indirect Contacts recorded for the USU Cooperative Extension's statewide engagement activities and programs as reported for federal and state reporting.

Definition: Direct and Indirect contacts for Cooperative Extension's engagement activities.

Benchmark: Rolling 3-year average

Current Baseline:

| Fiscal Year                 | 2015      | 2016      | 2017      | 2018      |
|-----------------------------|-----------|-----------|-----------|-----------|
| Total Contacts (3-year avg) | 4,811,413 | 4,246,187 | 4,987,706 | 4,853,336 |

Goal: Meet or exceed the 2017-2018 rolling average of 4,853,336 Direct and Indirect Contacts

Data report: NWCCU accreditation metrics scorecard

Board of Regents Strategic Plan 2025  
Utah State University – Performance Measures

Metric Name: **Career and Technical Education**

Metric Description: Students in non-credit programs who passed industry recognized certifications.

Definition: Students in non-credit programs who passed courses or exams that produced certificates or licenses that are recognized by industry or the state. Training certifications required for continuing employment were also included.

Benchmark: We will benchmark off previous year.

Current Baseline:

| Fiscal Year                 | 2014 | 2015 | 2016 | 2017  | 2018  |
|-----------------------------|------|------|------|-------|-------|
| Certifications (3-year avg) | 785  | 910  | 910  | 1,034 | 1,185 |

Goal: Increase by 5% and continue to look for additional areas where expansion in the future is possible. Identify future training needs by working with state/local groups such as BEAR (Business Expansion and Retention), PAC (Program Advisory Committee), and DWS (Division of Workforce Services).

Data report: COBI (Compendium of Budget Information) report

## **Weber State University 2018-2019 Metrics**

### **WSU Institutional Metrics Summary**

Metric 1: Affordability

Metric 2: Student Engagement

Metric 3: Student Retention

Metric 4: Degree Output

Metric 5: Workforce

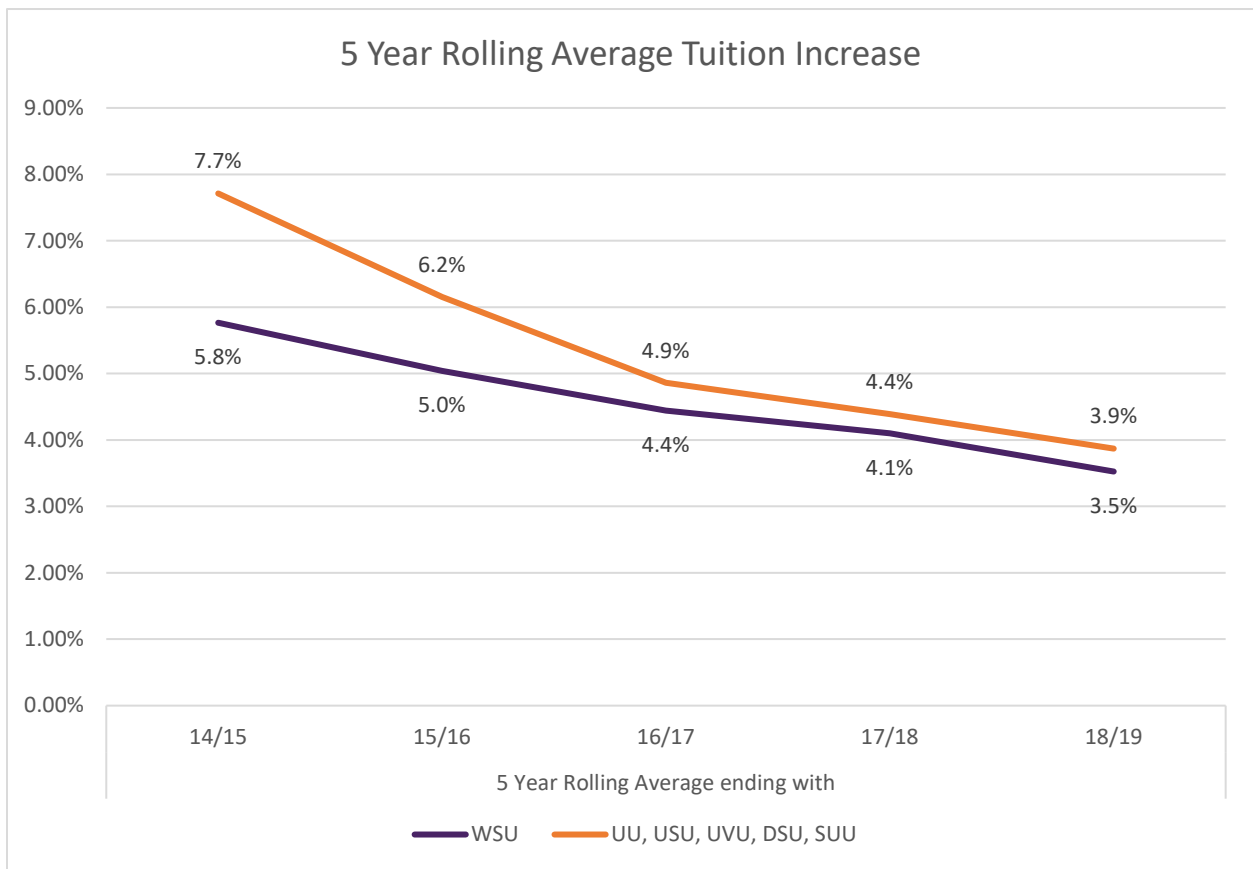
## WSU Institutional Metric 1: Affordability

**Definition** – WSU 5-year tuition rate increase rolling average

**Benchmark** – Combined 5-year tuition rate increase rolling average for University of Utah, Utah State University, Dixie State University, Utah Valley University, and Southern Utah University

**Current Baseline description** – Past 5 5-year tuition rate increase rolling average

**Goal** – WSU tuition increase rolling average will be less than the combined rolling average of the other Utah public universities



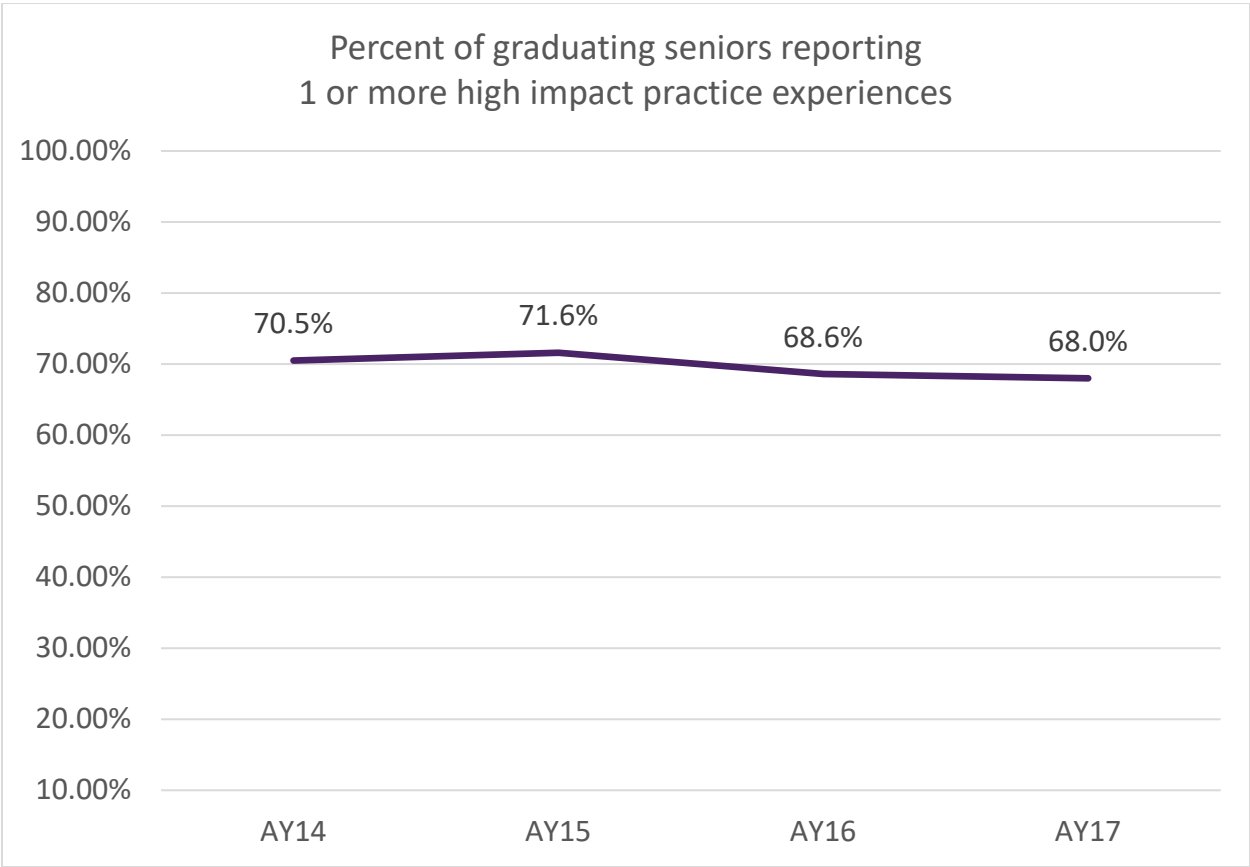
## WSU Institutional Metric 2: Student Engagement

**Definition** - Percentage of students participating in engaged learning experiences. This is derived from a survey of graduating WSU students.

**Benchmark** – Two thirds of graduating WSU students will report at least 1 high impact experience.

**Current Baseline description** – Four previous administrations of the Graduate Survey.

**Goal** – Increase participation in at least one high impact experience to 75% by AY 2022-2023



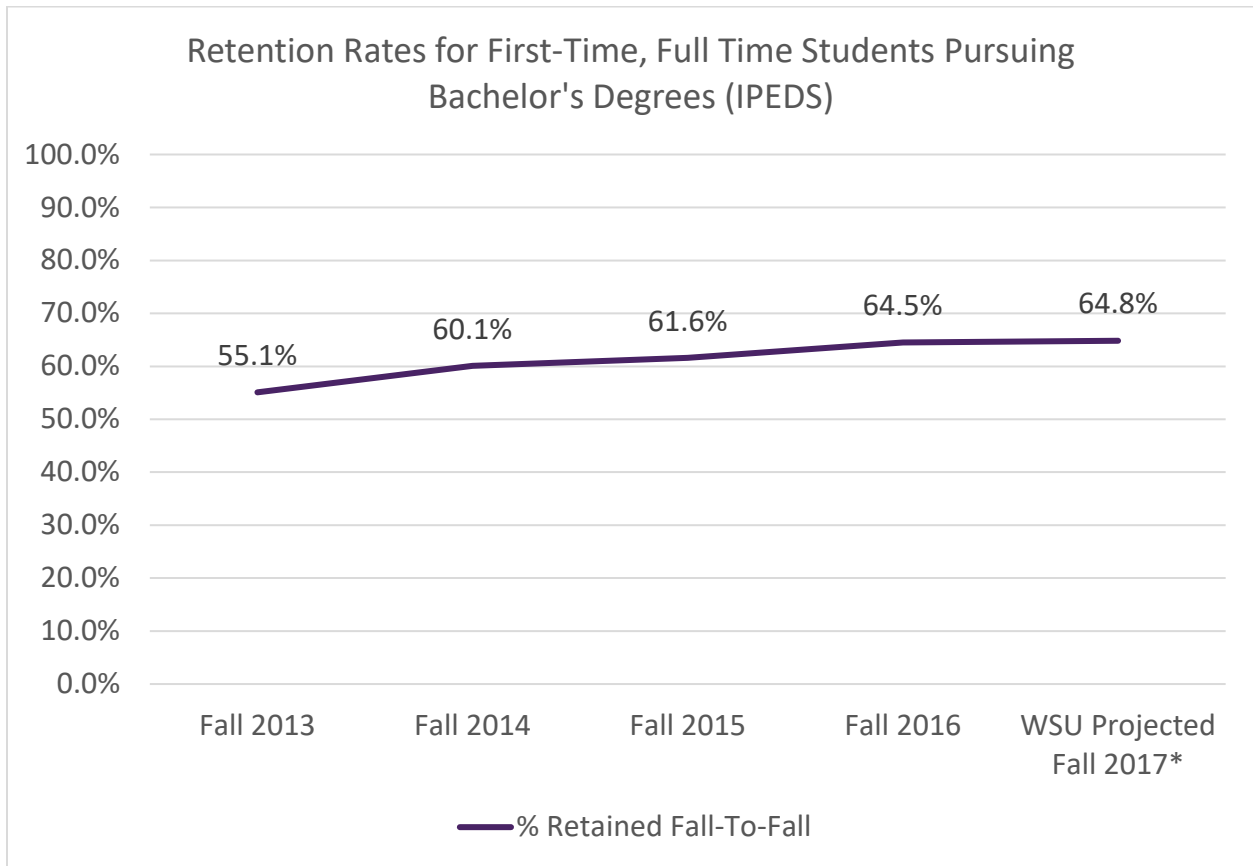
### WSU Institutional Metric 3: Student Retention

**Definition** - Percentage first-time, full-time, bachelor seeking students Fall-to-Fall retention rates as reported to IPEDS.

**Benchmark** – most recent WSU results versus previous results

**Current Baseline description** – 5 most recent years of IPEDS submissions

**Goal** - Increase WSU IPEDS retention rate 1% a year. Last five year average 2.4% rate of change.



\* - Projected Fall 2017 is a WSU projected result using a conservative estimate of student exclusions. Final exclusion data for WSU will be available in Feb. 2019. The results will reported to IPEDS in April 2019.



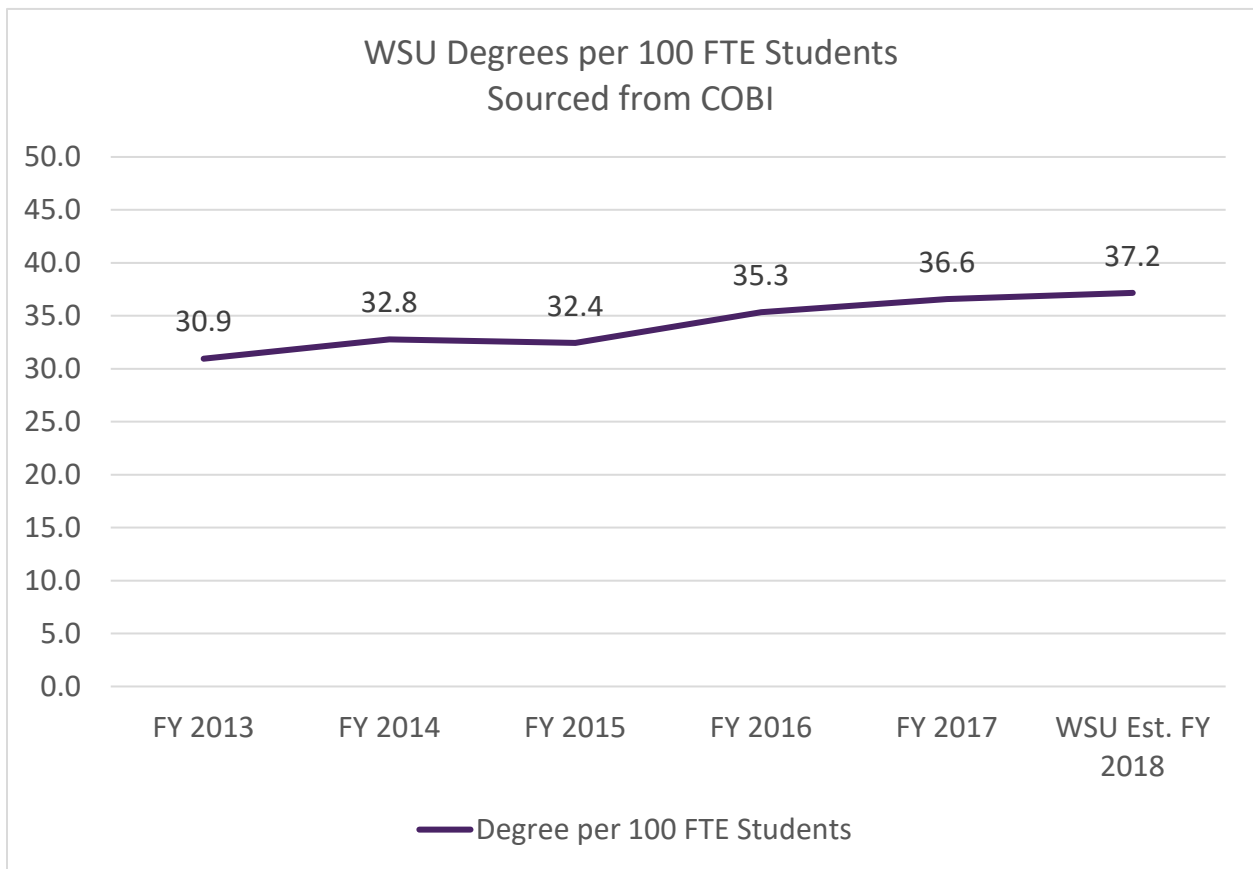
## WSU Institutional Metric 4: Degree Output

**Definition** - Number of degrees awarded at WSU per 100 FTE students. This measure is already reported through [COBI](#) report.

**Benchmark** – Most recent WSU result versus previous results

**Current Baseline description** – 5 most recent years

**Goal** - Increase this figure over time.



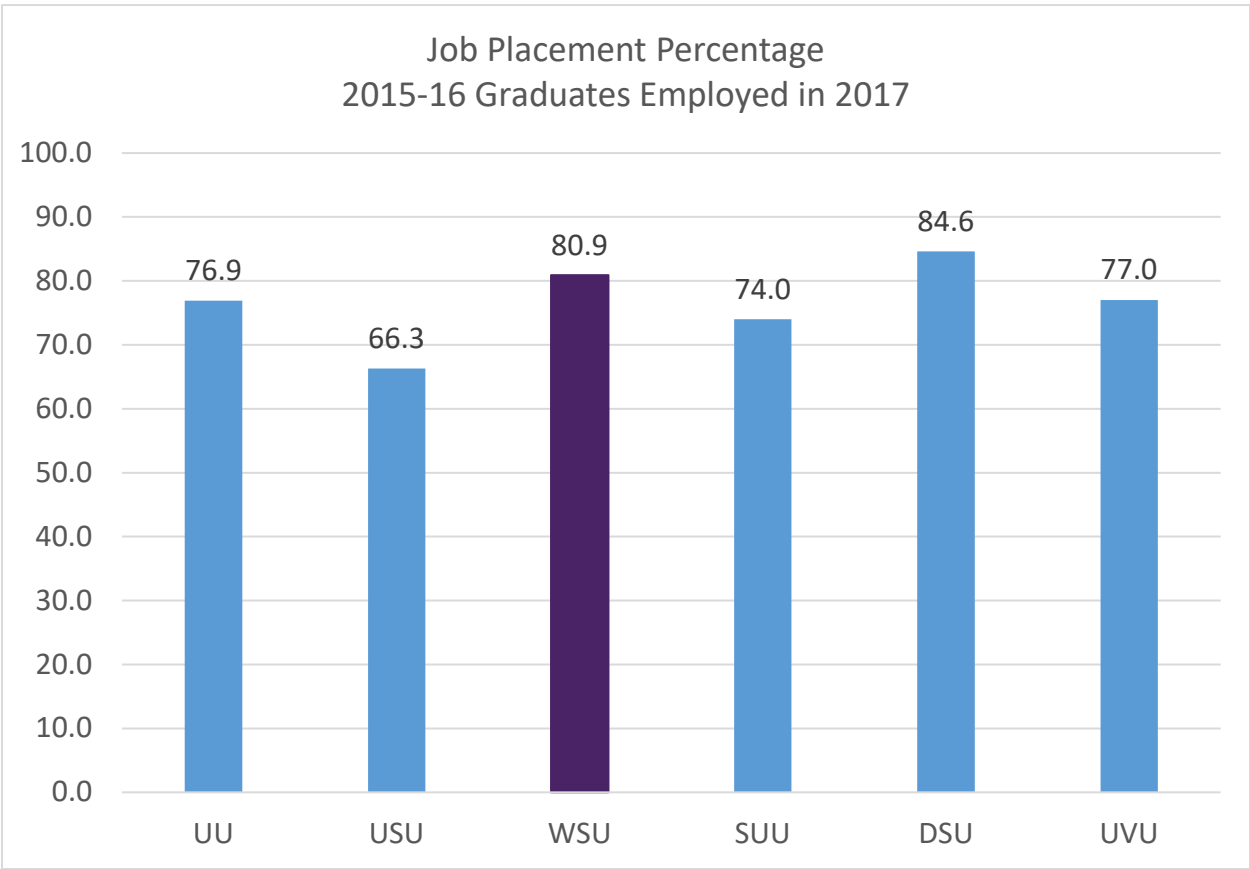
## WSU Institutional Metric 5: Workforce

**Definition** - Percentage of WSU graduates who are employed in Utah one year following graduation. This measure is already reported by USHE.

**Benchmark** – other USHE universities

**Current Baseline description** – USHE’s most recently completed [report](#)

**Goal** - Exceed our sister USHE universities.



**Strategic Metrics and Goals  
Board of Regents Request – October 26, 2018**

- 1) **ACCESS / PARTICIPATION METRIC:** The Five-year College Participation Rate of High School Graduates within SUU’s Service Region (Iron, Beaver, and Garfield Counties).

This metric includes students enrolled at SUU and Southwest Tech due to SUU’s unique dual enrollment program. This metric looks specifically at the college-going rates of SUU/SW Tech students aged 18-23.

- a) **Definition:** The ratio (expressed in %) for SUU's three county service region of SUU new first-time undergraduate students to high school graduates.
- b) **Benchmark:** The metric will be measured against the USHE Year 1 average cohort for all Utah high school graduates from 2007 through 2017.
- c) **Current Baseline:** On average, 49.1% of Utah high school graduates enroll within five years of high school graduation.

|                                   | 2013-14                             | 2014-15 | 2015-16 | 2016-17 | 2017-18 |
|-----------------------------------|-------------------------------------|---------|---------|---------|---------|
| High School Graduates             | 756                                 | 788     | 692     | 759     | 797     |
| New SUU First-Time Undergraduates | 320                                 | 291     | 346     | 345     | 384     |
| New SW Tech Students              | Trying to acquire data from SW Tech |         |         |         |         |
| Total SUU and SW Tech Students    | 320                                 | 291     | 346     | 345     | 384     |
| Ratio as %                        | 42.3%                               | 36.9%   | 50.0%   | 45.5%   | 48.2%   |

- d) **Goal:** A ratio of XX% for the year 2020. Unfortunately, due to the short notice for this assignment we are still attempting to gather the relevant data from SW Tech to ensure a comprehensive assessment of the three county region.
- e) **Data report:** Data for this measure originates from the Utah State Office of Education and the Institutional Research Office at SUU and SW Tech.

2) **AFFORDABILITY METRIC:** SUU’s Tuition and Fee Increases as Compared to the Other Sixteen (16) 4-Year Public Regional Colleges and Universities in the Intermountain West

a) **Definition:** SUU’s annual tuition and fee increases remain below the average of the sixteen 4-year public regional colleges and universities in the Intermountain West. The following institutions have been identified as the comparison group:

- i) Adams State University
- ii) University of Colorado – Colorado Springs
- iii) Colorado State University – Pueblo
- iv) Boise State University
- v) Lewis-Clark State College
- vi) Montana State University – Billings
- vii) Montana Tech of the Univ. of Montana
- viii) Montana State University – Northern
- ix) Eastern N. Mexico Univ. – Main Campus
- x) New Mexico Highlands University
- xi) Dixie State University
- xii) Utah Valley University
- xiii) Weber State University
- xiv) The University of Montana – Western
- xv) Western New Mexico University
- xvi) Nevada State College

b) **Benchmark:** IPEDs data outlining tuition and fees for each of the Intermountain Regional Public 4-year Colleges and Universities.

c) **Current Baseline:**

|  | <b>In-State Tuition &amp; Fees</b> |                |                |                |
|--|------------------------------------|----------------|----------------|----------------|
| <b>Institution Name</b>                        | <b>2014-15</b>                     | <b>2015-16</b> | <b>2016-17</b> | <b>2017-18</b> |
| Public Regional 4 Year Universities % Increase | 8.4%                               | 1.5%           | 4.1%           | 4.9%           |
| Southern Utah University % Increase            | 3.6%                               | 2.6%           | 3.7%           | 2.2%           |

|  | <b>Out-of-State Tuition &amp; Fees</b> |                |                |                |
|--|--|----------------|----------------|----------------|
| <b>Institution Name</b>                        | <b>2014-15</b>                         | <b>2015-16</b> | <b>2016-17</b> | <b>2017-18</b> |
| Public Regional 4 Year Universities % Increase | 3.9%                                   | 3.2%           | 4.1%           | 3.9%           |
| Southern Utah University % Increase            | 3.9%                                   | 2.9%           | 3.5%           | 2.4%           |

d) **Goal:** SUU’s annual tuition increase will be 90% or less than the average increase of the 16 Intermountain West Regional 4-year Public Colleges and Universities.

e) **Data report:** IPEDs data for tuition and fees by institution.

3) **TIMELY COMPLETION METRIC:** Eight-year outcome rate for SUU students

- a) **Definition:** Percentage of SUU students completing a successful outcome (award, transferred, still enrolled) after eight years.
- b) **Benchmark:** The metric will be calculated using the IPEDS Outcomes data survey and will look at annual institution eight-year outcomes for students.
- c) **Current Baseline:** For 2017-18, the IPEDS Successful Outcomes Rate for SUU students was 80%.

| Outcome Measure   | IPEDS Reporting Year |            |            |
|---|----------------------|------------|------------|
|   | 2015-16              | 2016-17    | 2017-18    |
| 8-Year Award Rate   | 56%                  | 53%        | 50%        |
| Still Enrolled at SUU after 8 Years                                       | 2%                   | 2%         | 1%         |
| Did Not Receive an Award and Subsequently Enrolled at Another Institution | 29%                  | 34%        | 29%        |
| <b>Total (Sum for Three Groups)</b>                                       | <b>87%</b>           | <b>89%</b> | <b>80%</b> |

- d) **Goal:** SUU will increase its IPEDS successful eight-year outcomes rate to 90% by 2025.
- e) **Data Reported:** The information is currently reported to IPEDS through annual survey collection.

- 4) **WORKFORCE METRIC:** Annual number of SUU degrees and certificates awarded in 5-star occupations as defined in the USHE Performance Based Funding model.
- a) **Definition:** Number of SUU degrees and certificates awarded in 5 star occupations, as defined in the USHE Performance Based Funding model, out of total awards granted.
- b) **Benchmark:** This metric will be measured against the annual change in each metric for the corresponding year (Timeframe).
- c) **Current Baseline:**
- i) In 2018, 451 of 959 degrees and certificates awarded by SUU were in 5 star job programs.

|   | 2013-14    | 2014-15    | 2015-16    | 2016-17      | 2017-18    |
|---|------------|------------|------------|--------------|------------|
| # of Bachelor's Degrees <i>in 5 Star Majors</i>     | 505        | 500        | 440        | 491          | 451        |
| # of Bachelor's Degrees <i>Not in 5 Star Majors</i> | 449        | 428        | 456        | 551          | 508        |
| <b>Total Number of Bachelor's Degrees</b>           | <b>954</b> | <b>928</b> | <b>896</b> | <b>1,042</b> | <b>959</b> |

- d) **Goal:** SUU will annually increase the number of awards granted in 5-star occupation programs to better align with state workforce needs in 5- star occupation categories.
- e) **Data Reported:** Data is reported in the Performance Based Funding Model prepared by the USHE and the IR office. Workforce CIP code data provided by the Department of Workforce Services.

*(SUU degrees leading to 5-Star occupations include the following: Accounting, Administrative License, Agriculture Sci & Industries, Art Composite Education, Art Education, Athletic Training, Biology, Biology Education, Biology/Botany, Biology/Forensic, Biology/Zoology, Business Education, CAD/CAM Technology, Chemistry Education, Civil Engineering, Communication Teaching, Computer Science, Construction Management, Construction Technology, Cyber Security & Info Assur, Dance Education, Design Technology, Early Childhood Educ License, Education, Elementary Education, Engineering, Engineering Technology, English Education, Equine Science, Fam Life Hum Dev Educ, Family and Consumer Sci Educ, Finance, French Education, General Technology-Business, German Education, Graduate Music Education, History Education, Hotel, Resort & Hospitality Mgt, Information Systems, Information Systems Teaching, Information Technology, International Business, IS-User Support Services, Level I Elementary License, Level I Secondary License, Library Media K-12 Endorsement, Livestock Farm Management, Management, Marketing, Master of Accountancy, Master of Business Administration, Mathematical Science, Mathematics Education, Mechanical Engineering, Mild/Moderate License, Music Education, Nursing, Phys Ed Teaching/Coaching, Physical Educ & Human Performance, Physical Science Education, Social Sciences, Spanish Education, Special Education, Technology Education, Theatre Arts Education.)*

5) **USE OF RESOURCES METRIC (Capacity and Growth) #1:** Change in Total Cost per Award

- a) **Definition:** Change in the total cost per award as calculated by the total awards granted by SUU divided by the corresponding year's operating budget compared to the previous year.
- b) **Benchmark:** This metric will be measured against the annual percentage change in the Higher Education Price Index (HEPI) for the corresponding year.
- c) **Current Baseline:**
  - i) SUU average annual change in total cost per award granted from FY16 to FY17: -16.5%
  - ii) HEPI annual change from FY16 to FY17: 3.5%

| Year    | Total Awards | Operating Budget | Cost Per Award | SUU Change in Cost per Award | 95% Annual Change in HEPI |
|---------|--------------|------------------|----------------|------------------------------|---------------------------|
| 2016-17 | 2,177        | \$ 68,668,702    | \$ 31,543      | -16.5%                       | 3.5%                      |
| 2015-16 | 1,736        | \$ 65,600,519    | \$ 37,788      | -4.2%                        | 1.7%                      |
| 2014-15 | 1,545        | \$ 60,949,807    | \$ 39,450      | 7.1%                         | 2.0%                      |
| 2013-14 | 1,611        | \$ 59,367,397    | \$ 36,851      | 6.2%                         | 2.8%                      |
| 2012-13 | 1,743        | \$ 60,477,153    | \$ 34,697      | -4.7%                        | 1.5%                      |
| 2011-12 | 1,606        | \$ 58,501,330    | \$ 36,427      |                              |                           |

- d) **Goal:** Annual percentage change in total cost per award granted by SUU is no more than 95% of the average annual change in HEPI for the corresponding year.
- e) **Data reports:**
  - <https://www.commonfund.org/commonfund-institute/higher-education-price-index-hepi/> - USHE Cost Study Tab B & Tab I
  - SUU Budget Office for operational costs tied to direct and indirect instruction

## Snow College Institutional Metrics

**Completion:** Increase completion rates with an emphasis on two areas: 1) those who typically fall into the achievement gap; and 2) graduation with intended degree or certificate.

Definition: Snow College includes both graduation rates and transfer rates in its completion numbers. Graduates include those who complete the full degree requirements within 150% of time; transfers include those who transfer to another 2-year or 4-year institution within a 150% but do not graduate from Snow College. 150% of time is calculated at 6 years because of the bachelor's degrees. Many of those who do not transfer or graduate are impacted by traditional barriers: race, low income, first generation

Benchmark: The benchmark for this measure is the cumulative number of graduates and transfer students over the last five years and includes disaggregated numbers for traditional barriers.

Current Baseline:

| All Students | Cohort | Completers | % Completers | Transfers | % Transfers | Total Success | % Success |
|--------------|--------|------------|--------------|-----------|-------------|---------------|-----------|
| Cohort 2005  | 1227   | 474        | 39%          | 419       | 34%         | 893           | 73%       |
| Cohort 2006  | 1108   | 430        | 39%          | 260       | 23%         | 690           | 62%       |
| Cohort 2007  | 1044   | 495        | 47%          | 299       | 29%         | 794           | 76%       |
| Cohort 2008  | 1107   | 435        | 39%          | 444       | 40%         | 879           | 79%       |
| Cohort 2009  | 1049   | 380        | 36%          | 435       | 41%         | 815           | 78%       |
| Cohort 2010  | 1335   | 624        | 47%          | 448       | 34%         | 1072          | 80%       |
| Cohort 2011  | 1442   |            |              |           |             |               |           |
| Cohort 2012  | 1481   |            |              |           |             |               |           |
| Cohort 2013  | 1396   |            |              |           |             |               |           |
| Cohort 2014  | 1507   |            |              |           |             |               |           |
| Cohort 2015  | 1477   |            |              |           |             |               |           |
| Cohort 2016  | 1468   |            |              |           |             |               |           |
| Cohort 2017  | 1490   |            |              |           |             |               |           |
| Cohort 2018  | 1424   |            |              |           |             |               |           |

| Minority Students | Cohort | Completers | % Completers | Transfers | % Transfers | Total Success | % Success |
|-------------------|--------|------------|--------------|-----------|-------------|---------------|-----------|
| Cohort 2005       | 108    | 11         | 10%          | 12        | 11%         | 23            | 21%       |
| Cohort 2006       | 129    | 11         | 9%           | 25        | 19%         | 36            | 28%       |
| Cohort 2007       | 139    | 51         | 37%          | 31        | 22%         | 82            | 59%       |
| Cohort 2008       | 164    | 49         | 30%          | 53        | 32%         | 102           | 62%       |
| Cohort 2009       | 185    | 41         | 22%          | 74        | 40%         | 115           | 62%       |
| Cohort 2010       | 183    | 56         | 31%          | 57        | 31%         | 113           | 62%       |
| Cohort 2011       | 230    | 68         | 30%          |           |             |               |           |
| Cohort 2012       | 203    | 49         | 24%          |           |             |               |           |
| Cohort 2013       | 229    | 53         | 23%          |           |             |               |           |
| Cohort 2014       | 279    | 67         | 24%          |           |             |               |           |
| Cohort 2015       | 242    | 55         | 23%          |           |             |               |           |
| Cohort 2016       | 257    |            |              |           |             |               |           |
| Cohort 2017       | 270    |            |              |           |             |               |           |
| Cohort 2018       | 273    |            |              |           |             |               |           |

With the two Bachelor's degrees, IPEDS considers Snow College a 4-year institution. As a result, graduation and transfer rates are on a 6 year (150%) to time reporting cycle. Graduation rates for cohorts 2011 to present are only preliminary estimates.



| Pell Eligible Students | Cohort | Completers | % Completers | Transfers | % Transfers | Total Success | % Success |
|------------------------|--------|------------|--------------|-----------|-------------|---------------|-----------|
| Cohort 2005            | 190    | 55         | 29%          |           | 0%          | 55            | 29%       |
| Cohort 2006            | 160    | 50         | 31%          |           | 0%          | 50            | 31%       |
| Cohort 2007            | 155    | 51         | 33%          |           | 0%          | 51            | 33%       |
| Cohort 2008            | 299    | 158        | 53%          |           | 0%          | 158           | 53%       |
| Cohort 2009            | 378    | 170        | 45%          |           | 0%          | 170           | 45%       |
| Cohort 2010            | 547    | 240        | 44%          |           | 0%          | 240           | 44%       |
| Cohort 2011            | 585    | 243        | 42%          |           |             |               |           |
| Cohort 2012            | 615    | 208        | 34%          |           |             |               |           |
| Cohort 2013            | 568    | 244        | 43%          |           |             |               |           |
| Cohort 2014            | 575    | 221        | 38%          |           |             |               |           |
| Cohort 2015            | 550    | 243        | 44%          |           |             |               |           |
| Cohort 2016            |        |            |              |           |             |               |           |
| Cohort 2017            |        |            |              |           |             |               |           |
| Cohort 2018            |        |            |              |           |             |               |           |

With the two Bachelor's degrees, IPEDS considers Snow College a 4-year institution. As a result, graduation and transfer rates are on a 6 year (150%) to time reporting cycle. Graduation rates for cohorts 2011 to present are only preliminary estimates.

Goal: Over next five years, increase completer numbers rate by 5%; increase success rates in achievement gap areas by 5%.

Data Report: IR, IPEDs USHE reports

**Access and Participation:** Increase number of six-county students enrolling in Snow College post-secondary programs.

Definition: The number of students in each of the six-county area who enroll in Snow College post-secondary education programs within five years of graduation.

Benchmark: The benchmark for this measure is the average of the cumulative number of students from six-county service area entering post-secondary programs over the last five years.

Current Baseline:

|         | Juab | PY % Growth | Millard | PY % Growth | Piute | PY % Growth | Sanpete | PY % Growth | Sevier | PY % Growth | Wayne | Totals | PY % Growth | Total Headcount | % of Headcount |
|---------|------|-------------|---------|-------------|-------|-------------|---------|-------------|--------|-------------|-------|--------|-------------|-----------------|----------------|
| FY 2008 | 97   |             | 140     |             | 13    |             | 710     |             | 398    |             | 26    | 1,384  |             | 2,888           | 48%            |
| FY 2009 | 59   | -64%        | 100     | -29%        | 10    | -23%        | 676     | -5%         | 286    | -28%        | 23    | 1,154  | -17%        | 2,707           | 43%            |
| FY 2010 | 68   | 13%         | 104     | 4%          | 21    | 110%        | 635     | -6%         | 410    | 43%         | 33    | 1,271  | 10%         | 3,116           | 41%            |
| FY 2011 | 93   | 27%         | 118     | 13%         | 16    | -24%        | 743     | 17%         | 437    | 7%          | 24    | 1,431  | 13%         | 3,372           | 42%            |
| FY 2012 | 106  | 12%         | 118     | 0%          | 15    | -6%         | 730     | -2%         | 405    | -7%         | 23    | 1,397  | -2%         | 3,613           | 39%            |
| FY 2013 | 109  | 3%          | 107     | -9%         | 11    | -27%        | 724     | -1%         | 395    | -2%         | 24    | 1,370  | -2%         | 3,434           | 40%            |
| FY 2014 | 109  | 0%          | 116     | 8%          | 14    | 27%         | 649     | -10%        | 373    | -6%         | 21    | 1,282  | -6%         | 3,312           | 39%            |
| FY 2015 | 112  | 3%          | 99      | -15%        | 10    | -29%        | 596     | -8%         | 347    | -7%         | 19    | 1,183  | -8%         | 3,544           | 33%            |
| FY 2016 | 109  | -3%         | 105     | 6%          | 21    | 110%        | 675     | 13%         | 354    | 2%          | 25    | 1,289  | 9%          | 3,701           | 35%            |
| FY 2017 | 92   | -18%        | 103     | -2%         | 18    | -14%        | 629     | -7%         | 330    | -7%         | 20    | 1,192  | -8%         | 3,719           | 32%            |
| FY 2018 | 101  | 9%          | 95      | -8%         | 7     | -61%        | 650     | 3%          | 332    | 1%          | 17    | 1,202  | 1%          | 3,676           | 33%            |
| FY 2019 | 98   | -3%         | 90      | -5%         | 17    | 143%        | 648     | 0%          | 326    | -2%         | 13    | 1,192  | -1%         | 3,635           | 33%            |

Goals: Increase the number (total headcount) of students from six-county areas enrolling in post-secondary programs by 1% each year.

Data Report: IR

**Affordability and Access:** Leverage affordability as a tool for access.

Definition: Published tuition and fees rates; scholarship support dollars; FAFSA applications; Department of Workforce Services median household income.

Benchmark: Net tuition and fee rates over the past five years figured as percentage of annual household state income. Number of students applying for financial aid. Number of students receiving institutional and financial aid.

Current Baseline:

|         | Annualized FTE's | Annualized Tuition Rate | Gross Tuition | Non-Private Institutional Aid | Average Net Tuition Cost per Student | State Median Household Income | Net Tuition as a % of Household Income |
|---------|------------------|-------------------------|---------------|-------------------------------|--------------------------------------|-------------------------------|--|
| FY 2012 | 3,259            | \$2,696                 | \$8,786,264   | \$2,043,774                   | \$2,069                              | \$57,067                      | 3.63%                                  |
| FY 2013 | 3,238            | \$2,830                 | \$9,163,540   | \$2,102,505                   | \$2,181                              | \$59,715                      | 3.65%                                  |
| FY 2014 | 3,210            | \$2,998                 | \$9,623,580   | \$2,291,504                   | \$2,284                              | \$60,943                      | 3.75%                                  |
| FY 2015 | 3,433            | \$3,088                 | \$10,601,104  | \$2,893,442                   | \$2,245                              | \$62,961                      | 3.57%                                  |
| FY 2016 | 3,637            | \$3,196                 | \$11,623,852  | \$3,115,335                   | \$2,339                              | \$65,931                      | 3.55%                                  |

State median household income comes from: <https://jobs.utah.gov/wi/data/library/wages/annualprofilewages.html>  
 Average net tuition cost per student is the gross tuition less non-private institutional aid divided by the annualized FTE's  
 Non-private institutional aid includes waivers, WUE, and College provide scholarships

|         | Qualified Ugrads | Total Applicants | Yield | Total with Federal Aid | % with Aid | Pell  | % Pell | Work Study | % Work Study | Institutional Aid | % Institutional Aid |
|---------|------------------|------------------|-------|------------------------|------------|-------|--------|------------|--------------|-------------------|---------------------|
| FY 2008 | 2,839            | 1,206            | 42%   | 728                    | 26%        | 666   | 23%    | 195        | 7%           | 904               | 32%                 |
| FY 2009 | 2,610            | 1,267            | 49%   | 739                    | 28%        | 667   | 26%    | 225        | 9%           | 1,000             | 38%                 |
| FY 2010 | 3,002            | 1,755            | 58%   | 1,107                  | 37%        | 1,059 | 35%    | 212        | 7%           | 1,167             | 39%                 |
| FY 2011 | 3,266            | 2,037            | 62%   | 1,419                  | 43%        | 1,398 | 43%    | 185        | 6%           | 1,242             | 38%                 |
| FY 2012 | 3,306            | 2,167            | 66%   | 1,437                  | 43%        | 1,417 | 43%    | 219        | 7%           | 1,257             | 38%                 |
| FY 2013 | 3,188            | 2,108            | 66%   | 1,430                  | 45%        | 1,403 | 44%    | 164        | 5%           | 1,370             | 43%                 |
| FY 2014 | 3,051            | 1,989            | 65%   | 1,328                  | 44%        | 1,316 | 43%    | 89         | 3%           | 1,364             | 45%                 |
| FY 2015 | 3,394            | 2,188            | 64%   | 1,464                  | 43%        | 1,439 | 42%    | 208        | 6%           | 1,550             | 46%                 |
| FY 2016 | 3,470            | 2,163            | 62%   | 1,443                  | 42%        | 1,416 | 41%    | 269        | 8%           | 1,667             | 48%                 |
| FY 2017 | 3,509            | 2,265            | 65%   | 1,532                  | 44%        | 1,490 | 42%    | 236        | 7%           | 1,643             | 47%                 |
| FY 2018 | 3,471            | 2,380            | 69%   | 1,625                  | 47%        | 1,553 | 45%    | 416        | 12%          | 1,693             | 49%                 |
| FY 2019 | 3,374            | 2,166            | 64%   | 1,480                  | 44%        | 1,425 | 42%    | 388        | 11%          | 1,725             | 51%                 |

Qualified Ugrads exclude high school, non-matriculated, and continuing education students.  
 FY 2019 is an incomplete financial aid year. The numbers reported only represent aid that has been awarded as of fall semester.  
 Institutional Aid is in the form of WUE, Waivers, and Scholarship (institutional, departmental, and private)

| <b>Institutional Aid</b> | <b>Private Scholarships</b> | <b>% of Institutional Aid</b> | <b># of Students with Private Institutional Aid</b> | <b>% of Students with Institutional Aid receiving Private Aid</b> | <b>Average Private Aid Package</b> | <b>% of Resident Tuition and Fees covered by Private Aid</b> |
|--------------------------|-----------------------------|-------------------------------|---|---|------------------------------------|--|
| <b>FY 2008</b>           | \$213,050                   | 15%                           | 178   | 20%   | \$1,197                            | 53%  |
| <b>FY 2009</b>           | \$176,866                   | 11%                           | 213   | 21%   | \$830                              | 35%  |
| <b>FY 2010</b>           | \$165,766                   | 8%                            | 200   | 17%   | \$829                              | 33%  |
| <b>FY 2011</b>           | \$175,619                   | 8%                            | 199   | 16%   | \$883                              | 32%  |
| <b>FY 2012</b>           | \$166,492                   | 8%                            | 196   | 16%   | \$849                              | 29%  |
| <b>FY 2013</b>           | \$277,604                   | 12%                           | 320   | 23%   | \$868                              | 28%  |
| <b>FY 2014</b>           | \$479,623                   | 17%                           | 457   | 34%   | \$1,050                            | 33%  |
| <b>FY 2015</b>           | \$465,298                   | 14%                           | 501   | 32%   | \$929                              | 27%  |
| <b>FY 2016</b>           | \$365,498                   | 11%                           | 442   | 27%   | \$827                              | 24%  |
| <b>FY 2017</b>           | \$252,528                   | 7%                            | 369   | 22%   | \$684                              | 19%  |
| <b>FY 2018</b>           | \$217,461                   | 5%                            | 274   | 16%   | \$794                              | 21%  |
| <b>FY 2019</b>           | \$183,400                   | 8%                            | 357   | 21%   | \$514                              | 14%  |

| <b>Institutional Aid</b> | <b>Non-Private Institutional Aid (Waivers, WUE, etc.)</b> | <b>% of Institutional Aid</b> | <b># of Students with non-Private Institutional Aid</b> | <b>% of Students with Institutional Aid receiving non-Private Aid</b> | <b>Average Private Aid Package</b> | <b>% of Resident Tuition and Fees covered by non-Private Aid</b> |
|--------------------------|---|-------------------------------|---|---|------------------------------------|--|
| <b>FY 2008</b>           | \$1,190,312   | 85%                           | 726   | 80%   | \$1,640                            | 72%  |
| <b>FY 2009</b>           | \$1,387,571   | 89%                           | 787   | 79%   | \$1,763                            | 75%  |
| <b>FY 2010</b>           | \$1,827,490   | 92%                           | 967   | 83%   | \$1,890                            | 74%  |
| <b>FY 2011</b>           | \$2,005,848   | 92%                           | 1043  | 84%   | \$1,923                            | 70%  |
| <b>FY 2012</b>           | \$2,043,774   | 92%                           | 1061  | 84%   | \$1,926                            | 66%  |
| <b>FY 2013</b>           | \$2,102,505   | 88%                           | 1050  | 77%   | \$2,002                            | 65%  |
| <b>FY 2014</b>           | \$2,291,504   | 83%                           | 907   | 66%   | \$2,526                            | 78%  |
| <b>FY 2015</b>           | \$2,893,442   | 86%                           | 1049  | 68%   | \$2,758                            | 81%  |
| <b>FY 2016</b>           | \$3,115,335   | 89%                           | 1225  | 73%   | \$2,543                            | 73%  |
| <b>FY 2017</b>           | \$3,428,708   | 93%                           | 1274  | 78%   | \$2,691                            | 75%  |
| <b>FY 2018</b>           | \$3,741,135   | 95%                           | 1419  | 84%   | \$2,636                            | 71%  |
| <b>FY 2019</b>           | \$2,196,627   | 92%                           | 1368  | 79%   | \$1,606                            | 43%  |

Goals: Increase FAFSA applications by 10% over five years; Increase number of participants in the endowment/scholarship giving campaigns by 25%; Keep net tuition cost average at 3-6% of annual median household income.

Data Point: IR and USHE

**Workforce:** Increase workforce ready graduates by 5%.

Definition: Number of students who complete certificates and/or graduate.

Benchmark: Numbers of students who completed workforce ready certificates and degrees in the following degree areas: BMCM, Software Engineering, Auto and Diesel, Machine Tools, Manufacturing Technology, Composites, Welding, CIS, Nursing, Business, Cosmetology, Music.

Current Baseline:

| Degrees Awarded | Certificates | AAS Degrees | Specialized AS Degrees | Specialized BA degrees | All Degrees | Cumulative Degrees |
|-----------------|--------------|-------------|------------------------|------------------------|-------------|--------------------|
| FY 2008         | 51           | 46          | 18                     |                        | 115         | 115                |
| FY 2009         | 54           | 48          | 16                     |                        | 118         | 233                |
| FY 2010         | 67           | 53          | 13                     |                        | 133         | 366                |
| FY 2011         | 56           | 42          | 14                     |                        | 112         | 478                |
| FY 2012         | 59           | 61          | 10                     |                        | 130         | 608                |
| FY 2013         | 53           | 48          | 7                      |                        | 108         | 716                |
| FY 2014         | 41           | 27          | 35                     | 7                      | 110         | 826                |
| FY 2015         | 58           | 31          | 38                     | 8                      | 135         | 961                |
| FY 2016         | 79           | 29          | 33                     | 28                     | 169         | 1130               |
| FY 2017         | 78           | 31          | 54                     | 17                     | 180         | 1310               |
| FY 2018         | 125          | 20          | 56                     | 20                     | 221         | 1531               |
| FY 2019         |              |             |                        |                        |             |                    |
| FY 2020         |              |             |                        |                        |             |                    |

Specialized AS degrees represent Associate of science degrees specific to Nursing (ASN), Business (ASB), and Engineering (APE).

Specialized BA or BS degrees represent the Bachelor of Music with emphasis in Commercial Music and Software Engineering.

The specialized Bachelor's degrees were approved by the Utah State Board of Regents in 2012 (Music) and 2017 (Software Engineering).

Goal: Increase workforce ready graduates by 5%.

Data Point: IR

**Completion:** Increase percentage of students who show evidence of meeting institutional learning outcomes by creating an innovative educational environment that produces graduates who are critical thinkers, effective communicators, and successful problem solvers.

**Definition:** Number of students who participate in a high impact practice as defined by the institution using AAC&U definitions; assessment results of institutional outcomes.

**Benchmark:** This metric will be tracked annually for each learning outcome, for internal and national satisfaction surveys, and for HIP (high impact practice) participation.

**Current Baseline:**

| CCSSE Benchmarks | Active and Collaborative Learning | Percentile | Academic Challenge | Percentile | Student-Faculty Interaction | Percentile | Support for Learners | Percentile |
|------------------|-----------------------------------|------------|--------------------|------------|-----------------------------|------------|----------------------|------------|
| Spring 2012      | 65.2                              | 72nd       | 52.4               | 54th       | 53.7                        | 56th       | 55.2                 | 58th       |
| Spring 2014      | 60.9                              | 67th       | 51.7               | 53rd       | 52.6                        | 54th       | 54.7                 | 58th       |
| Spring 2016      | 59.4                              | 65th       | 52.3               | 54th       | 50.4                        | 51st       | 49.3                 | 49th       |
| Spring 2018      | 61.2                              | 67th       | 53.6               | 56th       | 51                          | 52nd       | 59.5                 | 65th       |

Student engagement scores from the Community College Survey of Student Engagement with percentiles determined from a population mean of 50 and standard deviation of 25.

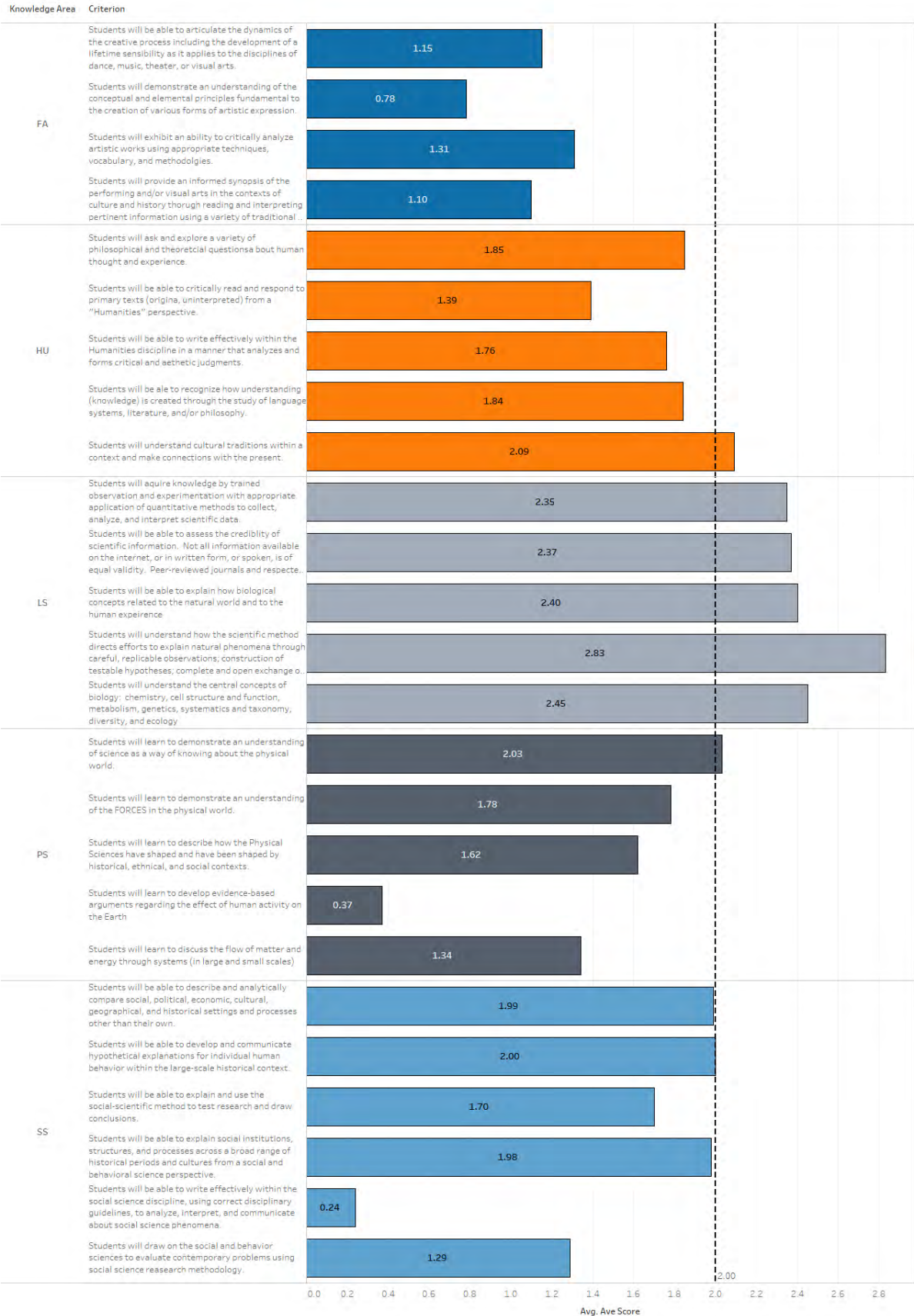
| Course Evaluation | Critical Reading | Effective Research | Effective Writing | Effective Communication | Quantitative Reasoning | Artistic Sensitivity | Critical Thinking | Creative Thinking |
|-------------------|------------------|--------------------|-------------------|-------------------------|------------------------|----------------------|-------------------|-------------------|
| Fall 2016         | 62%              | 63%                | 58%               | 48%                     | 42%                    | 47%                  | 79%               | 67%               |
| Spring 2017       | 65%              | 66%                | 61%               | 51%                     | 45%                    | 48%                  | 77%               | 68%               |
| Fall 2017         | 62%              | 64%                | 58%               | 47%                     | 40%                    | 44%                  | 78%               | 67%               |
| Spring 2018       | 67%              | 66%                | 63%               | 49%                     | 43%                    | 47%                  | 79%               | 70%               |

Percentages represent students who indicated that their course experience resulted in learning in the specific general education learning outcome. Percentages aggregated for all Snow College courses.

| MSC     | Written Communication |                    |                    | Critical Thinking |                    |                    | Quantitative Literacy |                    |                    |
|---------|-----------------------|--------------------|--------------------|-------------------|--------------------|--------------------|-----------------------|--------------------|--------------------|
|         | # of Artifacts        | # with scores => 2 | % with scores => 2 | # of Artifacts    | # with scores => 2 | % with scores => 2 | # of Artifacts        | # with scores => 2 | % with scores => 2 |
| FY 2015 | 79                    | 49                 | 62%                | NA                | NA                 | NA                 | 86                    | 67                 | 78%                |
| FY 2016 | 75                    | 47                 | 63%                | 75                | 35                 | 47%                | 75                    | 55                 | 73%                |
| FY 2017 | 106                   | 68                 | 64%                | 65                | 32                 | 49%                | 39                    | 27                 | 69%                |

The Multi-State Collaborative sponsored by AAC&U and SHEEO allowed for Snow College artifacts in key learning areas be scored by objectively on a 1 to 4 (4 = mastery) rubrics respective to each learning outcome.

|   |      |      |      |      |      |      |      |       |       |       |
|---|------|------|------|------|------|------|------|-------|-------|-------|
| A sense of vocation/career                                | 2.85 | 2.97 | 2.87 | 2.73 | 3.08 | 3.01 | 3.04 | 0.22  | 0.05  | 0.17  |
| Artistic knowledge and engagement                         | 2.97 | 2.92 | 2.91 | 2.89 | 3.28 | 3.22 | 3.24 | 0.31  | 0.30  | 0.34  |
| Careful Reading   | 3.20 | 3.24 | 3.10 | 2.96 | 3.39 | 3.25 | 3.41 | 0.19  | 0.01  | 0.31  |
| Creative Thinking   | 3.41 | 3.44 | 3.44 | 3.26 | 3.49 | 3.38 | 3.34 | 0.09  | -0.06 | -0.10 |
| Critical Thinking   | 3.37 | 3.47 | 3.41 | 3.29 | 3.67 | 3.68 | 3.72 | 0.30  | 0.21  | 0.30  |
| Effective Speaking  | 2.95 | 3.01 | 2.90 | 2.78 | 3.15 | 3.20 | 3.14 | 0.20  | 0.19  | 0.23  |
| Effective Writing   | 3.25 | 3.29 | 3.16 | 3.07 | 3.24 | 3.25 | 3.39 | -0.01 | -0.04 | 0.23  |
| Ethical reasoning and action                              | 2.88 | 2.81 | 2.80 | 2.66 | 2.92 | 2.91 | 2.96 | 0.04  | 0.10  | 0.16  |
| Global knowledge and engagement                           | 2.34 | 2.52 | 2.45 | 2.33 | 2.44 | 2.45 | 2.43 | 0.09  | -0.08 | -0.01 |
| Information literacy and research skills                  | 3.01 | 3.11 | 2.99 | 2.95 | 3.34 | 3.39 | 3.38 | 0.33  | 0.28  | 0.38  |
| Integrative Thinking                                      | 2.78 | 2.93 | 2.79 | 3.19 | 3.47 | 3.36 | 3.41 | 0.69  | 0.43  | 0.62  |
| Intellectual curiosity and initiative                     | 3.00 | 3.10 | 3.04 | 2.72 | 3.26 | 3.17 | 3.12 | 0.26  | 0.07  | 0.08  |
| Intercultural knowledge and competence                    | 2.39 | 2.51 | 2.46 | 2.36 | 2.69 | 2.65 | 2.67 | 0.30  | 0.14  | 0.22  |
| Local knowledge and engagement                            | 2.53 | 2.66 | 2.57 | 2.55 | 2.52 | 2.55 | 2.66 | -0.01 | -0.11 | 0.09  |
| Problem-Solving   | 3.48 | 3.53 | 3.52 | 3.33 | 3.59 | 3.61 | 3.60 | 0.11  | 0.07  | 0.08  |
| Teamwork  | 3.18 | 3.41 | 3.44 | 3.19 | 3.19 | 3.24 | 3.19 | 0.01  | -0.17 | -0.24 |
| The ability to apply knowledge to new situations/problems | 3.28 | 3.36 | 3.29 | 2.66 | 3.02 | 2.93 | 3.03 | -0.26 | -0.44 | -0.26 |
| The scientific method in problem-solving                  | 2.75 | 2.76 | 2.67 | 2.70 | 2.83 | 2.49 | 3.01 | 0.08  | -0.27 | 0.34  |
| Understanding and using quantitative information          | 2.90 | 2.85 | 2.86 | 2.70 | 3.40 | 3.36 | 3.32 | 0.50  | 0.51  | 0.46  |



Goal: Ensure HIP experience in first 30 hours for every student; 70% of students will achieve a satisfactory score in assessment results for each institutional outcome; 70% of students will report

Data Point: IR; survey questions



October 26, 2018

MEMORANDUM

To: Harris H. Simmons, Chair  
David L. Buhler, Commissioner

From: Richard B. Williams, President

Subject: Institutional Metrics

Enclosed please find Dixie State University's response to the request for the top five institutional metrics that align with the Board of Regents' 2025 strategic plan. DSU has numerous metrics measuring ongoing progress with our strategic plan, learning outcomes, core themes, and mission fulfillment. The challenge was aligning DSU's measures with those of the Board in the required timeframe.

The five measures DSU selected are:

- Tuition and fees compared to regional and national peers (Affordable Access)
- Percentage of first-generation students using financial aid (Affordable Access)
- Outcome measures that include both graduates and transfer students (Timely Completion)
- Growth in STEM graduates (Workforce)
- Growth in Student Credit Hours in the College of Health Sciences and the College of Science, Engineering, & Technology (Workforce)

These five measures align with the Board's programmatic Strategic Objectives of Affordable Access, Timely Completion, Workforce and Research as noted above.

I look forward to our conversation on the subject at the November Board meeting.

**Affordable Metric:** Dixie State University resident tuition and fees compared to regional and national peer institutions

**Definition:** The annual rate of institutional tuition and fees compared to peer group averages.

**Benchmark:** The metric will be measured against the average tuition and fee cost at WICHE, Rocky Mountain, and Regent-approved peer institutions.

**Current Baseline:** DSU tuition and fees for 2017-18 is 68.3% of the WICHE average, 69.8% of the Rocky Mountain average, and 65.5% of the average of Regent-approved peer institutions

|  | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 |
|--|---------|---------|---------|---------|---------|
| <b>DSU</b>                             | \$4,285 | \$4,456 | \$4,620 | \$4,839 | \$5,080 |
| <b>WICHE Average</b>                   | \$6,274 | \$6,473 | \$6,749 | \$6,967 | \$7,442 |
| <b>Rocky Mountain Average</b>          | \$5,780 | \$6,030 | \$6,357 | \$6,602 | \$7,275 |
| <b>Peer Average</b>                    | \$6,430 | \$6,651 | \$6,835 | \$7,501 | \$7,759 |
| <b>DSU % of WICHE Average</b>          | 68.3%   | 68.8%   | 68.5%   | 69.5%   | 68.3%   |
| <b>DSU % of Rocky Mountain Average</b> | 74.1%   | 73.9%   | 72.7%   | 73.3%   | 69.8%   |
| <b>DSU % of Peer Average</b>           | 66.7%   | 67.0%   | 67.6%   | 64.5%   | 65.5%   |

**Goal:** DSU will be at 75% or below the average of Regent-approved peer institutions by 2024-25.

**Data Reported:** The USHE Tuition and Fees information is reported annually by the Utah State Legislative Fiscal Analyst in an issue brief. The information for the 2018 general session can be found here:

<https://le.utah.gov/interim/2018/pdf/00000144.pdf>

**Access Metric:** First-generation students receiving Federal Financial Aid

Using the first-generation question on the application and the Financial Aid data stored in Banner, tracking the number of first generation students receiving Federal Financial Aid each Fall.

**Definition:** Percentage of first-generation students that receive Federal Financial Aid each Fall.

**Benchmark:** The metric will be calculated using data from the application for admission to determine those who are first-generation students, and data from Financial Aid Office (Banner) to determine who received Financial Aid each Fall.

**Current Baseline:** For 2017, the first-generation students receiving Federal Financial Aid was 88%.

|  | Fall 2013 | Fall 2014 | Fall 2015 | Fall 2016 | Fall 2017 |
|--|-----------|-----------|-----------|-----------|-----------|
| <b>Total First-Generation Students</b>                     | 3103      | 3516      | 3692      | 3942      | 4041      |
| <b>First-Generation Students Receiving Financial Aid</b>   | 2839      | 3170      | 3318      | 3588      | 3538      |
| <b>% First-Generation Students Receiving Financial Aid</b> | 91.49%    | 90.16%    | 89.87%    | 91.02%    | 87.55%    |

**Goal:** DSU's percentage of first-generation students receiving Federal Financial Aid will be at 90% by 2024.

**Data Reported:** The information is currently collected and reported internally at DSU.

**Timely Completion Metric:** Eight-year outcome rate for USHE students

Using the new IPEDS outcomes report, DSU tracks the percentage of students that complete a successful outcome (award, transferred, still enrolled) after eight years.

**Definition:** Percentage of students that complete a successful outcome (award, transferred, still enrolled) after eight years.

**Benchmark:** The metric will be calculated using the IPEDS Outcomes data survey and will look at annual system eight-year outcomes for students.

**Current Baseline:** For 2017, the IPEDS Successful Outcomes Rate for DSU students was approximately 68%.

|                            | Adjusted Cohorts | Awarded 8 yrs. | % Awarded 8 yrs. | Still Enrolled DSU | Still Enroll Other | Sum of Outcomes | Sum of Outcome Rate |
|----------------------------|------------------|----------------|------------------|--------------------|--------------------|-----------------|---------------------|
| <b>2007-2008 (2015-16)</b> | 1467             | 653            | 44.51%           | 58                 | 70                 | 781             | 53.24%              |
| <b>2008-2009 (2016-17)</b> | 1532             | 727            | 47.45%           | 59                 | 27                 | 813             | 53.07%              |
| <b>2009-2010 (2017-18)</b> | 2934             | 1210           | 41.24%           | 97                 | 683                | 1990            | 67.83%              |

**Goal:** DSU will increase its IPEDS successful eight-year sum of outcomes rate to 75% by 2024-25.

**Data Reported:** The information is currently reported to IPEDS through annual survey collection.

**Workforce Metric:** Bachelor graduates in STEM related degrees

Using the IPEDS Completion report, DSU tracks the number of students that complete a degree by CIP Code and degree level. STEM will be degrees from the College of Science, Engineering and Technology (SET).

**Definition:** Number of students that complete a bachelor’s degree (degree level 5) from the College of SET.

**Benchmark:** The metric will be calculated using the IPEDS Completions data survey and will look at degrees awarded.

**Current Baseline:** For 2017, the IPEDS Completions report indicates 91 graduates at DSU in the College of SET.

| Department - Major | CIP Code | 2013-2014 | 2014-2015 | 2015-2016 | 2016-2017 | 2017-2018 |
|--------------------|----------|-----------|-----------|-----------|-----------|-----------|
| CIT - CIT          | 110101   | 28        | 32        | 30        | 35        | 34        |
| CIT - CS           | 110701   | 7         | 4         | 9         | 8         | 7         |
| BIOL - BIOL        | 260101   | 27        | 50        | 23        | 51        | 40        |
| BIOL - SBIO        | 131322   | 0         | 0         | 0         | 0         | 1         |
| MATH - MATH        | 270101   | 5         | 9         | 7         | 5         | 6         |
| PS - CHEM          | 400501   | 0         | 0         | 0         | 2         | 2         |
| PS - PS            | 131399   | 0         | 0         | 0         | 0         | 1         |
| <b>Total</b>       |          | 67        | 95        | 69        | 101       | 91        |

**Goal:** DSU will increase Completions by 100% by 2024-2025.

**Data Reported:** The information is currently reported to IPEDS through annual survey collection.

**Workforce Metric:** Student Credit Hours generated in the College of Health Science (HS) and the College of Science, Engineering and Technology (SET)

Using the end of term student course files required by the state office, DSU tracks the number of student credit hours generated by each. Data will be reported for the College of Health Science and Science, Engineering and Technology.

**Definition:** Number of student credit hours generated in USHE’s academic year (Summer, Fall, Spring).

**Benchmark:** The metric will be calculated using the end of term student course file required by the state office for a year (Summer, Fall, Spring).

**Current Baseline:** For 2017-18 academic year, the data indicates nearly 219,000 student credit hours.

|                            | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 |
|----------------------------|---------|---------|---------|---------|---------|
| <b>Health Science</b>      | 16,326  | 17,129  | 18,009  | 19,464  | 23,567  |
| <b>Science, Engr, Tech</b> | 52,850  | 51,105  | 52,449  | 58,321  | 64,886  |
| <b>Total DSU SCH</b>       | 187,458 | 190,702 | 191,656 | 204,185 | 218,906 |

**Goal:** DSU will increase student credit hours in the College of HS and College of SET by 20% by 2024-25 (assumes completion of the Science, Engineering and Technology building).

**Data Reported:** The information is currently collected and reported internally at DSU.

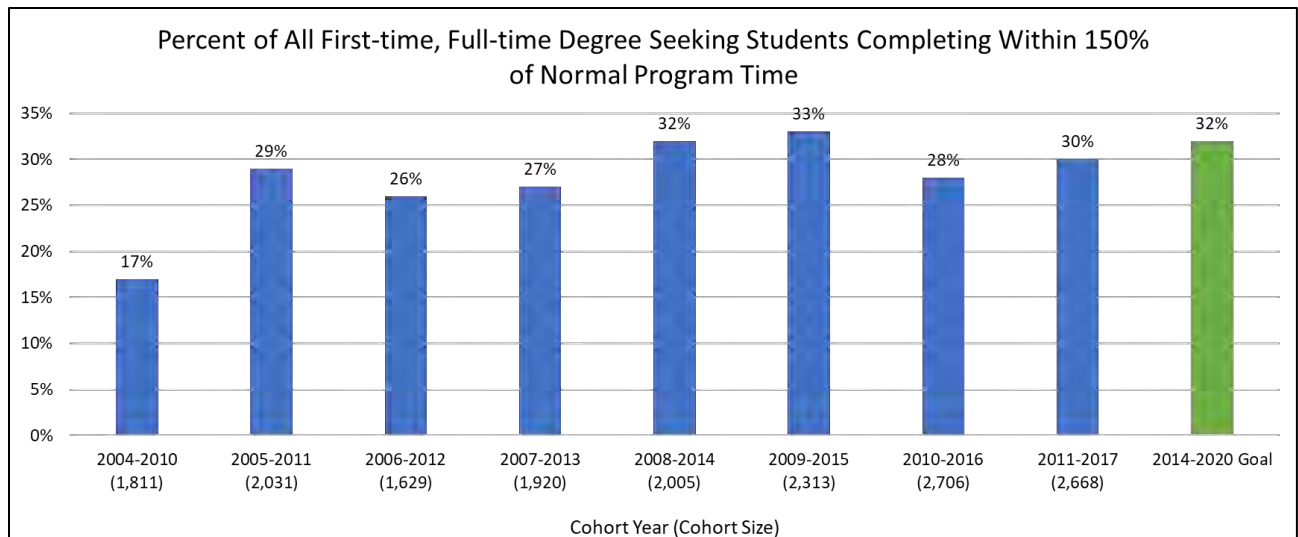
# UTAH VALLEY UNIVERSITY

**Timely Completion Metric: Achieve IPEDS Graduation Rate of 32 percent for all first-time, full-time degree seeking students**

**Definition:** Increase the percent of entering students who retain, persist, and graduate from UVU.

**Benchmark:** In 2011, UVU established a 2020 goal of 32 percent for completion within 150 percent of normal time for all first-time, full-time degree seeking students entering UVU in 2014-15 as reported to IPEDS at the conclusion of the 2019-20 academic year.

**Current Baseline:**



**Goal:** An increase from 17 percent in 2010 (the 2004 entering cohort) to 32 percent in 2020 (the 2014 entering cohort).

**Data Report:** IPEDS

*Note: This is an institutional indicator; the 32% goal by 2020 was established by UVU in 2011*

**General Attainment/Workforce Metric: Increase in the total number of certificates and degrees awarded by UVU between 2011 and 2020.**

**Definition:** Increase the number of total certificates and degrees awarded and maintain UVU’s portion of total USHE certificates and degrees awarded from 2011 through 2020.

**Benchmark:** Number of UVU certificates and degrees awarded each year beginning in 2010-11 and UVU’s share of total USHE certificates and degrees awarded.

**Current Baseline:**

## Certificates and Degrees Awarded

| Academic Year          | UVU   | USHE   | UVU Share of USHE Awards |
|------------------------|-------|--------|--------------------------|
| 2010-11                | 4,188 | 29,981 | 14%                      |
| 2011-12                | 4,559 | 31,339 | 15%                      |
| 2012-13                | 4,611 | 31,741 | 15%                      |
| 2013-14                | 5,242 | 32,549 | 16%                      |
| 2014-15                | 5,082 | 32,797 | 15%                      |
| 2015-16                | 5,107 | 33,822 | 15%                      |
| 2016-17                | 5,024 | 36,071 | 14%                      |
| 2017-18                |       |        |                          |
| 2018-19                |       |        |                          |
| 2019-20                |       |        |                          |
| % Change since 2010-11 | 20%   |        |                          |

**Goal:** A 25 percent increase in UVU certificates and degrees awarded from 2011 to 2020 and provide at least 14 percent of USHE total certificate and degree awards.

**Data report:** Annual reports from USHE IR as reported in the USHE Data Book

*Note: This is an institutional indicator and aligns with a proposed USHE system metric*



**Affordable Access/Workforce Metric: Ratio of salary after attending UVU to average annual cost of attendance**

**Definition:** Measure the labor market outcomes for UVU students receiving federal need-based financial aid.

**Benchmark:** Divide the median earnings of UVU students who received federal financial aid at 10 years after entering the school by the average annual net price for federal financial aid recipients (after aid from the school, state, or federal government).

**Current baseline:**

**Ratio of Salary After Attending to Average Annual Cost**

| Year Reported | UVU | National Average* | Standard Deviation |
|---------------|-----|-------------------|--------------------|
| 2017          | 5.2 | NA                | NA                 |
| 2018          | 5.2 | 3.3               | 4.8                |

\*Public four-year institutions

**Goal:** Maintain ratio above national average by at least 1 standard deviation

Data report: Annual College Scorecard utilizing IPEDS, NSLDS, and Treasury data

*Note: This is a proposed new institutional indicator*

**Use of Resources (Affordable Access, Capacity, and Growth) Metric—Instruction-related Classroom and Laboratory Space Utilization**

**Definition:** UVU’s fall instruction-related classroom/laboratory use and seat/station occupancy rates as defined in Regent Policy R751, Institutional Facilities Space Utilization

**Benchmark:** Board of Regents approved utilization standards for instruction-related classroom/laboratory use and seat/station occupancy each fall.

**Current Baseline:**

**Fall 2016**

|   | <b>UVU</b> | <b>USHE Standard</b> | <b>Difference</b> |
|---|------------|----------------------|-------------------|
| Classroom Utilization (hours per week)  | 44.5       | 33.75                | 10.75             |
| Classroom Seat Occupancy                | 63.0%      | 66.7%                | -3.7%             |
| Laboratory Utilization (hours per week) | 39.5       | 24.75                | 14.75             |
| Laboratory Station Occupancy            | 59.9%      | 80.0%                | -20.1%            |

**Goal:** Achieve USHE standard for each measure

**Data report:** Fall space utilization report to USHE

*Note: This is a measure established by Regents policy and aligns with a proposed USHE system metric*

**Affordable Access/Participation Metric: Enrollment of racial/ethnic students representative of Utah County population**

**Definition:** Percent of racial/ethnic students enrolled at UVU compared to Utah County population.

**Benchmark:** Comparison of racial/ethnic student enrollment to racial/ethnic Utah County population.

**Current Baseline:**

**Racial/Ethnic Enrollment  
Compared to Utah County  
Population**

| Fall | Student<br>Headcount | Utah County<br>Population |
|------|----------------------|---------------------------|
| 2013 | 16.6%                | 16.3%                     |
| 2014 | 16.7%                | 17.6%                     |
| 2015 | 17.4%                | 17.2%                     |
| 2016 | 18.7%                | 16.6%                     |
| 2017 | 19.1%                | 17.6%                     |

**Goal:** Maintain racial/ethnic enrollments that reflect the demographics of Utah County; UVU racial/ethnic enrollment no less than 1 percentage point lower than Utah County population.

**Data report:** Fall enrollments reported to IPEDS; US Census Bureau

*Note: This is an institutional indicator*



Style Definition: Title: Centered

# Proposed Institutional Metrics

## Metric #1: Community Access Rate

### Definition

SLCC enrollment as a percent of the Salt Lake County college-aged population.

### Rationale

This metric provides a measure of how SLCC enrollment relates to the overall college-aged population. Ultimately, it provides patterns of student access to SLCC and functions as a barometer for access initiatives.

### Benchmark

There is no national benchmark for this figure, so we will rely on the average of the 2004-2016: 10%.

Current baseline: 8.6%

| Year | SL County College-Age Population | SLCC Headcount (unduplicated) | Community Access Rate |
|------|----------------------------------|-------------------------------|-----------------------|
| 2004 | 441,146                          | 44,229                        | 10.0%                 |
| 2005 | 443,760                          | 44,800                        | 10.1%                 |
| 2006 | 448,957                          | 44,155                        | 9.8%                  |
| 2007 | 453,596                          | 45,215                        | 10.0%                 |
| 2008 | 457,463                          | 46,644                        | 10.2%                 |
| 2009 | 463,018                          | 47,759                        | 10.3%                 |
| 2010 | 467,754                          | 52,459                        | 11.2%                 |
| 2011 | 473,631                          | 50,643                        | 10.7%                 |
| 2012 | 480,499                          | 48,876                        | 10.2%                 |
| 2013 | 487,103                          | 47,599                        | 9.8%                  |
| 2014 | 491,488                          | 46,857                        | 9.5%                  |
| 2015 | 497,500                          | 45,295                        | 9.1%                  |
| 2016 | 501,982                          | 43,197                        | 8.6%                  |

Goal: 11%

### Data report:

Access and Success Core Theme Report

## Metric #2: Minority Access Ratio

### Definition

The ratio between the percent of SLCC students who identify as a minority race or ethnicity, compared to the college-aged (15-44) minority population in Salt Lake County.

### Benchmark

The SLCC measure is unique because we only consider 15 to 44 year olds. National benchmarking is available through the National Community College Benchmarking Project (NCCBP), but it uses the entire minority population of a region as the comparison group. SLCC is not currently a member of the NCCBP. Should the Board adopt this measure, SLCC would adjust its methodology and subscribe to that service to ensure access to better benchmarking data. When SLCC was last a member, the national average was 1:15. SLCC is rapidly approaching that average.

Current baseline: 0.87

| Year | SL County College-Aged Percent Minority | SLCC Percent Minority | Minority Access Ratio |
|------|---|-----------------------|-----------------------|
| 2011 | 29%                                     | 18%                   | 0.62                  |
| 2012 | 29%                                     | 19%                   | 0.66                  |
| 2013 | 29%                                     | 21%                   | 0.72                  |
| 2014 | 30%                                     | 22%                   | 0.73                  |
| 2015 | 30%                                     | 25%                   | 0.83                  |
| 2016 | 31%                                     | 27%                   | 0.87                  |

Goal: 1:1

### Data report

Can be accessed through the National Community College Benchmarking Project (requires annual membership fee).

## Metric #3: Student Completion Rate

### Definition

Percent of students who completed a degree or certificate within six years of their first course at SLCC.

### Benchmark

Nationally, this figure is 26%.

Current baseline: 24%

| Year | Cohort Size | Completers | Completion Rate |
|------|-------------|------------|-----------------|
| 2011 | 6,917       | 1,487      | 21%             |
| 2012 | 6,634       | 1,525      | 23%             |
| 2013 | 6,315       | 1,537      | 24%             |
| 2014 | 6,738       | 1,703      | 25%             |
| 2015 | 7,798       | 1,872      | 24%             |
| 2016 | 7,446       | 1,780      | 24%             |

Goal: 40%

### Data report:

Access and Success Core Theme Report

## Metric #4: Transfer Degree Conversion Rate

### Note on Transfer Metrics

Despite the fact that the vast majority of community college student express a desire to earn a bachelor's degree, historically the higher education sector has not developed standard metrics for transfer efficiency. While various research studies have shown that transfer students generally have higher GPAs, and that community colleges better serve underrepresented students, there has been little work on developing systematic metrics of transfer efficiency. SLCC has been tackling this issue directly for the past several years and has worked with the Commissioner's Office, the University of Utah, and the National Student Clearinghouse to develop appropriate metrics.

This past year the National Student Clearinghouse Research Center produced its first set of proposed metrics for transfer efficiency. These metrics are a significant step toward a nationwide understanding of transfer efficiency. SLCC, however, feels the proposed measures still lack a critical measure of transfer-degree conversion. The Clearinghouse metrics measure total transfer rates and total bachelor degree attainment but do not track the direct relationship between attaining an associate's degree and attaining a bachelor's degree.<sup>1</sup>

### Definition

Percent of AA/AS/APE graduates who complete a bachelor's degree within four years of SLCC graduation.

### Benchmark

There is no national benchmark

### Current baseline: 42%

| Rate<br>Year | Graduates | BA/BS within<br>4 years | Transfer degree<br>conversion rate |
|--------------|-----------|-------------------------|------------------------------------|
| 2010         | 2,017     | 908                     | 45%                                |
| 2011         | 2,208     | 994                     | 45%                                |
| 2012         | 2,234     | 1,027                   | 46%                                |
| 2013         | 2,673     | 1,283                   | 48%                                |
| 2014         | 2,747     | 1,264                   | 45%                                |
| 2015         | 2,835     | 1,247                   | 44%                                |
| 2016         | 2,781     | 1,140                   | 41%                                |
| 2017         | 2,982     | 1,252                   | 42%                                |

### Goal: 60%

### Data report

Transfer Education Core Theme Report

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<sup>1</sup> The lack of such a measure may be due to the fact that national research has been inconclusive on whether it is better for a student to earn an associate's degree prior to transfer. Regardless of the lack of clear findings on this issue, SLCC feels its students need to complete an award prior to transfer and that its awards should transfer smoothly into USHE bachelor degree programs. SLCC faculty and administrators cannot, in good faith, design and ask students to complete "transfer" programs that do not articulate. Alternatively, we cannot cast aside the emphasis on degree completion without losing our core identity as a college.

## Metric #5: CTE Graduate Competitive Wage Rate

### Definition

Percent of SLCC CTE graduates who earned a wage above the Salt Lake County median wage one year after graduation.

### Benchmark: 55%

No national benchmark exists, so we use the average of the past six years.

Current baseline: 59%

| Year | Competitive wage rate |
|------|-----------------------|
| 2012 | 54%                   |
| 2013 | 56%                   |
| 2014 | 53%                   |
| 2015 | 54%                   |
| 2016 | 57%                   |
| 2017 | 59%                   |

Goal: 65%

### Data report

Workforce Education Core Theme Report



November 13, 2018

MEMORANDUM

TO: State Board of Regents  
FROM: David L. Buhler  
SUBJECT: Update on Statewide College Access Advising Initiative

The Board of Regents adopted the statewide college access advising initiative as its keystone initiative in support of its strategic priorities at its September 2018 meeting. This program will establish a full-time, near-peer college access advisor for every high school in Utah by Fall 2021.

The Board also adopted the Commissioner's recommendation for regular updates on the adoption and scaling of the statewide college access advising program, including metrics on cost and student outcomes.

For the 2019-20 academic year, new college access advisors will be added to a select number of Utah high schools using internal budget reallocations from the Commissioner's Office. In addition, there will be new embedded, dedicated regional coordinators overseeing regional clusters of the new college access advisors. Program staff is working with USHE institutional admissions, enrollment, and outreach directors at those institutions to facilitate the integration of the regional coordinator positions.

As the new regional coordinators and college access advisors begin on-boarding in July 2019, baselines and goals will be established for individual high schools on applications and admissions of cohort students.

**Outreach and Advocacy**

The Commissioner, program staff, and Regents have met with the editorial board of KSL Media/Deseret News and the Salt Lake Tribune. Presentations about the initiative to the Governor's Cabinet, the TalentReady Utah Board, the Governor's Education Excellence Commission, the Utah State Superintendents Association, and the Utah Technology Council have been extremely positive. Future opportunities with stakeholder groups including state superintendents, secondary counselors, state PTA, and regional chambers of commerce are being scheduled over the next several months; dates will be shared with the Board by the Commissioner. Any participation by members of the Board of Regents is greatly appreciated.

Commissioner's Recommendation

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

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David L. Buhler  
Commissioner of Higher Education

DLB/MH/SJ