



***BOARD OF TRUSTEES  
AGENDA AND MINUTES***

**January 31, 2014**



## Board of Trustees

January 31, 2014



### Schedule of Events

#### **Friday, January 31, 2014**

**10:30 a.m.** Trustees Executive Session (Charles Hunter)

**12:00 p.m.** Trustees Luncheon (Vermillion Cliffs)

**1:00 p.m.** Trustees Regular Meeting (Charles Hunter)

**3:00 p.m.** Student BOT Scholarship Interviews (Yankee Meadows--closed session)

### **ACTION ITEMS:**

- |     |  |              |
|-----|--|--------------|
| 1)  | Welcome by Chair Leavitt                                 | Verbal       |
| 2)  | Minutes of December 4, 2013, Trustees Meeting            | <b>Tab A</b> |
| 3)  | Policy #6.1 Faculty Evaluation, Promotion and Tenure     | <b>Tab B</b> |
| 4)  | Policy #6.10 Faculty Senate Constitution                 | <b>Tab C</b> |
| 5)  | Policy #6.27 Faculty Workload                            | <b>Tab D</b> |
| 6)  | Policy #13.12 Faculty Senate                             | <b>Tab E</b> |
| 7)  | R401-SUU STEM Center for Teaching & Learning             | <b>Tab F</b> |
| 8)  | Contractual Authorization                                | <b>Tab G</b> |
| 9)  | Corporate Authorization to Negotiate Securities Accounts | <b>Tab H</b> |
| 10) | Policy #5.56 Policy Development Authority                | <b>Tab I</b> |

### **INFORMATION & REPORTS:**

- |     |  |        |
|-----|--|--------|
| 11) | Report of the President  | Verbal |
| 12) | Report of Faculty Senate                                       | Verbal |
| 13) | Report of Staff Association                                    | Verbal |
| 14) | Report of the Student Body President                           | Verbal |
| 15) | Report of Alumni   | Verbal |
| 16) | Report of University Relations                                 | Verbal |
| 17) | Report of Student Services                                     | Verbal |
| 18) | Report of Athletics  | Verbal |
| 19) | Report of Advancement & Regional Services                      | Verbal |
| 20) | Report of Finance:   | Verbal |
|     | a. Annual Audit Report   |        |
|     | b. Health Insurance Update                                     |        |
|     | c. New Market Tax Credit Update                                |        |
| 21) | Report of the Provost - American Studies Center in Hunan China | Verbal |



Board of Trustees  
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**CONSENT ITEMS:**

- |            |   |              |
|------------|---|--------------|
| <b>22)</b> | Investment Report for October 31, 2013                        | <b>Tab J</b> |
|            | Investment Report for November 30, 2013                       |              |
|            | Investment Report for December 31, 2013                       |              |
|            | Quarterly Endowment Report of December 31, 2013               |              |
|            | Head Start Budget Reports for December 31, 2013               |              |
|            | Head Start Summary Report for December 2013                   |              |
|            | Personnel (Sabbaticals, New Appointments & Early Retirements) |              |
|            | Motion for Executive Session                                  |              |



## Board of Trustees

Minutes  
December 4, 2013

### Regular Business Meeting

The Regular Business meeting began at 1:10 p.m. in the Charles Hunter Conference Room of the Haze Hunter Conference Center.

**Trustee Members Present:** Chair Eric Leavitt; Vice Chair Jim Johnson; Trustees Ann Marie Allen, Nate Esplin, Sherrie Hansen, Jeffrey Hertig, Carolyn Higbee and Mark Russell.

**Others Present:** Interim President Rich Kendell; Provost Brad Cook; Vice Presidents Stephen Allen (Interim); Stuart Jones, Dean O'Driscoll; Dialea S. Adams, Secretary; Michael Carter, Assistant Attorney General; Jacob Askereth, President Council Fellow; Ken Beazer, Director of Athletics; Thomas McFarland, Chief Information Officer; Tom Morgan, Director of Head Start; Dorian Barragan, Enrollment Manager of Head Start; Scott Phillips, Executive Director of the Utah Shakespeare Festival; David Ivers & Brian Vaughn, Co-Artistic Director of the Utah Shakespeare Festival; Becky Stucker, Budget Office of the Utah Shakespeare Festival; Todd Ross, Business & Finance Director of the Utah Shakespeare Festival; Mitch Bealer, Assistant Vice President Planning & Budget; Robert Eves, Dean of the College of Science & Engineering; Deb Hill, Dean of the College of Education and Human Development; Bill Byrnes, Associate Provost; Ed Lamb, Head Football Coach; Rob Robertson, CSIS Department Chair; Amy McIff, Creative Media & Outreach Specialist; Rick Homer & Drew Williams of Condition Zebra company and special guests.

#### 1. Welcome By Chair Leavitt

Eric Leavitt called the meeting to order and welcomed the board and other guests to the meeting.

#### 2. Minutes of October 11, 2013, Trustees Meeting

The trustees reviewed the minutes of October 11, 2013. It was noted that one correction was required to item #7 on Film Studies. The agenda item was approved rather than tabled as printed. A motion was made by Mark Russell to approve the minutes as printed with the one correction noted; second on motion was made by Jeff Hertig. Vote unanimous.

#### 3. Policy #11.9 Accommodations for Students with Disabilities

The updates to both policies #11.9 and #11.11 are made to clearly define the process required to evaluate accommodations. The revisions also provide uniform and consistent procedures for handling requests for consideration. A motion as made by Sherrie Hansen to approve Policy #11.9 Accommodations for Students with Disabilities and Policy #11.11 Disability-Related Grievances as printed; second on motion was made by Carolyn Higbee. Vote unanimous.

**4. Policy #11.11 Disability-Related Grievances**

See agenda item #3 for approval.

**5. Utah Shakespeare Festival Amended Budget for 2014**

Scott Phillips explained that the Shakespeare Festival is projecting a shortfall of \$200K for the 2013 fiscal year. This amended budget includes reduction of seasonal personnel, cuts in administrative expenses and production. Reduced expenses \$325K and expect to end the 2014 fiscal year with a \$150K surplus. The board asked that budget information includes actual budget numbers as well as projected and proposed numbers for upcoming year.

Currently the Utah Shakespeare Festival has a cash reserve of \$1.2M. The trustees discussed why the reserve is set at a range of 17-20% and if that is best range to aim for. After a lengthy discussion, a motion was made by Ann Marie Allen to approve the Utah Shakespeare Festival Amended Budget for 2014 as printed; second on motion was made by Mark Russell. Vote unanimous.

**6. Policy #6.41 Cyclical Academic Program Reviews & Reports**

Brad Cook reported that updates to this policy were made to provide definitions for programs and more closely are aligned with the Regents policies. The updates also clarify the self-study document and review process. A motion was made by Carolyn Higbee to approve Policy #6.41 Cyclical Academic Program Reviews and Reports as printed; second on motion was made by Jim Johnson. Vote unanimous.

**7. Master of Science in Critical Infrastructure Protection (Cyber Security)**

Brad Cook introduced Drew Williams and Rick Homer of Condition Zebra. Mr. Williams gave a brief overview of the company and how this program would be an online program that would be offered as a joint sponsorship and modular program for up to 15 students in the fall of 2014 at Southern Utah University. A handout was given to trustees for their review. A motion was made by Mark Russell to approve the Master of Science in Critical Infrastructure Protection (Cyber Security); second on motion was made by Sherrie Hansen. Vote unanimous.

**8. Master of Science of Forensic Science Discontinuance**

Brad Cook reported that this program is lacking a demand in enrollment. There are only 15 students in the program and the plan is to educate them out, but to no longer admit new students into the program. A motion was made by Jim Johnson to approve the Master of Science of Forensic Science Discontinuance as printed; second on the motion was made by Nate Esplin. Vote unanimous.



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### 9. Academic Calendar 2014-2017

Bill Byrnes presented the 2014-2017 proposed academic calendars, which have been discussed extensively with an ad hoc calendar committee. A motion was made by Carolyn Higbee to approve the Academic Calendars 2014-2017 as presented; second on the motion was made by Mark Russell. Vote unanimous.

### 10. Policy #13 Risk Management Committee

Policy #13 is a new policy which was prompted by State Risk Management office in compliance with Utah administrative rule R37-1-7(3,4). A motion was made by Mark Russell to approve Policy #13 Risk Management Committee as printed; second on the motion was made by Nate Esplin. Vote unanimous.

### 11. Head Start Eligibility, Recruitment, Selection Criteria Summary

Tom Morgan and Dorian Barragan reported that the Head Start program must review and establish formal selection criteria in deciding which children are admitted into the Head Start program since there is greater demand than space. A motion was made by Ann Marie Allen to approve the Head Start Eligibility, Recruitment, Selection Criteria Summary as printed; second on the motion was made by Jeff Hertig. Vote unanimous.

### 12. Report of the Chair of the Board

No report given.

### 13. Report of the President

President Kendell reported on the follow issues:

- SMART Growth SUU overview of our goal to jumpstart the enrollment growth between 5 and 6 percent which is approximately 2000 new students in the next five years. He also talked the trustees through the cost summary of the strategic initiatives. Recognized the work of Brad Cook, Stuart Jones and Jacob Askeroth.
- Trustees and presidents meeting in Salt Lake on January 17, 2014.
- Special meeting with the Regents to report on the New Market Tax Credit for Center for the Arts is scheduled for December 12, 2013.

### 14. Report of the Student Body President

Jeff Hertig reported on the Smith Center survey and master plan for the space. The student fee committee is meeting and will be forwarding recommendations to the trustees in early 2014. On December 8 the annual Pancake Dinner will be held in the cafeteria for students before the start of finals week.



## Board of Trustees

Minutes

December 4, 2013

### 15. **Report of Provost:**

#### A. **Bachelor of Science in Art Three Year Review**

Brad Cook reported that the Bachelor of Science in Art program provides another option for students that are not able to pursue a BFA in Art. The BS in Art program has seen enrollment growth in this area go from 27 majors to 48 majors in the three year period.

#### B. **Outdoor Recreation, Parks and Tourism Three Year Review**

Dean Deb Hill reported that the outdoor program is one of only two programs offered within the state. This program is better preparing students for the growing outdoor recreation field. Most graduates in this program have been able to find employment within their field.

#### C. **College of Education & Human Development Seven Year Review**

Dean Deb Hill reported that the College of Education has undergone evaluation from three external reviewers as well as numerous internal campus committee reviews. The COEHD is run very cost efficiently and has had many successful programs including the STEAM school partnership with the North elementary which provides great opportunities for our students and the community.

#### D. **National Survey of Student Engagement Snapshot for 2013**

Brad Cook reviewed the national Survey of Student Engagement Snapshot for 2013 from our student responses which will provide valuable feedback on the undergraduate experience.

#### E. **Academic Roadmap and KPI Progress**

Bill Byrnes reviewed the progress report with the trustees. He suggested that we plan to schedule a two hour meeting with the board in preparation for the Northwest Commission on Colleges and Universities evaluation visit in April 2014.

### 16. **Report of University Relations (Social Media Videos)**

Dean O'Driscoll reviewed several advertising opportunities that SUU will be utilizing including LDS Living, Deseret News and the Outdoor Reference Guide. He also showed 5 different video clips on how our students Experience More. The vignettes were created by students, for students and will be featured on our SUU.EDU website.

### 17. **Report of Advancement & Regional Services**

Stuart Jones handed out a Campaign Fundraising Totals from January 2007 to December 2013. He reviewed the highlights of the campaign and recognized that our community and friends continue to support SUU and higher education.

**18. Report of Alumni**

Mark Russell reported that the tailgate before the Weber State football was successful and well attended. Networking lunches are being held in January in both Las Vegas and Salt Lake City.

The president has hosted two community luncheons at the alumni house and will host another one on December 11. These events have proved valuable in meeting with our community alumni, friends and donors.

**19. Report of Athletics**

Ken Beazer reported that on February 13 a basketball appreciation alumni night will be held. The winter sports are well underway with gymnastics slated to begin in January.

Kent then introduced Coach Ed Lamb; coach summarized the football season the noted the class of the team. He stated that SUU football is “Personalize Education + Personalize Football”. It has been a great opportunity to work with these committed football students and athletes.

**20. Report of Staff Association**

No report given.

**21. Report of Faculty Senate**

Julie Taylor was reporting on behalf of Emily Dean. The senate is reviewing a few policies that will be forwarded soon for trustees’ review and approval. The senate is also developing a peer mentoring program for faculty members to assist newer faculty members. It was also mentioned that the faculty feels that a public forum was needed during the final stages of the presidential search.

**22. Approval of the Consent Calendar**

Motion made by Nate Esplin to approve the consent calendar items:

- A. September 2013 Investment Report
- B. Quarterly Endowment Report for September 30, 2013
- C. Head Start Budget Reports for October 31, 2013
- D. Head Start Summary Report
- E. Motion for Executive Session

Second on the motion made by Jim Johnson, vote unanimous.

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The meeting was adjourned at 4:38 p.m.

## **EXECUTIVE SUMMARY**

### **Policy #6.1 Faculty Evaluation, Promotion, and Tenure**

Pages 1 through 15 and the first two tables in Appendix A are included. The proposed revisions on pages 3, 4, 5 and 6 help clarify expectations of non-tenure track faculty and lecturers relative to currency in their academic field and the approval process for evaluation criteria. Page 5 also covers currency for Professional's-in-Residence. Pages 10 and 11, and the second table in Appendix A updates the three-year review process for faculty evaluations. Lastly, pages 14 and 15 replaces wording making the approval process consistent for non-tenure track faculty.



**SOUTHERN UTAH UNIVERSITY**  
**Policies and Procedures**

**Policy # 6.1**  
**Date Approved: 11/02/90**  
**Date Amended: 06/13/13**  
**Reviewed w/no Changes:**  
**Office of Responsibility: Prov**  
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**SUBJECT: FACULTY EVALUATION, PROMOTION AND TENURE**

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**I. PURPOSE:** The policies under this title govern evaluations (i.e. third-year, annual and post-tenure), academic rank promotion, faculty tenure and sabbatical leave.

**II. REFERENCES:**

Utah Code Ann. 53B-48-15(1) (1970)

AAUP Policy Documents and Reports, 1995 Edition

Utah Board of Regents Policy and Procedures, R-220, Delegation of Responsibilities to the President and the Board of Trustees

Utah Board of Regents Policy and Procedures, R-312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles

Utah Board of Regents Policy and Procedures, R-481, Academic Freedom, Professional Responsibility and Tenure

Utah State System of Higher Education Policies and Procedures, R482, Bona Fide Financial Exigency and Personnel Reduction

Utah State System of Higher Education Policies and Procedures, R483, Award of Tenure

SUU Policies and Procedures, 5.18, Nepotism

SUU Policy and Procedures, 6.0 Definition of Faculty

SUU Policy and Procedures, 6.2, Academic Officers

SUU Policies and Procedures, 6.6, Academic Freedom

SUU Policies and Procedures, 6.12, Financial Crisis and Bona Fide Financial Exigency

SUU Policies and Procedures, 6.15, Faculty Leaves

SUU Policies and Procedures, 6.22, Faculty Due Process

SUU Policies and Procedures, 6.27, Faculty Workload

SUU Policy and Procedures, 6.28, Faculty Professional Responsibility



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**SUBJECT: FACULTY EVALUATION, PROMOTION AND TENURE**

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**III. POLICY SECTIONS:**

- 6.1.1. Faculty Annual Review Process
- 6.1.2. Three-year Review Process
- 6.1.3. Academic Rank Advancement Process
- 6.1.4. Faculty Tenure Process
- 6.1.5. Post-tenure Review Process
- 6.1.6. Sabbatical Leave Process
- 6.1.7. Merit Pay Process

**IV. VALUE STATEMENT**

The academic mission statement of Southern Utah University states in part “to provide a personalized, integrative and experiential learning environment designed to prepare students to become fully engaged and productive members of society.” To support the achievement of these goals, the university recognizes faculty work in using experiential, engaged learning and interdisciplinary pedagogies where possible. Experiential and engaged learning integrates theory and practice by combining academic inquiry with designed, managed and guided academic experiences. Promotion and tenure requirements allow faculty to be recognized for using these pedagogies in their teaching and scholarship, as well as in supervising students in various projects (e.g. capstone projects, undergraduate research, internships, etc.). In addition, faculty evaluation, promotion and tenure processes recognize faculty for their work in teaching, scholarship, service and collegiality.

**V. DEFINITIONS**

- A. Tenured and Tenure-track Faculty:** Tenured and tenure-track faculty are defined in Policy 6.0 and consists of faculty holding the following academic ranks: professor, associate professor, and assistant professor, except for non-tenure track faculty who may be designated associate professor (NTT) or assistant professor (NTT). Individuals in administrative positions may also hold a faculty position and be awarded tenure in an academic program. Tenured and tenure-track faculty are expected to engage in teaching, scholarship/creative activities, and service in accordance with their assigned responsibilities.



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1. **Full Professor:** The rank of Full Professor is an appointment for persons with an earned terminal degree in the field of their appointment (see appendix I) and at least five years of experience as an associate professor. Full Professors are recognized as master teachers, scholars/artists, and institutional leaders. Their teaching, scholarly/artistic activities, service, and engagement with students should reflect high professional competence.
2. **Associate Professor:** The rank of Associate Professor is an appointment for persons with at least seven years of experience as an assistant professor. Associate professors have demonstrated ability in the areas of teaching, scholarship/artistry and service. They should be capable of undertaking university-wide responsibilities which contribute to the attainment of the university's mission and goals.
3. **Assistant Professor:** The rank of Assistant Professor is an initial appointment. Assistant professors exhibit potential for effective teaching, scholarship/artistry, and service. They are engaged in serious, disciplined and continuing study which will permit them to increase their competence in their fields and/or other fields which will qualify them for promotion to a higher rank.

**B. Non-tenure Track Faculty (NTT):** Non-Tenure Track faculty are faculty who are under contract but not ultimately eligible for tenure. Non-tenure-track faculty hold regular faculty titles of Associate Professor (NTT), Assistant Professor (NTT), or Lecturer. Generally, non-tenure track faculty hold a master's degree in field of appointment or 18 graduate hours in field and a relevant master's degree.

1. **Associate Professor (NTT):** This rank is an appointment for faculty with at least six years of experience as an Assistant Professor (NTT). Associate Professors (NTT) are recognized as master teachers. Their teaching, professional service, and engagement with students should reflect high professional competence, **currency in their field**, and serve as a model for other faculty.
2. **Assistant Professor (NTT):** This rank is an appointment for persons with at least four years of experience as a Lecturer. Assistant Professors (NTT) have demonstrated ability in the areas of teaching and professional services. They should **maintain currency in their field and** be capable of undertaking college-wide responsibilities which contribute to the attainment of the college's mission and goals.



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3. **Lecturer:** The title of Lecturer is an entry-level faculty position. Lecturers have a primary responsibility for effective teaching **while maintaining currency in their field** and secondary responsibility for academic unit participation.
- C. **Special Appointments:** (e.g. Professional in Residence, Artist in Residence, Distinguished Fellow) require a minimum of a bachelor's degree. A professional-in-residence or artist-in-residence requires prominence and experience in the field the appointee will be teaching, or a specialized certification in the discipline. Indicators/attributes for prominence and experience are articulated by the search committee and the department chair, and are subject to action by the dean and Provost.
- D. **Professor Emeritus:** The University also recognizes the title of Professor Emeritus. A Professor Emeritus may be employed on a part-time basis or may not be currently employed at all.
- E. **Annual Review:** An annual review consists of the Faculty Annual Activity Report (FAAR) and associated evaluative letters.
- F. **Leave, rank and tenure committees:** Department, college/school and University LRT committees are established according to the criteria in the table below. Faculty members who are related (as defined in SUU policy 5.2) to another faculty member who is applying for tenure are ineligible to serve on any LRT committee. Committee procedures will be in accordance with existing policies of SUU.

	Department	College/School	University
Voting members	3	5	1 from each college/school plus 1 from library
Tenured members	All	All	All & Full Professors
Successive membership	No	No	No
Roster submitted by	Department Chair	Dean	Each Dean
Voted by	Tenured/Tenure track Department Faculty	Tenured/Tenure track College Faculty	Tenured/Tenure track College Faculty
Members from other units	As needed	As needed	NA
Administrators serving	None	None	None
Exceptions approved by	University LRT	University LRT	Faculty Senate



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**VI. EVALUATION CRITERIA**

- A. Criteria:** Decisions regarding evaluation, promotion and tenure of faculty members will use the criteria below. The faculty of each department will develop or adopt specific models of evaluation, and criteria to be used with the approval of the dean. Department LRT criteria will then be forwarded on to the Provost's office for final approval. In the case of a dispute over the criteria to be used for evaluating teaching excellence, scholarly/creative contribution and/or service, the question will be resolved by a consensus of a committee consisting of the Dean, Department Chair and one faculty member selected by the faculty affected.
1. **Teaching Excellence:** Consistent with SUU's mission as defined in R312, teaching is of primary importance. Scholarly and creative achievements should be complementary to the teaching role. Teaching effectiveness will be evaluated through the use of student, peer, department chair, (except the department chair may not evaluate his/her own teaching effectiveness), and/or self-evaluations, or other pertinent information. Student evaluations will be conducted in all classes taught. The responses to all teaching-related questions on the student-evaluation instrument will be considered in assessing teaching ability. Thus, a portfolio approach to "teaching effectiveness" is required for all units, including student evaluations plus one or more of the following: peer evaluations, instructional delivery/design, course management skills, letters from colleagues, or other similar factors.
  2. **Scholarly/Creative Contribution:** As approved by the department chair and the dean of the college/school, the faculty of each department develop or adopt models such as the Boyer model or other guidelines stipulating the required amount and kind of scholarly/creative contributions and/or dissemination (publication, performance, presentation, etc.) expected for tenured and tenure-track faculty members. Non-tenure track faculty members should demonstrate currency in their field as determined by the department and approved by the Dean of the college of /school. **For Professional-in-Residence faculty members, the expectation for scholarly/creative contribution is determined by the department and approved by the dean of the college/school.**
  3. **Service:** Academic departments define acceptable professional service. Generally, it means service to the University and profession, but professional service to the community may also be considered. Faculty will typically serve on no more than four committees (or student club advisement) at any one time during their contract period. Department chairs are responsible for monitoring



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the workload of their faculty to ensure that an inordinate amount of University, College/School/Department/ad hoc committee work has not been assigned.

4. **Collegiality:** Collegiality is defined as faculty responsibilities toward students, peers and the institution as addressed in SUU policy 6.28 (sections IV, V, and VI). In addition to other collegial activities, collaborative and interdisciplinary works are valued elements of collegiality and should be recognized in the evaluation process if and when it occurs.

- B. **Ratings:** All full-time faculty members will be evaluated according to the above criteria using the following ratings. **The scholarly/creative requirement for Non-tenure track faculty members are exempt from the scholarly/creative requirement unless the department requires it is to maintain currency in their field as determined by the department and approved by the Dean of their college or school.** During post-tenure review, tenured faculty members shall generally be assessed with the criteria and ratings in 6.1, IV. unless otherwise determined by the faculty of each department/school. The initial and most thorough peer evaluation should occur at the department level. Regardless of this statement, rigorous reviews should be done by all evaluative entities.

**Exceptional Professional Performance (EP)**

Exceeds expectations of professional performance. In addition to the entitled rank advancement base salary adjustments, merit money will also be allocated to exceptional performance. To be eligible for faculty merit consideration, the faculty member must have a positive review at each level of evaluation.  
 (JUSTIFICATION MUST BE INCLUDED)

**Standard Professional Performance (SP)**

Meets expectations of professional performance. This is the accepted standard for tenure and rank considerations.  
 (JUSTIFICATION MUST BE INCLUDED)

**Low Performance (LP)**

Does not consistently meet expectations of professional performance. In the case of Low Performance a development plan is required.  
 (JUSTIFICATION MUST BE INCLUDED)

**Unacceptable Performance (UP)**

Does not meet minimal expectations of professional performance. If the faculty member is retained, a development plan is required.  
 (JUSTIFICATION MUST BE INCLUDED)



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**6.1.1. FACULTY ANNUAL REVIEW PROCESS**

- I. PURPOSE:** To establish guidelines and procedures for the Faculty Annual Activity Report (FAAR).
- II. FAAR PROCEDURE FOR NON-TENURE TRACK FACULTY:**
  - A. All non-tenure track faculty members except those submitting three-year reviews or applying for rank advancement are responsible for documenting accomplishments and activities in a FAAR.
  - B. An example of the content and format of the FAAR is contained in Appendix B.
  - C. Each department specifies the content and general format of the documentation. All documentation is made available to evaluating entities when requested.
  - D. The non-tenure track faculty member forwards the FAAR to the department chair according to the schedule of deadlines attached as Appendix A.
  - E. To be eligible for faculty merit consideration, the non-tenure track faculty member must have a positive review at each level of evaluation.
  - F. For all non-tenure track faculty members, each evaluative entity makes a recommendation as to whether the faculty member should be retained.
- III. FAAR PROCEDURE FOR TENURE TRACK FACULTY:**
  - A. All tenure track faculty members, except those submitting three-year reviews or applying for rank advancement or tenure, are responsible for documenting accomplishments and activities in a FAAR on their performance on each criterion in Policy 6.1, VI above.
  - B. An example of the content and format of the FAAR is contained in Appendix B.
  - C. Each department specifies the content and general format of the documentation. All documentation is made available to evaluating entities when requested.
  - D. The faculty member forwards the FAAR to the department chair according to the schedule of deadlines attached as Appendix A.



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- E. To be eligible for faculty merit consideration, the tenure track faculty member must have a positive review at each level of evaluation.
- F. For all tenure track faculty members, each evaluative entity makes a recommendation as to whether the faculty member should be retained.

**IV. FAAR PROCEDURE FOR TENURED FACULTY:**

- A. All tenured faculty members, except those applying for rank advancement or submitting a post-tenure review, are responsible for documenting accomplishments and activities in a FAAR on their performance on each criterion in Policy 6.1, V1 above.
- B. An example of the content and format of the FAAR is contained in Appendix B.
- C. Each department specifies the content and general format of the documentation. All documentation is made available to evaluating entities when requested.
- D. The faculty member forwards the FAAR to the department chair according to the schedule of deadlines attached as Appendix A.
- E. To be eligible for faculty merit consideration, the faculty member must have a positive review at each level of evaluation.

**V. RESPONSIBILITIES:**

- A. Responsibilities of department chair:
  - 1. The chair reviews all FAARs for all faculty in his or her department. The chair also prepares an evaluative letter for each faculty member in the department on each criterion in Policy 6.1, V1. In addition to the material provided by the faculty member, the department chair may utilize other information such as personal interviews, peer evaluations, student evaluations, summaries of relevant activity, and other pertinent information.
  - 2. For all faculty completing the FAAR, the chair forwards the FAAR with the chair's evaluative letter to the chair of the department LRT committee pursuant to the schedule of deadlines that is attached as Appendix A.



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3. After receiving back from the dean the FAAR with evaluative letters, the department chair discusses the evaluative letters with the faculty member by the deadline in the schedule that is attached as Appendix A. When any faculty member is to be retained but the faculty member's performance is other than exceptional or standard, the faculty member, in consultation with the department chair, prepares, submits to the dean for approval and implements a plan with a time table to correct the indicated weakness/s. The department chair may use the resources of the department in this endeavor. Copies of all developmental plans are forwarded to the dean for approval and then sent to the Provost's Office.
  4. Department chairs also prepare their own FAAR to be reviewed by the dean.
- B. Responsibilities of department LRT committee:
1. The department LRT committee does not generally evaluate FAAR reports for tenured faculty members, unless the individual is seeking merit pay, or if the individual has received a sub-standard evaluation from either the Chair or the Dean.
  2. The department LRT committee prepares an evaluative letter for each faculty member submitting the FAAR in the department. The department LRT committee utilizes the faculty member's FAAR, the department chair's evaluative letter, and may also use peer evaluations, student evaluations, summaries of relevant activity, and other pertinent information.
  2. The department LRT committee then forwards the faculty member's FAAR, department chair's and the department LRT committee's evaluative letters to the dean of the college/school according to the schedule of deadlines that is attached as Appendix A.
- C. Responsibilities of college/school dean:
1. The dean reviews all FAARs and evaluative letters.
  2. If there are any concerns, the dean directs them to the department chair and to the chair of the department LRT committee, and requests a response.
  3. The dean prepares an evaluative letter for all faculty members.
  4. All recommendations for non-renewal, with supporting documentation, are forwarded to the Provost's Office. Notice of non-reappointment shall be



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given to the affected faculty member no later than March 1 of the academic year in which the decision to not reappoint is made.

5. The dean returns all FAARs and evaluations of each evaluated faculty member to the department chair according to the schedule of deadlines that is attached as Appendix A.

### **6.1.2. THREE-YEAR REVIEW PROCESS**

- I. **PURPOSE:** To establish guidelines and procedures for the three-year review process. For tenure-track faculty, this is a major review conducted during the probationary period to ascertain whether the individual is on track to receive tenure. ~~For non-tenure track faculty, this is a major review conducted to ascertain whether the individual is on track for the rank advancement application process and serves as a means to evaluate activity following the attainment of the rank of Associate Professor (NTT).~~
- II. ~~**THREE-YEAR REVIEW PROCEDURE FOR NON-TENURE TRACK FACULTY:**~~  
~~The three-year review follows the same procedures and criteria as the Faculty Annual Review (6.1.1). Deadlines are set forth in Appendix A. The three-year review is part of the criteria for rank advancement for non-tenure track faculty and serves as a means to evaluate activity following the attainment of the rank of Associate Professor (NTT).~~
  - A. ~~Responsibility of the non-tenure track faculty member: The non-tenure track faculty member prepares a portfolio that consists of (1) the prior annual reviews, (2) the application cover sheet for the three-year review in Appendix D, and (3) supporting documentation as determined by the department and approved by the dean, attached to the cover sheet in Appendix D. This portfolio is submitted to the department chair according to the schedule of deadlines that is attached as Appendix A.~~
- III. II. **THREE-YEAR REVIEW PROCEDURE FOR TENURE TRACK FACULTY:** The three-year (midterm) review is conducted according to the table below. Deadlines are set forth in Appendix A. The three-year review is part of the criteria for rank advancement and tenure for tenure track faculty.

<b>Years Granted Toward Tenure</b>	<b>Years of Service before midterm review</b>	<b>Years at SUU before tenure application</b>
0	3 full years	6 full years
1	3 full years	5 full years
2	2 full years	4 full years
3	1 full year	3 full years



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- A. Responsibility of faculty member: The tenure track faculty member prepares a portfolio that consists of (1) the prior annual reviews, (2) work done that resulted in years granted toward tenure, (3) the application cover sheet for three-year review in Appendix D, and (4) supporting documentation as determined by the department **and approved by the dean**, attached to the cover sheet in Appendix D. This portfolio is submitted to the department chair according to the schedule of deadlines in Appendix A.

**IV. III. THREE-YEAR REVIEW PROCEDURE FOR TENURED FACULTY:** Tenured faculty do not submit three year reviews as they follow the requirements for rigorous post-tenure review, described in 6.1.5. of this policy.

**~~V.~~ IV. RESPONSIBILITIES:**

- A. Responsibilities of department chair:
1. The chair reviews all three-year reviews for all faculty in his or her department. The chair also prepares an evaluative letter for each faculty member in the department on each criterion in Policy 6.1, V1. In addition to the portfolio provided by the faculty member, the department chair may utilize other information such as personal interviews, peer evaluations, student evaluations, summaries of relevant activity, and other pertinent information.
  2. For all faculty completing the three-year review, the chair forwards the three-year review portfolio with the chair's evaluative letter to the chair of the department LRT committee pursuant to the schedule of deadlines that is attached as Appendix A.
  3. After receiving back from the dean the three-year review portfolio with evaluative letters, the department chair discusses the evaluative letters with the faculty member by the deadline in the schedule that is attached as Appendix A.
  4. Department chairs also prepare their own three-year review portfolio to be reviewed by the dean.
- B. Responsibilities of department LRT committee:
1. The department LRT committee prepares an evaluative letter for each faculty



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member submitting the three-year review in the department. The department LRT committee utilizes the faculty member's three-year review portfolio, the department chair's evaluative letter, and may also use peer evaluations, student evaluations, summaries of relevant activity, and other pertinent information.

2. The department LRT committee then forwards the faculty member's three-year review portfolio, department chair's and the department LRT committee's evaluative letters to the college/school LRT committee according to the schedule of deadlines that is attached as Appendix A.

**C. Responsibilities of college/school LRT committee:**

1. The college/school LRT committee receives the three-year review portfolio from the department LRT Committee and prepares an evaluative letter for each tenure-track faculty member in the college/school. The college/school LRT committee utilizes the faculty member's portfolio, evaluative letters of the department chair and department LRT committee, and may also utilize peer evaluations, student evaluations, summaries of relevant activities, the non-tenured faculty member's portfolio, and other pertinent information.
2. The college/school LRT committee evaluates each criterion in Policy 6.1, IV.A. using one of the ratings in 6.1, VI.B. with descriptive language supporting the rating.
3. The college/school LRT committee forwards the portfolio and all reviews to the dean of the college/school according to the schedule of deadlines that is attached as Appendix A.

**D. Responsibilities of college/school dean:**

1. The dean reviews all three-year reviews and evaluative letters.
2. If there are any concerns, the dean directs them to the department chair and to the chair of the department LRT committee, and requests a response.
3. The dean prepares an evaluative letter for all faculty members.
4. All recommendations for non-renewal, with supporting documentation, are forwarded to the Provost's Office. Notice of non-reappointment shall be given to the affected faculty member no later than March 1 of the academic year in which the decision to not reappoint is made.



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5. The Dean forwards all three-year portfolios and all reviews to the Provost as indicated in the table in Appendix A.

**6.1.3. ACADEMIC RANK ADVANCEMENT PROCESS**

**I. PURPOSE:** To establish policy regarding the awarding of academic rank.

**II. POLICY**

**A. Hiring with academic rank (See 6.1., V.)**

1. After evaluating the appointee's educational training and experience, the dean, department chair, and the affected search committee jointly recommend to the Provost a rank that is consistent with SUU policies.
2. There may be circumstances where, in addition to the initial rank assignment, an appointee is granted a specified number of years toward the next rank. Any such credit must be determined between the appointee and the responsible chair, approved by the dean, and Provost, and specified and clearly stated in the initial contract. A maximum of three years may be credited toward rank advancement. The number of years awarded for rank advancement for a tenure-track assistant professor is the same as the number of year's reduction to the probationary period for tenure.
3. At hiring, academic officers receive academic rank according to this policy.

**B. Implementation**

1. Faculty hired prior to 1/28/05 were allowed to choose either to be subsequently evaluated for advancement in rank according to Policy 6.1 approved 11/02/90 or Policy 6.1 approved 1/28/05.
2. Faculty hired post 1/28/05 apply for rank and tenure according to current policy.

**C. Qualifications for rank advancement**

1. Time in rank
  - a. Tenure track and tenured faculty



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- (1) Associate Professor: The rank of associate professor will be granted with the awarding of tenure, normally after seven years as assistant professor.
- (2) Professor: Minimum of five years as Associate Professor before applying.
- b. Non-tenure track faculty
  - (1) Assistant Professor (NTT): Four years as Lecturer before applying.
  - (2) Associate Professor (NTT): Six years as Assistant Professor (NTT) before applying. The rank of associate professor (NTT) will be granted normally after seven years of employment.

2. Accomplishments

Every applicant for academic rank advancement will be evaluated according to the faculty evaluation criteria 6.1, V1. All annual reviews since hiring to the University or advancement to current rank, including where appropriate, the Three-Year Review, will be part of the decision for promotion.

**III. PROCEDURE FOR RANK ADVANCEMENT FOR NON-TENURE TRACK FACULTY:**

- A. The non-tenure track faculty member prepares an application portfolio consisting of all prior annual reviews covering (1) the minimum number of years required for advancement to the next rank, (2) the application cover sheet for rank advancement in Appendix D, (3) supporting documentation as determined by the ~~faculty in the applicant's college or school,~~ **department and approved by the dean**, attached to the cover sheet in Appendix D. Applications for rank advancement are submitted to the department chair according to the schedule of deadlines that is attached as Appendix A. The candidate may retract and retrieve his/her application at any point of the process, without prejudice.
- B. The non-tenure track faculty application for rank advancement is reviewed in progression by the chair, department LRT committee, college/school LRT committee, the dean and the Provost according to the schedule in Appendix A. It is not reviewed by the University LRT Committee.



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**IV. PROCEDURE FOR RANK ADVANCEMENT FOR TENURED FACULTY:**

- A. The tenured faculty member prepares an application portfolio consisting of all prior annual reviews covering (1) the minimum number of years required for advancement to the next rank, (2) the application cover sheet for rank advancement in Appendix D, (3) supporting documentation as determined by the ~~faculty in the applicant's college or school~~ **department and approved by the dean**, attached to the cover sheet in Appendix D. Applications for rank advancement are submitted to the department chair according to the schedule of deadlines that is attached as Appendix A. The candidate may retract and retrieve his/her application at any point of the process, without prejudice.
- B. The tenured faculty application for rank advancement is reviewed in progression by the chair, department LRT committee, college/school LRT committee, the dean, the University LRT Committee, and the Provost according to the schedule in Appendix A.

Appendix A  
Policy 6.1

**APPENDIX A**  
***Deadline Schedule for Tenured and Tenure-Track Faculty***

<b>To:</b>	<b>Annual Review (F.A.A.R.) (6.1.1)</b>	<b>Three- Year Review (6.1.2)</b>	<b>Rank Advancement (6.1.3)</b>	<b>Tenure (6.1.4)</b>	<b>Post- Tenure Review (6.1.4)</b>	<b>Sabbatical Leave Request</b>
<b>Department Chair</b>	First Tuesday of September	First Tuesday of September	First Tuesday of September	First Tuesday of September	First Tuesday of September	Second Monday of October
<b>Department LRT</b>	*Third Monday of September- For tenured faculty, only needed if Merit Pay sought or if sub-standard evaluation by Chair	Third Monday of September	Third Monday of September	Third Monday of September	Third Monday of September	NA
<b>College/School LRT</b>	NA	Second Monday of October	Second Monday of October	Second Monday of October	Second Monday of October	NA
<b>Dean</b>	Second Monday of October	First Monday of November	First Monday of November	First Monday of November	First Monday of November	Last Wednesday of October
<b>University LRT</b>	NA	NA	First Monday of December	First Monday of December	NA	Second Monday of November
<b>Provost</b>	NA	Third Monday of November	Last Monday of January	Last Monday of January	Last Friday of December	Second Monday of December
<b>Review by Chair with Faculty</b>	Second Friday of December	Second Friday of December	NA	NA	NA	

\*If there is a sub-standard evaluation by the Dean after a positive FAAR evaluation by the Chair, then the FAAR is sent to the Department LRT Committee for input, and the due date for their input in this case is extended to the 4<sup>th</sup> Monday in October. In any case, Department LRT input on a FAAR is only given once in any academic year.

***Deadline Schedule for Non Tenure-Track Faculty***

<b>To:</b>	<b>Annual Review (F.A.A.R.) (6.1.1)</b>	<b><del>Three- Year Review (6.1.2)</del></b>	<b>Rank Advancement (6.1.3)</b>
<b>Department Chair</b>	First Tuesday of September	<del>First Tuesday of September</del>	First Tuesday of September
<b>Department LRT</b>	*Third Monday of September- Only if Merit Pay sought, or if sub-standard evaluation by Chair	<del>Third Monday of September</del>	Third Monday of September
<b>College/School LRT</b>	NA	<del>Second Monday of October</del>	Second Monday of October
<b>Dean</b>	Second Monday of October	<del>First Monday of November</del>	First Monday of November
<b>University LRT</b>	NA	<del>NA</del>	NA
<b>Provost</b>	NA	<del>NA</del>	Last Monday of January
<b>Review by Chair with Faculty</b>	Second Friday of December	<del>Second Friday of December</del>	NA

\*If there is a sub-standard evaluation by the Dean after a positive evaluation by the Chair, then the FAAR is sent to the Department LRT Committee for input, and the due date for their input in this case is extended to the 4<sup>th</sup> Monday in October. In any case, Department LRT input on a FAAR is only given once in any academic year

## **EXECUTIVE SUMMARY**

### **Policy Changes**

#### **#6.10 Faculty Senate Constitution**

#### **#6.27 Faculty Workload**

#### **#13.12 Faculty Senate**

The proposed changes for the workload of the Faculty Senate President and President-Elect encompass changes that impact three policies. The changes provide a more reasonable workload expectation for faculty engaged in institutional shared governance through their service on the Faculty Senate.

Policy #6.27, page 4 also includes updated language pertaining to workload expectations for Professional's-in-Residence



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**SUBJECT: FACULTY SENATE CONSTITUTION**

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I. **PURPOSE:** To provide for a Faculty Senate to represent the Faculty in matters relating to formulation of University Policies.

II. **POLICY:**

**PREAMBLE:** The mission of the Faculty Senate is to ensure that Southern Utah University promotes quality education, honors scholarly pursuits in all their forms, and protects academic freedom for all faculty members and students.

A. **ARTICLE I. Responsibility of the Faculty Senate.**

Under the authority and direction of the sitting University President, the Faculty of Southern Utah University is “authorize[d] . . . to determine the general initiation and direction of instruction and of the examination, admission, and classification of students.” Further, the Faculty is obligated to pursue achievement and excellence “in fulfillment of the institution’s role as established in the statewide master plan for higher education.” [Utah Code Section 53B-2-106 (2)(c)].

Subject to the authority and approval of the University President, the Board of Trustees, and the Utah State Board of Regents, the University faculty is authorized to:

Formulate and propose educational policy as well as rules and regulations to promote or enforce such policies;

Formulate and propose curricula, new courses of study and relations between schools and colleges;

Play a meaningful role in the academic quality of the University, by taking primary responsibility for course content and materials, formulating and proposing degree requirements and curriculum; and participating in Faculty Senate and other committees charged with initiating and directing and making decisions relating to the general academic operations of the University including budget decisions, faculty and administrative appointments.

The Faculty has two avenues to fulfill these assigned responsibilities: through (1) the departments and colleges/schools and through (2) the Faculty Senate. Those faculty responsibilities that pertain to a specific academic program or to a subset of faculty are handled in the affected department(s) and college(s)/school(s).

The Faculty Senate will represent the faculty in any recommendation or proposal put forth to or from administration, student body officers, staff, the



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faculty (either collectively or as a smaller group), or other entities which are vital to the functioning of Southern Utah University and which are not readily dealt with at the department or college/school level. Therefore, policies of the institution regulating the faculty responsibilities listed above shall recognize and include Senate representation if no duly established departmental or college/school procedure has purview over it.

**B. ARTICLE II. Senate Organization**

1. **Senate Membership.** The Senate shall consist of duly elected faculty members, (as defined in Southern Utah University Policy 6.0 "Definition of Faculty"), from each of the recognized colleges/schools of the University, and from among those faculty not associated with any of the recognized colleges/schools (i.e., at-large faculty).
2. **Apportionment of Seats Among the College/Schools.** The Senate shall consist of Faculty members elected from the recognized colleges of the University, and an at-Large Senator or Senators. The definition of faculty is given in Article II Section 1. The at-large Senator or Senators shall be elected from among those with Faculty academic rank who are not assigned within an established college (such as Library staff with academic rank). When possible, at least 1/2 of the senators from a given college/school, or from the full-time, at-large faculty must be tenured.
3. **Census to Determine Senate Representation.** The number of seats per college/school and from the at-large faculty shall be based on the faculty roster in effect on the first day of classes in the spring semester. Colleges/schools will attempt to insure that representation among the various departments and divisions within a college/school is as evenly distributed as possible. On the first day of Spring semester of each academic year, the Provost of the University shall furnish the Senate President with a faculty roster to be used for determining the number of senators each college/school shall have on the Senate. The Senate President, in consultation with the Senate Executive Committee, shall notify the appropriate deans of the number of seats each college/school is eligible to fill and how many seats must be occupied by tenured faculty during the ensuing academic year. Written notification to the deans shall occur prior to March 1.



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4. Eligibility for Senate Election. To be eligible for election to the Faculty Senate, faculty members must be full-time faculty as defined in Article II Section 1; they must not have served on Senate more than the last full academic year; and they must be in, at least, their second year of full-time employment at the University, thus taking office no earlier than the beginning of their third year. Senators completing a term of office longer than one year will not be eligible for re-election until one (1) academic year has elapsed. No faculty person shall serve as a Senator for consecutive elected terms, but may be elected again following the lapse of one (1) academic year.
  
5. Senatorial Terms of Office. Terms of elected senators shall be three (3) years with the following exceptions. To insure continuity of the Senate, colleges/schools make every effort to elect approximately one-third (1/3) of their senators each year. In a newly constituted college/school, as near as possible, one-third (1/3) of the newly elected senators shall serve a one (1) year term, one-third (1/3) of the newly elected senators shall serve a two (2) year term, one-third (1/3) of the newly elected senators shall serve a three (3) year term. In the event that the number of senators from a given college/school or the at-large group is increased due to university growth, to maintain the continuity of the Senate, it shall be the responsibility of the senior senator/s from that college/school or the at-large group, in conjunction with the Faculty Senate Executive Committee, to determine whether the initial term of the newly elected senator shall be for one (1), two (2), or three (3) years.
  
6. Resolution of Questions. Questions of eligibility of-Faculty members for service as elected Senators or for the right to vote for members of the Senate shall be determined by the Executive Committee of the Senate.
  
7. Election of Senators. The elections of senators shall be conducted during the Spring semester prior to the April Senate meeting. The respective college/school faculties shall nominate and elect from the eligible faculty members as defined in Article II Section 1 within the college/school. The respective college/school faculties shall vote by secret ballot. Those tenured faculty members who receive a simple majority of the votes shall be deemed elected until at least ½ of the total Senate seats for each college/school are occupied by tenured faculty. The remainder of available seats will be filled by those



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faculty members who receive the greater number of votes in the election regardless of their tenure status. The senior retiring senator of the college/school shall conduct elections and shall transmit the results of the election to the newly elected senators and the Senate President. The Senate President shall notify the Administration and the Faculty Senate Executive Committee of the results of the elections.

The Senate President shall be elected according to the By-Laws of the Constitution.

The elected Faculty Senate officers shall assume their respective offices and designated duties at the April Meeting of the Faculty Senate.

8. **Organizational Meeting.** At the April Senate meeting of each academic year, the Faculty Senate shall vote-in the Parliamentarian, Secretary, and Treasurer of the Senate, and also ascertain which of the Faculty Senate committees are in need of a chairperson, and fill vacant spots. Chairpersons of standing committees are elected and chairs of other committees may be appointed. In addition, where Senate representation is required on other committees across campus, the Faculty Senate President will select senators to fill those roles. When the need for the formation of a new standing or ad-hoc committee is recognized, such a committee will be constituted by a Senate vote. Additionally, an existing committee whose purpose is no longer evident can only be disbanded by Senate vote.
9. **Resignations.** Senators desiring to resign shall do so in writing, and such resignation shall not be effective until the Executive Committee has been notified in writing.
10. **Removal of Senators from Office.** Elected senators may be removed from office only by a three-fourths (3/4) majority vote of the entire Senate. The senator under consideration for removal may not vote on the issue. A motion for removal shall not come to the floor of the Senate until after an investigation and report has been completed by an ad hoc committee appointed by the Senate and the results of the investigation presented to the Senate during a regularly scheduled meeting. Voting shall be by secret ballot.



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11. Filling Vacated Senate Seats. Senate seats vacated by resignation, incapacity, or removal shall be filled for unexpired terms according to procedures provided in the By-Laws.
12. Proxies and Unexcused Absences. An elected senator unable to attend regularly scheduled Senate meetings may designate a proxy representative, either tenured or non-tenured. The senator must sign an affidavit granting the proxy voting privileges. Any senator on sabbatical may appoint a proxy for the entire duration of the sabbatical. A proxy may not designate another proxy for any reason. The signed affidavit must be submitted to the Senate Secretary at the beginning of the Senate meeting. The Senate Secretary shall maintain a file of proxy affidavits. After two consecutive unexcused absences to a regularly scheduled meeting by a senator (absences in which no proxy was designated), the Secretary of the Senate shall notify the senator. After three unexcused absences, the Senate seat shall be deemed "vacated" and procedures for filling a vacated Senate seat shall begin.

**C. ARTICLE III. Organization of the Senate Composition.**

The Executive Committee, or the Officers of the Senate, shall consist of the President of the Senate, the Vice-President (President Elect) of the Senate, the Parliamentarian of the Senate, the Secretary of the Senate, the Treasurer of the Senate and the Past President of the Senate, all of whom shall be voting members of the Senate. The Senate shall conduct its business through its committees, as described in the By-Laws.

1. Responsibilities. The Executive Committee shall have the responsibility of directing the affairs of the Faculty Senate including discussion of appropriate issues, accepting agenda items from faculty senate members, and setting the agenda for each regularly scheduled meeting of the Faculty Senate. In addition to the above enumerated duties, the Executive Committee shall:

Serve as a liaison to standing, university, or ad hoc committees as determined by the Executive Committee and Perform other official Faculty Senate duties as assigned.

2. President of the Senate. The President of the Senate shall be a tenured faculty member of Southern Utah University. The President is elected



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to a three-year term by the faculty at large by secret ballot according to the By-Laws of the Constitution. The first year the individual serves as Vice President, the second year as President, and the third year as Past President, acting in an advisory capacity to the President. While serving as the Faculty Senate Vice-President **and the following year while serving as the Faculty Senate President** the individual's teaching load is reduced **as outlined in Policy 6.27 (Faculty Workload)**. ~~by two classes (6 Semester Hours) per year. This reduction must be coordinated among the Faculty Senate Vice-President, the Faculty Senate President, his/her department and chair, and the Provost. Funding for hiring adjunct faculty or existing faculty on an overload basis should be provided through the office of the Provost.~~

3. Other Officers. The Parliamentarian, Secretary, and Treasurer of the Senate shall be elected from the Senate membership and shall serve a term of one year and may be reelected.

D. ARTICLE IV. Operations.

1. Presiding Authority. The Senate Presiding Officer shall be its President. In the absence of the President, the Vice-President of the Senate shall preside. In the absence of both officers, the Parliamentarian shall chair the Senate.
2. Senate Meetings. The Senate shall hold at least one (1) regular meeting at a stated time each month, August through April. In addition, special meetings shall be convened by the President of the Senate or, in the President's absence, the Vice-President of the Senate:
  - a. When requested by the President of the University;
  - b. When requested by written petition of at least ten (10) percent of faculty members at the University;
  - c. When requested in writing by twenty-percent (20%) of the senators; or
  - d. When approved by the Senate during a regular meeting.

Senate meetings are open to all faculty, administrators and other interested persons except as specified in the By-Laws.



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**Policies and Procedures**

**Policy # 6.10**  
**Date Approved: 09/21/90**  
**Date Amended: 02/08/08**  
**Reviewed w/no Changes:**  
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**SUBJECT: FACULTY SENATE CONSTITUTION**

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3. Senate Agenda. The Executive Committee shall prepare an agenda for each meeting of the Senate, and shall furnish copies of this agenda at least four (4) days prior to the meeting to all faculty members and designated administrators. Petitions by ten (10) percent of the members of the faculty shall be sufficient to cause any matter to be placed on the agenda of the next scheduled Senate meeting provided the petition is received at least seven (7) academic days before the meeting. Matters not on the agenda may be considered by the Senate at any meeting with the consent of a majority of those senators present.
4. Minutes of Senate Meetings. Minutes of all Senate meetings shall be recorded by the Secretary and distributed to the President of the University, Executive Secretary, members of the Senate and to the University archives. Minutes shall be available for examination by any Senator or interested Faculty member. The Secretary also shall maintain a file of Senate Committee reports.
5. Annual Report. The President of the Senate shall make an annual written report to the President of the University and the University Faculty.
6. General Faculty Meetings. Meeting of the general Faculty of the University may be called by the President or Vice-President of the Senate, or upon petition by one-third (1/3) of the Faculty of the University, to review any action taken by the Senate or its Committees. Such petition shall specify the items to be considered.
7. Rules of Procedure. Rules of procedure for the Senate and its committees shall be set forth in the Constitution and in the By-Laws of the Senate. Adoption of the By-Laws or changes in the By-Laws shall be accomplished by simple majority vote of all members of the Senate. A quorum of the Senate shall be one-half (1/2) or more of its members. No motion shall carry unless it receives a simple majority of votes cast by a quorum present unless stated in this Constitution.

**E. ARTICLE V. Amendments.**

Amendments to the Constitution may be initiated by written petition signed by twenty-one (21) Faculty members of the University. Such petition shall contain the exact wording of the proposed amendment. Proposed amendments shall be voted upon by the Senate, with approval of two-thirds (2/3) of the



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eligible voting members of the Senate necessary for approval of the amendment. Voting shall be by secret ballot. Approved amendments shall then be presented to the University Faculty for ratification. Voting by the faculty shall be by secret ballot, and a statement of the wording of the proposed amendment shall be included on the ballot. Ratification of amendments requires the affirmative vote of two-thirds (2/3) of the Faculty casting ballots and shall go into effect thirty (30) days after the completion of the vote.

The Board of Trustees, acting according to its regular procedures, shall retain the right to veto any amendment, which has been ratified by the faculty.

Amendment of the By-Laws of the Senate shall be according to the procedures established by the Senate, and such procedures shall be enunciated In the By-Laws.

**F. ARTICLE VI. Adoption of the Constitution.**

This Constitution shall be considered adopted by a vote of two thirds (2/3) of the members of the Senate and the subsequent two thirds (2/3) vote of the entire faculty voting on the same, both of which voting procedures shall be by secret ballot, transmittal of the approved Constitution by the President of the University to the Board of Trustees, and adoption of the Constitution by the Board of Trustees according to its own procedures.

**G. ARTICLE VII. Academic Freedom**

The Faculty Senate accepts the definition of academic freedom as found in Southern Utah University Policy 6.6.



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**SUBJECT: FACULTY WORKLOAD**

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- I. Purpose: To implement Regents' policy and workload standards for average teaching loads and to provide accurate information on faculty teaching workloads to internal and external audiences.
  
- II. Reference.
  - Utah State Board of Regents Policy 485: Faculty Workload Guidelines
  - SUU Policy 6.0: Definition of Faculty
  - SUU Policy 6.1: Faculty Evaluation, Promotion, and Tenure
  - SUU Policy 6.2: Academic Officers
  - SUU Policy 6.45: Graduate Faculty
  - SUU Policy 6.28: Faculty Professional Responsibilities
  
- III. Policy & Definitions
  - A. Regents' policy R485 stipulates the institutional average teaching workload for SUU faculty will be 24 credit hour equivalents each year or 12 credits each semester. The policy states that faculty contact hours in credit-bearing teaching activities will average approximately 13 contact hours per week.
    1. A full time faculty is a status of employment defined by the Utah System of Higher Education (USHE) and described as a position supported by appropriated instructional funds and whose work assignment includes teaching, scholarly/creative activities, and service. The State Board of Regents workload report includes definitions, conventions, and formulae as a basis for calculating a full-time equivalent faculty (FTEF) workload and Instructional Credit Hours (ICH).
    2. Faculty workload reports will be provided to the academic deans and administration during Fall and Spring semesters by the Provost's Office. The Fall report will be submitted to the State Board of Regents for the system's report to the Legislature and to the Governor. The report will provide standardized information according to policy.
  - B. Parameters for Managing Workload at SUU
    1. Normal Responsibilities: The standard teaching workload includes lecture classes, seminars, studio classes and laboratories, and online classes. Faculty members are also expected to assume other professional responsibilities such as advising/mentoring students, maintaining a minimum of five publicly posted office hours per week, performing campus and public service, and engaging in scholarly and creative activities. Annual service on campus committees (e.g. standing committees, ad hoc committees or workgroups, etc.)



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**SUBJECT: FACULTY WORKLOAD**

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or off-campus committees (e.g. boards, professional organizations, etc.) is expected as part of the basic load of a faculty member. Teaching activities are assigned by the chair in consultation with the faculty member, and approved by the college/school dean or executive. After consultation with the faculty, committee assignments shall be equitably distributed among the faculty at the discretion of the chair with the approval of the dean. Participation descriptions and levels of activity should be reported in the Faculty Annual Activity Report (FAAR) and be considered in annual reviews, 3<sup>rd</sup> year reviews, and application for tenure, rank advancement, and post-tenure reviews. Given the diverse mix of teaching assignments in departments and programs, this policy makes allowances for each college/school to manage its faculty teaching load. However, the average faculty teaching load for each college/school is expected to be maintained at a 24 credit hour equivalent per academic year, or 13 contact hours per week. Annual faculty teaching load plans shall be submitted for review to the Provost's Office by April of each year. The Provost's Office will monitor the college/school actual average teaching load and will issue a report each December.

**2. Reassignment or Release Time**

a. Upon approval by the provost, dean, and the faculty member, the department chair may reassign faculty from their normal work load to complete special duties and studies for a department or program. Such activities may include, but are not limited to, teacher licensing, accreditation, curriculum development, research, studies, program assessments, or other relevant activities. In the event that the reassignment impacts the faculty member's ability to meet LRT criteria, a written record of the reassignment stipulating any exceptions or waivers to LRT criteria, signed by the Provost, Dean, Chair and Department LRT Chair will be provided to the faculty member prior to the reassignment.

b. The provost, in consultation with the dean, department chair, and faculty member may request reassignment of faculty for special projects or duties in support of university initiatives. Documentation should be provided that clarifies agreements with the department about the impact a reassignment may have on a faculty member's ability to meet the LRT criteria of their department or program.

**3. Instructional Overloads:**

a. Requests for overloads are initiated by the department chair/program director in consultation with the faculty member, and must be



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**SUBJECT: FACULTY WORKLOAD**

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approved by the dean or executive of the respective college or school. The chair/director and dean or executive is responsible for managing faculty workload each Academic Year (AY) and during summer sessions.

b. During a semester that a faculty member or administrator with academic rank is under contract, no more than six Instructional Credit Hours (ICH), including associated laboratory classes and/or courses offered through self-support will be taught on an overload basis. ICH calculations are outlined in sections C and D of this policy.

c. During a semester when a faculty member is not under contract, his/her teaching workload will total no more than 18 ICH. For purposes here, teaching workload for summer semester includes courses taught during Maymester.

d. Any exceptions to this policy must have the approval of the Provost's Office.

**C. Schedule for Faculty Workload Calculation and Reporting**  
 (SUU standard Definition of Academic administrators:

An academic administrator is the provost, associate provost, assistant provost, a dean, associate dean, graduate program director, department chair or associate chair. The instructional workload of an academic administrator will be coordinated with the individual's supervisor and, with the exception of the graduate program director, department chair or associate chair, is excluded from the faculty head count.

1. Department chairs are included in the faculty head count. The administrative workload for department chair is normally considered the equivalent of six ICH of reassigned time per semester.
2. Associate department chairs and graduate program directors are included in the faculty head count. Administrative workload for these individuals is the equivalent of three ICH of reassigned time per semester.
3. The president of faculty senate receives the equivalent of ~~three~~ **six** ICH of reassigned time per semester. **The vice-president of the faculty senate (president- elect) receives the equivalent of three ICH of reassigned time per semester. This reduction must be coordinated among the faculty senate president, the faculty senate vice-president, his/her**



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**SUBJECT: FACULTY WORKLOAD**

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**department and chair, and the Provost. Funding for hiring adjunct faculty or existing faculty on an overload basis should be provided through the office of the Provost.**

4. An ICH is defined as an Instructional Credit Hour, which is derived from a calculation based on the course type, contact hours, and number of credits of a course. (See III.D., below)

**D. Faculty Assignments and Instructional Delivery Guidelines per Semester and Course.**

1. Full Time Equivalent Faculty (FTEF) Instructional Load
  - a. (USHE standard) Tenured and tenure track 12 ICH/13 weekly contact hours.
  - b. (SUU standard) Non-tenure track FTEF 15 ICH/16 weekly contact hours.
  - c. (SUU standard) Professional-in-Residence FTEF  
**Undergraduate Teaching: 12-15 ICH, 13-15 weekly contact hours, as determined by the department and approved by the dean of the college/school.**
  - d. (SUU standard) Tenured and tenure track FTEF Graduate teaching: In semesters in which they engage in graduate teaching, Faculty teaching graduate courses may receive a teaching reassignment up to 1/4 of their teaching load as approved by their Dean and Department Chair to accommodate increased scholarship and/or service required by the related graduate program and/or accreditation. The approval/disapproval of a teaching reassignment must a) be based on written criteria and standards that clearly define the expected level of increased scholarship and/or service required of faculty for warranting a reduction in teaching load and shall b) in the case of approval clearly communicate the consequences for failure to meet the expectations within an agreed upon timeframe. Faculty approved for a reduced teaching load who, in the opinion of evaluative entities detailed in SUU Policy 6.1, fail to meet the expected level of increased scholarship and/or service within the agreed upon timeframe may be subject to the set forth consequences.



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**SUBJECT: FACULTY WORKLOAD**

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2. ICH Calculations per Course Type
  - a. (USHE standard - XLEC) For a standard lecture course (or an online course) without a lab the ICH = Credit. The formulae and conventions for sections of all delivery methods is as follows: (multiplier: 60-100 students = 1.2; 101 to 150 students = 1.4; 151-200 students = 1.6; 201 or more students = 1.8.)
  - b. (USHE standard and SUU Standard - XLAB) ICH for laboratory, clinicals or studio class are calculated as follows:  $\text{Course Credit} + (\text{Contact} - \text{Course Credit})/2 = \text{ICH}$ .
  - c. Courses in Specialized Accrediting or Fine and Performing Arts Areas:  
 Exceptions to the course load calculations outlined in this policy are allowed when considering the requirements of specialized accreditation or fine and performing arts studio or ensemble courses. The creation of workload policies, procedures, and calculations is the responsibility of the Deans of the colleges/schools in consultation with the Provost's Office.
  - d. (USHE standard - XTHE) Graduate Thesis supervision (excludes graduate projects)  $\text{SCH}/6 = \text{ICH}$ .
  - e. (USHE standard - XSUP) Supervised Instruction (e.g., internships, cooperative education, practica and supervision of student teaching pedagogy)  $\text{SCH}/20 = \text{ICH}$ .
  - f. (USHE standard and SUU standard - XINV) Individualized Instruction (e.g., directed readings and conferences, undergraduate and graduate projects, academic content student teaching and undergraduate research)  $\text{SCH}/10 = \text{ICH}$ .
3. (SUU standard) Team Teaching or Other Special Teaching Assignments
  - a. For team teaching by faculty or administrators with academic rank, teaching one or more classes shall receive a percentage of ICH proportionate to the assignment (e.g. with two instructors equally sharing the teaching load, each receive 50% of the ICH).



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**SUBJECT: FACULTY WORKLOAD**

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b. Faculty or administrators with academic rank who may be acting as the instructor of record for a course shall receive ICH counted as their workload commensurate with the scope of the activity (e.g. 5%-95% or 10%-90%, and so forth). The department chair, in consultation with the instructor of record, will establish the percentage allocation of the ICH.



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**SUBJECT: FACULTY SENATE**

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- I. **PURPOSE:** To provide for a Faculty Senate to represent the faculty in the formulation of University policy.
  
- II. **POLICY:** The Senate shall consist of faculty members elected from the recognized colleges of the University and an at-Large Senator or Senators. The senatorial representation for each College shall consist of two (2) Senators plus one (1) additional Senator for each fourteen (14) members or fraction thereof in excess of one-half (eight or more). The at-Large Senator or Senators shall be elected from among those with Faculty academic rank who are not assigned within an established college (such as Library staff with academic rank). There shall be one (1) at-Large Senator with one (1) additional Senator allocated for each succeeding fourteen (14) at-Large Faculty or fraction thereof in excess of one-half (eight or more).
  
- III. The Faculty Senate **Vice-President and Faculty Senate President** shall receive a teaching load reduction **as outlined in Policy 6.27 (Faculty Workload)** ~~of 1/4 time, or one course per term,~~ to perform his/her assignment. This reduction, ~~however,~~ must be coordinated among the Faculty Senate **Vice-President or, the Faculty Senate President**, his/her department and chair, and the Provost. Funding for hiring adjunct faculty or existing faculty on an overload basis should be provided through the office of the Provost.

## **Executive Summary**

### **R401-5 Proposal – STEM CENTER**

Southern Utah University proposes the creation of the SUU STEM Center for Teaching & Learning (Science, Technology, Engineering, and Mathematics). The SUU STEM Center will bring together people and resources to facilitate cutting-edge STEM initiatives that enhance teaching and learning in the K-16 environment. The primary areas of focus of this center will be to: 1) create professional development opportunities in STEM teaching and learning, 2) support faculty members in conducting STEM teaching and learning research, and 3) create and support STEM engagement opportunities for the K-16 environment. The STEM Center will not impact current FTE workloads of any faculty members and it will not require any new physical facilities or modifications to existing facilities in the near future. The STEM Center will not require any new funds to operate

## Cover/Signature Page - Abbreviated Template/Abbreviated Template with Curriculum

Institution Submitting Request: *Southern Utah University*Proposed Title: *SUU STEM Center for Teaching & Learning*Currently Approved Title: *N/A*School or Division or Location: *Walter Maxwell Gibson College of Science and Engineering*Department(s) or Area(s) Location: *N/A*Recommended Classification of Instructional Programs (CIP) Code<sup>1</sup> (for new programs): *00.0000*Current Classification of Instructional Programs (CIP) Code (for existing programs): *00.0000*Proposed Beginning Date (for new programs): *N/A*

Institutional Board of Trustees' Approval Date: 1/31/2014

Proposal Type (check all that apply):

Regents' General Consent Calendar Items		
<i>R401-5 OCHE Review and Recommendation; Approval on General Consent Calendar</i>		
SECTION NO.		ITEM
5.1.1	<input type="checkbox"/>	Minor*
5.1.2	<input type="checkbox"/>	Emphasis*
5.2.1	<input type="checkbox"/>	(CER P) Certificate of Proficiency*
5.2.3	<input type="checkbox"/>	(GCR) Graduate Certificate*
5.4.1	<input type="checkbox"/>	New Administrative Unit
	<input type="checkbox"/>	Administrative Unit Transfer
	<input type="checkbox"/>	Administrative Unit Restructure
	<input type="checkbox"/>	Administrative Unit Consolidation
5.4.2	<input type="checkbox"/>	Conditional Three-Year Approval for New Centers, Institutes, or Bureaus
5.4.3	<input checked="" type="checkbox"/>	<b>New Center</b>
	<input type="checkbox"/>	New Institute
	<input type="checkbox"/>	New Bureau
5.5.1	<input type="checkbox"/>	Out-of-Service Area Delivery of Programs
5.5.2	<input type="checkbox"/>	Program Transfer
	<input type="checkbox"/>	Program Restructure
	<input type="checkbox"/>	Program Consolidation
5.5.3	<input type="checkbox"/>	Name Change of Existing Programs
5.5.4	<input type="checkbox"/>	Program Discontinuation
	<input type="checkbox"/>	Program Suspension
5.5.5	<input type="checkbox"/>	Reinstatement of Previously Suspended Program
	<input type="checkbox"/>	Reinstatement of Previously Suspended Administrative Unit

\*Requires "Section V: Program Curriculum" of Abbreviated Template

Chief Academic Officer (or Designee) Signature:

I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

Signature

Date: *MM/DD/YEAR*Printed Name: *Name of CAO or Designee*<sup>1</sup> CIP codes must be recommended by the submitting institution. For CIP code classifications, please see <http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55>.

**Program Request - Abbreviated Template**  
**Southern Utah University**  
**STEM Center for Teaching & Learning**  
**1/31/2014**

**Section I: Request**

Southern Utah University proposes the creation of the SUU STEM Center for Teaching & Learning (Science, Technology, Engineering, and Mathematics). This proposal was reviewed and approved by the SUU Trustees at the January 31, 2014 meeting.

The SUU STEM Center will bring together people and resources to facilitate cutting-edge STEM (Science, Technology, Engineering and Mathematics) initiatives that enhance teaching and learning in the K-16 environment. The primary areas of focus of this center will be to: 1) create professional development opportunities in STEM teaching and learning, 2) support faculty members in conducting STEM teaching and learning research, and 3) create and support STEM engagement opportunities for the K-16 environment.

**Section II: Need**

It is well documented that the United States is rapidly falling behind much of the rest of the world in mathematics and science education (Gurria, 2009), in college graduation rates, and in the proportion of college students receiving science and engineering degrees (NAP, 2011). This is especially concerning given projections which suggest that approximately two-thirds of all jobs will require some post-secondary education, and that 65% of all STEM jobs will require a bachelor's degree or higher by 2018 (Carnevale et al., 2011). Such projections are of particular concern within a state that wishes to position itself for a competitive economic future.

Utah Governor Gary Herbert recently established the goal of having "66 percent of the adult population earn a post-secondary degree or certification by the year 2020" (McDonald and Dun, 2012). Governor Herbert, together with Prosperity 2020, an alliance of Utah business leaders, has also set a goal for Utah to become one of the top-ten centers for technology jobs and businesses in the United States (Prosperity 2020, 2012). Richard Nelson, Utah Technology Council President and CEO stated on August 3, 2012: "Employment is growing...Talent is our issue. We can't find enough talent to fuel the growth of these 7,000 [technology] companies. We need to be better preparing our students...." (Utah Technology Council, 2012). To address the need for more STEM education in higher education Governor Herbert proposed, and the 2013 Utah Legislature approved, \$20M in special funding for fiscal year 2014 (Herbert, 2013).

In order to achieve the goals set forth by Governor Herbert, a collaborative effort between STEM content areas, business, high-tech industry, and K-16 institutions is vital. We propose a center that will enhance instruction in the STEM fields and provide the necessary infrastructure and support to effectively bring these entities together. This STEM Center, the first of its kind in southern Utah, will work collaboratively with other STEM centers to further STEM education both locally and nationally.

Activities and opportunities provided and supported by the Center may enhance the recruitment and retention of students. Additionally, the Center will serve as an effective resource for students and faculty for scholarly, service, and creative pursuits (e.g. EDGE, capstone projects, and research).

### Section III: Institutional Impact

The STEM Center will not impact current FTE workloads of any faculty members, except for the Coordinator (0.25 FTE release for Fall 2013 and Spring 2014). However, future additional funding procured through grant writing or changes in institutional budgets could be used to support faculty FTE releases, hire additional faculty members, or hire support staff as needed.

This STEM Center represents a strong collaborative effort between STEM content programs and educational programs and will be managed within the Walter Maxwell Gibson College of Science and Engineering (WMGCOSE). A faculty member will initially serve as the Coordinator, receiving a 0.25 FTE course release. The Coordinator will report directly to the Dean of the WMGCOSE. The Coordinator will assemble a committee of faculty members from the WMGCOSE and the Beverley Taylor Sorensen College of Education & Human Development to fulfill the Vision and Mission of the Center.

The STEM Center will not require any new physical facilities or modifications to existing facilities in the near future.

### Section IV: Finances

The STEM Center will not require any new funds to operate, but will instead unify the existing STEM efforts spread throughout SUU into a collaborative environment. This Center will facilitate a more efficient sharing of existing equipment and resources across campus.

#### Works Cited

Gurria A., Ed., PISA. (2009). Results: What Students Know and Can Do: Student Performance in Reading, Mathematics and Science, vol. I, Organisation for Economic Co-operation and Development, 2010, p. 272.

Members of the 2005 "Rising Above the Gathering Storm" Committee. (2011). *Rising Above the Gathering Storm, Revisited: Rapidly Approaching Category 5: Condensed Version*, Washington, DC: The National Academies Press.

Carnevale, A. P., N. Smith and M. Melton. (2011). "STEM: Science, Technology, Engineering, Mathematics," Georgetown University Center on Education and the Workforce, Washington, DC.

McDonald, N. and N. Dun. (2012). *Governor Introduces PACE Plan at Education Summit*, Salt Lake City: Office of the Governor.

Prosperity 2020. (2012). *Governor and Prosperity 2020 aim to create top ten center for technology jobs and businesses*, Prosperity 2020: It Starts with Education.

Utah Technology Council. (2012). *Students Not Acquiring Skills Needed by Tech Companies in Utah*, Salt Lake City, UT.

Herbert, G. R. (2013). "Budget Recommendations: Fiscal Year 2014 and Fiscal Year 2013 Supplementals," Salt Lake City, UT.



#### **AUTHORIZATION TO ENTER INTO AND SIGN CONTRACTS AND AGREEMENTS**

BE IT HEREBY RESOLVED, that each and any of the following officers or employees are authorized and empowered to enter into and sign any and all contracts or agreements for the procurement, purchase, lease, rental and lease-purchase of services, equipment, real estate, and other items on behalf of Southern Utah University Scott L Wyatt, President; or Dorian G. Page, Vice President for Finance and Administration; or Brad Brown, Director of Purchasing.

I, Dialea S. Adams, Secretary to the Board of Trustees of Southern Utah University, a body corporate of the State of Utah, hereby certify that the foregoing is a true copy of a resolution duly adopted by the Board of Trustees of said University; at which a quorum was present and voting, and that the same has not been repealed or amended and remains a full force effect and does not conflict with the by-laws of said University.

Dated \_\_\_\_\_

\_\_\_\_\_  
Dialea S. Adams  
Secretary of the Board  
Southern Utah University

CORPORATE  
SEAL



**CORPORATE AUTHORIZATION TO NEGOTIATE SECURITIES AND TO OPEN,  
CLOSE AND SIGN ON BANK ACCOUNTS**

RESOLVED THAT:

THE VICE PRESIDENT FOR FINANCE AND ADMINISTRATION Dorian G. Page AND THE ASST. VICE PRESIDENT OF FINANCE Michael T. Beach OR ANY OF THEM, BE AND ARE HEREBY AUTHORIZED TO PURCHASE, SELL, ASSIGN, ENDORSE FOR TRANSFER, AND DO ALL OTHER THINGS NECESSARY TO SECURE THE TRANSFER OF CERTIFICATES REPRESENTING STOCKS, BONDS OR OTHER SECURITIES NOW REGISTERED OR HEREAFTER REGISTERED IN THE NAME OF SOUTHERN UTAH UNIVERSITY; AND TO OPEN, CLOSE AND SIGN ON ALL BANK ACCOUNTS IN THE NAME OF THE UNIVERSITY.

**CERTIFICATION**

I, Dialea Adams, SECRETARY OF THE BOARD OF TRUSTEES OF Southern Utah University INCORPORATED UNDER THE LAWS OF THE STATE OF Utah HEREBY CERTIFY THAT THE FOREGOING IS A TRUE COPY OF A RESOLUTION DULY ADOPTED BY THE BOARD OF DIRECTORS OF SAID CORPORATION AT A MEETING DULY HELD THE \_\_\_\_\_ DAY OF \_\_\_\_\_, AT WHICH A QUORUM WAS PRESENT AND VOTING, AND THAT THE SAME HAS NOT BEEN REPEALED OR AMENDED AND REMAINS IN FULL FORCE AND EFFECT AND DOES NOT CONFLICT WITH THE BY-LAWS OF SAID CORPORATION.

Dated \_\_\_\_\_

\_\_\_\_\_  
Dialea Adams  
Secretary of the Board  
Southern Utah University

CORPORATE  
SEAL



Date: November 19, 2013

To: Board of Trustees

From: Dorian Page  
Vice President for Finance & Administration

Subject: Revision of Policy 5.56 – Policy Development Authority

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Policy 5.56 currently outlines the roles of Faculty, Deans' Council, Graduate Council and SUUSA in the policy review and new policy proposal processes.

In response to a request from the Staff Association, this policy has been revised to explicitly state that the Staff Association must be included in policy reviews that have broad application to staff members. This revision also clarifies that the Staff Association has the ability to propose new policies or make changes to existing policies.



**SOUTHERN UTAH UNIVERSITY**  
**Policies and Procedures**

**Policy # 5.56**  
**Date Approved: 05/06/05**  
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**Office of Responsibility: Prov**  
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**SUBJECT: POLICY DEVELOPMENT AUTHORITY**

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**I. PURPOSE:** To establish the procedure and line of authority through which policy may be established.

**II. REFERENCES**

Title 53B State System of Higher Education, Utah Code (Annotated 1953)

Utah State Board of Regents Bylaw, Policies and Procedures

**III. POLICY:**

**A. Policies and Procedures**

Policies of the University are organized by general topic or area of responsibility as follows:

- Section 1. Statutory creation of the University
- Section 2. Mission and role of the University
- Section 3. State System of Higher Education
- Section 4. Organization of the University
- Section 5. General Policies
- Section 6. Academic and Faculty Policies
- Section 7. Administrative Procedures
- Section 8. Staff and Professional Employee Policies
- Section 9. University Leave
- Section 10. Financial Operations Policies
- Section 11. Student Services
- Section 12. Intercollegiate Athletics
- Section 13. Councils and Committees

**B. Implementation of Policies and Procedures**

Approved policies are posted to the web for general campus access.  
Supervisors are responsible for reviewing policies and procedures and insuring communication of new or revised policies and procedures to employees.

**C. Origin of Policies**

Policies and procedures for the University are developed in response to a perceived need by a member of the campus community.



**SOUTHERN UTAH UNIVERSITY**  
Policies and Procedures

**Policy # 5.56**  
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**SUBJECT: POLICY DEVELOPMENT AUTHORITY**

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D. Preparation of Drafts

To originate a policy and procedure, a draft similar in style and format to this document should be prepared. Assistance in preparing the draft may be obtained from the appropriate vice president or from the office of the Associate Provost. The draft should include references to other SUU policies, Regental policies, Utah State Code regarding higher education, or other relevant documents. In addition, a separate statement specifically identifying the need and rationale for any proposed policy shall accompany the draft of the policy.

E. Policy Revision

To revise an existing policy, first obtain an electronic copy of the policy from the Associate Provost's office. Once the electronic copy is obtained, "strike out" any text to be deleted. New text should be inserted in boldface. Policy revisions, depending on the type of policy, follow the steps below in III. F.

F. Review and Approval

The following steps include review and approval of new policies and substantive policy revisions. In order to promote coordination and communication across the academic and administrative units, review copies of policies in process should be shared among the various approving and review entities (e.g. Deans Council, Graduate Council, Faculty Senate, Staff Association, and VPs) before going to the President's Council for action.

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1. Academic Policies: Whether recommended by the faculty or administration, to become official each proposed academic policy will go through the following reviews.

- a. Faculty Senate and Deans Council and Graduate Council: Proposed policies by either of these bodies, with rationale for changes made, will be sent to the other, and each body will establish its own procedures for policy review.
- b. After considering the recommendations from the Faculty Senate and the Deans Council, the Provost will prepare a draft of the proposed policy and will forward it to the President's Council.

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**SOUTHERN UTAH UNIVERSITY**  
Policies and Procedures

Policy # 5.56  
Date Approved: 05/06/05  
Date Amended: 12/07/12  
Reviewed w/no Changes:  
Office of Responsibility: Prov  
Page 3 of 4

**SUBJECT: POLICY DEVELOPMENT AUTHORITY**

2. Administrative/Finance Policies:

a. Administrative/finance policies will be reviewed by the appropriate vice-president and/or staff, then forwarded to the President's Council with a recommendation that it be approved.

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b. Any policy that has broad application or impact on University staff shall be forwarded to the Staff Association Board for review, input and recommendations. The Staff Association Board is permitted to recommend new policy or policy changes to the appropriate vice-president for submittal to President's Council.

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3. Student generated policy will be reviewed by the appropriate vice-president and/or staff and an ex-officio student representative appointed by the Student Body President. If changes made to the policy are deemed substantive, the policy will be returned to the originating body for their approval. Once the changes made by the Vice-president and/or staff and the student representative are no longer deemed substantive, the policy is forwarded to the President's Council with a recommendation that it be approved.

~~4. University legal counsel will review draft documents. Legal guidance should be sought earlier in the process as issues become apparent.~~

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5. After approval by the President's Council, the policy will be forwarded to the Board of Trustees with a recommendation that it be approved.

6. The Board of Trustees has the final responsibility for approval of the policy. Policies officially become effective upon approval and as directed by the Board of Trustees.

G. Corrections or non-Substantive Changes to Approved Policies

When updates in the editorial content of a policy are required to keep an already approved policy accurate, and the proposed updating does not change the intent or scope of the policy, the Associate Provost's Office will submit a summary of the changes in the form of a Consent Agenda item for review by the Deans; Council, Graduate Council, Faculty Senate and Staff Association



**SOUTHERN UTAH UNIVERSITY**  
**Policies and Procedures**

**Policy # 5.56**  
**Date Approved: 05/06/05**  
**Date Amended: 12/07/12**  
**Reviewed w/no Changes:**  
**Office of Responsibility: Prov**  
**Page 4 of 4**

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**SUBJECT: POLICY DEVELOPMENT AUTHORITY**

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and approval by the Presidents' Council. The policy wording change(s) will be placed on the Consent Agenda at the next Scheduled Board of Trustees business meeting.

**H. Issuance**

After approval by the Board of Trustees, a copy of the approved policy document is to be forwarded to the Office of the Associate Provost for number assignment and coordination of the web conversion process.

**I. Distribution**

All policies and procedures are posted to the University's web site.

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# SUU SOUTHERN UTAH U N I V E R S I T Y

## INVESTMENT REPORT

October 31, 2013



Page 1 - Summary Report of Investments and Investment Income

Page 2 - Detail of Current Month Transactions

Page 3 - Portfolio Totals

Page 4 - Supplemental Summary

### Public Treasurer's Assertion

To the best of my knowledge, the University is in compliance with the State Money Management Act, the Rules of the State Money Management Council, and the Uniform Prudent Management of Institutional Funds Act.

 12/11/13

A. Mitchell Bealer  
Public Treasurer

Date

Report Reviewed

Richard E. Kendell  
President

Date

# SUU SOUTHERN UTAH UNIVERSITY

## Summary Report of Investment Activity and Income For the Month Ended October 31, 2013

	Cost	Market	Unrealized Gain/Loss
<b><u>Investment Activity:</u></b>			
Beginning Balance	\$ 80,086,602	\$ 81,072,933	\$ 986,331
Monthly Activity (See Page 2)	(2,103,046)	(2,103,046)	
Market Value Change		315,251	315,251
Ending Monthly Balance	<u>\$ 77,983,556</u>	<u>\$ 79,285,138</u>	<u>\$ 1,301,582</u>

Average Balance	<u>\$ 79,035,079</u>	<u>\$ 80,179,036</u>
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### **Premiums/(Discounts)**

Beginning Balance	\$ (6,299)
Acquisitions/(Dispositions)	
Amortization	915
Ending Monthly Balance	<u>\$ (5,384)</u>

### **Investment Income**

	Current Month	YTD
Interest	\$ 40,507	\$ 152,598
Dividends	5,472	52,332
Gains/Losses on Sale	1,952	(92,993)
Investments Income	<u>\$ 47,931</u>	<u>\$ 111,937</u>

# SUU SOUTHERN UTAH UNIVERSITY

## Investment Transactions

For the Month Ended October 31, 2013

	Cash Management Pool	Endowment Pool	Debt Service Pool	Total
<b>Acquisitions:</b>				
Amortization of Bond Discount	\$ 1,469	\$ -	\$ -	\$ 1,469
Increase in Wells Fargo Money Market	430			430
Purchase: Global X Superincome (3,390 @ \$14.7525)		50,017		50,017
Purchase: Ishares US Construction (1,110 @ \$22.576)		25,066		25,066
Purchase: Powershares (3,650 @ \$13.7361)		50,144		50,144
Purchase: Healthcare Select (500 @ \$50.5688)		25,291		25,291
Purchase: SPDR S&P 600 (155 @ \$162.6499)		25,218		25,218
Purchase: WF Preferred (1,220 @ \$41.0544)		50,093		50,093
Purchase: Fidelity Consumer Disc (1,245.64 @ \$20.07)		50,070		50,070
Purchase: Global X Superincome (3,420 @ \$14.6198)		50,020		50,020
Purchase: Ishares US Construction (1,125 @ \$22.246)		25,047		25,047
Purchase: Powershares (3,670 @ \$13.649)		50,112		50,112
Purchase: Healthcare Select (500 @ \$50.6999)		25,370		25,370
Purchase: SPDR S&P 600 (160 @ \$162.158)		25,965		25,965
Purchase: WF Preferred (1,230 @ \$40.7461)		50,138		50,138
Purchase: Fidelity Consumer Disc		25,035		25,035
Dividend: SPDR S&P Intl (33.527 @ \$47.12)		1,580		1,580
Dividend: Global X (57.356 @ \$14.622)		839		839
Dividend: Powershares (152.442 @ \$13.77)		2,099		2,099
<b>Total Acquisitions</b>	<b>\$ 1,899</b>	<b>\$ 532,104</b>	<b>\$ -</b>	<b>\$ 534,003</b>
<b>Dispositions:</b>				
Amortization of Bond Premium	\$ 554	\$ -	\$ -	\$ 554
Net Decrease in PTIF Debt	5,052			5,052
Net Decrease in PTIF	2,369,635			2,369,635
Net Decrease in Vanguard Money Market	252,552			252,552
Maturity: San Diego Gas & Electric		9,256		9,256
<b>Total Dispositions</b>	<b>\$ 2,627,793</b>	<b>\$ 9,256</b>	<b>\$ -</b>	<b>\$ 2,637,049</b>
<b>Increase (Decrease) in Investments</b>	<b>\$ (2,625,894)</b>	<b>\$ 522,848</b>	<b>\$ -</b>	<b>\$ (2,103,046)</b>

	Yield	Maturity	Cost	Market	Unrealized Gain/(Loss)	Endowment Portfolio Percentage	Allowable Percentage
<b>Fixed Income Investments:</b>							
<b>Cash Equivalents:</b>							
Public Treasurer's Investment Fund (PTIF)	0.5072%	N/A	\$ 52,202,558	\$ 52,202,558	\$ -		
Public Treasurer's Investment Fund - Debt Reserves	0.5072%	N/A	2,371,171	2,371,171	-		
Wells Fargo Money Market	0.2500%	N/A	2,024,766	2,024,766	-		
Vanguard Prime Money Market	0.1000%	N/A	6,139	6,139	-		
Total Cash Equivalents			\$ 56,604,634	\$ 56,604,634	\$ -	44.30%	100.00%
<b>Certificates of Deposit:</b>							
State Bank of Southern Utah	0.5000%	3/2/2014	\$ 1,002,523	\$ 1,002,523	\$ -		
Total Certificates of Deposit			\$ 1,002,523	\$ 1,002,523	\$ -	0.76%	100.00%
<b>Bonds, Notes &amp; Bills:</b>							
AMR Corp (\$1,000 Par)	23.0947%	10/1/2021	\$ 500	\$ 1,175	\$ 675		
Barclays Bk PLC Sr Unsec Note (\$1,700,000 Par)	0.9947%	1/13/2014	1,701,503	1,703,312	1,809		
Federal Farm Credit Bank Call (\$2,000,000 Par)	1.3750%	6/25/2018	2,000,000	1,986,804	(13,196)		
Federal Farm Credit Bank (\$2,000,000 Par)	2.2000%	7/2/2018	2,000,000	2,004,954	4,954		
GE Capital Corp (\$2,543,000 Par)	1.2000%	1/7/2014	2,543,000	2,546,977	3,977		
Goldman Sachs Group (\$2,000,000 Par)	1.9899%	2/7/2014	1,997,076	2,003,860	6,784		
HCA Inc. (\$1,000 Par)	4.4731%	2/15/2016	1,067	1,095	28		
Hewlett-Packard Co (\$1,500,000)	1.3067%	5/30/2014	1,496,234	1,500,440	4,206		
Pactiv LLC (\$1,000 Par)	11.2059%	4/15/2027	798	925	127		
Total Bonds, Notes and Bills			\$ 11,740,178	\$ 11,749,542	\$ 9,364	8.90%	100.00%
Total Fixed Income Investments			\$ 69,347,335	\$ 69,356,699	\$ 9,364		
<b>Equity Investments:</b>							
<b>Mutual Funds and ETFs:</b>							
	Cost/share	Shares	Cost	Market	Unrealized Gain/(Loss)		
Aberdeen Emerging Markets Inst Fund	\$ 11.60	4,638.678	\$ 53,808	\$ 71,018	\$ 17,210		
Aberdeen International Equity Fund	16.43	14,417.532	236,880	225,490	(11,390)		
American Century Heritage	20.06	20,541.350	411,994	584,401	172,407		
American Century Intern Disc	12.86	5,941.660	76,428	74,033	(2,395)		
CGM Realty	27.97	24,162.864	675,793	750,982	75,189		
Fidelity Advisor Consumer Discretionary	18.79	16,964.319	318,740	352,349	33,609		
Fidelity Advisor Consumer Staples	63.91	3,716.662	237,550	346,690	109,140		
Fidelity Advisor Materials	69.01	3,694.599	254,978	303,770	48,792		
Fidelity Global Commodity	13.62	7,447.257	101,410	106,049	4,639		
Fidelity Latin America	60.31	3,346.854	201,857	136,552	(65,305)		
Fidelity Leveraged	34.43	9,065.654	312,158	374,412	62,254		
Fidelity Select Financial Services	115.77	1,014.266	117,417	77,470	(39,947)		
Global X Superincome Preferred ETF	14.66	13,705.356	200,877	203,936	3,059		
Ishares: MSCI CDA Index	25.73	1,992.441	51,267	58,498	7,231		
Ishares: MSCI EAFE Growth	55.05	1,834.401	100,988	128,243	27,255		
Ishares: US Home Construction ETF	22.01	4,549.576	100,122	102,456	2,334		
Janus Overseas D	53.06	11,307.386	599,964	426,402	(173,562)		
Market Vectors Agribus	51.00	3,942.967	201,090	206,651	5,561		
PowerShares Preferred	14.13	28,521.017	403,061	393,305	(9,756)		
Sector Healthcare Select Sector SPDR ETF	50.58	1,992.140	100,768	105,125	4,357		
SPDR S&P 600 Small Cap Growth ETF	139.13	2,181.463	303,500	369,780	66,280		
SPDR S&P International	45.22	2,314.721	104,676	111,593	6,917		
Vanguard Energy - Admiral	142.97	3,430.986	490,518	444,313	(46,205)		
Vanguard FTSE xUS	41.61	3,726.529	155,061	187,146	32,085		
Vanguard Index 500 Adm	107.88	10,143.274	1,094,211	1,644,630	550,419		
Vanguard Index Total Stock Adm	28.97	18,512.635	536,273	822,701	286,428		
Vanguard Inflation-Protect Sec	25.05	11,988.680	300,285	316,261	15,976		
Wells Fargo PFD STK	43.05	9,224.301	397,090	382,532	(14,558)		
Total Mutual Funds and ETFs		244,319,568	\$ 8,138,764	\$ 9,306,788	\$ 1,168,024	43.16%	75.00%
<b>Common Stocks:</b>							
Agilent	45.29	235.000	\$ 10,643	\$ 11,929	\$ 1,286		
Chevron Corp	99.57	2,340.000	233,004	280,706	47,702		
Omnicom Group	53.94	1,448.000	78,105	98,623	20,518		
Questar	20.13	250.000	5,033	5,915	882		
Target	49.00	208.000	10,192	13,476	3,284		
US Bancorp	25.68	1,000.000	25,680	37,360	11,680		
Walgreen Co	43.50	800.000	34,800	47,392	12,592		
Total Common Stocks		6,281.000	\$ 397,457	\$ 495,401	\$ 97,944	2.30%	3.00%
<b>Alternative Investments- Private Equity:</b>							
State Bank of Southern Utah		625.000	\$ 100,000	\$ 126,250	\$ 26,250		
Total Alternative Investments		625.000	\$ 100,000	\$ 126,250	\$ 26,250	0.59%	10.00%
Total Equity Investments			\$ 8,636,221	\$ 9,928,439	\$ 1,292,218		
Total Investments			\$ 77,983,556	\$ 79,285,138	\$ 1,301,582		

# SUU SOUTHERN UTAH UNIVERSITY

Supplemental Investment Report  
For the Month Ended October 31, 2013

During the month invested cash decreased by approximately \$2,100,000. The decrease was due to expenses/transfers exceeding appropriations/revenue.

During the month:

- The Dow Jones Industrial Average increased 416.08 points (2.75%)
- The Nasdaq Composite increased 74.99 points (4.46%)
- The S&P 500 increased 148.23 points (3.93%)

The SUU Equity Investment Portfolio increased by 3.2%

<u>Holdings (FMV):</u>	<u>Percent Change</u>
• Aberdeen Emerging Markets Inst Fund	4.08
• Aberdeen International Equity Fund	2.56
• American Century Heritage	3.53
• American Century Intern Disc	3.75
• CGM Realty	2.85
• Fidelity Advisor Consumer Discretionary	2.92
• Fidelity Advisor Consumer Staples	5.12
• Fidelity Advisor Materials	2.70
• Fidelity Global Commodity	3.04
• Fidelity Latin America	3.32
• Fidelity Leveraged	3.43
• Fidelity Select Financial Services	3.10
• Global X Superincome Preferred ETF	1.09
• Ishares: MSCI CDA Index	3.71
• Ishares: MSCI EAFE Growth	2.61
• Ishares: US Home Construction ETF	0.80
• Janus Overseas D	5.90
• Market Vectors Agribus	2.10
• PowerShares Preferred	0.73
• Sector Healthcare Select Sector SPDR ETF	4.31
• SPDR S&P 600 Small Cap Growth ETF	4.12
• SPDR S&P International	3.34
• Vanguard Energy - Admiral	4.49
• Vanguard FTSE xUS	3.33
• Vanguard Index 500 Adm	4.59
• Vanguard Index Total Stock Adm	4.25
• Vanguard Inflation-Protect Sec	0.42
• Wells Fargo PFD STK	1.49
• Agilent	-0.95
• Chevron Corp	-1.27
• Omnicom Group	7.36
• Questar	5.19
• Target	1.26
• US Bancorp	2.13
• Walgreen Co	10.11

The following transactions occurred during the month:

- Purchase: Global X Superincome (3,390 @ \$14.7525)
- Purchase: Ishares US Construction (1,110 @ \$22.576)
- Purchase: Powershares (3,650 @ \$13.7361)
- Purchase: Healthcare Select (500 @ \$50.5688)
- Purchase: SPDR S&P 600 (155 @ \$162.6499)
- Purchase: WF Preferred (1,220 @ \$41.0544)
- Purchase: Fidelity Consumer Disc (1,245.64 @ \$20.07)
- Purchase: Global X Superincome (3,420 @ \$14.6198)
- Purchase: Ishares US Construction (1,125 @ \$22.246)
- Purchase: Powershares (3,670 @ \$13.649)
- Purchase: Healthcare Select (500 @ \$50.6999)
- Purchase: SPDR S&P 600 (160 @ \$162.158)
- Purchase: WF Preferred (1,230 @ \$40.7461)
- Purchase: Fidelity Consumer Disc
- Dividend: SPDR S&P Intl (33.527 @ \$47.12)
- Dividend: Global X (57.356 @ \$14.622)
- Dividend: Powershares (152.442 @ \$13.77)
- Maturity: San Diego Gas & Electric

# SUU SOUTHERN UTAH U N I V E R S I T Y

## INVESTMENT REPORT

November 30, 2013



Page 1 - Summary Report of Investments and Investment Income

Page 2 - Detail of Current Month Transactions

Page 3 - Portfolio Totals

Page 4 - Supplemental Summary

### Public Treasurer's Assertion

To the best of my knowledge, the University is in compliance with the State Money Management Act, the Rules of the State Money Management Council, and the Uniform Prudent Management of Institutional Funds Act.

 12/17/13

A. Mitchell Bealer  
Public Treasurer

Date

Report Reviewed

Richard E. Kendell  
President

Date



Summary Report of Investment Activity and Income  
For the Month Ended November 30, 2013

	Cost	Market	Unrealized Gain/Loss
<b><u>Investment Activity:</u></b>			
Beginning Balance	\$ 77,983,556	\$ 79,285,138	\$ 1,301,582
Monthly Activity (See Page 2)	(845,520)	(845,520)	
Market Value Change		123,742	123,742
Ending Monthly Balance	<u>\$ 77,138,036</u>	<u>\$ 78,563,360</u>	<u>\$ 1,425,324</u>

Average Balance	<u>\$ 77,560,796</u>	<u>\$ 78,924,249</u>
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**Premiums/(Discounts)**

Beginning Balance	\$ (5,384)
Acquisitions/(Dispositions)	
Amortization	886
Ending Monthly Balance	<u>\$ (4,498)</u>

**Investment Income**

	Current Month	YTD
Interest	\$ 38,402	\$ 191,000
Dividends	3,290	56,830
Gains/Losses on Sale	-	(92,993)
Investments Income	<u>\$ 41,692</u>	<u>\$ 154,837</u>

# SUU SOUTHERN UTAH UNIVERSITY

## Investment Transactions

For the Month Ended November 30, 2013

	Cash Management Pool	Endowment Pool	Debt Service Pool	Total
<b>Acquisitions:</b>				
Amortization of Bond Discount	\$ 1,421	\$ -	\$ -	\$ 1,421
Increase in PTIF	449,117			449,117
Increase in PTIF Debt	914			914
Dividend: Global X (80.101 sh @ \$14.714)		1,179		1,179
Dividend: Powershares Preferred (153.426 sh @ \$13.759)		2,111		2,111
				-
<b>Total Acquisitions</b>	<b>\$ 451,452</b>	<b>\$ 3,290</b>	<b>\$ -</b>	<b>\$ 454,742</b>
<b>Dispositions:</b>				
Amortization of Bond Premium	\$ 536	\$ -	\$ -	\$ 536
Decrease in Wells Fargo Money Market	1,299,726			1,299,726
<b>Total Dispositions</b>	<b>\$ 1,300,262</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,300,262</b>
<b>Increase (Decrease) in Investments</b>	<b>\$ (848,810)</b>	<b>\$ 3,290</b>	<b>\$ -</b>	<b>\$ (845,520)</b>

	Yield	Maturity	Cost	Market	Unrealized Gain/(Loss)	Endowment Portfolio Percentage
<b>Fixed Income Investments:</b>						
<b>Cash Equivalents:</b>						
Public Treasurer's Investment Fund (PTIF)	0.5080%	N/A	\$ 52,651,675	\$ 52,651,675	\$ -	
Public Treasurer's Investment Fund - Debt Reserves	0.5080%	N/A	2,372,085	2,372,085	-	
Wells Fargo Money Market	0.2500%	N/A	725,040	725,040	-	
Vanguard Prime Money Market	0.1000%	N/A	6,139	6,139	-	
Total Cash Equivalents			\$ 55,754,939	\$ 55,754,939	\$ -	43.35%
<b>Certificates of Deposit:</b>						
State Bank of Southern Utah	0.5000%	3/2/2014	\$ 1,002,523	\$ 1,002,523	\$ -	
Total Certificates of Deposit			\$ 1,002,523	\$ 1,002,523	\$ -	0.79%
<b>Bonds, Notes &amp; Bills:</b>						
AMR Corp (\$1,000 Par)	23.0947%	10/1/2021	\$ 500	\$ 1,220	\$ 720	
Barclays Bk PLC Sr Unsec Note (\$1,700,000 Par)	0.9947%	1/13/2014	1,700,967	1,701,778	811	
Federal Farm Credit Bank Call (\$2,000,000 Par)	1.3750%	6/25/2018	2,000,000	1,985,422	(14,578)	
Federal Farm Credit Bank (\$2,000,000 Par)	2.2000%	7/2/2018	2,000,000	2,003,308	3,308	
GE Capital Corp (\$2,543,000 Par)	1.2000%	1/7/2014	2,543,000	2,545,126	2,126	
Goldman Sachs Group (\$2,000,000 Par)	1.9899%	2/7/2014	1,997,962	2,002,624	4,662	
HCA Inc. (\$1,000 Par)	4.4731%	2/15/2016	1,067	1,094	27	
Hewlett-Packard Co (\$1,500,000)	1.3067%	5/30/2014	1,496,769	1,498,904	2,135	
Pactiv LLC (\$1,000 Par)	11.2059%	4/15/2027	798	915	117	
Total Bonds, Notes and Bills			\$ 11,741,063	\$ 11,740,391	\$ (672)	9.29%
Total Fixed Income Investments			\$ 68,498,525	\$ 68,497,853	\$ (672)	
<b>Equity Investments:</b>						
<b>Mutual Funds and ETFs:</b>						
	Cost/share	Shares	Cost	Market	Unrealized Gain/(Loss)	
Aberdeen Emerging Markets Inst Fund	\$ 11.60	4,638.678	\$ 53,808	\$ 68,977	\$ 15,169	
Aberdeen International Equity Fund	16.43	14,417.532	236,880	223,616	(13,264)	
American Century Heritage	20.06	20,541.350	411,994	587,072	175,078	
American Century Intern Disc	12.86	5,941.660	76,428	75,459	(969)	
CGM Realty	27.97	24,162.864	675,793	747,841	72,048	
Fidelity Advisor Consumer Discretionary	18.79	16,964.319	318,740	363,885	45,145	
Fidelity Advisor Consumer Staples	63.91	3,716.662	237,550	348,103	110,553	
Fidelity Advisor Materials	69.01	3,694.599	254,978	308,942	53,964	
Fidelity Global Commodity	13.62	7,447.257	101,410	104,559	3,149	
Fidelity Latin America	60.31	3,346.854	201,857	130,527	(71,330)	
Fidelity Leveraged	34.43	9,065.654	312,158	382,117	69,959	
Fidelity Select Financial Services	115.77	1,014.266	117,417	81,020	(36,397)	
Global X Superincome Preferred ETF	14.66	13,785.457	202,056	205,817	3,761	
Ishares: MSCI CDA Index	25.73	1,992.441	51,267	57,960	6,693	
Ishares: MSCI EAFE Growth	55.05	1,834.401	100,988	128,958	27,970	
Ishares: US Home Construction ETF	22.01	4,549.576	100,122	105,277	5,155	
Janus Overseas D	53.06	11,307.386	599,964	434,769	(165,195)	
Market Vectors Agribus	51.00	3,942.967	201,090	211,816	10,726	
PowerShares Preferred	14.13	28,674.443	405,172	395,134	(10,038)	
Sector Healthcare Select Sector SPDR ETF	50.58	1,992.140	100,768	110,086	9,318	
SPDR S&P 600 Small Cap Growth ETF	139.13	2,181.463	303,500	386,773	83,273	
SPDR S&P International	45.22	2,314.721	104,676	109,047	4,371	
Vanguard Energy - Admiral	142.97	3,430.986	490,518	440,264	(50,254)	
Vanguard FTSE xUS	41.61	3,726.529	155,061	187,780	32,719	
Vanguard Index 500 Adm	107.88	10,143.274	1,094,211	1,694,637	600,426	
Vanguard Index Total Stock Adm	28.97	18,512.635	536,273	846,398	310,125	
Vanguard Inflation-Protect Sec	25.05	11,988.680	300,285	313,024	12,739	
Wells Fargo PFD STK	43.05	9,224.301	397,090	381,333	(15,757)	
Total Mutual Funds and ETFs		244,553.095	\$ 8,142,054	\$ 9,431,191	\$ 1,289,137	43.64%
<b>Common Stocks:</b>						
Agilent	45.29	235.000	\$ 10,643	\$ 12,589	\$ 1,946	
Chevron Corp	99.57	2,340.000	233,004	286,510	53,506	
Omnicom Group	53.94	1,448.000	78,105	103,460	25,355	
Questar	20.13	250.000	5,033	5,630	597	
Target	49.00	208.000	10,192	13,297	3,105	
US Bancorp	25.68	1,000.000	25,680	39,220	13,540	
Walgreen Co	43.50	800.000	34,800	47,360	12,560	
Total Common Stocks		6,281.000	\$ 397,457	\$ 508,066	\$ 110,609	2.35%
<b>Alternative Investments- Private Equity:</b>						
State Bank of Southern Utah		625.000	\$ 100,000	\$ 126,250	\$ 26,250	
Total Alternative Investments		625.000	\$ 100,000	\$ 126,250	\$ 26,250	0.58%
Total Equity Investments			\$ 8,639,511	\$ 10,065,507	\$ 1,425,996	
Total Investments			\$ 77,138,036	\$ 78,563,360	\$ 1,425,324	

# SUU SOUTHERN UTAH UNIVERSITY

Supplemental Investment Report  
For the Month Ended November 30, 2013

During the month invested cash decreased by approximately \$800,000. The decrease was due to expenses/transfers exceeding appropriations/revenue.

During the month:

- The Dow Jones Industrial Average increased 540.66 points (3.48%)
- The Nasdaq Composite increased 49.27 points (2.8%)
- The S&P 500 increased 140.18 points (3.58%)

The SUU Equity Investment Portfolio increased by 1.32%

<u>Holdings (FMV):</u>	<u>Percent Change</u>
• Aberdeen Emerging Markets Inst Fund	-2.87
• Aberdeen International Equity Fund	-0.83
• American Century Heritage	0.46
• American Century Intern Disc	1.93
• CGM Realty	-0.42
• Fidelity Advisor Consumer Discretionary	3.27
• Fidelity Advisor Consumer Staples	0.41
• Fidelity Advisor Materials	1.70
• Fidelity Global Commodity	-1.41
• Fidelity Latin America	-4.41
• Fidelity Leveraged	2.06
• Fidelity Select Financial Services	4.58
• Global X Superincome Preferred ETF	0.34
• Ishares: MSCI CDA Index	-0.92
• Ishares: MSCI EAFE Growth	0.56
• Ishares: US Home Construction ETF	2.75
• Janus Overseas D	1.96
• Market Vectors Agribus	2.50
• PowerShares Preferred	-0.07
• Sector Healthcare Select Sector SPDR ETF	4.72
• SPDR S&P 600 Small Cap Growth ETF	4.60
• SPDR S&P International	-2.28
• Vanguard Energy - Admiral	-0.91
• Vanguard FTSE xUS	0.34
• Vanguard Index 500 Adm	3.04
• Vanguard Index Total Stock Adm	2.88
• Vanguard Inflation-Protect Sec	-1.02
• Wells Fargo PFD STK	-0.31
• Agilent	5.53
• Chevron Corp	2.07
• Omnicom Group	4.90
• Questar	-4.82
• Target	-1.33
• US Bancorp	4.98
• Walgreen Co	-0.07

The following transactions occurred during the month:

- Dividend: Global X (80.101 sh @ \$14.714)
- Dividend: Powershares Preferred (153.426 sh @ \$13.759)

# SUU SOUTHERN UTAH U N I V E R S I T Y

## INVESTMENT REPORT

December 31, 2013



Page 1 - Summary Report of Investments and Investment Income



Page 2 - Detail of Current Month Transactions

Page 3 - Portfolio Totals

Page 4 - Supplemental Summary

### Public Treasurer's Assertion

To the best of my knowledge, the University is in compliance with the State Money Management Act, the Rules of the State Money Management Council, and the Uniform Prudent Management of Institutional Funds Act.

   
A. Mitchell Bealer Date  
Public Treasurer

Report Reviewed

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Scott L. Wyatt  
President

Date

# SUU SOUTHERN UTAH UNIVERSITY

## Summary Report of Investment Activity and Income For the Month Ended December 31, 2013

	Cost	Market	Unrealized Gain/Loss
<b><u>Investment Activity:</u></b>			
Beginning Balance	\$ 77,138,036	\$ 78,563,360	\$ 1,425,324
Monthly Activity (See Page 2)	1,740,475	1,740,475	
Market Value Change		(95,717)	(95,717)
Ending Monthly Balance	<u>\$ 78,878,511</u>	<u>\$ 80,208,118</u>	<u>\$ 1,329,607</u>

Average Balance	<u>\$ 78,008,274</u>	<u>\$ 79,385,739</u>
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### **Premiums/(Discounts)**

Beginning Balance	\$ (4,498)
Acquisitions/(Dispositions)	
Amortization	915
Ending Monthly Balance	<u>\$ (3,583)</u>

### **Investment Income**

	Current Month	YTD
Interest	\$ 39,621	\$ 230,621
Dividends	53,897	110,726
Gains/Losses on Sale	126,722	33,729
Investments Income	<u>\$ 220,240</u>	<u>\$ 375,076</u>



## Investment Transactions

For the Month Ended December 31, 2013

	Cash Management Pool	Endowment Pool	Debt Service Pool	Total
<b>Acquisitions:</b>				
Amortization of Bond Discount	\$ 1,469	\$ -	\$ -	\$ 1,469
Increase in PTIF	1,449,907			1,449,907
Increase in PTIF Debt	1,028			1,028
Increase in Wells Fargo Money Market	154			154
Increase in State Bank CD	1,250			1,250
Gift: Zions Bancorp (4,275 sh @ \$29.20)		124,830		124,830
Merger: American Airlines (49 sh @ \$25.77)		500		500
ST Cap Gain: Fidelity Cons Disc (95.961 sh @ \$21.04)		2,019		2,019
ST Cap Gain: Fidelity Global (7.061 sh @ \$13.71)		97		97
ST Cap Gain: Vanguard Energy (2.010 Sh @ \$121.17)		244		244
ST Cap Gain: Fidelity Materials (.9 sh @ \$82.55)		74		74
ST Cap Gain: AC Heritage (83.499 sh @ \$24.65)		2,058		2,058
LT Cap Gain: AC Heritage (2,918.205 sh @ \$24.65)		71,934		71,934
LT Cap Gain: Vanguard Energy (63.710 sh @ \$121.17)		7,720		7,720
LT Cap Gain: Fidelity Cons Disc (324.922 sh @ \$21.04)		6,836		6,836
LT Cap Gain: Fidelity Materials (69.993 sh @ \$82.55)		5,778		5,778
LT Cap Gain: CGM Realty (974.056 sh @ \$30.76)		29,961		29,961
Dividend: AC Discovery (30.234 sh @ \$12.44)		376		376
Dividend: Fidelity Materials (20.14 sh @ \$82.55)		1,663		1,663
Dividend: Ishares Home Const (1.366 sh @ \$24.676)		34		34
Dividend: Ishares Canada (26.704 sh @ \$28.937)		773		773
Dividend: Market Vectors (67.529 sh @ \$54.301)		3,667		3,667
Dividend: Healthcare Select (8.0710 sh @ \$55.537)		448		448
Dividend: S&P 600 (4.072 sh @ \$179.024)		729		729
Dividend: Wells Fargo (273.357 sh @ \$39.495)		10,795		10,795
Dividend: Fidelity Global (102.121 sh @ \$13.71)		1,400		1,400
Dividend: Global X (80.366 sh @ \$14.751)		1,186		1,186
Dividend: Vanguard Energy (62.606 sh @ \$121.17)		7,586		7,586
Dividend: Vanguard Inflation (102.532 sh @ \$25.49)		2,614		2,614
Dividend: Vanguard All World (28.649 sh @ \$50.34)		1,442		1,442
Dividend: Ishares MSCI EAFE (11.808 sh @ \$71.016)		839		839
Dividend: Powershares (157.783 sh @ \$13.421)		2,118		2,118
<b>Total Acquisitions</b>	<b>\$ 1,453,808</b>	<b>\$ 287,721</b>	<b>\$ -</b>	<b>\$ 1,741,529</b>
<b>Dispositions:</b>				
Amortization of Bond Premium	\$ 554	\$ -	\$ -	\$ 554
Conversion: AMR Corp to Preferred Stock (YTM 23.095%)	500			500
<b>Total Dispositions</b>	<b>\$ 1,054</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,054</b>
<b>Increase (Decrease) in Investments</b>	<b>\$ 1,452,754</b>	<b>\$ 287,721</b>	<b>\$ -</b>	<b>\$ 1,740,475</b>

	Yield	Maturity	Cost	Market	Unrealized Gain/(Loss)	Endowment Portfolio Percentage
<b>Fixed Income Investments:</b>						
<b>Cash Equivalents:</b>						
Public Treasurer's Investment Fund (PTIF)	0.5033%	N/A	\$ 54,101,582	\$ 54,101,582	\$ -	
Public Treasurer's Investment Fund - Debt Reserves	0.5080%	N/A	2,373,113	2,373,113	-	
Wells Fargo Money Market	0.2500%	N/A	725,194	725,194	-	
Vanguard Prime Money Market	0.1000%	N/A	6,139	6,139	-	
Total Cash Equivalents			\$ 57,206,028	\$ 57,206,028	\$ -	43.13%
<b>Certificates of Deposit:</b>						
State Bank of Southern Utah	0.5000%	3/2/2014	\$ 1,003,773	\$ 1,003,773	\$ -	
Total Certificates of Deposit			\$ 1,003,773	\$ 1,003,773	\$ -	0.77%
<b>Bonds, Notes &amp; Bills:</b>						
Barclays Bk PLC Sr Unsec Note (\$1,700,000 Par)	0.9947%	1/13/2014	\$ 1,700,414	\$ 1,700,466	\$ 52	
Federal Farm Credit Bank Call (\$2,000,000 Par)	1.3750%	6/25/2018	2,000,000	1,964,900	(35,100)	
Federal Farm Credit Bank (\$2,000,000 Par)	2.2000%	7/2/2018	2,000,000	2,000,000	-	
GE Capital Corp (\$2,543,000 Par)	1.2000%	1/7/2014	2,543,000	2,543,254	254	
Goldman Sachs Group (\$2,000,000 Par)	1.9899%	2/7/2014	1,998,878	2,001,400	2,522	
HCA Inc. (\$1,000 Par)	4.4731%	2/15/2016	1,067	1,094	27	
Hewlett-Packard Co (\$1,500,000)	1.3067%	5/30/2014	1,497,322	1,500,324	3,002	
Pactiv LLC (\$1,000 Par)	11.2059%	4/15/2027	798	930	132	
Total Bonds, Notes and Bills			\$ 11,741,479	\$ 11,712,368	\$ (29,111)	8.99%
Total Fixed Income Investments			\$ 69,951,280	\$ 69,922,169	\$ (29,111)	
<b>Equity Investments:</b>						
<b>Mutual Funds and ETFs:</b>						
	Cost/share	Shares	Cost	Market	Unrealized Gain/(Loss)	
Aberdeen Emerging Markets Inst Fund	\$ 11.60	4,638.678	\$ 53,808	\$ 67,122	\$ 13,314	
Aberdeen International Equity Fund	16.43	14,417.532	236,880	223,039	(13,841)	
American Century Heritage	20.64	23,543.054	485,986	599,877	113,891	
American Century Intern Disc	12.86	5,971.894	76,804	77,694	890	
CGM Realty	28.08	25,136.920	705,755	773,212	67,457	
Fidelity Advisor Consumer Discretionary	18.84	17,385.202	327,596	373,260	45,664	
Fidelity Advisor Consumer Staples	63.91	3,716.662	237,550	334,574	97,024	
Fidelity Advisor Materials	69.34	3,785.632	262,493	320,832	58,339	
Fidelity Global Commodity	13.62	7,556.439	102,907	106,772	3,865	
Fidelity Latin America	60.31	3,346.854	201,857	104,589	(97,268)	
Fidelity Leveraged	34.43	9,065.654	312,158	391,999	79,841	
Fidelity Select Financial Services	115.77	1,014.266	117,417	82,947	(34,470)	
Global X SuperIncome Preferred ETF	14.66	13,865.823	203,241	202,302	(939)	
Ishares: MSCI CDA Index	25.77	2,019.145	52,039	58,878	6,839	
Ishares: MSCI EAFE Growth	55.15	1,846.209	101,827	131,967	30,140	
Ishares: US Home Construction ETF	22.01	4,550.942	100,155	112,954	12,799	
Janus Overseas D	53.06	11,307.386	599,964	416,790	(183,174)	
Market Vectors Agribus	51.06	4,010.496	204,757	218,532	13,775	
PowerShares Preferred	14.13	28,832.226	407,290	387,505	(19,785)	
Sector Healthcare Select Sector SPDR ETF	50.60	2,000.211	101,217	110,892	9,675	
SPDR S&P 600 Small Cap Growth ETF	139.20	2,185.535	304,229	391,123	86,894	
SPDR S&P International	45.22	2,314.721	104,676	109,834	5,158	
Vanguard Energy - Admiral	142.18	3,559.312	506,067	449,755	(56,312)	
Vanguard FTSE xUS	41.68	3,755.178	156,503	190,500	33,997	
Vanguard Index 500 Adm	107.88	10,143.274	1,094,211	1,728,008	633,797	
Vanguard Index Total Stock Adm	28.97	18,512.635	536,273	864,355	328,082	
Vanguard Inflation-Protect Sec	25.05	12,091.212	302,898	307,963	5,065	
Wells Fargo PFD STK	42.95	9,497.658	407,886	374,398	(33,488)	
Total Mutual Funds and ETFs		250,070.750	\$ 8,304,444	\$ 9,511,673	\$ 1,207,229	43.56%
<b>Common Stocks:</b>						
Agilent	45.29	235.000	\$ 10,643	\$ 13,440	\$ 2,797	
American Airlines Group	10.20	49.000	500	1,270	770	
Chevron Corp	99.57	2,340.000	233,004	292,289	59,285	
Omnicom Group	53.94	1,448.000	78,105	107,688	29,583	
Questar	20.13	250.000	5,033	5,748	715	
Target	49.00	208.000	10,192	13,160	2,968	
US Bancorp	25.68	1,000.000	25,680	40,400	14,720	
Walgreen Co	43.50	800.000	34,800	45,952	11,152	
Zions Bancorporation	29.20	4,275.000	124,830	128,079	3,249	
Total Common Stocks		10,605.000	\$ 522,787	\$ 648,026	\$ 125,239	2.97%
<b>Alternative Investments- Private Equity:</b>						
State Bank of Southern Utah		625.000	\$ 100,000	\$ 126,250	\$ 26,250	
Total Alternative Investments		625.000	\$ 100,000	\$ 126,250	\$ 26,250	0.58%
Total Equity Investments			\$ 8,927,231	\$ 10,285,949	\$ 1,358,718	
Total Investments			\$ 78,878,511	\$ 80,208,118	\$ 1,329,607	

# SUU SOUTHERN UTAH UNIVERSITY

Supplemental Investment Report  
For the Month Ended December 31, 2013

During the month invested cash increased by approximately \$1,700,000. The increase was due to appropriations/revenue exceeding expenses/transfers.

During the month:

- The Dow Jones Industrial Average increased 490.25 points (3.05%)
- The Nasdaq Composite increased 42.55 points (2.36%)
- The S&P 500 increased 116.7 points (2.87%)

The SUU Equity Investment Portfolio increased by 0.41%

<u>Holdings (FMV):</u>	<u>Percent Change</u>
• Aberdeen Emerging Markets Inst Fund	-2.69
• Aberdeen International Equity Fund	-0.26
• American Century Heritage	-10.85
• American Century Intern Disc	2.44
• CGM Realty	-0.61
• Fidelity Advisor Consumer Discretionary	0.09
• Fidelity Advisor Consumer Staples	-3.89
• Fidelity Advisor Materials	1.35
• Fidelity Global Commodity	0.64
• Fidelity Latin America	-19.87
• Fidelity Leveraged	2.59
• Fidelity Select Financial Services	2.38
• Global X Superincome Preferred ETF	-2.28
• Ishares: MSCI CDA Index	0.24
• Ishares: MSCI EAFE Growth	1.68
• Ishares: US Home Construction ETF	7.26
• Janus Overseas D	-4.14
• Market Vectors Agribus	1.43
• PowerShares Preferred	-2.47
• Sector Healthcare Select Sector SPDR ETF	0.33
• SPDR S&P 600 Small Cap Growth ETF	0.94
• SPDR S&P International	0.72
• Vanguard Energy - Admiral	-1.53
• Vanguard FTSE xUS	0.67
• Vanguard Index 500 Adm	1.97
• Vanguard Index Total Stock Adm	2.12
• Vanguard Inflation-Protect Sec	-2.45
• Wells Fargo PFD STK	-4.64
• Agilent	6.76
• American Airlines Group	0.00
• Chevron Corp	2.02
• Omnicom Group	4.09
• Questar	2.10
• Target	-1.03
• US Bancorp	3.01
• Walgreen Co	-2.97
• Zions Bancorporation	0.00

The following transactions occurred during the month:

- Gift: Zions Bancorp (4,275 sh @ \$29.20)
- Merger: American Airlines (49 sh @ \$25.77)
- ST Cap Gain: Fidelity Cons Disc (95.961 sh @ \$21.04)
- ST Cap Gain: Fidelity Global (7.061 sh @ \$13.71)
- ST Cap Gain: Vanguard Energy (2.010 Sh @ \$121.17)
- ST Cap Gain: Fidelity Materials (.9 sh @ \$82.55)
- ST Cap Gain: AC Heritage (83.499 sh @ \$24.65)
- LT Cap Gain: AC Heritage (2,918.205 sh @ \$24.65)
- LT Cap Gain: Vanguard Energy (63.710 sh @ \$121.17)
- LT Cap Gain: Fidelity Cons Disc (324.922 sh @ \$21.04)
- LT Cap Gain: Fidelity Materials (69.993 sh @ \$82.55)
- LT Cap Gain: CGM Realty (974.056 sh @ \$30.76)
- Dividend: AC Discovery (30.234 sh @ \$12.44)
- Dividend: Fidelity Materials (20.14 sh @ \$82.55)
- Dividend: Ishares Home Const (1.366 sh @ \$24.676)
- Dividend: Ishares Canada (26.704 sh @ \$28.937)
- Dividend: Market Vectors (67.529 sh @ \$54.301)
- Dividend: Healthcare Select (8.0710 sh @ \$55.537)
- Dividend: S&P 600 (4.072 sh @ \$179.024)
- Dividend: Wells Fargo (273.357 sh @ \$39.495)
- Dividend: Fidelity Global (102.121 sh @ \$13.71)
- Dividend: Global X (80.366 sh @ \$14.751)
- Dividend: Vanguard Energy (62.606 sh @ \$121.17)
- Dividend: Vanguard Inflation (102.532 sh @ \$25.49)
- Dividend: Vanguard All World (28.649 sh @ \$50.34)
- Dividend: Ishares MSCI EAFE (11.808 sh @ \$71.016)
- Dividend: Powershares (157.783 sh @ \$13.421)
- Conversion: AMR Corp to Preferred Stock (YTM 23.095%)

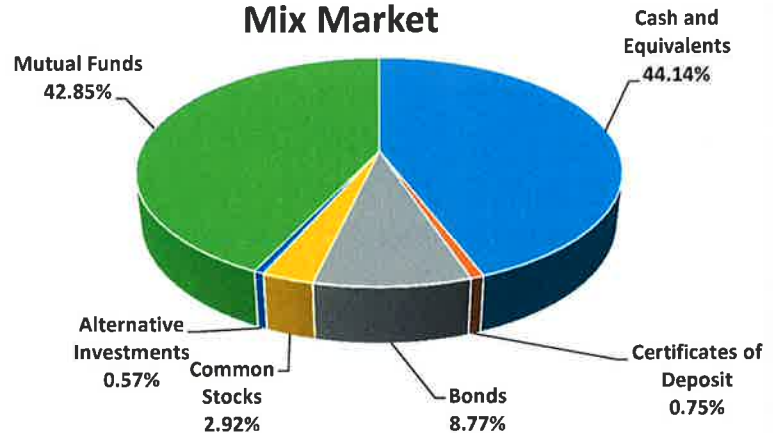
# Southern Utah University

## Endowment Pool Portfolio

For Quarter Ending December 31, 2013

Portfolio Asset Mix Market	%
<b>Fixed Income:</b>	<b>53.66%</b>
Cash and Equivalents	44.14%
Certificates of Deposit	0.75%
Bonds	8.77%
<b>Equity:</b>	<b>46.34%</b>
Common Stocks	2.92%
Alternative Investments	0.57%
Mutual Funds	42.85%

## Endowment Portfolio Asset Mix Market



Realized Income*	Amount	Avg Invested	Annualized
Dividends	\$ 63,490	\$ 8,304,444	3.06%
Interest	13,283	11,183,357	0.48%
<b>Total Realized Income</b>	<b>\$ 76,773</b>	<b>\$ 19,487,801</b>	<b>1.58%</b>

\*Does not include increases or decreases in market value

Equity Asset Valuation Measures	Average for this portfolio	Relative to S&P 500 (1.00=S&P)
Price/Earnings Ratio	16.51	1.00
Price/Book Ratio	2.09	0.88
Return on Assets*	6.90	0.85
Return on Equity*	16.94	0.84
5-Year Earnings Growth (%)	11.21	1.14

\*Annualized (Based on past four quarters).

Equity Assets Style	%
Large Value	20.14
Large Core	20.19
Large Growth	21.73
Mid-Cap Value	8.87
Mid-Cap Core	8.17
Mid-Cap Growth	9.16
Small Value	2.09
Small Core	4.56
Small Growth	3.50
Not Classified	1.60

## Equity Asset Style Box

20.14	20.19	21.73	Large	Market Capitalization
8.87	8.17	9.16	Mid-Cap	
2.09	4.56	3.50	Small	
Value	Core	Growth		
Valuation				

MB

**Southern Utah University**  
**Endowment Pool Portfolio**  
For Quarter Ending December 31, 2013

	No. Units	Unit	Book Values Total	Unit	Market Values Total	Pool Share
<b>Money Market:</b>						
Wells Fargo	N/A	N/A	\$ 725,194	N/A	\$ 725,194	
Vanguard	N/A	N/A	6,139	N/A	6,139	
			<u>\$ 731,333</u>		<u>\$ 731,333</u>	3.30%
<b>Common Stocks:</b>						
Agilent	235,000	\$ 45.29	\$ 10,643	\$ 57.19	\$ 13,440	
American Airlines Group	49,000	10.20	500	25.92	1,270	
Chevron Corp	2,340,000	99.57	233,004	124.91	292,289	
Omnicom Group	1,448,000	53.94	78,105	74.37	107,688	
Questar	250,000	20.13	5,033	22.99	5,748	
Target Corp.	208,000	49.00	10,192	63.27	13,160	
US Bancorp	1,000,000	25.68	25,680	40.40	40,400	
Walgreen Co	800,000	43.50	34,800	57.44	45,952	
Zions Bancorp	4,275,000	29.20	124,830	29.96	128,079	
	<u>10,605,000</u>		<u>\$ 522,787</u>		<u>\$ 648,026</u>	2.92%
<b>Alternative Investments:</b>						
State Bank of Southern Utah	625.00	\$ 160.00	\$ 100,000	\$ 202.00	\$ 126,250.00	
	<u>625.00</u>		<u>\$ 100,000</u>		<u>\$ 126,250.00</u>	0.57%
<b>Mutual Fund Shares:</b>						
Aberdeen Emerging Markets Inst Fund	4,638.678	\$ 11.60	\$ 53,808	\$ 14.47	\$ 67,122	
Aberdeen International Equity	14,417.532	16.43	236,880	15.47	223,039	
American Century Heritage	23,543.054	20.64	485,986	25.48	599,877	
American Century Intern Disc	5,971.894	12.86	76,804	13.01	77,694	
CGM Realty	25,136.920	28.08	705,755	30.76	773,212	
Fidelity Advisor Consumer Disc	17,385.202	18.84	327,596	21.47	373,260	
Fidelity Advisor Consumer Stpls	3,716.662	63.92	237,550	90.02	334,574	
Fidelity Advisor Materials	3,785.632	69.34	262,493	84.75	320,832	
Fidelity Global Commodity	7,556.439	13.62	102,907	14.13	106,772	
Fidelity Latin America	3,346.854	60.31	201,857	31.25	104,589	
Fidelity Leveraged	9,065.654	34.43	312,158	43.24	391,999	
Fidelity Select Financial Services	1,014.266	115.77	117,417	81.78	82,947	
Global X Superincome Preferred	13,865.823	14.66	203,241	14.59	202,302	
Healthcare Select Sector	2,019.145	25.77	52,039	29.16	58,878	
Ishares: MSCI CDA Index	1,846.209	55.16	101,827	71.48	131,967	
Ishares: MSCI EAFE Growth	4,550.942	22.01	100,155	24.82	112,954	
Ishares: US Home Construction	11,307.386	53.06	599,964	36.86	416,790	
Janus Overseas	4,010.496	51.06	204,757	54.49	218,532	
Market Vectors Agribus	28,832.226	14.13	407,290	13.44	387,505	
PowerShares Global PRF Portfolio	2,000.211	50.60	101,217	55.44	110,892	
SPDR S&P 600 Small Cap Growth	2,185.535	139.20	304,229	178.96	391,123	
SPDR S&P International	2,314.721	45.22	104,676	47.45	109,834	
Vanguard Energy - Admiral	3,559.312	142.18	506,067	126.36	449,755	
Vanguard FTSE xUS	3,755.178	41.68	156,503	50.73	190,500	
Vanguard Index 500 Adm	10,143.274	107.88	1,094,211	170.36	1,728,008	
Vanguard Index Total Stock Adm	18,512.635	28.97	536,273	46.69	864,355	
Vanguard Inflation-Protect Sec	12,091.212	25.05	302,898	25.47	307,963	
Wells Fargo PFD STK	9,497.658	42.95	407,886	39.42	374,398	
	<u>250,070.750</u>		<u>\$ 8,304,444</u>		<u>\$ 9,511,673</u>	42.85%
<b>Cash Management Pool:</b>						
Cash Equivalents			\$ 9,066,000		\$ 9,066,000	40.85%
Certificates Of Deposit			166,755		166,755	0.75%
Agency / Municipal Bonds			1,950,601		1,945,765	8.77%
			<u>\$ 11,183,357</u>		<u>\$ 11,178,521</u>	50.36%
<b>Pool Total</b>						
			<u>\$ 20,841,921</u>		<u>\$ 22,195,803</u>	<u>100%</u>
Value Per Share - 12/31/13					\$ 99.65	
Value Per Share - 09/30/13					\$ 99.19	
Value Per Share - 06/30/13					\$ 93.87	
Value Per Share - 03/31/13					\$ 93.70	

Southern Utah University  
Endowment Pool Market Changes  
For Quarter Ending December 31, 2013

FUNDS SEPARATELY INVESTED  
CASH AND CASH EQUIVALENTS:

	No. Units	Cost	Market Value 12/31/2013	Market Value 9/30/2013	Market Change	Unit Market Change	% Market Change
<b>MONEY MARKET</b>							
Wells Fargo	N/A	\$ 725,194	\$ 725,194	\$ 1,012,169	Note 1	N/A	N/A
Vanguard	N/A	6,139	6,139	7,825	Note 1	N/A	N/A
<b>TOTAL CASH AND CASH EQUIVALENTS</b>		<b>\$ 731,333</b>	<b>\$ 731,333</b>	<b>\$ 1,019,994</b>			

EQUITY INVESTMENTS:

COMMON STOCKS

Agilent	235,000	\$ 10,643	\$ 13,440	\$ 12,044	\$ 1,396	5.9404	11.5908%
American Airlines	49,000	500	1,270				MERGER
Chevron Corp	2,340,000	233,004	292,289	284,310	7,979	3.4098	2.8064%
Omnicom Group	1,448,000	78,105	107,688	91,861	15,827	10.9302	17.2293%
Qwestar	250,000	5,033	5,748	5,623	125	0.5000	2.2230%
San Diego Gas & Electric Co		9,256		11,320			SOLD
Target	208,000	10,192	13,160	13,308	(148)	(0.7115)	-1.1121%
US Bancorp	1,000,000	25,680	40,400	36,580	3,820	3.8200	10.4429%
Walgreen Co	800,000	34,800	45,952	43,040	2,912	3.6400	6.7658%
Zions Bancorp	4,275,000	124,830	128,079				
	10,605,000	\$ 532,043	\$ 648,026	\$ 498,086	\$ 31,911		6.5557%

ALTERNATIVE INVESTMENTS

State Bank of Southern Utah	625,000	\$ 100,000	\$ 126,250	\$ 126,250	\$ -		0.0000%
	625,000	\$ 100,000	\$ 126,250	\$ 126,250	\$ -		0.0000%

MUTUAL FUND SHARES

Aberdeen Emerging Markets Inst Fund	4,638,678	\$ 53,808	\$ 67,122	\$ 68,235	\$ (1,113)	(0.2399)	-1.6311%
Aberdeen International Equity	14,417,532	236,880	223,039	219,867	3,172	0.2200	1.4427%
American Century Heritage	23,543,054	485,986	599,877	646,963	(47,086)	(2.0000)	-7.2780%
American Century Intern Disc	5,971,894	76,804	77,694	71,722	5,972	1.0000	8.3266%
CGM Realty	25,136,920	705,755	773,212	759,638	13,574	0.5400	1.7869%
Fidelity Advisor Consumer Disc	17,385,202	327,596	373,260	350,833	22,427	1.2900	6.3925%
Fidelity Advisor Consumer Stpls	3,716,662	237,550	334,574	329,817	4,757	1.2799	1.4423%
Fidelity Advisor Materials	3,785,632	262,493	320,832	303,078	17,754	4.6898	5.8579%
Fidelity Global Commodity	7,556,439	102,907	106,772	104,430	2,342	0.3099	2.2427%
Fidelity Latin America	3,346,854	201,857	104,589	132,167	(27,578)	(8.2400)	-20.8660%
Fidelity Leveraged	9,065,654	312,158	391,999	361,992	30,007	3.3100	8.2894%
Fidelity Select Financial Services	1,014,266	117,417	82,947	75,137	7,810	7.7001	10.3943%
Global X Superincome	13,865,823	203,241	202,302	204,105	(1,803)	(0.1300)	-0.8834%
Ishares: MSCI CDA Index	2,019,145	52,039	58,878	57,162	1,716	0.8499	3.0020%
Ishares: MSCI EAFE Growth	1,846,209	101,827	131,967	125,782	6,185	3.3501	4.9172%
Ishares: US Home Construction	4,550,942	100,155	112,954	101,668	11,286	2.4799	11.1008%
Janus Overseas	11,307,386	599,964	416,790	402,656	14,134	1.2500	3.5102%
Market Vectors Agribus	4,010,496	204,757	218,532	205,859	12,673	3.1600	6.1562%
PowerShares Global PRF Portfolio	28,832,226	407,290	387,505	394,713	(7,208)	(0.2500)	-1.8261%
Sector Healthcare Select	2,000,211	101,217	110,892	101,191	9,701	4.8500	9.5868%
SPDR S&P 600 Small Cap Growth	2,185,535	304,229	391,123	355,805	35,318	16.1599	9.9262%
SPDR S&P International	2,314,721	104,676	109,834	107,982	1,852	0.8001	1.7151%
Vanguard Energy - Admiral	3,559,312	506,067	449,755	441,141	8,614	2.4201	1.9527%
Vanguard FTSE xUS	3,755,178	156,503	190,500	182,502	7,998	2.1299	4.3824%
Vanguard Index 500 Adm	10,143,274	1,094,211	1,728,008	1,572,410	155,598	15.3400	9.8955%
Vanguard Index Total Stock Adm	18,512,635	536,273	864,355	789,194	75,161	4.0600	9.5238%
Vanguard Inflation-Protect Sec	12,091,212	302,898	307,963	317,636	(9,673)	(0.8000)	-3.0453%
Wells Fargo PFD STK	9,497,658	407,886	374,398	388,074	(13,676)	(1.4399)	-3.5241%
	250,070,750	\$ 8,304,444	\$ 9,511,673	\$ 9,171,759	\$ 339,914		3.7061%

**TOTAL EQUITY INVESTMENTS** **\$ 8,936,487** **\$ 10,285,949** **\$ 9,796,095** **\$ 371,825** **3.8000%**

**TOTAL SEPARATELY INVESTED** **\$ 9,667,820** **\$ 11,017,282** **\$ 10,816,089** **\$ 371,825** **3.4413%**

MARKET BENCHMARKS:

Dow Jones	DJIA	16,576.66	15,129.67	1,446.99	9.56%
S&P 500	SPX	1,848.36	1,681.55	166.81	9.92%
Nasdaq	NASDAQ	4,176.59	3,771.48	405.11	10.74%

Note 1 - Change in value for Money Market funds is due to account activity only, market value change is not applicable.

Southern Utah University  
Endowment Transactions  
For Quarter Ending December 31, 2013

Funds Separately Invested:

Market Value	Money Market	Stocks	Alternative Investments	Mutual Funds	Total
Balance September 30, 2013	\$ 1,019,994	\$ 498,086	\$ 126,250	\$ 9,171,759	\$ 10,816,089
Change in Market Value		33,866		(357,871)	(324,005)
<u>Acquisitions:</u>					
Purchase: Global X Superincome (3,390 @ \$14.7525)				50,017	50,017
Purchase: Ishares US Construction (1,110 @ \$22.576)				25,066	25,066
Purchase: Powershares (3,650 @ \$13.7361)				50,144	50,144
Purchase: Healthcare Select (500 @ \$50.5688)				25,291	25,291
Purchase: SPDR S&P 600 (155 @ \$162.6499)				25,218	25,218
Purchase: WF Preferred (1,220 @ \$41.0544)				50,093	50,093
Purchase: Fidelity Consumer Disc (1,241.927 @ \$20.13)				25,035	25,035
Purchase: Fidelity Consumer Disc (1,245.64 @ \$20.07)				25,035	25,035
Purchase: Global X Superincome (3,420 @ \$14.6198)				50,020	50,020
Purchase: Ishares US Construction (1,125 @ \$22.246)				25,047	25,047
Purchase: Powershares (3,670 @ \$13.649)				50,112	50,112
Purchase: Healthcare Select (500 @ \$50.6999)				25,370	25,370
Purchase: SPDR S&P 600 (160 @ \$162.158)				25,965	25,965
Purchase: WF Preferred (1,230 @ \$40.7461)				50,138	50,138
Purchase: Fidelity Consumer Disc				25,035	25,035
Dividend: SPDR S&P Intl (33.527 @ \$47.12)				1,580	1,580
Dividend: Global X (57.356 @ \$14.622)				839	839
Dividend: Powershares (152.442 @ \$13.77)				2,099	2,099
Dividend: Global X (80.101 sh @ \$14.714)				1,179	1,179
Dividend: Powershares Preferred (153.426 sh @ \$13.759)				2,111	2,111
Gift: Zions Bancorp (4,275 sh @ \$29.20)		124,830			124,830
Merger: American Airlines (49 sh @ \$25.77)		500			500
ST Cap Gain: Fidelity Cons Disc (95,961 sh @ \$21.04)				2,019	2,019
ST Cap Gain: Fidelity Global (7,061 sh @ \$13.71)				97	97
ST Cap Gain: Vanguard Energy (2,010 Sh @ \$121.17)				244	244
ST Cap Gain: Fidelity Materials (.9 sh @ \$82.55)				74	74
ST Cap Gain: AC Heritage (83,499 sh @ \$24.65)				2,058	2,058
LT Cap Gain: AC Heritage (2,918.205 sh @ \$24.65)				71,934	71,934
LT Cap Gain: Vanguard Energy (63,710 sh @ \$121.17)				7,720	7,720
LT Cap Gain: Fidelity Cons Disc (324,922 sh @ \$21.04)				6,836	6,836
LT Cap Gain: Fidelity Materials (69,993 sh @ \$82.55)				5,778	5,778
LT Cap Gain: CGM Realty (974,056 sh @ \$30.76)				29,961	29,961
Dividend: AC Discovery (30,234 sh @ \$12.44)				376	376
Dividend: Fidelity Materials (20,14 sh @ \$82.55)				1,663	1,663
Dividend: Ishares Home Const (1,366 sh @ \$24.676)				34	34
Dividend: Ishares Canada (26,704 sh @ \$28.937)				773	773
Dividend: Market Vectors (67,529 sh @ \$54.301)				3,667	3,667
Dividend: Healthcare Select (8,0710 sh @ \$55.537)				448	448
Dividend: S&P 600 (4,072 sh @ \$179.024)				729	729
Dividend: Wells Fargo (273,357 sh @ \$39.495)				10,795	10,795
Dividend: Fidelity Global (102,121 sh @ \$13.71)				1,400	1,400
Dividend: Global X (80,366 sh @ \$14.751)				1,186	1,186
Dividend: Vanguard Energy (62,606 sh @ \$121.17)				7,586	7,586
Dividend: Vanguard Inflation (102,532 sh @ \$25.49)				2,614	2,614
Dividend: Vanguard All World (28,649 sh @ \$50.34)				1,442	1,442
Dividend: Ishares MSCI EAFE (11,808 sh @ \$71.016)				839	839
Dividend: Powershares (157,783 sh @ \$13.421)				2,118	2,118
<u>Dispositions:</u>					
Vanguard Money Market	286,975				
Wells Fargo Money Market	1,686				
Maturity: San Diego Gas & Electric		9,256			9,256
Total Quarterly Changes	\$ (288,661)	\$ 149,940	\$ -	\$ 339,914	\$ 489,854
Balance December 31, 2013	\$ 731,333	\$ 648,026	\$ 126,250	\$ 9,511,673	\$ 11,305,943

# Southern Utah University

## Executive Summary

### For Quarter Ending December 31, 2013

During the quarter:

- The Dow Jones Industrial Average increased 1446.99 points (9.56%)
- The Nasdaq Composite increased 166.81 points (9.92%)
- The S&P 500 increased 405.11 points (10.74%)

The SUU Endowment Pool equity investments increased by 3.8%

#### 3 Month Holdings (FMV):

#### Percent Change

Agilent	11.59
Chevron Corp	2.81
Omnicom Group	17.23
Questar	2.22
Target	(1.11)
US Bancorp	10.44
Walgreen Co	6.77
Aberdeen Emerging Markets Inst Fund	(1.63)
Aberdeen International Equity	1.44
American Century Heritage	(7.28)
American Century Intern Disc	8.33
CGM Realty	1.79
Fidelity Advisor Consumer Disc	6.39
Fidelity Advisor Consumer Stpls	1.44
Fidelity Advisor Materials	5.86
Fidelity Global Commodity	2.24
Fidelity Latin America	(20.87)
Fidelity Leveraged	8.29
Fidelity Select Financial Services	10.39
Global X Superincome	(0.88)
Ishares: MSCI CDA Index	3.00
Ishares: MSCI EAFE Growth	4.92
Ishares: US Home Construction	11.10
Janus Overseas	3.51
Market Vectors Agribus	6.16
PowerShares Global PRF Portfolio	(1.83)
Sector Healthcare Select	9.59
SPDR S&P 600 Small Cap Growth	9.93
SPDR S&P International	1.72
Vanguard Energy - Admiral	1.95
Vanguard FTSE xUS	4.38
Vanguard Index 500 Adm	9.90
Vanguard Index Total Stock Adm	9.52
Vanguard Inflation-Protect Sec	(3.05)
Wells Fargo PFD STK	(3.52)

The following transactions occurred during the period:

- Purchase: Global X Superincome (3,390 @ \$14.7525)
- Purchase: Ishares US Construction (1,110 @ \$22.576)
- Purchase: Powershares (3,650 @ \$13.7361)
- Purchase: Healthcare Select (500 @ \$50.5688)
- Purchase: SPDR S&P 600 (155 @ \$162.6499)
- Purchase: WF Preferred (1,220 @ \$41.0544)
- Purchase: Fidelity Consumer Disc (1,241.927 @ \$20.13)
- Purchase: Fidelity Consumer Disc (1,245.64 @ \$20.07)
- Purchase: Global X Superincome (3,420 @ \$14.6198)
- Purchase: Ishares US Construction (1,125 @ \$22.246)
- Purchase: Powershares (3,670 @ \$13.649)
- Purchase: Healthcare Select (500 @ \$50.6999)
- Purchase: SPDR S&P 600 (160 @ \$162.158)
- Purchase: WF Preferred (1,230 @ \$40.7461)
- Purchase: Fidelity Consumer Disc
- Dividend: SPDR S&P Intl (33.527 @ \$47.12)
- Dividend: Global X (57.356 @ \$14.622)
- Dividend: Powershares (152.442 @ \$13.77)
- Dividend: Global X (80.101 sh @ \$14.714)
- Dividend: Powershares Preferred (153.426 sh @ \$13.759)
- Gift: Zions Bancorp (4,275 sh @ \$29.20)
- Merger: American Airlines (49 sh @ \$25.77)
- ST Cap Gain: Fidelity Cons Disc (95.961 sh @ \$21.04)
- ST Cap Gain: Fidelity Global (7.061 sh @ \$13.71)
- ST Cap Gain: Vanguard Energy (2.010 Sh @ \$121.17)
- ST Cap Gain: Fidelity Materials (.9 sh @ \$82.55)
- ST Cap Gain: AC Heritage (83.499 sh @ \$24.65)
- LT Cap Gain: AC Heritage (2,918.205 sh @ \$24.65)
- LT Cap Gain: Vanguard Energy (63.710 sh @ \$121.17)
- LT Cap Gain: Fidelity Cons Disc (324.922 sh @ \$21.04)
- LT Cap Gain: Fidelity Materials (69.993 sh @ \$82.55)
- LT Cap Gain: CGM Realty (974.056 sh @ \$30.76)
- Dividend: AC Discovery (30.234 sh @ \$12.44)
- Dividend: Fidelity Materials (20.14 sh @ \$82.55)
- Dividend: Ishares Home Const (1.366 sh @ \$24.676)
- Dividend: Ishares Canada (26.704 sh @ \$28.937)
- Dividend: Market Vectors (67.529 sh @ \$54.301)
- Dividend: Healthcare Select (8.0710 sh @ \$55.537)
- Dividend: S&P 600 (4.072 sh @ \$179.024)
- Dividend: Wells Fargo (273.357 sh @ \$39.495)
- Dividend: Fidelity Global (102.121 sh @ \$13.71)
- Dividend: Global X (80.366 sh @ \$14.751)
- Dividend: Vanguard Energy (62.606 sh @ \$121.17)
- Dividend: Vanguard Inflation (102.532 sh @ \$25.49)
- Dividend: Vanguard All World (28.649 sh @ \$50.34)
- Dividend: Ishares MSCI EAFE (11.808 sh @ \$71.016)
- Dividend: Powershares (157.783 sh @ \$13.421)
- Maturity: San Diego Gas & Electric

## Head Start and Related Budget Reports for the Month Ending December 31, 2013

**Head Start 2013-2014**

	Budget	Actual	Commitments	Balance	% Spent
<b>Revenues</b>					
Federal Grants	\$ 3,042,647	\$ 2,670,837	\$ -	\$ 371,810	87.78%
<b>Expenditures</b>					
Salaries	1,203,198	1,112,311	95,590	(4,704)	92.45%
Hourly Wage	111,000	64,601	13,376	33,024	58.20%
Benefits	982,219	896,559	79,491	6,168	91.28%
Operating Expense	502,670	387,657	26,348	88,665	77.12%
Travel	4,800	1,684	30	3,086	35.09%
Indirect Cost	238,760	214,794	23,966	-	89.96%
<b>Budget Totals</b>	<b>\$ 3,042,647</b>	<b>\$ 2,677,606</b>	<b>\$ 238,802</b>	<b>\$ 126,239</b>	<b>88.00%</b>

**Head Start Training 2013-2014**

	Budget	Actual	Commitments	Balance	% Spent
<b>Revenues</b>					
Federal Grants	\$ 38,664	\$ 36,028	\$ -	\$ 2,636	93.18%
<b>Expenditures</b>					
Operating Expense	23,198	22,180	-	1,018	95.61%
Travel	15,466	13,848	1,127	491	89.54%
<b>Budget Totals</b>	<b>\$ 38,664</b>	<b>\$ 36,028</b>	<b>\$ 1,127</b>	<b>\$ 1,509</b>	<b>93.18%</b>

<b>Non Federal Share (In-Kind)</b>			<b>Administrative Costs</b>	
Total Goal	Actual	Difference	Limit	Actual
\$ 770,328	\$ 551,698	\$ 218,630	\$ 600,525	\$ 411,859
<b>Campus Purchasing Card Review</b>				
Statements Reviewed:	11/11/2013		Number of Cardholders	71
Date Reviewed:	12/11/2013		Number of Statements	52
<b>Findings/Considerations</b>				
L. Goldthorpe: purchased \$15 Walmart gift cards				
M. Jackson missing \$6 Dollar Tree receipt, had note				
J. Kempter needs supervisor signature on meal form, travel reimb. For those whose meals pd				
J. Kempter missing meal form for \$97.78 Little Caesars Pizza.				
T. Benson had non-itemized receipt \$5.00 Hinckley Post Office.				
A. Lundberg missing \$35 itemized receipt for Sticky Sticks.				
D. Porter needs itemized invoice for \$129 Paypal Western Legacy.				
W. Roberts needs itemized receipt for \$23 Pioneer Floor.				
J. Kempter had \$250 Paypay fraud.- Resolved				
S. Storie needs itemized receipt for \$240 Pioneer Floor.				
C. Cardon needs itemized receipt for \$70.30 Office Depot.				

~Head Start grant year runs February through January

**USDA Food Program 2013-2014**

	Budget	Actual	Commitments	Balance	% Spent
<b>Revenues</b>					
Federal Grants	\$ 199,009	\$ 21,465	\$ 18,235	\$ 159,309	10.79%
<b>Expenditures</b>					
Salaries	8,250	2,063	6,187.50	-	25.00%
Hourly Wage	52,685	12,614	35,483.00	4,588	23.94%
Benefits	11,228	2,841	9,305.50	(919)	25.31%
Operating Expense	116,002	24,992	5,234.58	85,776	21.54%
Indirect Cost	10,824	2,533	-	8,291	23.40%
<b>Budget Totals</b>	<b>\$ 199,009</b>	<b>\$ 45,043</b>	<b>\$ 56,211</b>	<b>\$ 97,756</b>	<b>22.63%</b>

<b>Number of Meals Served</b>				
Breakfast	2,270	12	Number of School Days	
Lunch	3,316	276	Average Daily Attendance	
Snack	1,020	351	Number of Students Counted	
Total	6,606	\$14,889.45	Expected Reimbursement	

~ USDA Grant year runs from October through September

USDA FY13 Grant has an ending balance of \$3,167.59

**Southern Utah University Head Start  
Summary Report to Board of Trustees and Policy Council  
For **December 2013****

**ERSEA (Eligibility, Recruitment, Selection, Enrollment, Attendance):**

Funded for **404** children                      Current Enrollment: **400** children  
 Children withdrawn: **5**  
 Children on wait list: **93**  
 Average Daily Attendance for month: **81.3%**

**Fiscal Management:**

Total Budget **\$3,042,647**  
 Year to Date: **\$2,677,606**  
 Commitments: **\$238,802**  
 Funds Remaining: **\$126,239**  
 Total Training Budget **\$38,644**  
 Funds Remaining: **\$1,509**  
 Time left in program year: **1 Month**  
 Total In-Kind Contribution needed: **\$ 770,328**  
 Federal Share In-Kind contributions to date: **\$ 162,138**

**Child Development and Health Services**

**ECE Status:**

	<b>Physical Health</b>	<b><i>Social Emotional</i></b>	<b><i>Approaches to Learning</i></b>	<b><i>Logic and Reasoning</i></b>	<b><i>Emergent Language</i></b>
<b>Dec 2013</b>	65%	47%	45%	36%	42%
<b>Beginning Baseline</b>	49%	33%	31%	22%	30%
<b>% of Growth</b>	16%	14%	14%	14%	12%

	<b><i>Literacy Knowledge</i></b>	<b><i>Emergent Math</i></b>	<b><i>Science Knowledge</i></b>	<b><i>Creative Arts</i></b>	<b><i>Social Studies</i></b>
<b>Dec 2013</b>	36%	25%	32%	43%	30%
<b>Beginning Baseline</b>	20%	16%	20%	28%	19%
<b>% of Growth</b>	16%	9%	12%	15%	11%

**Health and Disabilities Status:**

Physicals: **95%**  
 Dental screenings: **80.8%**  
 Hearing screenings: **Completed**  
 Vision screenings: **Completed**  
 Height and Weights: **Completed**

Immunization status: 100%

**Family and Community Partnerships Status:**

**Family Partnership Building**

Family partnership agreements: 223

FPA follow ups: 78

Family partnership referrals: 24

Fatherhood activities: 11

**Parent Involvement:**

Number of parent activities: 22

**Program Governance:**

Grant

Due: **November 1, 2013**

Policy Council Approved: October 12, 2013

Board of Trustees Approved: October 11, 2013

Submitted to Regional Office: **October 16, 2013**

Self-assessment

Due: **March 2014**

Policy Council:

Board of Trustees:

Work Plans:

Policy Council Approved: October 12, 2013

Board of Trustees Approved: October 11, 2013

Training for Policy Council: Completed **September 2013**

Training for Board of Trustees: **Needs to be arranged**

**Record-Keeping & Reporting**

Program Information Report Due: **August 2014**

Submitted:

**Human Resources:**

Vacancies: None

Trainings Held: Behavior Management (Bullying)



## SUMMARY OF RECOMMENDED SABBATICAL LEAVES FOR 2014-15

**Dr. Derek Hein** – Department of Mathematics, College of Science & Engineering

Dr. Hein will spend his yearlong sabbatical leave (Academic Year 2014-2015) as a visiting professor at the College of Charleston in Fall 2014 and as the American Studies Center Deputy Director at Hunan Normal University for the remainder of his leave. Dr. Hein has served SUU for 9 years.

**Dr. Kirk Fitzpatrick**- Department of Philosophy, College of Humanities & Social Sciences

Dr. Fitzpatrick will spend his yearlong sabbatical leave (Fall 2014-Spring 2015) doing research including writing a prospectus and continuing work on his book about the training of rulers in Plato's Republic, and completing his paper on the application of stichometry in Plato's works. Dr. Fitzpatrick has served SUU for 9 years

**Dr. Jessica Tvordi**- Department of English, College of Humanities & Social Sciences

Dr. Tvordi will spend her one-semester sabbatical leave (Spring 2015) doing research, including the completion of her scholarly book, *"Deviant Bodies and the (Re)Ordering of Desire: Heterosexuality and Nation Building in Early Modern England."* Dr. Tvordi has served SUU for 10 years.

**Dr. Roy Johnson**- Department of Management, School of Business

Dr. Johnson will spend his one-semester sabbatical leave (Fall 2014) doing research, including developing an outline for the textbook he is writing that could be used in MGMT 4200- Business, Government and Ethics and completing two chapters that can be sent to publishers for evaluation. Dr. Johnson has served SUU for 14 years.

**Professor Brian Hoover**- Department of Art, College of Performing and Visual Arts

Professor Hoover will spend his one-semester sabbatical leave (Fall 2014) in uninterrupted painting to prepare for his major solo exhibit at the Coos Art Museum in Oregon, in Spring 2015. Professor Hoover has served SUU for 18 years.

## PERSONNEL

Board of Trustees  
January 31, 2014

### RECOMMENDATION FOR APPOINTMENT

It is recommended that **Jim Mock** be appointed Lecturer of Psychology in the Department of Psychology, College of Humanities and Social Sciences, non-tenure track, effective January 1, 2014. He holds a MS from Loma Linda University, and a BS from Brigham Young University. This is a replacement appointment for Jennifer Hedrick.

It is recommended that **Daniel Swanson** be appointed Lecturer of Criminal Justice, in the Department of Political Science and Criminal Justice, College of Humanities and Social Science, non-tenure track, effective August 16, 2014. He has an MA and BA degree from University of Nevada, Las Vegas. This is a replacement appointment for Ron Flud.

It is recommended that **Dr. R. Matthew Ogburn** be appointed Assistant Professor of Biology, in the Department of Biology, College of Science and Engineering, in the tenure-track, but without tenure, effective August 16, 2014. He has a PhD from Brown University, an MS from University of Missouri, St. Louis, and a BA from Macalester College. This is a replacement appointment for Terri Hildebrand.

It is recommended that **Roger Fischer** be appointed Assistant Professor of Mathematics, in the Department of Mathematics, College of Science and Engineering, in the tenure-track, but without tenure, effective August 15, 2014. He has a MAT and BA from Central Washington University. This is a replacement appointment for Martha Ann Larkin.



DATE: January 23, 2014

SUBJECT: Early Retirements

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**Boyd Fife**, Assistant Professor of Construction Management, has submitted his application for early retirement effective July 1, 2014. Boyd began work at Southern Utah University as a Special Instructor for the Construction Technology department January 1, 1993. He became a Lecturer September 7, 1993, an Instructor August 16, 1999, and finally to Assistant Professor August 13, 2001. He was moved to tenure-track status August 16, 1999 and received tenure July 1, 2006. Boyd also served briefly as Interim Department Chair of the Integrated Engineering & Technology Department from March 1 - June 30, 2007.

**Sandra Levy**, Administrative Assistant II within the Department of Political Science & Criminal Justice, has submitted her application for early retirement effective May 16, 2014. Sandi began work at Southern Utah University on November 13, 2000 as a Secretary for the Social Sciences department. In 2004, the Social Sciences department was divided into History & Sociology and Political Science & Criminal Justice and Sandi became the first Administrative Assistant for the Political Science & Criminal Justice department. Her hard work and dedication to her department with many students, acting in various roles and serving with various committees, is admirable and will be greatly missed.

**Desmond Penny**, Professor of Engineering, has submitted his application for early retirement effective July 1, 2014. Des began work at Southern Utah University as an Assistant Professor of Physics and Computer Science in the Physical Science department September 7, 1983. He received rank advancement to an Associate Professor of Physics in September 1989 and a Full Professor of Physics in September 1997 (with Engineering added in 2002). He was awarded tenure in September 1988. During his 31 years at SUU, Des also served as Department Chair of the Physical Science department from 2001 - 2003 and as the first Department Chair (Interim) of the newly created Integrated Engineering & Technology Department during the 2004-2005 fiscal year. He also served on several University LRT committees and the Faculty Senate. His organized teaching style, blended with clarity and enthusiasm, will be sorely missed.

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