

**AGENDA**  
**REGULAR MEETING OF THE**  
**UTAH STATE UNIVERSITY BOARD OF TRUSTEES**

**March 13, 2020**  
**via Teleconference**

- 1:00 p.m. Regular Meeting
- Introductory Items
- 1:05 p.m. Closed Session
- 2:15 p.m. Regular Meeting continued
- Chair's Report
  - President's Report
  - Consent Agenda
  - Action Agenda
  - Information Agenda

## CHAIR'S REPORT

### 1. Discussion Items

- a. Commencement Schedule and Attendance Forms
- b. Board of Trustees Meeting Schedule

### 2. Information Items

- a. New parking permits
- b. The next Board of Trustees meeting will be held by teleconference on April 3, 2020 (1 hour)

**UTAH STATE UNIVERSITY COMMENCEMENT**  
**April 16 – May 1, 2020**

**Comprehensive Schedule of Events**

Thursday, April 16, 2020

6:00 p.m. USU Southwest Statewide Campus Graduation, Juab Junior High School, Nephi

Friday, April 17, 2020

6:00 p.m. USU Brigham City Statewide Campus Graduation, Box Elder High School,  
Brigham City

Saturday, April 18, 2020

3:00 p.m. USU Tooele Statewide Campus Graduation, Stansbury High School, Stansbury  
Park

Thursday, April 23, 2020

6:00 p.m. USU Moab Statewide Campus Graduation, Hoodoo Moab, Moab

Friday, April 24, 2020

1:00 p.m. USU Blanding Statewide Campus Graduation, San Juan High School, Blanding

Saturday, April 25, 2020

10:00 a.m. USU Eastern Commencement, Bunnell-Dmitrich Athletic Center, Price

4:00 p.m. USU Uintah Basin Statewide Campus Graduation, Uintah Conference Center,  
Vernal

Wednesday, April 29, 2020

6:00 p.m. Dignitary Dinner at David B. Haight Center

Thursday, April 30, 2020

7:30 a.m. Continental Breakfast in Taggart Student Center Walnut Room

8:00 a.m. Assemble in Taggart Student Center Hallway

8:30 a.m. Processional to Smith Spectrum

9:00 a.m. Commencement Ceremony in Smith Spectrum

12:00 noon Jon M. Huntsman School of Business Convocation

12:00 noon S.J. and Jessie E. Quinney College of Natural Resources Convocation

12:30 p.m. Integrated Studies Bachelor's Degrees and Associate Degrees Convocation

2:00 p.m. Caine College of the Arts Convocation

2:30 p.m. College of Humanities and Social Sciences Convocation

4:00 p.m. College of Science Convocation

6:00 p.m. College of Agriculture and Applied Sciences Convocation

Friday, May 1, 2020

9:00 a.m. College of Engineering Convocation

11:30 a.m. Emma Eccles Jones College of Education and Human Services  
Undergraduate Convocation

2:00 p.m. Emma Eccles Jones College of Education and Human Services  
Graduate Hooding Ceremony

**Utah State University Board of Trustees  
Meeting Schedule  
2020-2021**

<b>Date of Trustees Meeting</b>	<b>Meeting Type</b>	<b>Meeting Notes</b>
Friday, January 10, 2020	Regular Meeting	Morning meeting
Friday, March 13, 2020	Regular Meeting	Afternoon meeting in conjunction with Founders Day
Friday, April 3, 2020	Telephone Conference Meeting	Brief telephone conference call to approve promotion and tenure decisions only
Wednesday, April 29, 2020	Regular Meeting	Afternoon meeting in conjunction with Commencement (April 30-May 1, 2020)
Friday, June 19, 2020	Telephone/Regular Meeting	Telephone conference call or regular meeting - tbd
Friday, August 14, 2020	Regular Meeting and Workshop	Morning meeting and afternoon workshop (all day)
Friday, October 16, 2020	Regular Meeting	Morning meeting
Friday December 4, 2020	Telephone/Regular Meeting	Telephone conference call or regular meeting - tbd
Friday, January 8, 2021	Regular Meeting	Morning meeting
Friday, March 5, 2021	Regular Meeting	Afternoon meeting in conjunction with Founders Day
Friday, April 9, 2021	Telephone Conference Meeting	Brief telephone conference call to approve promotion and tenure decisions only
Wednesday, May 5, 2021	Regular Meeting	Afternoon meeting in conjunction with Commencement (May 6-7, 2021)

**Revisions:**

**August 21 to August 14**

**October 23 to October 16**

updated 2/19/2020



## PRESIDENT'S REPORT

### 1. Information

- a. Student Commendation – Jenny Patino

### 2. Report from Vice Presidents

- a. Legislative Session Summary – Vice President Neil Abercrombie

### 3. Recent Events

- a. Men's Basketball – Nevada at USU – January 11, 2020
- b. Plant and Animal Genome Conference – San Diego, California, January 11-14, 2020
- c. Capital Council of Presidents Call – January 15, 2020
- d. Leonard J. Arrington Event – New York, New York, January 17, 2020
- e. Center for Anticipatory Intelligence Dinner with Former US Secretary of Defense, General James Mattis – Salt Lake City, January 20, 2020
- f. Regence Blue Cross Blue Shield Community Board Meeting – Salt Lake City, January 21, 2020
- g. Men's Basketball – Air Force at USU – January 21, 2020
- h. Sunrise Session – Salt Lake City, January 23, 2020
- i. Year of Woman Ambassadors – Salt Lake City, January 23, 2020
- j. Higher Education Strategic Planning Commission – Salt Lake City, January 23, 2020
- k. Board of Regents – University of Utah, January 24, 2020
- l. USHE Student Safety Forum – University of Utah, January 24, 2020
- m. Pre-game Basketball Reception – January 25, 2020
- n. Men's Basketball – Colorado State at USU – January 25, 2020
- o. Association of Governing Boards – San Diego, California, January 26-28, 2020
- p. Legislative Session – Salt Lake City – January 27 - March 12, 2020
- q. Men's Basketball – USU at Wyoming – January 28, 2020
- r. Mountain West Board of Directors Executive Committee Call – January 29, 2020
- s. 2020 Sundance Film Festival Women's Leadership Celebration Luncheon – Salt Lake City, January 30, 2020
- t. Mountain West Board of Directors Committee Call – January 31, 2020
- u. Men's Basketball – USU at San Diego State – February 1, 2020
- v. Capital Council of Presidents Call – February 3, 2020
- w. Governance Transition Workgroup Call – February 3, 2020
- x. Present at Infrastructure and General Government Appropriations Subcommittee – Salt Lake City, February 5, 2020
- y. Legislative Spouses Luncheon – Salt Lake City, February 5, 2020
- z. Men's Basketball – UNLV at USU – February 5, 2020
- aa. Remarks at College of Agriculture and Applied Sciences Deans Leadership Council – February 6, 2020
- bb. Welcome Remarks at Utah Conference on Undergraduate Research – February 7, 2020
- cc. Regents Affordability Task Force Call – February 7, 2020
- dd. Mountain West Board of Directors Executive Committee Call – February 7, 2020
- ee. Men's Basketball – Boise State at USU – February 8, 2020

- ff. Present at Higher Ed Appropriations Subcommittee – Salt Lake City, February 10, 2020
- gg. Salt Lake Chamber Board of Governors – Salt Lake City, February 11, 2020
- hh. Capital Council of Presidents Call – February 11, 2020
- ii. Present at USUSA Executive Council – February 11, 2020
- jj. Men’s Basketball – USU at Colorado State – February 11, 2020
- kk. USU/WSU Intern Seminar Lunch – Salt Lake City, February 12, 2020
- ll. Regents Transfer Council Meeting – Salt Lake City, February 14, 2020
- mm. Board of Regents Lunch Meeting – Salt Lake City, February 14, 2020
- nn. Men’s Basketball – USU at Fresno State – February 15, 2020
- oo. Remarks at Posters on the Hill – Salt Lake City, February 18, 2020
- pp. Association of Public & Land-Grant Universities Winter Board Meeting – Washington, D.C., February 18-19, 2020
- qq. Stater’s Council – February 25, 2020
- rr. Men’s Basketball – Wyoming at USU – February 19, 2020
- ss. Pi Kappa Alpha Founders Day Celebration – February 22, 2020
- tt. Capitol Council of Presidents Call – February 24, 2020
- uu. Men’s Basketball – San Jose State at USU – February 25, 2020
- vv. Aggie Ice Cream at the Capitol – Salt Lake City, February 26, 2020
- ww. Mountain West Board of Directors Executive Committee Call – February 28, 2020
- xx. Remarks at Utah Farm Bureau Women’s Conference – West Valley City, February 28, 2020
- yy. Men’s Basketball – USU at New Mexico – February 29, 2020
- zz. Mountain West Women’s and Men’s Basketball Tournament – Las Vegas, Nevada, March 1-7, 2020
- aaa. Capitol Council of Presidents Call – March 2, 2020
- bbb. Council of Presidents – Salt Lake City, March 3, 2020
- ccc. Mountain West Board of Directors Meeting – Las Vegas, Nevada, March 3, 2020
- ddd. Board of Regents' Audit Committee Call – March 5, 2020
- eee. Capitol Council of Presidents Call – March 9, 2020
- fff. Present at Truth & Tuition – March 11, 2020
- ggg. Welcome Remarks at Nora Eccles Harrison Museum of Art Reception – March 11, 2020
- hhh. Remarks at LEAP Gala – March 11, 2020
- iii. Remarks at Research Landscapes – March 12, 2020
- jjj. USU Foundation Board Dinner – March 12, 2020
- kkk. USU Foundation Board Meeting – March 13, 2020
- lll. USU Board of Trustees – March 13, 2020
- mmm. Founders Day and Old Main Society – March 13, 2020

#### 4. Upcoming Events

- a. Employee Recognition Luncheon – March 16, 2020
- b. Budget and Faculty Welfare Committee for Legislative Update – March 16, 2020
- c. Remarks at Research Landscapes – March 17, 2020
- d. Higher Education Strategic Planning Commission – Salt Lake City, March 18, 2020
- e. Introduce Keynote at Voting Rights Symposium – March 19, 2020
- f. Board of Regents – Salt Lake City, March 26-27, 2020
- g. Salt Lake Chamber of Commerce Giant in Our City Gala – Salt Lake City, March 26, 2020
- h. USU Board of Trustees Telephone Conference Meeting – April 3, 2020**



## RESOLUTION OF COMMENDATION

### Jenny Patino

Jenny Patino is a first-generation student from Idaho Falls, Idaho, who is studying Accounting. Her parents immigrated to the United States from Mexico. She takes great pride in her roots and loves telling others about her rich heritage. Jenny grew up working in her parents' store where she developed her sense of hard work and dedication.

Jenny has wanted to attend Utah State University since junior high school and loves being an Aggie. She has been involved in Kappa Delta sorority, the Huntsman School of Business, served on the "A" Team, and participated in several councils and committees on USUSA; including Series Committee, Diversity Cabinet, P-Cab, Aggie Blue Leadership, Fee Board, and is currently serving as the Organizations and Campus Diversity Vice President.

After graduation, Jenny plans to return for her Master of Accounting degree and become a Certified Public Accountant. She intends to work for a few years, then return to school to earn her Ph.D. in accounting. Her goal is to leave USU as a student and come back as a professor.

As the USUSA Organizations and Campus Diversity Vice President, Jenny has worked hard to include every student on campus. She has said, "I've learned to not compare myself to other leaders and to grow from my mistakes. I love USU and I love being an Aggie!" Congratulations, Jenny, and thank you for being an exemplary Aggie.

A handwritten signature in blue ink that reads "Noelle E. Cockett". The signature is written in a cursive style with a large, prominent initial "N".

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Noelle E. Cockett  
President  
March 13, 2020

## CONSENT AGENDA

1. Minutes from the Regular Meeting held on January 10, 2020
2. Minutes from the Closed Session held on January 10, 2020
3. Academic Proposals
  - a. Summary Sheet
  - b. Department of Applied Economics, College of Agriculture and Applied Sciences, proposes discontinuing the Bachelor of Science Environmental and Natural Resources Economics degree.
  - c. Department of Applied Economics, College of Agriculture and Applied Sciences, proposes changing the Agricultural Economics Minor to Applied Economics Minor.
  - d. School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes creating a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability.
  - e. School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes offering a Non-formal and Community-based Education Minor.
  - f. School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes offering a Ph.D. in Career and Technical Education.
  - g. School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes redefining Career and Technical Education programs at three statewide campuses.
  - h. School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes restructuring the School of Applied Sciences, Technology and Education.
  - i. Department of Special Education and Rehabilitation, Emma Eccles Jones College of Education and Human Services, proposes changing the name of several distance teacher certification programs.
  - j. Departments of History, Languages, Philosophy and Communication Studies and Political Science, College of Humanities and Social Sciences, proposes creating a Minor in Middle East Studies.
  - k. Departments of History and Political Science, College of Humanities and Social Sciences, proposes creating a Certificate of Proficiency in Global Peacebuilding.
  - l. Department of Biology, College of Science, proposes adding a Human Biology emphasis to the existing Bachelor of Arts in Biology.
4. Proposal to Accept Revisions to Standards of Conduct-Faculty Responsibilities to Student and Standard of Conduct-Professional Obligations Policy 403
5. Proposal to Revise Policy 321 Respectful Workplace

UTAH STATE UNIVERSITY BOARD OF TRUSTEES  
Utah State University, Sorenson Center for Clinical Excellence, Logan, Utah  
January 10, 2020

Minutes of the Regular Meeting of the Utah State University Board of Trustees held at the Sorenson Center for Clinical Excellence Building Room 209, commencing at 9:03 a.m.

MEMBERS PRESENT

Jody K. Burnett	Chair
Kent K. Alder	Vice Chair
Sami I. Ahmed	
Laurel Cannon Alder	
John Y. Ferry	
Gina Gagon	
David H. Huntsman	
Wayne L. Niederhauser	
David A. Petersen	
Jacey Skinner	
Terryl Warner	

UNIVERSITY REPRESENTATIVES PRESENT

Douglas D. Anderson	Dean, Jon M. Huntsman School of Business
Jodi Bailey	Chief Audit Executive
Paul Barr	Vice Provost
Patrick Belmont	President, Faculty Senate
Noelle E. Cockett	President
David T. Cowley	Vice President, Business and Finance
Teresa Denton	Staff Assistant
Julie Duersch	President, Staff Employee Association
Francis D. Galey	Executive Vice President and Provost
John H. Hartwell	Vice President and Director, Athletics
Marlin K. Jensen	Regent
Mica A. McKinney	General Counsel; Vice President, Legal Affairs
James D. Morales	Vice President, Student Affairs
Dave Patel	Associate Dean, Jon M. Huntsman School of Business
Sydney M. Peterson	Secretary of the Board of Trustees
William M. Plate	Vice President, University Marketing and Communications
Tim Vitale	Associate Vice President, Communications
Robert W. Wagner	Vice President, Academic and Instructional Services
Kenneth L. White	Vice President, Extension; Dean, College of Agriculture and Applied Sciences; Director, Agricultural Experiment Station
Matthew T. White	Vice President, University Advancement

OTHERS PRESENT

Brynne Adamson	Utah Statesman
Jared Fry	Student

Chair Jody Burnett called the meeting to order and welcomed those present. To accommodate Vice President John Hartwell's travel schedule, the President's Report was presented before going into closed session.

## I. PRESIDENT'S REPORT

### A. Information Items

President Noelle Cockett welcomed the Board of Trustees members to the Sorenson Center for Clinical Excellence (SCCE). She noted that former President Stan Albrecht was instrumental in getting funding for this building. The Emma Eccles Jones College of Education and Human Services provided \$10M, the state legislature funded \$10M, and another \$10M was private donor funded.

The Emma Eccles Jones College of Education and Human Services uses the SCCE building to meet with clients, patients, and their families. Students receive practical learning experience in the laboratories. Faculty apply best practices, new practices, and conduct research. The community receives help for those with disabilities. The departments of Communicative Disorders and Deaf Education, Special Education and Rehabilitation, Kinesiology and Health Sciences, and Psychology are all housed in this building. The programs span a person's lifetime – from early help for autism, through Alzheimer's disease. Individual patients receive the help they need, and their families and caregivers receive support as well.

The artwork throughout the building was commissioned from people with disabilities. In the conference room, the artist was a female from South America who has autism and illustrated the world from her point of view. Board of Trustees members were encouraged to walk through the building.

#### 1. Student Commendation – Jared Fry (Appendix A)

Trustee Sami Ahmed presented the student commendation to Jared Fry. Jared is from Morgan, Utah, and currently serves as graduate senator in the USU Student Association. He works to ensure that the needs of all graduate students are met. He also serves as the on-campus administrator for an income tax clinic, directing over 50 volunteers in the preparation and filing of tax returns for undergraduate and graduate students. Jared is an outstanding individual and a great representative of USU. He actively participates in the campus community and seeks to improve the experiences of his fellow Aggies.

#### 2. Handouts

President Cockett distributed handouts from USU Extension and the Annual Security and Fire Safety Report to members of the Board of Trustees. The Annual Security and Fire Safety Report includes reported arrests, fire incidents and safety issues and the department's future plans. This report fulfills the Clery Act reporting requirements.

#### 3. Legislative Update

President Cockett explained that Vice President Neil Abercrombie is in Washington, DC; and, therefore, is not available to give a legislative update. Chair Burnett asked Vice President Abercrombie to prepare an outline in advance of the

legislative session listing USU's legislative priorities this year. The 45-day Utah legislative session begins January 27, 2020 and ends March 12, 2020.

Legislative events that members of the Board of Trustees should attend if possible include February 14, Higher Education Day; February 18, Posters on the Hill; and February 26, Aggie Ice Cream on the Hill.

#### 4. Research Events

President Cockett announced that last year's Research Landscapes symposia were very well received. By popular demand, the areas of land, water, and air will be addressed again this year. O.C. Tanner has increased its support for these symposia which are held on the O.C. Tanner campus. This year's theme is "How Can We Sustain the Things that We Value in Utah – Access to Natural Resources, Access to Water, Access to Air."

USU is collaborating with Regence to reinvent Sunrise Sessions. The events will begin at noon and will center around health and well-being.

#### B. Reports from Vice Presidents (Appendix B)

John Hartwell, Vice President and Director of Athletics, presented the 2019-2020 Athletics Mid-Year Highlights.

USU student-athletes achieved the highest term grade point average (GPA) of 3.32 in USU Athletics history. The cumulative GPA was 3.25 with 39 athletes honored on the Dean's List. All 16 teams were above a 3.0 team GPA for fall semester. The current graduation success rate is 94% which is the highest in the Mountain West Conference and among all the higher education institutions in the state. USU has an outstanding academic support program to help student-athletes complete their academic goals.

In development and annual fundraising, Blue-A membership rose to 77 total members through the end of December 2019. The Blue-A organization is completely philanthropic and is not tied to ticket sales. Planned-giving commitments reached a high mark of \$3.8M in the first six months of FY20 which was up from \$3M in FY19 and \$2.4M in FY18.

Men's basketball season ticket sales were up 35% from the 2019-2020 season. Football season ticket sales were up 24% for the 2019 season. Athletic event attendance is trending down nationally. Ticket sales correlate directly with the success of the program.

Marketing and promotion efforts included a mobile app expansion to include fan-engagement features through interactive lightshows, mobile trivia, and synchronized selfies.

USU students approached the Athletic Department with a sensory inclusive initiative to increase accommodations for individuals with sensitivities to high sensory environments (autism, post-traumatic stress syndrome, etc.). The students' suggestions have been implemented in the Dee Glen Smith Spectrum.

This year's football attendance hit the high mark of 25,472 in attendance for the November 2, 2019, game against Brigham Young University. This year's basketball attendance high mark so far was 10,017 in attendance for the January 4, 2020, game against San Diego State University.

USU athletic highlights included the men's cross-country team finishing 16<sup>th</sup> in the nation as well as winning the Mountain West Conference Championship. Artie Gulden was named the men's cross-country Coach of the Year and Dallin Farnsworth was the Mountain West Conference's Individual Cross-Country Champion.

The USU football team finished with an overall record of seven wins and six losses and a conference record of six wins and two losses. The football team wrapped up its season with an appearance in the Tropical Smoothie Café Bowl in Frisco, Texas. This was the eighth bowl appearance in the last nine seasons for the USU football team.

The USU basketball team has been ranked as high as 15<sup>th</sup> in the nation this season with victories over Southeast Conference opponents, Louisiana State University and the University of Florida. Sophomore Justin Bean leads the nation in averaging double-digit points and rebounds per game.

The Mountain West Conference has agreed to a new television deal with CBS Sports Network and Fox worth \$270M for six years. The average annual revenue for each institution will be over \$2M which is a 6% increase. Institutions in the Mountain West Conference struggle compared to distribution amounts for larger conferences; for example, the Pacific 12 Conference (Pac 12) receives \$27M per institution, the Southeast Conference (SEC) receives \$46M per institution, and the Big Ten Conference receives \$53M per institution.

Regent Marlin Jensen asked Vice President Hartwell about USU's plans to compensate athletes. Vice President Hartwell replied that the National Collegiate Athletic Association (NCAA), the Utah institutions' athletic directors, and Senator Mitt Romney met to discuss this very complex issue. Everyone felt that a proposal should come from the NCAA or federal agencies. If each state or conference set regulations, it would be very difficult for institutions to figure out what regulations to follow. This situation would basically make athletics a free market where an athlete would compare USU to a larger market team such as UCLA. The disparity would be very confusing. Another area of difficulty would be full scholarships and Title IX requirements.

There are over 100,000 Division I student-athletes. Of these athletes, 99.9% are very appreciative of the scholarships they receive and the help they get to complete their college educations. Full athletic scholarships provide the full cost of tuition and books, training tables, individual academic counseling, nutritionists, strength and conditioning coaches, and more. Compensation to athletes would only impact about 100-150 student-athletes per year who are top draft prospects for professional sports.

### C. Recent Events

1. Homecoming Events – September 28, 2019
2. Institute of Government and Politics Luncheon – September 28, 2019
3. Ag Products BBQ – September 28, 2019



4. Football – Colorado State at USU – September 28, 2019
5. Mountain West Board of Directors Executive Committee Call – September 30, 2019
6. State of the University Address – October 1, 2019
7. Council of Presidents by IVC – October 1, 2019
8. Research Landscapes, Land by Courtney Flint – Salt Lake City, October 1, 2019
9. Welcome Remarks at Cybersecurity Conference – October 3, 2019
10. USU Aggie Alumni Pregame – Baton Rouge, Louisiana, October 5, 2019
11. Football – USU at Louisiana State – October 5, 2019
12. Welcome Remarks at Center for Growth and Opportunities Fall Event, President's Home – October 7, 2019
13. Salt Lake Chamber Board of Governors – Salt Lake City, October 8, 2019
14. EDCUtah Board of Trustees Meeting – Salt Lake City, October 8, 2019
15. Utah Sports Hall of Fame Induction Banquet – Salt Lake City, October 14, 2019
16. Stater's Council – October 15, 2019
17. Aggies Heroes – October 16, 2019
18. Football – Nevada at USU – October 19, 2019
19. 10<sup>th</sup> Circuit Court of Appeals Oral Argument Day at USU – October 22, 2019
20. Football – USU at Air Force – October 26, 2019
21. Inaugural Professor Lecture, Darrin Brooks, President's Home – October 29, 2019
22. USU Ambassadors Ice Cream Social – October 29, 2019
23. Welcome Remarks at 2019 Inclusive Excellence Symposium – October 30, 2019
24. Inaugural Professor Lecture, Caroline Lavoie, President's Home – October 30, 2019
25. Welcome Remarks at ASPIRE ERC On-Campus Site Visit – October 31, 2019
26. USU Foundation Board Meeting and Dinner – November 1, 2019
27. Football – BYU at USU – November 2, 2019
28. Sunrise Session, Alexis Ault – Salt Lake City, November 5, 2019
29. Council of Presidents – Salt Lake City, November 5, 2019
30. Inaugural Professor Lecture, David Brown, President's Home – November 6, 2019
31. Men's Basketball – Weber at USU – November 8, 2019
32. Football – USU at Fresno State – November 9, 2019
33. Association of Public Land-Grant Universities Fall Board of Directors Meeting – San Diego, California, November 10-12, 2019
34. Men's Basketball – Denver at USU – November 12, 2019
35. Inaugural Professor Lecture, Shih Yu (Simon) Wang, President's Home – November 13, 2019
36. USHE K-20 Summit and Board of Regents' 50th Anniversary Celebration Reception at Utah Valley University – November 14, 2019
37. Board of Regents at Utah Valley University – November 15, 2019
38. Men's Basketball – North Carolina at USU – November 15, 2019
39. Football – Wyoming at USU – November 16, 2019
40. Board of Regents Resource and Review – Salt Lake City, November 18, 2019
41. Remarks at USU Research Foundation Board Dinner – November 18, 2019
42. Roles and Missions Summit with University Presidents and Commissioner Woolstenhulme – Salt Lake City, November 19, 2019
43. Men's Basketball – UTSA at USU – November 19, 2019
44. Inaugural Professor Lecture, Merideth Thompson, President's Home – November 20, 2019
45. Northwest Commission on Colleges and Universities Annual Conference – Seattle, Washington, November 20-22, 2019
46. Football – Boise at USU – November 23, 2019

47. Higher Education Strategic Planning Commission Meeting – Salt Lake City, November 25, 2019
48. Men's Basketball – USU at St. Mary's – November 29, 2019
49. Football – USU at University of New Mexico – November 30, 2019
50. Inaugural Professor Lecture, Shawn Whiteman, President's Home – December 3, 2019
51. Welcome Remarks and Panel Moderator at Research Landscapes Overview – Salt Lake City, December 4, 2019
52. Men's Basketball – USU at San Jose State – December 4, 2019
53. Mountain West Board of Directors Executive Committee Call – December 5, 2019
54. Inaugural Professor Lecture, Christa Jones, President's Home – December 5, 2019
55. Men's Basketball – Fresno State at USU – December 7, 2019
56. National Football Foundation Reception and Dinner – New York City, December 8 - 11, 2019
57. Inaugural Professor Lecture, David Geller, President's Home – December 9, 2019
58. Salt Lake Chamber Board of Governors – Salt Lake City, December 10, 2019
59. Inaugural Professor Lecture, Claudia Radel, President's Home – December 10, 2019
60. Men's Basketball – St. Katherine at USU – December 10, 2019
61. Mountain West Board of Directors Executive Committee Call – December 13, 2019
62. Men's Basketball – USU vs BYU at Beehive Classic – Salt Lake City, December 14, 2019
63. Mountain West Board of Directors Meeting – Phoenix, Arizona, December 15-16, 2019
64. Men's Basketball – USU vs. Southern Florida – December 18, 2019
65. Football – USU vs Kent State, Tropical Smoothie Cafe Frisco Bowl – Frisco, Texas, December 18-21, 2019
66. Men's Basketball – USU vs. Florida – December 21, 2019
67. Men's Basketball – Eastern Oregon at USU – December 28, 2019
68. Men's Basketball – USU at UNLV – January 1, 2020
69. Men's Basketball – San Diego State at USU – January 4, 2020
70. Northwest Commission on Colleges and Universities Commission Meetings – Seattle, Washington, January 7-9, 2020
71. Men's Basketball – USU at Air Force – January 7, 2020
72. USU Board of Trustees – January 10, 2020

#### D. Upcoming Events

1. Men's Basketball – Nevada at USU – January 11, 2020
2. Plant and Animal Genome Conference – San Diego, California, January 11-14, 2020
3. EDCUtah Board of Trustee – Salt Lake City, January 14, 2020
4. Board of Regents – University of Utah, January 24, 2020
5. Pre-game Basketball Reception – January 25, 2020
6. Men's Basketball – Colorado State at USU – January 25, 2020
7. Association of Governing Boards – San Diego, California, January 26-28, 2020
8. Legislative Session – Salt Lake City – January 27-March 12, 2020
9. Men's Basketball – USU at Wyoming – January 28, 2020
10. 2020 Sundance Film Festival Women's Leadership Celebration Luncheon – Salt Lake City, January 30, 2020

11. Speak at College of Agriculture and Applied Science Leadership Council – January 30, 2020
12. Men’s Basketball – USU at San Diego State – February 1, 2020
13. Council of Presidents by IVC – February 4, 2020
14. Legislative Spouses Luncheon – Salt Lake City, February 5, 2020
15. Men’s Basketball – UNLV at USU – February 5, 2020
16. Welcome Remarks at Utah Conference on Undergraduate Research – February 7, 2020
17. Remarks at Moab Business Summit – Moab, February 10, 2020
18. Men’s Basketball – USU at Colorado State – February 11, 2020
19. Higher Education Day/Board Meeting – Salt Lake City, February 14, 2020
20. Board of Regents Lunch/Meeting – Salt Lake City, February 14, 2020
21. Men’s Basketball – USU at Fresno State – February 15, 2020
22. Posters on the Hill – Salt Lake City, February 18, 2020
23. Association of Public & Land-Grant Universities Board Meeting – Washington, D.C., February 18-19, 2020
24. Men’s Basketball – Wyoming at USU – February 19, 2020
25. Men’s Basketball – San Jose State at USU – February 25, 2020
26. Aggie Ice Cream on the Hill – Salt Lake City, February 26, 2020
27. Mountain West Board of Directors Executive Committee Call – February 28, 2020
28. Men’s Basketball – USU at New Mexico – February 29, 2020
29. Mountain West Women’s and Men’s Basketball Tournament – Las Vegas, Nevada, March 2-7, 2020
30. Council of Presidents – Salt Lake City, March 3, 2020
31. Mountain West Board of Directors – Las Vegas, Nevada, March 3, 2020
32. Remarks at Truth & Tuition – March 11, 2020
33. USU Foundation Board Dinner – March 12, 2020
34. USU Foundation Board Meeting – March 13, 2020
35. Founders Day and Old Main Society – March 13, 2020
36. USU Board of Trustees – March 13, 2020

Action: Trustee Alder moved in accordance with 52-4-205 of the Utah Code, that the Trustees go into a Closed Session for the sole purpose of discussing the character, professional competence, or physical or mental health of individuals, pending or reasonably imminent litigation, and the possible sale of real property. Trustee Huntsman seconded the motion. The voting was unanimous in the affirmative.

Chair Burnett reopened the Regular Meeting at 11:18 a.m., thanking those present for their attendance.

## II. STRATEGIC AGENDA

- A. Practices of Freedom: Free Speech and Academic Freedom – Mica McKinney, General Counsel and Vice President for Legal Affairs (Appendix C)

Vice President Mica McKinney quoted USU Policy 403, “The university works to uphold its collective values by fostering free speech, broadening fields of inquiry, and encouraging the generation of new knowledge that challenges, shapes, and enriches our collective and individual understandings.”

Vice President McKinney pointed out the difference between free speech and academic freedom. Free speech is the right to have an opinion and express or not express it as you desire. In a democracy, we all have an important voice. Academic freedom protects faculty in the ability and process of pursuing their own knowledge and inquiry. Media focuses on free speech and not necessarily on academic freedom.

In a video from the American Council on Education, John J. DeGioia stated that freedom of speech fundamentally protects opinion. Academic freedom is different where there is a necessary and sufficient condition to achieve the truth. Society looks to universities for authoritative knowledge in particular fields. The university tries to provide authoritative knowledge by asking faculty to do their very best work and transmit knowledge to the next generation. The state of authoritative knowledge in their discipline is called truth. Truth is provisional. The purpose is to continue to investigate what is the truth. Universities are always progressing, pursuing further, and pushing back boundaries of knowledge.

Vice President McKinney explained that in 1967 the Supreme Court defended academic freedom when it stated, "The vigilant protection of constitutional freedoms is nowhere more vital than in the community of American schools. The classroom is peculiarly the 'marketplace of ideas.'" A marketplace of ideas has many areas on a campus and is tied to a college's vision. Any open space on the USU campus is a public forum for any purpose (*Keyishian v. Board of Regents of the University of the State of New York*, 385 U.S. 589 (1967)).

Higher Education is in the free speech crossfires. The University of California at Berkeley campus was disrupted with violent protests about politics. Another institution planned to revise its policies after a faculty petition to adopt free speech guidelines enraged student activists. Primary participants in many high-profile university protests were individuals who were not part of the campus. USU is a public property and may be in line for the same kinds of issues.

In an American Council on Education video, Sanford J. Ungar explained that speech has never been freer than it is today. Symbolic protests are legal, i.e. wearing black armbands, burning American flags, and refusing to pledge allegiance to the flag. Someone cannot incite violence such as shouting "fire" in a crowded theater. Anyone can threaten another person on the internet and unless there is proof that they had a plot, it's speech and is protected. This leads people to believe that they can say and do anything, and they will not be disciplined.

Higher education is struggling to draw a line between harassment and free speech – to protect free speech, but also to provide an atmosphere of protection.

The state of controversy is ideological conflict and the "politics of ultimate ends," declining civility and respect in disagreements, increase in hateful speech, changing attitudes of college students, and tension between free speech and inclusion and diversity.

USU wants to make sure everyone's free speech is protected. However, giving both sides of the argument freedom of speech is difficult.

There is a 77% increase in white nationalist materials showing up on college campuses which cause tension and offense. USU has had posters and stickers on campus as well and has implemented procedures to handle hate speech. Hate speech is legally protected.

Recently, there has been a change in attitudes on college campuses. Current students have different backgrounds and experiences than older generations. Current students are more accepting of others and more concerned about inclusion. A majority of students believe that promoting an inclusive society is important and that inclusivity is more important than free speech.

University officials cannot censor based on speech. USU's protocol is that any posters placed in unapproved locations are taken down. Allowing chalking on campus provides avenues for people to express themselves even if the campus community disagrees.

Students are challenging choices that faculty make on content and presentation methodology in the classroom. If a student does not want to participate in a classroom assignment due to religious freedom, faculty are asked to make accommodations by giving that student a different assignment.

Vice President McKinney said in 2017 and 2018 there were a lot of issues with speakers on tour. Speakers were invited to campuses to speak but students protested that person's appearance. This is an issue of a person's right to speak versus a person's right to protest that speech and is an example of "heckler's veto." Heckler's do not have the right to silence another speaker. Campuses created alternative locations to give people on both sides of the argument a place to speak. The University of California at Berkeley started charging promoters security costs for every event. This was viewed as against free speech and Berkeley was forced to pay for the security rather than passing that expense on to the promoter of the event.

Trustee Ferry asked if USU has a dedicated place for people to go to express their opinions. Vice President McKinney said that USU is a public campus; therefore, everywhere on campus is open to the public and can be used to express opinions. Some schools have set up "free speech zones" which are illegal in Utah. USU students usually use the patio area at the Taggart Student Center. If the event does not disrupt university business, it is protected. USU is committed to free speech.

Trustee Ahmed noted that a lot of students know that the university cannot restrict their speech. USU students' culture and backgrounds are similar so USU does not have the rallies that other schools have.

Trustee Ferry asked if the students see the university's lack of response as condoning the activity. Trustee Ahmed said he thought that was so. He hears some students ask why the university has not done something about some issues. A lot of students do not understand that the Title IX office cannot report offenses to the police unless there is immediate danger. Students wonder why the Title IX office did not report certain incidents to the police and this causes student frustration.

Vice President McKinney concluded that the USU campus community is respectful and

allows people to disagree. USU is trying to be an inclusive campus community while promoting free speech. Vice President McKinney handed out “7 Ways to Support an Inclusive Campus.” Steps included checking your own bias, understanding free speech, speaking up, and organizing (Appendix D).

### III. CHAIR’S REPORT

#### A. Action Item

##### 1. Proposed Board of Trustees Meeting Schedule 2020-2021 (Appendix E)

A Board of Trustees meeting was not held between September 27, 2019, and January 10, 2020. In the upcoming calendar, a meeting has been scheduled in December so the January agenda will be more manageable. Chair Burnett suggested that the August workshop be held in Price.

#### B. Discussion Items

##### 1. Broadcast Ownership Questionnaire

USU owns a public radio station – KUSU. The Board of Trustees is considered the owner. Every two years the members need to fill out questionnaires noting basic information. These questionnaires were filled out and submitted to KUSU.

##### 2. OnBoard (Appendix F)

OnBoard is a software system for distributing meeting agendas and information. Each Board of Trustee member was sent an invitation to join OnBoard. This meeting’s agenda was loaded on OnBoard and emailed in the usual pdf format. Board of Trustee members were encouraged to open OnBoard and look around to get familiar with it. Future agendas can be accessed in OnBoard. Any questions may be directed to Sydney Peterson.

##### 3. Jon M. Huntsman School of Business Request for Differential Tuition Increase (Appendix G)

President Cockett explained the background on differential tuition. Former President Kermit Hall looked for different ways to increase tuition funding. The Jon M. Huntsman School of Business was the first unit at USU to use differential tuition in 2007 with a request to assess additional tuition on upper-level classes and graduate-level classes on a per-credit basis. The extra tuition collected goes directly back to the unit to be used in ways that are outlined in the differential tuition request. USU has several programs charging differential tuition – Jon M. Huntsman School of Business, Emma Eccles Jones college of Education and Human Services, Caine College of the Arts, College of Engineering, and Landscape Architecture and Environmental Planning. Following in depth conversations among the President, the Provost, and the unit, each request for differential tuition goes to the Board of Trustees. The Jon M. Huntsman School of Business requested increases in differential tuition in 2011 and 2015. Differential tuition is used at every

institution in the Utah System of Higher Education (USHE) across a variety of programs.

Before approving, the Board of Regents members will consult with students in the program, consider workforce demands, analyze student access and retention, compare tuition rates at other institutions, and consider graduates' potential earning capacity. Due to heightened awareness, President Cockett asked the Audit, Risk and Compliance Committee to begin a systematic look at differential tuition that has already been approved. Audits of the Jon M. Huntsman School of Business and Caine College of the Arts have been completed. An audit of the Emma Eccles Jones College of Education and Human Services will begin soon.

The Board of Trustees members will vote on the current Jon M. Huntsman School of Business request for an increase in differential tuition at the March 13, 2020, meeting. Because these are important requests, today's presentation will allow the members time to consider the request and possibly request more information. If the increase is implemented in the fall of 2020, the request will need to be approved at the March 13, 2020, meeting and then go to the Board of Regents for the March 26-27, 2020, meeting where all differential tuition requests will be considered.

Dean Douglas D. Anderson was joined by Associate Dean Dave Patel and several students to present their differential tuition request. Dean Anderson stated that differential tuition enables the Huntsman School to pursue its purpose to serve the university, state, nation, and world. The Huntsman School's principle objective is to become the best business school in the West. The current request for differential tuition will seek funding for 1000-level courses.

Associate Dean Patel distributed a handout titled "Differential Tuition: Investment and Impact" (Appendix H). The Huntsman School invests in people, programs, and places. More and more corporate companies are coming to USU to hire graduates. Since 2010, 75% of the faculty and 85% of the staff are new to this program. Experiential programs have expanded. Huntsman Hall was built. The School is number one in the nation in entrepreneurship innovation and top five in the world in entrepreneurship. The economics program is the best in the state. The School of Accountancy ranked number five in the nation.

Since 2010, the Huntsman School has had a dramatic increase in students, undergraduates, undergraduate residents, undergraduate residents attending full time, and first-time freshman when compared to the rest of the university.

In 2010, the Huntsman School employed 70 faculty. In 2019, it employed 103 faculty. There is a 74% salary premium for business faculty compared to non-business faculty. In FY19, 106 faculty and staff were fully or partially supported by differential tuition.

The Huntsman School does not have Ph.D. programs; therefore, their faculty members teach the 1000- and 2000-level courses. Five former department heads teach 1000-level courses. This differential tuition request will affect 17 classes out of the 120 classes required for graduation. Increased costs put additional burden on students. The Huntsman School has increased philanthropy toward student

support. Scholarship money increased 360% from 2010 to 2019. These funds have allowed 1,228 students to receive some sort of scholarship support from the Huntsman School. These scholarship sources are all from philanthropic efforts and are not supported by differential tuition. The Huntsman School's average scholarship award is greater than the average differential tuition paid by students.

The Huntsman School organized a Differential Tuition Advisory Board whose membership includes faculty, staff, and students. Each year a college-wide or department-level meeting is held with students. The Huntsman School's website has a lot of information on differential tuition and what it supports.

Huntsman School student Sarah Dent Merrill expressed the value she has received from differential tuition in both her professional and her educational careers. Donors have been very generous which makes differential tuition not a burden to students. She has been able to travel abroad to see program development. She has learned from high-class professors who include vice presidents from corporations around the country. She supports the Huntsman School's differential tuition request.

Regan Sigert is a graduate student in the Huntsman School. She comes from an Aggie family. Her siblings graduated before differential tuition was implemented. The difference between then and now is immense. She traveled to India to meet with the human resources director of Amazon for the Asia area. She competed on a national stage at conferences. She met with career coaches and worked on a Linked-In profile. A few days later a Google recruiter contacted her for an interview. She plans to be a professor and to give back to future students. She supports the Huntsman School's differential tuition request.

Mark Jenkins entered the Huntsman School his second semester in his sophomore year. The biggest impact he has received has been mentorship and support offered by the staff. Because of this support, he has received career opportunities he had never imagined. He interned with legislators in Washington, DC, and Salt Lake City. He said differential tuition has not been a burden to him, but it has helped his career and future.

Jordan Bell is a graduate student and is on the Business Council Board. He said the reason he goes to school is to find a nice job and get experience to prepare him for his career. The Management and Human Resources (MHR) program has improved so much that Fortune 200 companies actively recruit at USU. These companies recognize the value of a business education at USU. The MRH program boasts that currently 32 of the 33 students in the program have internship offers. The improvement in the MHR program correlates directly to differential tuition. Jordan meets with a career coach to prepare him for his future career. He supports the Huntsman School's differential tuition request.

Dean Anderson noted that the Huntsman School anticipated a slump in enrollment due to the implementation of differential tuition. However, the opposite has been true; enrollment has grown. The quality and size of the faculty and staff have grown. Students look at quality more than cost. Over the past 10 years, the freshman class went from 267 students to 321 which is a 214% increase. Students



in the freshman class are required to meet higher standards in grade point average and test scores at entrance than the general university.

Trustee Alder asked how the increase amount of \$45 was selected. Dean Anderson explained that past increases have been \$15 per year per student credit hour. The increase of \$45 is consistent with past increases which should generate approximately \$1M to the Huntsman School within three years.

In order to better communicate all the out-of-classroom opportunities available to students in the Huntsman School, Associate Dean Patel has been asked to re-engineer the student experience. Four years ago, the provost approved a change in the class schedule with no classes on Fridays. Fridays now include career development events such as workshops on the mechanics of writing resumes and symposia with corporate chief executive officers. An analysis of attendees at these events revealed that students from 104 different majors from across the university have participated. The Huntsman School only has seven majors.

Chair Burnett asked the Academic Approval Committee to study the differential tuition increase request and make a recommendation at the March 13, 2020, meeting.

#### C. Information Items

##### 1. Next Board of Trustees Meeting

The next Board of Trustees Meeting will be held on Friday, March 13, 2020.

#### IV. CONSENT AGENDA

Chair Burnett stated that the Trustees received the following agenda items for review.

A. Minutes from the Regular Meeting held on September 27, 2019 (Appendix I)

B. Minutes from the Closed Session held on September 27, 2019 (Appendix J)

C. Honorary Degrees for 2020 [Resolution 20-01-01] (Appendix K)

D. Utah State University Research Foundation Appointment: Elizabeth M. Young [Resolution 20-01-02] (Appendix L)

#### E. Academic Proposals

1. Summary Sheet (Appendix M)

2. Department of Art and Design, Caine College of the Arts, proposes changing the name of the Bachelor of Interior Design to Bachelor of Interior Architecture and Design [Resolution 20-01-02] (Appendix N)

3. Department of Music, Caine College of the Arts, proposes changing the name of the current Bachelor of Music Piano Performance degree to Piano Performance and Pedagogy with the intent to deactivate the Bachelor of Music Piano Pedagogy [Resolution 20-01-03] (Appendix O)

4. Department of Music, Caine College of the Arts, proposes discontinuing the Bachelor of Music Piano Pedagogy [Resolution 20-01-04] (Appendix P)
5. Department of Economics and Finance, Jon M. Huntsman School of Business, proposes offering a new Quantitative Economic History emphasis in the existing Bachelor of Arts and Bachelor of Science in Economics [Resolution 20-01-05] (Appendix Q)
6. Department of Management, Jon M. Huntsman School of Business, proposes adding emphases in Hotel Management and Wealth Management to the Bachelor of Art and Bachelor of Science degree in Management [Resolution 20-01-06] (Appendix R)
7. Department of Management, Jon M. Huntsman School of Business, proposes relocating the Minor in Hospitality and Tourism Management from the Department of Marketing and Strategy to the Department of Management and Renaming the Program Hotel Management [Resolution 20-01-07] (Appendix S)
8. Department of Management Information Systems, Jon M. Huntsman School of Business, proposes changing the name of the Department of Management Information Systems to the Department of Data Analytics and Information Systems [Resolution 20-01-08] (Appendix T)
9. Department of Kinesiology and Health Science, Emma Eccles Jones College of Education and Human Services, proposes changing the name of the Bachelor of Science from Human Movement Science to Kinesiology [Resolution 20-01-09] (Appendix U)
10. Department of Kinesiology and Health Science, Emma Eccles Jones College of Education and Human Services, proposes changing the name of the Master of Science from Health and Human Movement to Master of Science in Kinesiology [Resolution 20-01-10] (Appendix V)
11. Department of Kinesiology and Health Science, Emma Eccles Jones College of Education and Human Services, proposes adding a Minor in Outdoor Adventure Leadership [Resolution 20-01-11] (Appendix W)
12. Department of Nursing and Health Professions, Emma Eccles Jones College of Education and Human Services, proposes changing the department name from Nursing and Health Professions to Nursing [Resolution 20-01-12] (Appendix X)
13. Department of Special Education and Rehabilitation, Emma Eccles Jones College of Education and Human Services, proposes offering a Minor in Disability Studies [Resolution 20-01-13] (Appendix Y)
14. Department of Special Education and Rehabilitation, Emma Eccles Jones College of Education and Human Services, proposes changing the name of the department from Special Education and Rehabilitation to Special Education and Rehabilitation Counseling [Resolution 20-01-14] (Appendix Z)
15. Department of Engineering Education, College of Engineering, proposes discontinuing the Engineering Education Certificate [Resolution 20-01-15] (Appendix AA)
16. Department of Mechanical and Aerospace Engineering, College of Engineering, proposes correcting the name of the Mechanical and Aerospace Engineering Minor to Mechanical Engineering Minor [Resolution 20-01-16] (Appendix BB)
17. College of Humanities and Social Sciences proposes creating a Graduate Certificate in Anticipatory Intelligence [Resolution 20-01-17] (Appendix CC)
18. Department of Languages, Philosophy and Communication Studies, College of Humanities and Social Sciences, proposes offering a Minor in Arabic Studies [Resolution 20-01-18] (Appendix DD)

F. Program Review Department of Economics and Finance, Jon M. Huntsman School of

Business [Resolution 20-01-19] (Appendix EE)

- G. Program Review Department of Psychology, Emma Eccles Jones College of Education and Human Services [Resolution 20-01-20] (Appendix FF)
- H. Program Review Nutrition Science Program, College of Agriculture and Applied Sciences [Resolution 20-01-21] (Appendix GG)
- I. Review and Acceptance of the External Audit Reports [Resolution 20-01-22] (Appendix HH)
- J. Capital Improvement Priority List for FY2020-21 [Resolution 20-01-23] (Appendix II)
- K. Report of Institutional Discretionary Funds [Resolution 20-01-24] (Appendix JJ)
- L. Request to Approve Faculty Code Changes
  - 1. Proposal to Accept Revisions to Policy 405.2, 405.3, 405.5, 405.9 Tenured and Term Appointment: Evaluation, Promotion and Retention [Resolution 20-01-25] (Appendix KK)
  - 2. Proposal to Accept Revisions to Policy 405.11.2 Promotion Advisory Committee [Resolution 20-01-26] (Appendix LL)
  - 3. Proposal to Accept Revisions to Policy 401.5(4) Faculty with Special Appointments [Resolution 20-01-27] (Appendix MM)
- M. Proposal to Revise 300-Level Policies
  - 1. Summary Sheet (Appendix NN)
  - 2. Policy 348 Medical, Dental, and Life Insurance Programs (Appendix OO)
  - 3. Policy 349 Early Retirement Incentive Program (Appendix PP)
  - 4. Policy 357 Disability Insurance (Appendix QQ)
  - 5. Policy 363 Sick Leave (Appendix RR)
  - 6. Policy 384 Wage and Salary Administration (Appendix SS)
  - 7. Policy 386 Criminal Background Checks (Appendix TT)
  - 8. Policy 387 Benefited Employment (Appendix UU)
  - 9. Policy 397 Non-Benefited and Student Employment (Appendix VV)
  - 10. Policy 391 Employment of Convicted Felons (Appendix WW)
  - 11. Policy 394 Faculty and Professional Staff Employment (Appendix XX)

Action: Trustee Huntsman moved to approve the Consent Agenda. Trustee Ahmed seconded the motion. The voting was unanimous in the affirmative.

## V. ACTION AGENDA

- A. Faculty and Staff Adjustments [Resolution 20-01-28] (Appendix YY)

President Cockett explained that these faculty members have requested tenure award as part of their condition of hire.

Action: Trustee Alder moved to approve the Faculty and Staff Adjustments. Trustee Ferry seconded the motion. The voting was unanimous in the affirmative.

B. Request to Approve Construction of a Greenhouse Facility, a Non-State Funded Project [Resolution 20-01-29] (Appendix ZZ)

Vice President Dave Cowley explained that the Salt Lake Center used to be in Granite where there was a greenhouse for the horticulture program. When the Salt Lake Center moved to Taylorsville, the horticulture classes met in Taylorsville, but the greenhouse was still in Granite. The horticulture program is growing. There is funding available to build an 1,800 square foot greenhouse in Taylorsville. No state funds are being requested for the construction or for operating and maintenance. The total cost is less than \$500,000 which only requires the approval of the Board of Trustees.

Trustee Skinner asked for an explanation on the refugee funds mentioned in the resolution. Vice President Cowley explained that in 2014 former Associate Vice President Ronda Menlove was passionate about refugee programs in Salt Lake and obtained \$1M funding to renovate the Salt Lake Center including the greenhouse with the idea that refugees would be given access to the kitchen and greenhouse. As of now, a lease on the building has not been resolved and additional funding to support the refugee program has not materialized. Dave Vernon, executive director of the Salt Lake Center, assured President Cockett that if the refugee program gets the support they need that they could use the greenhouse. Vice President Ken White is also planning a community garden for the refugees.

Action: Trustee Skinner moved to approve the Request to Approve Construction of a Greenhouse Facility, a Non-State Funded Project. Trustee Ahmed seconded the motion. The voting was unanimous in the affirmative.

VI. INFORMATION AGENDA

- A. Recruitment, Retention and Completion Committee Report (Appendix AAA)
- B. Bad Debt Write-off Recommendations for Fiscal Year Ending June 30, 2019 (Appendix BBB)
- C. Leased Facilities Report (Appendix CCC)
- D. Report of Investments for July 2019 (Appendix DDD)
- E. Report of Investments for August 2019 (Appendix EEE)
- F. Revised and New 500-Level Policies
  - 1. Summary Sheet (Appendix FFF)
  - 2. Policy 515 Travel (Appendix GGG)
  - 3. Policy 534 Protection of Minors (Appendix HHH)
  - 4. Policy 535 Volunteer Services (Appendix III)
  - 5. Policy 536 International Travel (Appendix JJJ)

6. Policy 537 Institutional Space Assignment and Utilization for Classrooms and Classroom Laboratories (Appendix KKK)

Chair Burnett asked if there were any other items the Trustees would like to discuss before the meeting closed; none were mentioned.

Action: Trustee Niederhauser made a motion to adjourn the meeting. Trustee Warner seconded the motion; voting was unanimous in the affirmative.

The meeting adjourned at 1:07 p.m.

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Jody K. Burnett, Chair

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Sydney M. Peterson, Secretary  
(Minutes taken by Teresa Denton)

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Date Approved

UTAH STATE UNIVERSITY BOARD OF TRUSTEES  
Utah State University, Sorenson Center for Clinical Excellence, Logan, Utah  
January 10, 2020

Minutes of the Closed Session of the Utah State University Board of Trustees held at the Sorenson Center for Clinical Excellence Building Room 209, commencing at 9:55 a.m.

MEMBERS PRESENT

Jody K. Burnett	Chair
Kent K. Alder	Vice Chair
Sami I. Ahmed	
Laurel Cannon Alder	
John Y. Ferry	
Gina Gagon	
David H. Huntsman	
Wayne L. Niederhauser	
David A. Petersen	
Jacey Skinner	
Terryl Warner	

UNIVERSITY REPRESENTATIVES PRESENT

Noelle E. Cockett	President
David T. Cowley	Vice President, Business and Finance
Francis D. Galey	Executive Vice President and Provost
Mica McKinney	Vice President, Legal Affairs and General Counsel
Sydney M. Peterson	Secretary of the Board of Trustees

Chair Burnett conducted the meeting. Personnel and legal issues were discussed.

Action: Trustee Petersen made a motion to adjourn the meeting. Trustee Warner seconded the motion; the voting was unanimous in the affirmative.

The meeting adjourned at 11:13 a.m.

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Jody K. Burnett, Chair

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Sydney M. Peterson, Secretary  
(Minutes taken by Sydney Peterson)

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Date Approved

## Academic Proposals Summary Sheet

- Department of Applied Economics, College of Agriculture and Applied Sciences, proposes discontinuing the Bachelor of Science Environmental and Natural Resources Economics degree.
- Department of Applied Economics, College of Agriculture and Applied Sciences, proposes changing the Agricultural Economics Minor to Applied Economics Minor.
- School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes creating a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability.
- School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes offering a Non-formal and Community-based Education Minor.
- School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes offering a Ph.D. in Career and Technical Education.
- School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes redefining Career and Technical Education programs at three statewide campuses.
- School of Applied Sciences, Technology and Education, College of Agriculture and Applied Sciences, proposes restructuring the School of Applied Sciences, Technology and Education.
- Department of Special Education and Rehabilitation, Emma Eccles Jones College of Education and Human Services, proposes changing the name of several distance teacher certification programs.
- Departments of History, Languages, Philosophy and Communication Studies and Political Science, College of Humanities and Social Sciences, proposes creating a Minor in Middle East Studies.
- Departments of History and Political Science, College of Humanities and Social Sciences, proposes creating a Certificate of Proficiency in Global Peacebuilding.
- Department of Biology, College of Science, proposes adding a Human Biology emphasis to the existing Bachelor of Arts in Biology.

13 March 2020

**ITEM FOR ACTION**

Utah State University's Department of Applied Economics in the College of Agriculture and Applied Sciences proposes discontinuing the Bachelor of Science Environmental and Natural Resources Economics degree.

**EXECUTIVE SUMMARY**

The Department of Applied Economics in the College of Agriculture and Applied Sciences proposes discontinuing the Bachelor of Science Environmental and Natural Resources Economics degree.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to discontinue the Bachelor of Science Environmental and Natural Resources Economics degree in the College of Agriculture and Applied Sciences' Department of Applied Economics



RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's Department of Applied Economics in the College of Agriculture and Applied Sciences proposes discontinuing the Bachelor of Science Environmental and Natural Resources Economics degree, and

WHEREAS, The proposed will allow the restructuring and improvement of the Applied Economics Bachelor of Science degree, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to discontinue the Bachelor of Science Environmental and Natural Resources Economics degree in the College of Agriculture and Applied Sciences' Department of Applied Economics and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

\_\_\_\_\_  
DATE:

# College of Agriculture and Applied Sciences - Applied Economics

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

COLLEGE (include all cross listed colleges)*	College of Agriculture and Applied Sciences
DEPARTMENT (include all cross listed departments)*	Applied Economics
Current Title (if applicable)	
Proposed Title	

**Step 3: Enter** the Correct CIP Code Using the Following Website:

[Classification Instructional Programs](#)

CIP Code (6-digits) \* 45.0602

Minimum Number of Credits (if applicable) \* 120

Maximum Number of Credits (if applicable) \* 120

Type of Degree: BS  
(BA, BS, etc.) \*

## Request

### Step 4: Select the Type of Change Being Requested.

- New Programs:**
- New Certificates of Proficiency (except Institutional Certificates of Proficiency)
  - New Certificates of Completion
  - New Post-Baccalaureate and Post-Masters Certificates
  - New Minors
  - New Emphases within an Approved Degree
  - New K-12 Endorsements
  - Other

- Existing Program Changes:**
- Program Transfer
  - Program Restructure
  - Program Consolidation
  - Program Suspension
  - Program Discontinuation
  - Program Name Change
  - Out-of-Service Area Delivery of a Program
  - Reinstatement of a Previously Suspended Program
  - Other

- Administrative Unit Changes:**
- New Administrative Units
  - Administrative Unit Transfer
  - Administrative Unit Restructure
  - Administrative Unit Consolidation
  - Reinstatement of Previously Suspended Administrative Units
  - Other

- Creation of Non-Administrative**
- New Center

- Units:**  New Institute  
 New Bureau  
 Other

**Other: (explain change)**

### Additional Approvals (if applicable)

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

### Section I: The Request

**R401 Purpose\*** We are requesting to discontinue the BS Environmental and Natural Resources Economics degree.

### Section II: Program Proposal

**Proposed Action & Rationale\*** We are requesting to discontinue this BS degree. There have never been more than a few majors in the degree. We are restructuring our Applied Economics BS degree and those wishing an environmental or natural resource focus will be able to specialize within the Applied Economics degree.

**Labor Market Demand (if applicable)**


**Consistency with Institutional Mission & Institutional Impact\*** There should be no impact on the institutional mission

**Finances\*** No changes to finances are anticipated.

### Section III: Curriculum (if applicable)


**Program Curriculum Narrative**

**Step 5: Attach** completed Program Curriculum and Degree Map to this

request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

### **Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

**ITEM FOR ACTION**

Utah State University's Department of Applied Economics in the College of Agriculture and Applied Sciences proposes changing the Agricultural Economics Minor to Applied Economics Minor.

**EXECUTIVE SUMMARY**

The Department of Applied Economics in the College of Agriculture and Applied Sciences proposes changing the Agricultural Economics Minor to Applied Economics Minor.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to change the Agricultural Economics Minor to Applied Economics Minor in the College of Agriculture and Applied Sciences' Department of Applied Economics

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's Department of Applied Economics in the College of Agriculture and Applied Sciences proposes changing the Agricultural Economics Minor to Applied Economics Minor., and

WHEREAS, The proposed name change is more reflective of the courses and appeals to a broader group of students, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to change the Agricultural Economics Minor to Applied Economics Minor in the College of Agriculture and Applied Sciences' Department of Applied Economics and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

\_\_\_\_\_  
DATE:

# College of Agriculture and Applied Sciences - Applied Economics

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

<b>COLLEGE (include all cross listed colleges)*</b>	College of Agriculture and Applied Sciences
<b>DEPARTMENT (include all cross listed departments)*</b>	Applied Economics
<b>Current Title (if applicable)</b>	Agricultural Economics - Minor
<b>Proposed Title</b>	Applied Economics - Minor

**Step 3: Enter** the Correct CIP Code Using the Following Website:

[Classification Instructional Programs](#)



CIP Code (6-digits) \* 45.0602

Minimum Number of Credits (if applicable) \* 15

Maximum Number of Credits (if applicable) \* 15

Type of Degree: (BA, BS, etc.) \* Minor

## Request

### Step 4: Select the Type of Change Being Requested.

- New Programs:**
- New Certificates of Proficiency (except Institutional Certificates of Proficiency)
  - New Certificates of Completion
  - New Post-Baccalaureate and Post-Masters Certificates
  - New Minors
  - New Emphases within an Approved Degree
  - New K-12 Endorsements
  - Other

- Existing Program Changes:**
- Program Transfer
  - Program Restructure
  - Program Consolidation
  - Program Suspension
  - Program Discontinuation
  - Program Name Change
  - Out-of-Service Area Delivery of a Program
  - Reinstatement of a Previously Suspended Program
  - Other

- Administrative Unit Changes:**
- New Administrative Units
  - Administrative Unit Transfer
  - Administrative Unit Restructure
  - Administrative Unit Consolidation
  - Reinstatement of Previously Suspended Administrative Units
  - Other

- Creation of Non-Administrative**
- New Center

- Units:**  New Institute  
 New Bureau  
 Other

**Other: (explain change)**

### Additional Approvals (if applicable)

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

### Section I: The Request

**R401 Purpose\*** Change the name of the minor to be more reflective of our department and of the course work required for the minor.

Add three courses to the list of courses that can be used to obtain the minor.

### Section II: Program Proposal

**Proposed Action & Rationale\*** Change Agricultural Economic - Minor to Applied Economics - Minor.

The new title is more reflective of our department (Applied Economics) and more reflective of the courses required for the minor. It will also likely appeal to a broader group of students.

Three additional courses are being added to the list of courses that fulfill the required number of courses.


**Labor Market Demand (if applicable)**

**Consistency with Institutional Mission & Institutional Impact\*** This Minor name change is consistent with the USU mission of being a student-centered land grant university. It should not impact other USHE Institutions in that USU has the only Applied Economics Department and no other institution offers an Applied Economics Minor.

**Finances\*** No changes in finances are anticipated. All courses are currently being taught.


**Section III: Curriculum (if applicable)****Program  
Curriculum  
Narrative**

There are 9 credits of required courses for this minor. There are 6 elective credits required for this minor. Therefore the minor requires a minimum of 15 credits.

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

**ITEM FOR ACTION**

Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes creating a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability.

**EXECUTIVE SUMMARY**

The School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes creating a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to create a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes creating a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability, and

WHEREAS, The proposed emphasis will provide students with a strong foundation of skills necessary to be successful in their related technical careers, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to create a new emphasis in the Technology Systems Bachelor of Science degree for Quality and Reliability in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_

# College of Agriculture and Applied Sciences - School of Applied Sciences, Technology and Education

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

<b>COLLEGE (include all cross listed colleges)*</b>	College of Agriculture and Applied Sciences
<b>DEPARTMENT (include all cross listed departments)*</b>	School of Applied Sciences, Technology and Education
<b>Current Title (if applicable)</b>	
<b>Proposed Title</b>	Technology Systems Quality and Reliability Emphasis

**Step 3: Enter** the Correct CIP Code Using the Following Website:

Classification Instructional Programs

<b>CIP Code (6-digits) *</b> 150799	
<b>Minimum Number of Credits (if applicable) *</b> 120	<b>Maximum Number of Credits (if applicable) *</b> 120
<b>Type of Degree: BS (BA, BS, etc.) *</b>	

**Request****Step 4: Select the Type of Change Being Requested.**

<b>New Programs:</b>	<input type="checkbox"/> New Certificates of Proficiency (except Institutional Certificates of Proficiency) <input type="checkbox"/> New Certificates of Completion <input type="checkbox"/> New Post-Baccalaureate and Post-Masters Certificates <input type="checkbox"/> New Minors <input checked="" type="checkbox"/> New Emphases within an Approved Degree <input type="checkbox"/> New K-12 Endorsements <input type="checkbox"/> Other
<b>Existing Program Changes:</b>	<input type="checkbox"/> Program Transfer <input type="checkbox"/> Program Restructure <input type="checkbox"/> Program Consolidation <input type="checkbox"/> Program Suspension <input type="checkbox"/> Program Discontinuation <input type="checkbox"/> Program Name Change <input type="checkbox"/> Out-of-Service Area Delivery of a Program <input type="checkbox"/> Reinstatement of a Previously Suspended Program <input type="checkbox"/> Other
<b>Administrative Unit Changes:</b>	<input type="checkbox"/> New Administrative Units <input type="checkbox"/> Administrative Unit Transfer <input type="checkbox"/> Administrative Unit Restructure <input type="checkbox"/> Administrative Unit Consolidation <input type="checkbox"/> Reinstatement of Previously Suspended Administrative Units <input type="checkbox"/> Other
<b>Creation of Non-Administrative</b>	<input type="checkbox"/> New Center

- Units:**  New Institute  
 New Bureau  
 Other

**Other: (explain change)**

### Additional Approvals (if applicable)

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

### Section I: The Request

**R401 Purpose\*** The purpose of this proposal is to create a new emphasis in the Technology Systems BS degree for Quality and Reliability. The skills offered in this emphasis are needed to continue to develop a relevant workforce that meets the demands of our industry partners.

### Section II: Program Proposal

**Proposed Action & Rationale\*** This proposal creates a new emphasis in the Technology Systems BS degree for Quality and Reliability. Due to the growth in the field, as identified by our industry partners and the Department of Workforce Service (DWS), we have identified 15 credits of courses that will provide a strong foundation of the skills the students will need to be successful in their related technical careers.

**Labor Market Demand (if applicable)** Our industry partners in an advisory council have indicated a strong need for us to provide this emphasis. The department of Workforce Services in northern Utah reports that in the past six months 477 related jobs were posted. Workforce Services is also projecting a 3.2% (est. 4000 people) increase in the workforce demand in the area of quality and reliability by 2026.

**Consistency with Institutional Mission & Institutional Impact\*** As a land grant institution, the mission of the university is to serve the public through learning, discovery, and engagement. This new emphasis will provide students with the opportunity to learn valuable skills relevant to the needs of industry throughout the state. Thus allowing the students to engage with industry as they prepare to enter the workforce.

**Finances\*** The courses for this emphasis will be taught using current resources and not



The courses for this emphasis will be taught using current resources and only require some investment for initial course development. Additionally the industry

partners are willing to assist students by providing internship and work experience while they pursue the degree.

### Section III: Curriculum (if applicable)

**Program  
Curriculum  
Narrative**

This emphasis will follow the existing prescribed coursework for the Technology Systems degree, with this new emphasis requiring the following 5 courses:


TESY 4500 - Quality Management Systems

TESY 4510 - Quality Root Cause Analysis Methods and Applications

TESY 4520 - Statistical Quality Control w/ SPC


TESY 4530 - Principles of Lean Manufacturing

TESY 4540 - Metrology & Six Sigma Basics

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

### **Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

**ITEM FOR ACTION**

Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes offering a Non-formal and Community-Based Education Minor.

**EXECUTIVE SUMMARY**

The School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes offering a Non-formal and Community-Based Education Minor.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to offer a Non-formal and Community-Based Education Minor in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes offering a Non-formal and Community-Based Education Minor, and

WHEREAS, The proposed Minor will prepare students for careers in outreach, industry training and development, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to offer a Non-formal and Community-Based Education Minor in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

\_\_\_\_\_  
DATE:

# College of Agriculture and Applied Sciences - School of Applied Sciences, Technology and Education

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

**COLLEGE** (include all cross listed colleges)\*

College of Agriculture and Applied Sciences

**DEPARTMENT** (include all cross listed departments)\*

School of Applied Sciences, Technology and Education

**Current Title** (if applicable)

**Proposed Title** Nonformal and Community-Based Education Minor

**Step 3: Enter** the Correct CIP Code Using the Following Website:

## Classification Instructional Programs

<b>CIP Code (6-digits) *</b> 13.9999	
<b>Minimum Number of Credits (if applicable) *</b> 14	<b>Maximum Number of Credits (if applicable) *</b> 18
<b>Type of Degree: (BA, BS, etc.) *</b> Minor	

### Request

#### Step 4: Select the Type of Change Being Requested.

<b>New Programs:</b>	<input type="checkbox"/> New Certificates of Proficiency (except Institutional Certificates of Proficiency) <input type="checkbox"/> New Certificates of Completion <input type="checkbox"/> New Post-Baccalaureate and Post-Masters Certificates <input checked="" type="checkbox"/> New Minors <input type="checkbox"/> New Emphases within an Approved Degree <input type="checkbox"/> New K-12 Endorsements <input type="checkbox"/> Other
<b>Existing Program Changes:</b>	<input type="checkbox"/> Program Transfer <input type="checkbox"/> Program Restructure <input type="checkbox"/> Program Consolidation <input type="checkbox"/> Program Suspension <input type="checkbox"/> Program Discontinuation <input type="checkbox"/> Program Name Change <input type="checkbox"/> Out-of-Service Area Delivery of a Program <input type="checkbox"/> Reinstatement of a Previously Suspended Program <input type="checkbox"/> Other
<b>Administrative Unit Changes:</b>	<input type="checkbox"/> New Administrative Units <input type="checkbox"/> Administrative Unit Transfer <input type="checkbox"/> Administrative Unit Restructure <input type="checkbox"/> Administrative Unit Consolidation <input type="checkbox"/> Reinstatement of Previously Suspended Administrative Units <input type="checkbox"/> Other
<b>Creation of Non-Administrative</b>	<input type="checkbox"/> New Center

- Units:**  New Institute  
 New Bureau  
 Other

**Other: (explain change)**

### Additional Approvals (if applicable)

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

### Section I: The Request

**R401 Purpose\*** Utah State University requests approval to offer the following Minor Degree: Nonformal and Community-Based Education. Effective Fall 2020.

### Section II: Program Proposal

**Proposed Action & Rationale\***

USU seeks to add a minor degree within the School of Applied Sciences, Technology, and Education. Based on labor market demand and student interest in Nonformal and Community-Based Education (NCE), this minor with a focus on nonformal education is necessary. The NCE minor prepares students for careers in outreach, industry training and development, talent recruitment and preparation, and as education specialists in nonformal settings. Nonformal or informal education happens outside of the formal classroom, often in local communities and in partnership with government, private, or nonprofit organizations. Community-based career work frequently requires education techniques and skills for a wide variety of participants, with audiences from young children, to adolescent youth, to adults and aging adults. Many organizations are looking for people with active-learning instructional skills, the ability to manage volunteers, design teaching events, evaluate curriculum and program impacts, and create connection through teambuilding. The required courses for the minor support organizational and community needs for establishing the next generation of informal educators. It is designed to apply to a variety of students with different interest areas who have a common desire to work officially or unofficially with community-driven programs.

**Labor Market Demand (if applicable)**

A significant demand exists in Utah for nonformal and outreach educators. This career is among those with the fastest predicted growth rate, with a 4% increase in need before 2024. According to the Bureau of Labor Statistics, self-enrichment teachers may teach or instruct in areas of self-improvement, which may be non-vocational and/or non-academic subjects. They include nonformal educators who improve society by working within programs that provide public and private education through community education, youth development, adult literacy, and



education through community education, youth development, adult literacy, and land-grant Extension education. Nonformal educators fulfill a societal need by strengthening public skill base, increasing motivation for higher personal achievement, and building capacity for economic growth at the community level. Additionally, occupational projections indicate a need in Utah for community-service leadership, nonformal instruction coordinators, and tourism educators and guides. For those students looking for a broader career path, a USDA report from 2015 predicted a shortage of 7,200 positions nationally in education, communication, and government services by 2020. These jobs include Extension educators, government agency workers, and private and public nonformal educators.

**Consistency with Institutional Mission & Institutional Impact\***

The minor is consistent with USU's land-grant mission of education and outreach. Nonformal and community-based education prepares students to "serve the public through learning, discovery and engagement." Because of USU's unique mission, the proposed minor does not overlap or conflict with any other USHE institution. The program will not be delivered outside of the designated service area. While some coursework may be offered online, most will be delivered at USU campuses.

**Finances\***

There will be no changes required to implement the NCE minor as it only incorporates existing courses, faculty, staff, and facilities. The NCE minor does not require the development of new courses and will be offered using current faculty resources. All courses offered as electives outside of the College of Agriculture and Applied Sciences have been approved for use within the minor by the respective program directors or department heads. The approvals have been documented.

### Section III: Curriculum (if applicable)

**Program Curriculum Narrative**

**Eligibility Requirements:**


New first-year students, transfer students, and students from other USU majors who have at least a 2.5 overall GPA qualify to enter the Nonformal and Community-Based Education (NCE) minor. The NCE minor requires a minimum of 14 credit hours. Students must complete all required courses, plus one elective course. The maximum number of credits that may be obtained for completion is 18. Students must obtain a grade of C or higher for all associated courses to be awarded the minor.

Students should determine if they meet the eligibility requirements then submit a one-page, double-spaced letter of intent to the program advisor. The letter should explain why they are interested in declaring for the minor and their intended career path. The letters will be reviewed and accepted by the Program Coordinator. Students are required to meet with the program advisor prior to declaring the minor to discuss the change and review their degree plan in Degree Works.

The elective courses have been selected to give each student the expertise to excel in careers associated with nonformal or community-based education. Students can determine their own individual focus based on personal preference for people and education, organizations and leadership, advocacy, or a mixture of


for people and education, organizations and leadership, advocacy, or a mixture of these courses. It is recommended that students consider their elective choices carefully and seek for electives in multiple categories to ensure a well-rounded approach to community outreach. Students may ask the Program Coordinator about additional elective choices that will be considered on an individual basis.

Students working toward a BS degree in Agricultural or Family and Consumer Science Education are not eligible to complete the Nonformal and Community-Based Education (NCE) minor.

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.



13 March 2020

**ITEM FOR ACTION**

Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes offering a PhD in Career and Technical Education.

**EXECUTIVE SUMMARY**

The School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes offering a PhD in Career and Technical Education.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to offer a PhD in Career and Technical Education in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes offering a PhD in Career and Technical Education, and

WHEREAS, The proposal supports Utah State University's mission by preparing educators and leaders in learning, discovery and engagement, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to offer a PhD in Career and Technical Education in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

\_\_\_\_\_  
DATE:

# College of Agriculture and Applied Sciences - School of Applied Sciences, Technology and Education

## 4.1.b R401 Full Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Complete** the R401 Full Template which can be downloaded from the following location: <http://www.usu.edu/epc/forms/>.

**Step 3: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

**COLLEGE** (include all cross listed colleges)\*

College of Agriculture and Applied Sciences


**DEPARTMENT** (include all cross listed departments)\*

School of Applied Sciences, Technology and Education

**Additional Approvals (if applicable)**


**Graduate Council\***  Yes  
 No

**Council on  
Teacher  
Education\***  Yes  
 No

**Step 4: Attach** completed R401 Full Template to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 5: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

**Utah System of Higher Education  
New Academic Program Proposal  
Cover/Signature Page - Full Template**

**Institution Submitting Request:** Utah State University  
**Proposed Program Title:** PhD - Career and Technical Education  
**Are There New Emphases:** Yes  No   
**Names of New Emphases (Separated by Commas):**  
**Sponsoring School, College, or Division:** College of Agriculture and Applied Sciences  
**Sponsoring Academic Department(s) or Unit(s):** School of Applied Sciences, Technology, and Education  
**Classification of Instructional Program Code<sup>1</sup> :** 13.0101  
**Min/Max Credit Hours Required of Full Program:** 60 / 60  
**Proposed Beginning Term<sup>2</sup>:** Fall 2020  
**Institutional Board of Trustees' Approval Date:**

**Program Type (check all that apply):**

<input type="checkbox"/> (AAS)	Associate of Applied Science Degree
<input type="checkbox"/> (AA)	Associate of Arts Degree
<input type="checkbox"/> (AS)	Associate of Science Degree
<input type="checkbox"/>	Specialized Associate Degree (specify award type <sup>3</sup> : )
<input type="checkbox"/>	Other (specify award type <sup>3</sup> : )
<input type="checkbox"/> (BA)	Bachelor of Arts Degree
<input type="checkbox"/> (BS)	Bachelor of Science Degree
<input type="checkbox"/> (BAS)	Bachelor of Applied Science Degree
<input type="checkbox"/>	Specialized Bachelor Degree (specify award type <sup>3</sup> : )
<input type="checkbox"/>	Other (specify award type <sup>3</sup> : )
<input type="checkbox"/> (MA)	Master of Arts Degree
<input type="checkbox"/> (MS)	Master of Science Degree
<input type="checkbox"/>	Specialized Master Degree (specify award type <sup>3</sup> : )
<input type="checkbox"/>	Other (specify award type <sup>3</sup> : )
<input checked="" type="checkbox"/>	Doctoral Degree (specify award type <sup>3</sup> : PhD )
<input type="checkbox"/>	K-12 School Personnel Program
<input type="checkbox"/>	Out of Service Area Delivery Program <input type="checkbox"/> Attached MOU
<input type="checkbox"/>	Out of Mission Program
<input type="checkbox"/>	NEW Professional School

<sup>1</sup> For CIP code classifications, please see <http://nces.ed.gov/ipeds/cipcode/Default.asp?y=15>.

<sup>2</sup> "Proposed Beginning Term" refers to first term after Regent approval that students may declare this program.

<sup>3</sup> Please indicate award such as APE, BFA, MBA, MEd, EdD, JD

**Changes to Existing Programs or Administrative Units Required (check all that apply, if any):**

<input type="checkbox"/>	Program Restructure with or without Consolidation
<input type="checkbox"/>	Emphases transfer from another program or academic unit
<input type="checkbox"/>	Name Change of Existing Program or Academic Unit
<input type="checkbox"/>	Program transfer to a different academic unit
<input type="checkbox"/>	Suspension or discontinuation of a unit or program
<input type="checkbox"/>	Reinstatement of a previously suspended/discontinued program or administrative unit
<input type="checkbox"/>	Other

**Chief Academic Officer (or Designee) Signature:**

I, the Chief Academic Officer or Designee, certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

Please type your first and last name \_\_\_\_\_ Date:

I understand that checking this box constitutes my legal signature.

## Utah System of Higher Education Program Description - Full Template

### Section I: The Request

Utah State University requests approval to offer the following Doctoral degree(s): PhD - Career and Technical Education effective Fall 2020. This program was approved by the institutional Board of Trustees on .

### Section II: Program Proposal

#### Program Description

*Present a complete, formal program description.*

The School of Applied Sciences, Technology, and Education (ASTE) in the College of Agriculture and Applied Sciences (CAAS) at Utah State University (USU) proposes to offer a doctoral program to develop scholars and leaders for formal career and technical education and for nonformal education professions in the applied sciences. The program will prepare students in the areas of research and evaluation, pedagogy, curriculum development, educational theory, educational leadership, and assessment resulting in teaching, administration, extension service, and training careers. The program will also prepare students for development positions in public and private education, business/industry, and government agencies. Building on previous experiences, students will be able to assume leadership roles, manage programs, and teach in a variety of settings.

#### Consistency with Institutional Mission

*Explain how the program is consistent with the institution's Regents-approved mission, roles, and goals (see mission and roles at [higheredutah.org/policies/policy312](http://higheredutah.org/policies/policy312)) or, for "out of mission" program requests, the rationale for the request.*

This proposed doctoral program supports Utah State University's mission as Utah's land grant university by preparing educators and leaders in learning (e.g., teacher preparation), discovery (e.g., research and evaluation), and engagement (e.g., extension and nonformal education).

### Section III: Needs Assessment

#### Program Rationale

*Describe the institutional procedures used to arrive at a decision to offer the program. Briefly indicate why such a program should be initiated. State how the institution and the USHE benefit by offering the proposed program.*

Currently, the School of ASTE offers an interdepartmental doctoral program with the School of Teacher Education and Leadership in the College of Education and Human Services. As interest by students in Career and Technical Education (CTE) related doctoral programs has increased and as teaching capacity in ASTE has increased, we now have the demand and the capacity to develop a doctoral program. The enrollment of CTE concentration students in the TEAL doctoral program has stretched the capacity of the TEAL faculty, staff, and courses. Further, the TEAL program is solely focused on formal education in the primary academic areas and is not meeting the needs of students interested in career and technical education and nonformal education in the applied sciences. CTE provides courses and pathways (e.g., agriculture, business, marketing, health sciences, family and consumer sciences, information technology, technology and engineering) consistent with industry standards. Exploratory courses begin in the seventh grade, and subsequent courses teach students specific job readiness and job skills, which can lead to employment and postsecondary education.

#### Labor Market Demand

*Provide local, state, and/or national labor market data that speak to the need for this program. Occupational demand, wage, and number of annual openings information may be found at sources such as Utah DWS Occupation Information Data Viewer ([jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do](http://jobs.utah.gov/jsp/wi/utalmis/gotoOccinfo.do)) and the Occupation Outlook Handbook ([www.bls.gov/oco](http://www.bls.gov/oco)).*

There is a significant need at the national, regional, and local level for faculty members in teacher preparation programs in career and technical education fields. Individuals prepared in this program will be able to assume the role of a career and technical education teacher educator and help meet the growing need for CTE teachers at the middle, secondary, and



postsecondary levels. For example, Utah's Department of Workforce services notes that "This occupation (i.e., vocational education teachers, postsecondary) is expected to experience faster than average employment growth with a high volume of annual job openings. Expansion, as opposed to the need for replacements, will provide the majority of job openings in the coming decade (<https://jobs.utah.gov/jsp/utalmis/#/occupation/25-1194.00/report>). Further, there is need for leadership in career and technical education post-secondary institutions, including technical colleges and community colleges. Additionally, this degree would be attractive to university extension professionals. The extension administration population is aging within Utah and throughout the nation and there is a lack for trained professionals available to fill this gap. This PhD program would be one of a handful across the country, USU is poised to be the premier institution for the development of extension leaders needing a research degree focusing on evaluation and education.

### **Student Demand**

*Provide evidence of student interest and demand that supports potential program enrollment. Use Appendix D to project five years' enrollments and graduates. Note: If the proposed program is an expansion of an existing program, present several years enrollment trends by headcount and/or by student credit hours that justify expansion.*

Student enrollment in CTE concentration of the curriculum and instruction specialization of the PhD in Education has grown from an average of two students per year to six students and now to ten, with additional students expressing interest in the program. Once the program is separated from TEAL, it will have identifiable name recognition and can be marketed more clearly to the target population, thereby increasing student enrollment. Currently, the TEAL program only allows residents of the State of Utah to enroll in the program. This is a limitation to student enrollment that will be eliminated with the proposed doctoral program in Career and Technical Education.

### **Similar Programs**

*Are similar programs offered elsewhere in the USHE, the state, or Intermountain Region? If yes, identify the existing program(s) and cite justifications for why the Regents should approve another program of this type. How does the proposed program differ from or compliment similar program(s)?*

There are no programs in the USHE system or at other institutions in Utah or in the Intermountain West that offer a doctoral program specific to career and technical education or nonformal applied sciences education.

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

*Indicate if the program will be delivered outside of designated service area; provide justification. Service areas are defined in [highereducation.org/policies/policy315/](http://higheredutah.org/policies/policy315/). Assess the impact the new program will have on other USHE institutions. Describe any discussions with other institutions pertaining to this program. Include any collaborative efforts that may have been proposed.*

It is expected that this program will have no impact on other USHE institutions.

### **External Review and Accreditation**

*Indicate whether external consultants or, for a career and technical education program, program advisory committee were involved in the development of the proposed program. List the members of the external consultants or advisory committee and briefly describe their activities. If the program will seek special professional accreditation, project anticipated costs and a date for accreditation review.*

This program will not seek special professional accreditation. Faculty members who developed and are part of the proposed doctoral program have been faculty members in the interdepartmental doctoral program in Education (TEAL).



## Section IV: Program Details

### Graduation Standards and Number of Credits

*Provide graduation standards. Provide justification if number of credit or clock hours exceeds credit limit for this program type described in R401-3.11, which can be found at [higheredutah.org/policies/R401](http://higheredutah.org/policies/R401).*

Students entering the program with a master's degree will be required to earn a minimum of 60 credits for graduation. All students will complete a 30 credit research core (which includes 12 credits of dissertation), a 9 credit education core, and an 18 credit professional practice core. To further enhance student engagement, accepted doctoral students will be required to complete two weeks of residency on campus during two summer semesters. The number of credits required is consistent with other doctoral programs across the nation. Upon the completion of course work PhD graduate students will be required to pass a comprehensive competency exam and successfully defend a research proposal prior to advancing to candidacy. Candidates will further demonstrate competency by either submitting a peer-reviewed paper/poster or delivering a regional/national presentation (outside of USU). In addition, an approved research project must be completed, documented in a dissertation, defended, submitted and approved by the USU School of Graduate Studies.

### Admission Requirements

*List admission requirements specific to the proposed program.*

Prospective students will submit the standard graduate school application through the School of Graduate Studies. Admissions criteria will be consistent with USU's School of Graduate Studies requirements, including a GPA for the last 60 credits of at least a 3.0 and GRE scores for the verbal and quantitative areas at the 40th percentile or above. Applicants should have completed a master's degree in a field aligned with education. Applicants will also need to demonstrate, through their statement of interest/letter of intent, fit and research interests that are consistent with current faculty in the program.

### Curriculum and Degree Map

*Use the tables in Appendix A to provide a list of courses and Appendix B to provide a program Degree Map, also referred to as a graduation plan.*

## Section V: Institution, Faculty, and Staff Support

### Institutional Readiness

*How do existing administrative structures support the proposed program? Identify new organizational structures that may be needed to deliver the program. Will the proposed program impact the delivery of undergraduate and/or lower-division education? If yes, how?*

Students are currently able to complete a PhD in this area through the interdepartmental doctoral degree program offered jointly between ASTE and the School of Teacher Education and Leadership (TEAL). The student enrollment in the Career and Technical Education concentration for formal and nonformal education students, has stretched the capacity of Teacher Education and Leadership (TEAL) faculty as the, in addition the ASTE department has recently increased the number of PhD CTE faculty who can deliver the programming and continue to grow the PhD program in the quickly advancing technical and applied science areas.

### Faculty

*Describe faculty development activities that will support this program. Will existing faculty/instructors, including teaching/graduate assistants, be sufficient to instruct the program or will additional faculty be recruited? If needed, provide plans and resources to secure qualified faculty. Use Appendix C to provide detail on faculty profiles and new hires.*

USU is poised to offer the state and region's only doctoral program in formal career and technical education and nonformal applied sciences education. The School of ASTE currently has 12 faculty members with PhDs and formal teaching experience in career and technical education. In addition to these 12 faculty members, six faculty members with PhDs have experience in nonformal applied sciences and technology education. This is a sufficient number of faculty members to successfully offer this program, teach courses, and advise doctoral students.

## **Staff**

*Describe the staff development activities that will support this program. Will existing staff such as administrative, secretarial/ clerical, laboratory aides, advisors, be sufficient to support the program or will additional staff need to be hired? Provide plans and resources to secure qualified staff, as needed.*

If the program is approved, a full-time staff graduate program coordinator (GPC) will be needed. Current departmental resources will be allocated for this position.

## **Student Advisement**

*Describe how students in the proposed program will be advised.*

Students will be assigned a faculty graduate committee chair, based on aligned scholarly interests, at the time they are admitted to the program. This faculty member will remain the student's primary advisor through the student's time in the program. In addition to their faculty chair, each student will select a graduate supervisory committee consisting of four additional faculty members, including one outside of the degree program, who hold the doctoral degree. This committee will regularly review progress in the program.

## **Library and Information Resources**

*Describe library resources required to offer the proposed program if any. List new library resources to be acquired.*

No additional library resources will be needed to support this program. Key journals in career and technical education and nonformal applied sciences, technology and education are available digitally through USU's library.

## **Projected Enrollment and Finance**

*Use Appendix D to provide projected enrollment and information on related operating expenses and funding sources.*

# **Section VI: Program Evaluation**

## **Program Assessment**

*Identify program goals. Describe the system of assessment to be used to evaluate and develop the program.*

The overall goal of this program is to develop PhD graduates who will be prepared to conduct scholarly work (research & evaluation), use learning theories to instruct others, and develop programming (curriculum) for learners in formal and nonformal education settings. Graduates will possess the knowledge and critical thinking skills to educate others, conduct research, and evaluate data impacting policy and planning in local, state, and national settings. The doctoral program will prepare students for careers in teaching, administration, extension service, and training. An evaluation from graduates of the program will be an important metric of success. While in the program, students will be expected to meet certain standards (as described below). Outcomes on these standards will also be used to judge program success.

## **Student Standards of Performance**

*List the standards, competencies, and marketable skills students will have achieved at the time of graduation. How and why were these standards and competencies chosen? Include formative and summative assessment measures to be used to determine student learning outcomes.*

Upon completion of the program, students will be prepared to design and conduct meaningful research employing a variety of methods to make a significant contribution to the literature. Students will also engage in experimental learning activities to prepare them for the professoriate, such as grant writing, writing for peer-reviewed publications, and university teaching. Completion of the PhD program will provide students with marketable skills and experiences for academic positions or as leaders in nonformal educational settings.

- Explore the interrelationship between education, learning, and society.

- Analyze how the constructs of teaching and learning have been conceptualized by major scholars of the past century and consider the adaptation and application of traditional and emerging learning theories in formal (career and technical education) and nonformal (experiential applied science) settings.
- Analyze the relationship among and between curriculum, teacher, students, and context.
- Develop research skills using qualitative and quantitative methods.
- Conduct scholarly activities in a responsible and ethical manner.
- Design and carry out research or evaluation projects to examine problems or issues in education.

The doctoral degree program will conduct an annual review for every student to determine if the student is making satisfactory progress in the program. The comprehensive exam, which students take after completion of coursework, will be assessed by the supervisory committee. The dissertation will be assessed by the supervisory committee, consisting of 5 members, including one from outside the department, to determine the overall quality of dissertations for degree completion. Prior to the successful completion of the program, students are also required to present at a peer-reviewed conference or submit a manuscript to a peer-reviewed journal.



## Appendix A: Program Curriculum

List all courses, including new courses, to be offered in the proposed program by prefix, number, title, and credit hours (or credit equivalences). Indicate new courses with an X in the appropriate columns. The total number of credit hours should reflect the number of credits required to be awarded the degree.

For variable credits, please enter the minimum value in the table for credit hours. To explain variable credit in detail as well as any additional information, use the narrative box at the end of this appendix.

	Course Number	NEW Course	Course Title	Credit Hours
General Education Courses (list specific courses if recommended for this program on Degree Map)				
<b>General Education Credit Hour Sub-Total</b>				
Required Courses				
+ -	ASTE XXXX	X	Curriculum Theory	3
+ -	ASTE 6360		History, Philosophy & Policy Development in Career & Technical Ed	3
+ -	ASTE XXXX	X	Theories of Teaching and Learning in Career & Technical Ed	3
+ -	ASTE 7170		Program Theory & Evaluation	3
+ -	ASTE XXXX	X	Qualitative Methods I	3
+ -	ASTE 7100		Research Methods and Academic Writing	3
+ -	ASTE 6750		Research Methods & Design (Quantitative 1)	3
+ -	ASTE 7120	X	Analysis of Social Research Data	3
+ -	ASTE XXXX	X	Research Design & Analysis II (Quantitative 2)	3
+ -	ASTE 7970		Dissertation	12
+ -	ASTE 7960		Graduate Seminar (1 credit for first 3 years)	3
+ -	ASTE 7400		Occupational Analysis & Curriculum Development	3
+ -	ASTE 7500		Diffusion of Innovations	3
+ -	ASTE 7370		Grant Writing and Management	3
Choose _____ of the following courses:				
+ -				
+ -	ASTE			
<b>Required Course Credit Hour Sub-Total</b>				51
Elective Courses				
+ -				
Choose 3 _____ of the following courses:				
+ -	ASTE 6170		Program Planning & Eval	3
+ -	ASTE 7100		Independent Study	3
+ -	ASTE 7150		Internship	3
+ -	LAEP 7800		The Professoriate	3
+ -	ASTE XXXX		College Teaching	3
+ -	ASTE XXXX		Mixed Methods Research	3
+ -				
<b>Elective Credit Hour Sub-Total</b>				9
<b>Core Curriculum Credit Hour Sub-Total</b>				60

**Program Curriculum Narrative**

*Describe any variable credits. You may also include additional curriculum information.*

**Degree Map**

*Degree maps pertain to undergraduate programs ONLY. Provide a degree map for proposed program. Degree Maps were approved by the State Board of Regents on July 17, 2014 as a degree completion measure. Degree maps or graduation plans are a suggested semester-by-semester class schedule that includes prefix, number, title, and semester hours. For more details see <http://higheredutah.org/pdf/agendas/201407/TAB%20A%202014-7-18.pdf> (Item #3).*

*Please cut-and-paste the degree map or manually enter the degree map in the table below.*



## Appendix C: Current and New Faculty / Staff Information

### Part I. Department Faculty / Staff

*Identify # of department faculty / staff (headcount) for the year preceding implementation of proposed program.*

	# Tenured	# Tenure -Track	# Non -Tenure Track
Faculty: Full Time with Doctorate	18	9	3
Faculty: Part Time with Doctorate	0	0	0
Faculty: Full Time with Masters	0	0	13
Faculty: Part Time with Masters	0	0	0
Faculty: Full Time with Baccalaureate	0	0	0
Faculty: Part Time with Baccalaureate	0	0	10
Teaching / Graduate Assistants	///	///	2
Staff: Full Time	0	0	2
Staff: Part Time	0	0	1

### Part II. Proposed Program Faculty Profiles

*List current faculty within the institution -- with academic qualifications -- to be used in support of the proposed program(s).*

	First Name	Last Name	Tenure (T) / Tenure Track (TT) / Other	Degree	Institution where Credential was Earned	Est. % of time faculty member will dedicate to proposed program.	If "Other," describe
<b>Full Time Faculty</b>							
	Richard	Beard	T	PhD	Texas A&M University	10%	
	Jamie	Cano	T	PhD	Ohio State University	10%	
	Lucy	Delgadillo	T	PhD	Utah State University	25%	
	Scott	Greenhalgh	Other	PhD	Utah State University	25%	
	Kelsey	Hall	T	EdD	Texas Tech University	15%	
	Rebecca	Lawver	T	PhD	University of Missouri	20%	
	Bruce	Miller	T	PhD	Iowa State University	10%	
	Rhonda	Miller	T	PhD	Iowa State University	10%	
	Ed	Reeve	T	PhD	Ohio State University	25%	
	Trevor	Robinson	Other	PhD	Utah State University	15%	
	Tyson	Sorensen	TT	PhD	Oregon State University	20%	
	Debra	Spielmaker	T	PhD	Utah State University	40%	
	Gary	Stewardson	T	PhD	University of Maryland	15%	
	Gary	Straquadine	T	PhD	Ohio State University	10%	
	Brian	Warnick	T	PhD	Oregon State University	15%	
	Michael	Pate	T	PhD	Iowa State University	20%	
	Rose	Judd-Murray	TT	PhD	Utah State University	15%	
	Lacee	Boschetto	TT	PhD	Utah State University	15%	
<b>Part Time Faculty</b>							

	First Name	Last Name	Tenure (T) / Tenure Track (TT) / Other	Degree	Institution where Credential was Earned	Est. % of time faculty member will dedicate to proposed program.	If "Other," describe

**Part III: New Faculty / Staff Projections for Proposed Program**

*Indicate the number of faculty / staff to be hired in the first three years of the program, if applicable. Include additional cost for these faculty / staff members in Appendix D.*

	# Tenured	# Tenure -Track	# Non -Tenure Track	Academic or Industry Credentials Needed	Est. % of time to be dedicated to proposed program.
Faculty: Full Time with Doctorate					
Faculty: Part Time with Doctorate					
Faculty: Full Time with Masters					
Faculty: Part Time with Masters					
Faculty: Full Time with Baccalaureate					
Faculty: Part Time with Baccalaureate					
Teaching / Graduate Assistants	////	////			
Staff: Full Time				Staff Assistant II	100%
Staff: Part Time					



## Appendix D: Projected Program Participation and Finance

### Part I.

*Project the number of students who will be attracted to the proposed program as well as increased expenses, if any. Include new faculty & staff as described in Appendix C.*

Three Year Projection: Program Participation and Department Budget						
	Year Preceding Implementation	New Program				
		Year 1	Year 2	Year 3	Year 4	Year 5
<b>Student Data</b>						
# of Majors in Department	1,271	1,300	1,310	1,315	1,325	1,335
# of Majors in Proposed Program(s)	////	10	10	15	15	15
# of Graduates from Department	208	212	220	220	230	240
# Graduates in New Program(s)	////	0	0	3	5	6
<b>Department Financial Data</b>						
	Department Budget					
	Year Preceding Implementation (Base Budget)	Year 1	Year 2	Year 3		
		Addition to Base Budget for New Program(s)	Addition to Base Budget for New Program(s)	Addition to Base Budget for New Program(s)		
<i>Project additional expenses associated with offering new program(s). Account for New Faculty as stated in Appendix C, "Faculty Projections."</i>						
<b>EXPENSES – nature of additional costs required for proposed program(s)</b>						
<i>List salary benefits for additional faculty/staff each year the positions will be filled. For example, if hiring faculty in year 2, include expense in years 2 and 3. List one-time operating expenses only in the year expended.</i>						
Personnel (Faculty & Staff Salary & Benefits)		\$47,342	\$48,525	\$49,739		
Operating Expenses (equipment, travel, resources)		\$500	\$500	\$500		
Other:						
<b>TOTAL PROGRAM EXPENSES</b>	////	\$47,842	\$49,025	\$50,239		
<b>TOTAL EXPENSES</b>	\$0	\$47,842	\$49,025	\$50,239		
<b>FUNDING – source of funding to cover additional costs generated by proposed program(s)</b>						
<i>Describe internal reallocation using Narrative 1 on the following page. Describe new sources of funding using Narrative 2.</i>						
Internal Reallocation						
Appropriation						
Special Legislative Appropriation						
Grants and Contracts						
Special Fees						
Tuition		\$47,842	\$49,025	\$50,239		
Differential Tuition (requires Regents approval)						
<b>PROPOSED PROGRAM FUNDING</b>	////	\$47,842	\$49,025	\$50,239		
<b>TOTAL DEPARTMENT FUNDING</b>	\$0	\$47,842	\$49,025	\$50,239		
<b>Difference</b>						
Funding - Expense	\$0	\$0	\$0	\$0		

## Part II: Expense explanation

### Expense Narrative

*Describe expenses associated with the proposed program.*

Internal reallocations of faculty effort will be required to develop and teach courses in this program. The department has faculty members as part of existing programs who have endorsed this proposal and can teach and mentor PhD students. This plan also includes the ability to use graduate teaching assistants to teach undergraduate courses while the faculty shift time to mentor the graduate students. Teaching courses will be integrated into graduate student programs as many of the PhD candidates may choose to be post-secondary teacher educators. The one additional expense is the requirement of a full-time staff member to serve as the Graduate Program Coordinator and marketing specialist for the program.

## Part III: Describe funding sources

### Revenue Narrative 1

*Describe what internal reallocations, if applicable, are available and any impact to existing programs or services.*

Graduate program faculty members support this proposal and are looking at adjusting work plans to cover the development, teaching and mentoring to support graduate students in this program.

### Revenue Narrative 2

*Describe new funding sources and plans to acquire the funds.*

The School requests on-going funding derived from tuition to support the graduate program coordinator. This individual will also provide marketing expertise. We project this position to be a Staff II position and will require a salary of ~\$32,650 (plus benefits of ~\$14,693 (45%)). The ongoing budget request of \$47,342 (salary and benefits) and \$500 for office operations will allow for a smooth program start up. This individual will also assist with marketing the program and serve as the initial point for student contact.

13 March 2020

**ITEM FOR ACTION**

Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes redefining Career and Technical Education programs at three statewide campuses.

**EXECUTIVE SUMMARY**

The School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes redefining Career and Technical Education programs at three statewide campuses.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to redefine Career and Technical Education programs at three statewide campuses in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes redefining Career and Technical Education programs at three statewide campuses, and

WHEREAS, The proposal supports Utah State University's mission by advancing Career and Technical Education program in Southeast Utah, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to redefine Career and Technical Education programs at three statewide campuses in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_

# College of Agriculture and Applied Sciences - School of Applied Sciences, Technology and Education

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

<b>COLLEGE (include all cross listed colleges)*</b>	College of Agriculture and Applied Sciences
<b>DEPARTMENT (include all cross listed departments)*</b>	School of Applied Sciences, Technology and Education
<b>Current Title (if applicable)</b>	
<b>Proposed Title</b>	

**Step 3: Enter** the Correct CIP Code Using the Following Website: [Classification Instructional Programs](#)

<b>CIP Code (6-digits) *</b>	49.0000
<b>Minimum Number of Credits (if applicable)*</b>	16
<b>Maximum Number of Credits (if applicable)*</b>	45
<b>Type of Degree: (BA, BS, etc.)*</b>	CP and CC

### Request

**Step 4: Select** the Type of Change Being Requested.

<b>New Programs:</b>	<input checked="" type="checkbox"/> New Certificates of Proficiency (except Institutional Certificates of Proficiency) <input checked="" type="checkbox"/> New Certificates of Completion <input type="checkbox"/> New Post-Baccalaureate and Post-Masters Certificates <input type="checkbox"/> New Minors <input type="checkbox"/> New Emphases within an Approved Degree <input type="checkbox"/> New K-12 Endorsements <input type="checkbox"/>
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Other

**Existing Program Changes:**

- Program Transfer
- Program Restructure
- Program Consolidation
- Program Suspension
- Program Discontinuation
- Program Name Change
- Out-of-Service Area Delivery of a Program
- Reinstatement of a Previously Suspended Program
- Other

**Administrative Unit Changes:**

- New Administrative Units
- Administrative Unit Transfer
- Administrative Unit Restructure
- Administrative Unit Consolidation
- Reinstatement of Previously Suspended Administrative Units
- Other

**Creation of Non-Administrative Units:**

- New Center
- New Institute
- New Bureau
- Other

Other: (explain change)

**Additional Approvals (if applicable)**

Graduate Council\*  Yes  
 No

Council on Teacher Education\*  Yes  
 No

**Section I: The Request**

**R401 Purpose\* Section I: The Request (R401 Purpose)**

The purpose of this R401 is to redefine Career and Technical Education (CTE) programs offered by Utah State University at three statewide campuses in southeast Utah: USU Eastern (Price), USU Moab, and USU Blanding. Technical education in these areas were originally aligned with the Southeast Applied Technology Center (SEATC), a technical training center similar to a Utah Technical College (U-TECH), that operated from 1994 to 2008. The SEATC merged with the College of Eastern Utah (CEU) in 2007 and CTE lost its identity as a stand-alone technical education and training center. SEATC programs were converted from membership hours to CEU credit hours. A non-credit, custom-fit training component was retained. The SEATC budget line was merged into the CEU budget. In 2010, CEU merged with Utah State University. In that merger, the CTE programs were aligned with typical academic programs (Associate of Science and Associates of Arts) found at a regional community college. Some certificate programs were amplified to contain a small amount of general education requirements and configured to become Associates of Applied Science degrees. The emphasis on certificate-based occupational education was diminished over the past 11 years.

The 2019 Utah Legislature provided funding and a mandate to advance Career and Technical Education. Senate Bill 232 directed Utah State University's southeast Utah campuses to redefine CTE programs. Funding for an improved CTE tuition model was provided as well as new, on-going funding for six new CTE programs in southeast Utah.

Simultaneous to legislative expected changes, the School of Applied Sciences, Technology, and Education (ASTE) submitted an R401 in early 2019 to establish a Division of Career and Technical Education. Appropriately placed within the School of Applied Sciences, Technology, and Education, the CTE division has been approved through the Curriculog process all the way through the USU Board of Trustees. The proposed changes to USU CTE programs in the southeast are offered through the CTE Division of ASTE.

This R401 will describe the 29 industry-defined CTE programs/certificates to be delivered in southeast Utah. Twenty-seven

programs are certificate-based CTE programs that are industry certified and meet CTE program accreditation standards. An advisory committee for each program area has approved the proposed changes. All proposed CTE program changes are independent of university accreditation expectations, as confirmed by the Office of Analysis, Assessment, and Accreditation (AAA Office). As a point of clarity, the AAA Office oversees institutional accreditation by the Northwest Commission on Colleges and Universities. Individual CTE programs may be accredited, and/or certified by external profession agencies.

**Section II: Program Proposal**

**Proposed Action & Rationale\***

**Section II: Program Proposal**

The proposed program changes are in response to 2019 legislative action and an upgrade to tuition and program funding for 29 CTE programs offered by USU at the three statewide campuses in southeast Utah.

There are four categories to change for the CTE programs in southeast Utah. The first set of changes relates to new, never offered before CTE certificate programs. There are four new programs. See table below. The second set of changes involves dividing a current certificate in Heavy Equipment and Trucking (HETR) into two, independent CTE certificates. Third type of change involves new CTE certificates carved out of four AAS programs. The fourth type of change is to codify four "orphan" CTE programs into CTE certificates, as recommended by industry advisory groups and Department of Workforce Services.

Certificates Disciplines	Disposition
<b>New, Never Offered Before CTE Certificates (CP or CC)</b>	
Automated Manufacturing (CC)	New CTE Certificate
Instruments and Controls (for powerplant) (CP)	New CTE Certificate
Industrial Mechanic (for powerplant) (CP)	New CTE Certificate
Software Development (CC)	New CTE Certificate
<b>Change to Current Certificate Program</b>	
Heavy Equipment Operator	New CTE Certificate. Currently part of HETR CC
Commercial Driver's License (CDL)	New CTE Certificate. Currently part of HETR CC
<b>Former AAS Degrees to Convert to CTE Certificate of Completion</b>	
Diesel Technician (CC)	New certificate from existing AAS; Retain AAS
Cosmetology (CC)	New certificate from existing AAS; Retain AAS
Small Business Operations (CC)	New certificate from existing AB; retain AB
IT Support and Web Development (CC)	New certificate from existing AAS; Retain AAS
Airframes - Aviation Mechanics	New certificate from existing AAS; Retain AAS
Powerplants - Aviation Mechanics	New certificate from existing AAS; Retain AAS
<b>Orphan Programs in Need of CTE Certificate (CP or CC)</b>	
Apprentice Electrician	New CTE Certificate; DOPL license; convert to Cert
Phlebotomy	Licensure program; needs to become a certificate
Emergency Medical Technician	Licensure program; needs to become a certificate
Police Officers Standards Training - SFO, BCO & LEO	Licensure program; needs to become a certificate

CTE Course fees will remain the same as currently required. Many courses have approved course fees from previous program design. The course fees for new program will follow the course fee initiation and approval process, as regulated by the university course fee procedure. CTE leaders for the four new programs have not made a decision on course fees to allow for successful implementation.

Teaching will be advanced through a Competency-Based Education (CBE) model. While the majority of CTE programs already use CBE, all programs will undergo standardization and the expectation that competencies will be tracked through three possible Canvas add-ons: Shift IQ, Mind-Tap or Cengage Unlimited. The majority of the programs will be delivered face-to-face whereas a significant lab (hands-on learning) is required. Some programs will move to hybrid delivery and some programs will design and implement an open entry / open exit model. IVC engagement, where applicable, will be used whereas CTE programs in southeast Utah are geographically dispersed (Price, Moab, and Blanding).

Faculty roles will evolve as they become facilitators of knowledge transfer, expert technicians, and evaluators of learning. No existing faculty will be released from employment or experience a significant change in role assignment or contract parameters. Faculty may be asked to expand teaching from 9-month to 10- or 11-month contracts with salaries adjusted accordingly

Several new instructors will be added. Faculty hired for new and expanded CTE programs will be titled Career and Technical Education Contract Faculty.

Faculty members who teach in career and technical education programs leading to a certificate level credential need to meet requirements specific to the CTE instructional area. These faculty will be hired to instruct in CTE certificate programs on an at-will, contractual basis in alignment with programs that address regional workforce demands. Appointment as a career and technical education contract faculty member requires a minimum of six years of documented, applicable work experience at an industry-defined level of competency, hold current industry credentials, and must meet accreditation standards. Up to three years of academic training from an accredited college may be substituted for three years of work experience at the discretion of the hiring committee and dependent upon individual program accreditation standards. (University Policy 401.3.5 (1)).

In keeping with regional workforce needs in a responsive and timely way, CTE certificate programs may need to be developed and offered on a relatively short time scale. These specific programs will be developed from a collaborative process with the regional advisory board (per SB 232) and appropriate Southeast faculty in consideration of professional accreditation standards and student competencies. Such programs may arise with short-term needs and likewise short-term duration. Thus, it is proposed that faculty and department ownership of the program will serve the need of institutional approval. The provost will inform the Curriculum Committee, EPC, and Trustees Academic Approval Committees of CTE certificate program changes.

The CTE faculty at USU Eastern (Price), USU Moab, and USU Blanding include :

First Name	Last Name	Position No.	Description / Title	Location
Dean	Collard	995729	Associate Professor - Diesel Technology	Price
Debbie	Prichard	995712	Associate Professor - Cosmetology	Price
Linda	Davis	995728	Associate Professor - Cosmetology	Price
Eric	Mantz	995663	Associate Professor - Business Operation Systems	Blanding
Elias	Perez	995713	Associate Professor - Drafting and Design	Price
Leon	McElprang	995655	Associate Professor - Heavy Equipment and Trucking	Price
Lon	Youngberg	995707	PCTE Professor - Welding Technology	Price
Jamie	Cano	994771	PCTE Professor ASTE - Associate Department Chair	Price
Henning	Olsen	995678	PCTE Associate Professor - Business Operation Systems	Price
Austin	Weich	995135	PCTE Assistant Professor- Welding Technology	Price
Justin	Bergeman	995696	PCTE Associate Professor- Heavy Equipment and Trucking	Blanding
Mason	Winters	995708	PCTE Assistant Professor- Welding Technology	Price
Todd	Richardson	995666	PCTE Instructor - Automotive Technology	Price
Kyle	McArthur	995725	PCTE Instructor - Heavy Equipment and Trucking	Price
Brad	Stevens	995653	PCTE Instructor - Heavy Equipment and Trucking	Blanding
Connie	Wilson	994355	Prof Practice Asst Professor - Health Professions	Moab
Emmy	Patterson	995693	Prof Practice Asst Professor - Health Professions	Blanding
Susan	Dewar	995690	Prof Practice Asst Professor - Health Professions	Blanding
Erin	Oliver	995334	Prof Practice Asst Professor - Health Professions	Blanding
Lori	Rager	994809	Prof Practice Asst Professor - Health Professions	Price
Marisa	Black	995692	Prof Practice Asst Professor - Health Professions	Blanding





**Proposed Action and Rationale**

The proposed changes are in response to legislative mandate (SB 232) matched to business and industry insistence that southeast Utah CTE programs become more responsive. The ability to implement new programs or refine existing programs has been encumbered by the merger of SEATC to CEU and then CEU to USU. Southeast Utah is without a Utah Technical College (U-TECH). The proposed redesign of CTE programs need to allow for nimble development and implementation in an ever-changing world of work. Preparation of the next workforce in southeast Utah is the responsibility of USU at the three statewide campuses located in Price, Moab, and Blanding.

Twenty-nine CTE programs are proposed for southeast Utah. The type and degree of change to each program is outlined below in the CTE Program dispensation table. Thirteen of the twenty-nine CTE programs (45%) are existing programs that will only have slight course modifications to reflect business and industry advancements. Only four of twenty-nine CTE programs (14%) are new programs for southeast Utah with three of those four programs (Automated Manufacturing, Instruments and Controls, and Industrial Mechanics) to be offered only at USU Eastern (Price).

The table below shows how each program will be "treated" in the proposed action.

		<b>CTE Certificate Program</b>	<b>AAS Program</b>
1	Automotive Technology	Continue current certificate of completion program (CC)	Retain AAS - Automotive Technology
2	Diesel Technician	Initiate new CTE certificate of completion program (CC)	Retain AAS - Diesel & Heavy Equipment Mech
3	CNC Machinist	Continue current certificate of completion program (CC)	No AAS program
4	Welding Technology	Continue current certificate of completion program (CC)	Retain AAS - Welding Technology
5	Automated Manufacturing	Initiate new CTE certificate of completion program (CC)	No AAS program
6	Apprentice Electrician	Initiate new CTE certificate of completion program (CC)	No AAS program
7	Heavy Equipment Operator	Initiate new certificate of proficiency program (CP)	No AAS program
8	Commercial Driver's License (CDL)	Initiate new CTE certificate of proficiency program (CP)	No AAS program
9	Engineering Drafting and Design	Continue current certificate of completion program (CC)	No AAS program
10	Construction Technology and Management	Continue current certificate of completion program (CC)	No AAS program
11	Instruments and Controls	Initiate new CTE certificate of completion program (CC)	No AAS program
12	Industrial Mechanics/Maintenance	Initiate new CTE certificate of completion program (CC)	No AAS program
13	Airframes - Aviation Mechanics	Initiate new CTE certificate of completion program (CC)	Retain AAS - Airframes and Powerplants
14	Powerplants - Aviation Mechanics	Initiate new CTE certificate of completion program (CC)	Retain AAS - Airframes and Powerplants
15	Surgical Technology	Discontinue certificate (accreditation expectation)	Initiate AAS program - accreditation expectation
16	Medical Lab Technician	Never had a certificate (accreditation expectations)	Initiate AAS program - accreditation expectation
17	Medical Assistant	Continue current certificate of completion program (CC)	No AAS program
18	Pharmacy Technician	Continue current certificate of completion program (CC)	No AAS program
19	Certified Nursing Assistant	Initiate new CTE certificate of completion program (CC)	No AAS program
20	Phlebotomy	Continue CTE current certificate of proficiency program (CP)	No AAS program
	Emergency Medical Tech &	Initiate new CTE certificate of	

Curriculog

21	First Responders	proficiency program (CP)	No AAS program
22	Web Business	Continue current certificate of proficiency program (CP)	No AAS program
23	Digital Design	Continue current certificate of proficiency program (CP)	No AAS program
24	IT Support and Web Development	Initiate new CTE certificate of completion program (CC)	Retain AAS - IT Support and Web Development
25	Accounting Practices	Initiate new CTE certificate of completion program (CC) Discontinue Bookkeeping CP and Bookkeeper CC	No AAS program
26	Small Business Operations / Entrepreneurism	Initiate new CTE certificate of completion program (CC)	Retain Business AB and Small Business AAS
27	Software Development	Initiate new CTE certificate of completion program (CC)	No AAS program
28	Cosmetology	Initiate new CTE certificate of completion program (CC)	Retain AAS - Cosmetology
29	Police Officers Standards Training - SFO / BCO / LEO	Initiate new CTE certificate of proficiency program (CP)	No AAS program

Labor Market Demand (if applicable)

Labor Market Demand

The assessment of labor market demand for career and technical education programs is based upon Department of Workforce Services (DWS) data for eastern Utah. DWS data for employment and economic development is the preferred standard for workforce education. The data (found at: <https://jobs.utah.gov/wi/data/library/index.html>) uses an occupational outlook labelling system based upon a high demand and high wage ratio. Employment demand in the 29 proposed CTE programs for southeast Utah is difficult to accurately predict. Based on the number of employers responding the DWS surveys, the data are sometimes grouped into the nine eastern Utah counties. The data presented in the table below reflect the best current and accessible data. It includes predicted number of openings and the median wage.

USU Eastern (Price Blanding)	USU Moab	USU	Department of Workforce Services Data	Expected Annual	
			DWS Occupation	Median	
			Outlook (Stars)	Wage (hourly)	
				Job Opening	
1	Automotive Technology		4 out of 5	\$16.11	390
2	Diesel Technician		4 out of 5	\$25.30	140
3	CNC Machinist		4 out of 5	\$22.43	230
4	Welding Technology		4 out of 5	\$22.07	290
5	Automated Manufacturing		4 out of 5	\$28.68	40
6	Apprentice Electrician		5 out of 5	\$30.15	360
7	Heavy Equipment Operator		4 out of 5	\$23.71	210
8	Commercial Driver's License (CDL)		4 out of 5	\$22.80	960
9	Engineering Drafting and Design		4 out of 5	\$24.51	40
10	Construction Technology and Management		5 out of 5	\$30.94	320
11	Instruments and Controls		3 out of 5	\$27.34	30
12	Industrial Mechanics/Maintenance		4 out of 5	\$30.65	210
13	Airframes - Aviation Mechanics		5 out of 5	\$27.49	70
14	Powerplants - Aviation Mechanics		5 out of 5	\$27.49	70
15	Surgical Technology		3 out of 5	\$18.27	50
16	Medical Lab Technician		3 out of 5	\$16.60	130
17	Medical Assistant		3 out of 5	\$14.70	380
18	Pharmacy Technician		3 out of 5	\$15.35	140
19	Certified Nursing Assistant (CNA)		1 out of 5	\$12.10	610
20	Phlebotomy		1 out of 5	\$13.71	70
	Emergency Medical Tech & First				

Curriculog

21	Responders	3 out of 5	\$15.42	120
22	Web Business	5 out of 5	\$29.87	140
23	Digital Design	4 out of 5	\$21.97	170
24	IT Support and Web Development	5 out of 5	\$25.14	450
25	Accounting Practices	3 out of 5	\$15.92	300
26	Small Business Operations / Entrepreneurism	5 out of 5	\$26.98	230
27	Software Development	4 out of 5	\$22.47	400
28	Cosmetology	1 out of 5	\$10.56	240
29	Police Officers Standards Training - SFO / BCO / LEO	4 out of 5	\$23.11	240

**Consistency with Institutional Mission & Institutional Impact\***

The implementation of CTE, workforce focused programs in southeast Utah is laser aligned with Utah State University's mission as a land grant institution. The emphasis on a CTE design for engaged partnerships with local and regional business and industry will result in significant economic, social, cultural, and environmental impacts. Employers demand a prepared workforce to remain economically relevant in the region. Societal issues are resolved when citizens have access to high demand, high wage training programs. By keeping business and industry "local", communities become focused on sustainability.

**Finances\***

A new tuition model for CTE programs in southeast Utah has been established. The 2019 legislature approved funding to structure the USU CTE tuition model for the three USU statewide campus in southeast Utah. The new CTE tuition model will reduce student tuition to a level similar to the U-TECHs – a model that has been converted from membership hours to university credits. Only designated CTE courses in approved programs will be able to utilize the new CTE tuition model. Courses not part of southeast Utah CTE programs will be charged the appropriate USU statewide campus tuition rates.

The 2019 legislature also approved funding for new and expanding CTE programs in southeast Utah. The three statewide campuses in southeast Utah that offer CTE programs will also have access to new and program expansion funding through an annual request process similar to the U-TECHs. CTE in southeast Utah has gained access to an on-going funding process previously restricted to U-TECHs.

As with all reorganizations, there will be internal reallocation of resources as CTE program priorities shift. It is the responsibility of the CTE administrative leaders, in consultation with business, industry, and faculty, to annual review funding priorities and make internal adjustments as needed.

**Section III: Curriculum (if applicable)**

**Program Curriculum Narrative**

A curriculum narrative is provided to describe and explain the CTE program changes. The proposed changes are set-forth so that the CTE programs in southeast Utah become more industry responsive whereas the program are workforce responsible.

As cited earlier, 29 CTE programs are proposed for southeast Utah. Thirteen of the twenty-nine program already exist as certificate programs. Minor improvement (credit hour changes and course competencies) will be made to reflect business and industry needs. Four programs will be arranged as certificates programs from already existing AAS programs. Four other programs are "orphans" that have students and program goals but were never codified into certificate programs. One program, heavy equipment and trucking, will be divided into two independently offer certificates. Four new, never offered before programs will be added to list of CTE offerings for southeast Utah.

CTE certificate programs are focused on business and industry validated technical competencies. Industry standards and accreditation criteria are also reviewed and recognized as part of the curriculum. Courses in General Education are typically not part of a CTE certificate program. General Education courses are expected when a certificate program completer seeks to "stack" credentials into an Associates of Applied Science (AAS), an Associates of Science (AS) or an Associates of Arts (AA) degree.

**ADDITIONAL INFORMATION**

**REFERENCE MATERIALS FOR CERTIFICATE DISCUSSIONS**

**R401-3. Definitions.**

**3.1. Academic Awards.** Academic awards range from certificates to doctoral degrees. The following definitions describe common characteristics of each award. In compliance with accreditation, institutions may establish additional requirements and course work.

**3.1.1. Certificate of Proficiency.** A program of study that prepares students for an occupation. It does not require, but may

include, general education courses. The certificate requires 16 to 29 semester credit hours or 600 to 899 clock hours. It

consists entirely of undergraduate courses but does not require prerequisite courses, conditions, or degrees for admission to the program.

**3.1.1.1. CTE Certificate of Proficiency.** A certificate of proficiency that prepares students for gainful employment in a recognized occupation, meets Perkins eligibility requirements and federal financial aid requirements, and consists entirely of lower division courses.

**NOTE:** Institutional certificates of proficiency require less than 30 semester credit hours, or 900 clock hours) and are not eligible for federal financial aid. Institutions may establish institutional certificates without notifying the Regents. Institutions may use these certificates to address varying needs, including workforce preparation, bridging student pathways from high school, avocational interests, or development of specialized skills.

**3.1.2. Certificate of Completion.** A program of study that prepares students for an occupation. It requires a recognizable general education core in communication, computation, and human relations. The general education core may be embedded within program courses. The certificate requires a minimum of 30 semester credit hours or 900 clock hours and typically does not exceed 33 semester credit hours or 990 clock hours. It consists entirely of undergraduate courses and has no prerequisite courses, conditions, or degrees required for admission to the program. Institutions should demonstrate how certificates requiring more than 36 semester credit hours or more than 1,080 clock hours can lead to an associate's and/or bachelor's degree within the normal credit hour requirements for that degree. When appropriate, institutions should include transfer agreements in the program proposal.


**3.1.2.1. CTE Certificate of Completion.** A certificate of completion that prepares students for gainful employment in a recognized occupation, meets Perkins eligibility requirements and federal financial aid requirements, and consists entirely of lower division courses.

**3.1.3. Associate of Applied Science (AAS) Degrees.** Programs of study that include limited general education, course work in a subject, and are intended to prepare students for entry-level careers. These degrees require a minimum of 63 and a maximum of 69 semester credit hours. General education requirements are typically less extensive than in AA or AS degrees, and include composition, computation, and human relations. General education learning outcomes may be embedded in discipline courses, and the institution documents how and where the learning outcomes are embedded. Institutions structure AAS degrees to enable students to complete requirements and electives without upper-division coursework.

#### CIP Codes for Proposed CTE Programs


1	Automotive Technology	47.0604
2	Diesel Technician	47.0605
3	CNC Machinist	48.0501
4	Welding Technology	48.0508
5	Automated Manufacturing	15.0403
6	Apprentice Electrician	46.0302
7	Heavy Equipment Operator	49.0202
8	Commercial Driver's License (CDL)	49.0205
9	Engineering Drafting and Design	15.1301
10	Construction Technology and Management	46.0415
11	Instruments and Controls	14.4101
12	Industrial Mechanics/Maintenance	47.0303
13	Airframes - Aviation Mechanics	47.0607
14	Powerplants - Aviation Mechanics	47.0608
15	Surgical Technology	51.0909
16	Medical Lab Technician	51.1004
17	Medical Assistant	51.0801
18	Pharmacy Technician	51.0805
19	Certified Nursing Assistant	51.3902
20	Phlebotomy	51.1009
21	Emergency Medical Technician / First Responders	51.0904
22	Web Business	52.0208
23	Digital Design	9.0702
24	IT Support and Web Development	11.0103
25	Accounting Practices	52.0302
26	Small Business Operations / Entrepreneurism	52.0703
27	Software Development	15.1204

28	Cosmetology	12.0401
29	Police Officers Standards Training - SFO / BCO / LEO	43.0107

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

**ITEM FOR ACTION**

Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes restructuring the School of Applied Sciences, Technology and Education.

**EXECUTIVE SUMMARY**

The School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes restructuring the School of Applied Sciences, Technology and Education.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to restructure the School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences proposes restructuring the School of Applied Sciences, Technology and Education, and

WHEREAS, The proposal will enhance the efficiency of academic program administration, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to restructure the School of Applied Sciences, Technology and Education in the College of Agriculture and Applied Sciences' School of Applied Sciences, Technology and Education and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_



# School of Applied Sciences, Technology and Education - School of Applied Sciences, Technology and Education

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

<b>COLLEGE (include all cross listed colleges)*</b>	School of Applied Sciences, Technology and Education
<b>DEPARTMENT (include all cross listed departments)*</b>	School of Applied Sciences, Technology and Education
<b>Current Title (if applicable)</b>	
<b>Proposed Title</b>	

**Step 3: Enter** the Correct CIP Code Using the Following Website:

## Classification Instructional Programs

<b>CIP Code (6-digits) *</b> 47.0000	
<b>Minimum Number of Credits (if applicable) *</b> 16	<b>Maximum Number of Credits (if applicable) *</b> 120
<b>Type of Degree: (BA, BS, etc.) *</b> cp cc bs mas	

### Request

#### Step 4: Select the Type of Change Being Requested.

<b>New Programs:</b>	<input type="checkbox"/> New Certificates of Proficiency (except Institutional Certificates of Proficiency) <input type="checkbox"/> New Certificates of Completion <input type="checkbox"/> New Post-Baccalaureate and Post-Masters Certificates <input type="checkbox"/> New Minors <input type="checkbox"/> New Emphases within an Approved Degree <input type="checkbox"/> New K-12 Endorsements <input type="checkbox"/> Other
<b>Existing Program Changes:</b>	<input type="checkbox"/> Program Transfer <input type="checkbox"/> Program Restructure <input type="checkbox"/> Program Consolidation <input type="checkbox"/> Program Suspension <input type="checkbox"/> Program Discontinuation <input type="checkbox"/> Program Name Change <input type="checkbox"/> Out-of-Service Area Delivery of a Program <input type="checkbox"/> Reinstatement of a Previously Suspended Program <input type="checkbox"/> Other
<b>Administrative Unit Changes:</b>	<input checked="" type="checkbox"/> New Administrative Units <input type="checkbox"/> Administrative Unit Transfer <input checked="" type="checkbox"/> Administrative Unit Restructure <input type="checkbox"/> Administrative Unit Consolidation <input type="checkbox"/> Reinstatement of Previously Suspended Administrative Units <input type="checkbox"/> Other
<b>Creation of Non-Administrative</b>	<input type="checkbox"/> New Center

- Units:**  New Institute  
 New Bureau  
 Other

**Other: (explain change)**

**Additional Approvals (if applicable)**

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

**Section I: The Request**

**R401 Purpose\*** **Section I: Request**

Utah State University proposes to restructure the School of Applied Sciences, Technology & Education within the College of Agriculture and Applied Sciences effective in Spring Semester 2020. This request contains several elements associated with the creation of a new department, Aviation and Technical Education (AVTE), by splitting programs from the School of Applied Sciences, Technology & Education. The School of Applied Sciences, Technology & Education is requesting to return to a department status as the Department of Applied Sciences, Technology & Education (ASTE), dropping the "School" title.

Utah State University proposes to:

- 1) create a new Department of Aviation & Technical Education, within the College of Agriculture and Applied Sciences.
- 2) transfer the following credentials to the newly created department from the School of Applied Sciences, Technology & Education:
  - transfer the Master of Aviation Science degree;
  - transfer three Bachelor of Science degrees: Bachelor of Science degree in Aviation Technology – Maintenance Management, Bachelor of Science degree in Aviation Technology – Professional Pilot, and Bachelor of Science in Technology Systems;
  - transfer Associate of Science in Agricultural Science degree;
  - transfer the Associate of Business degree;
  - transfer nine AAS degrees; IT Support and Web Development, Surgical Technician, Automotive Technology, Cosmetology, Diesel and Heavy Equipment Mechanics, General Technology, Medical Laboratory Technician, Small Business Operations, and Welding Technology;
  - transfer eleven Certificates of Completion: Automotive Technology

transfer seven Certificates of Completion: Automotive Technology, Heavy Equipment and Trucking, Machine Tool Technology, Professional Bookkeeper, Web Business, Electronics, Engineering Drafting and Design Technology, Medical Assistant, Office Computer Systems, Phlebotomy, Welding

- transfer Certified Nursing Assistant Certificate
- transfer four Certificates of Proficiency: Digital Design, Professional Bookkeeping, and Web Business

3) Becki Lawver will become the Interim Department Head for the Department of Applied Sciences, Technology & Education (ASTE) and Bruce Miller will be the Department Head for the Department of Aviation & Technical Education (AVTE)

## Section II: Program Proposal

### Proposed Action & Rationale\*

The College Agriculture and Applied Sciences proposes this action to enhance the efficiency of academic program administration.

1) The School of Applied Sciences, Technology and Education has grown since its inception in 2011 to serving over 1400 students in 2019. Logistically, managing the breadth and scope of programs in the School has become increasingly challenging. A renewed commitment to Career and Technical Education in southeast Utah at USU Eastern, USU Moab, and USU Price; enhancing Aviation Technology programs; and building stackable credentials programming through General Technology, and Technology Systems provides synergistic programming opportunities for this new department. The new Department of Aviation & Technical Education will initially serve approximately 850 students and the department head will be Bruce Miller. The Department of Applied Sciences, Technology & Education will serve approximately 575 students and includes Agricultural Communication, Agricultural Education, Agricultural Machinery Technology, Agricultural Systems Technology, Business Education, Family and Consumer Sciences Education, Outdoor Product Design and Development and Technology and Engineering Education. The Department of Applied Sciences, Technology & Education interim department head will be Becki Lawver.

2) The Department of Aviation & Technical Education provides a logical academic home for the southeast Utah Career and Technical Education programs; the stackable credential programs of General Technology (AAS), and Technology Systems (BS); and the Aviation Technology (AAS, BS, MAS) degrees. A list of faculty and staff in ACTE is appended. The Department of Applied Sciences, Technology & Education provides the academic home for majors that apply a multidisciplinary systems science approach to agriculture, family, aesthetic, and technical skills through the advancement of education,

technology transfer, scientific inquiry, agricultural mechanization, and experiential learning.

**Labor Market Demand (if applicable)**

**Consistency with Institutional Mission & Institutional Impact\***


This is an administrative structural change to the academic programs within the College of Agriculture and Applied Sciences.

**Finances\***

This restructuring action will not require any new physical facilities or fiscal resources as facilities and resources will remain constant with their respective programs. All administrative and academic activities will use existing resources. A space request is being submitted to accommodate the new department administrative offices through the CAAS Space Committee representative.


**Section III: Curriculum (if applicable)**

**Program Curriculum Narrative**

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

### **ITEM FOR ACTION**

Utah State University's Department of Special Education and Rehabilitation in the Emma Eccles Jones College of Education and Human Services proposes changing the name of several distance teacher certification programs.

### **EXECUTIVE SUMMARY**

The Department of Special Education and Rehabilitation in the Emma Eccles Jones College of Education and Human Services proposes changing the name of several distance teacher certification programs.

### **RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to change the name of several distance teacher certification programs in the Emma Eccles Jones College of Education and Human Services' Department of Special Education and Rehabilitation.



RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's Department of Special Education and Rehabilitation in the Emma Eccles Jones College of Education and Human Services proposes changing the name of several distance teacher certification programs, and

WHEREAS, The proposal will streamline the administration of these programs and will combine distance special education certification programs, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to change the name of several distance teacher certification programs in the Emma Eccles Jones College of Education and Human Services' Department of Special Education and Rehabilitation and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_

# Emma Eccles Jones College of Education and Human Services - Special Education and Rehabilitation

## 4.1.a R401 Abbreviated Program Proposal

### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

<b>COLLEGE (include all cross listed colleges)*</b>	Emma Eccles Jones College of Education and Human Services
<b>DEPARTMENT (include all cross listed departments)*</b>	Special Education and Rehabilitation
<b>Current Title (if applicable)</b>	Severe Alternative Teacher Preparation Early Childhood Alternative Teacher Preparation Mild Moderate Alternative Teacher Preparation Severe Distance Program Mild Moderate Distance Program
<b>Proposed Title</b>	OPTT Online Practical Teacher Training



**Step 3: Enter the Correct CIP Code Using the Following Website:**  
[Classification Instructional Programs](#)

<b>CIP Code (6-digits) *</b>	131001
<b>Minimum Number of Credits (if applicable) *</b>	120
<b>Maximum Number of Credits (if applicable) *</b>	120
<b>Type of Degree: (BA, BS, etc.) *</b>	BA, BS (credits vary if 1st BS/BA or 2nd BS/BA - 1st BS/BA is 120, 2nd BS/BA is 34-35)

**Request**

**Step 4: Select the Type of Change Being Requested.**

<b>New Programs:</b>	<input type="checkbox"/> New Certificates of Proficiency (except Institutional Certificates of Proficiency) <input type="checkbox"/> New Certificates of Completion <input type="checkbox"/> New Post-Baccalaureate and Post-Masters Certificates <input type="checkbox"/> New Minors <input type="checkbox"/> New Emphases within an Approved Degree <input type="checkbox"/> New K-12 Endorsements <input type="checkbox"/> Other
<b>Existing Program Changes:</b>	<input type="checkbox"/> Program Transfer <input type="checkbox"/> Program Restructure <input type="checkbox"/> Program Consolidation <input type="checkbox"/> Program Suspension <input type="checkbox"/> Program Discontinuation <input checked="" type="checkbox"/> Program Name Change <input type="checkbox"/> Out-of-Service Area Delivery of a Program <input type="checkbox"/> Reinstatement of a Previously Suspended Program <input type="checkbox"/> Other
<b>Administrative Unit Changes:</b>	<input type="checkbox"/> New Administrative Units <input type="checkbox"/> Administrative Unit Transfer <input type="checkbox"/> Administrative Unit Restructure <input type="checkbox"/> Administrative Unit Consolidation <input type="checkbox"/> Reinstatement of Previously Suspended Administrative Units <input type="checkbox"/> Other
<b>Creation of Non-</b>	<input type="checkbox"/>

- Creation of Non-Administrative Units:**
- New Center
  - New Institute
  - New Bureau
  - Other

**Other: (explain change)**

### Additional Approvals (if applicable)

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

### Section I: The Request

**R401 Purpose\***

The Department of Special Education and Rehabilitation is seeking a name change to better reflect the structure of the distance special education teacher certification programs. The distance certification programs have been combined into a single streamlined program, while continuing to provide the same content and field experiences that align to Utah State Board of Education Standards. This approach reduces administrative costs and increases sustainability of the programs, while also facilitating marketing and student recruitment.

### Section II: Program Proposal

**Proposed Action & Rationale\***

The Department of Special Education and Rehabilitation requests changing the name of several distance teacher certification programs (Severe Alternative Teacher Preparation, Early Childhood Alternative Teacher Preparation, Mild/Moderate Alternative Teacher Preparation, Severe Distance Program, Mild/Moderate Distance Program) to a single combined program: OPTT (Online Practical Teacher Training). This name change is requested to streamline the administration of these programs, eliminate redundancy, reduce overhead costs, and facilitate marketing of the programs and student recruitment by combining all distance special education certification programs under the OPTT name. The content of the courses, which must continue to align with the Utah State Board of Education Standards (<https://www.schools.utah.gov/curr/licensing/educatorendorsements?mid=2457&aid=1>), remains the same. Some of the classes have been renumbered so that content that applies to all specialization areas can be provided in a single course offering.

**Labor Market Demand (if applicable)**

There is a severe shortage of Special Educators nationwide. It is an extreme need for Utah School Districts who often have special education classrooms and no

trained teachers available. According to the Teaching Field Index of Criticality for Utah, Severe Disabilities and SPED Mathematics are #1 and #3 as the most critical

shortage for Utah. Mild/Moderate and Preschool Special Education are not far behind. Rural districts are especially hard hit by this shortage. Department of Special Education and Rehabilitation programs have been meeting this need for years and will continue to help meet this need with the new name.

**Consistency with Institutional Mission & Institutional Impact\***


The OPTT program fulfills the land grant mission of USU by delivering special education certification programs in early childhood, K-12 severe disabilities, and K-12 mild/moderate disabilities across the state of Utah. This name change request is part of streamlining the overhead of delivering multiple programs statewide; thus, it will support the long-term sustainability of these programs. In fact, this streamlined approach allows the program to reach more students across the state of Utah.

**Finances\***

No substantial new costs are anticipated with this change in program name. There are anticipated cost savings from combining several certification programs into one program, which reduces the administrative costs. The only financial costs associated with this name change would be the minimal costs of rebranding recruitment materials. No new facilities are needed and this change will have no budgetary impact on other programs and units.


### Section III: Curriculum (if applicable)

**Program Curriculum Narrative**

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

**ITEM FOR ACTION**

Utah State University's Departments of History, Languages, Philosophy and Communication Studies and Political Science in the College of Humanities and Social Sciences proposes creating a Minor in Middle East Studies.

**EXECUTIVE SUMMARY**

The Department of History, Languages, Philosophy and Communication Studies and Political Science in the College of Humanities and Social Sciences proposes creating a Minor in Middle East Studies.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to create a Minor in Middle East Studies in the College of Humanities and Social Sciences' Departments of History, Languages, Philosophy and Communication Studies and Political Science.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's Departments of History, Languages, Philosophy and Communication Studies and Political Science in the College of Humanities and Social Sciences proposes creating a Minor in Middle East Studies, and

WHEREAS, The proposal will provide credential opportunities for Middle East Studies, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to create a Minor in Middle East Studies in the College of Humanities and Social Sciences' Departments of History, Languages, Philosophy and Communication Studies and Political Science and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_



## College of Humanities and Social Sciences - History Languages, Philosophy and Communication Studies Political Science

### 4.1.a R401 Abbreviated Program Proposal

#### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

**COLLEGE (include all cross listed colleges)\***

College of Humanities and Social Sciences

**DEPARTMENT (include all cross listed departments)\***

History

Languages, Philosophy and Communication Studies

Political Science

**Current Title (if applicable)**

Middle East Studies minor

**Proposed Title**

Middle East Studies minor

**Step 3: Enter** the Correct CIP Code Using the Following Website: [Classification Instructional Programs](#)

CIP Code (6-digits) 05.0108

Minimum Number  
of Credits (if  
applicable)\* 20Maximum Number  
of Credits (if  
applicable)\* 20Type of Degree: Minor  
(BA, BS, etc.)\***Request****Step 4: Select the Type of Change Being Requested.**

- New Programs:**
- New Certificates of Proficiency (except Institutional Certificates of Proficiency)
  - New Certificates of Completion
  - New Post-Baccalaureate and Post-Masters Certificates
  - New Minors
  - New Emphases within an Approved Degree
  - New K-12 Endorsements
  - Other

- Existing Program Changes:**
- Program Transfer
  - Program Restructure
  - Program Consolidation
  - Program Suspension
  - Program Discontinuation
  - Program Name Change
  - Out-of-Service Area Delivery of a Program
  - Reinstatement of a Previously Suspended Program
  - Other

- Administrative Unit Changes:**
- New Administrative Units
  - Administrative Unit Transfer
  - Administrative Unit Restructure
  - Administrative Unit Consolidation
  - Reinstatement of Previously Suspended Administrative Units
  - Other

- Creation of Non-Administrative Units:**
- New Center
  - New Institute
  - New Bureau
  - Other

**Other: (explain**



change)

**Additional Approvals (if applicable)**

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

**Section I: The Request**

**R401 Purpose\*** To create a minor in Middle East Studies

**Section II: Program Proposal****Proposed Action & Rationale\***

The Middle East is a world region of critical import; indeed, it has driven U.S. foreign policy since the mid-1970s. Utah State University thinks it vital for our interested students to be able to study the Middle East and to have their knowledge and skills recognized with a minor.

The minor will draw on expertise and courses from our existing faculty at Utah State University, especially from the departments of Languages, Philosophy, and Communication Studies, Political Science and History. The minor will be a multi-disciplinary course of study. Students will take courses on the history, religion, society, culture and politics of the Middle East and demonstrate language acquisition in one of the current Middle Eastern languages (especially, but not limited to, Arabic.) The students will complete 12 credits of coursework, in addition to showing the equivalent of one year of study in a language, other than English, spoken in the Middle East (Arabic, Turkish, Farsi, Hebrew, or French, for example).

The College of Humanities and Social Science (CHaSS) decided to pursue this minor after reviewing our courses dealing with the Middle East already in place and realizing we could recognize student efforts already occurring. In addition, USU has a growing program in Arabic, which this minor would complement. CHaSS already offers area studies in Latin American and Asian studies; therefore, it makes sense to include a Middle East Studies minor as well. Finally, the minor will attract some donor support for study abroad opportunities for our students.

**Labor Market Demand (if applicable)**

The Middle East is an important region in the world both politically and economically. There are many countries covered by this region. Those with the highest GDP and economic impact include Saudi Arabia, Iran, Turkey, United Arab Emirates, Egypt, Israel, Iraq, Qatar, Syria, and Jordan. There are many other smaller countries as well. Having knowledge of the various cultures, political structures, histories, and languages associated with this region of the world provides an advantage for students who have an interest in jobs tied to various government agencies, international relations, travel industries, multinational corporations, technology and trade organizations, counseling, translation and interpretation, teacher education, and so on. Job opportunities exist not

only internationally, but also domestically as the population of Arab Americans is growing in the United States. Although there are many languages spoken in the region,

one of the most spoken languages is Arabic. The U.S. Census information suggests that by 2010 there were well over two million residents who identified with Arab-speaking ancestry (a 72% growth nationwide). These records show that there are over 17,000 residents with this language background in Utah with a 28% growth rate. In the last nine years that population has most certainly grown. For data related specifically to Utah please go to:

<https://d3n8a8pro7vhm.cloudfront.net/aai/pages/7706/attachments/original/1431630813/Utah.pdf> (1431630813) This growth helps to explain the fact that many business schools in Utah and across the nation have internship opportunities in various Arabic-speaking countries. However, there are many other prominent languages in this region, including Hebrew, Turkish, Persian, and Russian. It is a complex area of the world, providing a wide range of career opportunities, and increased study of the region can only aid our students interested in pursuing these various careers.

**Consistency with  
Institutional  
Mission &  
Institutional  
Impact\***

The proposed minor in Middle East Studies is consistent with the Institutional Mission of Utah State University as laid out in Board of Regents policy R-312-4. The minor falls within the scope of programs permitted at a research university in the USHE system. The program would allow for the possibility of coursework to transfer from other universities in the USHE system that fall within the parameters of the minor. The program can contribute to “quality of life” and “economic development” goals noted in the policy through training a workforce that is prepared to engage with individuals, corporations, and governments in the Middle East.

The USU mission statement (R-312-4.1.2) specifically indicates that USU programs should cultivate “diversity of thought and culture.” The proposed Middle East Studies minor would do this, helping students gain a deeper understanding of the history, language, culture, and politics of the Middle East. The minor would work in the same spirit as our existing Latin American Studies minor which has been very successful. The minor offers a “stackable” credential that, in conjunction with a cognate major (such as communications, a relevant foreign language, political science, international studies, history, or religious studies) increases the student’s marketability for employment and ability to contribute to society.

The impact of this program on other USHE institutions would be positive. No program of this nature is offered through Salt Lake Community College or Snow College, though if relevant coursework is offered at this level it could transfer to USU. Weber State and Dixie State do not offer programs like the one we are proposing. SUU offers a certificate in International Relations and a minor in Ethnic Studies that are tangentially related but not directly focused on the Middle East. UVU offers a study abroad in the Middle East, but does not offer a major or minor related to the Middle East (their National Security Studies program may engage somewhat with the politics of the Middle East but does not address questions of language, culture, or history in the way our proposed minor would).

The only USHE institution that currently offers a program like this is the University of Utah through their Middle East Center. Our minor is not set up as a competitor to their program. While some of the course options may be similar, our program is set up as a minor that allows students who are already completing approved majors at USU to pick up an additional credential for their studies related to the Middle East that would improve their marketability and broaden their horizons. Students seeking a major in Middle East studies would be referred for further study at the University of Utah,

supporting their program.


USU and USHE will benefit from this minor by making our students more competitive for jobs in the intelligence, foreign affairs, international business, and non-governmental organizations fields. USU and USHE have recognized the importance of international education and knowledge, to which this minor will contribute. The growth of interest in the Arabic program, the new Center for Anticipatory Intelligence in the College of Humanities & Social Sciences, and high enrollment in a Crusades course in the History Department, all suggest the minor will have robust student interest.

**Finances\***

No new finances will be required. The courses will be spread across three departments and the resources to do this already exist.


**Section III: Curriculum (if applicable)****Program Curriculum  
Narrative**

See attached. Also we do not use degree maps for minors.

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.



13 March 2020

**ITEM FOR ACTION**

Utah State University's Departments of History and Political Science in the College of Humanities and Social Sciences proposes creating a Certificate of Proficiency in Global Peacebuilding.

**EXECUTIVE SUMMARY**

The Departments of History and Political Science in the College of Humanities and Social Sciences proposes creating a Certificate of Proficiency in Global Peacebuilding.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to create a Certificate of Proficiency in Global Peacebuilding in the College of Humanities and Social Sciences' Departments of History and Political Science.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's Departments of History and Political Science in the College of Humanities and Social Sciences proposes creating a Certificate of Proficiency in Global Peacebuilding, and

WHEREAS, The proposal will enable students to demonstrate an academic focus on peacebuilding and related practical skills and experience, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to create a Certificate of Proficiency in Global Peacebuilding in the College of Humanities and Social Sciences' Departments of History and Political Science and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

\_\_\_\_\_  
DATE:

## College of Humanities and Social Sciences - History Political Science

### 4.1.a R401 Abbreviated Program Proposal

#### Proposal Information

##### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

##### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

COLLEGE (include all cross listed colleges)\*

DEPARTMENT (include all cross listed departments)\*

Current Title (if applicable)

Proposed Title

**Step 3: Enter** the Correct CIP Code Using the Following Website: [Classification Instructional Programs](#)

CIP Code (6-digits) \*

Minimum Number of Credits (if applicable)\*

Maximum Number of Credits (if applicable)\*

Type of Degree: (BA, BS, etc.)\*

#### Request

**Step 4: Select** the Type of Change Being Requested.

- New Programs:  New Certificates of Proficiency (except Institutional Certificates of Proficiency)
- New Certificates of Completion
  - New Post-Baccalaureate and Post-Masters Certificates
  - New Minors
  - New Emphases within an Approved Degree
  - New K-12 Endorsements
  - Other

Existing Program Changes:  Program Transfer

- Program Restructure
- Program Consolidation
- Program Suspension
- Program Discontinuation
- Program Name Change
- Out-of-Service Area Delivery of a Program
- Reinstatement of a Previously Suspended Program
- Other

- Administrative Unit Changes:**
- New Administrative Units
  - Administrative Unit Transfer
  - Administrative Unit Restructure
  - Administrative Unit Consolidation
  - Reinstatement of Previously Suspended Administrative Units
  - Other

- Creation of Non-Administrative Units:**
- New Center
  - New Institute
  - New Bureau
  - Other

Other: (explain change)

**Additional Approvals (if applicable)**

Graduate Council\*  Yes  
 No

Council on Teacher Education\*  Yes  
 No

**Section I: The Request**

**R401 Purpose\*** We are requesting permission to create a Certificate of Proficiency in Global Peacebuilding. The proposal uses existing courses and faculty and develops a certificate that will enhance job prospects for students in many majors across the university.

**Section II: Program Proposal**

**Proposed Action & Rationale\*** **Description of Certificate:** The certificate provides focus on multidisciplinary academic understanding of the historical and contemporary causes of conflict and efforts to create peace, while building practical skills in conflict resolution, mediation, and other forms of peacebuilding praxis.

**Justification for Certificate:** No current major, minor, or certificate focuses on the history and processes of creating peace between communal groups or countries. It will enable students to demonstrate an academic focus on peacebuilding and related practical skills and experience, that may be beneficial for those seeking employment in relevant non-governmental organizations, state agencies, or businesses.

**Labor Market Demand (if applicable)** Many state agencies and non-governmental organizations seek qualified applicants who have theoretical and applied skills in peacebuilding and mediation.

**Consistency with Institutional Mission & Institutional Impact\*** The program emphasizes interdisciplinary strengths within the College of Humanities and Social Sciences, bringing faculty from different academic units and programs together to deliver the certificate.

**Finances\*** No new funds or faculty are required. The program will package existing courses.

**Section III: Curriculum (if applicable)**

Program Curriculum Narrative | **Global Peacebuilding Certificate Requirements (21 credits)**



Minimum GPA for Admissions: 2.5 Cumulative

Minimum GPA for Graduation: 2.5 Cumulative

Number of Required Credits: 21

#### **Lower-Division Requirements**

Students must complete one course (3 credits) at the 1000- or 2000-level from the following list of courses:

CMST 1330 – Introduction to Global Communication (BSS) 3

[HIST 1510 -- The Modern World \(BHU\)](#) 3

POLS 2100 – Introduction to International Politics 3

POLS 2400 – Introduction to Geopolitics 3

POLS 2500 – Introduction to International Studies 3

RELS 1070 – Religion, Violence and Peace (BHU) 3

RELS/ANTH 1090 – Introduction to Interfaith Leadership 3

SOC 2650 – Globalization (BSS) 3

#### **Upper-Division Requirements**

Students will complete two upper-division courses from each of the three areas (A, B, and C) below for a total of 18 credits.

##### **Area A. Global Conflict (6 credits required)**

HIST 3340 – The Holocaust in History and Memory (DHA) 3

HIST 4815 – World War I: A Global Conflict (DHA) 3

HIST 4820 – World War II in Europe 3

HIST 4821 – World War II in Asia 3

HIST 4822 – The Vietnam War (DHA) 3

HIST 4825 – Historical Roots of the War on Terror 3

POLS 4220 – Ethnic Conflict and Cooperation (CI) 3

POLS 4464 – International Security 3

POLS 4990 – Senior Research Seminar (CI) 3 with approval of certificate advisor

##### **Area B. Peace and Human Rights (6 credits required)**

HIST/WGS 4540 – International Women’s Movements 3

HIST 4720 – The Civil Rights Movements (DHA/CI) 3

POLS 4210 – European Union Politics 3


POLS 4500 – The Politics of Social Movements 3

RELS/ANTH 3165 – Bridging Religious Difference in Theory and Practice: an Introduction to Interfaith Leadership 3

##### **Area C. Peacebuilding Skills and Career Development (6 credits required)**


CHSS 4250 – Advanced Internship/Co-op 3

CHSS 5250 – Interdisciplinary Workshop; Peace Certificate Capstone Course 3

**Step 5: Attach** (if applicable) completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

#### **Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

**ITEM FOR ACTION**

Utah State University's Department of Biology in the College of Science proposes adding a Human Biology emphasis to the existing Bachelor of Arts in Biology.

**EXECUTIVE SUMMARY**

The Department of Biology in the College of Science proposes adding a Human Biology emphasis to the existing Bachelor of Arts in Biology.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the proposal to add a Human Biology emphasis to the existing Bachelor of Arts in Biology in the College of Science's Department of Biology.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah State University's Department of Biology in the College of Science proposes adding a Human Biology emphasis to the existing Bachelor of Arts in Biology, and

WHEREAS, The proposal will enhance degree options for students seeking health related careers, and

WHEREAS, The proposal has been approved by the academic dean, the Educational Policies Committee, and the USU Faculty Senate, and

WHEREAS, The proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to add a Human Biology emphasis to the existing Bachelor of Arts in Biology in the College of Science's Department of Biology and that notification of this proposal be forwarded to the Utah State Board of Regents of the Utah System of Higher Education.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_

## College of Science - Biology

### 4.1.a R401 Abbreviated Program Proposal

#### Proposal Information

#### Instructions for Completing R401:

[Writing Guidelines/Suggestions](#)

[USHE R401 Policy](#)

#### Contact Information

Edward Reeve: Interim Vice Provost (797-0718)

**Step 1: Turn** on "Help Tips" by clicking on the Show Help TextPrint icon (*small blue circle with i inside*) at the top right-hand side of your proposal.

**Step 2: Select** the College and Department Involved in the Process to Ensure the Correct Workflow and Approval.

Select the College(s) this proposal involves.

Select the Department(s) this proposal involves.

COLLEGE (include all cross listed colleges)*	College of Science
DEPARTMENT (include all cross listed departments)*	Biology
Current Title (if applicable)	
Proposed Title	BA in Biology with Human Biology Emphasis

**Step 3: Enter** the Correct CIP Code Using the Following Website:  
[Classification Instructional Programs](#)

<b>CIP Code (6-digits) *</b> 29.9999	
<b>Minimum Number of Credits (if applicable) *</b> 78	<b>Maximum Number of Credits (if applicable) *</b> 86
<b>Type of Degree: (BA, BS, etc.) *</b> BA	

**Request**

**Step 4: Select the Type of Change Being Requested.**

<b>New Programs:</b>	<input type="checkbox"/> New Certificates of Proficiency (except Institutional Certificates of Proficiency) <input type="checkbox"/> New Certificates of Completion <input type="checkbox"/> New Post-Baccalaureate and Post-Masters Certificates <input type="checkbox"/> New Minors <input checked="" type="checkbox"/> New Emphases within an Approved Degree <input type="checkbox"/> New K-12 Endorsements <input type="checkbox"/> Other
<b>Existing Program Changes:</b>	<input type="checkbox"/> Program Transfer <input type="checkbox"/> Program Restructure <input type="checkbox"/> Program Consolidation <input type="checkbox"/> Program Suspension <input type="checkbox"/> Program Discontinuation <input type="checkbox"/> Program Name Change <input type="checkbox"/> Out-of-Service Area Delivery of a Program <input type="checkbox"/> Reinstatement of a Previously Suspended Program <input type="checkbox"/> Other
<b>Administrative Unit Changes:</b>	<input type="checkbox"/> New Administrative Units <input type="checkbox"/> Administrative Unit Transfer <input type="checkbox"/> Administrative Unit Restructure <input type="checkbox"/> Administrative Unit Consolidation <input type="checkbox"/> Reinstatement of Previously Suspended Administrative Units <input type="checkbox"/> Other
<b>Creation of Non-Administrative</b>	<input type="checkbox"/> New Center

- Units:**  New Institute  
 New Bureau  
 Other

**Other: (explain change)** Adding BA to current BS Offering in Human Biology Emphasis

### Additional Approvals (if applicable)

**Graduate Council\***  Yes  
 No

**Council on Teacher Education\***  Yes  
 No

### Section I: The Request

**R401 Purpose\*** This requests a new Human Biology emphasis be added to the existing Bachelor of Arts degree in Biology. A Bachelor of Science degree with the Human Biology emphasis currently exists.

### Section II: Program Proposal

**Proposed Action & Rationale\***

There is student demand for a biology curriculum tailored to the interests of students wishing to pursue health-related careers. Many of these students are no longer pursuing biology majors. By creating a curriculum that continues to provide a strong grounding in biological sciences but with special emphasis in human-related areas, the Department of Biology will retain more pre-health students and will better serve all Biology majors who are interested in pursuing careers in various health professions. An important feature of the Human Biology emphasis is that because it retains strength in the basic sciences, students who ultimately decide to pursue careers outside the health professions will still be well-prepared for graduate school or employment in basic or biomedical sciences.

The Human Biology emphasis for the Bachelor's degree in Biology is designed to increase elective flexibility while maintaining rigor. The Human Biology emphasis prepares students for professional schools by teaching them to be scientists, but also broadens their understanding of the human condition. Inclusion of social science requirements more closely aligns the Human Biology emphasis with new professional school admission requirements. The Medical College Admission Test (MCAT) gives equal weight to testing biological, biochemical, chemical and physical foundations and to testing psychological, social, and biological foundations of behavior.

The Human Biology emphasis parallels the Biology emphasis with the following differences:

Biology emphasis requirements NOT in the Human Biology emphasis:



## Field Course requirement

Curriculum features NEW to the Human Biology emphasis:

- Required courses in Biology (not required for the Biology emphasis)
  - Freshman seminar course of either Pre-Health Professions or Biology Professions
- Required courses in Social Sciences
  - General Psychology, Introductory Sociology, or Social Problems
- Changes in elective choices
  - Allowance of human biology-related courses outside of Biology, such as nutrition and osteology

**Labor Market Demand (if applicable)**

Health care is a rapidly expanding field with numerous opportunities for our graduates.

**Consistency with Institutional Mission & Institutional Impact\***

The department currently teaches many of the courses taken by pre-health students. The Human Biology emphasis will help retain pre-health students as majors in the department while providing them with the most appropriate background for success in professional schools and careers in health. Additionally, the Department of Biology has an excellent working relationship with the pre-health advising staff whose feedback was solicited in the development of the Human Biology emphasis.

The proposed change is not anticipated to significantly affect enrollments in any other instructional programs of affiliated departments or programs, nor will the proposed change affect any existing administrative structures. No changes in faculty or staff will be required, nor will any new physical facilities or modification to existing facilities be required. No equipment will need to be committed to initiate this change.

**Finances\***

No additional costs or savings from this change are anticipated. No new funds are required. No budgetary impact on other programs is anticipated since the Biology Department teaches most of the courses taken by pre-health students.


**Section III: Curriculum (if applicable)**

**Program Curriculum**

Degree Map attached




**Narrative**

**Step 5: Attach** completed Program Curriculum and Degree Map to this request by clicking on the Files  icon located in the upper left-hand corner of the Proposal Toolbox.

**Step 6: Submit**

Click on the save all changes button below.

Scroll to the top left and click on the launch  icon to launch your proposal.

13 March 2020

### **ITEM FOR ACTION**

**RE:** Proposal to Accept Revisions to Standards of Conduct-Faculty Responsibilities to Student and Standard of Conduct-Professional Obligations Policy 403

The attached policy is submitted to the Board of Trustees for consideration. It has received the appropriate administrative review and approval.

### **EXECUTIVE SUMMARY**

The University desires to align Policy 403 Standards of Conduct with USU Policy 321. Revisions to Policy 403 were submitted by the President's Executive Committee, Faculty Senate and the Professional Responsibilities and Procedures for review and comment.

The following is a summary of the revision to Policy 403 Standards of Conduct-Faculty Responsibilities to Student and Standards of Conduct-Professional Obligations:

- Aligns Standards of Conduct in Policy 403 with USU Policy 321.

### **RECOMMENDATION**

The President and Faculty Senate President recommend that the Board of Trustees approve the revisions to Policy 403 Standards of Conduct-Faculty Responsibilities to Student and Standard of Conduct-Professional Obligations of the Utah State University Policy Manual.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The University desires to revise Policy 403 Standards of Conduct-Faculty Responsibilities to Student and Standard of Conduct-Professional Obligations as outlined in the attached document;

WHEREAS, Revisions and/or amendments to this policy were submitted by Professional Responsibilities and Procedures Committee, Faculty Senate to the President's Executive Committee for review and comment; and

WHEREAS, The procedures for amending policies outlined in Section 403 of the University Policy Manual have been followed:

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees approve the revisions to Policy 405 Standards of Conduct-Faculty Responsibilities to Student and Standards of Conduct-Professional Obligations effective 13 March 2020.

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**RESOLUTION APPROVED BY BOARD OF TRUSTEES:**

---

Date

**Proposed Changes**

**403.3.1 Standards of Conduct - Faculty Responsibilities to Student**

(8) Faculty members create and maintain environments in which students are provided the opportunity to do original thinking, research, **creative work** and writing.

(9) Faculty members avoid the misuse of the classroom by preempting substantial portions of class time for the presentation of views on topics unrelated to the subject matter of the course. Faculty members do not reward agreement or penalize disagreement with his or her views on controversial topics.

(10) Faculty members do not engage in the sexual harassment of students (~~policy 407.8~~) or ~~any other forms of harassment prohibited by USU Policies (303.2 and 339)~~. ~~Harassment is defined as creating an unpleasant or hostile situation especially by uninvited and unwelcome verbal or physical conduct.~~

(11) Faculty members do not engage in discrimination against students (~~see USU policy 303.2~~).

~~(12) Faculty members will not intimidate, humiliate or abuse students (for definitions, see Policy 321). Intimidation is defined as to compel or deter by or as if by threats and humiliation is defined as to reduce (someone) to a lower position in one's own eyes or others' eyes or to make (someone) ashamed or embarrassed. Faculty members do not exploit students. Faculty will not mistreat students in ways that include but are not limited to: psychological or mental abuse or vindictiveness. Faculty members do not exploit students. Discrimination is defined as prejudiced or prejudicial outlook, action, or treatment, or to make a difference in treatment or favor on a basis other than individual merit.~~

Commented [PB1]: Move this before 'of students'

Commented [MM2]: I recommend relying on the language in Policy 303 and the Equity Office's procedures and practices for implementing the policy. If, in the PRPC's opinion, the language in 303 is insufficient, the EQUITY Office should revise. I would avoid having different definitions in 303 and 403.

Commented [PB3]: Deleted statement about 'faculty will not exploit students'. The term exploit is not well defined and exploitation is already dealt with in earlier sections of 403.3.1 (point 6 I believe). Mica suggested that if we want to include another point about exploitation we edit the language above or add a new point that specifically defines exploitation.

Commented [PB4]: Is there a legal definition of this?

## **Final Policy**

### **403.3.1 Standards of Conduct - Faculty Responsibilities to Student**

(8) Faculty members create and maintain environments in which students are provided the opportunity to do original thinking, research, creative work and writing.

(9) Faculty members avoid the misuse of the classroom by preempting substantial portions of class time for the presentation of views on topics unrelated to the subject matter of the course. Faculty members do not reward agreement or penalize disagreement with his or her views on controversial topics.

(10) Faculty members do not engage in the sexual harassment of students (see USU Policy 407.8) or any other forms of harassment prohibited by USU Policies 303 and 339.

(11) Faculty members do not engage in discrimination against students (see USU policy 303).

(12) Faculty members will not intimidate, humiliate or abuse students (for definitions, see Policy 321).

## Proposal Changes

### 403.3.2 Standards of Conduct - Professional Obligations

- (1) Faculty members do not plagiarize nor do they permit the appearance that they are the author of work done by others.
- (2) Faculty members do not falsify data either by deliberate fabrication or selective reporting with the intent to deceive.
- (3) Faculty members do not misappropriate other's ideas.
- (4) Faculty members do not misuse privileged or otherwise confidential information.
- (5) Faculty members exercise "reasonable care" (policy 403.3.5) in meeting their obligations to their associates when they are engaged in joint research or other professional effort.
- (6) Faculty members do not exploit their positions for personal or pecuniary gain when supervising the professional work of others. Research for pecuniary return should be conditional upon disclosure to and consent of the vice president for research and dean of the school of graduate studies.
- (7) Faculty members exercise "reasonable care" (policy 403.3.5) in meeting their commitments to the institution and to funding agencies where appropriate in research, publication, or other professional endeavors.
- (8) Faculty members keep informed and knowledgeable about developments in their fields.
- (9) Faculty members do not engage in the sexual harassment ~~or any other form of harassment prohibited by USU Policies 303 and 339~~ of other faculty members or any employee of the university (policy 407.9) ~~or any other form of harassment prohibited by USU Policies (303 and 339.2).~~
- (10) Faculty members do not engage in discrimination against other faculty members or any other employee of the university (see USU policy 303.2).
- (11) Faculty members will not intimidate, humiliate or abuse other faculty members or any other employee of the university (see USU Policy 321 —). ~~Intimidation is defined as to compel or deter by or as if by threats and humiliation is defined as to reduce (someone) to a lower position in one's own eyes or others' eyes or to make (someone) ashamed or embarrassed. Faculty will not mistreat other faculty members or any other employee of the University in ways that include but are not limited to: psychological or mental abuse or vindictiveness.~~

Commented [PB1]: This clause was misplaced (added at the end of the sentence), I simply moved it to the appropriate location in the sentence.

Commented [MM2]: Note that HR is working on a respectful workplace policy. A prohibition on mistreating colleagues should refer to the HR policy. A prohibition on mistreating colleagues should refer to the HR policy.

Commented [PB3]: Missing a word here? Or commas?

Commented [PB4]: Delete this and start a new sentence here?

## **Final Policy**

- (1) Faculty members do not plagiarize nor do they permit the appearance that they are the author of work done by others.
- (2) Faculty members do not falsify data either by deliberate fabrication or selective reporting with the intent to deceive.
- (3) Faculty members do not misappropriate other's ideas.
- (4) Faculty members do not misuse privileged or otherwise confidential information.
- (5) Faculty members exercise "reasonable care" (policy 403.3.5) in meeting their obligations to their associates when they are engaged in joint research or other professional effort.
- (6) Faculty members do not exploit their positions for personal or pecuniary gain when supervising the professional work of others. Research for pecuniary return should be conditional upon disclosure to and consent of the vice president for research and dean of the school of graduate studies.
- (7) Faculty members exercise "reasonable care" (policy 403.3.5) in meeting their commitments to the institution and to funding agencies where appropriate in research, publication, or other professional endeavors.
- (8) Faculty members keep informed and knowledgeable about developments in their fields.
- (9) Faculty members do not engage in the sexual harassment of other faculty members or any employee of the university.
- (10) Faculty members do not engage in discrimination against other faculty members or any other employee of the university (see USU policy 303).
- (11) Faculty members will not intimidate, humiliate or abuse other faculty members or any other employee of the university (see USU Policy 321).



**ITEM FOR ACTION**

**RE:** Proposal to Revise Policy 321 Respectful Workplace

The attached policy is submitted to the Board of Trustees for consideration. It has received the appropriate administrative review and approval.

**EXECUTIVE SUMMARY**

The University desires to revise Policy 321 Respectful Workplace as shown in the attached redlined and final documents. Consistent with USU Policy 201, the proposed policy was submitted to Faculty Senate and Staff Employees Association for review and comment; forwarded by the President to the Executive Committee; and approved by the Executive Committee.

The following is a summary of the revisions to Policy 321 Respectful Workplace.

- Clarified language, clarified expectations, and added additional definitions
- Clarified applicable disciplinary policies
- Clarified USU leadership's right to manage
- Clarified to whom to report concerns
- Clarified/strengthened supervisory responsibilities
- Clarified/strengthened employee responsibilities

**RECOMMENDATION**

The President and the Vice President for Business and Finance recommend that the Board of Trustees approves the revisions to Policy 321 Respectful Workplace of the Utah State University Policy Manual.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The University desires to revise Policy 321 Respectful Workplace, as shown in the documents; and

WHEREAS, This policy was submitted to Faculty Senate and Staff Employees Association for review and comment; forwarded by the President to the Executive Committee; and approved by the Executive Committee; and

WHEREAS, The procedures for revising policies outlined in Section 201 of the University Policy Manual have been followed:

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees approves revising Policy 321 Respectful Workplace of the University Policy Manual effective 13 March 2020.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES:

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Date

## ITEM FOR ACTION

Re: Amendments to USU Policy 321: Respectful Workplace (formerly Employee Rights)

### Key

- Red – Deletions
- Blue – Additions
- Black – Original to Policy
- Green – Movements of original text placement
- Underline – Hyperlinks

### SUMMARY OF CHANGES

- **Retitled and Reframed Policy-** In alignment with USU's belief in fostering respect and dignity for all members of the USU community<sup>1</sup> and the Presidential priorities of diversity, inclusion, and respect<sup>2</sup>, we are retitling this policy from Employee Rights to Respectful Workplace and reformatting/reframing content.
- **Clarified Language and Expectations-** HR worked with Legal, Faculty Senate President, and HR to update policy language around use of professional language, recording of interactions with all parties consent, and preventing unauthorized access. Incorporated language and reference to employee privacy and communication (Policy 319) and information privacy (Policy 556). Also added/clarified definitions and standards for abusive conduct, bullying, humiliation, and intimidation.
- **Clarified Applicable Disciplinary Policies-** Added policy references for staff (Policy 311) and faculty (Policy 407) that will apply if/when policy violations occur.
- **Clarified USU Leadership's Right to Manage-** Added clarification that valid performance management activities and/or discipline do not constitute a violation of this policy and will be done in a respectful manner. Policy was silent previously.
- **Clarified to Whom to Report Concerns-** Clarified that employees should work first with their immediate supervisor. If they are not comfortable, they may contact another level of management in their chain and/or HR.
- **Clarified/Strengthened Supervisory Responsibilities-** Updated language and strengthened obligations of supervisors to ensure safe, collegial, and respectful workplace.
- **Clarified/Strengthened Employee Responsibilities-** Updated language and strengthened obligations of employees to respond to and report perceived disrespectful or abusive conduct.

**Legislative Note:** [HB 12 Abusive Conduct Reporting Amendments](#) has been introduced again this session. HR/Legal will monitor progress and make any additional policy language changes required if/when this bill passes.

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<sup>1</sup> See <https://equity.usu.edu/>

<sup>2</sup> See <https://www.usu.edu/today/index.cfm?id=58635>



# POLICY MANUAL

## GENERAL

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~~Number~~ Policy 321

~~Subject: Employee Rights~~ Respectful Workplace

~~Date of Origin: January 24, 1997~~

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### 321.1 PURPOSE AND SCOPE

Utah State University (USU) is committed to maintaining a work environment that encourages mutual respect and facilitates collegial relationships. To build and promote trust, all USU employees are collectively responsible to set a positive example and to avoid behaving disrespectfully, including behavior that would reasonably offend, intimidate, embarrass, or humiliate others, whether deliberately or unintentionally.

### ~~321.1~~ 321.2 POLICY

~~All employees have a right to work in an environment free from mistreatment intended to demean, impugn, or harass. The University prohibits mistreatment of its employees by supervisors, administrators, faculty, coworkers, and students. University related interactions should be conducted with courtesy, civility, decency, and a concern for personal dignity. Disrespectful behavior or abusive conduct, including but not limited to, mistreatment, bullying, humiliation and/or intimidation will not be tolerated. Expectations include, but are not limited to, using professional language, not recording interactions without all parties consent, and not providing unrelated third parties unauthorized access to university and/or employee information (see USU Policy 319: Employee Privacy and Confidentiality and Policy 556: Information Privacy for more information).~~

Employees violating this policy are subject to disciplinary action ~~ranging from a written warning to up to and including~~ termination of employment per USU Policy 311: Corrective Action, which applies to benefited non-faculty employees, and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures, which applies to faculty. ~~depending on the seriousness of the offense.~~

For ~~questions~~ issues regarding sexual harassment, please refer to ~~the University's Sexual Harassment~~ USU Policy (339): Sexual Harassment. For ~~behaviors~~ issues in violation of ~~regarding protections afforded by federal law~~ discrimination, refer to USU Policy 303: Affirmative Action/Equal Opportunity. ~~the AA/EO Policy (303).~~

This policy does not limit USU leadership's right to manage. Performance management, work assignment and evaluation, and disciplinary measures taken by USU for any valid reason do not constitute disrespectful behavior, abusive conduct, and/or bullying. Such management actions should be done in ways that are consistent with the intent and expectations of this respectful workplace policy.

## 321.2 PROCEDURES

### 2.1 ~~Identification of Mistreatment~~ Reporting and Resolution of Disrespectful Behavior or Abusive Conduct

~~Mistreatment occurs when~~ If an employee is ~~the~~ subjected to or observes disrespectful or abusive conduct of another by an individual or group of individuals, the employee of actions of another employee or group of employees that have no work or business basis; demean, intimidate, harass or disrupt the employee; and are reoccurring.

### 2.2 ~~Resolution Procedure~~

~~Employees~~ should first attempt to resolve ~~problems concerns involving mistreatment~~ within their own areas ~~per USU Policy 325: Employment Grievance Procedures. This should be done by meeting discussing their concerns or observations with their appropriate immediate supervisor~~ administrator, who can effectively determine the nature and extent of the problem. The immediate supervisor will then and initiate a process to determine the nature and extent of the issue and initiate an effective resolution.

If an employee does not feel comfortable ~~in~~ contacting their ~~administrator(s)~~ immediate supervisor, within his/her administrative area, the employee may contact another level of management within their reporting chain or the Office of Human Resources, who will meet with the employee to discuss their concerns or observations. Human Resources will and then initiate ~~an appropriate informal~~ a process to determine the nature and extent of the problem issue and appropriate collaborate with the appropriate leadership and employee(s) to initiate an effective resolution. The Office of Human Resources works as a mediator in resolving issues and does not exercise any formal controls or sanctions.

~~If the problem is not resolved through the above processes, the employee may exercise his/her rights under the appropriate grievance process as outlined in policy 325.~~

## 321.3 ~~321.3~~ RESPONSIBILITY

### 3.1 ~~University Administrators~~ Supervisors

~~It is the obligation of all University administrators~~ Supervisors have an obligation to set expectations in their areas to ensure a safe, collegial, and respectful workplace for all employees and address issues as they arise. to guarantee the rights and dignity of employees. ~~If an administrator~~ If a supervisor becomes aware of a situation within ~~his/her~~ their area that ~~may~~ violates this policy, the ~~administrator~~ supervisor ~~should make every effort~~ take appropriate steps to resolve the problem ~~first~~ on an informal basis. If informal processes ~~fail~~ are not adequate to address the situation, then formal disciplinary procedures should be utilized per USU Policy 311: Corrective Action, which applies to benefited employees (non-faculty) and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).

### 3.2 Employees

~~All E~~ employees have an obligation to ~~recognize and~~ promote and preserve the reputation of the University by demonstrating respect toward all members of the campus community, including students, faculty, and staff. the rights of coworkers, supervisors, and the University. Employees are responsible for responding to and reporting perceived disrespectful or abusive conduct in accordance with this policy. harassment according to the guidelines in this policy. For assistance, employees should contact their supervisor or the Office of Human Resources.

### 3.3 Office of Human Resource

The Office of Human Resource may investigate, make determinations, advise, assist, and/or mediate between employees and departments in resolving possible violations of the policy.

## 321.4 RELATED USU POLICIES

Policy 303: Affirmative Action/Equal Opportunity

Policy 311: Corrective Action

Policy 319: Employee Privacy and Confidentiality

Policy 325: Employment Grievance Procedures

Policy 339: Sexual Harassment

Policy 407: Academic Due Process: Sanctions and Hearing Procedures

Policy 556: Information Privacy

## 321.5 DEFINITIONS

5.1 Abusive Conduct – Verbal, non-verbal, or physical conduct of one party to another that, based on its severity, nature, and frequency of occurrence, a reasonable person would determine that it is intended to cause intimidation, humiliation, or unwarranted distress or harm.

5.2 Bullying – Conduct that seeks to harm, intimidate, coerce, persecute, or torment; often repeated or habitual.

5.3 Employee – Any individual legally employed by Utah State University in any capacity.

5.4 Formal Disciplinary Procedures – Corrective action as set forth by USU Policy 311: Corrective Action which applies to benefited employees (non-faculty) and Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).

5.5 Humiliation – Conduct that would reasonably be expected to cause undue embarrassment, shame, disgrace, or dishonor.

5.6 Informal Processes – Any process that does not follow the formal corrective action set forth by USU Policy 311: Corrective Action or USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (e.g. conversation, letter of expectation).

5.7 Intimidation – Conduct that would reasonably be expected to cause undue fear and distress.

5.8 Reporting Chain – Levels of supervisory roles within a department or unit.

5.9 Supervisor – A person employed by Utah State University who has hiring authority and/or holds a position that directly supervises an employee of Utah State University.

5.10 University Related Interactions – Any job function that pertains to Utah State University.

Information below is not included as part of the contents of the official Policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

## **RESOURCES**

### Procedures

- None

### Guidance

- None

### Related Forms and Tools

- None

### Contacts

- Human Resources Solution Center, hr@usu.edu, (435) 797-0122

## **POLICY HISTORY**

Original issue date: 1997/01/24

Last review date: 2020/03/13

Next scheduled review date:

Previous revision dates: 2020/03/13, 2015/03/06, and 1997/01/24





## University Policy 321: Respectful Workplace

**Category:** 300 Human Resources

**Sub Category:** General

**Covered Individuals:** Benefited Employees

**Responsible Executive:** Vice President for Business and Finance

**Policy Custodian:** Office of Human Resources, Executive Director of Human Resources

**Last Revised:** 2020/03/13

**Previous USU Policy Number:** Not applicable

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### 321.1 PURPOSE AND SCOPE

Utah State University (USU) is committed to maintaining a work environment that encourages mutual respect and facilitates collegial relationships. To build and promote trust, all USU [employees](#) are collectively responsible to set a positive example and to avoid behaving disrespectfully, including behavior that would reasonably offend, intimidate, embarrass, or humiliate others, whether deliberately or unintentionally.

### 321.2 POLICY

[University related interactions](#) should be conducted with courtesy, civility, decency, and a concern for personal dignity. Disrespectful behavior or [abusive conduct](#), including but not limited to, mistreatment, [bullying](#), [humiliation](#) and/or [intimidation](#) will not be tolerated. Expectations include, but are not limited to, using professional language, not recording interactions without all parties consent, and not providing unrelated third parties unauthorized access to university and/or employee information (see USU Policy 319: Employee Privacy and Confidentiality and Policy 556: Information Privacy for more information).

Employees violating this policy are subject to disciplinary action up to and including termination of employment per USU Policy 311: Corrective Action, which applies to benefited non-faculty employees, and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures, which applies to faculty.

For issues regarding sexual harassment, please refer to USU Policy 339: Sexual Harassment. For issues regarding discrimination, please refer to USU Policy 303: Affirmative Action/Equal Opportunity.

This policy does not limit USU leadership's right to manage. Performance management, work assignment and evaluation, and disciplinary measures taken by USU for any valid reason do not constitute disrespectful behavior, abusive conduct, and/or bullying. Such management actions should be done in ways that are consistent with the intent and expectations of this respectful workplace policy.

#### 2.1 Reporting and Resolution of Disrespectful Behavior or Abusive Conduct

If an employee is subjected to or observes disrespectful or abusive conduct of another by an individual or group of individuals, the employee should first attempt to resolve concerns within their own area per USU Policy 325: Employment Grievance Procedures. This should be done by discussing their concerns or observations with their immediate [supervisor](#). Their immediate supervisor will then initiate a process to determine the nature and extent of the issue and initiate an effective resolution.

If an employee does not feel comfortable contacting their immediate supervisor, the employee may contact another level of management within their [reporting chain](#) or the Office of Human Resources, who will meet with the employee to discuss their concerns or observations. Human Resources will then initiate a process to determine the nature and extent of the issue and collaborate with the appropriate leadership and employee(s) to initiate an effective resolution.

### 321.3 RESPONSIBILITY

#### 3.1 Supervisors

Supervisors have an obligation to set expectations in their areas to ensure a safe, collegial, and respectful workplace for all employees and address issues as they arise. If a supervisor becomes aware of a situation within their area that may violate this policy, the supervisor should take appropriate steps to resolve the problem on an informal basis. If [informal processes](#) are not adequate to address the situation, then [formal disciplinary procedures](#) should be utilized per USU Policy 311: Corrective Action, which applies to benefited employees (non-faculty) and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).

#### 3.2 Employees

All employees have an obligation to promote and preserve the reputation of the University by demonstrating respect toward all members of the campus community, including students, faculty, and staff. Employees are responsible for responding to and reporting perceived disrespectful or abusive conduct in accordance with this policy.

#### 3.3 Office of Human Resource

The Office of Human Resource may investigate, make determinations, advise, assist, and/or mediate between employees and departments in resolving possible violations of the policy.

### 321.4 RELATED USU POLICIES

- Policy 303: Affirmative Action/Equal Opportunity
- Policy 311: Corrective Action
- Policy 319: Employee Privacy and Confidentiality
- Policy 325: Employment Grievance Procedures
- Policy 339: Sexual Harassment
- Policy 407: Academic Due Process: Sanctions and Hearing Procedures
- Policy 556: Information Privacy

### 321.5 DEFINITIONS

**5.1 Abusive Conduct** – Verbal, non-verbal, or physical conduct of one party to another that, based on its severity, nature, and frequency of occurrence, a reasonable person would determine that it is intended to cause intimidation, humiliation, or unwarranted distress or harm.

**5.2 Bullying** – Conduct that seeks to harm, intimidate, coerce, persecute, or torment; often repeated or habitual.

**5.3 Employee** – Any individual legally employed by Utah State University in any capacity.

- 5.4 Formal Disciplinary Procedures** – Corrective action as set forth by USU Policy 311: Corrective Action which applies to benefited employees (non-faculty) and Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).
- 5.5 Humiliation** – Conduct that would reasonably be expected to cause undue embarrassment, shame, disgrace, or dishonor.
- 5.6 Informal Processes** – Any process that does not follow the formal corrective action set forth by USU Policy 311: Corrective Action or USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (e.g. conversation, letter of expectation).
- 5.7 Intimidation** – Conduct that would reasonably be expected to cause undue fear and distress.
- 5.8 Reporting Chain** – Levels of supervisory roles within a department or unit.
- 5.9 Supervisor** – A person employed by Utah State University who has hiring authority and/or holds a position that directly supervises an employee of Utah State University.
- 5.10 University Related Interactions** – Any job function that pertains to Utah State University.
- 

**Information below is not included as part of the contents of the official Policy.** It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

## RESOURCES

*(List resources to aid in compliance or indicate “None.”)* [Arial Narrow 10]

### Procedures

- None

### Guidance

- None

### Related Forms and Tools

- None

### Contacts

- Human Resources Solution Center, [hr@usu.edu](mailto:hr@usu.edu), (435) 797-0122

## POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2020/03/13

Next scheduled review date:

[www.usu.edu/policies/321/](http://www.usu.edu/policies/321/)

Previous revision dates: 2015/03/06, 1997/01/24

## **ACTION AGENDA**

1. Retire USU Eastern Student Code
2. Center for the School of the Future Charter School Authorizations
3. Real Property Acquisition – Blanding (parcel of developed commercial land with building)
4. Real Property Acquisition – Wellsville (parcel of agricultural land and water shares)
5. Proposals for Tuition Rate Increase and Modify and/or Implement New Student Fees
  - a. Proposal from Utah State University for Tuition Rate Increases
  - b. Proposal to Modify and/or Implement New Student Fees at Utah State University
  - c. Proposal to Modify the Tuition Structures for Students at the Price, Blanding, and Moab Campuses
  - d. Proposal to Create Tuition and Fee Tables for the Southeast Career and Technical Education Programs of Utah State University
  - e. Proposal to Modify the Approved Uses of Existing Differential Tuition for Emma Eccles Jones College of Education and Human Services
6. Faculty and Staff Adjustments

## **ITEM FOR ACTION**

**RE:** Proposal to Retire the Utah State University Eastern Student Code of Conduct and Apply the Utah State University Student Code of Conduct to all USU students.

The attached Resolution is submitted to the Board of Trustees for consideration. It has received the appropriate administrative and student review and approval.

## **EXECUTIVE SUMMARY**

At present, there are two operative student codes governing the conduct of USU students—the Utah State University Student Code of Conduct and the Utah State University Eastern Student Code of Conduct.<sup>1</sup> Students enrolled for courses delivered at the Logan, Brigham City, Blanding, Moab, Tooele, Uintah Basin campuses, statewide centers, or online are governed by the Utah State University Student Code of Conduct. Students enrolled for courses delivered at the Utah State University Eastern campus located in Price are governed by the Utah State University Eastern Student Code of Conduct. To facilitate consistent rights and expectations for all USU students as well as consistent procedures and processes across all campuses, the University requests that the Trustees approve the retirement of the Utah State University Eastern Student Code of Conduct and the application of the Utah State University Student Code of Conduct to all campuses.

The Associate Vice President for the Price Campus, as well as the statewide campuses administrative team support this request for action.

## **RECOMMENDATION**

The President and the Vice President for Statewide Campuses recommend that the Board of Trustees approve the resolution retiring the Utah State University Eastern Student Code of Conduct applying the Utah State University Code of Conduct to all USU students.

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<sup>1</sup> On February \_\_, pursuant to USU policy 201.1., President Noelle Cockett issued an executive memorandum directing that the Utah State University Student Code of Conduct apply to all USU students, subject to further action by the USU Board of Trustees.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The University desires to retire the Utah State University Eastern Student Code of Conduct and apply the Utah State University Student Code of Conduct to all USU students;

WHEREAS, the proposal to retire the Utah State University Eastern Student Code of Conduct and apply the Utah State University Student Code of Conduct to all USU students has been reviewed and approved by the appropriate student and administrative units;

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees approve the retirement of the Utah State University Eastern Student Code of Conduct and application of the Utah State University Student Code of Conduct to all USU students effective 13 March 2020.

RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

\_\_\_\_\_  
Date



13 March 2020

### **ITEM FOR ACTION**

Utah State University's Center for the School of the Future in the Emma Eccles Jones College of Education and Human Services proposes activating Utah State University's Board of Trustees authority within Utah Code 53G-5-306 to authorize public charter schools in Utah.

### **EXECUTIVE SUMMARY**

In the enabling legislation that created The Center for the School of the Future (CSF) in the Emma Eccles Jones College of Education and Human Services, CSF was tasked with narrowing student knowledge gaps that are barriers to improving public education learning outcomes in Utah. In response to this mandate, CSF proposes that the USU Board of Trustees activate its authority to authorize public charter schools in Utah and that CSF represent the USU Board of Trustees to deliver this important service to the children and parents of Utah.

### **RECOMMENDATION**

The President and Provost recommend that the USU Board of Trustees approve the proposal to activate its authority to authorize Utah public charter schools and designate CSF as a representative of the Board of Trustees in delivering this important service to Utah's school-age children.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, Utah Code 53G-5-306 authorizes the Board of Trustees of a Utah Higher Education institution to authorize public charter schools in Utah, and

WHEREAS, the authority granted to the USU Board of Trustees under Utah Code 53G-5-306 has not been previously exercised, and

WHEREAS, Public charter schools authorized by USU could improve student learning and demonstrate the unique advantages that exist within a public charter school setting to cultivate high academic and social-emotional learning in all of their students. Thereby fulfilling CSF's mandate to narrow gaps in knowledge that can effectively enhance the quality and effectiveness of public education in Utah, and

WHEREAS, Utah State University's Center for the School of the Future in the Emma Eccles Jones College of Education and Human Services proposes that the USU Board of Trustees activate its authority within Utah Code 53G-5-306 to authorize public charter schools in Utah, and designate CSF to provide public charter school authorization on behalf of the USU Board of Trustees, and

WHEREAS, this proposal by CSF has been approved by the Academic Dean in the Emma Eccles Jones College of Education and Human Services, and

WHEREAS, this proposal has been approved by the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approve the proposal to activate its authority within Utah Code 53G-5-306 to authorize public charter schools in Utah and designate the Center for the School of the Future in the Emma Eccles Jones College of Education and Human Services as a representative of Utah State University in delivering this important service.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

DATE: \_\_\_\_\_

# Utah State University

## College of Education and Human Services

### Center for the School of the Future (CSF)

#### Utah Charter School Authorization Application

## Introduction

“Since its founding in 1888, Utah State University has evolved from a small-town college tucked away in the Northern Utah mountains to a thriving research university respected around the world. Students can choose from an array of academic and social opportunities at a university known throughout the world for its intellectual and technological leadership.” “The mission of Utah State University is to be one of the nation’s premier student-centered land-grant and space-grant universities by fostering the principle that academics come first, by cultivating diversity of thought and culture, and by serving the public through learning, discovery and engagement” (<https://www.usu.edu/about/>). The Center for the School of the Future (CSF), as an approved center at Utah State University, is authorized by Utah Code (53B-18-801, Part 8) to “promote best practices in the state’s public Education system and encourage cooperative and research development relationships between public and higher education.” “The mission of the Center for the School of the Future (CSF) is to foster 100% student learning proficiency in CSF client schools so all students are liberated from the constraints of limited opportunity.” USU-CSF’s website is located at <https://csf.usu.edu/>

Considering these missions, USU and CSF are uniquely positioned to authorize innovative and entrepreneurial charter schools that focus on attaining the highest levels of student learning. While CSF currently is engaged with public school district partnership and research efforts to support improved K-12 learning outcomes, the approximately 135 publicly funded charter schools in Utah function with minimal professional support from Utah’s universities.

While Institutions of Higher Education (IHE) Boards of Trustees are identified in Utah Code as an entity which may authorize establishment of charter schools (Utah Code 53G-5-306), currently, only two of approximately 135 Utah charter schools are authorized by Utah's IHEs (<1%). These include the Weber State University Charter Academy which enrolls 44 kindergarten students and Davis Technical College Career Path High School with a 9-12 grade enrollment of around 140 students. It is surprising that with approximately 135 publicly funded charter schools in Utah serving over 80,000 K-12 students that only two have an official authorized affiliation with an institution of higher education. This is especially curious since charter schools were tasked within Utah Code to provide innovative impact on student outcomes within the public-school sector. Similarly, universities within the state are also tasked with driving educational innovation in a number of ways, including impacting learning and opportunity for Utah's citizens. Sadly, IHEs in the state have not taken sufficient advantage of the opportunity to partner with charter schools, to improve learning opportunities for K-12 students, many of whom eventually engage in study in Utah's IHEs.

## Request

The Center for the School of the Future (CSF), as an approved center at Utah State University wishes to engage charters at a deeper level and with the intention of achieving USU's entrepreneurial mission of serving the public through learning, discovery and engagement and by producing 100% learning proficiency in CSF client schools. For these purposes, USU and CSF leadership formally requests approval to authorize charter schools in Utah.

# Proposed Charter Review - Minimum Standards (53G-5-205)

Utah code (53G-5-205) requires charter school authorizers to serve two required “shall” functions and code indicates that they “may” address five other functions. USU-CSF staff propose to meet all standards noted below. Both those that “shall” be met and those which “may” be met. Following each function is USU-CSF’s proposed procedural response. We offer this information to help readers gauge USU-CSF’s capacity to effectively authorize charter schools.

(1) A charter school authorizer **shall**:

- a. **Annually review and evaluate the performance of charter schools authorized by the authorizer and hold a charter school accountable for the school's performance; and (53G-5-205-2a);**

**USU-CSF Implementation:** *A strategic review of USU-CSF authorized schools will be completed annually, and the results of the review will be provided to the respective charter board, school leadership, and to staff and parents at optimal times to facilitate planning and execution of corrective actions. A more in-depth review will be completed cyclically every 3rd and 5th year. Initially, USU-CSF will employ two tools in these reviews, while simultaneously watching school level data to refine and evolve our processes up so they drive high levels of student learning. These initial review tools include the “Utah Charter School Accountability Framework” and the NACSA “Performance Framework.” Combining the strengths from these tools into a new tool, which will can then be evaluated for effectiveness and be refined until it, along with other system processes drive high levels of student learning. This new tool will produce a single set of results and will call attention to a charter school’s strengths and needs. This will help position USU-CSF staff to engage stakeholders in a process of sustaining existing systemic strengths that drive student learning while simultaneously addressing systemic weaknesses negatively impacting student learning. A systems approach will be used to ensure that a charter school’s strengths are not weakened in the process of addressing its needs (see appendix I for these tools). USU-CSF as a charter authorizing*



agency is uniquely capable of triggering fee-based services to leverage expertise to directly assist school personnel in improving student learning.

**b. Monitor charter schools authorized by the authorizer for compliance with federal and state laws, rules, and regulations (53G-5-205-2b).**

**USU-CSF Implementation:** *USU-CSF will adopt and systematically employ an annual monitoring system to ensure that USU-CSF authorized charter schools meet the compliance requirements of federal and state laws, rules and regulations. Where non-compliance is noted, USU-CSF authorized charter schools will be required to ambitiously analyze the root causes of the point of non-compliance, and then develop an action matching, and directly addressing each root-cause. Then, when the action is executed, provide a report to USU-CSF on the success of the action in bringing the charter to the needed state of compliance. USU-CSF will engage other authorizers, including the NACSA organization, to identify evidence-supported systems that produce required levels of compliance, and with specific interest in those elements which, on their face, leverage student learning. The "Performance Framework" and the Charter School Accountability Framework both possess elements targeting compliance. Both documents will be reviewed with useful elements melded into a single document which will evolve until it leverages high levels of student learning (See appendix I for these tools).*

(2) A charter school authorizer may (53G-5-205-3):

**a. Authorize and promote the establishment of charter schools, subject to the provisions in this part;**

**USU-CSF Implementation:** *It is the intent and interest of USU and CSF leadership to authorize charter schools in Utah, and where appropriate promote the development of charter schools in pursuit of their unique missions. USU-CSF plans to promote and disseminate the successes of its authorized charter schools and, to the extent that highly effective models or exemplars are engineered, we plan to encourage the development of similar schools where it is believed similar, or even better student*



*learning results, can be achieved. Specific methods for disseminating charter school results and practices will be accomplished in electronic and hard copy publications, publication of reports and findings on the CSF website, dissemination via various social-media outlets and via formal presentations at state level conferences. Patterned findings will direct USU-CSF leadership to alter the system to improve the overall process in terms of effectiveness, efficiency, and particularly where improvements are perceived to enhance student learning. A thumbnail of USU-CSF's capability to produce informational publications to promote findings is evidenced in the work of USU-CSF's Associate Director's production of select information briefs found in appendix II.*

- b. Make recommendations on legislation and rules pertaining to charter schools to the Legislature and state board, respectively;**
- c. Make recommendations to the state board on the funding of charter schools;**

**USU-CSF Implementation:** *It is the intent and interest of USU and CSF leadership to identify over time the legislation and rules relevant to charter schools that impair its systemic ability to achieve its goals and entrepreneurial mission of serving the public through learning, discovery and engagement and of producing high levels of student learning proficiency in USU-CSF client schools. Once identified, USU-CSF leadership is interested in engaging the legislative process to systemically position charter schools to be innovative and successful in their innovation. Additionally, we will identify over time the charter school funding structures that support and impair them in being successful in innovation, and that adversely impact USU-CSF in achieving its goals relative to student learning. When indicated we will suggest relevant funding recommendations to the legislature.*

- d. Provide technical support to charter schools and persons seeking to establish charter schools by:**
  - i. identifying and promoting successful charter school models;
  - ii. facilitating the application and approval process for charter school authorization;
  - iii. directing charter schools and persons seeking to establish charter schools to sources of funding and support;
  - iv. reviewing and evaluating proposals to establish charter schools for the purpose of supporting and strengthening proposals before an

- application for charter school authorization is submitted to a charter school authorizer; or
- v. assisting charter schools to understand and carry out their charter obligations;

**USU-CSF Implementation:** *It is the intent and interest of USU and CSF leadership to provide authorizing services in Utah and, for those applications approved, provide systemic support to USU-CSF client schools to achieve their obligations. Additionally, it is our intent and interest to provide technical support to existing charter school organizations in Utah and to those exploring or seeking to develop a charter school. It is our interest and intent to direct them to reputable sources of information and resources and to collaborate with other organizations in Utah that are, or could authorize charter schools. Finally, as per the CSF mission, we would eagerly promote models producing student learning outcomes approximating our 100% learning proficiency goal.*

- e. **Provide technical support, as requested, to another charter school authorizer relating to charter schools.**

**USU-CSF Implementation:** *It is the intent and interest of USU and CSF leadership to comprehensively collaborate with other authorizers, and where and when requested, we will eagerly provide technical assistance to other authorizers. It is USU's entrepreneurial mission of serving the public through learning, discovery and engagement and by producing 100% learning proficiency in Utah schools. As per the USU-CSF mission, we would eagerly collaborate and provide technical assistance to other organizations toward fulfilment of our interest in achieving our 100% learning proficiency goal. Appendix IV includes the vitas of the CSF Director and Associate Director. These professional documents provide evidence of the extensive amounts of collaboration accomplished over their professional careers.*

# National Association for Charter School Authorizing (NACSA) Essential Practices

USU-CSF leadership recognizes the research and effective teaching mission of the university. Therefore, we will draw on bases of existing evidence to guide initial authorization actions. These initial actions will produce data which we will examine to support our interest in evolving and refining our authorization processes so all USU-CSF authorized charters are high performing. With this in mind, NACSA is an evidence-based repository for authorization practices which was drawn from authorized charter schools producing positive differential leaning outcomes for students.

Employing three evidence-based strategies we can: a) shape school academic practices, inform school policy and operating structures and develop professional talent resulting in outstanding student learning. NACSA promotes 12 essential evidence-based practices that authorizers need to engage in to position their client schools to achieve the success identified in their charter and charter agreement. USU-CSF will uniquely address each practice to achieve high levels of student learning.

## **Essential Practice 1 - The authorizer has a published and available mission statement for authorizing.**

**USU-CSF Implementation:** *The collective mission statement elements of USU and the Center for the School of the Future (CSF) are that academics come first, by cultivating diversity of thought and culture, and by serving the public through learning, discovery and engagement and fostering 100% student learning proficiency in CSF client schools so all students are liberated from the constraints of limited opportunity. These mission statement elements will be embedded in paper and electronic materials so those interested in engaging USU and CSF for authorizing services may pre-screen our organization for goodness of fit with their charter school interests.*

## **Essential Practice 2 - The authorizer has staff assigned to authorizing within the organization or by contract.**

**USU-CSF Implementation:** *USU-CSF has multiple projects in operation and including the proposed authorizing work. If granted authorizing approval USU-CSF will identify, assign and support staff to acquire the needed knowledge, skills and dispositions to effectively engage in this work. Additionally, they will be provided with the needed equipment, technology, work space, time, supervisory support and feedback loops to be successful in their work. An organizational chart will reflect this work and the associated staff and the overall structure of support for this project and associated staff (See appendix V for a draft organizational chart)*

### **Essential Practice 3 - The authorizer signs a performance contract with each school.**

**USU-CSF Implementation:** *USU and CSF leadership recognizes that charter schools are governed by independent boards and are held accountable to a legally binding written contractual agreement with their authorizer and that it is the charter agreement that allows for the operation of the charter school. USU-CSF intends to analyze various contracts for strength, and then meld those strengths into a single document that is approved by USU's legal services. One contractual agreement to be included in this analysis is the comprehensive "core charter school contract" (See appendix V).*

### **Essential Practice 4 - The authorizer has established documented criteria for the evaluation for charter applications.**

**USU-CSF Implementation:** *USU-CSF will employ two tools in these reviews, while simultaneously watching school level data to refine and evolve our processes up so they drive high levels of student learning. These initial review tools include the "Utah Charter School Accountability Framework" and the NACSA "Performance Framework." Combining the strengths from these tools into a new tool, which will can then be evaluated for effectiveness and be refined until it, along with other system processes drive high levels of student learning. This new tool will produce a single set of results and will call attention to a charter school's strengths and needs. This will help position USU-CSF staff to engage stakeholders in a process of sustaining existing systemic strengths that drive student learning while simultaneously addressing systemic weaknesses negatively impacting student learning. A systems approach will be used to*

ensure that a charter school's strengths are not weakened in the process of addressing its needs (see appendix I for these tools).

### **Essential Practice 5 - The authorizer publishes application timelines and materials.**

**USU-CSF Implementation:** *USU-CSF leadership will prominently announce in application materials and on its website the application timelines and associated application materials. It will be our interest and intention to make the application as clear and forthright as possible so that proposing groups can focus on the development of effective charter proposals versus struggling through unnecessarily arduous and murky application steps. Our steps will support clear conceptualization of charters which match well with USU's entrepreneurial mission of serving the public through learning, discovery and engagement and by producing 100% learning proficiency in USU-CSF client school.*

### **Essential Practice 6 - The authorizer interviews all qualified charter applications.**

**USU-CSF Implementation:** *USU-CSF leadership and assigned authorizing personnel will plan to engage candidates in a multi-component interview process. USU-CSF staff will conduct a review of the processes used by authorizers supporting consistently highly successful charter schools in Utah and across the country. We are interested in using processes to select into our charter school portfolio applications that go on to produce high levels of student learning. In advance of this work, we anticipate a face-to-face interview process that includes written and oral responses to questions and also multiple performance tasks where proposers are embedded in sample scenarios and allowed to collectively engage the problem so the committee can directly observe hard and soft skills and strengths and needs in problem solving and group dynamics.*

### **Essential Practice 7 - The authorizer uses expert panels that include external members to review charter applications.**

**USU-CSF Implementation:** *USU-CSF proposes to form and utilize interview committees including USU-CSF personnel and professionals and stakeholders external to USU-CSF that bring unique knowledge, skills and experiences, and particularly, professionals associated with high performing charter schools. A system will be established to track and evaluate the entire approval process (i.e., proposal development training, proposal due dates, proposal presentation and query date...). Collected data will be used to identify the relationships between process elements and schools that go on to produce high levels of student learning. Those processes which associate with these outcomes will become salient elements of the applicant screening. These same data will be used over time to help in the determination of the knowledge, skill, experiences, and mind-sets useful in screening for charter proposals that best predict desired outcomes. We propose a dynamic set of processes that will be data informed and changing based on findings to enhance outcomes.*

**Essential Practice 8 - The authorizer grants initial charter terms of five years only.**

**USU-CSF Implementation:** *USU-CSF recognizes that in Utah, currently this essential practice is not in place. USU-CSF intends to implement at three years an "on-track" review of client schools, followed by a 5<sup>th</sup> year "consequential review" in which continuation or discontinuation determinations are made using review data. We propose to install these elements in our process and in our agreements with charter schools we authorize. Additionally, we propose that formative annual evaluations in preparation for the 3<sup>rd</sup> year "on-track" and the 5<sup>th</sup> "consequential review." We believe a five-year period, within the context of appropriate supports and selection of high-quality charter applications is adequate for an organization to demonstrate entrepreneurial innovation and upwards trajectory of high student learning. Additionally, we propose added processes and supports beyond year five to shore up and sustain long term the systems producing exemplary high levels of student learning. USU-CSF as a charter authorizing agency is uniquely capable of triggering fee-based services to leverage expertise to directly assist school personnel in improving student learning.*

**Essential Practice 9 - The authorizer requires and examines annual, independent financial audits of its charter schools.**

**USU-CSF Implementation:** *USU-CSF proposes to require and then examine annual independent financial audits of all charter schools in its portfolio.*

**Essential Practice 10** - The authorizer has established renewal criteria.

**USU-CSF Implementation:** *USU-CSF proposes to work with other authorizers in the U.S. and with leadership at NACSA to review current and best practices to form renewal criteria. When organized, these criteria will be presented to a USU-CSF authorization advisory board to obtain their reaction and advisement in terms of the clarity and effectiveness of the criteria in support of charter applicants' successfully aligning their schools to their approved charter, attainment of high levels of student learning, effectiveness in governance, fiscal management, and other key factors. When finalized, these criteria will be included with USU-CSF's application packet so groups looking to form a charter school, and considering USU-CSF can determine if our organization is a good match for them. These criteria will be included in all charter school performance contracts.*

**Essential Practice 11** - The authorizer has established revocation criteria.

**USU-CSF Implementation:** *USU-CSF proposes to work with other authorizers in Utah and with leadership at NACSA to review current and best practices to form revocation criteria. When organized, these criteria will be presented to a USU-CSF authorization advisory board to obtain their reaction and advisement in terms of the clarity and effectiveness of the criteria in support of charter applicants' successfully aligning their schools to their approved charter, attainment of high levels of student learning, effectiveness in governance, fiscal management, and other key factors. When finalized, these criteria will be included with USU-CSF's application packet so groups looking to form a charter school, and considering USU-CSF can determine if our organization is a good match for them. These criteria will be included in all charter school performance contracts. We anticipate that these criteria will result in practices where: a) schools have a clear understanding of the criteria for revocation, renewal, and non-renewal; b) schools are promptly notification of their status in writing, and with clear display of the reasons for the decision; c) where schools, community members, parents and students*



are aware of the status and in a timeline that supports them in exercising choice for the next school year; and c) schools and their stakeholders receive in writing the legal or administrative appeal through which our decision may be challenged.

**Essential Practice 12** - The authorizer provides an annual report to each school on its performance.

**USU-CSF Implementation:** *A strategic review of USU-CSF authorized schools will be completed annually, and the results of the review will be provided to the respective charter board, school leadership, and to staff and parents at optimal times to facilitate planning and execution of corrective actions. Additionally, a more in-depth review will be completed cyclically every 3rd and 5th year. Two tools will be used to accomplish this important work. The "Annual Review" document and the "Performance Framework" will be utilized. Using these tools and melding their strengths into a single tool and with a single set of results will call attention to a charter school's strengths and needs and will position USU-CSF staff to engage stakeholders in a process of sustaining existing systemic strengths that drive student learning while simultaneously addressing systemic weaknesses negatively impacting student learning. A systems approach will be used to ensure that a systems strength do not convert to weaknesses in the process of evolving weaknesses into strengths (see appendix I and VI for these tools).*

## Summary

The collective mission statement elements of USU and the Center for the School of the Future (CSF) are that academics come first, by cultivating diversity of thought and culture, and by serving the public through learning, discovery and engagement and fostering 100% student learning proficiency in USU-CSF client schools so all students are liberated from the constraints of limited opportunity.

These student learning outcomes are possible and critically important if students are to be prepared to animate present and future opportunities. We believe that using a systems approach from the start in the authorization process will result in charter schools aligning the many inputs needed to achieve the vital outcome of highly proficient students. We recognize that authorizing requires authorizers to strike a balance between offering charter schools' autonomy while also holding them accountable. It is our intention to offer meaningful scaffolding during the authorization process and during the span of time in which we serve as "authorizer" to a school. Systematic professional support is needed to establish positive momentum and to offer guidance to charter staff so they effectively install and refine the systems needed to achieve the goals identified in their charter agreement.

**ITEM FOR ACTION**

**RE:** Review and Acceptance of the Athletic Department Agreed-Upon Procedures Report for the Year Ended 30 June 2019

The external audit report for the Athletic Department is submitted to the Board of Trustees for consideration. The audit report has received the appropriate administrative review.

**EXECUTIVE SUMMARY**

The State of Utah Auditor's Office prepared the Athletic Department Agreed-Upon Procedures Report for the Year Ended 30 June 2019.

The audit report is scheduled for review by the Board of Trustees Audit, Risk and Compliance Committee prior to the Board of Trustees meeting on March 13, 2020.

**RECOMMENDATION**

The President, Vice President for Business and Finance, and the Audit, Risk and Compliance Committee recommend that the Board of Trustees accept the Athletic Department Agreed-Upon Procedures Report for the Year Ended 30 June 2019.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The State of Utah Auditor's Office prepared the Athletic Department Agreed-Upon Procedures Report for the Year Ended 30 June 2019; and

WHEREAS, The audit report is scheduled for review by the Board of Trustees Audit, Risk and Compliance Committee prior to the Board of Trustees meeting on March 13, 2020; and

WHEREAS, The following individuals are members of the Utah State University Board of Trustees Audit, Risk and Compliance Committee: Kent K. Alder, Chair; Jody K. Burnett; Gina Gagon; Wayne L. Niederhauser; and David A. Petersen; and

WHEREAS, The President, Vice President for Business and Finance, and the Audit, Risk and Compliance Committee recommend the Board of Trustees accept the Athletic Department Agreed-Upon Procedures Report for the Year Ended 30 June 2019:

NOW, THEREFORE, BE IT RESOLVED, That the Utah State University Board of Trustees hereby accepts the Athletic Department Agreed-Upon Procedures Report for the Year Ended 30 June 2019.

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RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES

\_\_\_\_\_

Date

Members of the Audit, Risk and Compliance Committee:

Kent K. Alder, Chair

Jody K. Burnett

Gina Gagon

Wayne L. Niederhauser

David A. Petersen

13 March 2020

### **ITEM FOR ACTION**

**RE:** Real Property Acquisition

The proposed real property acquisition described herein is submitted for the Utah State University Board of Trustees review and approval. The proposed action has received appropriate administrative review and approval.

### **EXECUTIVE SUMMARY**

Utah State University desires to acquire a 2.46 acre-parcel of developed commercial land located at 860 South Main Street, Blanding, Utah which is approximately one mile from the Blanding Campus. The property includes a 23,832 square foot commercial building to house the Heavy Equipment and Trucking Maintenance Program as well as the new Welding.

USU obtained an independent appraisal to establish the fair market value of \$500,000. USU Facilities inspected and evaluated the overall condition of the building including internal systems, roof, structure, etc. and found them to be in good condition. The purchase and renovations will be funded with institutional funds and ongoing operations and maintenance (O&M) costs will be funded by the State.

### **RECOMMENDATION**

The President and Vice President for Business and Finance recommend that the Board of Trustees approve the Real Property Acquisition.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, Utah State University desires to acquire a 2.46 acre-parcel of developed commercial land located at 860 South Main Street, Blanding, Utah which is approximately one mile from the Blanding Campus; and

WHEREAS, The property includes a 23,832 square foot commercial building to house the Heavy Equipment and Trucking Maintenance Program as well as the new Welding; and

WHEREAS, USU obtained an independent appraisal to establish the fair market value of \$500,000; and

WHEREAS, USU Facilities inspected and evaluated the overall condition of the building including internal systems, roof, structure, etc. and found them to be in good condition; and

WHEREAS, The purchase and renovations will be funded with institutional funds and ongoing operations and maintenance (O&M) costs will be funded by the State:

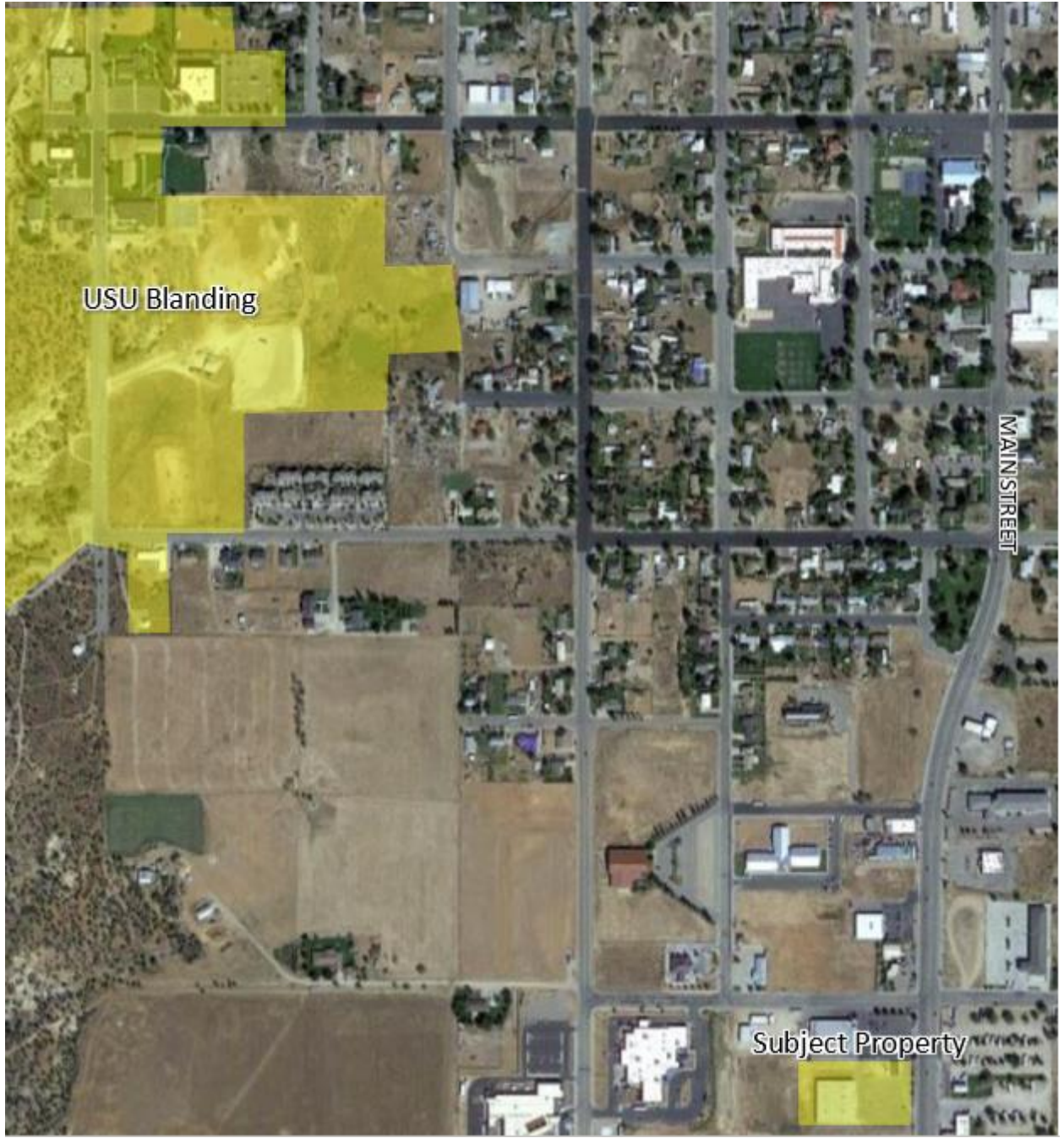
NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees hereby approves the real property acquisition located at approximately 860 South Main Street, Blanding, Utah.

=====

RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

\_\_\_\_\_

Date





13 March 2020

**ITEM FOR ACTION**

**RE: Real Property Acquisition**

The proposed real property acquisition described herein is submitted for the Utah State University Board of Trustees review and approval. The proposed action has received appropriate administrative review and approval.

**EXECUTIVE SUMMARY**

Utah State University desires approval for the acquisition of a parcel of agricultural land and water shares located at approximately 4700 South 2950 West, Wellsville, Utah. The property is five acres and adjoins a 32-acre parcel owned by USU.

The property will allow the Utah Agricultural Experiment Station (UAES) to produce additional feed to support livestock located at the Caine Dairy, and will allow UAES to irrigate and produce crops more efficiently on the adjacent farm ground.

USU obtained an independent appraisal to establish the fair market value of \$130,000. The purchase will be funded with farm commodity revenues available within the College of Agriculture and Applied Sciences.

**RECOMMENDATION**

The President and Vice President for Business and Finance recommend that the Board of Trustees approve the Real Property Acquisition.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, Utah State University desires approval for the acquisition of a parcel of agricultural land and water shares located at approximately 4700 South 2950 West, Wellsville, Utah; and

WHEREAS, The property is five acres and adjoins a 32-acre parcel owned by USU; and

WHEREAS, The property will allow the Utah Agricultural Experiment Station (UAES) to produce additional feed to support livestock located at the Caine Dairy, and will allow UAES to irrigate and produce crops more efficiently on the adjacent farm ground; and

WHEREAS, USU obtained an independent appraisal to establish the fair market value of \$130,000; and

WHEREAS, The purchase will be funded with farm commodity revenues available within the College of Agriculture and Applied Sciences:

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees hereby approves the real property acquisition located at approximately 4700 South 2950 West, Wellsville, Utah.

=====  
RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

\_\_\_\_\_  
Date

**EXHIBIT A**



**ITEM FOR ACTION**

**RE:** A Proposal to Create Tuition and Fee Tables for the Southeast Technical Education programs of Utah State University

**EXECUTIVE SUMMARY**

In order to promote economic growth, a need was identified to build technical education (TE) in southeastern Utah, one of the more economically depressed areas of the state. TE students in southeastern Utah have been paying tuition and fees based on the USU Eastern tuition and fee schedule. This has resulted in students paying rates that were three to five times higher than the rates charged for exactly the same instructional offerings in the Utah System of Technical Colleges (UTECH) system. This higher tuition rate has been a barrier to education for these place-bound students pursuing TE certificates in southeastern Utah. The 2019 legislature allocated equity funding to USU that will level the TE tuition costs for USU Moab, USU Eastern and USU Blanding. With the changes the institution is proposing, tuition will now align much more closely with UTECH tuition and will eliminate a significant obstacle for these students.

After analysis, consultation and discussion with students, faculty, administrators, industry representatives, and USHE system personnel, USU is proposing the following new rates for its CTE offerings. These proposed tuition and fee amounts will align the program costs with other UTECH programs.

**Tuition.** It is proposed that tuition for TE courses at USU Moab, USU Eastern, and USU Blanding be charged based on membership hours (1 academic credit = 30 membership hours) at the rate of \$2.25 per membership hour.

**Student Fees.** It is proposed that the mandatory student fee for these CTE courses be set at \$.50 per membership hour. This will allow the CTE students to have access to all student services that other students have access to. The funds from this fee will be allocated to the fee-receiving areas on each campus.

**Program fees.** Program fees will be assessed on a program by program basis. The USU TE system will have approximately thirty programs in 2020-21. Only programs that have demonstrated need will charge a program fee. Each fee will be set at the level needed for that respective program. The revenue from the program fee will fund operating needs such as supplies and equipment. The following table represents the proposed program fees effective for the 2020-21 year:

<b>Program</b>	<b>Fee</b>
Accounting Practices	\$40
Automotive Technology	\$285
CNC Machinist	\$150
Commercial Driver's License (CDL)	\$2,255
Construction Technology and Management	\$510
Construction Technology and Management - Facilities & Maintenance Focus	\$940
Cosmetology	\$150
Diesel Technician - Even Year	\$150
Diesel Technician - Odd Year	\$160
Digital Design	\$112
Emergency Medical Technician / First Responders	\$87
Engineering Drafting and Design	\$60
Heavy Equipment Operator	\$4,150
IT Support and Web Development	\$200
Medical Assistant	\$249
Phlebotomy	\$74
Small Business Operations / Entrepreneurism	\$40
Software Development	\$160
Web Business	\$72
Welding Technology	\$210

### **RECOMMENDATION**

Based on the above proposal, the President recommends that the Board of Trustees approve the tuition and fee schedules for Southeast Technical Education at USU Eastern, USU Moab, and USU Blanding, effective Summer Semester 2020.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The University wants to promote economic growth in southeastern Utah; and

WHEREAS, TE students in southeastern Utah have been paying tuition and fees based on the USU Eastern tuition and fee schedule which has resulted in these students paying rates that were three to five times higher than the rates charged for exactly the same instructional offerings in the UTECH system; and

WHEREAS, The institution is proposing tuition and fees that will align much more closely with UTECH tuition and fees, and will eliminate a significant obstacle for these students; and

WHEREAS, The university is proposing that tuition for TE courses at USU Moab, USU Eastern and USU Blanding be charged based on membership hours (1 academic credit = 30 membership hours) at the rate of \$2.25 per membership hour, and student fees be set at a rate of \$.50 per membership hour; and

WHEREAS, The university is proposing that program fees vary by program, and be established at the rates presented in the agenda materials, and

WHEREAS, The Vice President for Business and Finance, the Vice President for Student Affairs, and the Interim Vice President for Statewide Campuses submit this recommendation and request approval by the Utah State University Board of Trustees; and

WHEREAS, The proposal has the approval of the President and Provost of Utah State University:

NOW THEREFORE BE IT RESOLVED, That the Utah State Board of Trustees hereby approve the implementation of the Southeast Technical Education tuition and fee schedule effective Summer Semester 2020 and that this approval be forwarded to the Utah State Board of Regents of the Utah System of Higher Education for its approval.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

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DATE

## **ITEM FOR ACTION**

**RE:** A Proposal to Modify the Tuition Structures for Students at the Price, Blanding, and Moab Campuses

## **EXECUTIVE SUMMARY**

Students at the Price and Blanding campuses are currently charged tuition based on their course selection. For upper division courses, they are charged the USU main campus tuition rates; for lower division courses, the USU Eastern tuition rates. In recent years, as program offerings have increased, it has become more and more common for students to enroll in both upper division and lower division courses, meaning they are assessed tuition using two different schedules. This has resulted in a number of frustrations, including:

1. It has been difficult for the institution to clearly communicate the actual anticipated tuition charges to students;
2. Students are making enrollment decisions based on the upper/lower tuition differences, which sometimes affects degree completion times negatively;
3. Students enrolled in enough credits to qualify for plateau-level tuition sometimes pay more if they are taking both upper and lower division courses.

Additionally, with the expansion of Technical Education (TE) offerings in Moab, there was a need to align tuition for USU Moab with the other campuses in southeastern Utah (USU Blanding and USU Eastern). This alignment will help students in Moab through the pathway of TE Certificate to Associates Degree to Bachelors and Masters Degrees.

To address the above items, it is proposed that USU Moab, USU Blanding, and USU Eastern charge tuition based on the number of credits a student has earned. Students with 65 or fewer credits earned will be charged the lower tuition amount off the “Southeast” tuition schedule. This is not a new schedule; instead, it is simply renaming (and combining) the two schedules that were previously known as the “USU E Price” and “USU Blanding” tuition schedules, and were only used for the lower division offerings. Students who have earned over 65 credits will be charged off the main USU tuition schedules.

It is anticipated that this change will have minimal impact on tuition.

In the past, the Price and Blanding campuses have had their own tuition schedules; although, the rates were identical. With this change, the new Southeast tuition schedule will combine those schedules into one new schedule that will be used for Price, Blanding, and Moab.



## **RECOMMENDATION**

Based on the above proposal, the President recommends that the Board of Trustees approve the new tuition structure for USU Eastern, USU Moab, and USU Blanding, effective Summer Semester 2020.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, Offerings in southeast Utah continue to grow; and

WHEREAS, The President has received suggestions and feedback from students and the community regarding the tuition structures for students in that area; and

WHEREAS, There is a need to align tuition for USU Moab with the other campuses in southeastern Utah; and

WHEREAS, The President recommends a change in the tuition structures for USU Eastern, USU Blanding, and USU Moab such that students who have completed 65 credits or less will be charged the new "Southeast" tuition rate and students who have completed more than 65 credits will be charged the regular tuition rate which mirrors the main campus; and

WHEREAS, The Vice President for Business and Finance, the Vice President for Student Affairs, and the Interim Vice President for Statewide Campuses submit this recommendation and request approval by the Utah State University Board of Trustees; and

WHEREAS, The proposal has the approval of the President and Provost of Utah State University:

NOW THEREFORE BE IT RESOLVED, That the Utah State Board of Trustees hereby approve the implementation of the modified tuition structures for southeastern campuses effective Summer Semester 2020 and that this approval be forwarded to the Utah State Board of Regents of the Utah System of Higher Education for its approval.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

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DATE

**ITEM FOR ACTION**

**RE: A Proposal from Utah State University for Tuition Rate Increases**

**EXECUTIVE SUMMARY**

Each institutional President, with the approval of the institutional Board of Trustees, may recommend a tuition rate increase to the Board of Regents. The increase may be used to fund legislative match requirements or to meet other specific institutional needs.

The university, after consultation with student leaders, is proposing two tuition rate increases. The first is a 3.5% increase for the Price and Blanding campuses. (In a separate resolution, the President is proposing that these schedules be applied to all students at the Price, Blanding, and Moab campuses who have earned fewer than 65 credits, regardless of whether the courses are lower or upper division).

The second increase is a 2.8% increase. This applies to all other campuses, which includes Logan, the other Statewide campuses, and out-of-state online.

The President and student leadership will hold a public meeting to provide an explanation of the reasons for the proposed increase, an explanation of how the revenue generated by the increase will be used, and an opportunity for public comment from students.

Differential tuition rates will only increase sufficiently to cover the legislative match requirements for compensation, which will be finalized later this month. Each differential tuition schedule will be adjusted independently.

**RECOMMENDATION**

Based on the above proposal and approvals as indicated, the President and Provost recommend that the Board of Trustees approve the tuition rate increases.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, each institutional President, with the approval of the institutional Board of Trustees, may recommend a tuition rate increase to meet specific institutional needs and meet legislative match requirements; and

WHEREAS, Utah State University is proposing a 3.5% tuition rate increase for the Price and Blanding campuses; and

WHEREAS, Utah State University is proposing a 2.8% tuition rate increase for all other campuses; and

WHEREAS, the President will consult with student leaders and will hold a public meeting to provide an opportunity for public comment from students; and

WHEREAS, differential tuition rates will only increase sufficiently to cover the legislative match requirements for compensation, and each differential tuition schedule will be adjusted independently; and

WHEREAS, the proposal has the approval of the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, that the Utah State University Board of Trustees hereby approve the proposed tuition rate increases effective Summer Semester 2020 and that this approval be forwarded to the Utah State Board of Regents of the Utah System of Higher Education for its approval.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

---

DATE

**ITEM FOR ACTION**

**RE:** A Proposal to Modify and/or Implement New Student Fees at Utah State University

**EXECUTIVE SUMMARY**

All general student fees are subject to Board of Regents approval in conjunction with the annual determination of tuition rates. The University has four different areas that assess these fees. The President's recommendation for each area is described below.

**Logan Campus**

The proposal for the fee-receiving areas on the Logan campus includes three increases totaling \$4.46, which represents a 0.8% increase.

**Statewide Campuses**

Statewide Campuses includes the formerly-named Regional Campus system, USU Eastern, and USU Blanding. In the past, the Trustees approved a unique fee schedule for each of these three areas. Beginning in FY2020-21, two significant changes are recommended.

First, all areas of Statewide Campuses will have identical fee categories: Athletics, Activity, Building, and Instructional/Student Support. The allocation between the four categories will vary based on campus needs. Only the USU Eastern campus will assess an Athletics fee.

Second, the total fees by credit hour will now be identical for all areas of Statewide Campuses. The Statewide system (formerly Regional Campus system) is not requesting any overall increase. For the Price and Blanding campuses, in order to mirror the amount currently in place for the Statewide system, this change requires an increase of \$103.07, or 39.6%. The purpose of this increase is to bring the Price and Blanding campuses in line with the Statewide system amount so that the total fees by credit hour for all Statewide Campuses are equal.

**RECOMMENDATION**

Based on the above proposals, the President recommends that the Board of Trustees approve the implementation of student fee changes and any new student fees effective Summer Semester 2020.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, All general student fees are subject to Board of Regents approval in conjunction with annual determination of tuition rates; and

WHEREAS, The Logan Campus Student Fee Board has approved a \$0.49 per semester increase for Counseling and Psychological Services, a \$2.97 per semester increase for Health Services, and a \$1.00 per semester increase for Library; and

WHEREAS, The Statewide Campus Student Fee Board has requested no increase in fees; and

WHEREAS, The Statewide Campuses, which includes the formerly-named Regional Campus system, USU Eastern, and USU Blanding, are requesting that their fee schedules be limited to four fees: Athletics, Activity, Building, and Instructional and Student Support, and that each area be allowed to allocate the overall total between the four fees based on the respective campus needs; and

WHEREAS, The Statewide Campuses are requesting that their total fees by credit hour be identical for all locations, which requires an increase of \$103.07 per semester for the Price and Blanding campuses; and

WHEREAS, The Vice President for Business and Finance, the Vice President for Student Affairs, and the Interim Vice President for Statewide Campuses submit this recommendation and request approval by the Utah State University Board of Trustees; and

WHEREAS, The proposal has the approval of the President and Provost of Utah State University:

NOW THEREFORE BE IT RESOLVED, That the Utah State Board of Trustees hereby approve the implementation of student fee increases effective Summer Semester 2020 and that this approval be forwarded to the Utah State Board of Regents of the Utah System of Higher Education for its approval.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

---

DATE

**Attachment - Utah State University Student Fee Schedules  
Current and Proposed FY21 (per semester)**

**Logan Campus\***

<b>Fee</b>	<b>Current</b>	<b>Proposed</b>	<b>Change</b>
Activity	\$ 36.93	\$ 36.93	\$ -
Building	147.19	147.19	-
Athletics	138.33	138.33	-
Aggie Shuttle	20.95	20.95	-
Health Services	45.23	48.20	2.97
Technology	66.81	66.81	-
Campus Recreation	36.66	36.66	-
Library	32.69	33.69	1.00
Music & Theater	10.61	10.61	-
Aggie Blue Bike	2.75	2.75	-
Blue Goes Green	3.03	3.03	-
Counseling & Psychological Services	13.96	14.45	0.49
<b>TOTAL</b>	<b>\$ 555.14</b>	<b>\$ 559.60</b>	<b>\$ 4.46 0.8%</b>

\*Proposed amounts for Logan Campus fees will be adjusted sufficient to fund compensation at the COLA levels approved by the Legislature. These adjustments will be in the agenda materials submitted to the Board of Regents in March.

**Statewide Campuses (excluding Blanding)**

<b>Fee</b>	<b>Current</b>	<b>Proposed</b>	<b>Change</b>
Athletics		\$ -	\$ -
Activity	\$ 34.26	\$ 34.26	\$ -
Building	58.67	58.67	-
Instructional & Student Support	253.19	270.14	16.95
Counseling & Psychological Services	16.95	-	(16.95)
<b>TOTAL</b>	<b>\$ 363.07</b>	<b>\$ 363.07</b>	<b>\$ - 0.0%</b>

**USU Eastern Campus**

<b>Fee</b>	<b>Current</b>	<b>Proposed</b>	<b>Change</b>
Facilities	\$ 40.07	\$ -	\$ (40.07)
Institutional Support	11.00	-	(11.00)
Athletics	42.00	55.00	13.00
Activity	\$ -	\$ 138.03	\$ 138.03
Building	-	\$ 7.49	7.49
Instructional & Student Support	-	162.55	162.55
EUSA	71.25	-	(71.25)
Library	32.67	-	(32.67)
I.T.	3.11	-	(3.11)
Student Services	59.90	-	(59.90)
<b>TOTAL</b>	<b>\$ 260.00</b>	<b>\$ 363.07</b>	<b>\$ 103.07 39.6%</b>

**USU Blanding Campus**

<b>Fee</b>	<b>Current</b>	<b>Proposed</b>	<b>Change</b>
CEUSA-SJC Leadership	\$ 36.00	\$ -	\$ (36.00)
Student Life	82.00	\$ -	(82.00)
Student Recruitment Initiative	1.50	\$ -	(1.50)
Athletics		\$ -	\$ -
Activity	\$ -	\$ 192.34	\$ 192.34
Building	-	\$ 28.00	28.00
Instructional & Student Support	-	142.73	142.73
Computers	43.00	\$ -	(43.00)
Health & Wellness Center	28.00	\$ -	(28.00)
Activity Card	1.72	\$ -	(1.72)
Library	32.67	\$ -	(32.67)
I.T.	3.11	\$ -	(3.11)
Early Childhood	2.00	\$ -	(2.00)
Distance Education	30.00	\$ -	(30.00)
<b>TOTAL</b>	<b>\$ 260.00</b>	<b>\$ 363.07</b>	<b>\$ 103.07 39.6%</b>



## **ITEM FOR ACTION**

RE: A Proposal to modify the approved uses of differential tuition for the Emma Eccles Jones College of Education and Human Services

## **EXECUTIVE SUMMARY**

Utah State University (USU) seeks to modify the approved uses of differential tuition for students in the Emma Eccles Jones College of Education and Human Services (CEHS). Differential tuition was approved at its current levels in the 2016-17 academic year.

The college receives approximately \$2.7 million annually in revenue from differential tuition.

The original proposal approved by the Board of Trustees included seven recommended areas of use for the revenue from the differential tuition:

1. Accreditation,
2. Compliance,
3. Course fees/differential tuition replacement,
4. Graduate and undergraduate student research,
5. Graduate assistantships and tuition waivers,
6. Program enhancement, and
7. Technology support in student labs/clinics.

Differential tuition has been instrumental in enhancing the educational experiences, services, and resources available to students.

To deepen and broaden these student benefits, CEHS seeks approval to address two emergent areas of need in the college with differential tuition funds. No increase is being recommended.

The two new areas of need include: Digital Recruitment/Engagement and Student Mental Health.

**Digital Recruitment/Engagement.** Interested students expect to find information about the student experience, programs, degrees, accreditation/program rankings, faculty research/interest areas, etc. on college websites. Current students want to be able to see faculty, research, clinical, and/or outreach programs, student clubs, program information and updates. Many student-research groups and faculty labs would like to have their own websites. CEHS has not been able to keep up with this demand for these services. CHES is requesting \$102,800 be reallocated to fund a new position to meet this critical demand.

**Student Mental Health.** Given widespread increases in student mental health issues and needs, CEHS recognizes that students will benefit from additional resources. While there are opportunities for students to receive counseling from on-campus resources, there are often delays

in getting the needed treatment. In an effort to reduce delays in treatment and support, CEHS is requesting that \$113,600 be reallocated to fund a professional service provider who would be embedded in the college to these provide essential services.

These additional uses of differential tuition in CEHS will provide additional value for students and put them on the path to a successful career and healthy life.

### **RECOMMENDATION**

Based on the above proposal, the President and Provost recommend that the Board of Trustees approves the change in the use of differential tuition for the Emma Eccles Jones College of Education and Human Services.

RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES

WHEREAS, The Emma Eccles Jones College of Education and Human Services (CEHS) has been assessing differential tuition at current levels since the 2016-17 academic year; and

WHEREAS, Differential tuition has benefited students and programs in the college in multiple ways; and

WHEREAS, The college recognizes the importance of bringing proposed changes in the use of differential tuition revenue to the Board for approval in order to be transparent to students; and

WHEREAS, The college is not seeking to increase its differential tuition rates; and

WHEREAS, The college seeks to expand the approved uses of differential tuition to include digital recruitment/engagement and student mental health; and

WHEREAS, These additional uses of differential tuition in CEHS will provide additional value for students and put them on the path to a successful career and healthy life; and

WHEREAS, The proposal has the approval of the President and Provost of Utah State University;

NOW THEREFORE BE IT RESOLVED, That the Utah State University Board of Trustees hereby approves the proposed change in approved uses for differential tuition in the CEHS effective Summer Semester 2020 and that this approval be forwarded to the Utah State Board of Regents of the Utah System of Higher Education for its approval.

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RESOLUTION APPROVED BY THE BOARD OF TRUSTEES

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DATE



The Emma Eccles Jones College of Education and Human Services (CEHS) was approved to charge differential tuition starting Summer 2016. This extra funding has enhanced our students' experience in seven primary areas: accreditation, compliance, course fees/differential tuition replacement, graduate and undergraduate student research, graduate assistantships and tuition waivers, program enhancement, and technology support in student labs/clinics. It is clear that differential tuition has been instrumental in enhancing the educational experiences, services, and resources available to our students. To deepen and broaden the array of these resources, CEHS is seeking approval to address two emergent areas of need in the college. We are not requesting an increase in our differential tuition rates but rather we will allocate the differential tuition across the original seven areas and two new needs, which are Digital Engagement and Clinical Interdisciplinary Support.

**Digital Engagement.** With the increased use of technology by our students and the expectation of information being available to students on digital platforms, we have been unable to meet current demands. Our students want to be able to see faculty, research, clinical, and/or outreach programs, student clubs, program information and updates on our websites. In addition, many student-research groups and faculty labs would like to have their own websites. Also, our students have their own technological devices that we are increasingly asked to support so that students can access the software and programs required for our programs. We feel it is imperative to meet the expectations of our students by expanding our existing staff. Thus, we are requesting that \$139,100 of differential tuition be reallocated to support this critical student demand.

**Clinical Interdisciplinary Support.** Our students have enthusiastically embraced the additional clinical opportunities afforded by the Sorenson Legacy Foundation Center for Clinical Excellence. While we are committed to providing our students the unique opportunity to learn and participate in an interdisciplinary services environment, we underestimated the support that we would need to coordinate this educational experience. Thus, we are requesting that \$77,300 be reallocated to support our students engaged in clinical interdisciplinary experiences. A care coordinator hired with these funds will track the services offered by our student learners to clients. The coordinator will also develop specific training materials and feedback experiences for our students, as well as schedule and communicate with the students in the Sorensen Center.

Thank you for your consideration of these reallocations. We are confident that expanding the differential tuition categories to these high priority areas will provide additional value for our students and extend opportunities for a successful and productive career.

13 March 2020

**ITEM FOR ACTION**

**RE:** Faculty and Staff Adjustments

The attached faculty and staff adjustments are submitted for the Trustees consideration. They have received the appropriate administrative review and approval.

**EXECUTIVE SUMMARY**

The faculty and staff adjustments include one (1) new appointment.

**RECOMMENDATION**

The President and Provost recommend that the Board of Trustees approve the attached faculty and staff adjustment.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The President and the Provost recommend that the Board of Trustees approve one (1) new appointment.

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees hereby approve the recommendation of the faculty and staff adjustments.

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RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

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Date

**Faculty and Staff Adjustments**

**New Appointments**

**Jon M. Huntsman School of Business**

Susan R. Madsen to be Professor with tenure, and as the inaugural Karen Haight Huntsman Endowed Professor of Leadership, Department of Marketing and Strategy, Jon M. Huntsman School of Business; effective 01 July 2020. B.A. Brigham Young University, 1985; M.S. Portland State University, 1991; Ph.D. University of Minnesota, 2001.



## **INFORMATION AGENDA**

1. Report of Investments for September 2019
2. Report of Investments for October 2019
3. Report of Investments for November 2019
4. Revised Policy 502 Naming University Facilities, Organizations, and Programs

## **ITEM FOR ACTION**

### **RE: Report of Investments for September 2019**

The Report of Investments for September 2019 is submitted to the Board of Trustees for consideration. It has received the appropriate administrative review and approval.

## **EXECUTIVE SUMMARY**

This set of investment reports presents investment activity for September 2019 and comparative year-to-date totals for FY 2019-2020 and FY 2018-2019; investment portfolios at 30 September 2019; and Summary of Total Investment Returns for the quarter ended 30 September 2019 and year-to date 1 July 2019 to 30 September 2019.

### **CASH MANAGEMENT INVESTMENT POOL**

The average daily fair value invested during September 2019 was \$403,908,962, up \$30,278,196 over August 2019. Total investment gain was \$1,150,162, down \$620,891 from August 2019, reflecting the increase in the amount available for investing and a decrease in total investment return. The annualized total investment return was 3.42%, down 2.27% from August 2019.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$377,572,107, up \$30,693,316 (8.85%) over FY 2018-2019. Total interest income for FY 2019-2020 amounted to \$2,660,397, up \$616,857 (30.19%) over FY 2018-2019, reflecting an increase in the amount available for investing and an increase in interest rates.

The total amount invested at 30 September 2019 was \$406,225,234, up \$33,416,344 (8.96%) over 30 September 2018. Unrealized gains at 30 September 2019 were \$831,355.

### **ENDOWMENT POOL**

The average daily fair value invested during September 2019 was \$202,981,816, up \$673,576 over August 2019. Interest and dividend income of \$553,187 plus net realized gains of \$8,185,847 totaled \$8,739,034 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$202,719,759, up \$20,720,477 (11.38%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$9,617,222, up \$13,776 (0.14%) over FY 2018-2019. This increase resulted from \$305,792 more in interest and dividends and \$292,016 less in net realized gain during FY 2019-2020.

The total amount invested at 30 September 2019 was \$204,467,977, up \$20,392,454 (11.08%) over 30 September 2018. Unrealized gains at 30 September 2019 were \$26,637,093.

## OTHER INVESTMENTS

The average daily fair value invested during September 2019 was \$205,446,372, up \$2,858,833 over August 2019. Interest and dividend income of \$485,908 plus net realized gains of \$3,835 totaled \$489,743 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$202,360,336, up \$5,104,172 (2.59%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$1,089,435, down \$24,016 (2.16%) from FY 2018-2019. This decrease resulted from \$8,129 more in interest and dividend income and \$32,145 less in net realized gains during FY 2019-2020.

The total amount invested at 30 September 2019 was \$205,363,713, up \$5,218,775 (2.61%) over 30 September 2018. Unrealized gains at 30 September 2019 were \$24,930,150.

## ENDOWMENT TRUSTS

The average daily fair value invested during September 2019 was \$5,910,409, up \$43,677 over August 2019. Interest and dividend income of \$25,341 plus net realized gains of \$130,481 totaled \$155,822 in realized gains for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$5,912,310, down \$120,836 (2.0%) from FY 2018-2019. Total realized income for FY 2019-2020 was \$228,572, up \$171,705 (301.94%) over FY 2018-2019. This increase resulted from \$1,322 less in interest and dividend income and \$173,027 more in net realized gains during FY 2019-2020.

The total amount invested at 30 September 2019 was \$6,044,724, down \$65,082 (1.07%) from 30 September 2018. Unrealized losses at 30 September 2019 were \$801,263.

## PLANT FUND TRUSTS

The average daily fair value invested during September 2019 was \$79,210,771, up \$38,673,501 over August 2019. Interest income totaled \$169,255 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$47,741,640, up \$8,876,060 (22.84%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$313,156, up \$58,927 (23.18%) over FY 2018-2019. This increase reflects the increased amount available for investing and decrease in the rate of return.

The total amount invested at 30 September 2019 was \$79,170,897, up \$40,366,077 (104.02%) over 30 September 2018. Unrealized gains at 30 September 2019 were \$0.

## SUMMARY OF INVESTMENT TRANSACTIONS

The University's average daily fair value invested for the month of September was \$822,323,423.

Purchases totaled \$134,148,428 and sales totaled \$124,714,178. From this activity the University realized net gains of \$8,320,163 and earnings of \$1,952,510.

### SUMMARY OF INVESTMENT RETURNS

The Endowment Pool composite benchmark is established based on the asset allocation of the Endowment Pool. At 30 September 2019 the Endowment Pool asset allocation was 8.75% cash, 22.72% fixed income, 63.53% equities. The benchmarks used include the Barclay's Capital U.S. Aggregate Bond Index, MSCI ACWIXUS, and the Russell 3000 index. The composite benchmark for the Endowment Pool at 30 September 2019 was 5.40%.

The Endowment Pool trailing 12-month rate of return was 3.48% at 30 September 2019. The Endowment Pool underperformed its benchmark by 192 bp year-to-date- at 30 September 2019.

The Cash Management Investment Pool trailing 12-month rate of return was 5.95% at 30 September 2019. The benchmark for the Cash Management Investment Pool is the Utah Public Treasurers' Investment Fund (PTIF). The PTIF fiscal year-to-date annualized rate of return was 3.27% at 30 September 2019. The Cash Management Investment Pool outperformed its benchmark by 268 bp year-to-date at 30 September 2019.

### ENDOWMENT FUNDS

The fair value of invested endowment funds at 30 September 2019 was \$409.5 million, down \$5.2 million (1.25%) from 30 June 2019. This decrease includes the change in fair value and new gifts received through 30 September 2019.

Year-to-date, the endowment funds have decreased \$5.2 million (1.25%) from 30 June 2019.

Endowment funds are currently invested 45.89% in the Endowment Pool, 16.79% in the Cash Management Investment Pool, 1.47% in the various Endowment Trusts and 35.85% in Other Investments.

### RECOMMENDATION

The President and Vice President for Business and Finance recommend that the Board of Trustees approve the Report of Investments for September 2019.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The attached Report of Investments containing authorized transactions, documentation, and supporting papers has been filed for review by the Board of Trustees pertaining to the investment activities; and

WHEREAS, The investment transactions listed on the attached Report of Investments have been approved by the USU Controller's Office; and

WHEREAS, The investment activities listed on the attached Report of Investments are in accordance with the Utah State Money Management Act, the rules of the Utah State Money Management Council, the Utah State Uniform Prudent Management of Institutional Funds Act, and the laws and rules of Utah State University and the State of Utah; and

WHEREAS, The Chief Financial Officer for Utah State University, David T. Cowley, Vice President for Business and Finance, has certified to the best of his knowledge and belief all investment transactions listed on the attached Report of Investments were made in accordance with the guidelines, rules, and laws; and

WHEREAS, Vice President Cowley requests approval of the attached Report of Investments for the period 1 September 2019 to 30 September 2019 and comparative year-to-date totals for the periods 1 July 2019 to 30 September 2019 and 1 July 2018 to 30 September 2018; and

WHEREAS, The President of Utah State University has reviewed the attached report and recommends its approval by the Utah State University Board of Trustees; and

WHEREAS, The USU Board of Trustees has reviewed and given due consideration, review, and authorization of the investment transactions listed on the attached Report of Investments for the period 1 September 2019 to 30 September 2019 and comparative year-to-date totals for the periods 1 July 2019 to 30 September 2019 and 1 July 2018 to 30 September 2018;

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees hereby approves the attached Report of Investments as presented and ratifies the transactions listed on said Report of Investments for September 2019.

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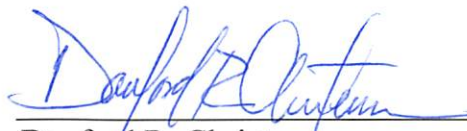
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RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

\_\_\_\_\_  
Date

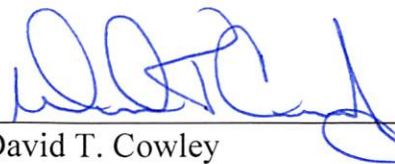
UTAH STATE UNIVERSITY  
REPORT OF INVESTMENTS  
SEPTEMBER 2019

The following schedules (A through G) provide a report of the University's Investments. To the best of my knowledge, Utah State University is in compliance with the Utah State Money Management Act and the rules of the Utah State Money Management Council and the Utah State Uniform Prudent Management of Institutional Funds Act.



Danford R. Christensen  
Controller

1/21/2020  
Date



David T. Cowley  
Vice President for Business and Finance

1-21-20  
Date

UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule A-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest Income	Less Service Charges	Net Interest Income
Jul 2019	\$347,726,134	\$45,811,657	\$33,118,068	(\$209,645)	\$360,210,078	\$355,176,593	\$805,942	\$15,773	\$790,169
Aug 2019	360,210,078	\$110,464,352	\$73,418,557	801,022	398,056,895	373,630,766	970,031	0	970,031
Sep 2019	398,056,895	84,234,407	76,331,806	265,738	406,225,234	403,908,962	884,424	(5,240)	889,664
Oct 2019									
Nov 2019									
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$347,726,134	\$240,510,416	\$182,868,431	\$857,115	\$406,225,234	\$377,572,107	\$2,660,397	\$10,533	\$2,649,864
FY 2018-19	310,863,104	159,818,273	95,468,336	(2,404,151)	372,808,890	346,878,791	2,043,540	13,974	2,029,566
Amt Change					33,416,344	30,693,316	616,857	(3,441)	620,298
% Change					8.96%	8.85%	30.19%	-24.62%	30.56%

Note: The Cash Management Investment Pool includes cash of all funds over estimated daily operating requirements.



UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL PORTFOLIO  
30 September 2019

Schedule A-1-A  
Page 1 of 3

Description	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
<b>Sweep Account</b>						
Wells Fargo Bank	1.9767%			\$13,728,358	\$13,728,358	\$0
				<u>\$13,728,358</u>	<u>\$13,728,358</u>	<u>\$0</u>
<b>Money Market</b>						
Bank of Utah - Public Treasurer Acct	2.8200%			6,100,000	6,100,000	0
Cache Valley Bank	2.7762%			30,100,000	30,100,000	0
				<u>36,200,000</u>	<u>36,200,000</u>	<u>0</u>
<b>Public Treasurers' Investment Fund</b>						
Utah Public Treasurers' Investment Fund	2.5658%			17,100,000	17,100,000	0
				<u>17,100,000</u>	<u>17,100,000</u>	<u>0</u>
<b>Commercial Paper and Corporate Notes</b>						
<b>Floater Rate</b>						
Daimler Finance	1.6700%	09/01/17	01/06/20	4,500,000	4,505,615	5,615
General Electric	2.9000%	02/05/18	04/15/20	5,000,000	4,994,273	(5,727)
Athene Global	1.9200%	09/05/17	04/20/20	5,000,000	5,027,125	27,125
Athene Global	1.8300%	10/06/17	04/20/20	8,750,000	8,797,469	47,469
Daimler Finance	1.6700%	09/01/17	05/05/20	3,184,000	3,188,696	4,696
JP Morgan	3.4000%	12/14/18	06/11/20	4,960,000	4,915,360	(44,640)
National Australia Bank	2.2000%	08/01/17	07/28/20	10,000,000	10,000,000	0
Aust & NZ Banking Corp	1.6500%	09/01/17	08/19/20	5,500,000	5,519,417	19,417
American Express	3.2000%	01/17/19	09/14/20	5,000,000	5,039,179	39,179
JP Morgan	1.9700%	01/16/18	10/29/20	5,000,000	5,047,918	47,918
Mitsubishi	3.5500%	01/11/19	03/01/21	5,915,000	6,038,966	123,966
Harley Davidson	3.5900%	02/15/19	03/02/21	5,000,000	5,005,407	5,407
HSBC	2.7700%	06/04/18	05/18/21	5,000,000	5,005,148	5,148
Santander	2.8700%	06/28/18	06/01/21	3,000,000	3,002,738	2,738
Lloyds	2.8700%	09/10/18	06/21/21	5,000,000	5,011,331	11,331
Lloyds	3.7500%	12/20/18	06/21/21	2,675,000	2,681,062	6,062
Lloyds	2.9000%	07/29/19	06/21/21	1,260,000	1,262,855	2,855

UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL PORTFOLIO  
30 September 2019

Schedule A-1-A  
Page 2 of 3

Description	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Commercial Paper and Corporate Notes (continued)						
Barclays Bank	3.7500%	08/24/18	08/24/21	\$5,000,000	\$5,000,000	\$0
Morgan Stanley	3.7700%	08/30/18	08/30/21	7,000,000	6,921,250	(78,750)
Citigroup	3.6000%	09/07/18	09/07/21	11,000,000	11,000,000	0
Credit Agricole	3.7500%	09/14/18	09/14/21	7,000,000	6,956,600	(43,400)
Santander	3.6000%	01/07/19	11/15/21	7,000,000	7,008,069	8,069
HSBC	2.9300%	07/29/19	11/18/21	1,700,000	1,718,530	18,530
HSBC	2.7200%	09/10/19	01/05/22	10,000,000	10,187,242	187,242
Creidt Agricole	3.8200%	01/11/19	01/10/22	7,000,000	7,109,649	109,649
Nissan	2.8300%	08/09/19	01/13/22	15,000,000	15,065,334	65,334
Bank of America	3.5700%	01/23/19	01/23/22	5,929,200	5,998,335	69,135
Daimler Finance	2.8500%	08/16/19	02/15/22	2,000,000	2,010,342	10,342
Daimler Finance	3.4700%	02/22/19	02/22/22	5,000,000	5,025,223	25,223
Mizuho Financial	2.9200%	07/12/19	02/28/22	5,000,000	5,033,875	33,875
Banco Santander	3.2800%	06/17/19	04/11/22	5,000,000	5,075,322	75,322
Morgan Stanley	2.8300%	08/20/19	06/10/22	7,000,000	7,020,148	20,148
Barclays Bank	2.9300%	06/28/19	06/27/22	5,000,000	4,915,081	(84,919)
Barclays Bank	2.9100%	07/11/19	07/11/22	5,000,000	4,912,500	(87,500)
Standard Chartered	3.0269%	09/13/19	09/10/22	15,000,000	15,064,350	64,350
Natwest Markets	3.0000%	09/30/19	09/29/22	14,875,000	15,101,695	226,695
				225,248,200	226,166,104	917,904
Obligations of U. S. Government						
Federal Farm Credit FFCB	1.9300%	09/09/16	03/06/24	5,000,000	4,990,000	(10,000)
Fannie Mae FNMA	2.0500%	11/03/16	11/25/24	4,900,000	4,902,202	2,202
Federal Farm Credit FFCB	1.9200%	09/02/16	12/02/24	5,000,000	4,928,280	(71,720)
Fed Home Loan Bank FHLB	2.1000%	08/18/16	08/18/25	5,000,000	5,000,082	82
Fed Home Loan Bank FHLB	2.5000%	06/20/16	06/15/26	5,000,000	5,000,028	28
Fed Home Loan Bank FHLB	2.4400%	07/06/16	07/06/26	5,000,000	4,925,883	(74,117)
Federal Farm Credit FFCB	2.2500%	07/27/16	07/27/26	5,000,000	5,000,032	32
Fannie Mae FNMA	2.1000%	08/29/16	08/24/26	10,000,000	9,939,872	(60,128)
Fed Farm Credit FFCB	2.0600%	09/01/16	09/01/26	10,000,000	10,000,201	201

UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL PORTFOLIO  
30 September 2019

Schedule A-1-A  
Page 3 of 3

Description	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Obligations of U. S. Government (continued)						
Farmer Mac FAMCA	2.0500%	09/01/16	09/01/26	\$6,355,000	\$6,355,606	\$606
Fed Home Loan Bank FHLB	2.1200%	09/02/16	09/02/26	10,000,000	9,999,999	(1)
Fed Home Loan Bank FHLB	2.1700%	09/22/16	09/22/26	5,000,000	5,000,097	97
Federal Farm Credit FFCB	2.2000%	10/28/16	10/05/26	7,458,750	7,500,194	41,444
Farmer Mac FAMCA	2.3000%	11/10/16	11/01/26	5,000,000	5,001,174	1,174
Fed Home Loan Bank FHLB	2.7000%	11/30/16	11/30/26	5,000,000	5,000,253	253
Fed Home Loan Bank FHLB	3.1400%	04/19/17	04/19/27	8,928,571	8,929,256	685
				<u>102,642,321</u>	<u>102,473,159</u>	<u>(169,162)</u>
Municipal Bonds						
Salt Lake City Municipal	2.0700%	03/30/15	10/01/19	1,000,000	1,000,000	0
Utah County UT Bonds	4.9200%	01/17/14	12/01/19	1,000,000	1,004,550	4,550
Salt Lake County	1.8100%	03/01/17	02/01/20	1,025,000	1,024,539	(461)
Utah County UT Bonds	5.1700%	01/17/14	12/01/20	1,000,000	1,005,440	5,440
Salt Lake County	2.0100%	03/01/17	02/01/21	2,075,000	2,075,477	477
Salt Lake County	2.3500%	03/01/17	02/01/22	1,600,000	1,614,208	14,208
Salt Lake County	2.5000%	03/01/17	02/01/23	2,175,000	2,213,323	38,323
Salt Lake County	2.7800%	03/01/17	02/01/24	600,000	620,076	20,076
				<u>10,475,000</u>	<u>10,557,613</u>	<u>82,613</u>
Total Cash Management Investment Pool				<u>\$405,393,879</u>	<u>\$406,225,234</u>	<u>\$831,355</u>

UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL  
SUMMARY OF INVESTMENT TRANSACTIONS AND PERFORMANCE  
For the Month of September 2019

Schedule A-2

	Purchases	Sales		Earnings	Change in Fair Value	Total Investment Income	Average Daily Fair Value	Annualized Total Investment Return
		Cost	Receipts					
Sweep Account	\$27,359,407	\$52,451,806	\$52,451,806	\$49,948		\$49,948	\$31,272,037	1.92%
Money Market Account				83,563		83,563	36,200,000	2.77%
Utah Public Treasurers' Investment Fund	17,000,000	10,000,000	10,000,000	44,057		44,057	20,600,000	2.57%
Commercial Paper and Corporate Notes	39,875,000			492,594	\$448,942	941,536	201,869,033	5.60%
Obligations of U. S. Government		13,880,000	13,880,000	195,373	(157,557)	37,816	103,492,892	0.44%
Municipal Bonds				18,889	(25,647)	(6,758)	10,475,000	-0.77%
Total	<u>\$84,234,407</u>	<u>\$76,331,806</u>	<u>\$76,331,806</u>	<u>\$884,424</u>	<u>\$265,738</u>	<u>\$1,150,162</u>	<u>\$403,908,962</u>	3.42%

UTAH STATE UNIVERSITY  
SUMMARY OF CASH MANAGEMENT INVESTMENT POOL TRANSACTIONS  
For the Month of September 2019

Schedule A-3

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<u>Cash Management Investment Pool</u>							
Sweep Account		\$27,359,407		\$52,451,806	\$52,451,806	\$0	\$49,948
Money Market Account							83,563
Utah Public Treasurers' Investment Fund		17,000,000		10,000,000	10,000,000	0	44,057
Corporate Bonds and Floaters		39,875,000					492,594
Obligations of U. S. Government				13,880,000	13,880,000	0	195,373
Municipal Bonds							18,889
Total Cash Management Investment Pool		<u>\$84,234,407</u>		<u>\$76,331,806</u>	<u>\$76,331,806</u>	<u>\$0</u>	<u>\$884,424</u>

UTAH STATE UNIVERSITY  
 ENDOWMENT POOL  
 SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule B-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income	Less Expenses	Net Realized Income/(Loss)
*Jul 2019	\$202,617,616	\$6,768,704	\$6,536,581	\$271,086	\$203,120,825	\$202,869,221	\$291,319	\$129,674	\$420,993		\$420,993
Aug 2019	203,120,825	2,942,358	2,681,056	(1,886,473)	201,495,654	202,308,240	194,822	262,373	457,195	\$19,534	437,661
Sep 2019	201,495,654	44,291,183	43,426,536	2,107,676	204,467,977	202,981,816	553,187	8,185,847	8,739,034	21,875	8,717,159
Oct 2019											
Nov 2019											
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											

Comparative Totals:

Year-to-date

FY 2019-20	\$202,617,616	\$54,002,245	\$52,644,173	\$492,289	\$204,467,977	\$202,719,759	\$1,039,328	\$8,577,894	\$9,617,222	\$41,409	\$9,575,813
FY 2018-19	178,258,733	31,846,650	30,997,512	4,967,652	184,075,523	181,999,282	733,536	8,869,910	9,603,446	12,428	9,591,018
Amt Change					20,392,454	20,720,477	305,792	(292,016)	13,776	28,981	(15,205)
% Change					11.08%	11.38%	41.69%	-3.29%	0.14%	233.19%	-0.16%

Note: The Endowment Pool includes endowment funds designated for long-term investment. Included in this pool are endowment funds invested in the University's Cash Management Investment Pool (CMIP) consisting of \$16,164,870 principal beginning balance, a \$16,534,155 ending balance, and a \$16,516,180 average daily balance for the current month. Current month interest and dividends from the CMIP were \$35,950 bringing the total to \$116,478 year-to-date. These amounts have also been reported in Schedules A-1 and A-2.

\*The July beginning fair value has been adjusted to reflect the amount distributed to expendable accounts at fiscal year end.

UTAH STATE UNIVERSITY  
 ENDOWMENT POOL  
 INVESTMENT PERFORMANCE

Schedule B-1-A

	Total Number of Units	Fair Value Per Unit			Net Earnings	Earnings Per Unit
		Beginning of Month	End of Month	Percent Change		
July 2019	592,788.70	\$341.8041	\$342.6530	0.25%	\$291,319	\$0.4914
August 2019	593,025.93	342.6530	339.7755	-0.84%	194,822	0.3285
September 2019	594,006.97	339.7755	344.2181	1.31%	553,187	0.9313
October 2019						
November 2019						
December 2019						
January 2020						
February 2020						
March 2020						
April 2020						
May 2020						
June 2020						

UTAH STATE UNIVERSITY  
 ENDOWMENT POOL PORTFOLIO  
 September 30, 2019

Schedule B-1-B  
 Page 1 of 3

Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Cash Management Investment Pool						\$16,534,155	\$16,534,155	\$0
Total Cash Management Investment Pool						<u>16,534,155</u>	<u>16,534,155</u>	<u>0</u>
Equity funds								
Dimensional - DFA Emerging Markets		203,981.409				5,652,123	5,389,189	(262,934)
Dimensional - DFA Micro Cap		66,473.980				1,390,558	1,352,746	(37,812)
Dimensional - DFA Small Cap		120,990.603				4,130,407	4,009,629	(120,778)
RhumbLine QSI Index		1,264,023.312				24,023,284	33,637,430	9,614,146
Vanguard FTSE All-World ex-US Index Fund		163,471.258				15,242,193	16,065,955	823,762
Vanguard Russell 3000		73,396.675				14,041,104	19,168,276	5,127,172
Total Equities						<u>64,479,669</u>	<u>79,623,225</u>	<u>15,143,556</u>
Fixed Income funds								
Longfellow						18,016,805	18,133,277	116,472
GoldenTree Multi Sector Cayman, LTD		2,823.848				3,000,000	3,541,609	541,609
High Yield Bond Fund		850,211.662				9,053,757	8,867,959	(185,798)
Pacific Asset Management						12,277,237	13,586,035	1,308,798
Paydenfunds - Emerging Markets Bond Fund		271,562.644				3,511,934	3,668,811	156,877
Vanguard Inflation Protected Secs Ad		100,584.292				2,603,277	2,619,215	15,938
Vanguard Short Term Inflation Protected Securities Index Fun		105,441.036				2,608,917	2,593,849	(15,068)
Wellington - CTF Opportunistic Emerging Markets		344,520.783				3,564,438	3,669,146	104,708
Total Fixed Income Funds						<u>54,636,365</u>	<u>56,679,901</u>	<u>2,043,536</u>
Alternatives								
Aether Investment Partners, LLC								
Aether Real Assets IV, LP						1,381,557	1,585,618	204,061
Aether Real Assets V, LP						534,560	472,645	(61,915)
The Carlyle Group								
Carlyle Realty Partners VIII						778,691	897,080	118,389
Commonfund								
CEP VII						0	540,275	540,275
CEP VIII						587,052	1,180,138	593,086
CNR VIII						833,952	657,348	(176,604)



UTAH STATE UNIVERSITY  
 ENDOWMENT POOL PORTFOLIO  
 September 30, 2019

Schedule B-1-B  
 Page 2 of 3

Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Commonfund (continued)								
CNR IX						\$1,060,116	\$1,313,144	\$253,028
CVP X						747,725	1,795,212	1,047,487
Constitution Capital								
Ironsides Co-Investment Fund III						542,442	1,014,627	472,185
Ironsides Partnership Fund III						573,914	837,462	263,548
Global Infrastructure Partners								
Global Infrastructure Partners III-A/B, L.P.						2,388,731	2,511,575	122,844
Global Infrastructure Partners IV-A/B, L.P.						46,365	19,659	(26,706)
Goldman Sachs								
Vintage Fund VI						269,478	595,288	325,810
GQG Partners								
GQG Partners Emerging Markets Equity Fund						4,500,000	4,687,562	187,562
HarbourVest								
HarbourVest 2017 Global Fund L.P.						2,482,546	2,822,893	340,347
International Fund Services								
AQR International Equity Fund II, L.P.						8,000,000	8,927,853	927,853
Morgan Stanley								
JP Morgan Prime Property Fund		351.912				5,127,312	6,737,239	1,609,927
Pinehurst Institutional Ltd.								
Corbin		2,570.273				4,000,000	4,784,296	784,296
Solamere Capital								
Solamere Founders Fund I, LP						676,077	1,329,758	653,681
Solamere Founders Fund II, LP						1,885,850	2,471,076	585,226
Woodbury								
Woodbury Strategic Partners Fund, L.P.						686,765	819,860	133,095
Woodbury IFRI						32,223	41,108	8,885
Woodbury Capital II, LP						800,817	1,152,557	351,740
Woodbury Capital II, LP - WB West						78,840	86,579	7,739
Woodbury Capital III, LP						2,240,840	2,239,658	(1,182)
WSP Centre Point Co-Investors, LLC						119,938	141,935	21,997

UTAH STATE UNIVERSITY  
 ENDOWMENT POOL PORTFOLIO  
 September 30, 2019

Schedule B-1-B  
 Page 3 of 3

Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Woodbury (continued)								
WSP Wilmington, Phase I & II						\$385,338	\$548,678	\$163,340
WSP Wilmington Hotel LLC						63,700	63,707	7
Total Alternatives						<u>40,824,829</u>	<u>50,274,830</u>	<u>9,450,001</u>
Money Market Funds								
Goldman Sachs Bank Deposit						210,898	210,898	0
US Bank - Endowment Pool First Am Treas Ob Fd CI Z						622,501	622,501	0
US Bank - Longfellow First Am Treas Ob Fund CI Z						711,226	711,226	0
Wells Fargo Government Money Market						2,480	2,480	0
Total Money Market						<u>1,547,105</u>	<u>1,547,105</u>	<u>0</u>
Accruals / Payables								
Endowment Pool								
Goldman Sachs						11	11	0
US Bank - Accruals						86,530	86,530	0
Wells Capital Management - HYB						37,666	37,666	0
Wells Capital Management - Interest						5	5	0
Longfellow								
US Bank Receivable - Interest Accrual						105,099	105,099	0
US Bank - Pending Trades						(420,550)	(420,550)	0
Total Accruals / payables						<u>(191,239)</u>	<u>(191,239)</u>	<u>0</u>
Total Endowment Pool						<u>\$177,830,884</u>	<u>\$204,467,977</u>	<u>\$26,637,093</u>

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT POOL TRANSACTIONS  
For the Month of September 2019

Schedule B-2  
Page 1 of 2

Endowment Pool Transactions	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
Cash Management Investment Pool							
Utah State University		\$333,335				\$0	\$35,950
CMP Interest		35,950					
Equity funds							
Dimensional - DFA Emerging Markets							75,126
Dimensional - DFA Micro Cap	134.769	2,737					2,737
Dimensional - DFA Small Cap							10,520
RhumbLine QSI Index	602,657.663	16,017,069					
SIT Dividend Growth				\$8,000,000	\$16,017,069	\$8,017,069	
Vanguard FTSE All-World ex-US Index Fund	1,053.825	104,223					104,223
Vanguard Russell 3000	340.788	89,355					89,355
Fixed Income funds							
Longfellow		8,958,381		8,875,739	8,939,248	63,509	
High Yield Bond Fund	4,110.079	42,839					37,666
Paydenfunds - Emerging Markets Bond Fund	1,178.802	15,926					15,926
Vanguard Inflation Protected Secs Ad	674.610	17,614					17,614
Vanguard Short Term Inflation Protected Securities Index Ft	927.594	22,847					22,847
Wellington - CTF Opportunistic Emerging Markets	1,528.906	16,283					16,283
Alternatives							
Commonfund							
CEP VII				0	12,250	12,250	510
CEP VIII		48,750		18,038	48,263	30,225	488
CVP X				1,877	15,642	13,765	
Goldman Sachs							
Vintage Fund VI				85,346	89,837	4,492	
Morgan Stanley							
JP Morgan Prime Property Fund	3.422	65,516					65,516
Solamere Capital							
Solamere Founders Fund I, LP		24,817		15,779	60,316	44,537	3,308
Woodbury							
Woodbury Capital II, LP - WB West							289
WSP Wilmington, Phase I & II				28,717	28,717	0	5,499
Money Market Funds							
Goldman Sachs Bank Deposit		90,051					214
US Bank - Endowment Pool First Am Treas Ob Fd Cl Z		16,119,657		16,038,944	16,038,944	0	884
US Bank - Longfellow First Am Treas Ob Fund Cl Z		3,553,330		2,886,591	2,886,591	0	
Wells Fargo Government Money Market		4					4



UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule C1A

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income
Jul 2019	\$172,609,233	\$640,537	\$457,986	\$963,227	\$173,755,011	\$173,182,122	\$179,551	\$5,636	\$185,187
Aug 2019	173,755,011	3,362,904	1,580,094	3,116,631	178,654,452	176,204,732	243,329	119,642	362,971
Sep 2019	178,654,452	3,297,727	1,447,175	(1,091,494)	179,413,510	179,033,981	378,387	0	378,387
Oct 2019									
Nov 2019									
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$172,609,233	\$7,301,168	\$3,485,255	\$2,988,364	\$179,413,510	\$176,140,278	\$801,267	\$125,278	\$926,545
FY 2018-19	168,133,350	15,887,704	10,704,737	(838,106)	172,478,211	169,966,410	789,082	196,395	985,477
Amt Change					6,935,299	6,173,868	12,185	(71,117)	(58,932)
% Change					4.02%	3.63%	1.54%	-36.21%	-5.98%

Note: The Defensive Return Pool is comprised of quasi-endowment funds designated for long-term investment. Included in this pool are quasi-endowment funds invested in the University's Cash Management Investment Pool (CMIP) consisting of \$57,255,192 principal beginning balance, a \$58,510,098 ending balance, and a \$58,618,727 average daily balance for the current month. Current month interest and dividends from the CMIP were \$129,655 bringing the total to \$404,682 year-to-date. These amounts have also been reported in Schedules A-1 and A-2.

\*The July beginning fair value has been adjusted to reflect the amount distributed to expendable accounts at fiscal year end.

UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL PORTFOLIO  
30 September 2019

Schedule C1B  
Page 1 of 5

Description	Face Value	Maturity Date	Interest Rate/Coupon	Cost	Fair Value	Unrealized Gain/(Loss)
Cash Management Investment Pool				\$58,510,098	\$58,510,098	\$0
Total Cash Management Investment Pool				<u>58,510,098</u>	<u>58,510,098</u>	<u>0</u>
Utah Public Treasurers' Investment Fund			2.566%	3,358,725	3,358,725	0
Total Utah Public Treasurers' Investment Fund				<u>3,358,725</u>	<u>3,358,725</u>	<u>0</u>
Fixed Income						
US Bank						
Corporate Issues						
Bristol Myers Squibb Co	10,000.000	08/01/97	6.875%	1,354,660	1,420,570	65,910
Burlington North Santa Fe	10,000.000	08/01/97	7.250%	1,410,975	1,621,170	210,195
Catholic Health Initiative	10,000.000	11/01/42	4.350%	905,670	1,071,870	166,200
Comcast Corp	10,000.000	10/15/58	4.950%	991,310	1,270,960	279,650
ConocoPhillips	10,000.000	02/01/39	6.500%	1,061,960	1,446,310	384,350
Cummins Inc	10,000.000	03/01/98	5.650%	1,065,050	1,292,850	227,800
Dairy Farmers of America	5,000.000	12/31/49	7.125%	557,465	485,000	(72,465)
Dignity Health	20,000.000	11/01/64	5.267%	2,059,480	2,440,660	381,180
Farmers Exchange Capital	9,500.000	07/15/48	7.200%	1,138,394	1,329,050	190,656
Assured Guarany Muni	10,000.000	12/15/66	6.400%	936,000	1,005,000	69,000
General Electric	11,840.000	12/29/49	4.100%	1,055,181	905,760	(149,421)
Goldman Sachs Group Inc Med Term Note	7,470.000	09/15/41	6.000%	858,482	919,691	61,209
Guardian Life	10,000.000	01/24/77	4.850%	971,620	1,265,120	293,500
Harley Davidson Inc	11,000.000	07/28/45	4.625%	1,027,202	1,133,440	106,238
IBM	10,000.000	12/01/96	7.125%	1,253,200	1,544,410	291,210
KKR Group Fin Co II	10,000.000	02/01/43	5.500%	1,069,400	1,210,930	141,530
Liberty Mutual Insurance	3,300.000	10/15/97	7.697%	487,658	493,198	5,540
Mass Mutual Life Insurance	10,000.000	04/01/77	4.900%	981,080	1,253,130	272,050
MetLife Inc	5,000.000	12/15/36	6.400%	540,625	592,955	52,330
MetLife Inc	4,730.000	04/08/68	9.250%	685,614	687,033	1,419
Mutual of Omaha Insurance Co	10,000.000	10/15/40	6.950%	1,253,880	1,413,950	160,070
National Rural Utility Cooperative	10,500.000	04/20/46	5.250%	1,052,625	1,120,161	67,536

UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL PORTFOLIO  
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Schedule C1B  
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Description	Face Value	Maturity Date	Interest Rate/Coupon	Cost	Fair Value	Unrealized Gain/(Loss)
Corporate Issues (continued)						
Nationwide Financial Ser	10,000.000	05/15/37	6.750%	\$1,040,000	\$1,140,000	\$100,000
Ohio National Life Insurance	10,000.000	06/15/42	6.875%	1,269,440	1,152,960	(116,480)
Opus Bank	10,000.000	07/01/26	5.500%	1,018,710	1,016,810	(1,900)
PNC Financial Services	10,000.000	05/29/49	4.850%	992,730	1,020,000	27,270
Penn Mutual Life Insurance Co	13,650.000	06/15/40	7.625%	1,823,790	1,978,936	155,146
Protective Life	10,000.000	10/15/39	8.450%	1,399,140	1,587,380	188,240
ReadyCap Holdings LLC	10,000.000	02/15/22	7.500%	1,029,490	1,067,950	38,460
Regions Financial Corp	10,000.000	12/10/37	7.375%	1,256,490	1,427,360	170,870
Republic New York Corp	5,000.000	07/15/97	7.200%	706,325	768,785	62,460
Security Benefit Life	20,350.000	10/01/33	7.450%	2,249,591	2,706,835	457,244
USF&G Capital I	10,000.000	12/15/45	8.500%	1,328,720	1,464,800	136,080
Wachovia	10,000.000	03/29/49	5.446%	1,000,000	1,003,750	3,750
Western Southern Life	10,000.000	01/15/49	5.150%	1,023,010	1,237,730	214,720
Zions Bancorp	10,000.000	12/29/99	5.800%	1,000,000	1,015,000	15,000
Zions Bancorp	10,000.000	09/29/49	7.200%	1,000,000	1,095,000	95,000
Foreign Issues						
QBE Insurace Mtn	5,000.000	06/17/46	5.875%	525,870	539,895	14,025
Argentum (Zurich Insurance)	10,000.000	06/01/48	5.125%	1,002,000	1,088,690	86,690
Aegon NV	10,000.000	04/11/48	5.500%	985,060	1,067,500	82,440
AXA SA	10,000.000	12/29/49	6.379%	1,019,450	1,173,750	154,300
BHP Billiton Fin USA Ltd	10,000.000	10/19/75	6.750%	1,029,625	1,168,750	139,125
Electricite De France	10,000.000	01/22/14	6.000%	1,088,330	1,212,340	124,010
Invesco	10,000.000	11/30/43	5.375%	1,052,800	1,200,070	147,270
Lloyds Banking Group	10,000.000	01/09/48	4.344%	899,370	1,024,650	125,280
Rio Tinto Fin USA LTD	11,000.000	11/02/40	5.200%	978,978	1,429,846	450,868
Societe Generale	10,000.000	11/24/45	5.625%	1,053,440	1,194,870	141,430
Standard Chartered	5,000.000	05/30/31	8.000%	625,465	683,440	57,975
Standard Chartered PLC	5,000.000	03/26/44	5.700%	510,415	613,380	102,965
Trans-Canada Pipelines	10,000.000	06/01/40	6.100%	1,006,200	1,290,660	284,460

UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL PORTFOLIO  
30 September 2019

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Description	Face Value	Maturity Date	Interest Rate/Coupon	Cost	Fair Value	Unrealized Gain/(Loss)
Foreign Issues (continued)						
Xlit LTD	10,000.000	03/31/45	5.500%	\$1,024,750	\$1,263,320	\$238,570
Municipal Issues						
Beaver County Utah School District	50,000.000	02/01/27	5.500%	5,000,000	6,065,050	1,065,050
Fresno California Water Sys Rev BAB	10,000.000	06/01/40	6.750%	1,027,500	1,426,480	398,980
Peralta CA Community College Dist. LTD	5,000.000	08/05/49	6.250%	599,435	674,450	75,015
Riverton City UT	13,000.000	12/01/39	5.250%	1,491,061	1,483,625	(7,436)
Southern Ill Univ Revs Build America Bonds	16,450.000	04/01/30	6.200%	1,772,471	1,649,622	(122,849)
Domestic Common Stocks						
Oaktree Capital	40,000.000			1,000,000	1,072,800	72,800
Domestic Preferred Stocks						
JP Morgan Chase & Co 6.100	20,000.000			494,000	518,400	24,400
Wells Fargo & Co	20,000.000			500,000	515,000	15,000
Affiliated Managers	40,000.000			1,000,000	1,048,000	48,000
Allianzgi Cvt Inc Fund II	40,000.000			1,000,000	1,025,200	25,200
Allstate Corp	20,000.000			500,000	545,800	45,800
Allstate Corp	24,400.000			613,660	609,024	(4,636)
American Financial Group	60,000.000			1,500,000	1,520,400	20,400
Apollo Management LLC	40,000.000			1,000,000	1,070,000	70,000
Berkley (WR) Corporation	40,000.000			935,000	1,003,200	68,200
Capital One Financial	20,000.000			500,000	518,800	18,800
Cobank ACB 6.250%	10,000.000			1,101,290	1,055,000	(46,290)
Cobank ACB 6.125%	13,000.000			1,235,000	1,326,000	91,000
Dte Energy Co 5.25%	40,000.000			980,000	1,113,200	133,200
Globe Life Inc 6.125% Pfd	40,000.000			1,014,000	1,074,000	60,000
Hancock Holding Co	61,000.000			1,518,375	1,564,040	45,665
JP Morgan Chase & Co 6.125	60,120.000			1,499,994	1,538,471	38,477
Kimco Realty Corp	40,000.000			1,000,000	1,039,600	39,600
Landenburg halmann Fin	20,000.000			500,000	481,404	(18,596)
Newtek	40,000.000			1,000,000	1,031,600	31,600



UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL PORTFOLIO  
30 September 2019

Schedule C1B  
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Description	Face Value	Maturity Date	Interest Rate/Coupon	Cost	Fair Value	Unrealized Gain/(Loss)
Domestic Preferred Stocks (continued)						
Nextera Energy	40,000.000			\$998,000	\$1,015,200	\$17,200
Priority Income Fund	20,000.000			505,000	503,800	(1,200)
Prudential Financial 5.6%	40,000.000			1,000,000	1,112,000	112,000
Public Storage	20,000.000			500,000	502,600	2,600
Public Storage	20,000.000			500,000	519,400	19,400
Qwest Corp 6.875%	100,000.000			2,494,400	2,529,000	34,600
Charles Schwab	20,000.000			500,000	527,600	27,600
Southern Co 6.25%	40,000.000			1,000,000	1,069,600	69,600
State Street Corp	80,000.000			2,000,000	2,023,200	23,200
US Bancorp	40,000.000			994,000	1,077,200	83,200
Wells Fargo & Co	20,000.000			483,000	528,400	45,400
Western Alliance Bancorp 6.25% PFD	80,000.000			2,000,000	2,104,800	104,800
Foreign Stocks						
Arch Capital Group	40,000.000			1,000,000	1,031,600	31,600
Total Fixed Income				<u>96,412,906</u>	<u>106,071,241</u>	<u>9,658,335</u>
Alternatives						
Dakota Pacific Real Estate Group						
Dakota Pacific Real Estate				822,872	796,315	(26,557)
Morgan Stanley Smith Barney						
MS Opp Mortgage Inc Fund				2,000,000	1,809,566	(190,434)
Woodbury						
Woodbury Strategic Partners Fund				292,267	273,287	(18,980)
Woodbury IFRI				10,742	13,702	2,960
Woodbury Capital II, LP				802,275	1,152,557	350,282
Woodbury Capital II, LP - WB West				78,840	86,579	7,739
Woodbury Capital III, LP				1,120,420	1,119,828	(592)
WSP Wilmington, Phase I & II				450,977	631,515	180,538
WSP Wilmington Hotel LLC				73,317	73,325	8
Total Alternatives				<u>5,651,710</u>	<u>5,956,674</u>	<u>304,964</u>

UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL PORTFOLIO  
30 September 2019

Schedule C1B  
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Description	Face Value	Maturity Date	Interest Rate/Coupon	Cost	Fair Value	Unrealized Gain/(Loss)
<b>Money Market / Cash</b>						
Morgan Stanley Bank N.A.				\$245,020	\$245,020	\$0
Morgan Stanley Private Bank N.A.				13,546	13,546	0
US Bank - First Am Treasury Ob Fund Class Z				3,991,276	3,991,276	0
US Bank - First Am Treasury Ob Fund Class Z				30,323	30,323	0
Total Money Market / Cash				<u>4,280,165</u>	<u>4,280,165</u>	<u>0</u>
<b>Receivable / In Transit / Unsettled Purchases</b>						
US Bank - Receivable				1,236,565	1,236,565	0
US Bank - Receivable				42	42	0
Total Receivable / In Transit / Unsettled Purchases				<u>1,236,607</u>	<u>1,236,607</u>	<u>0</u>
Total Other Investments				<u>\$169,450,211</u>	<u>\$179,413,510</u>	<u>\$9,963,299</u>



UTAH STATE UNIVERSITY  
OTHER INVESTMENTS  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule C2A

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income
Jul 2019	\$25,838,919	\$26,901	\$141,321	\$166,536	\$25,891,035	\$25,864,977	\$2,175	\$7,093	\$9,268
Aug 2019	25,891,035	2,530,497	1,344,182	(202,771)	26,874,579	26,382,807	1,815	40,455	42,270
Sep 2019	26,874,579	183,684	1,298,556	190,496	25,950,203	26,412,391	107,521	3,835	111,356
Oct 2019									
Nov 2019									
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$25,838,919	\$2,741,082	\$2,784,059	\$154,261	\$25,950,203	\$26,220,058	\$111,511	\$51,383	\$162,894
FY 2018-19	26,596,404	1,207,513	1,223,157	1,085,967	27,666,727	27,289,754	115,567	12,411	127,978
Amt Change					(1,716,524)	(1,069,696)	(4,056)	38,972	34,916
% Change					-6.20%	-3.92%	-3.51%	314.01%	27.28%

\*The July beginning fair value has been adjusted to reflect the amount transferred to the Defensive Return Pool at fiscal year end.

UTAH STATE UNIVERSITY  
OTHER INVESTMENTS PORTFOLIO  
30 September 2019

Schedule C2B  
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Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Corporate Bonds and Notes								
U.S. Treasury Bond	\$100,000		8.000%	11/15/91	11/15/21	\$125,313	\$113,121	(\$12,192)
						<u>125,313</u>	<u>113,121</u>	<u>(12,192)</u>
Common and Preferred Stock								
Closely Held Stock								
Cache Valley Bank		35,922.537				415,265	415,265	0
Rowpar Pharmaceuticals, Inc		5,000.000				5,000	5,000	0
Rowpar Pharmaceuticals, Inc		20,000.000				46,200	46,200	0
Rowpar Pharmaceuticals, Inc		30,000.000				92,400	92,400	0
Morgan Stanley								
Alphabet Inc Class C		8.000				9,753	9,752	(1)
						<u>568,618</u>	<u>568,617</u>	<u>(1)</u>
Utah Public Treasurers' Investment Fund								
			2.566%			155,735	155,735	0
						<u>155,735</u>	<u>155,735</u>	<u>0</u>
Mutual Funds								
Charles Schwab								
American Funds American Balanced F3		6,534.961				162,879	180,496	17,617
First Trust Value		5,517.000				159,737	192,378	32,641
MFS Intl Diversification I		4,667.445				80,000	92,135	12,135
Morgan Stanley Growth Port Fd Cl I		3,525.955				180,000	168,259	(11,741)
PIMCO Income Instl		14,121.933				166,893	168,616	1,723
Thrivent Mid Cap Stock S		1,739.887				40,000	46,907	6,907
Wasatch Small Cap Value Institutional		6,024.096				40,000	46,205	6,205
Commonfund								
CEU Title III								
Multi-Strategy Bond		351,819.314				4,406,292	5,282,329	876,037
Multi-Strategy Equity		43,951.812				4,139,029	18,174,067	14,035,038

UTAH STATE UNIVERSITY  
OTHER INVESTMENTS PORTFOLIO  
30 September 2019

Schedule C2B  
Page 2 of 3

Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Mutual Funds (continued)								
Fidelity								
AMCAP Fund-F1		2,455.550				\$67,366	\$76,712	\$9,346
The New Economy Fund-F1		1,670.429				64,405	74,618	10,213
New World Fund-F1		1,058.600				53,188	70,587	17,399
Washington Mutual Investors Fund-F1		1,712.557				70,033	79,103	9,070
Harold Dance Investments								
American Balanced Fund - Class A		814.442				14,797	22,503	7,706
Vanguard								
500 Index Fund Admiral Shares		142.182				17,621	39,056	21,435
Total Bond Market Index Fund Admiral Shares		1,738.415				18,921	19,331	410
						<u>9,681,161</u>	<u>24,733,302</u>	<u>15,052,141</u>
Alternatives								
InvenTrust Properties								
Highlands REIT, Inc		18,843.839				6,784	6,595	(189)
Inventrust Properties Corp		18,843.839				125,462	59,170	(66,292)
vSpring								
Kickstart Seed Fund 1, L.P.						142,742	138,375	(4,367)
Xenia Hotels & Resorts								
Xenia		2,355.000				51,987	49,738	(2,249)
						<u>326,975</u>	<u>253,878</u>	<u>(73,097)</u>
Money Market / Cash								
Charles Schwab - Cash						1,223	1,223	0
Charles Schwab - Money Market						6,887	6,887	0
Edward Jones						2	2	0
Morgan Stanley - Money Market						11,504	11,504	0
US Bank - First Am Treasury Ob Fund Class Z						19	19	0
						<u>19,635</u>	<u>19,635</u>	<u>0</u>

UTAH STATE UNIVERSITY  
OTHER INVESTMENTS PORTFOLIO  
30 September 2019

Schedule C2B  
Page 3 of 3

Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Receivable / In Transit / Unsettled Purchases								
Commonfund						\$102,268	\$102,268	\$0
U.S. Treasury Bond						3,000	3,000	0
Xenia						647	647	0
						<u>105,915</u>	<u>105,915</u>	<u>0</u>
 Total Other Investments						<u><u>\$10,983,352</u></u>	<u><u>\$25,950,203</u></u>	<u><u>\$14,966,851</u></u>

UTAH STATE UNIVERSITY  
SUMMARY OF OTHER INVESTMENT TRANSACTIONS  
For the Month of September 2019

Schedule C2C  
Page 1 of 2

	Purchases		Sales			Earnings
	Shares	Cost	Shares	Cost	Receipts	
<u>Other Investments</u>						
Corporate Bonds and Notes						
U.S. Treasury Bond						\$652
Common and Preferred Stock						
Edward Jones						
Franklin Mutual Global Discovery Fund	655.485	\$20,139	655.485	\$20,139	\$20,261	\$122
The Hartford MidCap Fund Class A	324.886	9,912	324.886	9,912	10,039	127
Invesco Diversified Dividend Fund Class A	496.524	10,055	496.524	10,055	10,129	74
Morgan Stanley						
Alphabet Inc Class C	8.000	9,753				
Bank of America Corp	200.000	6,019	200.000	6,019	5,786	(233)
Synopsis, Inc	50.000	6,768	50.000	6,768	6,613	(155)
Xcel Energy In.	212.000	13,599	212.000	13,599	13,612	13
Utah Public Treasurers'						
Investment Fund		332				332
Mutual Funds						
Charles Schwab						
American Funds American Balanced F3	28.666	794				794
First Trust Value						1,223
PIMCO Income Instl	65.337	780				780
Commonfund						
CEU Title III						
Multi-Strategy Bond			85.654	991	1,286	295
Multi-Strategy Equity			10.197	624	4,216	3,592
Fidelity						
Washington Mutual Investors Fund-F1	7.163	334				334
Harold Dance Investments						
American Balanced Fund - Class A						81
Vanguard						
500 Index Fund Admiral Shares	0.669	275				275
Total Bond Market Index Fund Admiral Shares	11.679	129				129
Alternatives						
Xenia Hotels & Resorts						
Xenia						648



UTAH STATE UNIVERSITY  
SUMMARY OF OTHER INVESTMENT TRANSACTIONS  
For the Month of September 2019

Schedule C2C  
Page 2 of 2

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
Money Market / Cash							
Charles Schwab - Cash		\$1,223					
Charles Schwab - Money Market		1				\$1	
Fidelity Cash		3				3	
Receivable / In Transit / Unsettled Purchases							
Commonfund		102,268					
Morgan Stanley - Unsettled Purchases				\$1,226,614	\$1,226,614	\$0	
U.S. Treasury Bond		652					
Xenia		648					
 Total Other Investments		<u>\$183,684</u>		<u>\$1,294,721</u>	<u>\$1,298,556</u>	<u>\$3,835</u>	<u>\$107,521</u>

UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS  
 SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule D-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income/(Loss)	Less Expenses	Net Realized Income/(Loss)
Jul 2019	\$5,962,210	\$528,097	\$517,431	(\$15,506)	\$5,957,370	\$5,959,790	\$11,292	\$19,249	\$30,541	\$626	\$29,915
Aug 2019	5,957,370	439,146	426,496	(193,927)	5,776,093	5,866,732	22,416	19,793	42,209	(16)	42,225
Sep 2019	5,776,093	509,422	484,083	243,292	6,044,724	5,910,409	25,341	130,481	155,822	1	155,821
Oct 2019											
Nov 2019											
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											
<hr/> <hr/>											
Comparative Totals:											
Year-to-date											
FY 2018-19	\$5,962,210	\$1,476,665	\$1,428,010	\$33,859	\$6,044,724	\$5,912,310	\$59,049	\$169,523	\$228,572	\$611	\$227,961
FY 2018-19	5,885,226	1,121,743	1,070,255	173,092	6,109,806	6,033,146	60,371	(3,504)	56,867	628	56,239
Amt Change					(65,082)	(120,836)	(1,322)	173,027	171,705	(17)	171,722
% Change					-1.07%	-2.00%	-2.19%	4937.99%	301.94%	-2.71%	305.34%

Note: Endowment Trusts include externally managed endowment trusts.

UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS PORTFOLIO  
 30 September 2019

Schedule D-1-A  
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Description	Number of Shares	Cost	Fair Value	Unrealized Gain/(Loss)
Common and Preferred Stock				
Abbvie Inc Com	4,800.000	\$357,817	\$363,456	\$5,639
Altria Group Inc.	1,000.000	16,108	40,900	24,792
Amgen Inc	1,000.000	191,235	193,510	2,275
Apple Inc	1,050.000	180,243	235,169	54,926
AT & T Inc	9,800.000	351,382	370,832	19,450
BP Plc. Ads	3,300.000	172,428	125,367	(47,061)
CenturyLink Inc.	11,300.000	324,152	141,024	(183,128)
Chevron Corp	1,400.000	144,022	166,040	22,018
Cisco Sys Inc	5,000.000	158,357	247,050	88,693
Citigroup Inc New	1,400.000	79,404	96,712	17,308
Comcast Corp (New) Class A	6,400.000	247,416	288,512	41,096
Dow Inc	1,393.000	84,441	66,376	(18,065)
Dupont De Nemours Inc	1,393.000	123,918	99,335	(24,583)
Enbridge Inc	4,600.000	193,980	161,368	(32,612)
Enterprise Prod Partnership LP	7,100.000	186,120	202,918	16,798
GlaxosmithKline PLC ADR	2,300.000	94,681	98,164	3,483
Intl Business Machines Corp	800.000	117,891	116,336	(1,555)
JP Morgan Chase & Co	1,900.000	105,904	223,611	117,707
Merck & Co Inc. New Com	2,600.000	137,201	218,868	81,667
Microsoft Corp	2,600.000	283,824	361,478	77,654
PBF Energy Inc	6,100.000	160,825	165,859	5,034
Pfizer Inc	2,100.000	77,030	75,453	(1,577)
Royal Dutch Shell Plc	7,000.000	400,307	411,950	11,643
SeaDrill Ltd.	46.000	398,918	97	(398,821)
SeaDrill Partners LLC	1,650.000	468,619	1,238	(467,381)
Tanger Factory Outlet Centers	5,000.000	125,457	77,400	(48,057)
Teva Pharmaceuticals ADR	5,200.000	212,490	35,776	(176,714)
Valero Energy CP Dela New	1,500.000	115,800	127,860	12,060

UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS PORTFOLIO  
 30 September 2019

Schedule D-1-A  
 Page 2 of 4

Description	Number of Shares	Cost	Fair Value	Unrealized Gain/(Loss)
Common and Preferred Stock (continued)				
Vodafone Group PLC	11,300.000	\$204,985	\$224,983	\$19,998
Wells Fargo & Co New	2,000.000	114,369	100,880	(13,489)
iShares MSCI Euro Financial	4,200.000	100,688	73,920	(26,768)
iShares S&P US Preferred Stock	10,100.000	381,146	379,053	(2,093)
Vanguard Index Fds S&P 500 ETF	490.000	121,415	133,574	12,159
		<u>6,432,573</u>	<u>5,625,069</u>	<u>(807,504)</u>
Common & Preferred Stock Options				
Apple Inc (expires 10/18/2019)	(10.000)	(6,987)	(28,750)	(21,763)
Cisco Sys Inc (expires 01/17/2020)	(50.000)	(10,729)	(3,200)	7,529
JP Morgan Chase (expires 12/20/2019)	(19.000)	(2,933)	(2,508)	425
Merck & Co Inc. New Com (expires 10/18/2019)	(26.000)	(6,250)	(2,834)	3,416
Microsoft Corp (expires 12/20/2019)	(26.000)	(8,173)	(8,840)	(667)
Wells Fargo & Co New (expires 12/20/2019)	(20.000)	(1,229)	(2,080)	(851)
		<u>(36,301)</u>	<u>(48,212)</u>	<u>(11,911)</u>
Mutual Funds - Equity				
Acadian Emerging Markets Portfolio Class I #1960	48.476	918	913	(5)
Causeway Intl Value Fund I	166.564	2,627	2,445	(182)
Dodge & Cox Stock Fund #145	6.277	1,303	1,172	(131)
Europacific Growth Fund Class F3 #716 (FEUPX)	45.954	2,614	2,391	(223)
Goldman Sacs Small Cap Value Fund	11.782	584	630	46
Invesco Oppenheimer Developing Market	21.486	729	899	170
Invesco Small Cap Growth Fund	14.329	506	581	75
JP Morgan Small Cap Equity Fund	20.922	903	1,220	317
Lazard Intl Equity Port - Instl #632	140.623	2,456	2,499	43
MFS Value Fund R6 #4810 (cusip 552983694)	55.564	1,581	2,343	762
Northern Mid Cap Index Fund	278.665	4,163	5,147	984
T Rowe Price Equity Income	74.820	2,164	2,376	212

UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS PORTFOLIO  
 30 September 2019

Schedule D-1-A  
 Page 3 of 4

Description	Number of Shares	Cost	Fair Value	Unrealized Gain/(Loss)
Mutual Funds - Equity (continued)				
T Rowe Price Institutional Large CP Growth	54.403	\$1,120	\$2,269	\$1,149
Vanguard 500 Index Fund Admiral Shares	29.084	4,441	7,989	3,548
Voya Large-Cap Growth Fund	49.442	1,932	2,275	343
Wells Fargo Advantage Growth Fund	25.266	1,045	1,117	72
Acadian Emerging Markets Portfolio Class I #1960	48.468	918	913	(5)
Causeway Intl Value Fund I	166.535	2,626	2,445	(181)
Dodge & Cox Stock Fund #145	6.276	1,302	1,171	(131)
Europacific Growth Fund Class F3 #716	45.947	2,613	2,391	(222)
Goldman Sacs Small Cap Value Fund	11.780	583	630	47
Invesco Oppenheimer Developing Market	21.482	728	899	171
Invesco Small Cap Growth Fund	14.327	506	581	75
JP Morgan Small Cap Equity Fund	20.919	903	1,219	316
Lazard Intl Equity Port - Instl #632	140.599	2,456	2,498	42
MFS Value Fund R6 #4810 (cusip 552983694)	55.555	1,581	2,342	761
Northern Mid Cap Index Fund	278.619	4,163	5,146	983
T Rowe Price Equity Income	74.808	2,163	2,376	213
T Rowe Price Institutional Large CP Growth	54.394	1,120	2,268	1,148
Vanguard 500 Index Fund Admiral Shares	29.080	4,440	7,988	3,548
Voya Large-Cap Growth Fund	49.434	1,932	2,275	343
Wells Fargo Advantage Growth Fund	25.262	1,045	1,117	72
		<u>58,165</u>	<u>72,525</u>	<u>14,360</u>
Mutual Funds				
Dodge & Cox Income Fund Com #147	2,477.468	34,311	34,907	596
Federated Total Return Bond Fund	3,142.079	35,362	34,781	(581)
Metropolitan West Total Return Bond Fund	3,139.088	34,145	34,750	605
Wells Fargo Advantage Core Bond Fund	2,614.733	33,474	34,750	1,276
Dodge & Cox Income Fund Com #147	2,477.059	34,305	34,902	597
Federated Total Return Bond Fund	3,141.371	35,356	34,775	(581)

UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS PORTFOLIO  
 30 September 2019

Schedule D-1-A  
 Page 4 of 4

Description	Number of Shares	Cost	Fair Value	Unrealized Gain/(Loss)
Mutual Funds (continued)				
Metropolitan West Total Return Bond Fund	3,138.572	\$34,140	\$34,744	\$604
Wells Fargo Advantage Core Bond Fund	2,614.302	33,468	34,744	1,276
		<u>274,561</u>	<u>278,353</u>	<u>3,792</u>
Money Market & Cash Funds				
Morgan Stanley Bank N.A.		105,892	105,892	0
Wells Fargo #451		5,549	5,549	0
Wells Fargo #451		5,548	5,548	0
		<u>116,989</u>	<u>116,989</u>	<u>0</u>
Total Endowment Trusts		<u><u>\$6,845,987</u></u>	<u><u>\$6,044,724</u></u>	<u><u>(\$801,263)</u></u>

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT TRUST INVESTMENT TRANSACTIONS  
For the Month of September 2019

Schedule D-2  
Page 1 of 2

	Purchases		Sales				Earnings
	Shares	Cost	Shares	Cost	Receipts	Gain/(Loss)	
<b>Endowment Trusts</b>							
Common and Preferred Stock							
Johnson & Johnson			425.000	\$50,909	\$54,686	\$3,777	
JP Morgan Chase & Co			1,600.000	58,083	184,651	126,568	
PBF Energy Inc	2,100.000	\$54,544					
iShares S&P US Preferred Stock	5,000.000	187,509					
Funds held at Morgan Stanley - Dividends							\$24,140
Common & Preferred Stock Options							
JP Morgan Chase (expires 12/20/2019)	(19.000)	(2,933)					
Microsoft Corp (expires 12/20/2019)	(26.000)	(8,173)					
Wells Fargo & Co New (expires 12/20/2019)	(20.000)	(1,228)					
Mutual Funds - Equity							
Acadian Emerging Markets Portfolio Class I #1960			5.368	108	101	(7)	
Causeway Intl Value Fund I			5.130	74	74	0	
Dodge & Cox Stock Fund #145	0.028	5	0.146	30	27	(3)	
Europacific Growth Fund Class F3 #716 (FEUPX)			1.200	70	63	(7)	
Goldman Sacs Small Cap Value Fund			0.670	35	35	0	
Invesco Oppenheimer Developing Market			4.259	175	180	5	
JP Morgan Small Cap Equity Fund			0.277	12	16	4	
MFS Value Fund R6 #4810 (cusip 552983694)	0.267	11	2.279	86	96	10	
Northern Mid Cap Index Fund			8.691	155	158	3	
T Rowe Price Equity Income	0.446	14	4.122	123	129	6	
T Rowe Price Institutional Large CP Growth			2.843	102	121	19	
Vanguard 500 Index Fund Admiral Shares	0.949	262					
Voya Large-Cap Growth Fund			3.416	134	160	26	
Wells Fargo Advantage Growth Fund			2.447	111	112	1	
Acadian Emerging Markets Portfolio Class I #1960			5.367	108	101	(7)	
Causeway Intl Value Fund I			5.130	74	74	0	
Dodge & Cox Stock Fund #145	0.028	5	0.146	30	27	(3)	
Europacific Growth Fund Class F3 #716			1.198	70	63	(7)	
Goldman Sacs Small Cap Value Fund			0.671	35	35	0	
Invesco Oppenheimer Developing Market			4.259	175	180	5	
JP Morgan Small Cap Equity Fund			0.277	12	16	4	
MFS Value Fund R6 #4810 (cusip 552983694)	0.267	11	2.278	86	96	10	
Northern Mid Cap Index Fund			8.689	155	158	3	
T Rowe Price Equity Income	0.446	14	4.121	123	129	6	

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT TRUST INVESTMENT TRANSACTIONS  
For the Month of September 2019

Schedule D-2  
Page 2 of 2

	Purchases		Sales				Earnings
	Shares	Cost	Shares	Cost	Receipts	Gain/(Loss)	
Mutual Funds - Equity (continued)							
T Rowe Price Institutional Large CP Growth			2.842	\$102	\$121	\$19	
Vanguard 500 Index Fund Admiral Shares	0.950	\$262					
Voya Large-Cap Growth Fund			3.416	134	160	26	
Wells Fargo Advantage Growth Fund			2.446	111	112	1	
Funds held at Wells Fargo - Dividends							\$139
Mutual Funds - Bond							
Dodge & Cox Income Fund Com #147	35.591	503				0	
Federated Total Return Bond Fund	34.985	398		0	11	11	
Metropolitan West Total Return Bond Fund	31.758	354				0	
Wells Fargo Advantage Core Bond Fund	28.569	382				0	
Dodge & Cox Income Fund Com #147	35.584	503				0	
Federated Total Return Bond Fund	34.788	398		0	11	11	
Metropolitan West Total Return Bond Fund	31.753	354				0	
Wells Fargo Advantage Core Bond Fund	28.564	382				0	
Funds held at Wells Fargo - Dividends							1,046
Money Market & Cash Funds							
Morgan Stanley Bank N.A. #		275,820		242,070	242,070	0	8
Wells Fargo #451		13		55	55	0	4
Wells Fargo #451		13		55	55	0	4
Total Endowment Trusts		<u>\$509,423</u>		<u>\$353,602</u>	<u>\$484,083</u>	<u>\$130,481</u>	<u>\$25,341</u>



UTAH STATE UNIVERSITY  
PLANT FUND TRUSTS  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule E-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest Income	Realized Gain or (Loss)	Total Realized Income	Less Expenses	Net Realized Income/(Loss)
Jul 2019	\$24,845,205	\$58,287	\$1,471,893	\$0	\$23,431,599	\$23,476,880	\$57,138		\$57,138		\$57,138
Aug 2019	23,431,599	58,774,761	2,941,438	(8)	79,264,914	40,537,270	89,627	(\$2,864)	86,763		86,763
Sep 2019	79,264,914	1,632,005	1,726,022	0	79,170,897	79,210,771	169,255		169,255		169,255
Oct 2019											
Nov 2019											
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											

Comparative Totals:

Year-to-date

FY 2019-20	\$24,845,205	\$60,465,053	\$6,139,353	(\$8)	\$79,170,897	\$47,741,640	\$316,020	(\$2,864)	\$313,156	\$0	\$313,156
FY 2018-19	40,294,519	1,934,630	3,414,926	(9,403)	38,804,820	38,865,580	254,229	0	254,229	0	254,229
Amt Change					40,366,077	8,876,060	61,791	(2,864)	58,927	0	58,927
% Change					104.02%	22.84%	24.31%	-100.00%	23.18%	0.00%	23.18%

Note: Plant Fund Trusts include all debt service reserve and construction fund accounts in compliance with bond issue covenants.

UTAH STATE UNIVERSITY  
 PLANT TRUSTS PORTFOLIO  
 30 September 2019

Schedule E-1-A

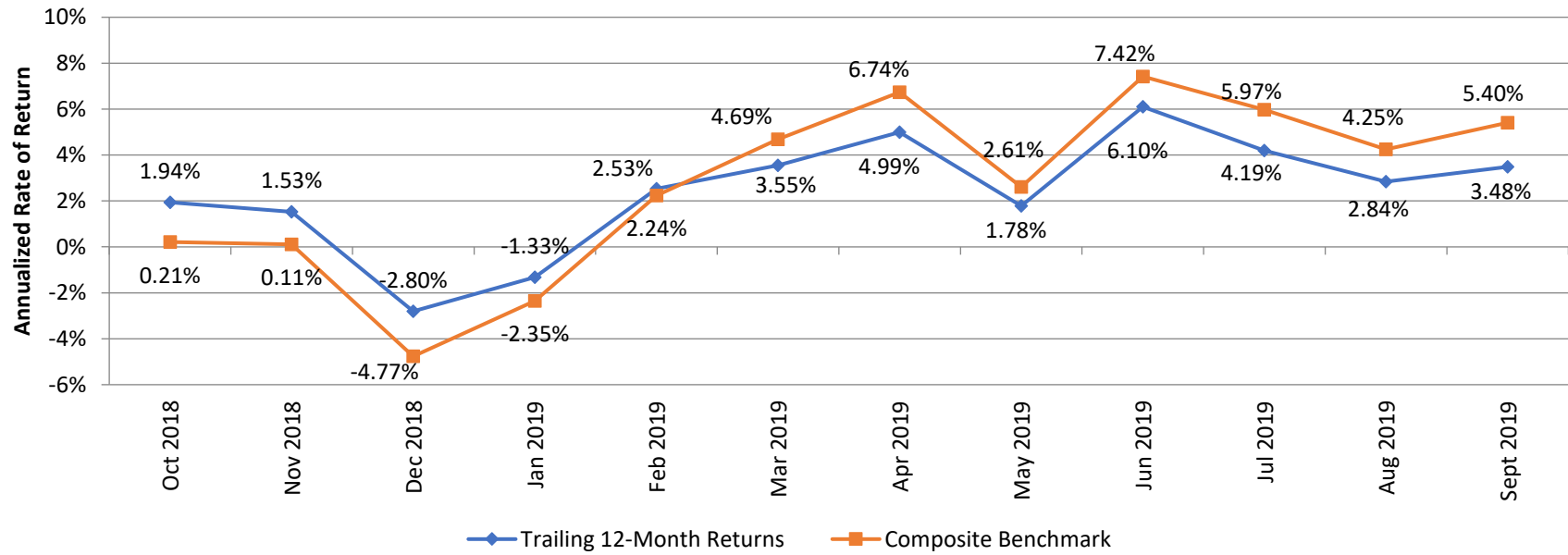
Description	Face Value	Number of Shares	Interest Rate	Date Acquired	Maturity Date	Cost	Fair Value	Unrealized Gain/(Loss)
Public Treasurers' Investment Fund								
Utah Public Treasurers' Investment Fund			2.566%			<u>79,170,897</u>	<u>79,170,897</u>	<u>0</u>
						<u>79,170,897</u>	<u>79,170,897</u>	<u>0</u>

UTAH STATE UNIVERSITY  
SUMMARY OF PLANT TRUST INVESTMENT TRANSACTIONS  
For the Month of September 2019

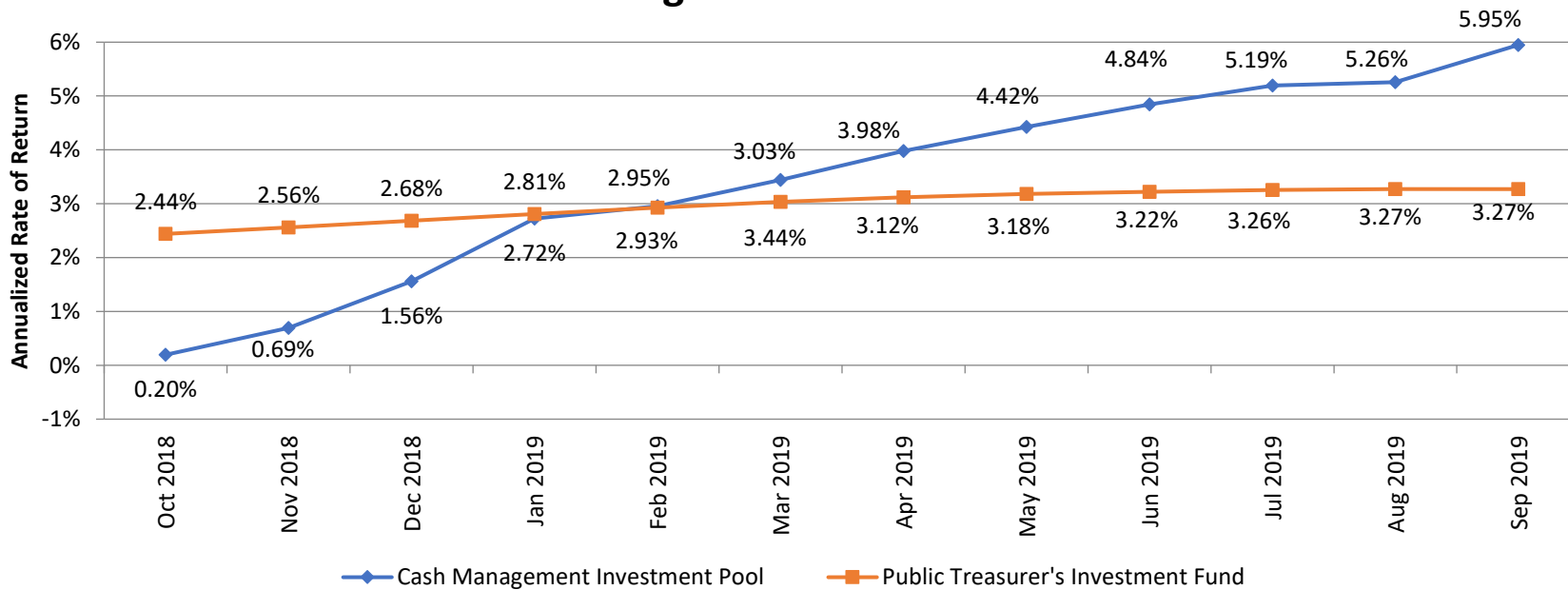
Schedule E-2

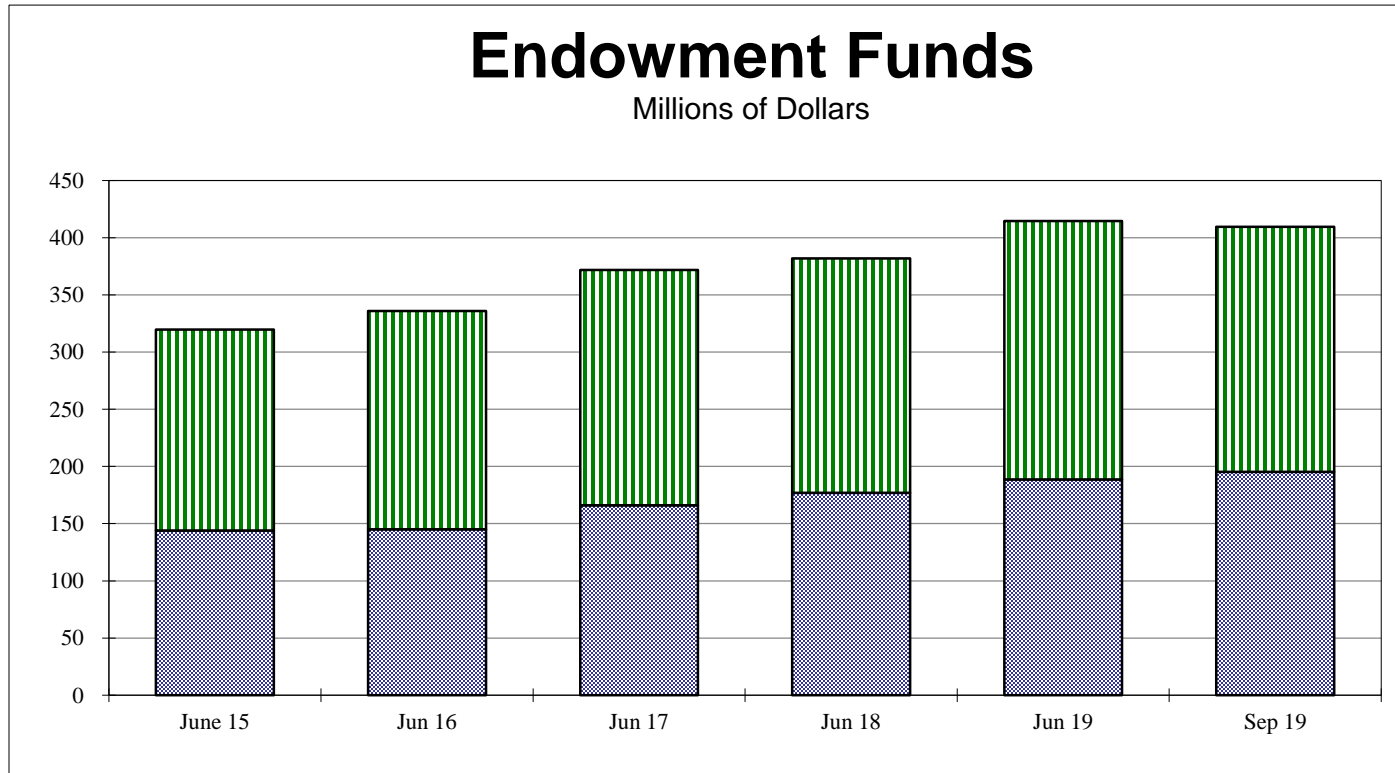
	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<u>Plant Trusts</u>							
Utah Public Treasurers' Investment Fund		\$1,632,005		\$1,726,022	\$1,726,022	\$0	\$169,255
Total Plant Trusts		<u>\$1,632,005</u>		<u>\$1,726,022</u>	<u>\$1,726,022</u>	<u>\$0</u>	<u>\$169,255</u>

## Endowment Pool



## Cash Management Investment Pool





	Fair Value	Fair Value	Fair Value	Fair Value	Fair Value	Fair Value
Quasi Endowment	\$175.5	\$190.9	\$205.8	\$204.9	\$226.0	\$214.2
True Endowment	144.1	145.0	166.0	177.0	188.7	195.3
<b>Total</b>	<b>\$319.6</b>	<b>\$335.9</b>	<b>\$371.8</b>	<b>\$381.9</b>	<b>\$414.7</b>	<b>\$409.5</b>

\*As of July 1, 2010 the balances above reflect USU and USU Eastern Endowment balances.

## **ITEM FOR ACTION**

### **RE: Report of Investments for October 2019**

The Report of Investments for October 2019 is submitted to the Board of Trustees for consideration. It has received the appropriate administrative review and approval.

## **EXECUTIVE SUMMARY**

This set of investment reports presents investment activity for October 2019 and comparative year-to-date totals for FY 2019-2020 and FY 2018-2019.

### **CASH MANAGEMENT INVESTMENT POOL**

The average daily fair value invested during October 2019 was \$406,893,869, up \$2,984,907 over September 2019. Total investment gain was \$1,203,692, up \$53,530 over September 2019, reflecting the increase in the amount available for investing and an increase in total investment return. The annualized total investment return was 3.55%, up 0.13% over September 2019.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$384,902,548, up \$31,752,066 (8.99%) over FY 2018-2019. Total interest income for FY 2019-2020 amounted to \$3,639,290, up \$799,437 (28.15%) over FY 2018-2019, reflecting an increase in the amount available for investing and an increase in interest rates.

The total amount invested at 31 October 2019 was \$398,451,155, up \$31,243,267 (8.51%) over 31 October 2018.

### **ENDOWMENT POOL**

The average daily fair value invested during October 2019 was \$205,863,763, up \$2,881,947 over September 2019. Interest and dividend income of \$198,645 plus net realized gains of \$7,987,300 totaled \$8,185,945 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$203,505,760, up \$21,787,332 (11.99%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$17,803,167, up \$8,123,094 (83.92%) over FY 2018-2019. This increase resulted from \$267,779 more in interest and dividends and \$7,855,315 more in net realized gains during FY 2019-2020.

The total amount invested at 31 October 2019 was \$207,259,549, up \$29,583,344 (16.65%) over 31 October 2018.

## OTHER INVESTMENTS

The average daily fair value invested during October 2019 was \$205,648,637, up \$202,265 over September 2019. Interest and dividend income of \$200,670 plus net realized gains of \$46,683 totaled \$247,353 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$203,182,412, up \$5,645,913 (2.86%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$1,336,792, down \$3,375 (0.25%) from FY 2018-2019. This decrease resulted from \$10,205 less in interest and dividend income and \$6,830 more in net realized gains during FY 2019-2020.

The total amount invested at 31 October 2019 was \$205,933,561, up \$9,323,487 (4.74%) over 31 October 2018.

## ENDOWMENT TRUSTS

The average daily fair value invested during October 2019 was \$6,117,460, up \$207,051 over September 2019. Interest and dividend income of \$10,883 plus net realized gains of \$24,772 totaled \$35,655 in realized gains for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$5,963,598, down \$58,583 (0.97%) from FY 2018-2019. Total realized income for FY 2019-2020 was \$264,227, up \$250,077 (1767.33%) over FY 2018-2019. This increase resulted from \$1,341 less in interest and dividend income and \$251,418 more in net realized gains during FY 2019-2020.

The total amount invested at 31 October 2019 was \$6,190,196, up \$321,432 (5.48%) over 31 October 2018.

## PLANT FUND TRUSTS

The average daily fair value invested during October 2019 was \$75,732,431, down \$3,478,340 from September 2019. Interest income totaled \$163,113 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$54,739,338, up \$16,427,063 (42.88%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$476,269, up \$138,757 (41.11%) over FY 2018-2019. This increase reflects the increased amount available for investing and a decrease in the rate of return.

The total amount invested at 31 October 2019 was \$75,586,974, up \$38,939,394 (106.25%) over 31 October 2018.

## SUMMARY OF INVESTMENT TRANSACTIONS

The University's average daily fair value invested for the month of October was \$826,895,179. Purchases totaled \$112,133,117 and sales totaled \$123,106,757. From this activity the University realized net gains of \$8,058,755 and earnings of \$1,374,034.



## **RECOMMENDATION**

The President and Vice President for Business and Finance recommend that the Board of Trustees approve the Report of Investments for October 2019.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The attached Report of Investments containing authorized transactions, documentation, and supporting papers has been filed for review by the Board of Trustees pertaining to the investment activities; and

WHEREAS, The investment transactions listed on the attached Report of Investments have been approved by the USU Controller's Office; and

WHEREAS, The investment activities listed on the attached Report of Investments are in accordance with the Utah State Money Management Act, the rules of the Utah State Money Management Council, the Utah State Uniform Prudent Management of Institutional Funds Act, and the laws and rules of Utah State University and the State of Utah; and

WHEREAS, The Chief Financial Officer for Utah State University, David T. Cowley, Vice President for Business and Finance, has certified to the best of his knowledge and belief all investment transactions listed on the attached Report of Investments were made in accordance with the guidelines, rules, and laws; and

WHEREAS, Vice President Cowley requests approval of the attached Report of Investments for the period 1 October 2019 to 31 October 2019 and comparative year-to-date totals for the periods 1 July 2019 to 31 October 2019 and 1 July 2018 to 31 October 2018; and

WHEREAS, The President of Utah State University has reviewed the attached report and recommends its approval by the Utah State University Board of Trustees; and

WHEREAS, The USU Board of Trustees has reviewed and given due consideration, review, and authorization of the investment transactions listed on the attached Report of Investments for the period 1 October 2019 to 31 October 2019 and comparative year-to-date totals for the periods 1 July 2019 to 31 October 2019 and 1 July 2018 to 31 October 2018;

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees hereby approves the attached Report of Investments as presented and ratifies the transactions listed on said Report of Investments for October 2019.

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RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

\_\_\_\_\_  
Date

UTAH STATE UNIVERSITY  
REPORT OF INVESTMENTS  
OCTOBER 2019

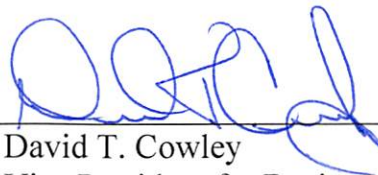
The following schedules (A through E2) provide a report of the University's Investments. To the best of my knowledge, Utah State University is in compliance with the Utah State Money Management Act and the rules of the Utah State Money Management Council and the Utah State Uniform Prudent Management of Institutional Funds Act.



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Danford R. Christensen  
Controller

1/21/2020  
Date



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David T. Cowley  
Vice President for Business and Finance

1-21-20  
Date

UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule A-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest Income	Less Service Charges	Net Interest Income
Jul 2019	\$347,726,134	\$45,811,657	\$33,118,068	(\$209,645)	\$360,210,078	\$355,176,593	\$805,942	\$15,773	\$790,169
Aug 2019	360,210,078	\$110,464,352	\$73,418,557	801,022	398,056,895	373,630,766	970,031	0	970,031
Sep 2019	398,056,895	84,234,407	76,331,806	265,738	406,225,234	403,908,962	884,424	(5,240)	889,664
Oct 2019	406,225,234	53,028,129	61,027,007	224,799	398,451,155	406,893,869	978,893	16,317	962,576
Nov 2019									
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$347,726,134	\$293,538,545	\$243,895,438	\$1,081,914	\$398,451,155	\$384,902,548	\$3,639,290	\$26,850	\$3,612,440
FY 2018-19	310,863,104	188,615,253	128,962,965	(3,307,504)	367,207,888	353,150,482	2,839,853	30,979	2,808,874
Amt Change					31,243,267	31,752,066	799,437	(4,129)	803,566
% Change					8.51%	8.99%	28.15%	-13.33%	28.61%

Note: The Cash Management Investment Pool includes cash of all funds over estimated daily operating requirements.

UTAH STATE UNIVERSITY  
 CASH MANAGEMENT INVESTMENT POOL  
 SUMMARY OF INVESTMENT TRANSACTIONS AND PERFORMANCE  
 For the Month of October 2019

Schedule A-2

	Purchases	Sales		Earnings	Change in Fair Value	Total Investment Income	Average Daily Fair Value	Annualized Total Investment Return
		Cost	Receipts					
Sweep Account	\$33,028,129	\$30,027,007	\$30,027,007	\$30,345		\$30,345	\$20,905,767	1.74%
Miscellaneous				114		\$114	0	0.00%
Money Market Account	10,000,000	25,000,000	25,000,000	77,229		77,229	34,264,516	2.70%
Utah Public Treasurers' Investment Fund	10,000,000			39,619		39,619	18,390,323	2.59%
Commercial Paper and Corporate Notes				568,006	\$107,245	675,251	225,248,200	3.60%
Obligations of U. S. Government		5,000,000	5,000,000	244,492	112,343	356,835	98,610,063	4.34%
Municipal Bonds		1,000,000	1,000,000	19,088	5,211	24,299	9,475,000	3.08%
Total	<u>\$53,028,129</u>	<u>\$61,027,007</u>	<u>\$61,027,007</u>	<u>\$978,893</u>	<u>\$224,799</u>	<u>\$1,203,692</u>	<u>\$406,893,869</u>	3.55%

UTAH STATE UNIVERSITY  
SUMMARY OF CASH MANAGEMENT INVESTMENT POOL TRANSACTIONS  
For the Month of October 2019

Schedule A-3

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<u>Cash Management Investment Pool</u>							
Sweep Account		\$33,028,129		\$30,027,007	\$30,027,007	\$0	\$30,345
Miscellaneous							114
Money Market Account		10,000,000		25,000,000	25,000,000	0	77,229
Utah Public Treasurers' Investment Fund		10,000,000					39,619
Corporate Bonds and Floaters							568,006
Obligations of U. S. Government				5,000,000	5,000,000	0	244,492
Municipal Bonds				1,000,000	1,000,000	0	19,088
 Total Cash Management Investment Pool		<u>\$53,028,129</u>		<u>\$61,027,007</u>	<u>\$61,027,007</u>	<u>\$0</u>	<u>\$978,893</u>

UTAH STATE UNIVERSITY  
 ENDOWMENT POOL  
 SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule B-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income	Less Expenses	Net Realized Income/(Loss)
*Jul 2019	\$202,617,616	\$6,768,704	\$6,536,581	\$271,086	\$203,120,825	\$202,869,221	\$291,319	\$129,674	\$420,993		\$420,993
Aug 2019	203,120,825	2,942,358	2,681,056	(1,886,473)	201,495,654	202,308,240	194,822	262,373	457,195	\$19,534	437,661
Sep 2019	201,495,654	44,291,183	43,426,536	2,107,676	204,467,977	202,981,816	553,187	8,185,847	8,739,034	21,875	8,717,159
Oct 2019	204,467,977	44,227,477	43,572,648	2,136,743	207,259,549	205,863,763	198,645	7,987,300	8,185,945	44,132	8,141,813
Nov 2019											
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											

Comparative Totals:

Year-to-date											
FY 2019-20	\$202,617,616	\$98,229,722	\$96,216,821	\$2,629,032	\$207,259,549	\$203,505,760	\$1,237,973	\$16,565,194	\$17,803,167	\$85,541	\$17,717,626
FY 2018-19	178,258,733	38,309,259	36,384,337	(2,507,450)	177,676,205	181,718,428	970,194	8,709,879	9,680,073	25,542	9,654,531
Amt Change					29,583,344	21,787,332	267,779	7,855,315	8,123,094	59,999	8,063,095
% Change					16.65%	11.99%	27.60%	90.19%	83.92%	234.90%	83.52%

Note: The Endowment Pool includes endowment funds designated for long-term investment. Included in this pool are endowment funds invested in the University's Cash Management Investment Pool (CMIP) consisting of \$16,534,155 principal beginning balance, a \$7,553,332 ending balance, and a \$15,112,826 average daily balance for the current month. Current month interest and dividends from the CMIP were \$36,042 bringing the total to \$152,520 year-to-date. These amounts have also been reported in Schedules A-1 and A-2.

\*The July beginning fair value has been adjusted to reflect the amount distributed to expendable accounts at fiscal year end.

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT POOL TRANSACTIONS  
For the Month of October 2019

Schedule B-2  
Page 1 of 2

Endowment Pool Transactions	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
Cash Management Investment Pool							
Utah State University		\$497,030		\$9,513,895	\$9,513,895	\$0	\$36,042
CMP Interest		36,042					
Equity funds							
Dimensional - DFA Emerging Markets	2,848,932	75,126					
Dimensional - DFA Small Cap	318,599	10,520					
RhumbLine QSI Index			561,353.210	7,070,620	15,004,836	7,934,216	
Fixed Income funds							
Longfellow		4,561,880		936,577	963,323	26,746	
High Yield Bond Fund	3,611.169	37,666					40,930
Paydenfunds - Emerging Markets Bond Fund	1,228.163	16,592					16,592
Wellington - CTF Opportunistic Emerging Markets	1,576.456	16,868					16,868
Alternatives							
Aether Investment Partners, LLC							
Aether Real Assets IV, LP		68,292					4,641
Aether Real Assets V, LP		73,839		67,921	67,921	0	2,065
The Carlyle Group							
Carlyle Realty Partners VIII		199,515		5,184	10,725	5,541	794
Commonfund							
CEP VII				0	20,797	20,797	210
Global Infrastructure Partners							
Global Infrastructure Partners III-A/B, L.P.		24,569		30,224	30,224	0	
GQG Partners							
GQG Partners Global Equity Fund		17,000,000					
Pinehurst Institutional Ltd.							
Corbin	1,380.353	2,500,000					
Woodbury							
Woodbury IFRI							623
Woodbury Capital II, LP							16,528
Woodbury Capital III, LP				4,966	4,966	0	9,105
Money Market Funds							
Goldman Sachs Bank Deposit		333					333
US Bank - Endowment Pool First Am Treas Ob Fd Cl Z		12,429,237		12,653,739	12,653,739	0	2,359
US Bank - Longfellow First Am Treas Ob Fund Cl Z		5,425,683		4,142,991	4,142,991	0	
Wells Fargo Government Money Market		4					4
Cash							
Endowment Pool							
US Bank Cash		5,655					



UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT POOL TRANSACTIONS  
For the Month of October 2019

Schedule B-2  
Page 2 of 2

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
Cash (continued)							
Longfellow							
US Bank Cash		(\$286,141)					
Accruals / Payable							
Endowment Pool							
US Bank - Accruals		2,359		\$86,530	\$86,530	\$0	
Wells Capital Management - HYB		40,931		37,666	37,666	0	
Longfellow							
US Bank Receivable - Interest Accrual		51,551		15,658	15,658	0	
US Bank - Pending Trades		1,439,926		1,019,377	1,019,377	0	
 Total Endowment Pool Transactions		<u>\$44,227,477</u>		<u>\$35,585,348</u>	<u>\$43,572,648</u>	<u>\$7,987,300</u>	<u>\$198,645</u>

UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule C1A

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income
Jul 2019	\$172,609,233	\$640,537	\$457,986	\$963,227	\$173,755,011	\$173,182,122	\$179,551	\$5,636	\$185,187
Aug 2019	173,755,011	3,362,904	1,580,094	3,116,631	178,654,452	176,204,732	243,329	119,642	362,971
Sep 2019	178,654,452	3,297,727	1,447,175	(1,091,494)	179,413,510	179,033,981	378,387	0	378,387
Oct 2019	179,413,510	6,938,404	6,883,280	217,938	179,686,572	179,550,041	198,409	(3,660)	194,749
Nov 2019									
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$172,609,233	\$14,239,572	\$10,368,535	\$3,206,302	\$179,686,572	\$176,992,719	\$999,676	\$121,618	\$1,121,294
FY 2018-19	168,133,350	20,126,359	15,163,068	(2,566,479)	170,530,162	170,350,854	997,490	199,043	1,196,533
Amt Change					9,156,410	6,641,865	2,186	(77,425)	(75,239)
% Change					5.37%	3.90%	0.22%	-38.90%	-6.29%

Note: The Defensive Return Pool is comprised of quasi-endowment funds designated for long-term investment. Included in this pool are quasi-endowment funds invested in the University's Cash Management Investment Pool (CMIP) consisting of \$58,510,098 principal beginning balance, a \$58,129,498 ending balance, and a \$58,248,155 average daily balance for the current month. Current month interest and dividends from the CMIP were \$142,128 bringing the total to \$546,810 year-to-date. These amounts have also been reported in Schedules A-1 and A-2.

\*The July beginning fair value has been adjusted to reflect the amount distributed to expendable accounts at fiscal year end.



UTAH STATE UNIVERSITY  
OTHER INVESTMENTS  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule C2A

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income
Jul 2019	\$25,838,919	\$26,901	\$141,321	\$166,536	\$25,891,035	\$25,864,977	\$2,175	\$7,093	\$9,268
Aug 2019	25,891,035	2,530,497	1,344,182	(202,771)	26,874,579	26,382,807	1,815	40,455	42,270
Sep 2019	26,874,579	183,684	1,298,556	190,496	25,950,203	26,412,391	107,521	3,835	111,356
Oct 2019	25,950,203	630,828	741,877	407,835	26,246,989	26,098,596	2,261	50,343	52,604
Nov 2019									
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$25,838,919	\$3,371,910	\$3,525,936	\$562,096	\$26,246,989	\$26,189,693	\$113,772	\$101,726	\$215,498
FY 2018-19	26,596,404	1,277,868	1,381,783	(412,577)	26,079,912	27,185,645	126,163	17,471	143,634
Amt Change					167,077	(995,952)	(12,391)	84,255	71,864
% Change					0.64%	-3.66%	-9.82%	482.26%	50.03%

\*The July beginning fair value has been adjusted to reflect the amount transferred to the Defensive Return Pool at fiscal year end.

UTAH STATE UNIVERSITY  
SUMMARY OF OTHER INVESTMENT TRANSACTIONS  
For the Month of October 2019

Schedule C2C  
Page 1 of 2

	Purchases		Sales			Earnings
	Shares	Cost	Shares	Cost	Receipts	
<u>Other Investments</u>						
Corporate Bonds and Notes						
U.S. Treasury Bond						\$674
Common and Preferred Stock						
Morgan Stanley						
Alphabet Inc Class C			8.000	\$9,753	\$9,563	(\$190)
Wal-Mart De Mexico SA	340.000	\$10,324	340.000	10,324	10,075	(249)
Xcel Energy In.						86
Utah Public Treasurers'						
Investment Fund		335				335
Mutual Funds						
Charles Schwab						
PIMCO Income Instl	65.474	784				784
Commonfund						
CEU Title III						
Multi-Strategy Bond			87.667	1,014	1,322	308
Multi-Strategy Equity			10.457	640	4,412	3,772
Fidelity						
ETF - Equity						
AMCAP Fund-F1			2,455.550	67,366	76,883	9,517
Franklin Templeton EFT	775.000	25,745				
iShares Trust MSCI Emg Mkts ETF USD	254.000	10,732				
iShares S&P Midcap 400	66.000	10,632				
iShares Edge MSCI USA Quality	114.000	10,666				
iShares Edge MSCI USA Momentum	180.000	21,380				
Invesco QQQ Tr Unit Ser l	55.000	10,630				
New World Fund-F1			1,058.600	53,188	70,947	17,759
Proshares Ultra S&P 500 Proshares	132.000	17,265				
Proshares Ultra QQQ Proshares	150.000	15,158				
The New Economy Fund-F1			1,670.429	64,405	75,052	10,647
Washington Mutual Investors Fund-F1			1,712.557	70,033	78,812	8,779
ETF - Fixed Income						
iShares Trust 0-5 Yr High Yield	230.000	10,670				
First Tr Exchange Traded Fund IV	852.000	51,249				
Invesco Exch Trd Sif Inex Fund	1,069.000	25,556				

UTAH STATE UNIVERSITY  
SUMMARY OF OTHER INVESTMENT TRANSACTIONS  
For the Month of October 2019

Schedule C2C  
Page 2 of 2

	Purchases		Sales			Earnings
	Shares	Cost	Shares	Cost	Receipts	
<u>Other Investments</u>						
Fidelity						
Bonds						
Morgan Stanley Fin LLC	12,000.000	\$12,000				
Citigroup Global Mkts Holdings	12,000.000	12,000				
BNP Paribas Note Zero Coupon	12,000.000	12,000				
Morgan Stanley Fin LLC	12,000.000	12,000				
Morgan Stanley Fin LLC	12,000.000	12,000				
Citigroup Global Mkts Holdings	12,000.000	12,000				
Citigroup Global Mkts Holdings	12,000.000	12,000				
Societe Generale Mtn	12,000.000	12,000				
Alternatives						
InvenTrust Properties						
InvenTrust Properties Corp						\$347
Money Market / Cash						
Charles Schwab - Cash				\$1,223	\$1,223	\$0
Charles Schwab - Money Market		1,223		3,426	3,426	0
Fidelity Cash		301,730		307,246	307,246	0
Receivable / In Transit / Unsettled Purchases						
Commonfund				102,268	102,268	0
Morgan Stanley - Unsettled Purchases		10,075				
U.S. Treasury Bond		674				
Xenia				648	648	0
Total Other Investments		<u>\$630,828</u>		<u>\$691,534</u>	<u>\$741,877</u>	<u>\$50,343</u>
						<u>\$2,261</u>

UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS  
 SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule D-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income/(Loss)	Less Expenses	Net Realized Income/(Loss)
Jul 2019	\$5,962,210	\$528,097	\$517,431	(\$15,506)	\$5,957,370	\$5,959,790	\$11,292	\$19,249	\$30,541	\$626	\$29,915
Aug 2019	5,957,370	439,146	426,496	(193,927)	5,776,093	5,866,732	22,416	19,793	42,209	(16)	42,225
Sep 2019	5,776,093	509,422	484,083	243,292	6,044,724	5,910,409	25,341	130,481	155,822	1	155,821
Oct 2019	6,044,724	754,279	744,022	135,215	6,190,196	6,117,460	10,883	24,772	35,655	627	35,028
Nov 2019											
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											
<hr/> <hr/>											
Comparative Totals:											
Year-to-date											
FY 2018-19	\$5,962,210	\$2,230,944	\$2,172,032	\$169,074	\$6,190,196	\$5,963,598	\$69,932	\$194,295	\$264,227	\$1,238	\$262,989
FY 2018-19	5,885,226	1,519,092	1,457,312	(78,242)	5,868,764	6,022,181	71,273	(57,123)	14,150	1,238	12,912
Amt Change					321,432	(58,583)	(1,341)	251,418	250,077	0	250,077
% Change					5.48%	-0.97%	-1.88%	440.13%	1767.33%	0.00%	1936.78%

Note: Endowment Trusts include externally managed endowment trusts.

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT TRUST INVESTMENT TRANSACTIONS  
For the Month of October 2019

Schedule D-2  
Page 1 of 1

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<b>Endowment Trusts</b>							
Common and Preferred Stock							
AT & T Inc			5,300.000	\$185,335	\$194,161	\$8,826	
Microsoft Corp			1,300.000	141,912	176,777	34,865	
Pfizer Inc	3,000.000	\$108,279					
Wells Fargo & Co New	1,100.000	53,588					
iShares Preferred & Income	5,600.000	210,574					
Funds held at Morgan Stanley - Dividends						\$10,390	
Common & Preferred Stock Options							
Apple Inc (expires 10/18/2019)			(10.000)	(6,987)	(32,215)	(25,228)	
Apple Inc (expires 01/17/2020)	(10.000)	(10,467)					
Merck & Co Inc. New Com (expires 10/18/2019)			(26.000)	(6,250)	0	6,250	
Microsoft Corp (expires 12/20/2019)			(13.000)	(4,086)	(4,029)	57	
Mutual Funds - Equity							
T Rowe Price Equity Income		1		0	1	1	
T Rowe Price Equity Income		1		0	1	1	
Funds held at Wells Fargo - Dividends						4	
Mutual Funds - Bond							
Federated Total Return Bond Fund	8.590	95					
Metropolitan West Total Return Bond Fund	6.622	73					
Wells Fargo Advantage Core Bond Fund	4.738	63					
Federated Total Return Bond Fund	8.584	95					
Metropolitan West Total Return Bond Fund	6.621	73					
Wells Fargo Advantage Core Bond Fund	4.737	63					
Funds held at Wells Fargo - Dividends						463	
Money Market & Cash Funds							
Morgan Stanley Bank N.A. #		391,803		408,701	408,701	0	
Wells Fargo #451		19		313	313	0	
Wells Fargo #451		19		312	312	0	
Total Endowment Trusts		<u>\$754,279</u>		<u>\$719,250</u>	<u>\$744,022</u>	<u>\$24,772</u>	<u>\$10,883</u>



UTAH STATE UNIVERSITY  
PLANT FUND TRUSTS  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule E-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest Income	Realized Gain or (Loss)	Total Realized Income	Less Expenses	Net Realized Income/(Loss)
Jul 2019	\$24,845,205	\$58,287	\$1,471,893	\$0	\$23,431,599	\$23,476,880	\$57,138		\$57,138		\$57,138
Aug 2019	23,431,599	58,774,761	2,941,438	(8)	79,264,914	40,537,270	89,627	(\$2,864)	86,763		86,763
Sep 2019	79,264,914	1,632,005	1,726,022	0	79,170,897	79,210,771	169,255		169,255		169,255
Oct 2019	79,170,897	6,554,000	10,137,923	0	75,586,974	75,732,431	163,113		163,113		163,113
Nov 2019											
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											

Comparative Totals:

Year-to-date

FY 2019-20	\$24,845,205	\$67,019,053	\$16,277,276	(\$8)	\$75,586,974	\$54,739,338	\$479,133	(\$2,864)	\$476,269	\$0	\$476,269
FY 2018-19	40,294,519	2,013,611	5,646,208	(14,342)	36,647,580	38,312,275	337,512	0	337,512	0	337,512
Amt Change					38,939,394	16,427,063	141,621	(2,864)	138,757	0	138,757
% Change					106.25%	42.88%	41.96%	-100.00%	41.11%	0.00%	41.11%

Note: Plant Fund Trusts include all debt service reserve and construction fund accounts in compliance with bond issue covenants.

UTAH STATE UNIVERSITY  
SUMMARY OF PLANT TRUST INVESTMENT TRANSACTIONS  
For the Month of October 2019

Schedule E-2

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<u>Plant Trusts</u>							
Utah Public Treasurers' Investment Fund		\$6,554,000		\$10,137,923	\$10,137,923	\$0	\$163,113
Total Plant Trusts		<u>\$6,554,000</u>		<u>\$10,137,923</u>	<u>\$10,137,923</u>	<u>\$0</u>	<u>\$163,113</u>

## **ITEM FOR ACTION**

### **RE: Report of Investments for November 2019**

The Report of Investments for November 2019 is submitted to the Board of Trustees for consideration. It has received the appropriate administrative review and approval.

## **EXECUTIVE SUMMARY**

This set of investment reports presents investment activity for November 2019 and comparative year-to-date totals for FY 2019-2020 and FY 2018-2019.

### **CASH MANAGEMENT INVESTMENT POOL**

The average daily fair value invested during November 2019 was \$389,476,871, down \$17,416,998 from October 2019. Total investment gain was \$723,477, down \$480,215 from October 2019, reflecting the decrease in the amount available for investing and a decrease in total investment return. The annualized total investment return was 2.23%, down 1.32% from October 2019.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$385,817,412, up \$31,208,090 (8.80%) over FY 2018-2019. Total interest income for FY 2019-2020 amounted to \$4,491,407, up \$874,731 (24.19%) over FY 2018-2019, reflecting an increase in the amount available for investing and an increase in interest rates.

The total amount invested at 30 November 2019 was \$386,685,450, up \$36,688,083 (10.48%) over 30 November 2018.

### **ENDOWMENT POOL**

The average daily fair value invested during November 2019 was \$208,719,566, up \$2,855,803 over October 2019. Interest and dividend income of \$155,448 plus net realized gains of \$372,356 totaled \$527,804 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$204,548,521, up \$23,426,683 (12.93%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$18,330,971, up \$8,316,377 (83.04%) over FY 2018-2019. This increase resulted from \$233,338 more in interest and dividends and \$8,083,039 more in net realized gains during FY 2019-2020.

The total amount invested at 30 November 2019 was \$210,179,583, up \$30,384,832 (16.90%) over 30 November 2018.

## OTHER INVESTMENTS

The average daily fair value invested during November 2019 was \$205,853,525, up \$204,888 over October 2019. Interest and dividend income of \$251,454 plus net realized gains of \$53,719 totaled \$305,173 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$203,716,634, up \$6,349,839 (3.22%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$1,641,965, up \$9,565 (0.59%) over FY 2018-2019. This increase resulted from \$47,495 less in interest and dividend income and \$57,060 more in net realized gains during FY 2019-2020.

The total amount invested at 30 November 2019 was \$205,773,488, up \$9,007,607 (4.58%) over 30 November 2018.

## ENDOWMENT TRUSTS

The average daily fair value invested during November 2019 was \$6,244,902, up \$127,442 over October 2019. Interest and dividend income of \$23,404 minus net realized losses of \$735,307 totaled \$711,903 in realized losses for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$6,019,858, up \$24,231 (0.40%) over FY 2018-2019. Total realized loss for FY 2019-2020 was \$447,676, down \$511,714 (799.08%) from FY 2018-2019. This decrease resulted from \$2,860 more in interest and dividend income and \$514,574 more in net realized losses during FY 2019-2020.

The total amount invested at 30 November 2019 was \$6,299,608, up \$389,555 (6.59%) over 30 November 2018.

## PLANT FUND TRUSTS

The average daily fair value invested during November 2019 was \$76,663,910, up \$931,479 over October 2019. Interest income totaled \$151,051 in realized income for the month.

Year-to-date numbers show that the average daily fair value invested for FY 2019-2020 was \$59,124,252, up \$20,700,340 (53.87%) over FY 2018-2019. Total realized income for FY 2019-2020 was \$627,320, up \$202,233 (47.57%) over FY 2018-2019. This increase reflects the increased amount available for investing and a decrease in the rate of return.

The total amount invested at 30 November 2019 was \$77,814,862, up \$37,048,173 (90.88%) over 30 November 2018.

## SUMMARY OF INVESTMENT TRANSACTIONS

The University's average daily fair value invested for the month of November was \$821,466,350. Purchases totaled \$28,464,884 and sales totaled \$37,528,940. From this activity the University realized net losses of \$309,232 and earnings of \$1,288,159.

## **RECOMMENDATION**

The President and Vice President for Business and Finance recommend that the Board of Trustees approve the Report of Investments for November 2019.

**RESOLUTION  
UTAH STATE UNIVERSITY  
BOARD OF TRUSTEES**

WHEREAS, The attached Report of Investments containing authorized transactions, documentation, and supporting papers has been filed for review by the Board of Trustees pertaining to the investment activities; and

WHEREAS, The investment transactions listed on the attached Report of Investments have been approved by the USU Controller's Office; and

WHEREAS, The investment activities listed on the attached Report of Investments are in accordance with the Utah State Money Management Act, the rules of the Utah State Money Management Council, the Utah State Uniform Prudent Management of Institutional Funds Act, and the laws and rules of Utah State University and the State of Utah; and

WHEREAS, The Chief Financial Officer for Utah State University, David T. Cowley, Vice President for Business and Finance, has certified to the best of his knowledge and belief all investment transactions listed on the attached Report of Investments were made in accordance with the guidelines, rules, and laws; and

WHEREAS, Vice President Cowley requests approval of the attached Report of Investments for the period 1 November 2019 to 30 November 2019 and comparative year-to-date totals for the periods 1 July 2019 to 30 November 2019 and 1 July 2018 to 30 November 2018; and

WHEREAS, The President of Utah State University has reviewed the attached report and recommends its approval by the Utah State University Board of Trustees; and

WHEREAS, The USU Board of Trustees has reviewed and given due consideration, review, and authorization of the investment transactions listed on the attached Report of Investments for the period 1 November 2019 to 30 November 2019 and comparative year-to-date totals for the periods 1 July 2019 to 30 November 2019 and 1 July 2018 to 30 November 2018;

NOW, THEREFORE, BE IT RESOLVED, That the USU Board of Trustees hereby approves the attached Report of Investments as presented and ratifies the transactions listed on said Report of Investments for November 2019.

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RESOLUTION APPROVED BY THE USU BOARD OF TRUSTEES:

\_\_\_\_\_  
Date

UTAH STATE UNIVERSITY  
REPORT OF INVESTMENTS  
NOVEMBER 2019

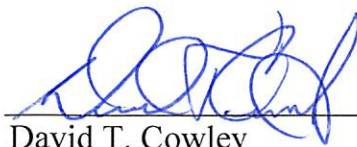
The following schedules (A through E2) provide a report of the University's Investments. To the best of my knowledge, Utah State University is in compliance with the Utah State Money Management Act and the rules of the Utah State Money Management Council and the Utah State Uniform Prudent Management of Institutional Funds Act.



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Danford R. Christensen  
Controller

2/20/2020  
Date



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David T. Cowley  
Vice President for Business and Finance

2/21/2020  
Date

UTAH STATE UNIVERSITY  
CASH MANAGEMENT INVESTMENT POOL  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule A-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest Income	Less Service Charges	Net Interest Income
Jul 2019	\$347,726,134	\$45,811,657	\$33,118,068	(\$209,645)	\$360,210,078	\$355,176,593	\$805,942	\$15,773	\$790,169
Aug 2019	360,210,078	\$110,464,352	\$73,418,557	801,022	398,056,895	373,630,766	970,031	0	970,031
Sep 2019	398,056,895	84,234,407	76,331,806	265,738	406,225,234	403,908,962	884,424	(5,240)	889,664
Oct 2019	406,225,234	53,028,129	61,027,007	224,799	398,451,155	406,893,869	978,893	16,317	962,576
Nov 2019	398,451,155	15,393,267	27,030,332	(128,640)	386,685,450	389,476,871	852,117	0	852,117
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$347,726,134	\$308,931,812	\$270,925,770	\$953,274	\$386,685,450	\$385,817,412	\$4,491,407	\$26,850	\$4,464,557
FY 2018-19	310,863,104	204,365,639	162,886,319	(2,345,057)	349,997,367	354,609,322	3,616,676	30,964	3,585,712
Amt Change					36,688,083	31,208,090	874,731	(4,114)	878,845
% Change					10.48%	8.80%	24.19%	-13.29%	24.51%

Note: The Cash Management Investment Pool includes cash of all funds over estimated daily operating requirements.



UTAH STATE UNIVERSITY  
 CASH MANAGEMENT INVESTMENT POOL  
 SUMMARY OF INVESTMENT TRANSACTIONS AND PERFORMANCE  
 For the Month of November 2019

Schedule A-2

	Purchases	Sales		Earnings	Change in Fair Value	Total Investment Income	Average Daily Fair Value	Annualized Total Investment Return
		Cost	Receipts					
Sweep Account	\$15,393,267	\$20,030,332	\$20,030,332	\$15,502		\$15,502	\$12,544,682	1.48%
Money Market Account				43,734		43,734	21,200,000	2.48%
Utah Public Treasurers' Investment Fund		7,000,000	7,000,000	46,062		46,062	23,366,667	2.37%
Commercial Paper and Corporate Notes				549,683	\$124,870	674,553	225,248,200	3.59%
Obligations of U. S. Government				179,480	(232,065)	(52,585)	97,642,322	-0.65%
Municipal Bonds				17,656	(21,445)	(3,789)	9,475,000	-0.48%
Total	<u>\$15,393,267</u>	<u>\$27,030,332</u>	<u>\$27,030,332</u>	<u>\$852,117</u>	<u>(\$128,640)</u>	<u>\$723,477</u>	<u>\$389,476,871</u>	2.23%

UTAH STATE UNIVERSITY  
SUMMARY OF CASH MANAGEMENT INVESTMENT POOL TRANSACTIONS  
For the Month of November 2019

Schedule A-3

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<u>Cash Management Investment Pool</u>							
Sweep Account		\$15,393,267		\$20,030,332	\$20,030,332	\$0	\$15,502
Money Market Account							43,734
Utah Public Treasurers' Investment Fund				7,000,000	7,000,000	0	46,062
Corporate Bonds and Floaters							549,683
Obligations of U. S. Government							179,480
Municipal Bonds							17,656
 Total Cash Management Investment Pool		<u>\$15,393,267</u>		<u>\$27,030,332</u>	<u>\$27,030,332</u>	<u>\$0</u>	<u>\$852,117</u>

UTAH STATE UNIVERSITY  
 ENDOWMENT POOL  
 SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule B-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income	Less Expenses	Net Realized Income/(Loss)
*Jul 2019	\$202,617,616	\$6,768,704	\$6,536,581	\$271,086	\$203,120,825	\$202,869,221	\$291,319	\$129,674	\$420,993		\$420,993
Aug 2019	203,120,825	2,942,358	2,681,056	(1,886,473)	201,495,654	202,308,240	194,822	262,373	457,195	\$19,534	437,661
Sep 2019	201,495,654	44,291,183	43,426,536	2,107,676	204,467,977	202,981,816	553,187	8,185,847	8,739,034	21,875	8,717,159
Oct 2019	204,467,977	44,227,477	43,572,648	2,136,743	207,259,549	205,863,763	198,645	7,987,300	8,185,945	44,132	8,141,813
Nov 2019	207,259,549	5,708,805	4,970,776	2,182,005	210,179,583	208,719,566	155,448	372,356	527,804	16,094	511,710
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											

Comparative Totals:

Year-to-date											
FY 2019-20	\$202,617,616	\$103,938,527	\$101,187,597	\$4,811,037	\$210,179,583	\$204,548,521	\$1,393,421	\$16,937,550	\$18,330,971	\$101,635	\$18,229,336
FY 2018-19	178,258,733	40,465,158	37,824,746	(1,104,394)	179,794,751	181,121,838	1,160,083	8,854,511	10,014,594	38,287	9,976,307
Amt Change					30,384,832	23,426,683	233,338	8,083,039	8,316,377	63,348	8,253,029
% Change					16.90%	12.93%	20.11%	91.29%	83.04%	165.46%	82.73%

Note: The Endowment Pool includes endowment funds designated for long-term investment. Included in this pool are endowment funds invested in the University's Cash Management Investment Pool (CMIP) consisting of \$7,553,332 principal beginning balance, a \$8,158,464 ending balance, and a \$8,154,867 average daily balance for the current month. Current month interest and dividends from the CMIP were \$17,500 bringing the total to \$170,020 year-to-date. These amounts have also been reported in Schedules A-1 and A-2.

\*The July beginning fair value has been adjusted to reflect the amount distributed to expendable accounts at fiscal year end.

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT POOL TRANSACTIONS  
For the Month of November 2019

Schedule B-2  
Page 1 of 1

Endowment Pool Transactions	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
Cash Management Investment Pool							
Utah State University		\$598,674		\$11,042	\$11,042	\$0	\$17,500
CMP Interest		17,500					
Fixed Income funds							
Longfellow		3,811,527		2,182,153	2,170,477	(11,676)	
High Yield Bond Fund	3,931.743	40,930					42,375
Paydenfunds - Emerging Markets Bond Fund	1,175.193	15,795					15,795
Wellington - CTF Opportunistic Emerging Markets	1,585.039	16,865	471.247	4,876	5,042	166	16,865
Alternatives							
Commonfund							
CEP VIII		18,750		18,436	42,138	23,702	1,756
Constitution Capital							
Ironsides Co-Investment Fund III		71,973		105,938	307,827	201,889	
Woodbury							
Woodbury Strategic Partners Fund, L.P.				12,709	168,259	155,550	
WSP Centre Point Co-Investors, LLC				0	2,725	2,725	
Money Market Funds							
Goldman Sachs Bank Deposit		281					281
US Bank - Endowment Pool First Am Treas Ob Fd Cl Z		204,134					611
US Bank - Longfellow First Am Treas Ob Fund Cl Z		695,289		2,457,909	2,457,909	0	
Wells Fargo Government Money Market		4					4
Cash							
Endowment Pool							
US Bank Cash		235,854		5,655	5,655	0	
Longfellow							
US Bank Cash		(122,019)		(286,140)	(286,140)	0	
Accruals / Payable							
Endowment Pool							
Goldman Sachs		8					8
US Bank - Accruals		612		2,359	2,359	0	
Wells Capital Management - HYB		42,375		40,931	40,931	0	
Wells Capital Management - Interest		(1)					(1)
Longfellow							
US Bank Receivable - Interest Accrual		60,254		42,552	42,552	0	60,254
Total Endowment Pool Transactions		<u>\$5,708,805</u>		<u>\$4,598,420</u>	<u>\$4,970,776</u>	<u>\$372,356</u>	<u>\$155,448</u>

UTAH STATE UNIVERSITY  
DEFENSIVE RETURN POOL  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule C1A

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income
Jul 2019	\$172,609,233	\$640,537	\$457,986	\$963,227	\$173,755,011	\$173,182,122	\$179,551	\$5,636	\$185,187
Aug 2019	173,755,011	3,362,904	1,580,094	3,116,631	178,654,452	176,204,732	243,329	119,642	362,971
Sep 2019	178,654,452	3,297,727	1,447,175	(1,091,494)	179,413,510	179,033,981	378,387	0	378,387
Oct 2019	179,413,510	6,938,404	6,883,280	217,938	179,686,572	179,550,041	198,409	(3,660)	194,749
Nov 2019	179,686,572	546,473	980,474	(383,650)	178,868,921	179,277,747	249,144	51,850	300,994
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									

Comparative Totals:

Year-to-date									
FY 2019-20	\$172,609,233	\$14,786,045	\$11,349,009	\$2,822,652	\$178,868,921	\$177,449,724	\$1,248,820	\$173,468	\$1,422,288
FY 2018-19	168,133,350	28,465,735	22,384,313	(3,918,157)	170,296,615	170,363,361	1,268,485	199,043	1,467,528
Amt Change					8,572,306	7,086,363	(19,665)	(25,575)	(45,240)
% Change					5.03%	4.16%	-1.55%	-12.85%	-3.08%

Note: The Defensive Return Pool is comprised of quasi-endowment funds designated for long-term investment. Included in this pool are quasi-endowment funds invested in the University's Cash Management Investment Pool (CMIP) consisting of \$58,129,498 principal beginning balance, a \$57,228,760 ending balance, and a \$57,337,557 average daily balance for the current month. Current month interest and dividends from the CMIP were \$127,815 bringing the total to \$674,625 year-to-date. These amounts have also been reported in Schedules A-1 and A-2.

\*The July beginning fair value has been adjusted to reflect the amount distributed to expendable accounts at fiscal year end.



UTAH STATE UNIVERSITY  
OTHER INVESTMENTS  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule C2A

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income
Jul 2019	\$25,838,919	\$26,901	\$141,321	\$166,536	\$25,891,035	\$25,864,977	\$2,175	\$7,093	\$9,268
Aug 2019	25,891,035	2,530,497	1,344,182	(202,771)	26,874,579	26,382,807	1,815	40,455	42,270
Sep 2019	26,874,579	183,684	1,298,556	190,496	25,950,203	26,412,391	107,521	3,835	111,356
Oct 2019	25,950,203	630,828	741,877	407,835	26,246,989	26,098,596	2,261	50,343	52,604
Nov 2019	26,246,989	452,022	434,349	639,905	26,904,567	26,575,778	2,310	1,869	4,179
Dec 2019									
Jan 2020									
Feb 2020									
Mar 2020									
Apr 2020									
May 2020									
Jun 2020									
<hr/> <hr/>									
Comparative Totals:									
Year-to-date									
FY 2019-20	\$25,838,919	\$3,823,932	\$3,960,285	\$1,202,001	\$26,904,567	\$26,266,910	\$116,082	\$103,595	\$219,677
FY 2018-19	26,596,404	1,312,458	1,403,758	(35,838)	26,469,266	27,003,434	143,912	20,960	164,872
Amt Change					435,301	(736,524)	(27,830)	82,635	54,805
% Change					1.64%	-2.73%	-19.34%	394.25%	33.24%

\*The July beginning fair value has been adjusted to reflect the amount transferred to the Defensive Return Pool at fiscal year end.

UTAH STATE UNIVERSITY  
SUMMARY OF OTHER INVESTMENT TRANSACTIONS  
For the Month of November 2019

Schedule C2C  
Page 1 of 1

	Purchases		Sales				Earnings
	Shares	Cost	Shares	Cost	Receipts	Gain/(Loss)	
<u>Other Investments</u>							
Corporate Bonds and Notes							
U.S. Treasury Bond							\$656
Common and Preferred Stock							
Edward Jones							
Dodge & Cox Income Fund	710.227	\$10,000	710.227	\$10,000	\$10,007	\$7	
Invesco Diversified Dividend Fund Class A	582.242	11,936	582.242	11,936	12,035	99	
Morgan Stanley							
Apple Inc	39.000	10,110	39.000	10,110	10,062	(48)	30
JP Morgan Large Cap Growth	228.000	10,196					
People's Utah Bancorp	700.000	20,787					
Starbucks Corporation	24.000	2,020	24.000	2,020	1,958	(62)	
Wells Fargo & Company	140.000	7,498	140.000	7,498	7,325	(172)	
Wells Fargo Premier Large Co Growth	1,960.000	20,247	1,960.000	20,247	20,319	72	
Utah Public Treasurers'							
Investment Fund		308					308
ETF / Bonds / Mutual Funds							
Charles Schwab							
Bond Funds							
PIMCO Income Instl	65.781	787					787
Equity Funds							
Morgan Stanley Growth Port Fd Cl I			3,525.955	180,000	177,920	(2,080)	
T Rowe Price Blue Chip Growth	1,460.890	175,000					
Commonfund							
CEU Title III							
Multi-Strategy Bond			84.812	981	1,280	299	
Multi-Strategy Equity			10.026	614	4,368	3,754	
Fidelity							
Monthly Earnings							528
Money Market / Cash							
Charles Schwab - Money Market		177,920		175,000	175,000	0	
Fidelity Cash		528					1
Morgan Stanley - Money Market		4,030					
Receivable / In Transit / Unsettled Purchases							
Morgan Stanley - Unsettled Purchases				10,075	10,075	0	
U.S. Treasury Bond		655		4,000	4,000	0	
Total Other Investments		<u>\$452,022</u>		<u>\$432,481</u>	<u>\$434,349</u>	<u>\$1,869</u>	<u>\$2,310</u>



UTAH STATE UNIVERSITY  
 ENDOWMENT TRUSTS  
 SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule D-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest and Dividends	Realized Gain or (Loss)	Total Realized Income/(Loss)	Less Expenses	Net Realized Income/(Loss)
Jul 2019	\$5,962,210	\$528,097	\$517,431	(\$15,506)	\$5,957,370	\$5,959,790	\$11,292	\$19,249	\$30,541	\$626	\$29,915
Aug 2019	5,957,370	439,146	426,496	(193,927)	5,776,093	5,866,732	22,416	19,793	42,209	(16)	42,225
Sep 2019	5,776,093	509,422	484,083	243,292	6,044,724	5,910,409	25,341	130,481	155,822	1	155,821
Oct 2019	6,044,724	754,279	744,022	135,215	6,190,196	6,117,460	10,883	24,772	35,655	627	35,028
Nov 2019	6,190,196	1,308,934	1,285,514	85,992	6,299,608	6,244,902	23,404	(735,307)	(711,903)	(15)	(711,888)
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											
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Comparative Totals:											
Year-to-date											
FY 2018-19	\$5,962,210	\$3,539,878	\$3,457,546	\$255,066	\$6,299,608	\$6,019,858	\$93,336	(\$541,012)	(\$447,676)	\$1,223	(\$448,899)
FY 2018-19	5,885,226	2,100,944	2,019,947	(56,170)	5,910,053	5,995,627	90,476	(26,438)	64,038	1,224	62,814
Amt Change					389,555	24,231	2,860	(514,574)	(511,714)	(1)	(511,713)
% Change					6.59%	0.40%	3.16%	-1946.34%	-799.08%	-0.08%	-814.65%

Note: Endowment Trusts include externally managed endowment trusts.

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT TRUST INVESTMENT TRANSACTIONS  
For the Month of November 2019

Schedule D-2  
Page 1 of 2

Endowment Trusts	Purchases		Sales				Earnings
	Shares	Cost	Shares	Cost	Receipts	Gain/(Loss)	
Common and Preferred Stock							
Amgen Inc			1,000.000	\$191,235	\$217,392	\$26,157	
Cisco Sys Inc			5,000.000	158,357	239,060	80,703	
Intl Business Machines Corp	500.000	\$68,378					
Royal Dutch Shell Plc			3,000.000	164,273	178,894	14,621	
SeaDrill Ltd.			46.000	398,918	57	(398,861)	
SeaDrill Partners LLC			1,650.000	468,619	975	(467,644)	
Simon PPTY Group Inc	900.000	139,872					
Welltower Inc	1,700.000	142,476					
iShares Preferred & Income	7,900.000	296,129					
Funds held at Morgan Stanley - Dividends							\$22,898
Common & Preferred Stock Options							
Cisco Sys Inc (expires 01/17/2020)			(50.000)	(10,729)	(1,106)	9,623	
Mutual Funds - Equity							
Causeway Intl Value Fund I			14.835	241	235	(6)	
Europacific Growth Fund Class F3 #716 (FEUPX)			1.344	78	74	(4)	
Lazard Intl Equity Port - Instl #632			5.758	103	106	3	
Northern Mid Cap Index Fund			11.317	200	216	16	
T Rowe Price Equity Income			4.201	125	139	14	
Vanguard 500 Index Fund Admiral Shares			1.256	339	363	24	
Causeway Intl Value Fund I			14.831	241	235	(6)	
Europacific Growth Fund Class F3 #716			1.343	78	74	(4)	
Lazard Intl Equity Port - Instl #632			5.756	103	106	3	
Northern Mid Cap Index Fund			11.316	200	216	16	
T Rowe Price Equity Income			4.200	125	139	14	
Vanguard 500 Index Fund Admiral Shares			1.256	339	363	24	
Funds held at Wells Fargo - Dividends							4
Mutual Funds - Bond							
Federated Total Return Bond Fund	35.747	395					
Metropolitan West Total Return Bond Fund	43.367	479					
Wells Fargo Advantage Core Bond Fund	36.919	489					
Federated Total Return Bond Fund	35.752	395					
Metropolitan West Total Return Bond Fund	43.362	479					
Wells Fargo Advantage Core Bond Fund	36.918	489					
Funds held at Wells Fargo - Dividends							479

UTAH STATE UNIVERSITY  
SUMMARY OF ENDOWMENT TRUST INVESTMENT TRANSACTIONS  
For the Month of November 2019

Schedule D-2  
Page 2 of 2

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
Money Market & Cash Funds							
Morgan Stanley Bank N.A. #		\$659,283		\$647,960	\$647,960	\$0	\$7
Wells Fargo #451		35		8	8	0	8
Wells Fargo #451		35		8	8	0	8
Total Endowment Trusts		<u>\$1,308,934</u>		<u>\$2,020,821</u>	<u>\$1,285,514</u>	<u>(\$735,307)</u>	<u>\$23,404</u>

UTAH STATE UNIVERSITY  
PLANT FUND TRUSTS  
SUMMARY REPORT OF INVESTMENTS AND INVESTMENT INCOME

Schedule E-1

	Beginning Fair Value	Purchases	Sales Proceeds	Change in Fair Value	Ending Fair Value	Average Daily Fair Value	Total Interest Income	Realized Gain or (Loss)	Total Realized Income	Less Expenses	Net Realized Income/(Loss)
Jul 2019	\$24,845,205	\$58,287	\$1,471,893	\$0	\$23,431,599	\$23,476,880	\$57,138		\$57,138		\$57,138
Aug 2019	23,431,599	58,774,761	2,941,438	(8)	79,264,914	40,537,270	89,627	(\$2,864)	86,763		86,763
Sep 2019	79,264,914	1,632,005	1,726,022	0	79,170,897	79,210,771	169,255		169,255		169,255
Oct 2019	79,170,897	6,554,000	10,137,923	0	75,586,974	75,732,431	163,113		163,113		163,113
Nov 2019	75,586,974	5,055,383	2,827,495	0	77,814,862	76,663,910	151,051		151,051		151,051
Dec 2019											
Jan 2020											
Feb 2020											
Mar 2020											
Apr 2020											
May 2020											
Jun 2020											
<hr/> <hr/>											
Comparative Totals:											
Year-to-date											
FY 2019-20	\$24,845,205	\$72,074,436	\$19,104,771	(\$8)	\$77,814,862	\$59,124,252	\$630,184	(\$2,864)	\$627,320	\$0	\$627,320
FY 2018-19	40,294,519	6,882,453	6,403,495	(6,788)	40,766,689	38,423,912	425,087	0	425,087	0	425,087
Amt Change					37,048,173	20,700,340	205,097	(2,864)	202,233	0	202,233
% Change					90.88%	53.87%	48.25%	-100.00%	47.57%	0.00%	47.57%

Note: Plant Fund Trusts include all debt service reserve and construction fund accounts in compliance with bond issue covenants.

UTAH STATE UNIVERSITY  
SUMMARY OF PLANT TRUST INVESTMENT TRANSACTIONS  
For the Month of November 2019

Schedule E-2

	Purchases		Sales			Earnings	
	Shares	Cost	Shares	Cost	Receipts		Gain/(Loss)
<u>Plant Trusts</u>							
Utah Public Treasurers' Investment Fund		\$5,055,383		\$2,827,495	\$2,827,495	\$0	\$151,051
Total Plant Trusts		<u>\$5,055,383</u>		<u>\$2,827,495</u>	<u>\$2,827,495</u>	<u>\$0</u>	<u>\$151,051</u>

**ITEM FOR INFORMATION**

**RE: Revised Policy 502: Naming University Facilities, Organizations, and Programs**

The attached policy is submitted to the Board of Trustees as information. The policy received the appropriate administrative review and approval.

**EXECUTIVE SUMMARY**

The University revised Policy 502 Naming University Facilities, Organizations, and Programs, as shown in the attached document. The proposed revisions were reviewed and approved by the Executive Committee.

Policy 502: Naming University Facilities, Organizations, and Programs is being revised to achieve the following:

- The policy is established to provide for an informed practice to name Utah State University facilities, organizations, and programs that takes into account the traditions of the university, as well as the opportunity to honor donors and other individuals of extraordinary achievement. Careful consideration must be given to associating any name with the excellence and reputation of Utah State University.

## POLICY MANUAL

### OPERATING POLICIES AND PROCEDURES

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Number 502

Subject: Naming [University Facilities, Organizations, Programs](#)~~Buildings and Other University Facilities~~  
~~Last Revised~~Effective Date: ~~June 12, 1993~~[2020/02/26](#)  
~~Date of Last Revision: April 10, 2013~~

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#### 502.1 PURPOSE [AND SCOPE](#)

The policy is established to provide for an informed practice to name Utah State University facilities, organizations, and programs that takes into account the traditions of the university, as well as the opportunity to honor donors and other individuals of extraordinary achievement. Careful consideration must be given to associating any name with the excellence and reputation of Utah State University.

[The naming of curriculum related units, departments, programs and courses are addressed by the Educational Policy Committee unless philanthropic support is involved.](#)

#### ~~502.2~~[502.1](#) REFERENCES

- ~~“The Naming Game”, CASE *Currents* March 2011~~
- ~~Indiana University Policy UA-06 Institutional Naming~~
- ~~University of Miami Policy F140 Gifts for Namings~~
- ~~The University of Virginia Policy EXT-004 Naming Policies for The University of Virginia~~

#### ~~502.3~~ DEFINITIONS

- ~~6.1 Facility: Facilities includes buildings, portions of buildings (such as classrooms, auditorium, foyer, and library), collections of buildings, monuments, fields, open air courtyards, streets, alleys, and other outdoor areas.~~
- ~~6.26.1 Life of the Facility: The Life of the Facility ends at the point in time where a facility ceases to exist or where a major renovation of the facility substantially alters the space.~~
- ~~6.36.1 Organization: Organizations include a college, school, department, center or administrative unit.~~
- ~~6.46.1 Program: Programs include all academic programs, faculty chairs and professorships, and scholarships and fellowships.~~

## 502.4 POLICY

~~The Board of Trustees considers the naming of a University facility in honor of an individual to be one of the highest recognitions Utah State University can bestow. In that respect, only in rare and extraordinary circumstances will facilities be used to memorialize individuals.~~

### 2.1 Naming University Facilities, Organizations, and Programs

Primary consideration for naming ~~buildings,~~ facilities, organizations, and programs shall be given in recognition of a substantial gift to the University. ~~No commitment for naming buildings, facilities and organizations shall be made to a prospective donor of a gift prior to Board of Trustees approval of the proposed name. However, in order to enhance negotiations with the prospective donor, tentative approval may be obtained from the President.~~

Consideration may also be given to naming ~~buildings or~~ facilities without a gift to the University if an individual has achieved distinction in an academic, administrative, or other exceptional ways which have significantly contributed to the welfare of the University as to warrant recognition. Naming a project for a University employee shall not normally be made prior to one year after retirement, while the individual is still employed by the University, nor within one year after the person's death.

All proposals to name a university facility, organization, or honorary naming of a program shall be submitted to the University Naming Committee for consideration. The committee shall meet as needed to consider naming proposals according to the University's Naming Procedures. At the conclusion, the committee will make a recommendation to the President for their decision. The President's decision is final.

### 2.2 Compliance with Naming Procedures

A university employee shall not offer, commit or promise an honorary name to facilities, organizations, and programs until the completion of the process outlined in Naming Procedures.

### 2.3 University Naming Review and Acceptance Committee Membership

The committee shall be led by the Vice President of University Advancement and composed of the following members:

- Vice President of University Advancement (chair)
- Executive Vice President and Provost
- Vice President of Business and Finance
- Vice President of Federal and State Relations
- Vice President for University Marketing and Communications
- Senior Director of Advancement Services
- Senior Director of Stewardship and Donor Engagement
- USU Foundation Liaison
- Assistant Director of Facilities Planning, Design, & Construction
- Space Management Committee Chair
- Others as needed and recommended by the committee and approved by the President

~~An Advisory Committee on Naming University Facilities, appointed by the President, shall advise and make recommendations to the President.~~

~~The President, after reviewing the advice and recommendations of the Advisory Committee, will make the final recommendations on naming all highly visible properties and facilities to the Utah State University Board of Trustees for approval. The President may approve the naming of sub-portions or rooms in buildings, small outdoor areas, and other minor properties and facilities without need of Board of Trustees' approval.~~



~~The identification of buildings that are unnamed shall be recommended by the University Physical Resources Planning Committee (UPRPC). A building in this category shall be named for its primary function; i.e., if more than one unit has offices, labs, classrooms, or other facilities assigned in a building, the structure shall be named for the unit which has its headquarters in the building. Such recommendations will be referred to the President for final authorization.~~

## **502.3 RESPONSIBILITIES**

### **3.1 Vice President for Advancement**

The Vice President for Advancement is granted the authority and responsibility to develop and maintain university Naming Procedures.

### **3.2 Office of University Advancement**

The Office of University Advancement is responsible for monitoring and enforcing compliance with this policy and university Naming Procedures, subject to necessary approvals.

### **3.3 President, Deans, Development Officers, and University Advancement Staff**

The president, deans, development officers, University Advancement staff, and any other employees, agents, or representatives engaged in fundraising for the University are responsible for conducting all fundraising activities in compliance with this policy and with the university Naming Procedures.

## **REFERENCES**

- “The Naming Game”, CASE Currents March 2011
- Indiana University Policy UA-06 – Institutional Naming
- University of Miami Policy F140 – Gifts for Namings
- The University of Virginia Policy EXT-004 – Naming Policies for The University of Virginia

## **502.5 RELATED USU POLICIES**

- Policy 524: Charitable Gift Acceptance and Crediting

## **502.36 DEFINITIONS**

### **6.1 Facility:-**

Facilities includes buildings, portions of buildings (such as classrooms, auditorium, foyer, and library), collections of buildings, monuments, fields, open air courtyards, streets, alleys, and other outdoor areas.

Life of the Facility: The Life of the Facility ends at the point in time where a facility ceases to exist or where a major renovation of the facility substantially alters the space.

### **6.2 Organization:-**

Organizations include a college, school, department, center, or administrative unit.

### **6.3 Program:-**

Programs include all academic programs, faculty chairs and professorships, and scholarships and fellowships.

Information below is not included as part of the contents of the official Policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

## **RESOURCES**

Procedures

Naming Procedures

Contacts

- Vice President for Advancement

## **POLICY HISTORY**

Original issue date: 1993/06/12

Last review date: 2020/02/26

Previous revision dates: 1993/06/12, 2013/04/10



# University Policy 502: Naming University Facilities, Organizations, and Programs

**Category:** Operating Policies

**Sub Category:** General

**Responsible Executive:** Vice President for Advancement

**Policy Custodian:** Office of University Advancement

**Last Revised:** 2020/02/26

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## 502.1 PURPOSE AND SCOPE

The policy is established to provide for an informed practice to name Utah State University [facilities](#), [organizations](#), and [programs](#) that takes into account the traditions of the university, as well as the opportunity to honor donors and other individuals of extraordinary achievement. Careful consideration must be given to associating any name with the excellence and reputation of Utah State University.

The naming of curriculum related units, departments, programs and courses are addressed by the Educational Policy Committee unless philanthropic support is involved.

## 502.2 POLICY

### 2.1 Naming University Facilities, Organizations, and Programs

Primary consideration for naming facilities, organizations, and programs shall be given in recognition of a substantial gift to the university. Consideration may also be given to naming facilities without a gift to the university if an individual has achieved distinction in an academic, administrative, or other exceptional ways which have significantly contributed to the welfare of the university as to warrant recognition. Naming a project for a university employee shall not normally be made prior to one year after retirement, while the individual is still employed by the University, nor within one year after the person's death.

All proposals to name a university facility, organization, or honorary naming of a program shall be submitted to the University Naming Committee for consideration. The committee shall meet as needed to consider naming proposals according to the University's Naming Procedures. At the conclusion, the committee will make a recommendation to the President for their decision. The President's decision is final.

### 2.2 Compliance with Naming Procedures

A university employee shall not offer, commit or promise an honorary name to facilities, organizations, and programs until the completion of the process outlined in Naming Procedures.

### 2.3 University Naming Committee Membership

The committee shall be led by the Vice President of University Advancement and composed of the following members:

- Vice President of University Advancement (chair)
- Executive Vice President and Provost
- Vice President of Business and Finance
- Vice President for Federal and State Relations

- Vice President for University Marketing and Communications
- Senior Director of Advancement Services
- Senior Director of Stewardship and Donor Engagement
- USU Foundation Liaison
- Assistant Director of Facilities Planning, Design, & Construction
- Space Management Committee Chair
- Others as needed and recommended by the committee and approved by the President

## 502.3 RESPONSIBILITIES

### 3.1 Vice President for Advancement

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### 3.2 Office of University Advancement

The Office of University Advancement is responsible for monitoring and enforcing compliance with this policy and university Naming Procedures, subject to necessary approvals.

### 3.3 President, Deans, Development Officers, and University Advancement Staff

The president, deans, development officers, University Advancement staff, and any other employees, agents, or representatives engaged in fundraising for the University are responsible for conducting all fundraising activities in compliance with this policy and with the University Naming Procedures.

## 502.4 RELATED USU POLICIES

- Policy 524: Charitable Gift Acceptance and Crediting

## 502.5 DEFINITIONS

### 5.1 Facility

Facilities includes buildings, portions of buildings (such as classrooms, auditorium, foyer, and library), collections of buildings, monuments, fields, open air courtyards, streets, alleys, and other outdoor areas.

### 5.2 Organization

Organizations include a college, school, department, center or administrative unit.

### 5.3 Program

Programs include all academic programs, faculty chairs and professorships, and scholarships and fellowships.

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**Information below is not included as part of the contents of the official Policy.** It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

## RESOURCES

### Procedures

Naming Procedures

**Contacts**

Vice President for Advancement

## **POLICY HISTORY**

Original issue date: 1993/06/12

Last review date: 2020/02/26

Next scheduled review date: TBD

Previous revision dates: 1993/06/12, 2013/04/10