

Utah Valley University Board of Trustees Meeting
June 25, 2020
4:00pm MSFT Teams

Tab	Agenda	Notes
	<p><u>I. Information</u></p> <p>1. Oath of Office for Danielle Corbett, <i>Chair Duff Thompson</i></p> <p><u>A.</u> 2. Board of Trustees Engaged Learning Award, <i>Wayne Vaught, Provost and Vice President for Academic Affairs</i></p> <p style="margin-left: 20px;">a. 2019-20 Final Report Presentation – Lance Buck</p> <p style="margin-left: 20px;">b. 2020-21 Finalist Proposal Presentations</p> <p style="margin-left: 40px;">i. Abigail Passey</p> <p style="margin-left: 40px;">ii. Chandler Flinders</p> <p style="margin-left: 40px;">iii. Katia L’Ecuyer</p> <p><u>II. Action</u></p>	
	<p><u>B.</u> 1. Policies</p> <p style="margin-left: 20px;">a. Policy 102 University Governance Committees, <i>Val Peterson, VP for Finance and Administration</i></p> <p style="margin-left: 20px;">b. Policy 165 Discrimination, Harassment, and Affirmative Action, <i>Linda Makin, VP for PBHR</i></p> <p style="margin-left: 20px;">c. Policy 168 Complaints under the Utah Protection of Public Employees Act (Temp Emergency), <i>Linda Makin, VP for PBHR</i></p> <p style="margin-left: 20px;">d. Policy 357 Employee Tuition Remission, <i>Linda Makin, VP for PBHR</i></p> <p style="margin-left: 20px;">e. Policy 605 Curriculum Approval, <i>Anne Arendt, Faculty Senate President</i></p> <p style="margin-left: 20px;">f. Policy 635 Faculty Rights and Professional Responsibilities, <i>Wayne Vaught, Provost and VP for Academic Affairs</i></p>	
	<p><u>C.</u> 2. Requisitions, <i>Val Peterson, VP for Finance and Administration</i></p> <p style="margin-left: 20px;">a. FY2021 Standing Orders</p> <p style="margin-left: 20px;">b. Rebecca Lockhart Arena Locker Rooms</p>	
	<p><u>D.</u> 3. Academic Programs, <i>Wayne Vaught, Provost and VP for Academic Affairs</i></p> <p style="margin-left: 20px;">a. Change of Program Name: Secondary French Education to French Education</p> <p style="margin-left: 20px;">b. Program Deletion: AA/AS Integrated Studies</p> <p style="margin-left: 20px;">c. Program Deletion: Communication</p>	
	<p><u>E.</u> 4. Institutional Budgets, <i>Linda Makin, VP for PBHR</i></p> <p style="margin-left: 20px;">a. 2019-20 Education and General and Educational Disadvantaged Operating Revenue Revision</p> <p style="margin-left: 20px;">b. Restatement of 2018-19 Institutional Discretionary Actuals; 2019-20 Institutional Discretionary Budget Revision</p> <p style="margin-left: 20px;">c. 2020-21 Education and General, Educational Disadvantaged, and Fire and Rescue Training Operating Revenue & Expenditure Budget</p> <p style="margin-left: 20px;">d. 2020-21 Institutional Discretionary Operating Revenue and Expenditure Budget</p>	
	<p><u>F.</u> 5. Mission Fulfillment Report, <i>Linda Makin, VP for PBHR</i></p>	

III. Executive Session

(To strategically discuss character, professional competence, or physical or mental health of an individual and litigation which is pending or reasonably imminent.)

II. Action (Continued)

6. Rank Advancement, *Wayne Vaught, Provost and VP for Academic Affairs*

7. Sabbaticals, *Wayne Vaught, Provost and VP for Academic Affairs*

G. IV. Consent Calendar

1. Minutes of March 25, 2020

2. February, March, and April 2020 Investment Reports

I. Information (Continued)

3. Resolution of Appreciation for Taylor Bell, *Chair Duff Thompson*

4. Committee Updates

a. Academic Affairs, *Chair Paul Thompson*

b. Audit Committee, *Chair James Clarke*

H. 5. PACE Annual Report, *Nathan Gerber, PACE President*

6. President's Report, *President Astrid S. Tuminez*

a. Commencement, *Stephen Whyte, AVP for University Relations*

b. Return to Campus Update

Trustee Engaged Learning Award

Final Report to the UVU Board of Trustees

Lance Buck

The initial objective of this project was to create a computer learning algorithm which could differentiate between cancer cell types. Having this machinery would be an immense benefit to doctors when diagnosing whether a cancer is metastatic. When a patient gets a biopsy to test whether they have cancer, it takes one to two weeks for the biopsy to undergo preparation and examination, which is why it takes so long for the patient to get their results. If they do have metastatic cancer and it has not been completely removed, then this gives the cancer time to continue to grow and spread. However, the research I have been conducting has the potential to reduce that one to two week time frame to diagnose metastases into a matter of a few hours, thereby increasing cancer survival rate.

During my presentation for the Board of Trustees Scholarship last summer, I showed an image of Raman spectra of a raw chicken breast.^[1] This spectra had been taken using the microscope which Dr. Dustin Shipp's research team was in the process of building. An entire chicken breast had been used because we were still in the process of focusing our laser to cellular sizes. After some finishing touches, the laser can not only focus to cellular sizes, it can focus to subcellular levels many times smaller than the size of a cell.^[2] This allowed the research objective to be expanded from comparing cancer cell types, to also include determining whether the whole cell or a portion of the cell—such as nucleus or cytoplasm—would be a more reliable source for differentiating between cancer cell types.

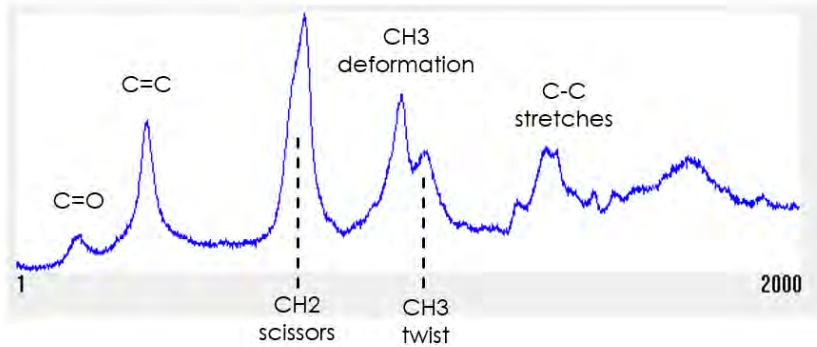
In February 2020, I had the opportunity to present this research at SPIE Photonics West, which is the largest international biomedical imaging conference. At that point, I had been comparing the pancreatic cancer cells with brain cancer cells and observing the Raman spectral differences between their nuclei^[3], cytoplasm^[4], and the cells as a whole^[5]. I was able to determine that the nucleus is the best location to differentiate between cancer cell types, and that taking spectra of the cell as a whole was the least reliable due to size and shape differences between different cell types. After presenting my research, I received advice on how to improve my research and results from other scientists who use Raman spectroscopy.

After the conference, I continued working to improve my data quality and results using the advice I had received. However, my work in comparing cancer cell types was put on hold due to the coronavirus. Instead, I began focusing on programming the software which would be needed later on. I worked with another student who was working on a similar project under Dr. Shipp which also required the use of a machine learning algorithm to compare cells. Currently, the machine learning algorithm is functioning but has some minor issues we are working to resolve.

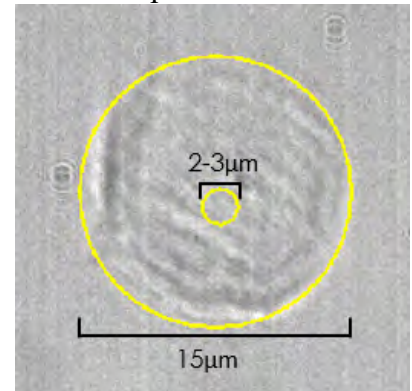
Once Utah Valley University opens Dr. Shipp's research lab, this research will continue to move forward in comparing the other cancer cell types and running the collected data through the machine learning algorithm.

Thank you for awarding the Board of Trustees Engaged Learning Scholarship. Your contribution allowed me to devote the majority of my time to this cancer cell research and as a result caused it progress much further than it would have otherwise.

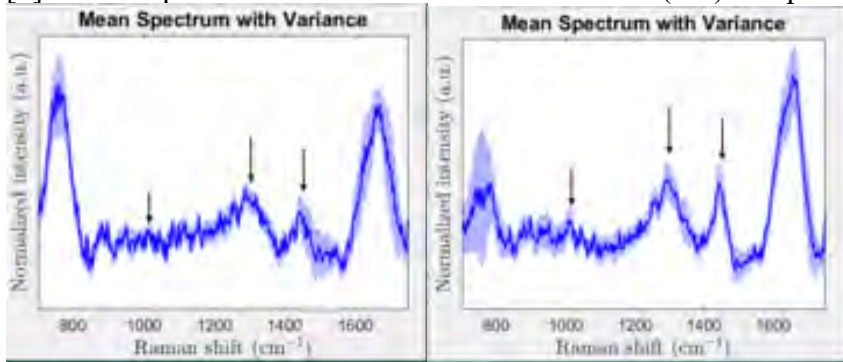
[1] Raman spectra of a raw chicken breast from previous presentation.



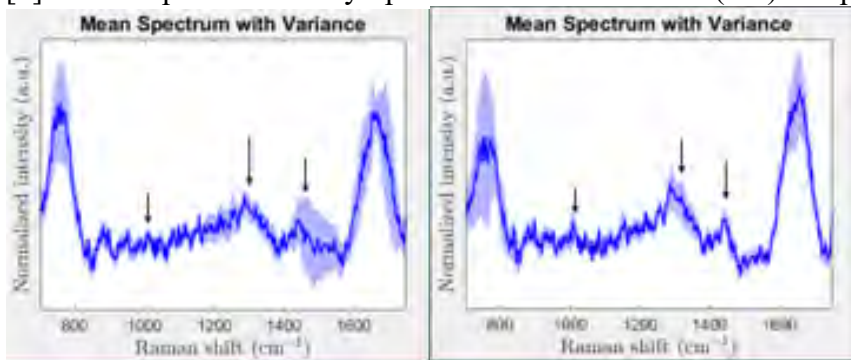
[2] Comparison of focal points used with a cancerous pancreatic cell.



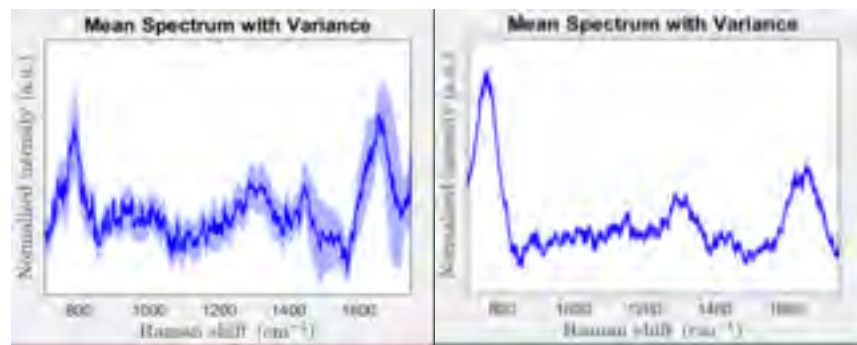
[3] Raman spectra of the nuclei of cancerous brain (left) and pancreas (right) cells.



[4] Raman spectra of the cytoplasm of cancerous brain (left) and pancreas (right) cells.



[5] Raman spectra of cancerous brain (left) and pancreas (right) cells.



Board of Trustee's Engaged Learning Award 2020 Finalists

1. **Katia L Ecuver**, "Inhibitory Effect of Probiotics on Streptococcus Agalactiae Serotypes"

Abstract:

Streptococcus agalactiae most commonly known as Group B streptococcus or GBS for short, are encapsulated gram-positive bacteria encountered in approximately 15-40% of pregnant women's urogenital and gastrointestinal tracts. While most women are asymptomatic, GBS colonization of newborns as they pass through the birth canal can lead to sepsis and is the leading cause of mortality and morbidity amongst infants in the United States. In recent years, several studies demonstrated the benefits of oral probiotics to promote a healthy vaginal flora and assessed the inhibitory activity of lactobacilli against urogenital pathogens. The purpose of our research is therefore, to examine the effect of Lactobacilli on the growth of different GBS serotypes in the vaginal environment.

In recent years, several studies demonstrated the benefits of oral probiotics to promote a healthy vaginal flora. The study by Struss et al. looked specifically at a mixture of lactobacilli and found that the ingested strains reached maximum colonization of vaginal and colonic epithelium within 30–60 days [5]. Juarez et al. had similar findings, they assessed the inhibitory activity of 38 lactobacillus vaginal strains against urogenital pathogens and suggested combinations of strains to include in probiotics products for women based on the pathogens, and includes data for streptococcus agalactiae [6].

By far one of the most pertinent research was performed by Ming et al. They studied 99 women who tested positive for GBS at 35-37 weeks of gestation and separated them into two groups. One group received 2 capsules of Lactobacillus rhamnosus GR-1 and Lactobacillus reuteri RC- 14, to take orally once a day until delivery, while the other received a placebo. They checked the women's status in labor and found that of the probiotic group 42.9% were now GBS negative, whereas only 18% were GBS negative in the control group.

Therefore, this research project proposes to look at a greater variety of probiotics to assess their effectiveness at reducing or eradicating GBS colonies while taking into consideration the strains contained in normal vaginal flora and the prevalence of GBS serotype found in Caucasian and Black U.S. women.

College of Science

Email address: 10805305@my.uvu.edu

Michaela Gazdik Stofer, Faculty Mentor

2. **Abigail Passey**, "Genetic Engineering of Cells for the Treatment of Autoimmune Diseases"

Abstract:

In the United States approximately 3 million people are living with rheumatoid arthritis (RA) and systemic lupus erythematosus (SLE). Approximately 75,000 of those patients represent pediatric cases. I aim to create a new drug delivery system with the intention of establishing a more feasible, stable, and effective form of administering treatments to those with the aforementioned autoimmune diseases, specifically focused on providing a more ideal treatment for juvenile patients. For the initial phase of the project, I have been working to engineer mammalian cells that will produce the fusion protein CTLA4-Ig, commonly known as abatacept, a current treatment for RA, and a potential treatment for SLE. Ideally, if I can complete my proof of concept stage, I aim to generate stably-transfected red blood cells (RBCs) to provide for consistent, long-term production of the drug. Causing RBCs to secrete CTLA4-Ig throughout the body would eliminate the need for regular injections of the drug, and thus potentially assist in improving the quality of pediatric patients' lives.

College of Science

Email address: 10835396@my.uvu.edu

Eric Domyan, Faculty Mentor

3. **Chandler Flinders, “UVU Baja All-wheel Drive”**

Abstract:

A career in mechanical engineering has been one of my top choices ever since I started exploring career options in middle school. In high school it became clear to me that I have a passion and talent for building, designing, and innovating. I designed and built longboards through high school and won second place in a state-wide automotive repair competition. Since then I have been fixatedly pursuing a degree in mechanical engineering.

I have a strong interest in personal transportation systems. Cars, motorcycles, boats, planes, bicycles. The list goes on. With the skills I learn while earning my mechanical engineering degree I hope to design and build such vehicles. I hope to introduce designs that simplify and improve their performance, manufacturability, and cost.

Finding experience to help me build my skills, specifically around personal transportation design has been difficult. Particularly because designing and building systems for such vehicles is expensive and requires considerable resources for both fabrication and design. I have recently jumped at the opportunity to participate on the UVU Baja team, designing and fabricating a small off-road vehicle. I see the UVU Baja program as a golden opportunity for me to develop skills directly related to my career goals because resources such as kinematics software, modeling software, machining tools, and shop space are available for me to use. Funding to design parts and systems for the project is a roadblock I still face.

My goal in applying for this engaged learning award is to find funding to allow me to be creative and explorative as I design an innovative new drivetrain system that can be used on the UVU Baja vehicle in 2020-2021. Going through the entire design process of such a complex system would be an invaluable learning experience and resume builder that would influence my career for years to come.

College of Engineering Technology
Email Address: chandlerflinders@gmail.com
Matthew Jensen, Faculty Mentor

URSCA Research, BoTs and TEELS Grant Application

Grant Requirements and Responsibilities.

All required parties must sign the form below to indicate they have read and understand UVU’s policies and procedures. The grantee must receive proper approval from the IRB if the project involves research concerning human subjects and will abide by all General Terms and Conditions of Grants*. Identifying any special terms and conditions at the outset is critical to assure appropriate post-award management of the grant. Acceptance of grant funds implies acceptance of these terms and conditions. Failure to comply will result in appropriate action relative to university policies and procedures. (e.g. if unauthorized funds are spent, those funds must be repaid through the grantee’s department or school). **It is the PI and Mentor’s responsibility to be aware of the funding timeline guidelines, requirements and restrictions, and that all funds not spent or encumbered by the June 30 deadline in accordance with grant policy will be forfeited and jeopardize future funding.**

*General Terms and Conditions of Grants

Acceptance of a grant to conduct an approved project obligates the receiver to use the funds as specified in the approved grant application and within university policy, state and/or federal regulations. Any change in the scope or direction of an approved project must be reported to the Office of Engaged Learning prior to implementing the change.

It is important that the grantee put in place a sound plan for maintaining appropriate documentation of expenses and expenditures at the outset of a project. A plan for reporting project outcomes should be completed as early as possible in the project.

All grant funds are to be used by June 30 of the year the grant is awarded unless otherwise specified in the grant request. If funds are needed to span two academic years to facilitate summer activities this must be clearly stated, to include amount and timing of needed funds, ex; \$500 in the current academic year and \$500 in the following academic year to be used in the summer months. This applies to all funds including travel. Travel MUST be completed by June 30 and no later, to include all paperwork, authorizations etc. If it will not be completed or paperwork, concur, authorizations etc. will not be completed it will not be funded in the current year and needs to have funds requested for the summer months in the next academic year. Any activities the go beyond summer will require a new application to be considered for funding.

This form is to be used to apply for the Undergraduate Research, Scholarship, and Creative Activity (URSCA) Research, Board of Trustee’s Engaged Learning Award (BoTs) or Turner Endowment for Stem (TEELS) funding.

Project Information

Grant Type (choose one): URSCA Research BoTs TEELS

Principal Investigator Name: (Last, First MI) Katia L'Ecuyer

UVID: 10805305

Phone Number: 8017391315

Email Address: 10805305@my.uvu.edu.com

Faculty Mentor: Michaela Gazdik Stofer

Faculty Mentor email address: gazdikmi@uvu.edu

Individual or Team Request (choose one): Team Individual

IMPORTANT: If more than one student is working on the same project, students must apply as a team.

Date Submitted: 1/29/2020

College (choose one): College of Science

Department (choose one): Biology

Project Title:

Inhibitory Effect of Probiotics on Streptococcus Agalactiae Serotypes

Project Abstract: (criteria: 1. Project has clearly stated objectives and outcomes that can be readily evaluated.

2. Project includes a product that significantly contributes to scholarship or creative work within its discipline. Higher priority will be given to products subject to some aspect of professional peer review extending beyond the confines of UVU campus.
3. Proposal is well written and organized, offering clear background, context, and outcomes to show how the project fits into the overall discipline, and how it contributes to that discipline in a meaningful and novel way. The proposal needs to be written clearly for readers outside of your discipline.
4. Project requires rigorous effort at the advanced undergraduate level.
5. Level of support indicated in faculty recommendation letter. Letter should address rubric items.)

Streptococcus agalactiae most commonly known as Group B streptococcus or GBS for short, are encapsulated gram-positive bacteria encountered in approximately 15-40% of pregnant women's urogenital and gastrointestinal tracts. While most women are asymptomatic, GBS colonization of newborns as they pass through the birth canal can lead to sepsis and is the leading cause of mortality and morbidity amongst infants in the United States. In recent years, several studies demonstrated the benefits of oral probiotics to promote a healthy vaginal flora and assessed the inhibitory activity of lactobacilli against urogenital pathogens. The purpose of our research is therefore, to examine the effect of Lactobacilli on the growth of different GBS serotypes in the vaginal environment.

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By far one of the most pertinent research was performed by Ming et al. They studied 99 women who tested positive for GBS at 35-37 weeks of gestation and separated them into two groups. One group received 2 capsules of Lactobacillus rhamnosus GR-1 and Lactobacillus reuteri RC-14, to take orally once a day until delivery, while the other received a placebo. They checked the women's status in labor and found that of the probiotic group 42.9% were now GBS negative, whereas only 18% were GBS negative in the control group.

Therefore, this research project proposes to look at a greater variety of probiotics to assess their effectiveness at reducing or eradicating GBS colonies while taking into consideration the strains contained in normal vaginal flora and the prevalence of GBS serotype found in Caucasian and Black U.S. women.

Purpose/Hypothesis? (What the project hopes to accomplish?)

The purpose of this research is to perform competition experiments between various strains of probiotics and streptococcus agalactiae serotypes to establish which probiotics, if any, could benefit pregnant women by increasing resistance to GBS colonization. Our research aims to fill a gap in the literature by focusing on the U.S. population and to assess for potential differences between Caucasian and African American women's vaginal flora.

Methodology (How the project will be conducted? If applicable, include details about data collection and data analysis, evaluation of project progress.)

The purpose of this research is to examine the effect of various *Lactobacillus* probiotic species on the growth of different GBS serotypes in the vaginal environment. Our first set of experiments will be to develop two mixed bacterial cultures containing bacterial species associated with the normal vaginal bacterial flora of either Caucasian Americans or African Americans. Previously published microbiome studies will be used to determine the dominant species in each population. Those species will be grown together in liquid broth using standard microbial growth techniques. The second set of experiments will be to determine how well strains of GBS are able to grow and survive when mixed in to the model vaginal cultures. This will provide a baseline regarding what strains of GBS could easily colonize the vagina in high levels when in competition with different normal flora communities. The third set of experiments will be to analyze the growth of GBS strains in the model vaginal communities when different species of probiotic *Lactobacilli* are added to the vaginal culture collection also. The data from the third set of experiments will be compared to the second set of experiments to identify probiotic species that prevent or slow the growth of GBS in a vaginal community.

Growth rates of GBS will be measured in multiple ways. Equal concentrations of vaginal flora organisms and GBS species will be mixed together and allowed to grow for various periods of time. Cultures will then be diluted and plated onto GBS selective media to count the number of GBS organisms present at the end of the incubation. GBS will also be grown individually for the same time periods and counted using the same methods as a noncompetition control. GBS levels can also be monitored using quantitative-PCR to molecularly detect and quantify the number of GBS found in the fixed liquid cultures at a variety of time points. Both methods will allow us to measure the growth rate in various communities and over various growth times. Often times bacterial competition occurs due to molecules produced and secreted by one species that prevent the growth of another. To study this we will also measure the growth of GBS by using a disk diffusion assay with the supernatant of our various mixed culture communities with and without probiotic species. The amount of GBS growth on an agar plate after exposure to these supernatants will be measured and compared between conditions. All experiments will be completed at least three times and comparisons will be statistically analyzed using an unpaired t-test to determine statistically significant changes in GBS growth.

Dissemination (How do you plan to disseminate the results, ie: conference, paper, poster?)

The dissemination will be based on the pertinence of the findings. At a minimum, we will present at the Utah Conference on Undergraduate Research (UCUR 2020) and at the National American Society for Microbiology (ASM 2021) conference. The hope remains that our findings will be significant enough to make a more substantial contribution allowing us to publish.

Discipline Importance (Please address how and why this project is meaningful to your discipline.)

As a licensed midwife, I treat patients for GBS daily and witness first-hand the challenges associated with intrapartum antibiotic prophylaxis and neonatal sepsis. This research is therefore of interest to the broader field of microbiology, but more specifically to the fields of obstetrics and neonatology. By determining which strains of probiotics are more likely to inhibit the growth and proliferation of *Streptococcus agalactiae* based on its serotype, an attempt can then be made to formulate probiotics as a preventative treatment. By limiting or eradicating GBS from the mother's flora, we could potentially limit or even prevent exposure and colonization of the newborn, therefore reducing the use of antibiotic prophylaxis and the risk of neonatal sepsis. It's also important to note that there are no known risks to oral probiotics consumption, it is merely used to attempt to restore the vaginal flora's balance by introducing strains that produce lactic acid and peroxides, which often also prove beneficial at reducing the risk of other urogenital pathogens, as well as thrush in the newborn.

Budget Request: \$2,000.00 Individual Project \$3,000.00 Team Project

Upload Budget Spreadsheet Here:



(You can access this document at https://www.uvu.edu/undergrad-research/student-research/docs/grant_timeline_budget_and_support.xlsx). You **MUST** meet with your Financial Manager to approve your budget prior to them signing it. The first sections are designated for the student(s) to fill out while consulting the mentor.

International Travel

Is International travel required: (select one) Yes No

By selecting yes the Office for Global Engagement will be notified of your intent to travel. If you have any questions regarding the requirements for international travel, please contact Carlos Alarco at Carlos.Alarco@uvu.edu or visit uvu.edu/global/faculty/intravelreg.html.

IRB

Does this research require IRB approval? (Select one) Yes No

If you selected yes, what is your IRB protocol number? N/A (IRB applications are submitted via Axiom Mentor, for more information please see the uvu.edu/IRB webpage.)

The below section is for Faculty Mentor use only

NOTE to MENTORS: In your statement of support below, please address the extent to which you believe the candidate can complete the project as described in the abstract. Please address the five criteria listed in the URSCA application: objectives clarity, project contribution to scholarship or creative work within its discipline, proposal organization, and rigorous efforts required at undergraduate level. In addition, **as a mentor, you are insuring that you are providing significant oversight and mentorship on the project and that it will be completed and funds will be expended as proposed.**

- Comment on the student's role in the proposal preparation in conceiving the proposed project and in preparing the proposal.

This project was conceived solely by Katia as it directly relates to her current and future career goals. Katia is a practicing midwife so has seen the affects of GBS infection on pregnancy and deals with a lot of GBS treatment and testing. She was interested in finding better ways to care for her patients since giving women antibiotics in the last trimester can have an impact on the infants microbiome at birth, which we are learning does have future health consequences. Katia did the background research to identify probiotics as a possible antibiotic alternative. She found articles doing similar in vitro culture work that she could use to model her research plan and came to me with a fully formed research idea. I have helped her by training her on the laboratory techniques and helping her with the study design but this project and proposal were developed and written solely by Katia.

- Comment on the thoroughness of the student's research (did they employ sufficient literature sources, sufficiently incorporate earlier results from related work, etc.)

In the spring 2019 Katia completed an independent study with me where she performed all the literature review, identified probiotic and GBS strains from other research, and developed the overall project. She was extremely thorough and organized in her literature review. She made her own tables to organize what bacterial isolates were used in each publication, what they found, and what populations were tested. Her depth and organization greatly simplified the process of trying to understand what is already known and where the research should go. Her literature review allowed us to select 10 probiotic strains and 5 GBS strains that would be important for her research. Katia also did all the background work to then identify where we could obtain those isolates from. This required searching various bacterial collections online and finding availability and cost for each. Previous grant funding she procured has supported obtaining the isolates, we will now need further funding to move her research project forward.

- Comment on the expected effort on the part of the student (i.e. estimated total hours of work by the student, level of student's autonomy vs. required supervision, etc.)

Katia is registered for two credits of research so she will be spending 6-10 hours per week doing work in the lab. This involves bench work for culturing the microorganisms and performing the experiments, as well as time for data recording, analysis and biweekly meetings with myself for discussion and troubleshooting. Katia is very independent. She has been trained on the techniques and will be working independently in the laboratory. In fact because of her delivery schedule as a midwife, she needs to be autonomous because often she needs to plan her work around when babies are being born. I am very comfortable with Katia's ability in the lab and she has shown herself to be very responsible and hard working. I will be assisting her with study design and methodology and we will meet biweekly to discuss her progress, and pitfalls and plans for the next set of work. Any dissemination of data (publication/presentation) will be generated by Katia with revisions by myself.

- Comment on the student's level of preparation, creativity, enthusiasm, and motivation for conducting the proposed work.)

This project is directly connected to health problems that Katia sees every day with her midwife practice so she is extremely enthusiastic and motivated to complete this research. I see her extreme level of enthusiasm every week as she keeps finding additional research articles and coming up with additional avenues of research she wants to explore. This also highlights her creativity in that she is developing these study questions on her own. Katia will spend the needed time, energy, and investment on this proposal as she is very prepared and invested in the project. I consider her one of my most motivated students.

- How long have you known the student(s) and in what capacity?

I have known Katia for a year and a half both as her professor and as her research mentor. I first got to know Katia when she took BIOL1610 from me last year. She was interested in research and approached me with this idea of studying the affect of probiotics on GBS so we set up an independent study for her to do the literature review and futher develop her research questions and project. Katia has been completing research with me since last summer which is why I can enthusiastically support her project and know she will remain focused on the work for the remainder of her college career.

- In light of the student's career plans, what impact will the proposed project have on the student's learning and development? (e.g. problem-solving, development skills, etc.)

Independent research is known to develop students critical thinking and data analysis abilities .It also improves communication skills and their confidence to be in the science field. Katia is planning to go to medical school as she wants to advance from a midwife to an ObGyn. Her work on this project, from planing through to dissemination will give her a competitive advantage when applying to medical school and the skills she learns while working on the project will help her succeed in school and in her future career. Additionally, the topic of her research directly relates to her chosen field. Data learned from this project can influence the types of probiotics she suggests to her patients and may improve their, and their infants, health outcomes.

- Please describe the impact of the project on the discipline and other initiatives within the department.

The medical community is just beginning to learn about the health affects of your individual microbial flora on your overall health, and that flora is more important for health and disease than previously recognized. GBS infection does not affect grown adults, however it can be transmitted to infants during birth, where it then causes severe health problems. Because of this transmission risk, pregnant women are tested for GBS in their last trimester and given antibiotics for treatment. However, those antibiotics will also influence the microbiome of the woman and her infant, possibly in ways that lead to higher risk of chronic diseases in the future. A mechanism to treat or prevent GBS without the use of antibiotics would be extremely beneficial to the medical community. Katia's work is the first steps to deciding what probiotics would be the most beneficial. Additionally, the biology department strongly encourages independent research with our students. It is a high impact practice that greatly influences their college success so initiatives like this are highly supported by the department.

- Other information you feel relevant to the committee when reviewing the application.

Katia is an extremely bright, well-organized, personable young woman who is in the top 1% of students I have worked with over my 11 year career. She will be a future success for UVU and I highly support her work.

Principal Investigator

I have read and understand all requirements of the grant and accept responsibility for the proper use of funds and completion of the project as outlined in the proposal, as well as completing all final reporting requirements should I be awarded.

Printed Name: Katia L'Ecuyer Signature: Katia L'Ecuyer Date: 1/29/2020

Faculty Mentor

I understand the scope of this project and fully support it.

Comments:

I will continue to mentor Katia throughout this project.

Printed Name: Michaela Gazdik Stofer Phone: 801-863-6908 Email: gazdikmi@uvu.edu

Signature: Michaela Gazdik-Stofer Date: 1/30/20

Financial Manager

I have reviewed this proposal and agree that it conforms to the budget rules of the University.

Comments:

I have reviewed the budget requested for this proposal with Katia and it is within university guidelines.

Printed Name: Kerri Howlett

Phone: 8980

Email: KHowlett@uvu.edu

Signature: *Kerri Howlett*

Date: 01/29/2020

Department Chair

I understand the scope of this project and the time commitment of the faculty mentor and fully support it.

Comments:

This is a very interesting project that will provide an excellent opportunity for this student to do meaningful research. I fully support this project.

Printed Name: James Price

Phone: 8013624974

Email: Pricejm@uvu.edu

Signature: **James Price**

Date: 01/31/2020

Undergraduate Research and Creative Works Grant Budget Request Form

Project Title:					
Project Leader:	Katia L'Ecuyer				
Project Mentor (if applicable):	Michaela Gazdik Stofer				
Date:	1/27/2020				
Total Budget request*:	\$	5,927.20			
Grant (Select One):	<input type="checkbox"/> Faculty Grants <input type="checkbox"/> Students' Grants				
	<input type="checkbox"/> Seed <input type="checkbox"/> URSCA	<input type="checkbox"/> Short-Term (10K) <input checked="" type="checkbox"/> BoTS	<input type="checkbox"/> Community <input type="checkbox"/> TEELS	<input checked="" type="checkbox"/> Quick	<input checked="" type="checkbox"/> PFFS

BUDGET & JUSTIFICATION					
ITEM DESCRIPTION	Detailed Description of the expense (i.e. Budget Justification)	Expected Date of expenditure*	COST	QUANTITY	TOTAL
Students Salaries** (\$/hr, total hours)	Salary will be provided for 60 hours of work	Summer 2020	\$14.00	60.00	\$ 840.00
Students' Benefits (8%)			\$67.20	1.00	\$ 67.20
Faculty Salary (Adjunct Rate)	N/A in students' Grants		\$0.00	0.00	\$ -
Faculty Benefits (22% adjunct Rate)			\$0.00	0.00	\$ -
Materials and Supplies	Bacterial growth supplies (\$2000) – The	Throughout Grant	\$4,000.00	1.00	\$ 4,000.00
Equipment			\$0.00	0.00	\$ -
Students' Travel	Presentation at ASM Microbe (\$2000) – This	Spring 2021			
Domestic	estimated airfare to Anaheim		\$400.00	1.00	\$ 400.00
Conference Registration	ASM Microbe student registration		\$350.00	1.00	\$ 350.00
Lodging	Estimated four night hotel (90/night)		\$90.00	3.00	\$ 270.00
Food	Estimated food for 5 days \$50/day		\$0.00	0.00	\$ -
Faculty Travel	N/A in students' Grants				
Domestic			\$0.00	0.00	\$ -
International			\$0.00	0.00	\$ -
Lodging			\$0.00	0.00	\$ -
Transportation			\$0.00	0.00	\$ -
Consultant Services			\$0.00	0.00	\$ -
Computer Services			\$0.00	0.00	\$ -
Other***			\$0.00	0.00	\$ -
Total			\$4,921.20	\$67.00	\$ 5,927.20

* All expenses MUST be spent before 30th June.

**Insert under cost the \$/hr, and under quantity, insert the total number of hours)

***Explain other

FYI: Budget Checklist

- Clearly delineate project costs to be met by funding source
- Explain any calculations, and check for accuracy
- Provide justification for expenses
- Include credible and realistic costs
- Describe matching funds, if applicable
- Does your budget accurately reflect the project plan?

TIMELINE*
TASKS
Award
Project Start
Multi-species competition experiments conducted
Cell culture experiments piloted
Data analysis finalized
Presentation at ASM Microbe
Project End, Final report to BoT

**Please, add the important milestones, such travel (domestic or international), reassign time...etc.*

*** Any remaining funds after 30 June will be withdrawn from the awarded index.*

START	END	Location (this is important for travel activities)
May-18	May-18	
Jul-20		
Jul-20	Dec-20	Orem, UT
Dec-20	Feb-21	Orem, UT
Dec-20	May-21	Orem, UT
Jun-21	Jun-21	Anaheim, CA
	Jun-20	

APPENDIX (upload any supporting documents)		
FILE NAME	DESCRIPTION	LOCATION attachment / link
Budget Justificatio	Budget Justificatio	https://uvu.box.com/s/37wqhsrt77ev047

Provide a list of supp
Adopt a clear namii
Provide functioning
Have you attached

Sorting documents

Naming convention for files

links, if applicable

all required documentation?

URSCA Research, BoTs and TEELS Grant Application

Grant Requirements and Responsibilities.

All required parties must sign the form below to indicate they have read and understand UVU’s policies and procedures. The grantee must receive proper approval from the IRB if the project involves research concerning human subjects and will abide by all General Terms and Conditions of Grants*. Identifying any special terms and conditions at the outset is critical to assure appropriate post-award management of the grant. Acceptance of grant funds implies acceptance of these terms and conditions. Failure to comply will result in appropriate action relative to university policies and procedures. (e.g. if unauthorized funds are spent, those funds must be repaid through the grantee’s department or school). **It is the PI and Mentor’s responsibility to be aware of the funding timeline guidelines, requirements and restrictions, and that all funds not spent or encumbered by the June 30 deadline in accordance with grant policy will be forfeited and jeopardize future funding.**

*General Terms and Conditions of Grants

Acceptance of a grant to conduct an approved project obligates the receiver to use the funds as specified in the approved grant application and within university policy, state and/or federal regulations. Any change in the scope or direction of an approved project must be reported to the Office of Engaged Learning prior to implementing the change.

It is important that the grantee put in place a sound plan for maintaining appropriate documentation of expenses and expenditures at the outset of a project. A plan for reporting project outcomes should be completed as early as possible in the project.

All grant funds are to be used by June 30 of the year the grant is awarded unless otherwise specified in the grant request. If funds are needed to span two academic years to facilitate summer activities this must be clearly stated, to include amount and timing of needed funds, ex; \$500 in the current academic year and \$500 in the following academic year to be used in the summer months. This applies to all funds including travel. Travel MUST be completed by June 30 and no later, to include all paperwork, authorizations etc. If it will not be completed or paperwork, concur, authorizations etc. will not be completed it will not be funded in the current year and needs to have funds requested for the summer months in the next academic year. Any activities the go beyond summer will require a new application to be considered for funding.

This form is to be used to apply for the Undergraduate Research, Scholarship, and Creative Activity (URSCA) Research, Board of Trustee’s Engaged Learning Award (BoTs) or Turner Endowment for Stem (TEELS) funding.

Project Information

Grant Type (choose one): URSCA Research BoTs TEELS

Principal Investigator Name: (Last, First MI) Chandler Flinders

UVID: 10631334

Phone Number: 8018548015

Email Address: chandlerflinders@gmail.com

Faculty Mentor: Matthew Jensen

Faculty Mentor email address: Matt.Jensen@uvu.edu

Individual or Team Request (choose one): Team Individual

IMPORTANT: If more than one student is working on the same project, students must apply as a team.

Date Submitted: 01/29/2020

College (choose one): College of Engineering and Technology

Department (choose one): Engineering Technology

Project Title:

UVU Baja All-wheel Drive

Project Abstract: (criteria: 1. Project has clearly stated objectives and outcomes that can be readily evaluated.

2. Project includes a product that significantly contributes to scholarship or creative work within its discipline. Higher priority will be given to products subject to some aspect of professional peer review extending beyond the confines of UVU campus.
3. Proposal is well written and organized, offering clear background, context, and outcomes to show how the project fits into the overall discipline, and how it contributes to that discipline in a meaningful and novel way. The proposal needs to be written clearly for readers outside of your discipline.
4. Project requires rigorous effort at the advanced undergraduate level.
5. Level of support indicated in faculty recommendation letter. Letter should address rubric items.)

A career in mechanical engineering has been one of my top choices ever since I started exploring career options in middle school. In high school it became clear to me that I have a passion and talent for building, designing, and innovating. I designed and built longboards through high school and won second place in a state-wide automotive repair competition. Since then I have been fixatedly pursuing a degree in mechanical engineering.

I have a strong interest in personal transportation systems. Cars, motorcycles, boats, planes, bicycles. The list goes on. With the skills I learn while earning my mechanical engineering degree I hope to design and build such vehicles. I hope to introduce designs that simplify and improve their performance, manufacturability, and cost.

Finding experience to help me build my skills, specifically around personal transportation design has been difficult. Particularly because designing and building systems for such vehicles is expensive and requires considerable resources for both fabrication and design. I have recently jumped at the opportunity to participate on the UVU Baja team, designing and fabricating a small off-road vehicle. I see the UVU Baja program as a golden opportunity for me to develop skills directly related to my career goals because resources such as kinematics software, modeling software, machining tools, and shop space are available for me to use. Funding to design parts and systems for the project is a roadblock I still face.

My goal in applying for this engaged learning award is to find funding to allow me to be creative and explorative as I design an innovative new drivetrain system that can be used on the UVU Baja vehicle in 2020-2021. Going through the entire design process of such a complex system would be an invaluable learning experience and resume builder that would influence my career for years to come.

Purpose/Hypothesis? (What the project hopes to accomplish?)

The goal of this project is to design a drive train that is light, strong, and capable of driving all four wheels on a vehicle. The proposed solution is to implement four-wheel steering to eliminate differential wheel speeds that require all-wheel drive vehicles with front only steering to include multiple differentials.

Generally, because the outside wheels of a vehicle spin more quickly than the inside wheels during turning events, a vehicle must have a differential unit on the drive axle to allow the vehicle to turn smoothly. A vehicle that needs to drive all four wheels on a high traction surface, such as pavement, requires a third differential to decouple the speed of the front axle from the speed of the rear. Differentials are heavy, highly complex, and expensive to manufacture parts.

The outcome of my research is anticipated to be a drivetrain that uses a single differential on the entire vehicle. If symmetrical four-wheel steering is used instead of conventional front wheel steering, the front and rear wheel speeds and axle speeds will always be the same. This eliminates the need for two of the three differentials and introduces a drive train that includes both the traction of a four-wheel drive system and the on-pavement drivability of an all-wheel drive system. Decreased weight, complexity and improved operating efficiency are all benefits. Additionally, four-wheel steering will increase maneuverability and allow for the use of higher steering ratios to decrease steering fatigue on the driver.

The downsides of four-wheel steering such as instability at high speed already have well developed commercial solutions implemented on high end cars from Audi, Porsche, and BMW. On the Mini Baja this may not be an issue due to its relatively low top speed.

Methodology (How the project will be conducted? If applicable, include details about data collection and data analysis, evaluation of project progress.)

My research will consist of 5 segments over the year of the grant (with approximate completion dates):

Research (07/01/2020)- Investigation of current four-wheel steering systems and their difficult design points

Modeling (09/01/2020)- Design of the single differential drive train using a 3D modeling program to virtually simulate its operation

Analysis (10/01/2020)- Mathematical and simulated stress analysis of the components to prove operational strength

Prototyping (02/01/2021)- Purchase of materials and self-fabrication or professional fabrication of the drivetrain components

Assembly and Testing (03/01/2021)- Installation of the drivetrain in the Baja vehicle to test its functionality, strength, and handling

Dissemination (How do you plan to disseminate the results, ie: conference, paper, poster?)

The results and details of this project will be presented in a formal presentation in front of SAE judges.

Discipline Importance (Please address how and why this project is meaningful to your discipline.)

If successful, the design of a single differential All-wheel drive vehicle could impact the entire automotive industry by simplifying the complex and heavy components needed to implement four-wheel drive into cars and off-road vehicles. Additionally, it can be a means of increased acknowledgement of the UVU engineering program. Bringing an innovative, interesting, and successful product to the SAE Baja competition will attract students and companies such as Bosch, Kawasaki, Ford, and many others to investigate UVU.

Budget Request: \$2,000.00 Individual Project \$3,000.00 Team Project

Upload Budget Spreadsheet Here:



(You can access this document at https://www.uvu.edu/undergrad-research/student-research/docs/grant_timeline_budget_and_support.xlsx). You **MUST** meet with your Financial Manager to approve your budget prior to them signing it. The first sections are designated for the student(s) to fill out while consulting the mentor.

International Travel

Is International travel required: (select one) Yes No

By selecting yes the Office for Global Engagement will be notified of your intent to travel. If you have any questions regarding the requirements for international travel, please contact Carlos Alarco at Carlos.Alarco@uvu.edu or visit uvu.edu/global/faculty/intravelreg.html.

IRB

Does this research require IRB approval? (Select one) Yes No

If you selected yes, what is your IRB protocol number? N/A (IRB applications are submitted via Axiom Mentor, for more information please see the uvu.edu/IRB webpage.)

The below section is for Faculty Mentor use only

NOTE to MENTORS: In your statement of support below, please address the extent to which you believe the candidate can complete the project as described in the abstract. Please address the five criteria listed in the URSCA application: objectives clarity, project contribution to scholarship or creative work within its discipline, proposal organization, and rigorous efforts required at undergraduate level. In addition, **as a mentor, you are insuring that you are providing significant oversight and mentorship on the project and that it will be completed and funds will be expended as proposed.**

- Comment on the student's role in the proposal preparation in conceiving the proposed project and in preparing the proposal.

Chandler prepared the entire proposal himself. He sent me a draft a couple days ago, which I reviewed and gave him some feedback. As for the concept, he came up with the concept based on the need for the UV Baja team to meet new 4 wheel drive requirement for next year. While the general concept was not developed by him, he came up with the proposed design himself.

- Comment on the thoroughness of the student's research (did they employ sufficient literature sources, sufficiently incorporate earlier results from related work, etc.)

Chandler performed what I would consider a reasonable literature review in coming up with his proposal. While not equivalent to what I would expect from a grad student, I was pleased with his thoroughness. He will still have some more work to do on that end upon award of the grant in order to move forward on his design.

- Comment on the expected effort on the part of the student (i.e. estimated total hours of work by the student, level of student's autonomy vs. required supervision, etc.)

Chandler has proposed a fairly ambitious project that will span the bulk of a year. Outside of the design challenges, there will be significant testing and refining of the design necessary to ensure success. Most of the work can be done without supervision, although I will have Chandler check in with me on a regular interval outside of specific questions he has as he moves forward,

- Comment on the student's level of preparation, creativity, enthusiasm, and motivation for conducting the proposed work.)

Chandler is a highly motivated student with a passion for automotive design. He has been working on the current UVU Baja project to gain knowledge and experience and has been a great contributor to the senior capstone project, despite not being a senior. I know Chandler will put the time and effort in necessary to be successful.

- How long have you known the student(s) and in what capacity?

I had Chandler in my ME 3010 Linear Systems course last semester and have him again in my ME 490R Vibrations elective course. I have gotten to know him well through class and further through being involved with the UVU Baja project. I feel I have a very good understanding of his performance and abilities both inside and outside the classroom.

- In light of the student's career plans, what impact will the proposed project have on the student's learning and development? (e.g. problem-solving, development skills, etc.)

SAE Baja is a great project as it requires the students to complete the entire engineering design process. The students not only have to apply the knowledge they learn in the classroom, but work effectively in teams, manage a large scale project, develop new skills not taught in any class, and understand the business side of engineering by creating a business plan for their design. There are few better activities outside of the classroom for engineering students to participate in.

- Please describe the impact of the project on the discipline and other initiatives within the department.

As a brand new B.S. degree at UVU, the mechanical engineering program is focused on growth and accreditation. A successful Baja project will aid in both of those initiatives. SAE competitions are recognized around the world as high quality projects showing the students engineering abilities. An off road racing vehicle also makes a great marketing tool for recruiting new students to the program and getting more students, including under-represented students, interested in mechanical engineering.

- Other information you feel relevant to the committee when reviewing the application.

I fully support Chandler and his proposed project. I believe it will be an ambitious undertaking for an undergraduate project, but I believe Chandler is capable and will have the support of myself, the engineering department, and his fellow UV Baja teammates to ensure his success.

Principal Investigator

I have read and understand all requirements of the grant and accept responsibility for the proper use of funds and completion of the project as outlined in the proposal, as well as completing all final reporting requirements should I be awarded.

Printed Name: Chandler Flinders Signature: Chandler Flinders Date: 01/29/2020

Faculty Mentor

I understand the scope of this project and fully support it.

Comments:

See above sections

Printed Name: Matthew Jensen Phone: x4663 Email: Matt.Jensen@uvu.edu

Signature: Matt Jensen Date: 1/30/2020

Financial Manager

I have reviewed this proposal and agree that it conforms to the budget rules of the University.

Comments:

Signing in place of Susan Dunn

Printed Name: Shelly Andrus

Phone: 8337

Email: landrus@uvu.edu

Signature: Shelly Andrus

Date: 1-30-2020

Department Chair

I understand the scope of this project and the time commitment of the faculty mentor and fully support it.

Comments:

I strongly support this project. This project provides a great opportunity for this student.

Printed Name: Afsaneh Minaie

Phone: 801-863-6391

Email: minaieaf@uvu.edu

Signature: Afsaneh Minaie

Date: 1-30-2020

Undergraduate Research and Creative Works Grant Budget Request Form

Project Title:	UVU Baja All-wheel Drive
Project Leader:	Chandler Flinders
Project Mentor (if applicable):	Dr. Matt Jensen
Date:	1/28/2020
Total Budget request*: Grant (Select One):	\$ 6,000.00
Faculty Grants	<input type="checkbox"/> Seed <input type="checkbox"/> Short-Term (10K) <input type="checkbox"/> Community <input checked="" type="checkbox"/> Quick <input checked="" type="checkbox"/> PFFS
Students' Grants	<input type="checkbox"/> URSCA <input checked="" type="checkbox"/> BoTS <input type="checkbox"/> TEELS

BUDGET & JUSTIFICATION					
ITEM DESCRIPTION	Detailed Description of the expense (i.e. Budget Justification)	Expected Date of expenditure*	COST	QUANTITY	TOTAL
Students Salaries** (\$/hr, total hours)			\$0.00	0.00	\$ -
Students' Benefits (8%)			\$0.00	0.00	\$ -
Faculty Salary (Adjunct Rate)	N/A in students' Grants		\$0.00	0.00	\$ -
Faculty Benefits (22% adjunct Rate)			\$0.00	0.00	\$ -
Materials and Supplies	Aluminum Stock and sheet(\$600), Differential (\$800), Chains and Sprockets (\$800), Half Shafts x4 (\$1200), Rack and Pinion x2 (\$400), Assorted connectors and joints (\$200)	10/1/2020	\$4,000.00	1.00	\$ 4,000.00
Equipment	Electronic Sensors and force/displacement measurement systems	12/1/2020	\$1,000.00	1.00	\$ 1,000.00
Students' Travel					
Domestic			\$0.00	0.00	\$ -
International			\$0.00	0.00	\$ -
Lodging			\$0.00	0.00	\$ -
Transportation			\$0.00	0.00	\$ -
Faculty Travel	N/A in students' Grants				
Domestic			\$0.00	0.00	\$ -
International			\$0.00	0.00	\$ -
Lodging			\$0.00	0.00	\$ -
Transportation			\$0.00	0.00	\$ -
Consultant Services	Laser Cutting (\$300), CNC Machining (\$800)	10/1/2020	\$1,000.00	1.00	\$ 1,000.00
Computer Services			\$0.00	0.00	\$ -
Other***			\$0.00	0.00	\$ -
Total			\$6,000.00	\$3.00	\$ 6,000.00

* All expenses MUST be spent before 30th June.

**Insert under cost the \$/hr, and under quantity, insert the total number of hours)

***Explain other

FYI: Budget Checklist

- Clearly delineate project costs to be met by funding source
- Explain any calculations, and check for accuracy
- Provide justification for expenses
- Include credible and realistic costs
- Describe matching funds, if applicable
- Does your budget accurately reflect the project plan?

TIMELINE*
TASKS
Award
Project Start (Resarch)
Milestone 1 (Modeling)
Milestone 2 (Analysis)
Milestone 3 (Prototyping)
Milestone 4 (Assembly and Testing)
Project End (i.e. End of Grant**)

**Please, add the important milestones, such travel (domestic or international), reassign time...etc.*

*** Any remaining funds after 30 June will be withdrawn from the awarded index.*

START	END	Location (this is important for travel activities)
May-18	May-18	
Jul-20	Aug-20	
Aug-20	Sep-20	
Sep-20	Oct-20	
Oct-20	Jan-21	
Jan-21	Mar-21	
	Jun-21	

APPENDIX (upload any supporting documents)		
FILE NAME	DESCRIPTION	LOCATION attachment / link

Provide a
Adopt a c
Provide fu
Have you

list of supporting documents

clear naming convention for files

functioning links, if applicable

attached all required documentation?

URSCA Research, BoTs and TEELS Grant Application

Grant Requirements and Responsibilities.

All required parties must sign the form below to indicate they have read and understand UVU's policies and procedures. The grantee must receive proper approval from the IRB if the project involves research concerning human subjects and will abide by all General Terms and Conditions of Grants*. Identifying any special terms and conditions at the outset is critical to assure appropriate post-award management of the grant. Acceptance of grant funds implies acceptance of these terms and conditions. Failure to comply will result in appropriate action relative to university policies and procedures. (e.g. if unauthorized funds are spent, those funds must be repaid through the grantee's department or school). **It is the PI and Mentor's responsibility to be aware of the funding timeline guidelines, requirements and restrictions, and that all funds not spent or encumbered by the June 30 deadline in accordance with grant policy will be forfeited and jeopardize future funding.**

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It is important that the grantee put in place a sound plan for maintaining appropriate documentation of expenses and expenditures at the outset of a project. A plan for reporting project outcomes should be completed as early as possible in the project.

All grant funds are to be used by June 30 of the year the grant is awarded unless otherwise specified in the grant request. If funds are needed to span two academic years to facilitate summer activities this must be clearly stated, to include amount and timing of needed funds, ex; \$500 in the current academic year and \$500 in the following academic year to be used in the summer months. This applies to all funds including travel. Travel MUST be completed by June 30 and no later, to include all paperwork, authorizations etc. If it will not be completed or paperwork, concur, authorizations etc. will not be completed it will not be funded in the current year and needs to have funds requested for the summer months in the next academic year. Any activities the go beyond summer will require a new application to be considered for funding.

This form is to be used to apply for the Undergraduate Research, Scholarship, and Creative Activity (URSCA) Research, Board of Trustee's Engaged Learning Award (BoTs) or Turner Endowment for Stem (TEELS) funding.

Project Information

Grant Type (choose one): URSCA Research BoTs TEELS

Principal Investigator Name: (Last, First MI) Abigail Passey

UVID: 10835396

Phone Number: 2624083226

Email Address: 10835396@my.uvu.edu.com

Faculty Mentor: Eric Domyan

Faculty Mentor email address: eric.domyan@uvu.edu

Individual or Team Request (choose one): Team Individual

IMPORTANT: If more than one student is working on the same project, students must apply as a team.

Date Submitted: 1/29/20

College (choose one): College of Science

Department (choose one): Biology

Project Title:

Genetic engineering of cells for the treatment of autoimmune diseases

Project Abstract: (criteria: 1. Project has clearly stated objectives and outcomes that can be readily evaluated.

2. Project includes a product that significantly contributes to scholarship or creative work within its discipline. Higher priority will be given to products subject to some aspect of professional peer review extending beyond the confines of UVU campus.
3. Proposal is well written and organized, offering clear background, context, and outcomes to show how the project fits into the overall discipline, and how it contributes to that discipline in a meaningful and novel way. The proposal needs to be written clearly for readers outside of your discipline.
4. Project requires rigorous effort at the advanced undergraduate level.
5. Level of support indicated in faculty recommendation letter. Letter should address rubric items.)

In the United States approximately 3 million people are living with rheumatoid arthritis (RA) and systemic lupus erythematosus (SLE). Approximately 75,000 of those patients represent pediatric cases. I aim to create a new drug delivery system with the intention of establishing a more feasible, stable, and effective form of administering treatments to those with the aforementioned autoimmune diseases, specifically focused on providing a more ideal treatment for juvenile patients. For the initial phase of the project, I have been working to engineer mammalian cells that will produce the fusion protein CTLA4-Ig, commonly known as abatacept, a current treatment for RA, and a potential treatment for SLE. Ideally, if I can complete my proof of concept stage, I aim to generate stably-transfected red blood cells (RBCs) to provide for consistent, long-term production of the drug. Causing RBCs to secrete CTLA4-Ig throughout the body would eliminate the need for regular injections of the drug, and thus potentially assist in improving the quality of pediatric patients' lives.

Purpose/Hypothesis? (What the project hopes to accomplish?)

As mentioned previously, CTLA4-Ig is a fusion protein molecule that was originally created as a treatment for RA patients. It has also recently been viewed as a potential treatment for SLE. In patients with RA and SLE, there is an overproduction of CD4+ T cells. CTLA4-Ig works to prevent overproduction of T cells by acting as a negative regulator of T cell activation (Fiocco et. al, 2008, pp. 76-82). CTLA4-Ig is an ideal treatment for patients suffering from RA and SLE, as it functions to modulate T cell activation and function, rather than completely suppressing such (Najafian & Sayegh, 2000, pp. 2147-2157). Ultimately, CTLA4-Ig is superior to alternate immunotherapies, as the drug regulates immune responses, instead of stopping the entire immune system from working.

Currently, abatacept is administered to patients via regular infusions. Engineering mature RBCs to produce the drug would make it a more permanent method of treatment, meaning that juvenile patients could potentially reduce the frequency of doctor visits, and therefore provide an opportunity whereby they could live a more "normal" childhood.

Methodology (How the project will be conducted? If applicable, include details about data collection and data analysis, evaluation of project progress.)

Thus far, I have completed and verified success of the molecular cloning necessary to create the recombinant molecule, successfully induced expression of the fusion protein in mammalian cell lines COS-7 and B16F10 via lipofections, and optimized lipofection conditions. Currently, I am working to generate a line of B16F10 cells that have successfully incorporated the recombinant plasmid into their genomes. Once cells have integrated the recombinant DNA into their genome, their progeny will also contain the target sequence, and thus, long-term expression of the gene will be induced in the B16F10s. After generating these stably transfected foci, I will test for cellular production of CTLA4-Ig via immunostaining and Western blots. If I am able to cause these mammalian cell lines to secrete the fusion protein, I will move on to the genetic engineering of murine RBCs.

This summer I will be returning to Dr. Jun Wu's lab, a stem cell lab that I worked in last summer, at the University of Texas Southwestern Medical Center. While there, I aim to utilize the resources available to me at that academic center, such as lentiviruses, mice, and fluorescence-activated cell sorting machines, to reprogram myeloid and lymphoid progenitors, as well as myeloid effector cells, into the desired iHSCs. If I can generate the iHSCs in the lab there, I will then work to culture those cells here at UVU so that they will massively proliferate, differentiate into explicitly RBC progenitors, and go on to generate stably-transfected RBC-progenitor foci that give rise to the genetically modified RBCs. After identifying the optimal stage in erythropoiesis at which to transfect the progenitors, and thereby generating the target cells, I will then run analyses to examine their levels of protein expression and production.

Dissemination (How do you plan to disseminate the results, ie: conference, paper, poster?)

I will be presenting a poster with all the data generated thus far at the Utah Conference for Undergraduate Research in February, in addition to the annual American Physician-Scientists Association joint meeting in April. If I can secure the additional funding needed to genetically engineer RBCs, and am successful in my efforts to generate these modified cells, I intend to publish a paper with my findings and methodologies in an academic journal. I will also disseminate any findings obtained in creating these genetically altered RBCs at additional conferences.

Discipline Importance (Please address how and why this project is meaningful to your discipline.)

As a biotechnology major and chemistry minor intending to complete a Medical Scientist Training Program post-graduation, hands-on research is extremely valuable. Continuing to work in the laboratory would allow me to further apply my knowledge of biotechnology that I am learning about in the classroom in a way that few other opportunities can. I will be able to continue gaining first-hand exposure to common biotechnological tools and processes, such as lipid-based transfections, cell culture techniques, and running assays to analyze protein expression and production. Additionally, I would be able to gain a greater level of mastery with stem cells, an advanced technology that is becoming increasingly more pertinent in the fields of science and medicine alike. Ultimately, receiving the BoTs grant would allow me to not only continue acquiring skills and experience critical for excelling in a demanding scientific education and career as a physician-scientist, but would also allow me, as a patient living with both RA and SLE, to be able to contribute to the creation of a new plausible treatment for other patients suffering with more severe forms of the diseases.

Budget Request: \$2,000.00 Individual Project \$3,000.00 Team Project

Upload Budget Spreadsheet Here:



(You can access this document at https://www.uvu.edu/undergrad-research/student-research/docs/grant_timeline_budget_and_support.xlsx). You **MUST** meet with your Financial Manager to approve your budget prior to them signing it. The first sections are designated for the student(s) to fill out while consulting the mentor.

International Travel

Is International travel required: (select one) Yes No

By selecting yes the Office for Global Engagement will be notified of your intent to travel. If you have any questions regarding the requirements for international travel, please contact Carlos Alarco at Carlos.Alarco@uvu.edu or visit uvu.edu/global/faculty/intravelreg.html.

IRB

Does this research require IRB approval? (Select one) Yes No

If you selected yes, what is your IRB protocol number? N/A (IRB applications are submitted via Axiom Mentor, for more information please see the uvu.edu/IRB webpage.)

The below section is for Faculty Mentor use only

NOTE to MENTORS: In your statement of support below, please address the extent to which you believe the candidate can complete the project as described in the abstract. Please address the five criteria listed in the URSCA application: objectives clarity, project contribution to scholarship or creative work within its discipline, proposal organization, and rigorous efforts required at undergraduate level. In addition, **as a mentor, you are insuring that you are providing significant oversight and mentorship on the project and that it will be completed and funds will be expended as proposed.**

- Comment on the student's role in the proposal preparation in conceiving the proposed project and in preparing the proposal.

Abbi conceived of this project idea entirely on her own. After she crafted it, I provided some minor input. After working on research for over a year, there is no doubt that Abbi knows more about the

- Comment on the thoroughness of the student's research (did they employ sufficient literature sources, sufficiently incorporate earlier results from related work, etc.)

Abbi has thoroughly researched the areas of stem cell derivation and differentiation, and will be working in a stem cell lab over the summer. This lab has already offered to help Abbi derive the desired stem cell lines, which she plans to utilize when she returns to UVU in the fall.

- Comment on the expected effort on the part of the student (i.e. estimated total hours of work by the student, level of student's autonomy vs. required supervision, etc.)

Abbi has progressed to the point where she is nearly completely autonomous in her research. I provide some input and guidance from time to time, but she is more well-educated in the field of immunology and stem-cell biology than I am now.

- Comment on the student's level of preparation, creativity, enthusiasm, and motivation for conducting the proposed work.)

Abbi is one of the most well-prepared and enthusiastic students I have mentored. Very few research students initiate research with their own clearly-defined project already in mind. Not only has Abbi done this, but she has determined the logical next steps of her experiment and is already planning on how to best accomplish those.

- How long have you known the student(s) and in what capacity?

I have known Abbi for 2 years as her research mentor and teacher for Genetics (BIOL 3500) and DNA Manipulation and Analysis (BTEC 2010).

- In light of the student's career plans, what impact will the proposed project have on the student's learning and development? (e.g. problem-solving, development skills, etc.)

Abbi is already determined to pursue a MD/PhD program, and this project will definitely provide her with many of the skills and habits of mind she will need in such a program. The experience will certainly strengthen her application, and will greatly facilitate her goal of becoming a research physiciation.

- Please describe the impact of the project on the discipline and other initiatives within the department.

Very few labs in the world are pursuing the idea of engineering red blood cells to provide therapeutic substances for individuals with immune disorders. If Abbi is successful, I think many other labs and companies will be interested in learning the process from her.

- Other information you feel relevant to the committee when reviewing the application.

Abbi is a remarkably ambitious students. Other students have had higher grades than Abbi, but few if any have pursued research with as much enthusiasm and dedication as she has.

Principal Investigator

I have read and understand all requirements of the grant and accept responsibility for the proper use of funds and completion of the project as outlined in the proposal, as well as completing all final reporting requirements should I be awarded.

Printed Name: Abigail Passey Signature: Abigail Passey Date: 1/29/20

Faculty Mentor

I understand the scope of this project and fully support it.

Comments:

This is a well-designed project, and I am happy to support it.

Printed Name: Eric Domyan Phone: 8018635422 Email: eric.domyan@uvu.edu

Signature: Eric Domyan Date: 01/29/2020

Financial Manager

I have reviewed this proposal and agree that it conforms to the budget rules of the University.

Comments:

I have reviewed the budget requested for this proposal with Abigail and it is within university guidelines.

Printed Name: Kerri Howlett

Phone: 8980

Email: KHowlett@uvu.edu

Signature: Kerri Howlett

Date: 01/29/20

Department Chair

I understand the scope of this project and the time commitment of the faculty mentor and fully support it.

Comments:

I am really impressed by the cutting-edge research the student is doing. It's incredibly interesting and important. I fully support this project.

Printed Name: James Price

Phone: 801 863 7447

Email: Pricejm@uvu.edu

Signature: James Price

Date: 01/31/2020

Undergraduate Research and Creative Works Grant Budget Request Form

Project Title:	Genetic engineering of cells for the treatment of autoimmune diseases
Project Leader:	Abigail Passey
Project Mentor (if applicable):	Dr. Eric Domyan
Date:	1/25/2020
Total Budget request*:	\$ 6,000.00
Grant (Select One):	<input type="checkbox"/> Faculty Grants <input type="checkbox"/> Students' Grants
	<input type="checkbox"/> Seed <input type="checkbox"/> URSCA
	<input type="checkbox"/> Short-Term (10K) <input checked="" type="checkbox"/> BoTS
	<input type="checkbox"/> Community <input type="checkbox"/> TEELS
	<input type="checkbox"/> Quick <input type="checkbox"/> PFFS

BUDGET & JUSTIFICATION					
ITEM DESCRIPTION	Detailed Description of the expense (i.e. Budget Justification)	Expected Date of expenditure*	COST	QUANTITY	TOTAL
Students Salaries** (\$/hr, total hours)	This project will require approximately 200 hours of work over the course of the academic year.	August 2020 - June 2021	\$10.00	200.00	\$ 2,000.00
Students' Benefits (8%)		August 2020 - June 2021	\$160.00	1.00	\$ 160.00
Faculty Salary (Adjunct Rate)	N/A in students' Grants		\$0.00	0.00	\$ -
Faculty Benefits (22% adjunct Rate)			\$0.00	0.00	\$ -
Materials and Supplies	Media and its needed constituents for culturing the induced hematopoietic stem cells; reagents for lipofection and molecular cloning; supplies for running protein analyses	August 2020 - June 2021	\$3,840.00	1.00	\$ 3,840.00
Equipment			\$0.00	0.00	\$ -
Students' Travel					
Domestic			\$0.00	0.00	\$ -
International			\$0.00	0.00	\$ -
Lodging			\$0.00	0.00	\$ -
Transportation			\$0.00	0.00	\$ -
Faculty Travel	N/A in students' Grants				
Domestic			\$0.00	0.00	\$ -
International			\$0.00	0.00	\$ -
Lodging			\$0.00	0.00	\$ -
Transportation			\$0.00	0.00	\$ -
Consultant Services			\$0.00	0.00	\$ -
Computer Services			\$0.00	0.00	\$ -
Other***			\$0.00	0.00	\$ -
Total			\$4,010.00	\$202.00	\$ 6,000.00

* All expenses MUST be spent before 30th June.

**Insert under cost the \$/hr, and under quantity, insert the total number of hours)

***Explain other

FYI: Budget Checklist

- Clearly delineate project costs to be met by funding source
- Explain any calculations, and check for accuracy
- Provide justification for expenses
- Include credible and realistic costs
- Describe matching funds, if applicable
- Does your budget accurately reflect the project plan?

TIMELINE*
TASKS
Generating iHSCs at the University of Texas Southwestern Medical Center
Genetically engineering the iHSCs to become RBCs that produce the fusion protein at Utah Valley University

**Please, add the important milestones, such travel (domestic or international), reassign time...etc.*

*** Any remaining funds after 30 June will be withdrawn from the awarded index.*

START	END	Location (this is important for travel activities)
May-20	Aug-20	
Aug-20	Jun-21	

APPENDIX (upload any supporting documents)

FILE NAME

Letter of support from Dr. Jun Wu at the University of Texas Southwestern Medical Center



Jan 27th, 2020
Abigail Passey
Utah Valley University
Orem, UT 84058

RE: Letter of Support for Genetic Engineering of Cells for Treatment of Autoimmune Diseases


Dear Utah Valley University Board of Trustees,

My name is Jun Wu and I am an assistant professor in the Department of Molecular Biology at UT Southwestern Medical Center. My lab is mainly focused on using pluripotent stem cells for basic and translational research. I have spoken with Ms. Abigail Passey regarding her desire to reprogram murine blood cell progenitors into induced hematopoietic stem cells (iHSCs). Please consider this letter an official confirmation that I am aware and approve of her proposed research project to be conducted this summer in my laboratory. While here, Ms. Passey will have access to the murine peripheral blood required to obtain the relevant progenitors, fluorescence-activated cell sorting (FACS) machines for the sorting and analyses of the blood cells, and resources for the production and transduction of lentiviruses to reprogram the isolated progenitors into iHSCs.

Having worked in my lab last summer, I am familiar with Ms. Passey's passion for science, particularly that of stem cell research. I believe that she has done substantial preparation for the next phases of her individual research project. If provided the resources, I am confident that Ms. Passey will be very capable of generating the iHSCs in my lab to be used for further experimentation at Utah Valley University.

Sincerely,

Jun Wu, Ph.D.
Assistant Professor
Virginia Murchison Linthicum Scholar in Medical Research
Department of Molecular Biology
UT Southwestern Medical Center

DESCRIPTION	LOCATION attachment / link
	
	C:\Users\passe\ Downloads\Letter of support-
	Abigail.pdf

Provide a list of supporting documents



UVU BOARD OF TRUSTEES
Agenda Item Coversheet

DATE:	June 21, 2020
TITLE:	UVU Policy 102 <i>University Governance Committees</i>
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Val Peterson, VP for Finance and Administration
SUBJECT:	UVU Policy 102 <i>University Governance Committees</i>
BACKGROUND:	<p>Policy 102 was first approved on September 17, 1992; since then, Utah Valley University has undergone major changes in governance structure, and the roles/scope of university committees, boards, and councils have changed. The current policy needed to be updated to provide direction for defining and delineating the procedures for creating, maintaining, and disbanding governing and advisory bodies. Updating this policy will streamline shared governance at UVU and make the process more effective and transparent. The new policy:</p> <ol style="list-style-type: none"> 1) Created a robust set of definitions for university councils, committees, and boards, with further sub-categories for standing, ad hoc, advisory, or executive roles. 2) Established procedures for an online approval system for creating, maintaining, and disbanding governing bodies. 3) Established an online database to house information on current committees, their charge, their scope, membership makeup, and reporting duties. This will add transparency to the shared governance process.
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve UVU Policy 102 <i>University Governance Committees</i> for entrance into the UVU Policy Manual.” • Amend and approve, “I move to approve, as amended, UVU Policy 102 <i>University</i>

	<p><i>Governance Committees</i> for entrance into the UVU Policy Manual.”</p> <ul style="list-style-type: none">• No action, “I move that we go to the next agenda item.”
FINANCIAL IMPACT:	
EXHIBITS:	a. Policy 102



UTAH VALLEY UNIVERSITY Policies and Procedures

Proposed Policy Number and Title: 102 University Governance Committees		
Existing Policy Number and Title: 102 Establishing and Disbanding Committees		
Approval Process*		
<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Temporary Emergency	<input type="checkbox"/> Expedited
<input type="checkbox"/> New	<input type="checkbox"/> New	<input type="checkbox"/> New
<input checked="" type="checkbox"/> Revision	<input type="checkbox"/> Revision	<input type="checkbox"/> Revision
<input type="checkbox"/> Deletion	<input type="checkbox"/> Suspension	
	Anticipated Expiration Date:	
*See UVU Policy 101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date: <u>June 11, 2020, Stage 4 Draft</u>
President's Council Sponsor: <u>Val Peterson, President Tuminez</u> Ext. _____
Policy Steward: <u>Jacob Atkin, Sam Winterton</u> Ext. _____

POLICY APPROVAL PROCESS DATES	
<p>Policy Drafting and Revision Entrance Date: <u>4/3/2018</u></p> <p>University Entities Review Entrance Date: <u>3/19/2020</u> Close Feedback: <u>5/14/2020</u></p> <p>University Community Review Entrance Date: <u>5/28/2020</u> Open Feedback: <u>5/28/2020</u> Close Feedback: <u>6/8/2020</u></p> <p>Board of Trustees Review Entrance Date: <u>6/11/2020</u> Approval Date: _____</p>	<p style="text-align: center;">POST APPROVAL PROCESS</p> <p>Verify:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Policy Number <input type="checkbox"/> Section <input type="checkbox"/> Title <input type="checkbox"/> BOT approval <input type="checkbox"/> Approval date <input type="checkbox"/> Effective date <input type="checkbox"/> Proper format of Policy Manual posting <input type="checkbox"/> TOPS Pipeline and Archives update <p>Policy Office personnel who verified and posted this policy to the University Policy Manual</p> <p>Name: _____</p> <p>Date posted and verified: _____</p>



UTAH VALLEY UNIVERSITY Policies and Procedures

POLICY TITLE	University Governance Committees	Policy Number	102
Section	Governance, Organization, and General Information	Approval Date	
Subsection	Governance and Organization	Effective Date	
Responsible Office	Office of the President		

1.0 PURPOSE

1.1 This policy defines university-wide governance committees, including the establishment, management, and disbandment of these committees.

2.0 REFERENCES

- 2.1** Utah Code §53B-2, *State System of Higher Education, Institutions of Higher Education*
- 2.2** Utah State Board of Regent’s Policy R201 *Presidents’ Responsibility to the System, the Assigned Institution, and for Legislative Relation*
- 2.3** Utah State Board of Regents Policy R220 *Delegation of Responsibilities to the President and Board of Trustees*
- 2.4** Utah State Board of Regents’ Policy R223 *Faculty and Staff Participation in Board of Trustees Meetings*
- 2.5** UVU Policy 101 *Policy Governing Policies*
- 2.6** UVU Policy 103 *Constitution of the Faculty Senate of Utah Valley University*

3.0 DEFINITIONS

- 3.1 Academic Affairs Council:** The university entity convened by the Provost and comprised of academic executives. This council makes and conveys to the campus community the official decisions and positions of UVU’s academic executives.
- 3.2 Board of Regents:** The Board of Regents is the governing body for the Utah System of Higher Education (USHE). The Utah Legislature grants it the power to control, manage, and supervise USHE.



UTAH VALLEY UNIVERSITY Policies and Procedures

3.3 Board of Trustees: The Board of Trustees acts on behalf of the University in performing duties, responsibilities, and functions as specifically authorized by the Board of Regents and statute.

3.4 Committees: For purpose of this policy, committees include committees, councils, boards, and associations with delegated governance authority.

3.5 Faculty Senate: The university entity convened by the Faculty Senate president and that conveys to the university community, including the Board of Trustees, the official opinions and positions of the faculty (excluding adjunct faculty).

3.6 President's Council: The President's Council is a governing body convened by the university president and plays a central role in university governance.

3.7 Professional Association of Campus Employees (PACE): The university entity convened by the PACE president and that makes and conveys to the campus community, including the Board of Trustees, the official opinions and positions of all full-time and part-time staff (excluding student employees and executives).

3.8 University governance committees: Committees formed by and given delegated governance authority, as defined in the committee's charter, by a university governance entity.

3.9 University governance entities: University-established governance bodies that include Faculty Senate, Professional Association of Campus Employees (PACE), Utah Valley University Student Association (UVUSA), Academic Affairs Council, and President's Council.

3.10 Utah Valley University Student Association (UVUSA): UVUSA is the university entity that conveys to the university community, including the Board of Trustees, the official opinions and positions of the student body.

4.0 POLICY

4.1 Hierarchy of Policy and Policy Interpretation

4.1.1 University governance committees may be comprised of faculty, staff, students, and/or administrators to provide consultation, deliberation, discussion, and/or take action within the scope of delegated governance authority, as defined in the committee's charter.

4.1.2 To the extent that any other university policies address the role of committees in university governance, this policy takes precedence and control.

4.1.3 Committees not established in accordance with this policy have no governance authority.

4.2 Authority and Responsibility of University Governance Entities



UTAH VALLEY UNIVERSITY Policies and Procedures

4.2.1 Within their area of authority, each university governance entity is responsible for determining who has the authority to create a university governance committee in accordance with section 5.1. Each entity is responsible for the oversight and management of the university governance committees they have established and ensures these committees are functioning properly.

4.3 For their established university governance committees, university governance entities are responsible for determining who serves on university governance committees and for ensuring that each university governance committee complies with all compensatory and other employment laws and policies.

5.0 Procedures

5.1 Formation of University Governance Committees

5.1.1 Each university governance committee shall submit and maintain a committee charter that contains the purpose, duration, scope of decision-making authority, and membership information. Each committee charter shall receive approval from the appropriate university governance entity and must comply with appropriate guidelines associated with this policy.

5.1.2 The university governance entities, in accordance with their guidelines associated with this policy, shall regularly review and make appropriate revisions to established charters.

5.2 Management and Review of University Governance Committees

5.2.1 All university governance committees are subject to review and accountability reporting under the direction of their sponsoring university governance entity. These university governance committees shall submit any reports required by their university governance entity or other entities that have oversight authority over the university governance committee.

5.2.2 If a committee wishes to make changes to its charter, it must submit those changes to its university governance entity for review and approval in accordance with their guidelines associated with this policy.

5.3 Disbandment of University Governance Committees

5.3.1 University governance entities may disband university governance committees under their jurisdiction in accordance with their guidelines, at any time, and for any nondiscriminatory reason.



UTAH VALLEY UNIVERSITY Policies and Procedures

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity
September 17, 1992	Approved.	UVU Board of Trustees
	Regular policy revision approved.	UVU Board of Trustees



UTAH VALLEY UNIVERSITY Policies and Procedures

1

POLICY TITLE	Establishing and Disbanding Committees	Policy Number	102
Section	Governance, Organization, and General Information	Approval Date	September 17, 1992
Subsection	Governance and Organization	Effective Date	September 17, 1992
Responsible Office	Office of the President		

1.0 PURPOSE

2.0 REFERENCES

3.0 DEFINITIONS

2.1 Ad Hoc or Special Project Committees: Committees established for a short term, specific purpose and whose organization is dissolved when that purpose is accomplished.

2.2 Standing Committees: Committees established for the purpose of advising or conducting decision-making activities of the University; these committees are convened on a regular long-term basis until or unless they are suspended or disbanded by the President.

4.0 POLICY

4.1 Standing Committees

4.1.1 The President may establish such standing committees or make such changes in the general membership, responsibilities, or function of a standing committee as the President may deem necessary for the effective operation of the University.

4.1.2 The President may suspend or disband any standing committee of the University.

4.2 Ad Hoc and Special Project Committees

4.2.1 The President or any of the vice presidents may establish ad hoc or special project committees.

4.2.2 Individual decision makers may establish ad hoc or special project committees for purposes specific to their jurisdiction.

5.0 PROCEDURES

POLICY HISTORY

September 17, 1992	Approved.	UVU Board of Trustees
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**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 21, 2020
TITLE:	<i>Policy 165 Discrimination, Harassment, and Affirmative Action</i>
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Linda Makin, VP, Planning, Budget, and HR
SUBJECT:	<i>Policy 165 Discrimination, Harassment, and Affirmative Action</i>
BACKGROUND:	<p>Policy 165 prohibits discrimination on the basis of all protected classes except sex (Policy 162 prohibits discrimination of the basis of sex). Technical revisions offer clearer phrasing and updated nomenclature. Substantively, the policy has been revised to allow parties to (1) request a live hearing to contest the ultimate conclusions reached in the preceding investigation, (2) have full access to evidence and reports before the hearing. These changes ensure constitutional due process. Additional changes are anticipated in the near term as UVU implements the new federal Title IX rule. Future changes will attempt to align (to the extent practical) our antidiscrimination policies' language and processes.</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, "I move to approve Policy 165 <i>Discrimination, Harassment, and Affirmative Action.</i>" • Amend and approve, "I move to approve, as amended, Policy 165 <i>Discrimination, Harassment, and Affirmative Action.</i>" • No action, "I move that we go to the next agenda item..."
FINANCIAL IMPACT:	[Bottom line financial impact to the University.]
EXHIBITS:	a. Policy 165 Clean Copy

	b. Policy 165 Copy with Changes Showing
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UTAH VALLEY UNIVERSITY Policies and Procedures

Proposed Policy Number and Title: 165 Discrimination, Harassment, and Affirmative Action		
Existing Policy Number and Title: 165 Discrimination, Harassment, and Affirmative Action (Temporary Emergency)		
Approval Process*		
<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Temporary Emergency	<input type="checkbox"/> Expedited
<input type="checkbox"/> New	<input type="checkbox"/> New	<input type="checkbox"/> New
<input checked="" type="checkbox"/> Revision	<input type="checkbox"/> Revision	<input type="checkbox"/> Revision
<input type="checkbox"/> Deletion	<input type="checkbox"/> Suspension	
	Anticipated Expiration Date:	
*See UVU Policy 101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date: <u>Regular process, Proposed Stage 4 Draft, 6/04/2020</u>
President's Council Sponsor: <u>Linda Makin</u> Ext. _____
Policy Steward: <u>Laura Carlson, Jeremy Knee</u> Ext. _____

POLICY APPROVAL PROCESS DATES	
<p>Policy Drafting and Revision Entrance Date: <u>05/23/2019</u></p> <p>University Entities Review Entrance Date: <u>02/27/2020</u> Close Feedback: <u>04/23/2020</u></p> <p>University Community Review Entrance Date: <u>05/28/2020</u> Open Feedback: <u>05/28/2020</u> Close Feedback: <u>06/08/2020</u></p> <p>Board of Trustees Review Entrance Date: <u>06/11/2020</u> Approval Date: _____</p>	<p style="text-align: center;">POST APPROVAL PROCESS</p> <p>Verify:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Policy Number <input type="checkbox"/> Section <input type="checkbox"/> Title <input type="checkbox"/> BOT approval <input type="checkbox"/> Approval date <input type="checkbox"/> Effective date <input type="checkbox"/> Proper format of Policy Manual posting <input type="checkbox"/> TOPS Pipeline and Archives update <p>Policy Office personnel who verified and posted this policy to the University Policy Manual Name: _____ Date posted and verified: _____</p>



UTAH VALLEY UNIVERSITY Policies and Procedures

POLICY TITLE	Discrimination, Harassment, and Affirmative Action	Policy Number	165
Section	Governance, Organization, and General Information	Approval Date	
Subsection	Individual Rights	Effective Date	
Responsible Office	Human Resources, Academic Affairs, Student Affairs, Office of the President		

1.0 PURPOSE

1.1 Utah Valley University is committed to maintaining a respectful and safe environment for its students, faculty, staff, and visitors. This policy defines and prohibits all forms of unlawful discrimination, harassment, and retaliation. Sexual misconduct is addressed separately and exclusively in UVU Policy 162 *Sexual Misconduct*. This policy establishes expectations for university community members and campus visitors; details how to report a violation of this policy; and outlines investigation, disciplinary, and due process procedures for addressing reported violations of this policy. This policy applies to all persons employed by or affiliated with Utah Valley University in any way and persons participating in any university program, service, or activity, including but not limited to trustees, administrators, faculty, staff, students, independent contractors, volunteers, and guests or visitors to a university campus or any property owned or leased by the University.

2.0 REFERENCES

- 2.1 *Americans with Disabilities Act (ADA)* (as amended)
- 2.2 Title VII of the *Civil Rights Act of 1964* (Title VII)
- 2.3 Title IV of the *Higher Education Amendments Act of 1972* (Title IV)
- 2.4 Title VI of the *Higher Education Amendments Act of 1972* (Title VI)
- 2.5 *Rehabilitation Act of 1973*, Section 504
- 2.6 Utah Code § 63G-2 *Government Records Access and Management Act (GRAMA)*
- 2.7 Utah State Board of Regents' Policy R256 *Student Disciplinary Processes*
- 2.8 UVU Policy 161 *Freedom of Speech*



UTAH VALLEY UNIVERSITY Policies and Procedures

2.9 UVU Policy 162 *Sexual Misconduct*

2.10 UVU Policy 361 *Leave of Absence*

2.11 UVU Policy 541 *Student Code of Conduct*

2.12 UVU Policy 601 *Classroom Instruction and Management*

3.0 DEFINITIONS

3.1 Complainant, victim, or alleged victim: An individual who has allegedly experienced discrimination, harassment, or retaliation in violation of university policy. The University may also be a complainant. Use of these terms does not imply that a finding of discrimination, harassment, or retaliation is assumed or made before an investigation has been completed.

3.2 Discrimination: For purposes of this policy, adverse action towards university employees or students in the terms or conditions of employment; university admission or education; access to university programs, services, or activities; or other university benefits or services on the basis of inclusion or perceived inclusion (in the case of disability, sexual orientation, gender identity, or gender expression) in one or more of the protected classes that has the effect of denying or limiting participation in university employment or in a university program or activity.

3.3 EO/AA Director: Director of Equal Opportunity and Affirmative Action.

3.4 Harassment: For purposes of this policy, any unwelcome verbal, physical, written, electronic, or non-verbal conduct (whether directly, indirectly, or through a third party) based on that person's inclusion in one or more protected classes that is sufficiently severe, persistent, or pervasive to alter the conditions of employment of an employee or to limit, interfere with, or deny educational benefits or opportunities of a student, from both a subjective and objective viewpoint based on a totality of the circumstances, including but not limited to the frequency and severity of the conduct, whether the conduct was physically threatening or humiliating, the effect of the conduct on the individual's mental or emotional state, whether the conduct was directed at more than one person, whether the conduct arose in the context of other discriminatory conduct, and whether the speech or conduct deserves the protections of academic freedom or the First Amendment.

3.5 OEO/AA: UVU's Office for Equal Opportunity and Affirmative Action.

3.6 Party: Complainant or respondent.

3.7 Preponderance of the evidence: The evidentiary standard used during a discrimination, harassment, retaliation investigation/review to determine if the allegations occurred and if a university policy violation has occurred. Preponderance of evidence means it is more likely than not, or more than 50 percent in favor, that the misconduct occurred as alleged.



UTAH VALLEY UNIVERSITY Policies and Procedures

3.8 Protected classes: Race, color, religion, national origin, sex, sexual orientation, gender identity, gender expression, age (40 and over), disability, veteran status, pregnancy, childbirth, or pregnancy-related conditions, genetic information, or other bases protected by applicable federal, state, or local law.

3.9 Respondent: The individual against whom an alleged complaint of discrimination, harassment, or retaliation in violation of university policy has been made. Use of these terms does not imply that a finding of discrimination, harassment, or retaliation is assumed or made before an investigation has been completed.

3.10 Retaliation: An action, performed directly or through others, that is aimed to dissuade a reasonable person from engaging in a protected activity or is done in retribution for engaging in a protected activity. Action in response to a protected activity is not retaliatory unless (1) it has a materially adverse effect on the working, academic, or other university-related environment of an individual and (2) it would not have occurred in the absence of (but for) the protected activity. Examples of protected activities include reporting (internally or externally) a complaint of protected class discrimination or harassment in good faith, assisting others in making such a report, or honestly participating as an investigator, witness, decision maker, or otherwise assisting, in an investigation or proceeding related to suspected protected class discrimination or harassment.

3.11 Sexual misconduct: Sexual misconduct includes acts of, or attempts of, dating and relationship violence; domestic violence; discrimination based on sex, pregnancy, pregnancy-related conditions, sexual orientation, gender identity, or gender expression; hostile environment based on sex, pregnancy, pregnancy-related conditions, sexual orientation, gender identity, or gender expression (including intimidation and hazing/bullying); sexual harassment; sexual assault; sexual exploitation (including engaging in sexual trafficking); and stalking as defined by state and federal law. (See UVU Policy 162 *Sexual Misconduct*.)

3.12 University community members: All persons employed by or affiliated with Utah Valley University in any way and persons participating in any university program or activity, including but not limited to trustees, advisory board members, administrators, faculty, staff, students, independent contractors, volunteers, and guests or visitors to any university campus or any property owned or leased by the University.

4.0 POLICY

4.1 Scope of Policy

4.1.1 This policy applies to all persons employed by or affiliated with Utah Valley University in any way and persons participating in any university program or activity, including but not



UTAH VALLEY UNIVERSITY

Policies and Procedures

limited to trustees, administrators, faculty, staff, students, independent contractors, volunteers, and guests or visitors to a university campus or any property owned or leased by the University (sometimes referred to as “third parties”). To the extent that any other university policies address protected class discrimination, harassment, or retaliation that is not sexual misconduct, this policy and its procedures govern and control. Policy 162 *Sexual Misconduct* separately and exclusively addresses sexual misconduct, as defined in Policy 162 and section 3.11 of this policy.

4.1.2 The President of the University, or designee, shall appoint a Director of Equal Opportunity and Affirmative Action (EO/AA Director). The EO/AA Director oversees the Office for Equal Opportunity and Affirmative Action (OEO/AA) and also serves as the Title IX Coordinator to provide training and education about discrimination and harassment to the university community. The EO/AA Director or designee is responsible for overseeing the receipt and investigation of reports and complaints of discrimination, harassment, and retaliation in accordance with this policy and applicable laws.

4.2 Policy Statement

4.2.1 The University prohibits all forms of protected class discrimination, harassment, and retaliation that violate Title VII of the *Civil Rights Act of 1964* (Title VII), Title IV of the *Higher Education Amendments Act of 1972* (Title IV), Title VI of the *Higher Education Amendments Act of 1972* (Title VI), or related applicable laws. The University shall respond promptly and effectively to reports of protected class discrimination, harassment, and retaliation and shall take appropriate action to stop and prevent the recurrence of such conduct on the complainant and/or the university community.

4.2.2 The University affirmatively endeavors to provide equal opportunity consistent with applicable law in all recruitment, admissions, and employment-related activities, procedures, and decisions. Administrators, faculty, staff, or students exercising recruitment, admissions, or employment-related management responsibilities are required to take vigorous and appropriate action to ensure that all university practices and decisions for which they are responsible are made without prohibited discrimination, harassment, or retaliation.

4.2.3 All employment-related practices and decisions shall be instituted and administered in a fair and equitable manner, using only legally valid, job-related criteria and standards, including but not limited to experience, training, education, skills, and potential for successful job performance.

4.2.4 The University endeavors to provide reasonable accommodations and to ensure equal access to qualified university job applicants, employees, or students with disabilities, to those with sincerely held religious beliefs, and to those who are pregnant or who have pregnancy-related conditions, who are requesting accommodations, unless doing so would create an undue hardship on the University and/or compromise legitimate academic or technical standards, course



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objectives, or educational goals. The University also complies with applicable law in providing military leave and other exceptions to qualifying employees and students.

4.2.5 Nothing in the policy shall be construed in a manner that impinges on the rights or privileges of individuals protected by the US Constitution, including their protected free speech rights, as set forth in UVU Policy 161 *Freedom of Speech*.

4.2.6 Nothing in this policy shall be interpreted to alter the status of employees who are otherwise at will.

4.2.7 In applying this UVU Policy 165 to students, the University shall comply with Utah State Board of Regents' Policy R256 *Student Disciplinary Processes*, which sets forth minimum standards of due process for student disciplinary processes related to nonacademic matters that may result in either expulsion or a minimum 10-day suspension.

4.3 Prohibited Conduct

4.3.1 Violations of this policy include acts of protected class discrimination, harassment, and retaliation within the meaning of Title VII, Title IV, Title VI, or related applicable laws.

4.3.2 The University shall respond promptly and effectively to reports of protected class discrimination, harassment, and retaliation and shall take appropriate action to stop and prevent the recurrence of such conduct on the complainant and/or the university community.

4.3.3 The University shall take steps to prevent retaliation and shall take strong, responsive action to threats or acts of retaliation.

4.3.4 Individuals who, in bad faith, deliberately make false or malicious accusations of violation of this policy shall be subject to disciplinary action, up to and including termination of employment and/or expulsion from the University. A finding of no violation by the investigator(s) does not in itself constitute proof of a false or malicious accusation.

4.3.5 The University may discipline any person who is found to have violated this policy, up to and including termination of employment and/or expulsion from the University.

4.4 Investigations and Disciplinary Proceedings

4.4.1 The University shall provide prompt, fair, and impartial investigations and disciplinary proceedings. During these proceedings, both the complainant and the respondent shall be provided equitable rights and opportunities, as outlined in these procedures.

4.4.2 The University is committed to ensuring that its resolution process is free from actual or perceived bias or conflicts of interest that would materially impact the outcome. University officials who are designated to conduct and/or participate in discrimination, harassment, or



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retaliation investigations or proceedings shall be trained on how to conduct these investigations or proceedings in a manner free from bias or intimidation. Officials shall also be trained to recognize and acknowledge any potential conflict of interest. Any party who believes there is bias or conflict of interest may submit a written request to remove the person from the process to the EO/AA Director or to the Associate Vice President of Human Resources. The written request should include the specific rationale as to why the requestor believes the bias or conflict could materially impact the outcome.

4.4.3 Employees and students shall promptly participate in good faith in formal or informal internal administrative reviews and investigations related to this policy. If either party fails to participate in good faith, the investigator(s) may make findings without the response of that party, potentially leading to an unfavorable outcome for that party.

5.0 PROCEDURES

5.1 Scope and Applicability of These Procedures

5.1.1 All protected class discrimination, harassment, and retaliation complaints, other than sexual misconduct complaints (which are addressed in Policy 162 *Sexual Misconduct*), are subject to the procedures set forth in this policy. Unless the alleged misconduct also violates additional university policies, other university policies and procedures do not apply to protected class discrimination, harassment, and retaliation reports, processes, and proceedings. All misconduct not involving protected class discrimination, harassment, and retaliation shall be addressed through the procedures found in the respective student, faculty, and staff university policies.

5.1.2 Reports of protected class discrimination, harassment, or retaliation made after the fact are governed by the policy in place at the time of the alleged misconduct. However, procedures applicable are those in place at the time of the resolution.

5.2 Requesting Disability, Religious, and/or Pregnancy Accommodations, or Military Service or Leave Exceptions

5.2.1 Job applicants or employees with qualifying disabilities who are seeking accommodations to help them perform the essential functions of their jobs should contact the Accommodations Coordinator in Human Resources. Supervisors (employees who supervise staff, administrators, or faculty) who receive disability accommodation requests from university employees must promptly report such requests to the Accommodations Coordinator in Human Resources. Students shall make requests for disability accommodations related to academics or other university services (except employment) through the Office of Accessibility Services.

5.2.2 Employees who are seeking accommodations due to their sincerely held religious beliefs should contact the Office for Equal Opportunity and Affirmative Action. Supervisors who receive religious accommodation requests from university employees must promptly report such



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requests to the OEO/AA, who shall manage the accommodations process with the employee. Students who are seeking accommodations due to their sincerely held religious beliefs should contact their professor(s) and follow the procedures in Policy 601 *Classroom Instruction and Management*, including but not limited to consulting with the EO/AA Director before the professor denies an accommodation. If students believe a religious accommodation request has been wrongfully denied, they may contact the OEO/AA for assistance.

5.2.3 Employees who are seeking accommodations due to pregnancy and/or pregnancy-related conditions should contact the Accommodations Coordinator in Human Resources. Supervisors who receive pregnancy and/or pregnancy-related accommodation requests from university employees must promptly report such requests to the Accommodations Coordinator in Human Resources. Students who are seeking accommodations due to pregnancy and/or pregnancy-related conditions should contact Accessibility Services, which shall gather any necessary medical documentation. If accommodations for disability are not warranted, students shall be referred to the OEO/AA for a determination of appropriate accommodations, including options to withdraw if that is the student's preference.

5.2.4 Employees who are seeking military service or leave requests should contact Benefits in Human Resources. Supervisors who receive military service or leave requests must promptly report such requests to Benefits in Human Resources. Students who are seeking military service or leave requests should contact the UVU Veteran Success Center and/or the OEO/AA for assistance. Employees who believe a veteran leave request has been wrongfully denied may contact the OEO/AA for assistance.

5.3 Affirmative Action Program

5.3.1 The EO/AA Director, in coordination with Human Resources, has the responsibility to write, implement, monitor, and update the University's affirmative action program in compliance with law and shall provide an annual program report of these activities to President's Council.

5.4 Reporting an Incident of Protected Class Discrimination, Harassment, or Retaliation

5.4.1 University community members are responsible for knowing the information and procedures in this policy. University community members who believe they have been subjected to protected class discrimination, harassment, or retaliation, or who witness such conduct against other university community members, shall promptly report such issues to the EO/AA Director.

The EO/AA Director, who oversees all protected class discrimination, harassment, and retaliation investigations, may be reached in the Office for Equal Opportunity and Affirmative Action, 800 West University Parkway, Browning Administration Building, Suite 203, Orem, Utah, 84058, phone (801)863-7999. Reports may be filed in person, through email, or via the equal opportunity website at <https://www.uvu.edu/equalopportunity/titleix/>.



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5.4.2 Individuals may also submit reports, including anonymous reports, through the university's designated reporting system(s).

5.4.3 Supervisors and employees who receive a complaint of any kind of protected class discrimination, harassment, or retaliation, or who otherwise witness or become aware of such conduct, must promptly report such issues to the OEO/AA **within 24 hours** of the incident or learning of the incident.



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5.5 Support Persons/Advisors

5.5.1 As required by Utah State Board of Regents' Policy R256 *Student Disciplinary Processes*, in matters of nonacademic misconduct, including when students are respondents in protected class discrimination, harassment, or retaliation complaints, and where the University believes in good faith, based on facts known by the University at the time or when additional facts are discovered later, that the matter may result in expulsion or a minimum 10-day suspension, the following additional protections will apply. Students may waive any rights described in this section. This section does not apply to UVU Police Department law enforcement activities.

1) Before interviewing the student, the investigator or representative of the OEO/AA shall notify the student of the allegations made against them and of the student's right to have a support person/advisor throughout the process who may be, but need not be, an attorney. This notice may be verbal and may be given immediately before a student is interviewed in regards to the issue described in the notice. If a student wishes to seek counsel from a support person/advisor, the University shall reschedule the interview, giving the student reasonable time to obtain a support person/advisor. In meetings or interviews with the OEO/AA or the University, student complainants and student respondents each may be accompanied by their support person/advisor, if any. During such meetings or interviews, the support person/advisor may only advise the student and may not speak on behalf of the parties or otherwise participate in, or in any manner disrupt the investigation, meetings, or informal process. If a support person/advisor is disruptive, the investigator or OEO/AA may exclude them from meetings or other related processes and proceed without the presence of the support person/advisor.

5.5.2 During any review hearings under section 5.10 of this policy, complainants and respondents (whether students or employees of the University) may each have a support person/advisor of their choice, who may be an attorney, advocate for them.

5.5.3 University employees may serve as advisors only if they have no conflict of interest. Support persons/advisors must be willing to agree to maintain the confidentiality of investigation and review hearing processes.

5.5.4 The University may proceed with the investigation and review hearing processes in a timely fashion without the complainant or respondent if that party fails to respond or declines to participate. The University may set reasonable deadlines and move forward with processes regardless of whether a party and/or a party's support person/advisor is able to accommodate those deadlines.

5.6 Preliminary Review of Reports of Discrimination, Harassment, or Retaliation

5.6.1 After receiving a report of protected class discrimination, harassment, or retaliation, the EO/AA Director or designee shall promptly conduct a preliminary review to determine if interim measures are needed and if there is reasonable cause to believe that this policy was violated and/or that an investigation is necessary.



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5.6.2 A complaint is timely if it is filed within 365 calendar days of the last alleged discriminatory act. A complaint that is not timely or that fails to state a claim of discrimination may be dismissed by the EO/AA Director after an initial review. At the Director's discretion and for good cause, a complaint that is not timely may not be accepted.

5.6.3 If the EO/AA Director or designee determines that there is no reasonable cause to believe that this policy was violated and/or that an investigation is not necessary, they shall issue a written notice of dismissal to the complainant. Such dismissals are final and not appealable internally within UVU.

5.6.4 At the recommendation of the EO/AA Director or designee, the responsible university administrator (as defined in section 5.8.12) may impose an interim suspension of a student, employee, visitor, or organization, or invoke other temporary safety measures pending the outcome of the investigation and subsequent proceedings.

5.7 Informal Resolution

5.7.1 Because each case is different, the EO/AA Director or designee shall tailor each resolution to the specific facts of the case, including determining whether reports of discrimination, harassment, or retaliation are appropriate for informal resolution, mediation, or require an investigation.

5.7.2 Informal resolution is encouraged to resolve concerns at the earliest stage possible. Participation in the informal resolution process is voluntary; the University shall not compel either party to engage in informal resolution. Informal resolution may be appropriate for responding to anonymous and/or third-party reports, or when the allegations do not rise to the level of a policy violation. Informal resolution may be inappropriate when one or both of the parties are reluctant to participate in good faith.

5.7.3 Informal resolution may include an inquiry into the facts but typically does not include an investigation. Informal resolution is flexible and includes options such as mediating an agreement between the parties, separating the parties, referring the parties to counseling programs, negotiating an agreement for disciplinary action, conducting targeted preventive educational and training programs, or providing remedies for the individual harmed by the offense. Informal resolution also includes options such as discussions with the parties, making recommendations for resolution, and conducting a follow-up review after a period of time to ensure that the resolution has resolved concerns effectively.

5.7.4 After concluding informal resolution of a complaint, the EO/AA Director or designee shall notify the complainant and respondent in writing of the resolution that was agreed upon.

5.7.5 Participation in informal resolution does not prohibit either party from terminating informal resolution and/or requesting an investigation at any point during the informal resolution process. The determination about whether or not to proceed to formal investigation is at the discretion of



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the EO/AA Director based on the details of complaint. Where a report was closed after informal resolution, the matter may later be reopened at the discretion of the EO/AA Director or designee when requested by the complainant and/or if the EO/AA Director or designee determines there is good cause to do so.

5.8 Formal Investigation

5.8.1 If the EO/AA Director or designee determines an investigation is necessary, the University shall conduct a thorough, reliable, and impartial internal administrative investigation by interviewing witnesses, collecting documentary evidence, and preparing a written report of findings. The purpose of the investigation is to establish whether there is a reasonable basis, based on a preponderance of the evidence, for concluding that the alleged violation of this policy has occurred. The University reserves the right to engage an outside investigator to conduct the investigation if it is determined there is a conflict of interest or other compelling reason to do so.

5.8.2 Complainants, respondents, and witnesses shall be treated with respect throughout the investigation process, disciplinary process, and other proceedings:

- 1) Complainants and respondents can expect prompt and equitable resolution of allegations of prohibited protected class discrimination, harassment, and retaliation.
- 2) Complainants can expect freedom from retaliation for making a good faith report of prohibited protected class discrimination, harassment, and retaliation or for participating in any investigation or proceeding under this policy.
- 3) Complainants, respondents, and witnesses shall refrain from retaliating against any person for making a good faith report of protected class discrimination, harassment, and retaliation or participating in any proceeding under this policy.
- 4) Respondents, complainants, and witnesses shall provide truthful information in connection with any report, investigation, or resolution of protected class discrimination, harassment, and retaliation under this policy.
- 5) Complainants and respondents shall have interim measures made available and be given the opportunity to request modifications necessary for physical and/or emotional safety.
- 6) Complainants and respondents shall be given timely and equal access to allegations and the opportunity to respond to information that will be used against them in any disciplinary proceeding.
- 7) Complainants and respondents shall have the opportunity to offer information, present evidence, and identify witnesses during an investigation.



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- 8) Complainants and respondents shall be given timely notice of meetings where their presence is necessary.
- 9) Complainants and respondents shall receive simultaneous notification, in writing, of the results of any proceedings.
- 10) Complainants and respondents shall have the opportunity to articulate concerns or issues about proceedings under this policy.
- 11) Complainants and respondents shall have reasonable time to prepare a response permitted under this policy.
- 12) Complainants, respondents, and other participants in the EO/AA process may request accommodations necessary under the *Americans with Disabilities Act (ADA)* through the EO/AA Director, who will refer the request to the appropriate ADA coordinator and then implement approved accommodations.

5.8.3 When proceeding to an investigation, the investigator shall ask the complainant to provide written notice of the allegations, including a concise statement describing the incident, when and where the alleged misconduct occurred, and why the complainant believes it violates university policy, and a proposed resolution. The complainant shall be asked to provide and preserve all corroborating or potentially relevant evidence in any format, list potential witness names, and sign the statement. From this information, the EO/AA Director or designee shall prepare a summary of allegations and relevant information from the complainant's statement for the respondent.

5.8.4 By requesting an investigation and submitting a complaint form, the complainant is giving the investigator consent to discuss the information provided with other persons who may have relevant factual knowledge of the circumstances of the complaint and is authorizing the collection and examination of all records and other documentation relevant to the complaint. In cases where a complainant does not want to pursue an investigation, the EO/AA Director or designee shall inform the complainant that the University's ability to investigate and/or remediate may be limited.

5.8.5 If during the investigation a complainant elects not to cooperate or withdraws the complaint, the EO/AA Director may (1) note that the allegations have been withdrawn and end the investigation, or (2) note the complainant has elected not to cooperate and proceed to investigate to determine what occurred and to protect the University's interest in maintaining a safe environment free from discrimination, harassment, and retaliation.

5.8.6 The investigator shall provide the respondent with the summary of the complainant's allegations and a copy of this policy and shall request a written response from the respondent. The respondent shall also be asked to provide and preserve all corroborating or potentially relevant evidence in any format and list potential witness names. In preparing the summary of



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complainant's allegations for the respondent, the EO/AA Director or designee has the discretion to redact names and/or witnesses to protect the identity and ensure the safety of the complainant and/or witnesses. The respondent may prepare and submit a written statement to admit or deny the allegations, provide an explanation why any conduct was not a violation of the policy, provide all corroborating evidence, list potential witnesses, and state whether the complainant's proposed resolution is appropriate.

5.8.7 Upon receipt of the written response from the respondent, or after the reply period expires without a response, the investigator may request to meet with the respondent and/or complainant to clarify any discrepancies.

5.8.8 The EO/AA Director shall choose the investigator(s), except in cases where the EO/AA Director or others involved in the investigation have a conflict of interest, in which case a neutral internal or external impartial investigator(s) may be selected to conduct the investigations.

5.8.9 To provide a prompt, thorough, fair, and impartial investigation and resolution, all investigations of reports of discrimination, harassment, and retaliation shall incorporate the following standards:

- 1) The respondent shall be provided the name of the complainant (if known), a notice of request for investigation, a written statement of the allegations, and a copy of this policy. The respondent shall be given a full opportunity to respond to the allegations.
- 2) The investigator(s) conducting the investigation shall be familiar with this policy, have training or experience in conducting investigations, and shall be familiar with applicable university policies and procedures.
- 3) Disclosure of material witnesses and relevant facts shall be given to both parties to permit each party a full opportunity to respond to allegations and defenses, subject to *FERPA* and privacy law requirements, and the need to guard against retaliation of parties and witnesses. Disclosure of facts to witnesses shall be limited to what is reasonably necessary to conduct a fair and thorough investigation. Participants in an investigation shall be advised that maintaining confidentiality is essential to protect the integrity of the investigation. Participants shall also be reminded not to retaliate against other parties, witnesses, or other participants in the process.
- 4) The investigator shall apply a preponderance of evidence standard to determine whether the conduct occurred as alleged and whether there has been a violation of this policy.
- 5) At any time before or during the investigation, the investigator may recommend that interim protections or remedies for the parties or witnesses be provided by appropriate university administrators. Failure by a party to comply with the terms of interim protections may be considered a separate violation of this policy.



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6) At any time before or during the investigation, the investigator(s) or the EO/AA Director may recommend to the responsible university administrator (who should consult with Human Resources and the Office of General Counsel) that a respondent employee be placed on a paid or unpaid leave. Leave may be unpaid where the employee has failed to participate in the investigation promptly or in good faith or when substantial evidence received before or during the investigation shows that a serious violation of policy has occurred.

7) The investigation shall be completed and the final investigation summary provided to the responsible university administrator as promptly as possible. Though the University strives to resolve all cases in a prompt and timely manner, the timeline varies based on the circumstances of each case. Additionally, the timeline for a case may be affected by breaks in the academic calendar, availability of the parties and witnesses (including due to leave of absence), scope of the investigation, need for interim actions, and unforeseen or exigent circumstances. The parties and administrators with a need to know will be periodically updated on the status of the case.

8) Parties and witnesses are expected to cooperate with and participate in the University's investigation in good faith. If either party fails to participate in good faith, the investigator(s) may make findings without the response of that party, potentially leading to an unfavorable outcome for that party.

9) The complainant and respondent shall be informed if there were findings made that the policy was or was not violated. In accordance with university policies protecting individuals' privacy, and applicable laws, the complainant may be generally notified that the matter has been referred for disciplinary action, but shall not be informed of the details of the recommended disciplinary action without the consent of the respondent. The investigator shall also advise the complainant and respondent of additional options outside the University that may be pursued.

5.8.10 The investigator(s) shall prepare a final investigation report or summary that contains a written summary of the findings (including a statement of the allegations and issues, the positions of the parties, a summary of evidence and findings, and a determination on whether this policy has been violated). The EO/AA Director, or designee, and an attorney assigned by General Counsel shall review each final investigation report or summary before it is finalized.

5.8.11 The possible findings of the investigation are as follows:

1) "Unfounded" indicates either that there is insufficient evidence for the investigators to conclude that the event(s) occurred as alleged, or even if the event(s) occurred, it/they did not constitute protected class discrimination, harassment, or retaliation.

2) "Inconclusive" means that the evidence provided by both parties did not reach a preponderance of evidence in favor of either party.

3) "Substantiated" means that the event(s) occurred as alleged by a preponderance of evidence in favor of the complainant.



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5.8.12 The final investigation report or summary shall be submitted to the responsible university administrator designated below with authority to implement actions and/or discipline necessary to resolve the complaint (unless a conflict of interest exists, in which case the Office of General Counsel will recommend to the President a designee to serve as an alternative responsible university administrator). When the respondent is an employee, the responsible university administrator shall consult with the EO/AA Director, the Office of General Counsel, and with Human Resources. When the respondent is a student, the responsible university administrator shall consult with the EO/AA Director and the Office of General Counsel. The final investigation report or summary shall be kept in the investigation file and may be used as evidence in other related procedures, such as subsequent complaints, disciplinary actions, and/or review hearings or appeals.

Respondent’s Affiliation with the University	Responsible University Administrator
Student	Designated Student Conduct Administrator (either the Director of Student Conduct or the Associate Dean of Students, with neither serving in that role if they were the investigator on the matter or if another conflict exists)
Faculty member	The dean of the faculty member’s college (in consultation with the Associate Vice President of Academic Administration)
Executive employee or direct report of a Vice President	Vice President of the relevant department
Administration or staff member who is not an executive employee and does not report directly to a Vice President	Direct report of the Vice President or another senior-level administrator designated by the vice president of the division in which the respondent is employed
Vice President or direct report of the University President	University President
Contractor, vendor, or visitor	Vice President of Finance and Administration

5.8.13 Nothing in this procedure shall be interpreted to alter the status of otherwise at-will employees.

5.9 Sanctions and Remedies

5.9.1 Upon receiving the final investigation report or summary, the responsible university administrator shall promptly determine, based on the investigative findings, the appropriate sanctions, and remedies, including offering remedies to the complainant and/or university community, implementing changes in programs and activities, providing training, and the imposition of any disciplinary sanctions. In consultation with the EO/AA Director and the Office



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of General Counsel, and with Human Resources, when the respondent is an employee, the responsible university administrator shall ensure sanctions and remedies are appropriate to end the prohibited conduct and to prevent further violation of this policy. In determining the appropriate sanction(s), the responsible university administrator (and the executive university administrator and review panel, should there be a review hearing) shall be guided by the following considerations:

- 1) The severity, persistence, or pervasiveness of the misconduct;
- 2) The impact of the misconduct on the complainant;
- 3) The impact or implications of the misconduct on the university community;
- 4) Prior misconduct by the respondent, including the respondent's relevant prior disciplinary history;
- 5) Whether the respondent has accepted responsibility for the misconduct;
- 6) The maintenance of a safe, nondiscriminatory, and respectful environment conducive to learning; and
- 7) Any other mitigating, aggravating, or compelling factors.

5.9.2 Respondents who are found to have violated this policy may be subject to sanctions, depending on the circumstances and the severity of the violation, as follows:

- 1) Possible sanctions against faculty and non-faculty employees for violations of this policy include verbal counseling, written warning, probation, reassignment, transfer, demotion, reduction in pay, suspension, termination of employment, and a no trespassing on campus and/or in university programs, services, and activities order.
- 2) Possible sanctions against students for violations of this policy include those described in UVU Policy 541 *Student Code of Conduct*, such as fines, restitution, interim suspension, suspension, suspension withheld, warning, probation, expulsion, withholding diploma, revocation of degree, discretionary sanction, and organizational sanction.
- 3) Possible sanctions against vendors or visitors to campus who are neither students nor employees of the University include banning the vendors/visitors from all or part(s) of the University and/or ending business relationships with the vendors.

5.9.3 Unless there are circumstances that would require a delay, the EO/AA Director (or designee) shall promptly communicate the investigation findings in writing to both the complainant and the respondent. After the findings are sent to both parties, the EO/AA Director will promptly forward the written findings to the responsible university administrator, who shall



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send the outcome of the investigation, including any sanctions and remedies determined by that administrator and the University's procedures for seeking a review/appeal of the outcome, in writing to both the complainant and the respondent ("outcome notice"). However, the responsible university administrator, in consultation with the EO/AA Director or designee, may choose not to disclose the sanctions, and shall not disclose the discipline imposed on a respondent student, except under the following circumstances:

- 1) The discipline directly affects the other party, such as when the respondent student is ordered to stay away from the other party, an employee is transferred to another job site, worksite, class, or is suspended or dismissed from the University; or
- 2) The respondent student gives his or her written permission to disclose the discipline.

5.10 Review Hearing

5.10.1 Student or employee (faculty, administration, or staff) complainants or respondents may request a review hearing on the findings, sanctions, and/or remedies by submitting a request in writing to the EO/AA Director within five business days from the date the outcome notice is sent. Failure to file a timely written request for a hearing shall constitute a waiver of the right to a hearing and any appeal rights. If there is no request for a hearing, the investigative findings and any sanctions shall become final and binding. A request for review hearing may be withdrawn by the requester at any time without prejudice.

5.10.2 Upon receipt of a written request for review hearing, the EO/AA Director or designee shall provide the party not requesting the review hearing a copy of the request and invite that responding party to submit a written response. The EO/AA Director, designee, or investigator may also provide a written response to the written request for review.

5.10.3 After submitting the written request identified in 5.10.2, and before the formation of a review panel under 5.10.7, the requesting party must meet with the responsible university administrator for a pre-review meeting. In this meeting, the responsible university administrator will explain the review process and provide access to evidence and records available for the review hearing.

5.10.4 While a review is pending, interim sanctions may be imposed by the responsible university administrator, but irreversible sanctions shall not be imposed until the review process is complete. For example, if termination from employment has been recommended, a respondent may be suspended from employment (on a paid or unpaid basis) during the review process, but a termination of employment shall not be imposed until the review process is complete and the termination recommendation is upheld. Leave may be unpaid where the employee has failed to participate in the investigation promptly or in good faith.



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5.10.5 The EO/AA Director or designee shall promptly convene a three-member review panel from a pool of faculty, staff, and students trained in Title VII, Title IV, and Title VI requirements, Policy 165, and related procedures.

5.10.5.1 The three-member review panel shall be selected from the pool of trained panel members as follows:

Respondent’s Affiliation with the University	Composition of Review Panel
Faculty member	Three faculty members
Staff member (including executive employees)	Three staff members
Student	One faculty member, one staff member, one student

5.10.5.2 Faculty members shall be selected for a term of service on the review panel pool by the Provost or designee and shall be approved by the President of Faculty Senate. Staff members shall be selected for a term of service by the Vice President of Planning, Budget, and Human Resources or designee and shall be approved by the President of the Professional Association of Campus Employees (PACE). Student members shall be selected for a term of service by the Dean of Students and should be members of the Utah Valley University Student Association (UVUSA) and approved by the UVUSA President.

5.10.5.3 The selected panel shall choose a panel chair, considering availability and EO/AA training and panel experience. Review panel members must be in good standing with the University and must not have any conflicts of interest with serving on the panel. The review panel shall consult with an attorney assigned by the Office of General Counsel to advise the review panel regarding legal, procedural, policy, and other questions as needed during the review process.

5.10.6 The EO/AA Director or designee shall promptly notify the complainant and respondent in writing of the names of the review panel members and provide the parties with a copy of the review panel procedures contained in this policy. Within five business days of receiving notification of the names of the review panel members, the complainant and respondent may each request in writing to the EO/AA Director that a review panel member be disqualified based on bias or conflict of interest, providing the reasons for this request in the letter. If bias or conflict of interest is confirmed by the EO/AA Director, after consultation with an attorney assigned by the Office of General Counsel, then the EO/AA Director or designee shall select and notify the parties.

5.10.7 In cases where the investigation finding is no violation of policy, the panel shall determine whether a hearing should be held based on a review of the complaint, the respondent’s response, the written request for a hearing, response(s) to the request, and the investigation report. The committee may determine that it is unnecessary to hold a hearing based on the



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following factors: (1) insufficient evidence to support a claim of discrimination; or (2) the issue is no longer relevant or is moot. The panel's decision to decline a hearing on these bases is final and shall be communicated to the parties concurrently in writing.

5.10.8 Information shared during a review process must remain confidential. The University shall not be responsible for disclosures made by the parties, who shall bear individual liability for their disclosures. All meetings and hearings related to a review process are closed to the public.

5.10.9 Along with the written notification of hearing date, the EO/AA Director or designee shall provide to the review panel, complainant, and respondent copies of the final investigation report or summary and the written review request and opposition statements submitted by the parties. The EO/AA Director or designee may also submit a clarification statement or response. The review hearing is an opportunity for the parties to address the review panel in person about the issues being considered for review, including addressing information in the final investigation report or summary, any supplemental statements or new evidence unavailable during the investigation submitted by the parties, and any written impact or mitigation statements. Each party will have the opportunity to be heard, to identify witnesses for the review panel's consideration, and to respond to any questions from the review panel.

5.10.10 The complainant and respondent may each request remote video conferencing, so that the parties do not have to be present in the same room at the same time during the hearing. Such requests must be made in writing to the EO/AA Director at least 10 business days before the hearing, and the EO/AA Director or designee shall make the appropriate arrangements.

5.10.11 The complainant and respondent may each be accompanied at the review hearing by a support person/advisor of his or her choice, who may be an attorney and who may participate in the hearing as provided in these procedures. The complainant and respondent must notify the EO/AA Director of his or her selected support person/advisor at least 10 business days prior to the date of the review hearing. If timely notice is not provided, the support person/advisor may attend but shall not participate in the hearing.

5.10.12 The review panel chair, complainant, and respondent may each request the appearance of witnesses at the hearing. At least five business days before the date of the review hearing, parties may submit to the review panel chair, with copies to the EO/AA Director or designee, their request for witnesses, including names and contact information, and requests for documentary evidence they would like to have reviewed, along with explanations of how each request is relevant to the panel's determination (see section 5.10.14). An attorney from the Office of General Counsel who represents the University during the hearing may also submit a document to the panel and parties addressing the basis for review, relevant evidence, and relevant witnesses, and other issues relevant to the hearing at least five business days before the hearing. Only witnesses and other evidence that are relevant to the section 5.10.12 bases for review may be considered by the review panel. It is the responsibility of the party calling a particular witness to invite that witness to attend the hearing. The OEO/AA investigator(s) may also suggest a



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witness list to the panel. Witnesses who are UVU employees whom the panel requests to appear have a duty to appear at the review hearing.

5.10.13 The following procedures apply to the review panel hearing:

- 1) In the event that either party fails to attend the hearing without prior notice to the EO/AA Director and good cause, the review panel may proceed with the hearing. Neither party is required to participate in the hearing for the hearing to proceed. The University reserves the right to modify review hearing procedures to protect the safety of all parties involved.
- 2) The hearing, except for deliberations, shall be recorded by the review panel chair, who shall give the recording to the OEO/AA. A copy shall be made available to either party upon request at the requesting party's expense. The recording of interviews and other meetings preceding and following the hearing by the participants is prohibited.
- 3) The review panel shall begin the hearing by asking the OEO/AA investigator(s) to provide a summary of the investigation process and the findings and conclusions contained in the final investigation report or summary. The review panel may also ask the investigator(s) to state the sanction(s) determined by the responsible university administrator.
- 4) If the scope of review includes review of the sanction(s), the review panel may ask the responsible university administrator to explain the reasons for the sanction(s), including any mitigating or aggravating factors.
- 5) The complainant and respondent shall each have an opportunity to make a personal statement relevant to the review panel's determination (see section 5.10.14), which should include the bases for seeking or opposing the review, the personal impact of the alleged misconduct and/or sanction, the relief sought, and mitigating or aggravating information. In addition to the personal statements by the parties, each party's support person/advisor and the Office of General Counsel attorney representing the University shall have the opportunity to make an opening statement.
- 6) The complainant and respondent (or their respective support person/advisor, if any) shall each have the opportunity to call witnesses that the review panel deems relevant to its determination (see section 5.10.14), to question witnesses (including the other party and the OEO/AA investigator[s]) through the review panel chair (not directly), to present evidence, and to make concluding remarks.
- 7) The review panel may question the investigator(s), any witness, or each/either party. The attorney from the Office of General Counsel representing the University may also question the same persons. Only the person to whom a question is directed may answer (e.g., a support person/advisor shall not be permitted to answer the review panel's questions on a party's behalf). The review panel's questions should be relevant to the scope of review. During questioning, the parties, support persons/advisors, and panel chair/members shall treat all persons with respect.



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- 8) The review panel shall not be bound by strict rules of legal evidence or procedure and may consider any evidence it deems relevant to its determination (see section 5.10.14). The review panel chair shall determine the appropriateness and relevancy of any information and questions submitted and may exclude evidence deemed to be outside the scope of review, irrelevant, or duplicative. The panel may exclude evidence that was available to a party, but not provided, during the investigation.
 - 9) Each party shall have up to a total of 90 minutes for personal and/or opening statements, questioning witnesses, presenting evidence, and concluding remarks.
 - 10) After issuing a warning, the review panel has authority to exclude from the hearing any party, support persons/advisors, or other participant whose behavior the review panel finds disruptive.
 - 11) The Office of General Counsel shall provide an attorney to be present at hearings to provide guidance to the review panel on this policy, substantive law, and procedural matters. An attorney from the Office of General Counsel may also participate in hearings on behalf of the University.
 - 12) The review panel chair and other review panel members are prohibited from discussing any matter related to the hearing with the parties, witnesses, and/or others (except the assigned Office of General Counsel attorney) before or after the hearing. Violation of confidentiality may result in dismissal from the review panel and/or other corrective or disciplinary action.
 - 13) Review panel deliberations and voting shall be closed sessions from which all other persons are excluded, except, at the review panel's request, an advising attorney from the Office of General Counsel. Votes shall be cast by secret ballot. A majority vote by the members of the review panel who attended the hearing shall be required for recommendations. The review panel chair shall be entitled to vote on all questions. The OEO/AA shall not participate in the review panel's deliberations. If the review panel asks the advising attorney from the Office of the General Counsel to remain for the deliberations, the advising attorney may remain present but shall have no vote.
- 5.10.14** Within five business days of the review hearing, the review panel shall provide to the executive university administrator and the EO/AA Director a written recommendation, which shall include a determination of (1) whether the evidence, evaluated under a preponderance of the evidence standard, supports a finding that a violation of policy occurred; and if so, (2) whether the sanctions are reasonably proportionate under the circumstances

5.11 Executive Review, Final Sanction, and Final Outcome Letter

5.11.1 The executive university administrator, who is responsible for reviewing the recommendations from the review panel and determining next steps, including remand to the



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OEO/AA for additional investigation and/or imposition of the final sanction(s) and other remedies, if any, is as follows (unless a conflict of interest exists, in which case the Office of General Counsel will recommend to the President a designee to serve as an alternative responsible executive university administrator):

Respondent’s Affiliation with the University	Executive University Administrator
Student	Dean of Students
Faculty member	Provost
Administration or staff member who is not an executive employee and does not report directly to a Vice President	Provost or Vice President of the division in which the respondent is employed (or the Vice President’s designee)
Executive employee or direct report of a Vice President	University President
Vice President or other direct report of the University President	University President

5.11.2 Upon receipt of the review panel report, the appropriate executive university administrator shall promptly review all of the information that was available to the review panel and then decide whether to remand the investigation to the OEO/AA for additional investigation, affirm the responsible university administrator’s original decision, adopt the sanction and resolution recommendation(s) of the review panel, and/or to determine an alternative outcome. In determining the appropriate sanction(s) and other remedies, the executive university administrator shall be guided by the considerations in section 5.9.1 and consult with other neutral administrators as needed to ensure that any sanctions and/or remedies are appropriate to end the prohibited conduct and prevent further violation of this policy. Remedies may include offering remedies to the complainant and/or university community, implementing changes in programs and activities, providing training, and the imposition of any disciplinary sanctions. The executive university administrator may not base a decision on information not presented at the hearing unless the nature of that information is fairly communicated to the parties and a reasonable opportunity to respond is given.

5.11.3 Written notification of the executive university administrator’s decision (“final outcome letter”) shall be provided concurrently to the parties and to the EO/AA Director. The executive university administrator shall provide written justification for the decision if it is inconsistent with the review panel’s report. If the matter is remanded to the OEO/AA for additional investigation, the OEO/AA shall promptly investigate and provide an investigation summary addendum that includes new evidence considered and changes to findings, if any, to the



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executive university administrator, who shall then determine sanctions, resolutions, and outcomes.

5.11.4 The final outcome letter shall also state that the decision is final and not subject to further university review or grievance and include options for seeking remedies outside of the University, such as with the federal Equal Employment Opportunity Commission (EEOC) and the Utah Antidiscrimination and Labor Division (UALD), which investigate complaints of unlawful discrimination and/or harassment in employment, or the US Department of Education Office for Civil Rights (OCR), which investigates complaints of unlawful discrimination and harassment in employment and educational programs or activities.

5.11.5 Once the final outcome letter is issued to the parties, no further internal reviews, appeals, or grievance are available to the parties. Nothing in this policy abrogates the rights of the parties to seek other remedies under state or federal law, such as with the agencies mentioned in section 5.11.4 above.

5.11.6 The final outcome letter may be used by the EO/AA Director for data collection and compliance purposes only. The review panel, responsible university administrator, and executive university administrator shall provide all documents submitted and reviewed as part of the review process to the EO/AA Director for confidential storage and shall not keep any written or electronic copies of such documents.

5.11.7 All documents, records, recordings, and information associated with the EO/AA process are designated as protected in accordance with the *Utah Government Records and Management Act (GRAMA)*.

POLICY HISTORY		
June 22, 2017	Revision (Regular policy replaced temporary emergency policy)	UVU Board of Trustees
November 29, 2018	Non-substantive changes: Sections 2.11 and 5.9.2, Policy 541 title updated from Student Rights and Responsibilities to Student Code of Conduct.	UVU Policy Office
June 18, 2019	Temporary Emergency policy approved.	UVU Board of Trustees
	Regular policy approved.	UVU Board of Trustees



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 21, 2020
TITLE:	UVU Policy 168 <i>Complaints under the Utah Protection of Public Employees Act</i> (TEMPORARY EMERGENCY)
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Linda Makin, VP of Planning, Budget, and HR
SUBJECT:	UVU Policy 168 <i>Complaints under the Utah Protection of Public Employees Act</i> (TEMPORARY EMERGENCY)
BACKGROUND:	<p>The Utah Protection of Public Employees Act (Utah Code § 67-21) prohibits public employers from taking “adverse action” against good faith reporters of</p> <ul style="list-style-type: none"> • Waste or misuse of public funds, property, or labor • Suspected violations of law • Gross mismanagement • Abuse of authority • Unethical conduct <p>The Act was amended in 2018 to require each public institution of higher education to promulgate procedures to facilitate internal complaints, hearings, and resolutions under the Act. This temporary emergency policy proposal satisfies that requirement.</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve UVU Policy 168 <i>Complaints under the Utah Protection of Public Employees Act</i> for entrance into the UVU Policy Manual.” • Amend and approve, “I move to approve, as amended, UVU Policy 168 <i>Complaints under the Utah Protection of Public Employees Act</i> for entrance into the UVU Policy Manual.” • No action, “I move that we go to the next agenda item.”

FINANCIAL IMPACT:	
EXHIBITS:	a. Policy 168



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Proposed Policy Number and Title: <i>168 Complaints under the Utah Protection of Public Employees Act (TEMPORARY EMERGENCY)</i>		
Existing Policy Number and Title:		
Approval Process*		
<input type="checkbox"/> Regular	<input checked="" type="checkbox"/> Temporary Emergency	<input type="checkbox"/> Expedited
<input type="checkbox"/> New	<input checked="" type="checkbox"/> New	<input type="checkbox"/> New
<input type="checkbox"/> Revision	<input type="checkbox"/> Revision	<input type="checkbox"/> Revision
<input type="checkbox"/> Deletion	<input type="checkbox"/> Suspension	
	Anticipated Expiration Date:	
*See UVU Policy 101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date: <u>Stage 2, Temp Emergency, May 28, 2020</u>
President's Council Sponsor: <u>Linda Makin</u> Ext. _____
Policy Steward: <u>Marilyn Meyer, Jeremy Knee</u> Ext. _____

POLICY APPROVAL PROCESS DATES	
<p>Policy Drafting and Revision Entrance Date: <u>05/28/2020</u></p> <p>University Entities Review Entrance Date: <u>Not applicable</u> Close Feedback: <u>Not applicable</u></p> <p>University Community Review Entrance Date: <u>Not applicable</u> Open Feedback: <u>Not applicable</u> Close Feedback: <u>Not applicable</u></p> <p>Board of Trustees Review Entrance Date: <u>05/28/2020</u> Approval Date: _____</p>	<p align="center">POST APPROVAL PROCESS</p> <p>Verify:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Policy Number <input type="checkbox"/> Section <input type="checkbox"/> Title <input type="checkbox"/> BOT approval <input type="checkbox"/> Approval date <input type="checkbox"/> Effective date <input type="checkbox"/> Proper format of Policy Manual posting <input type="checkbox"/> TOPS Pipeline and Archives update <p>Policy Office personnel who verified and posted this policy to the University Policy Manual</p> <p>Name: _____</p> <p>Date posted and verified: _____</p>



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POLICY TITLE	Complaints under the Utah Protection of Public Employees Act (TEMPORARY EMERGENCY)	Policy Number	3xx
Section		Approval Date	
Subsection		Effective Date	
Responsible Office	Office of the Vice President of Planning, Budget, and Human Resources		

1.0 PURPOSE

1.1 The purpose of this policy is to establish an independent personnel board and related procedures by which the University implements the *Utah Protection of Public Employees Act* for review of certain types of retaliation complaints from university employees.

2.0 REFERENCES

2.1 Utah Code Ann. § 67-21-1 et seq. *Utah Protection of Public Employees Act*

3.0 DEFINITIONS

3.1 Abuse of authority: An arbitrary or capricious exercise of power that: (1) adversely affects the employment rights of another; or (2) results in personal gain to the person exercising the authority or to another person.

3.2 Adverse action: To discharge, threaten, or discriminate against an employee in a manner that affects the employee’s employment, including compensation, terms, conditions, location, rights, immunities, promotions, or privileges.

3.3 Communicate: A verbal, written, broadcast, or other communicated report.

3.4 Complainant: An employee who alleges that they have experienced adverse action in violation of this policy.

3.5 Employee: A person who performs a service for wages or other remuneration under a contract of hire, written or oral, express or implied. This includes faculty, staff, full-time, part-time, and student employees.



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3.6 Failure to promote: To fail to promote the employee if the employee would have otherwise been promoted.

3.7 Gross mismanagement: Action or failure to act by a person, with respect to a person's responsibility, that causes significant harm or risk of harm to the mission of the public entity or public body that employs, or is managed or controlled by, the person.

3.8 Respondent: An individual against whom an alleged complaint of adverse action in violation of this policy has been made.

3.9 Substantial evidence: Substantial evidence is such relevant evidence as a reasonable person might accept as adequate to support a conclusion.

3.10 Unethical conduct: Conduct that violates a provision of Title 67, Chapter 16, *Utah Public Officers' and Employees' Ethics Act*.

4.0 POLICY

4.1 Policy Statement

4.1.1 Utah Valley complies with the *Utah Protection of Public Employees Act* and provides procedures to review complaints of retaliation made by university employees who acted in good faith in the course of their duties.

4.2 Scope of this Policy

4.2.1 This policy applies to Utah Valley University employees, including faculty, staff, full-time, part-time, and student employees.

4.3 Adverse Action Against Employees Prohibited

4.3.1 An employee may not have an adverse action taken against them because the employee, or a person authorized to act on behalf of the employee, communicates in good faith:

4.3.1.1 The waste or misuse of public funds, property, or workforce;

4.3.1.2 A violation or suspected violation of a law, rule, or regulation adopted under the law of Utah, a political subdivision of Utah, or any recognized entity of the United States;

4.3.1.3 Gross mismanagement;

4.3.1.4 Abuse of authority; or

4.3.1.5 Unethical conduct.



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4.3.2 For purposes of section 4.3, an employee is presumed to have communicated in good faith if the employee gives written notice or otherwise formally communicates the conduct described in section 4.3 to:

4.3.2.1 A person in authority over the person alleged to have engaged in the conduct described in section 4.3;

4.3.2.2 The attorney general's office;

4.3.2.3 Law enforcement, if the conduct is criminal in nature;

4.3.2.4 The Utah Board of Higher Education or a member of the Utah Board of Higher Education;

4.3.2.5 The commissioner of higher education;

4.3.2.6 The President of UVU; or

4.3.2.7 UVU's Internal Audit Department.

4.3.3 The presumption described in section 4.3.2 may be rebutted by showing that the employee knew or reasonably ought to have known that the report is malicious, false, or frivolous.

4.3.4 An employee may not have an adverse action taken against them because the employee participates or gives information in an investigation, hearing, court proceeding, legislative or other inquiry, or other form of administrative review held by UVU.

4.3.5 An employee may not have an adverse action taken against them because the employee has objected to or refused to carry out a directive that the employee reasonably believes violates federal, state, or local law.

4.3.6 No UVU employee may implement rules or policies that unreasonably restrict another employee's ability to document:

4.3.6.1 The waste or misuse of public funds, property, or workforce;

4.3.6.2 A violation or suspected violation of any law, rule, or regulation;

4.3.6.3 Gross mismanagement;

4.3.6.4 Abuse of authority; or

4.3.6.5 Unethical conduct.



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5.0 PROCEDURES

5.1 Filing a Complaint under this Policy

5.1.1 A complaint alleging a violation of section 4.3 of this policy must be filed in writing with the Associate Vice President for Human Resources (AVPHR) within 45 calendar days after the occurrence of an adverse action prohibited by this policy.

5.1.2 A complaint filed under this policy should include specific information relevant to the concern, including the time, method, and nature of any underlying reports or activities protected by this policy; the time and nature of any adverse action(s); any individual(s) involved and/or responsible; and desired remedy.

5.2 Appointing an Independent Personnel Board

5.2.1 The AVPHR or their designee shall endeavor to appoint an independent personnel board within three working days of receiving the complaint.

5.2.2 The independent personnel board shall not include any individual who:

5.2.2.1 Is in the same department as the complainant;

5.2.2.2 Is a supervisor of the complainant; or

5.2.2.3 Has a conflict of interest in relation to the complainant or an allegation made in the complaint.

5.2.3 The AVPHR or their designee shall convene a three- or five-person independent personnel board either from the Policy 162/165 review panel pools, from staff nominees provided by the PACE President, or from faculty nominees provided by the Faculty Senate President. A majority of the board shall be faculty members if the complainant is a member of faculty, and staff members if the complainant is a member of staff.

5.2.4 The AVPHR or their designee will inform the parties (the complainant and the respondent) of the chosen board members and give each party the option to provide any objections to the board members based on bias or conflict of interest within three working days. Consulting with the Office of General Counsel, the AVPHR or their designee will review and decide on any conflict of interest or bias objections raised by the parties.

5.2.5 The AVPHR or their designee shall arrange for the independent personnel board members to attend a training on these procedures provided by the Office of General Counsel.

5.2.6 The Office of General Counsel will appoint an impartial attorney from outside the Office of General Counsel to preside over the complaint hearing as hearing officer. This attorney must



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have no prior involvement in either advocacy or investigatory matters related to the complaint. The hearing officer will ensure order, fairness, due process, efficiency, and civility at the hearing, and ensure a relevant and sufficient evidentiary record for the board's consideration. To advance this aim, the hearing officer may set time limits proportionate to the complexity of the case; exclude irrelevant and unduly repetitious exhibits, witnesses, questions, statements, or other information; and exclude material deemed privileged under the law. The Federal and Utah Rules of Evidence do not apply.

5.3 Pre-Hearing Matters

5.3.1 An independent personnel board that receives a complaint under this policy shall hear the matter, resolve the complaint, and take action under section 5.5 within the later of:

5.3.1.1 Thirty calendar days after the day on which the complainant files the complaint; or

5.3.1.2 A longer period of time, not to exceed 30 additional calendar days, if the complainant and the independent personnel board mutually agree on the longer time period.

5.3.2 The hearing officer may conduct a pre-hearing conference to formulate or simplify the issues; obtain admissions of fact and documents that will avoid unnecessary proof; arrange for the exchange of proposed exhibits; outline expectations for the hearing; or agree to other matters that may expedite the orderly conduct of the hearing.

5.3.3 The independent personnel board shall consult with the hearing officer during the complaint process about legal, procedural, policy, and other questions as needed. The hearing officer, in consultation with the board, will review and respond to any pre-hearing questions or objections from the parties related to hearing matters.

5.3.4 The AVPHR or their designee will provide to the parties, board members, and hearing officer:

5.3.4.1 The written request for hearing by the complainant,

5.3.4.2 The respondent's written responses (if any), and

5.3.4.3 Material documents related to the decision(s) being challenged.

5.3.5 If the materially relevant documents include confidential information, the documents may be provided via a secure cloud-based storage system where documents may be viewed but not printed. The AVPHR or their designee may ask parties and participants in the complaint process to sign a confidentiality agreement before giving them access to the documents.

5.3.6 At least seven calendar days before the hearing date, the complainant and the respondent shall provide the other party, board members, and hearing officer the following materials:



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5.3.6.1 A *Statement Document* of no more than five pages that addresses the complainant's issues, concerns, and proposed remedy framed in terms of the scope of the complaint. The *Statement Document(s)* shall be provided in electronic format.

5.3.6.2 A complete list of all proposed witnesses that each party will call to testify (in person or via two-way video communication) at the hearing and a brief description of the testimony and/or information such witnesses may provide. The witness list shall be provided in an electronic format.

5.3.6.3 Copies of all documents, exhibits, reports, and any other information (collectively referred to hereinafter as "exhibits") in support of the parties' respective positions on the issues and proposed solution. All exhibits shall be provided in an electronic format to the extent possible; the parties may also submit the documents in hard copy in binders.

5.3.6.4 Notice of whether the complainant will bring a support person to the hearing, the email address and phone number of the support person, and whether the support person is an attorney. UVU employees who have a conflict of interest may not serve as support persons.

5.4 Conducting a Hearing

5.4.1 At the hearing, the respondent bears the burden of proof to establish by substantial evidence that their action was justified by reasons unrelated to the employee's good faith actions under section 4.3 of this policy.

5.4.2 Parties and witnesses must appear in person or remotely via two-way videoconferencing at the hearing. Written statements may not be considered in the decision unless the party/witness appears at the hearing and agrees to answer questions about their statements.

5.4.3 If the complainant fails to appear at the hearing at the specified time and place without good cause, the complaint will be deemed abandoned and therefore closed. In the event the respondent fails to appear at the hearing at the specified time and place without good cause, the complaint will still be heard by the independent personnel board.

5.4.4 The hearing officer is charged with conducting the hearing in a thorough, fair, equitable, and impartial manner; the board is charged with addressing and deciding the matter in this manner, as well.

5.4.5 While the hearing is a closed proceeding, the hearing (except for the board's deliberations) will be recorded by the AVPHR or their designee. The proceedings of the hearing may be transcribed by the University.

5.4.6 The hearing officer will conduct the hearing and will regulate the introduction of evidence for the board's consideration in accordance with section 5.2.6.



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5.4.7 The hearing officer will open the hearing by naming the parties and shall state, in a neutral manner, the nature of the actions taken thus far in the complaint process. The hearing officer may also remind the board and parties of this policy and the procedures herein. All participants at the hearing should be identified at the beginning of the hearing.

5.4.8 Each party has up to 120 minutes to present their portion of the case (testimony of the party and that party's witnesses and questioning of the other party's witnesses). The opening and closing statements and questioning by the hearing officer or board are not included in this 120-minute time limit. The hearing officer or designee will keep track of the amount of time each party takes to present their portion of the case. The hearing officer may extend the amount of time equitably to each of the parties if a party shows the need for such an extension.

5.4.9 If the complainant has brought a support person, either the complainant or the support person should present the opening statement, testimony, and closing statement. For example, the complainant could present the opening statement, while the support person questions the witnesses and presents the closing statement, but the witnesses may not be questioned by both the complainant and the complainant's support person. A support person may not answer questions on behalf of a party. After issuing a warning, the hearing officer has authority to exclude from the hearing any party, support person, or other participant whose behavior the board finds unduly disruptive.

5.4.10 The order of the hearing shall be as follows:

- 1) Opening statement by respondent
- 2) Opening statement by complainant
- 3) Testimony of respondent, including presentation of exhibits
- 4) Testimony of respondent's witnesses, including any exhibits
- 5) Testimony of complainant, including presentation of exhibits
- 6) Testimony of complainant's witnesses, including any exhibits
- 7) Closing statement by respondent
- 8) Closing statement by complainant

5.4.11 The respondent's opening statement should briefly summarize their response to the complainant's concerns and requested remedy. The complainant's opening statement should briefly summarize the nature of the complaint and requested remedy. There should be no cross examination during the opening statements. In most cases, a five-minute opening statement will suffice, though the hearing officer may adjust as appropriate.

5.4.12 Each party may testify and offer relevant evidence (i.e., exhibits) to all parties and board members in support of their positions. At any time, the independent personnel board members



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may ask questions of either party. At the end of a party's testimony, the other party shall have the opportunity to ask any questions regarding the testimony and exhibits, limited to the scope of testimony provided by the party.

5.4.13 In addition to their own testimony and submission of exhibits, each party may call witnesses, who shall not be allowed in the hearing room until called to testify. Each witness shall provide their own information and testimony to the board and may be questioned and cross-examined by the board at any time. At the end of each witness's testimony, the other party and board members shall have the opportunity to ask any questions of the witness regarding the witness's testimony, limited to the scope of testimony provided by the witness.

5.4.14 At the conclusion of a party's presentation, the hearing officer will call for any final questions from the other party or board member regarding the presentation.

5.4.15 The closing statements of both parties should summarize their positions and set forth proposed remedies. In most cases, a 15-minute closing statement will suffice, though the hearing officer may adjust as appropriate.

5.5 Recommendation and Decision

5.5.1 The independent personnel board members are prohibited from discussing any matter related to the hearing with the parties, witnesses, and/or others (except the hearing officer) before or after the hearing. Violation of confidentiality may result in dismissal from the board and/or other corrective or disciplinary action. Parties, board members, hearing officers, support persons, and others who attend the hearing may be required to sign confidentiality acknowledgments before participating in the hearing process.

5.5.2 Independent personnel board deliberations and voting shall occur in closed sessions from which all other persons (except the hearing officer) are excluded. Votes shall be cast by secret ballot. A majority vote by the members of the independent personnel board who attended the hearing shall be required for recommendations. The hearing officer shall be present during the deliberations but shall have no vote.

5.5.3 At the conclusion of a hearing, the independent personnel board shall prepare a written report and recommendation concerning the complaint. The independent personnel board shall submit the report and recommendation to a final decision-maker, who shall be the vice president of the division in which the complainant is employed. If the relevant vice president has a conflict of interest, the final decision-maker shall be the University President.

5.5.4 The independent personnel board shall determine whether the respondent established by substantial evidence that the respondent's action was justified by reasons unrelated to the complainant's good faith actions under section 4.3.



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5.5.5 If the independent personnel board finds that adverse action is taken in violation of section 4.3, the independent personnel board may recommend to the final decision-maker:

5.5.5.1 Reinstatement of the complainant at the same level as before the adverse action;

5.5.5.2 The payment of back wages;

5.5.5.3 Full reinstatement of fringe benefits;

5.5.5.4 Full reinstatement of seniority rights; and/or

5.5.5.5 If the adverse action includes failure to promote, a pay raise that results in the complainant receiving the pay that the complainant would have received if the complainant had been promoted.

5.5.6 The final decision-maker shall render a decision and enter an order within seven calendar days after the day on which the final decision-maker receives the recommendation.

5.5.7 The Office of General Counsel shall assign an attorney who did not serve as the hearing officer or previously advise the respondent on the complaint to provide legal counsel to the final decision-maker.

5.6 Notices

5.6.1 Human Resources shall post notices and use other appropriate means to keep employees informed of their protections and obligations under Utah Code § 67-21.

5.6.2 Human Resources shall provide an employee with a copy of Utah Code § 67-21

5.6.2.1 Upon hire;

5.6.2.2 Upon request; and

5.6.2.3 Upon filing a complaint under this policy.

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity
	New policy approved as a temporary emergency.	UVU Board of Trustees



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 21, 2020
TITLE:	<i>UVU Policy 357 Employee Tuition Remission</i>
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Linda Makin, VP of Planning, Budget, and HR
SUBJECT:	<i>UVU Policy 357 Employee Tuition Remission</i>
BACKGROUND:	This policy required updating to clarify who qualifies for the employee tuition waiver and to align policy with IRS regulations.
ALTERNATIVES:	<ul style="list-style-type: none">• Approve as presented, “I move to approve UVU Policy 357 <i>Employee Tuition Remission</i> for entrance into the UVU Policy Manual.”• Amend and approve, “I move to approve, as amended, UVU Policy 357 <i>Employee Tuition Remission</i> for entrance into the UVU Policy Manual.”• No action, “I move that we go to the next agenda item.”
FINANCIAL IMPACT:	
EXHIBITS:	a. Policy 357



UTAH VALLEY UNIVERSITY Policies and Procedures

Proposed Policy Number and Title: 357 Employee Tuition Remission		
Existing Policy Number and Title: 357 Tuition and Fee Waivers for Employees, Retirees, and Dependents		
Approval Process*		
<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Temporary Emergency	<input type="checkbox"/> Expedited
<input type="checkbox"/> New	<input type="checkbox"/> New	<input type="checkbox"/> New
<input checked="" type="checkbox"/> Revision	<input type="checkbox"/> Revision	<input type="checkbox"/> Revision
<input type="checkbox"/> Deletion	<input type="checkbox"/> Suspension	
	Anticipated Expiration Date:	
*See UVU Policy #101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date: <u>Approved Stage 4 Draft, May 28, 2020</u>
President's Council Sponsor: <u>Linda Makin</u> Ext. _____
Policy Steward: <u>Marilyn Meyer, Judy Martindale</u> Ext. _____

POLICY APPROVAL PROCESS DATES	
<p>Policy Drafting and Revision Entrance Date: <u>4/20/2017</u></p> <p>University Entities Review Entrance Date: <u>2/13/2020</u> Close Feedback: <u>4/9/2020</u></p> <p>University Community Review Entrance Date: <u>4/23/2020</u> Open Feedback: <u>4/23/2020</u> Close Feedback: <u>5/21/2020</u></p> <p>Board of Trustees Review Entrance Date: <u>5/28/2020</u> Approval Date: _____</p>	<p style="text-align: center;">POST APPROVAL PROCESS</p> <p>Verify:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Policy Number <input type="checkbox"/> Section <input type="checkbox"/> Title <input type="checkbox"/> BOT approval <input type="checkbox"/> Approval date <input type="checkbox"/> Effective date <input type="checkbox"/> Proper format of Policy Manual posting <input type="checkbox"/> TOPS Pipeline and Archives update <p>Policy Office personnel who verified and posted this policy to the University Policy Manual Name: _____ Date posted and verified: _____</p>



UTAH VALLEY UNIVERSITY Policies and Procedures

POLICY TITLE	Employee Tuition Remission	Policy Number	357
Section	Compensation and Benefits	Approval Date	
Subsection	Human Resources	Effective Date	
Responsible Office	Office of the Vice President of Planning, Budget, and Planning		

1.0 PURPOSE

1.1 As an educational institution, Utah Valley University provides tuition remission to eligible employees, spouses, and dependent children who enroll in UVU courses for the purpose of educational opportunity and professional development.

2.0 REFERENCES

- 2.1** *Computation of Taxable Income*, 26 U.S.C. § 152 (1954)
- 2.2** I.R.C. §117 (d) *Qualified Tuition Reduction*
- 2.3** Utah State Board of Regents Policy R824 *Tuition Remissions Benefits*
- 2.4** UVU Policy 321 *Employment Classifications and Work Limits*
- 2.5** UVU Policy 325 *FLSA Compliance: Exempt/Nonexempt Classifications, Wages, and Work Hours*
- 2.6** UVU Policy 505 *Tuition Payments and Refunds*
- 2.7** UVU Policy 510 *Graduate Admissions and Continuation*
- 2.8** UVU Policy 511 *Student Fees*
- 2.9** UVU Policy 512 *Administration of Scholarships and Other Payments to Students*
- 2.10** UVU Policy 607 *Course-Based Fees for Credit Courses*

3.0 DEFINITIONS

3.1 Adjunct faculty: A faculty member who is hired on a semester basis, is listed as the instructor of record on a credit class, and is paid on a per course rate. Pay is processed through a semester appointment form.



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3.2 Deceased employee: A full-time employee who dies during full-time employment at the University.

3.3 Dependent child: The son/daughter, stepson/stepdaughter, or legally adopted son/daughter of a UVU full-time employee, deceased employee, disabled employee, or retiree and that is under the age of 26 and unmarried at the time the student registers for courses and the employee or student submits a request for tuition remission.

3.5 Disabled employee: A former full-time employee approved for disability benefits under UVU's long-term disability plan or worker's compensation plan.

3.6 Full-time employee: An employee hired into a position in which the University has a reasonable belief that the employee will work at least 130 hours per month (30 hours per week) in a 12-month measurement period; a full-time employee is eligible for benefits.

3.7 General student fees: Any university-wide fee assessed upon registration to students. Revenue from these fees is used to pay for programs, facilities, and services that are determined to be essential for the enrichment and broadening of opportunities for students. General student fees do not include tuition and course-based fees for credit courses, including course and lab fees, fee cards, lab access fees, private-instruction fees, self-supporting-course fees, or special-program/clinical-practice fees.

3.8 Part-time staff: A variable-hour employee hired into a position in which the University has a reasonable belief that that employee will work less than 130 hours per month (30 hours per week) in a 12-month period, paid an hourly rate for hours worked with pay processed through the submission of time for actual hours worked. For purposes of this policy, part-time staff includes instructional support faculty and non-credit instruction faculty and does not include student, work study, or temporary employees.

3.9 Retiree: A former full-time employee who has retired from the University. The retiree must be at least age 57 with a minimum of 10 years of full-time university employment service, have a combined age and years of full-time university employment service that is 75 or greater, or be at any age with at least 30 years of full-time university employment.

3.10 Spouse: Individual to whom a UVU full-time employee, deceased employee, disabled employee, or retiree is legally married under Utah law.

3.11 Tuition: Cost assessed for enrollment in credit-bearing courses as established by the Board of Regents.

3.12 Tuition remission: A reduction or total waiver of tuition charges for employees and dependent members of their families who enroll in classes at the University.



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4.0 POLICY

4.1 In order to support educational opportunities and provide personal and professional development, Utah Valley University provides eligible employees, spouses, and dependent children tuition remission for qualified undergraduate courses. UVU's Office of Human Resources administers tuition remission.

4.2 UVU undergraduate credit courses for which Board of Regents approved and published tuition rates are charged qualify for tuition remission. Tuition remission is not provided for the following:

4.2.1 Non-credit courses, workshops, seminars, etc.;

4.2.2 Self-supporting course fees and tuition (such as English Language Learning, Study Abroad, and Police Officer Standards Training) approved by President's Council;

4.2.3 High school concurrent enrollment courses; and

4.2.4 Graduate students enrolled in graduate and/or undergraduate courses.

4.3 Employees, spouses, and dependent children requesting tuition remission are subject to UVU's student admissions, enrollment, and tuition policies, procedures, and deadlines.

4.4 In accordance with UVU Policy 512 *Administration of Scholarships and Other Payments to Students*, if an employee, spouse, or dependent child qualifies for other student financial aid, the student's total aid package will be applied in accordance with the rules governing the award of financial aid and the terms of the particular financial aid award for which the student is eligible. Employee, spouse, and dependent tuition remission is generally applied before other university scholarships or federal financial aid. Tuition remission is a reduction of revenue to the University; thus, no refund for tuition remission will be issued.

4.5 Eligible employees may participate in this program provided that enrollment in courses does not interfere with work schedules as determined by their supervisor. Employees may, at their discretion, enroll in classes outside of their regular work schedule.

4.6 With prior approval of their immediate supervisor, full-time, non-exempt employees may enroll in one class per semester during their regular working hours, provided they make up the time within the same work week or submit annual/vacation, personal, or compensatory leave for the time absent from work. When a supervisor requires a full-time, non-exempt employee to enroll in a UVU course as a condition of their employment, the employee will be compensated for time in class.

4.7 The University complies with Internal Revenue Service (IRS) regulations related to tax benefits for education, including applicable reporting and income tax withholding.



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5.0 PROCEDURE

5.1 Eligibility and Tuition Remission Benefit

5.2 Full-time Employees

5.2.1 Full-time employees are eligible for the tuition remission benefit beginning on their first day of full-time employment.

5.2.2 Full-time employees receive tuition remission of 100 percent of tuition and general student fees.

5.2.3 When a full-time employee ends full-time employment at the University, the tuition remission benefit will continue through the end of the registered academic semester in which the termination date occurs.

5.3 Spouse and Dependent Children of Full-time Employees

5.3.1 The spouse and dependent children of full-time employees are eligible for tuition remission benefits beginning on the first day of the employee's full-time employment.

5.3.2 The eligible spouse and dependent children of full-time employees receive tuition remission of 100 percent of tuition.

5.3.3 When the full-time employee ends full-time employment at the University, the tuition remission benefit for the spouse and dependent children will continue through the end of registered academic semester in which the employee's termination date occurs.

5.4 Retirees and Disabled Employees

5.4.1 Retirees are eligible for tuition remission benefits beginning on the first day of retirement.

5.4.2 Disabled employees are eligible for tuition remission benefits beginning on the first day of approved long-term disability.

5.4.3 Retirees and disabled employees receive tuition remission of 100 percent of tuition and general student fees.

5.5 Spouse and Dependent Children of Retirees, Deceased Employees, and Disabled Employees

5.5.1 The spouse of retirees and disabled employees are eligible for tuition remission beginning on the first day of the full-time employee's retirement or approved long-term disability, until the retired or disabled employee's death.



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5.5.2 The spouse of a deceased employee is eligible for tuition remission upon the full-time employee's death continuing until the surviving spouse remarries.

5.5.3 The dependent children of retirees, deceased employees, and disabled employees are eligible for tuition remission beginning on the first day of the full-time employee's retirement or approved long-term disability or upon the full-time employee's death until the individual no longer qualifies as a dependent child.

5.5.4 The eligible spouse and dependent children of retirees, deceased employees, and disabled employees receive tuition remission of 100 percent of tuition.

5.6 Adjunct Faculty

5.6.1 Adjunct faculty are not benefit-eligible but may qualify for tuition remission for professional development. For professional development, adjunct faculty are eligible to receive tuition remission during a semester in which they have an active teaching assignment with the University. Eligibility is determined on or before the first day of the semester for which the tuition remission is requested and must be met each semester. Eligibility ceases at the end of the semester in which the adjunct faculty terminates employment.

5.6.2 Eligible adjunct faculty receive tuition remission of 100 percent of tuition and general student fees for one course per semester.

5.6.3 The University provides no tuition remission for the spouse or dependent children of adjunct faculty.

5.7 Part-time Staff

5.7.1 Part-time staff are not benefit-eligible but may qualify for tuition remission for professional development. For purposes of professional development, part-time staff are eligible to receive tuition remission after six consecutive months of employment in which the part-time staff worked an average of 20 hours per week (minimum of 480 hours). Eligibility is determined on or before the first day of the semester for which the tuition remission is requested and must be met each semester. Eligibility ceases at the end of the semester in which the part-time staff terminates employment.

5.7.2 Eligible part-time staff receive tuition remission of 100 percent of tuition and general student fees for one course per semester.

5.7.3 The University provides no tuition remission for the spouse or dependent children of a part-time employee.



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5.6 Taxable Income

5.6.1 Certain educational benefits received by an employee's dependent children may be taxable under IRS regulations.

5.6.2 If a dependent child is not claimed as a dependent on the UVU employee/retiree's federal tax return for the year in which tuition remission is awarded (or if other allowable provisions under IRS code are not met), the tuition remission benefit may be considered taxable income to the employee and subject to income tax withholding in the appropriate calendar year and reported to the IRS.

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity
August 1977	Approved for Policy Manual	UVU Board of Trustees
August 3, 1981	Approved for Policy Manual	UVU Board of Trustees
August 1, 1989	Approved for Policy Manual	UVU Board of Trustees
April 14, 1994	Approved for Policy Manual	UVU Board of Trustees
February 8, 1996	Approved for Policy Manual	UVU Board of Trustees
August 14, 2008	Approved for Policy Manual	UVU Board of Trustees



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POLICY TITLE	Tuition and Fee Waivers for Employees, Retirees, and Dependents	Policy Number	357
Section	Compensation and Benefits	Approval Date	August 14, 2008
Subsection	Human Resources	Effective Date	August 14, 2008
Responsible Office	Office of the Vice President of Planning, Budget, and Planning		

1.0 PURPOSE

1.2 To provide university employees and their dependents opportunities for continual educational development through the use of tuition and fee waivers.

2.0 REFERENCES

3.0 DEFINITIONS

3.1 Adjunct faculty: A faculty member holding a part-time teaching assignment who is paid either by the contact hour per semester or by an hourly wage rate for credit courses.

3.2 Deceased employee: A FTBE employee who dies while actively employed at the University.

3.3 Dependent: Dependents of a FTBE employee include unmarried dependent children from birth to the 26th birthday and the employee's spouse. Unmarried children may include stepchildren, children legally placed for adoption, and legally adopted children. This does not include children that have been previously married and are now divorced. Dependent status ends if the child is removed from placement prior to being legally adopted.

3.4 Disabled employee: A FTBE employee disabled while actively employed at the University. Disability is based on approval of disability benefits under the University's Long Term Disability or Worker's Compensation plans.

3.5 Fees: Fee waiver extends only to official general student fees published in the class schedule. Fees do not include: concurrent, off-campus, off-budget, lab, course, global aviation, study abroad, distance education, late, add, online and other miscellaneous fees.

3.6 Full-time benefits-eligible employee (FTBE): A salaried employee who works 75 percent or more full-time equivalent (FTE) hours annually.



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~~**3.7 Hourly employee:** A regular part-time employee (non-faculty) paid from the exempt/nonexempt salary schedule. Not included:~~

~~**3.7.1** Students~~

~~**3.7.2** Work-study~~

~~**3.7.3** Temporary employee whose position is expected to last fewer than 6 months.~~

~~**3.8 Retired employee:** An employee is considered to have official university retirement status when the employee discontinues FTBE employment as a faculty or staff employee of the University with a minimum of 10 years of service, and is:~~

~~**3.8.1** At least age 57 with a combined age and years of service that equals 75 or greater, or~~

~~**3.8.2** Any age with at least 30 years of service, or~~

~~**3.8.3** Age 62.~~

~~**3.9 Self-support credit courses:** Courses offered for credit which:~~

~~**3.9.1** Are creditable toward a Board of Regents approved degree/award program;~~

~~**3.9.2** Waive Board of Regents approved regular tuition and fees;~~

~~**3.9.3** Assess a special tuition rate, and~~

~~**3.9.4** Rely on special tuition rates for revenue.~~

~~**3.10 Tuition:** The University's regular tuition only for either credit or audit classes. Tuition does not include the payment of charges for non-credit classes.~~

4.0 POLICY

~~**4.1** The University provides eligible employees and their dependents opportunities for continual educational development through tuition and fee waivers. The University complies with IRS tax codes regarding tuition reimbursement.~~

5.0 PROCEDURE

~~**5.1 Work/Class Schedule**~~



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~~5.1.1 After receiving appropriate supervisor approval, FTBE employees may register for one class (up to 3 credit hours) during regular working hours provided the hours are made up at other times. If a supervisor requests that an employee take a class as a requirement of the job, the time does not need to be made up.~~

~~5.1.2 Hourly employees must schedule their classes outside their work schedule, or negotiate a work schedule that will not be in conflict with desired classes.~~

~~5.2 Coordination of Benefits~~

~~5.2.1 Tuition and fee waivers may not be redeemed for cash.~~

~~5.2.2 Tuition and fee waivers take precedence over scholarships.~~

~~5.3 Eligibility~~

~~5.3.1 FTBE employees are eligible to receive tuition waiver benefits:~~

- ~~1) If their hire date is on or before the first day of classes for the semester in which the tuition waiver is to be used.~~
- ~~2) Until the end of the semester in which the employee terminates from the University.~~

~~5.3.2 Adjunct faculty employees are eligible to receive tuition waiver benefits:~~

- ~~1) Each semester they are actively employed with the University.~~
- ~~2) Eligibility ceases at the end of the semester in which the employee terminates from the University.~~
- ~~3) Dependents of adjunct faculty are not eligible for a tuition waiver.~~

~~5.3.3 Hourly employees are eligible to receive tuition waiver benefits:~~

- ~~1) After 6 consecutive months of employment in which they worked a minimum of 475 hours.~~
- ~~2) Eligibility is determined on or before the first day of classes for the semester in which the tuition waiver is to be earned.~~
- ~~3) Eligibility ceases at the end of the semester in which the employee terminates from the University.~~
- ~~4) Dependents of hourly employees are not eligible for tuition waivers.~~
- ~~5) Eligibility requirements must be met each semester.~~



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~~5.3.4 Retired and disabled FTBE employees are eligible to receive tuition waiver benefits.~~

~~5.3.5 Dependents of tuition waiver FTBE employees, retired employees and/or deceased or disabled employees are eligible to receive tuition waiver benefits:~~

- ~~1) Upon approval of the supporting FTBE employee, retired employee or disabled employee.~~
- ~~2) Until the end of the semester in which the dependent no longer meets eligibility requirements.~~
- ~~3) A spouse of a deceased FTBE employee ceases to meet dependent eligibility requirements at the end of the semester in which he/she remarries.~~

~~5.4 Undergraduate Tuition Benefits~~

~~5.4.1 Eligible FTBE employees:~~

- ~~1) Receive a waiver of full tuition and general student fees.~~
- ~~2) Receive up to 18 credit hours per semester.~~

~~5.4.2 Eligible dependents of FTBE employees:~~

- ~~1) Receive a waiver of full tuition only.~~
- ~~2) Receive up to 18 credit hours per semester.~~

~~5.4.3 Eligible adjunct faculty:~~

- ~~1) Receive a waiver of tuition and general student fees.~~
- ~~2) Receive up to the number of credits taught in the semester.~~
- ~~3) May use a tuition waiver during the semester in which it was earned or during the semester immediately following (i.e., Fall to Spring, Spring to Summer and Summer to Fall).~~

~~5.4.4 Eligible hourly employees:~~

- ~~1) Receive a waiver of tuition and general student fees.~~
- ~~2) Receive a maximum of one class or 3 credit hours, whichever is greater, per semester.~~
- ~~3) May use a tuition waiver during the semester in which it was earned or during the semester immediately following (i.e., Fall to Spring, Spring to Summer and Summer to Fall).~~



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~~5.4.5 Eligible retired or disabled FTBE employees receive the same tuition and fee waiver they were eligible for as an active employee.~~

~~5.4.6 Eligible dependents of deceased or disabled FTBE employees or retired employees receive the same tuition waiver they were eligible for while the FTBE employee was an active employee.~~

~~5.5 Graduate Tuition Benefits~~

~~5.5.1 Tuition waivers for graduate courses are not provided.~~

~~5.6 Other/Limitations/Taxation Issues~~

~~5.6.1 Tuition waivers can be used for self-support credit classes included in the standard registration process.~~

~~5.6.2 In cases where an individual is eligible for both a tuition waiver and an University scholarship, the tuition waiver will be applied first. A tuition waiver benefit will not result in a cash credit (maximum of 100% tuition paid).~~

~~5.6.3 Only one eligibility classification may be used to obtain a tuition waiver.~~

~~5.6.4 Certain educational benefits received by employees, spouses and/or dependent children may be taxable under current IRS rules. If IRS rules stipulate that all or a portion of a tuition waiver benefit received is taxable, the University will add the taxable value of the waiver received to the employee's wages in box 1 of the employee's W-2.~~

~~5.6.5 Tuition waiver forms may be found in the Human Resources office or on the Human Resources web page.~~

POLICY HISTORY		



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 21, 2020
TITLE:	UVU Policy 605 <i>Curriculum Approval</i>
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Anne Arendt, Faculty Senate President
SUBJECT:	UVU Policy 605 <i>Curriculum Approval</i>
BACKGROUND:	<p>The current Policy 605 <i>Curriculum Approval</i> does not align accurately with current university curriculum creation and revision procedures; in addition, it does not align with current USHE standards affected by legislative changes enacted last year. The revisions to the curriculum policy will clarify oversight of and guidance for the curriculum review process. The policy will also be updated to:</p> <ul style="list-style-type: none"> • Include the current process for curriculum review, revision, and creation. • Clarify the roles of university-level and college-level curriculum committees. • Mandate process training will empower faculty to navigate this process with meaningful outcomes.
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve UVU Policy 605 <i>Curriculum Approval</i> for entrance into the UVU Policy Manual.” • Amend and approve, “I move to approve, as amended, UVU Policy 605 <i>Curriculum Approval</i> for entrance into the UVU Policy Manual.” • No action, “I move that we go to the next agenda item.”
FINANCIAL IMPACT:	

EXHIBITS:	a. Policy 605
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Proposed Policy Number and Title: 605 Curriculum Process		
Existing Policy Number and Title: 605 Curriculum Process		
Approval Process*		
<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Temporary Emergency	<input type="checkbox"/> Expedited
<input type="checkbox"/> New	<input type="checkbox"/> New	<input type="checkbox"/> New
<input checked="" type="checkbox"/> Revision	<input type="checkbox"/> Revision	<input type="checkbox"/> Revision
<input type="checkbox"/> Deletion	<input type="checkbox"/> Suspension	
	Anticipated Expiration Date:	
*See UVU Policy 101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date: <u>Proposed Stage 4 Draft, June 8, 2020</u>
President's Council Sponsor: <u>Anne Arendt</u> Ext. _____
Policy Steward: <u>Evelyn Porter, Sean Tolman,</u> Ext. _____

POLICY APPROVAL PROCESS DATES	
<p>Policy Drafting and Revision Entrance Date: <u>April 23, 2018</u></p> <p>University Entities Review Entrance Date: <u>3/19/2020</u> Close Feedback: <u>5/14/2020</u></p> <p>University Community Review Entrance Date: <u>5/28/2020</u> Open Feedback: <u>5/28/2020</u> Close Feedback: <u>6/8/2020</u></p> <p>Board of Trustees Review Entrance Date: <u>6/11/2020</u> Approval Date: _____</p>	<p style="text-align: center;">POST APPROVAL PROCESS</p> <p>Verify:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Policy Number <input type="checkbox"/> Section <input type="checkbox"/> Title <input type="checkbox"/> BOT approval <input type="checkbox"/> Approval date <input type="checkbox"/> Effective date <input type="checkbox"/> Proper format of Policy Manual posting <input type="checkbox"/> TOPS Pipeline and Archives update <p>Policy Office personnel who verified and posted this policy to the University Policy Manual</p> <p>Name: _____</p> <p>Date posted and verified: _____</p>



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POLICY TITLE	Curriculum Process	Policy Number	605
Section	Academics	Approval Date	
Subsection	Instruction and Curriculum	Effective Date	
Responsible Office	Office of the Provost		

1.0 PURPOSE

1.1 This policy defines roles and responsibilities for the management of all credit bearing curriculum and establishes the approval authority for curriculum procedures.

2.0 REFERENCES

2.1 Northwest Commission on Colleges and Universities' *Accreditation Standards and Policies*

2.2 Utah Code 53B-16 *Institutional Programs Generally*

2.3 Utah State Board of Regents' Policy R401 *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports*

2.4 Utah State Board of Regents' Policy R470 *General Education, Common Course Numbering, Lower-Division Pre-Major Requirements, Transfer of Credits, and Credit by Examination*

2.5 UVU Policy 103 *Constitution of the Faculty Senate of Utah Valley University*

2.6 UVU Policy 522 *Undergraduate Credit and Transcript*

2.7 UVU Policy 524 *Graduate Program Credit and Graduation Requirements*

2.8 UVU Policy 610 *Credit Hour*

3.0 DEFINITIONS

3.1 **Academic Affairs Council (AAC):** The university entity convened by the Provost and comprised of academic executives that approves revisions, deletions, and additions to curriculum.

3.2 **Course:** A single instructional subject commonly described by title, number, credits, and expected learning outcomes maintained in the university curriculum management system.



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3.3 Curriculum: Programs and courses offered by the University for credit.

3.4 Program: An approved selection of courses that leads to the completion of a degree, certificate, or other credential.

3.5 The University Curriculum Committee (UCC): A standing committee of Faculty Senate that approves revisions, deletions, and additions to curriculum. This committee is comprised of a minimum of one representative from each college/school to ensure an equal number of voting representatives for each college/school.

4.0 POLICY

4.1 University faculty exercise a central role in the design, approval, delivery, revision, periodic review, and deletion of curriculum.

4.2 Faculty in academic departments or programs develop curriculum proposals that align with the University's mission and comply with university policy and approved curriculum procedures, Utah Board of Regents' policies, and the Northwest Commission on Colleges and Universities' policies and standards.

4.3 New, deleted, or major modification of programs that require an R401 require the approval of both UCC (University Curriculum Committee) and AAC (Academic Affairs Committee). Other program modifications and courses require only UCC approval.

4.4 In accordance with NWCCU accreditation standards, all curriculum must receive formal approval through the curriculum process before it can be advertised and before students can be recruited or advised.

4.5 Curriculum shall be maintained in the university-approved curriculum management system and shall be required to be published in the university catalog.

4.6 All stakeholders must comply with the approved curriculum procedures.

4.7 Curriculum procedures will be maintained by University Curriculum Committee and approved by Faculty Senate and Academic Affairs Council. Approved curriculum procedures will be posted on the Curriculum Office website.

5.0 PROCEDURES

5.1 Responsible Parties in the Curriculum Process

5.1.1 The curriculum process operates through collaboration with multiple groups. These groups may include but are not limited to program/department faculty, department chairs within a



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college/school, college/school dean, intercollegiate review, college curriculum committees (CCCs), University Curriculum Committee (UCC), Academic Affairs Council (AAC), academic advisors, and designated staff offices. Additional approvals or notifications, depending on the nature of the curriculum change, may be required by UVU Board of Trustees, Utah System of Higher Education (USHE) Commissioner's Office, Utah Board of Regents, and the regional accrediting body (Northwest Commission on Colleges and Universities).

5.2 Roles and Responsibilities of Faculty/Programs/Departments

5.2.1 The faculty/program/department is responsible for

- 1) Participating in department strategic planning for curriculum;
- 2) Developing curriculum proposals according to university curriculum procedures and in coordination with instructional designers;
- 3) Ensuring curriculum proposals are submitted, peer-reviewed, and approved in accordance with university policy and curriculum procedures;
- 4) Ensuring curriculum proposals support departmental, college/school, and institutional strategic plans and missions;
- 5) Coordinating with other departments to resolve curriculum conflicts, redundancies, and contingencies connected to the impacted departments' curriculum, as required;
- 6) Ensuring all curriculum complies with specialized accreditation requirements, as applicable.

5.3 Roles and Responsibilities of College/School Deans and Department Chairs

5.3.1 College/school deans, or their designated curriculum representatives, and department chairs are responsible for

- 1) Ensuring curriculum proposals reflect college/school and institutional strategic plans and missions;
- 2) Evaluating financial impact and program viability of curriculum proposals and existing curriculum; and
- 3) Resolving curriculum conflicts and contingencies with impacted college/school deans or their designated curriculum representatives, as applicable.
- 4) Performing periodic program reviews and making recommendations for program revisions and deletions.



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5.4 Roles and Responsibilities of College Curriculum Committees (CCCs)

5.4.1 CCCs are responsible for

- 1) Fostering collaboration between departments;
- 2) Determining strategic fit for the college/school to reduce overlap and redundancy.;
- 3) Conducting an intra-college/school review of curriculum proposals.

5.5 Roles and Responsibilities of Designated University Staff

5.5.1 Designated University staff are responsible for

- 1) Working with the UCC to review all curriculum proposals in accordance with university policy and curriculum procedures;
- 2) Assisting faculty with submission of program proposals;
- 3) Maintaining the curriculum website; and
- 4) Publishing approved curriculum in the catalog and appropriate university systems.

5.5.2 Academic Advisors are responsible for

- 1) Providing feedback to faculty on the impact of proposals on students' ability to navigate the curriculum.

5.6 Roles and Responsibilities of the Academic Affairs Council (AAC)

5.6.1 The AAC is responsible for

- 1) Ensuring curriculum proposals reflect institutional strategic plans and missions;
- 2) Prioritizing institutional program submissions; and
- 3) Evaluating the financial impact and program viability of curriculum proposals and existing curriculum; and
- 4) Approving/disapproving curriculum proposals in parallel with UCC.

5.7 Roles and Responsibilities of the University Curriculum Committee (UCC)

5.7.1 The UCC is responsible for



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- 1) Reviewing and approving curriculum proposals to ensure
 - a) Curriculum proposals reflect institutional strategic plans and missions;
 - b) Consistency and prevent unnecessary redundancies in curriculum;
 - c) All curriculum complies with university policy and procedures, Utah State Board of Regents' standards, and the Northwest Commission on Colleges and Universities' policies and standards;
 - d) All curriculum proposals integrate with existing curriculum and adhere to completion initiatives;
- 2) Approving/disapproving curriculum proposals in parallel with AAC;
- 3) Conducting periodic program reviews in accordance with university curriculum procedures and section 1.7.1.1;
- 4) Developing, implementing, and maintaining university curriculum procedures for the curriculum approval process;
- 5) Coordinating with the Office of Teaching and Learning (OTL) to ensure faculty members receive curriculum design support and training;

5.8 Role and Responsibilities of the Provost

5.8.1 The Provost is responsible for

- 1) Determining which proposals will continue in the curriculum process based on discussions from the Institutional Review meeting;
- 2) Resolving conflicts between approval authorities; and
- 3) Approving any exceptions to approved timelines and procedures.

5.9 Curriculum Approval Process

5.9.1 Refer to university curriculum procedures and the Curriculum Office website for forms, deadlines, and assistance.

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity
January 12, 2017	Regular policy approved.	UVU Board of Trustees



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POLICY TITLE	Curriculum Approval Process	Policy Number	605
Section	Academics	Approval Date	January 12, 2017
Subsection	Instruction and Curriculum	Effective Date	January 12, 2017
Responsible Office	Office of the Senior Vice President of Academic Affairs		

1.0 PURPOSE

~~1.1 This policy establishes standards and procedures for undergraduate and graduate curriculum proposals. This policy also defines roles and responsibilities at the department, college/school, and university levels.~~

2.0 REFERENCES

- ~~2.1 Northwest Commission on Colleges and Universities, *Substantive Change Policy*~~
- ~~2.2 Northwest Commission on Colleges and Universities, *Standards for Accreditation, 2.C.5*~~
- ~~2.3 Utah Code 53B-16 *Institutional Programs Generally*~~
- ~~2.4 Utah State Board of Regents' Policy 401 *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports*~~
- ~~2.5 Utah State Board of Regents' Policy R470 *General Education, Common Course Numbering, Lower Division Pre-Major Requirements, Transfer of Credits, and Credit by Examination*~~
- ~~2.6 UVU Policy 103 *Constitution of the Faculty Senate of Utah Valley University*~~
- ~~2.7 UVU Policy 610 *Credit Hour*~~

3.0 DEFINITIONS

- ~~3.1 **Course:** A single instructional subject commonly described by title, number, credits, and expected learning outcomes in the college catalog or bulletin.~~
- ~~3.2 **Curriculum:** Programs and courses offered by the University.~~
- ~~3.3 **Program:** A systematic grouping of courses forming the requirements for a degree or a credential.~~

4.0 POLICY

~~4.1 University faculty have primary authority and responsibility in the design, approval, implementation, and revision of curriculum.~~

~~4.2 The University Curriculum Committee (UCC) is a standing committee of the Faculty Senate. The University Curriculum Committee approves changes, deletions, and additions to curriculum. Curriculum changes must be submitted, reviewed, and approved as curriculum proposals following the procedures outlined in this policy.~~

~~4.3 Curriculum is maintained in the university approved curriculum management system and published in the university catalog.~~

~~4.4 Curriculum proposals are developed and revised by academic departments in compliance with this policy and Utah Board of Regents' policies and must be evaluated and approved through established procedures to ensure proposals are in alignment with the University's mission.~~

~~4.5 Once approved by the appropriate authorities, curriculum proposals become university curriculum and at that time may be advertised, promoted, or offered.~~

5.0 PROCEDURES

5.1 Structure and Membership of Curriculum Committees

~~5.1.1 The internal curriculum approval process operates at five levels: department chair, college/school curriculum committee (CCC), college/school dean, University Curriculum Committee (UCC), and Senior Vice President of Academic Affairs (SVPAA). Program additions, deletions, or substantial modifications require approval from the UVU Board of Trustees, Utah System of Higher Education (USHE) Commissioner's Office, Utah Board of Regents, and regional accrediting body (Northwest Commission on Colleges and Universities).~~

~~5.1.2 CCC structure and membership shall be established in a committee charter by each college/school and ratified by a majority of the tenure track and tenured faculty members of each college/school. Only tenure track or tenured faculty members can be voting members of CCCs.~~

~~5.1.3 Each dean shall appoint an associate or assistant dean to serve as the curriculum representative on the CCC. Associate or assistant deans elected by faculty representatives to chair the CCC cannot be appointed to represent the college/school dean. In this case, the dean shall appoint a different representative.~~

~~5.1.4 Curriculum proposals are approved by the department chair at the department level. Departments shall establish a department curriculum committee to develop and review curriculum proposals and advise faculty members and the department chair on curriculum development. Department curriculum committees should include academic advisors and other relevant staff as ex officio, non-voting attendees.~~

5.2 Roles and Responsibilities

5.2.1 Faculty members are responsible for developing high-quality curriculum proposals according to institutional guidelines and in coordination with instructional designers and department and/or college curriculum committees.

5.2.2 The department chair is responsible for:

- 1) Ensuring faculty members have fulfilled their responsibilities;
- 2) Ensuring curriculum changes are submitted, reviewed, and approved as curriculum proposals following the procedures outlined in this policy;
- 3) Ensuring curriculum proposals support departmental and institutional missions;
- 4) Verifying department faculty review and support of curriculum proposals; and
- 5) Ensuring all curriculum complies with specialized accreditation requirements, as applicable.

5.2.3 CCCs are responsible for:

- 1) Reviewing curriculum proposals for adherence to institutional guidelines;
- 2) Coordinating curriculum proposals as needed with relevant offices on campus; and
- 3) Assisting departments in curriculum review and making recommendations to department chairs.

5.2.4 College/school dean curriculum representatives are responsible for:

- 1) Ensuring curriculum proposals reflect college/school strategic plans;
- 2) Evaluating financial impact and program viability of curriculum proposals; and
- 3) As applicable, resolving curriculum conflicts and contingencies with impacted college/school deans or their curriculum representatives.

5.2.5 Designated Student Affairs personnel are responsible for:

- 1) Conducting technical reviews of all curriculum proposals prior to inclusion on UCC agendas; and
- 2) Publishing approved curriculum in the catalog and appropriate university systems.

~~5.2.6 Designated Academic Affairs personnel are responsible for conducting technical review of all R401 proposals prior to inclusion on UCC agendas.~~

~~5.2.7 The UCC is responsible for:~~

- ~~1) Supporting faculty members in designing curriculum effectively;~~
- ~~2) Implementing guidelines for the efficient development and approval of curriculum;~~
- ~~3) Reviewing and approving curriculum proposals submitted by CCCs;~~
- ~~4) Ensuring consistency and monitoring unnecessary redundancies in curriculum;~~
- ~~5) Ensuring all curriculum complies with the policies and standards of the Utah State Board of Regents and regional accrediting body (Northwest Commission on Colleges and Universities).~~

~~5.3 Curriculum Approval Process~~

~~5.3.1 Curriculum proposals may include additions, deletions, or modifications to existing programs and courses such as title, number, prefix, credit hours, instruction type/credit ratio, prerequisites, co-requisites, description, repeatable status/credit totals, grade type, cross-listing, and institutional status (e.g., General Education, Global Intercultural, Honors, etc.).~~

~~5.3.2 The strategic plan of a college/school should drive program additions, deletions, or significant modifications.~~

~~5.3.3 Curriculum proposals for new programs, program deletions, and program modifications of more than 50 percent shall be submitted to Academic Affairs Council for preliminary approval prior to submission in the curriculum management system.~~

~~5.3.4 Curriculum proposals are developed by a faculty member in the department and submitted in the curriculum management system. Courses included as requirements or electives in a new or modified program proposal must be concurrently submitted and approved as part of the program proposal or modification.~~

~~5.3.5 The department chair reviews and approves curriculum proposals after verifying support of the faculty and the department curriculum committee as applicable. These responsibilities may be delegated to a department curriculum committee, but the chair must approve or deny the proposal or return it to the faculty member with recommendations.~~

~~5.3.6 The CCC reviews and approves curriculum proposals forwarded from the department chair. All curriculum proposals must be approved by majority vote of the CCC or denied and returned to the faculty member with recommendations.~~

~~5.3.7 A review of all curriculum proposals will be conducted by designated Student Affairs personnel and all R401 proposals by designated Academic Affairs personnel prior to inclusion on the UCC agenda.~~

~~5.3.8 The UCC reviews and approves curriculum proposals approved and submitted by CCCs.~~

~~1) Curriculum proposals on the UCC agenda are designated as information, consent, or action items. Information items do not require UCC approval.~~

~~2) Consent items do not require UCC review unless the Committee identifies issues that would need further discussion and cross-department coordination.~~

~~3) Action items require UCC review.~~

~~5.3.9 All curriculum proposals must be approved by majority vote of the UCC or denied and returned to the faculty member with recommendations. The UCC chair votes only in the case of a tie.~~

~~5.3.10 The SVPA reviews and approves curriculum proposals approved by the UCC and forwards them for review and approval by external bodies as required, such as the UVU Board of Trustees, Utah State Board of Regents, and Northwest Commission on Colleges and Universities.~~

POLICY HISTORY		
January 12, 2017	Revised policy approved.	UVU Board of Trustees



UVU BOARD OF TRUSTEES
Agenda Item Coversheet

DATE:	June 21, 2020
TITLE:	UVU Policy 635 <i>Faculty Rights and Professional Responsibilities</i>
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Wayne Vaught, Provost Kat Brown, Associate Provost, Academic Administration
SUBJECT:	UVU Policy 635 <i>Faculty Rights and Professional Responsibilities</i>
BACKGROUND:	<p>Policy 635, a joint Academic Affairs and Faculty Senate undertaking, has been updated to reflect the role of faculty in the university mission and university governance, and to clarify and expand faculty rights and responsibilities in the areas of teaching, service, as well as professional activities, scholarship, and creative works. It also delineates and clarifies university obligations to the faculty member. It updates the rights and responsibilities of faculty as citizens and adds the section of rights and responsibilities to the university community. Specific procedures for course instruction are still included with added details that inform yet allow flexibility.</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve UVU Policy 635 <i>Faculty Rights and Professional Responsibilities</i> for entrance into the UVU Policy Manual.” • Amend and approve, “I move to approve, as amended, UVU Policy 635 <i>Faculty Rights and Professional Responsibilities</i> for entrance into the UVU Policy Manual.” • No action, “I move that we go to the next agenda item.”
FINANCIAL IMPACT:	There is no financial impact.

EXHIBITS:	a. Policy 635



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Proposed Policy Number and Title: <i>635 Faculty Rights and Professional Responsibilities</i>		
Existing Policy Number and Title: <i>635 Faculty Rights and Professional Responsibilities</i>		
Approval Process*		
<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Temporary Emergency	<input type="checkbox"/> Expedited
<input type="checkbox"/> New	<input type="checkbox"/> New	<input type="checkbox"/> New
<input checked="" type="checkbox"/> Revision	<input type="checkbox"/> Revision	<input type="checkbox"/> Revision
<input type="checkbox"/> Deletion	<input type="checkbox"/> Suspension	
	Anticipated Expiration Date:	
*See UVU Policy #101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date: <u>Proposed Stage 4 Draft, 04/21/2020</u>
President's Council Sponsor: <u>Wayne Vaught</u> Ext. _____
Policy Steward: <u>Kat Brown</u> Ext. _____

POLICY APPROVAL PROCESS DATES	
<p>Policy Drafting and Revision</p> <p>Entrance Date: <u>03/24/2016</u></p> <p>University Entities Review</p> <p>Entrance Date: <u>08/19/2019</u> Close Feedback: <u>11/08/2019</u></p> <p>University Community Review</p> <p>Entrance Date: <u>03/19/2020</u> Open Feedback: <u>03/19/2020</u> Close Feedback: <u>04/20/2020</u></p> <p>Board of Trustees Review</p> <p>Entrance Date: <u>04/23/2020</u> Approval Date: _____</p>	<p style="text-align: center;">POST APPROVAL PROCESS</p> <p>Verify:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Policy Number <input type="checkbox"/> Section <input type="checkbox"/> Title <input type="checkbox"/> BOT approval <input type="checkbox"/> Approval date <input type="checkbox"/> Effective date <input type="checkbox"/> Proper format of Policy Manual posting <input type="checkbox"/> TOPS Pipeline and Archives update <p>Policy Office personnel who verified and posted this policy to the University Policy Manual</p> <p>Name: _____</p> <p>Date posted and verified: _____</p>



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POLICY TITLE	Faculty Rights and Professional Responsibilities	Policy Number	635
Section	Academics	Approval Date	
Subsection	Faculty	Effective Date	
Responsible Office	Office of the Provost		

1.0 PURPOSE

1.1 Institutions of higher education exist for the common good, which depends upon the free search for knowledge and its free expression. In support of its mission, Utah Valley University is committed to fostering a culture of academic rigor and professional excellence while operating ethically, effectively, and in compliance with legal requirements. These commitments require dedication from the University and its faculty to both academic freedom and professional responsibility. This policy sets forth the rights and responsibilities of faculty members consistent with principles of academic freedom and professional responsibility as articulated in the *1940 Statement of Principles on Tenure and Academic Freedom and Tenure (AAUP)* and the *1966 Statement on Professional Ethics (AAUP)*, respectively.

2.0 REFERENCES

- 2.1 *Family Educational Rights and Privacy Act of 1974 (FERPA)*, 20 U.S.C. § 1232g (1974)
- 2.2 *Title VII of the Civil Rights Act of 1964*, 42 U.S.C. § 2004 (1971)
- 2.3 *Title IX of the Educational Amendments of 1972*, 20 U.S.C. § 1681 et seq. (1972)
- 2.4 *1940 Statement of Principles on Tenure and Academic Freedom*, American Association of University Professors (AAUP)
- 2.5 *Statement on Professional Ethics*, AAUP, 1966, 1987, 2009
- 2.6 *Institutional Programs Generally*, Utah Code Ann. § 53B-16-101 (2017)
- 2.7 *Utah Governmental Immunity Act*, Utah Code Ann. § 63G-7-101 (2017)
- 2.8 Utah State Board of Regents' Policy R312 *Utah System of Higher Education and Institutional Missions and Roles*
- 2.9 Utah State Board of Regents' Policy R481 *Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review*



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- 2.10 Utah Board of Regents' Policy R482 *Bona Fide Financial Exigency and Personnel Reduction*
- 2.11 Utah Board of Regents' Policy R485 *Faculty Workload Guidelines*
- 2.12 Utah Board of Regents' Policy R840 *Institutional Business Communications*
- 2.13 UVU Policy 114 *Conflict of Interest*
- 2.14 UVU Policy 133 *Compliance with Government Records Access and Management Act*
- 2.15 UVU Policy 136 *Intellectual Property*
- 2.16 UVU Policy 137 *Sponsored Programs (Grants, Contracts, Cooperative Agreements)*
- 2.17 UVU Policy 154 *Workplace Violence*
- 2.18 UVU Policy 161 *Freedom of Speech*
- 2.19 UVU Policy 162 *Sexual Misconduct*
- 2.20 UVU Policy 165 *Discrimination, Harassment, and Affirmative Action*
- 2.21 UVU Policy 323 *Guidelines for Consulting*
- 2.22 UVU Policy 324 *Drug-free Workplace*
- 2.23 UVU Policy 541 *Student Code of Conduct*
- 2.24 UVU Policy 542 *Student Records Access (Student Privacy/FERPA)*
- 2.25 UVU Policy 601 *Classroom Instruction and Management*
- 2.26 UVU Policy 606 *Adoption of Course Materials and Textbooks*
- 2.27 UVU Policy 632 *Assignment and Advancement in Academic Rank*
- 2.28 UVU Policy 633 *Annual Faculty Reviews*
- 2.29 UVU Policy 636 *Research Ethics and Compliance*
- 2.30 UVU Policy 637 *Faculty Tenure*
- 2.31 UVU Policy 639 *Adjunct Faculty*
- 2.32 UVU Policy 641 *Salaried Faculty Workload–Academic Year*



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2.33 UVU Policy 644 *Appointment and Responsibilities of Department Chairs*

2.34 UVU Policy 646 *Faculty Appeals for Retention, Tenure and Promotion*

2.35 UVU Policy 647 *Faculty Grievance*

2.36 UVU Policy 648 *Faculty Personnel Reduction (Interim Policy)*

3.0 DEFINITIONS

3.1 Civility: Claiming and caring for one's own identity, needs, or beliefs without degrading someone else or someone else's identity, needs, or beliefs in the process.

3.2 Faculty: For the purposes of this policy, an employee hired into a faculty position categorized as a full-time, benefits-eligible employee, whether tenured, tenure-track, or non-tenure track.

3.3 Impermissible academic assistance: Impermissible academic assistance includes but is not limited to the provision or arrangement of

3.3.1 Substantial assistance that is not generally available to an institution's students when this assistance results in the certification of a student-athlete's eligibility to participate in intercollegiate athletics, receive financial aid, or earn an Academic Progress Rate point. While determination of what constitutes 'substantial' assistance is fact-specific, substantial assistance generally includes a considerable amount of assistance provided to the student-athlete that is of significant value to the student-athlete and not generally available or offered to non-student athletes.

3.3.2 An academic exception that results in a grade change, academic credit, or fulfillment of a graduation requirement when such an exception is not generally available to the institution's students and the exception results in the certification of a student-athlete's eligibility to participate in intercollegiate athletics, receive financial aid, or earn an Academic Progress Rate point.

3.4 Research misconduct: Fabrication, falsification, plagiarism, willful disregard of policies related to research, or other practices that seriously deviate from practices that are commonly accepted within the academic research community for proposing, conducting, or reporting research. This does not include honest errors or honest differences in interpretations or judgments of data or data sets interpretation of.

3.5 Retention, tenure, and promotion (RTP) criteria: Program/department criteria corresponding to teaching, scholarship/creative works, and service, outlining requirements for the achievement of retention (including post-tenure), tenure, and promotion for tenure-track and tenured faculty members in compliance with university policies.



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3.6 Sponsored Research: Systematic study directed toward enhanced scientific or scholarly knowledge or toward understanding of the subject matter, or the use of such knowledge or understanding directed toward the production of useful materials, devices, systems, or methods that is funded through a sponsored program. All sponsored research will be in accordance with Policy 137. Academic tasks undertaken for the sole purpose of furthering personal knowledge or understanding of the subject matter, such as assignments in undergraduate courses, are not considered “research” under this policy.

4.0 POLICY

4.1 Scope of this Policy

4.1.1 This policy applies to all full-time faculty employed by Utah Valley University, whether tenured, tenure-track, or non-tenure track. Failure by faculty members to comply with the responsibilities stated in this policy may lead to remedial or disciplinary action, up to and including dismissal. (See UVU Policy 639 *Adjunct Faculty* for the rights and responsibilities of adjunct faculty).

4.1.2 Procedures, rights, responsibilities and duties specified in section 5.0 apply to all faculty members as defined in section 3.3. Procedures, rights, and responsibilities may be specified by individual departments or other university policies or guidelines, as approved by appropriate entities.

4.2 Academic Freedom

4.2.1 All faculty members are free to discuss any matter in the classroom related to the subject of the course, to explore all avenues of scholarship, research, and creative expression, and to speak or write without institutional discipline or restraint on matters of public concern, inside and outside the academic context, including matters related to professional duties and the functioning of the University. Whether it engenders hostility, pressure, or praise for the University, this freedom of expression shall remain secure for UVU faculty. When faculty members engage in their constitutionally protected exercises of freedom of expression, assembly, and association, including lawful participation in political activities as private citizens, these exercises do not violate their duties to UVU or its members or profession.

4.2.2 When faculty members speak or write as citizens rather than employees, they should be free from university censorship, reprisal, or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their university by their utterances. Hence, at all times they should strive for accuracy, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the University (See *AAUP 1940*).



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4.2.3 Faculty shall not use academic freedom or freedom of speech as a pretext to discriminate or create a hostile environment within the meaning of Title IX of the Educational Amendments of 1972, Title VII of the Civil Rights Act of 1964, or other applicable laws. Academic freedom does not permit faculty members to violate the rights of students or other employees secured by law and UVU policies. Faculty shall also not use academic freedom in the classroom as a pretext to discuss controversial matter that is unrelated to their subject.

4.3 University Obligations to Faculty

4.3.1 Consistent with Utah law, the University shall provide faculty members support in professional activities inside and outside the classroom, on and off campus, in defense of academic freedom and in defense of any resulting litigation. For purposes of this policy, professional activities are those described or required by each department's RTP criteria.

4.3.2 Faculty members can expect the University to provide a teaching environment adequately equipped and an environment that encourages research, creative works, and professional development appropriate to the mission and demands of a teaching university. Faculty can also expect a working environment free from violence or systematic disruption per university policies.

4.3.3 Faculty members have a right to reasonable assistance from the University in improving their skills and developing their talents related to their job duties.

4.3.4 Subject to university, curriculum, and scheduling needs, faculty members shall be assigned reasonable workloads sufficient to carry out their individual duties consistent with university policy and in accordance with Utah Board of Regents' Policy R312 *Utah System of Higher Education and Institutional Missions and Roles*, Policy R485 *Faculty Workload Guidelines* and UVU Policy 641 *Salaried Faculty Workload*.

4.4 General Rights and Responsibilities

4.4.1 In their interactions with other faculty members, administrators, staff members, and university community members, faculty members shall conduct themselves with reasonable standards of professionalism. Examples of inappropriate behavior include but are not limited to requiring the performance of inappropriate personal services; assigning tasks for punishment rather than for educational or job-related reasons; intentional disruption of teaching, research, service, or administrative activities; and neglect of necessary communications with students and other employees.

4.4.2 Delegated by the Utah State Board of Regents, the President has the authority to develop policy for the institution subject to the approval of the UVU Board of Trustees. Faculty members shall comply with all current university policies and procedures applicable to employees, including faculty.



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4.4.3 Faculty members shall competently perform their responsibilities as teachers and members of the faculty at a regional university per Utah Code Section 53B-16-101. Decisions related to a faculty member's competence in the areas of teaching, scholarship, responsibility, and service will be based on UVU policies and guidelines and will be consistent with relevant college or departmental criteria.

4.4.4 In interactions with other faculty members, administrators, staff, and students, faculty members shall conduct themselves with reasonable standards of professionalism and civility. Examples of professionalism and civility include but are not limited to responding promptly to emails and other requests for action from supervisors, faculty peers, staff, and students; facilitating the success of committees in their intended goals through collaboration, constructive discussion, and action; accepting reasonable requests for collaboration pertaining to the faculty's area of study, pedagogical and scholarly goals, or goals of the department and school; addressing disagreements openly, professionally, and respectfully, which can include appropriate mediation, prompt attention to complaints, and good faith efforts to resolve issues; and/or avoiding intentional disruption of teaching, scholarly/creative work, or administrative meetings or activities.

4.4.5 Faculty members shall comply with instructions, whether verbal, written, or electronic, from their chair, dean, provost or president respecting the timely performance of their essential duties so long as the instructions are consistent with the law and UVU policy, including the rights stated in this policy. Faculty have the right to an unbiased grievance process in accordance with UVU Policy 647 *Faculty Grievances* in matters of department, college or university, employment, or academic concerns.

4.4.6 Faculty members have a right to due process commensurate with their faculty appointment—as set forth in Policy 648 and other applicable university policies including Policy 648—in any disciplinary matter. This includes a right to be heard, a right to decision and review by impartial persons or bodies, and a right to adequate notice.

4.4.7 To the extent permissible by law and university policy, faculty, staff, administrators, and students have a right to privacy in their dealings with the University, including the right to expect that certain records of their association with the University are treated as confidential. Faculty members shall not access, use, or disclose private or confidential information, unless permitted by applicable law or university policy. Faculty members shall also store and dispose of records containing private or confidential information, including those stored electronically, in accordance with law and university policy.

4.4.8 All faculty members shall complete trainings required by President's Council, their department chair, their dean, or the Provost by the stated deadlines.

4.4.8.1 Faculty members have a right to fair notice of any required trainings in advance of the deadline. Fair notice must be in writing (email is acceptable) and at 60 calendar days in advance



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of the deadline, excluding holidays, off-contract periods (e.g., summers), and university-approved leaves of absence (other than vacation, personal, and consulting leave).

4.5 Rights and Responsibilities in Teaching

4.5.1 Faculty members shall encourage the pursuit of learning in an atmosphere of civility and respect, respect the rights of others, exhibit and foster honest academic conduct, and evaluate students based on fair and objective criteria outlined in the course objectives and syllabi. (See AAUP's *Statement on Professional Ethics*).

4.5.2 Faculty members are entitled to academic freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter that has no relation to the subject of the course (see AAUP, 1940, 1970). Faculty members shall adhere to the subject matter and course objectives as stated in course catalogs and syllabi.

4.5.3 Faculty members shall not require students to accept their personal beliefs or opinions. Where faculty members find it pedagogically useful to advocate a position on controversial matters, they shall exercise care to ensure that opportunities exist for students to consider other views.

4.5.4 Faculty members have a responsibility to maintain their teaching competence and strive for improvement as needed. Faculty members shall engage in reasonable and substantial preparation for the teaching of their courses, appropriate to the educational objectives to be achieved and consistent with the standards of the discipline. Faculty members shall strive to create learning environments that promote free inquiry and critical thinking.

4.5.5 Faculty members shall meet their obligations pertaining to course instruction, including holding class as scheduled, presenting approved curriculum appropriate to the subject matter, grading and responding to students in a timely manner, grading students on clear and objective standards related to the course, and being available to assist students outside regularly scheduled class times, as determined by the department/school/college.

4.5.6 Any faculty member or employee with authority to assign or recommend course materials for any course offered by the University shall do so based on sound academic values and UVU Policy 606 *Adoption of Course Materials and Textbooks*

4.5.7 UVU is dedicated to providing a fair learning environment to all of its students. Faculty members are prohibited from engaging in impermissible academic assistance as defined above in section 3.3 and as prohibited by the National Collegiate Athletic Association. Faculty members shall participate as necessary in any investigation into allegations of impermissible academic assistance, including facilitating expedited investigations where appropriate.

4.5.8 Faculty members shall not plagiarize ideas and works of students. When faculty members and students work together, appropriate credit shall be given to students. Faculty members shall



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not limit or curtail the right of any student to publish or otherwise communicate the result of the student's own independent scholarly activities.

4.5.9 Faculty members shall not use their positions and authority to obtain uncompensated labor or to solicit gifts or favors from students. Faculty members shall not ask students to perform services unrelated to legitimate requirements of a course unless the student is reasonably compensated for such services and the service rendered does not violate any law or university policy.

4.6 Rights and Responsibilities in Professional Activities, Scholarship, and Creative Work

4.6.1 Faculty members have a responsibility to maintain their scholarly/creative competence and strive for improvement as needed.

4.6.2 Faculty members shall uphold the academic and ethical standards of professional behavior in scholarly and creative endeavors established by the University and by their respective discipline(s).

4.6.3 Faculty members are entitled to full freedom in research and creative works and in the publication, display, and exhibition of the results, subject to the acceptable performance of their other academic duties and compliance with state and federal regulations and university policy.

4.6.4 Faculty members shall exercise reasonable care in meeting their obligations to their associates when they are engaged in joint research or some other professional effort.

4.7 Rights and Responsibilities in Service

4.7.1 UVU is committed to serving both university and public communities. Faculty members shall uphold the University's commitment to service by carrying out service relevant to the University's mission and as expected in their respective RTP criteria and/or university policies and procedures.

4.7.2 Except in extenuating circumstances and absent teaching a scheduled course, faculty members shall attend department meetings on a regular basis to provide input regarding department decision-making.

4.7.3 Faculty members shall support their departments, colleges/schools, and University by actively participating in committees, task forces, university councils, and/or other activities relevant to the mission of the University. Faculty members shall be active, responsive, constructive, and civil in their service on committees of all levels. Faculty members shall accept reasonable departmental requests for collaboration pertaining to the faculty's area of study, pedagogical and scholarly goals, or goals of the department and school.



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4.7.4 To ensure faculty control over faculty areas, senior faculty members are responsible to provide advice and assistance to their junior faculty colleagues as needed concerning matters including but not limited to retention, tenure, and promotion policies, processes, and criteria.

4.7.5 Faculty members shall perform formal annual reviews and other evaluations of colleagues as may be required by policy; formal evaluations shall be conducted professionally and objectively, respecting and defending the free inquiry of colleagues.

4.7.6 Faculty members shall support their disciplines, professional organizations, and communities by participating in activities and groups that are directly related to their disciplines and to the mission of the University, including but not limited to service in professional societies, planning or chairing conferences or conference sessions, participating in peer review for their professional or discipline organizations, or reviewing materials for publication, exhibit, or performance, per department RTP criteria.

4.8 Rights and Responsibilities to Members of the University Community

4.8.1 Faculty members shall address workplace conflicts openly, professionally, and respectfully, which can include appropriate mediation, prompt attention to complaints, and good faith efforts to resolve issues.

4.8.1.1 Faculty members have the right to no cost, formal or informal conflict resolution or consultation services or training through university Faculty Relations services when attempting to resolve workplace conflicts. See Section 5.4.6.2.

4.8.2 Faculty members shall not purposely mislead the university by misrepresenting their qualifications as a faculty member or eligibility for university employee benefits.

4.8.3 Faculty members shall avoid exploiting the university's name or their own relation with the university for personal reasons unrelated to their legitimate academic or professional activities. They must not intentionally create the impression, in public appearances or statements, that they are representing the university, unless in fact, they are.

4.8.4 Faculty members shall respect university property and programs, and shall respect and acknowledge, when appropriate, the legitimate activities and contributions of other persons on the university campus.

4.8.5 Faculty members shall not purposely incite others to engage in unlawful activity.

4.8.6 When conducting email correspondence with the university or as required by UVU policies and Utah Board of Regents' Policy R840, faculty members shall use their university-assigned email. Faculty members and the university shall comply with applicable policies and protocols regarding faculty members' use of email, including UVU Policy 441 *Appropriate Use of*



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Computing Facilities and the Utah Board of Regents' Policy R840 Institutional Business Communications.

4.8.7 Faculty members are responsible to maintain confidentiality of privileged or confidential information and may face disciplinary action for any unauthorized disclosure or misuse, even if it is unintentional.

4.9 Rights and Responsibilities in University Governance

4.9.1 Faculty members have the right and responsibility to participate in the governance of the University in accordance with Utah law, Utah Board of Regents' policies, and university policies.

4.9.2 Pursuant to relevant university policies and procedures, faculty members have primary responsibility for curriculum, subject matter and methods of instruction, research, creative works, performance, and faculty status.

4.9.3 Pursuant to relevant university policies and procedures, faculty members have designated responsibilities concerning the following decisions regarding faculty: a) academic appointments, b) reappointments and decisions to not reappoint at midterm review, c) the granting of tenure, d) promotions, and e) dismissal for academic reasons. Recommendations in these matters shall be made by faculty participation through established procedures and authorized by appropriate academic officers and the President, with final action by the Board of Trustees. Scholars in a particular field or activity have the chief competence for judging the academic work of their peers; in such competence, it is implicit that responsibility exists for both adverse and favorable judgments.

4.9.4 Where their rank and status are appropriate, faculty members have the right to vote on faculty appointments, promotions, and tenure, and to vote for representatives to college and university representative bodies.

4.9.5 Subject to approval by the President, Board of Trustees, federal and state authorities, and accrediting bodies, the faculty set the requirements for the degrees offered, determine when students have met the requirements, and recommend to the President and Board of Trustees the granting of degrees.



UTAH VALLEY UNIVERSITY Policies and Procedures

5.0 PROCEDURES

5.1 Rights and Responsibilities in Teaching

5.1.1 Curriculum

5.1.1.1 Subject to curriculum and accreditation needs and guidelines of departments, colleges/schools, and the University, faculty members shall design, review, and revise curriculum and courses.

5.1.1.2 Faculty members have the right and responsibility to develop and improve their pedagogy, course and materials.

5.1.2 Course Instruction

5.1.2.1 Faculty and employees assigning self-authored course materials shall follow Policy 606 *Adoption of Course Materials and Textbooks*. Except for reimbursement of out-of-pocket costs, faculty and employees may not accept or retain royalties or any other personal compensation or material benefit from the sale or furnishing of course materials they authored to students in their own classes, in any classes in their department, or department/college for which they have authority to assign or recommend course materials. They may, however, 1) designate such royalties or compensation into a department-wide fund, as approved by the college/school dean in consultation with the university Compliance Officer; or 2) written evidence demonstrating arrangements with the publisher and bookstore under which the faculty member's royalty or personal compensation is deducted from the price of the materials.

5.1.2.2 At the beginning of the course, faculty members shall supply a syllabus for each course they teach that clearly communicates course structure, schedule, student expectations, expected course outcomes and methods of assessment. Each syllabus shall also include the university-approved disability accommodation, religious accommodation, and Title IX statements, which can be found on Canvas. Faculty members set appropriate standards for student performance in their courses, subject to university standards. Faculty members shall adhere to the subject matter and course objectives as stated in course catalogs and syllabi, however, faculty have the right to modify syllabi during a course to meet the needs of the course, provided students have reasonable notice.

5.1.2.3 Faculty members are expected to meet their regularly scheduled classes and hold class for the scheduled length. Alteration of schedules, cancellation or rescheduling of classes may be done only for valid academic reasons and after adequate notice to students and the department chair. Any faculty member anticipating an absence of more than one week in length or two weeks total in a semester must have the approval of their chair and dean before the first absence takes place. Failure to meet scheduled classes without prior notice to students and department chair is excusable only for extenuating reasons beyond the control of faculty members.



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5.1.2.4 Faculty members shall designate and teach courses as an alternative modality such as online or hybrid only after completing the appropriate University approval process established by Academic Affairs.

5.1.2.5 In accordance with school/college guidelines, faculty members with teaching responsibilities shall establish and maintain regular office hours, face to face and/or online, for consultation with students, or otherwise ensure students are able to consult with them in a timely manner on course-related matters.

5.1.2.6 Faculty members shall not require students to attend class or submit any assignments or assessments on a scheduled reading day. Faculty members shall adhere to UVU Policy 601 *Classroom Instruction and Management* when holding final exams or other assessments. .

5.1.2.7 In accordance with university policies and department or school/college retention, tenure, and promotion criteria, faculty members shall comply with reasonable and appropriate requests for peer, supervisor, and student evaluations of their teaching.

5.1.2.8 Faculty shall store personally identifiable student information only in university-approved locations, systems, or devices.

5.2 Rights and Responsibilities in Professional Activities, Scholarship, and Creative Work

5.2.1 Faculty members shall submit scholarly or creative works for peer or competitive review per their department's RTP criteria. Such review may occur in a variety of academic or professional venues, including but not limited to, conference presentations and proceedings, symposia, seminars, exhibits, performances, and appropriate scholarly or professional publications.

5.2.2 Research and creative works conducted by faculty shall be in compliance with UVU Policy 114 *Conflict of Interest* and UVU Policy 136 *Intellectual Property*.

5.2.3 Faculty members engaging in sponsored research shall consult with the Office of Sponsored Programs (OSP), and follow applicable University policies.

5.3 Rights and Responsibilities in University Governance

5.3.1 Tenured and tenure-track faculty members and/or other eligible voters as determined by the department shall have the right to elect and/or recall their department chair by majority vote as provided in Policy 644 *Appointment and Responsibilities of Department Chairs*.

5.3.2 Faculty members have the right to present position-related concerns to their dean through their department chair. If they feel the department chair is not adequately representing them, they have the right to address that concern with the dean. If faculty feel the dean is not adequately representing them, they shall have the right to address that concern with the Associate Provost



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directly or through appropriate Faculty Senate representatives by submitting concerns to the Faculty Relations Manager in accordance with Policy 646 *Faculty Grievances*.

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity
April 15, 2010	Approved for Policy Manual	UVU Board of Trustees



UTAH VALLEY UNIVERSITY Policies and Procedures

POLICY TITLE	Faculty Rights and Professional Responsibilities	Policy Number	635
Section	Academics	Approval Date	April 15, 2010
Subsection	Faculty	Effective Date	April 15, 2010
Responsible Office	Office of the Senior Vice President of Academic Affairs		

1.0 PURPOSE

~~1.1 Institutions of higher education exist for the common good, which depends upon the free search for knowledge and its free exposition. This policy sets forth the rights and responsibilities of faculty members consistent with principles of academic freedom as articulated in the 1940 Statement of Principles on Tenure and Academic Freedom (AAUP).~~

2.0 REFERENCES

~~2.1 1940 Statement of Principles on Tenure and Academic Freedom, American Association of University Professors (AAUP)~~

~~2.2 Federal Educational Rights and Privacy Act (FERPA)~~

~~2.3 Utah Code, Title 63G, Chapter 07, Utah Governmental Immunity Act~~

~~2.4 Utah State Board of Regents' Policy R481 Academic Freedom, Professional Responsibility, and Tenure~~

~~2.5 UVU Policy 114 Conflict of Interest~~

~~2.6 UVU Policy 136 Intellectual Property~~

~~2.7 UVU Policy 542 Student Records Access (Student Privacy/FERPA)~~

~~2.8 UVU Policy 639 Adjunct Faculty~~

~~2.9 UVU Policy 641 Salaried Faculty Workload Academic Year~~

~~2.10 UVU Policy 646 Faculty Appeals for Retention, Tenure and Promotion~~

3.0 DEFINITIONS



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34 **3.1 Faculty:** For the purposes of this policy, the term “faculty” or “faculty members” shall mean
35 salaried, benefits-eligible faculty members. (See UVU Policy 639 *Adjunct Faculty* for the rights
36 and responsibilities of adjunct faculty.)

37
38 **3.2 Peer review:** The evaluation of scholarly or creative work or performance by other
39 professionals in the same field or in closely related fields to ensure and enhance the quality of the
40 work or performance in that field.

4.0 POLICY

4.1 Academic Freedom and Faculty Rights and Responsibilities at UVU

45
46 **4.1.1** Academic freedom shall be recognized as a right of all members of the faculty as they
47 engage in teaching, scholarly and creative activities, and service to the University and their
48 professions.

49
50 **4.1.2** Faculty members shall be entitled to due process as set forth in applicable university
51 policies.

52
53 **4.1.3** Subject to university, curriculum, and scheduling needs, faculty members shall be entitled
54 to reasonable workloads sufficient to carry out their individual duties consistent with university
55 policy. (See UVU Policy 641 *Salaried Faculty Workload*.)

56
57 **4.1.4** Faculty members shall demonstrate civility towards others; those with differing opinions
58 shall be treated likewise by fellow faculty, staff, and students.

59
60 **4.1.5** As with all state employees, faculty members are entitled to and subject to the provisions,
61 protections, and requirements of the *Utah Governmental Immunity Act*, specifically including
62 those provisions concerning defense of claims brought against a faculty member as more fully
63 set forth in Utah Code Section 63G-7-902.

4.2 Faculty Rights and Responsibilities in Teaching

64
65
66
67 **4.2.1** Faculty members shall encourage the free pursuit of learning in an atmosphere of civility,
68 respect the rights of all students, exhibit and foster honest academic conduct, and evaluate
69 students fairly.

70
71 **4.2.2** “Teachers are entitled to freedom in the classroom in discussing their subject, but they
72 should be careful not to introduce into their teaching controversial matter which has no relation
73 to their subject” (AAUP, 1940). Faculty members shall be careful to adhere to the subject matter
74 and course objectives as stated in course catalogs and syllabi.

75



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76 ~~4.2.3 Faculty members shall meet their obligations pertaining to course instruction, including~~
77 ~~holding class as scheduled, presenting approved curriculum, and being available to assist~~
78 ~~students. (See section 5.2.2.)~~

79

~~4.3 Faculty Rights and Responsibilities in Scholarly and Creative Activities~~

80

81
82 ~~4.3.1 Faculty members are entitled to full freedom in research and in the publication of the~~
83 ~~results, subject to the acceptable performance of their other academic duties. Research conducted~~
84 ~~by faculty for pecuniary return shall be based upon a written understanding with the appropriate~~
85 ~~executive officer (or designee) of the University and shall be in compliance with UVU Policy~~
86 ~~114 *Conflict of Interest* and UVU Policy 136 *Intellectual Property*.~~

87

88 ~~4.3.2 Faculty members have a responsibility to develop and improve their scholarly/creative~~
89 ~~competence.~~

90

91 ~~4.3.3 Faculty members shall uphold the academic and ethical standards of professional behavior~~
92 ~~established by the University and by their respective disciplines.~~

93

~~4.4 Faculty Rights and Responsibilities in Service~~

94

95
96 ~~4.4.1 Faculty members are expected to participate in the academic organizations and professional~~
97 ~~communities of their disciplines.~~

98

99 ~~4.4.2 Faculty members' formal evaluations of colleagues shall be conducted professionally and~~
100 ~~objectively, respecting and defending the free inquiry of colleagues.~~

101

102 ~~4.4.3 Faculty members shall participate in committees at the department, college/school, or~~
103 ~~university levels on matters that pertain to the work of the faculty and to university governance,~~
104 ~~as appropriate.~~

105

~~4.5 The Rights and Responsibilities of Faculty as Citizens~~

106

107
108 ~~4.5.1 Faculty members, as citizens speaking outside of the academic context, have the right of~~
109 ~~free expression. However, "when they speak or write as citizens, they should be free from~~
110 ~~university censorship or discipline, but their special position in the community imposes special~~
111 ~~obligations. As scholars and educational officers, they should remember that the public may~~
112 ~~judge their profession and their university by their utterances. Hence they should at all times be~~
113 ~~accurate, should exercise appropriate restraint, should show respect for the opinions of others,~~
114 ~~and should make every effort to indicate that they are not speaking for the University." (AAUP~~
115 ~~1940)~~

116

~~4.6 The Role of Faculty in University Governance~~

117

118



UTAH VALLEY UNIVERSITY Policies and Procedures

119 ~~4.6.1 Faculty members have primary responsibilities for curriculum, subject matter and methods~~
120 ~~of university, research, creative works and performance, and faculty status. When the Board of~~
121 ~~Trustees or President does not support faculty recommendations related to the above, the reasons~~
122 ~~for non-support shall be communicated to those who made the recommendations. Items~~
123 ~~including but not limited to budgets, personnel limitations, time constraints, and the policies of~~
124 ~~other groups, bodies, and agencies having jurisdiction over the University may set limits to~~
125 ~~realization of faculty recommendations.~~

126
127 ~~4.6.2 Pursuant to relevant university policies and procedures, faculty members have designated~~
128 ~~responsibilities concerning the following decisions regarding faculty: a) academic appointments,~~
129 ~~b) reappointments and decisions to not reappoint at midterm review, c) the granting of tenure, d)~~
130 ~~promotions, and e) dismissal for academic reasons. Recommendations in these matters shall be~~
131 ~~by faculty participation through established procedures and authorized by appropriate academic~~
132 ~~officers and the President, with final action by the Board of Trustees. Scholars in a particular~~
133 ~~field or activity have the chief competence for judging the academic work of their peers; in such~~
134 ~~competence, it is implicit that responsibility exists for both adverse and favorable judgments.~~

135
136 ~~4.6.3 Subject to approval by the President and the appropriate governing board(s), the faculty~~
137 ~~sets the requirements for the degrees offered, determines when the requirements have been met,~~
138 ~~and recommends to the President and Board of Trustees the granting of degrees.~~

5.0 PROCEDURES

140
141
142 ~~5.1 The following procedures, rights, responsibilities and duties apply to all faculty members as~~
143 ~~defined in section 3.2. Additional expectations may be specified in other policies and~~
144 ~~documents.~~

145 146 **5.2 Teaching**

147 148 **5.2.1 Curriculum**

149
150 ~~5.2.1.1 Subject to curriculum and accreditation needs and guidelines of departments,~~
151 ~~colleges/schools, and the University, faculty members design and review curriculum and courses.~~

152 153 **5.2.2 Course Instruction**

154
155 ~~5.2.2.1 Faculty members must supply a syllabus for each course they teach that clearly~~
156 ~~communicates course structure, schedule, student expectations, expected course outcomes and~~
157 ~~methods of assessment. Faculty members are free to set appropriate standards for student~~
158 ~~performance in their courses, subject to university standards.~~

159



UTAH VALLEY UNIVERSITY Policies and Procedures

160 ~~5.2.2.2 Faculty members have the responsibility to convene classes as listed in the class schedule~~
161 ~~and provide office hours for students as established by college/school guidelines.~~

162
163 ~~5.2.2.3 Faculty members shall fulfill reasonable and appropriate requests for peer, supervisor,~~
164 ~~and student evaluations of their teaching as required by the department chair and by retention,~~
165 ~~tenure, and promotion processes.~~

166
167 ~~5.2.2.4 Faculty members are expected to stay current on pedagogical techniques in their field(s)~~
168 ~~of expertise, and shall use appropriate strategies for engaging students in learning in effective~~
169 ~~ways so that students who apply themselves achieve the outcomes specified for the course.~~

170 171 **5.2.3 Student Records**

172
173 ~~5.2.3.1 Educational records as defined by FERPA shall not be revealed unless authorized by the~~
174 ~~student or permitted by law.~~

175 176 **5.3 Scholarly and Creative Activities**

177
178 ~~5.3.1 Faculty members shall engage in study, research, and/or creative works as is appropriate~~
179 ~~for their specialty.~~

180
181 ~~5.3.2 Faculty members shall stay current in their academic area(s) of expertise.~~

182
183 ~~5.3.3 Faculty members are expected to submit scholarly or creative works for peer or competitive~~
184 ~~review. Such review may occur in a variety of academic or professional venues, including but~~
185 ~~not limited to, conference presentations and proceedings, symposia, and appropriate scholarly or~~
186 ~~professional publications.~~

187 188 **5.4 Service**

189
190 ~~5.4.1 Faculty members shall attend department meetings on a regular basis to provide input~~
191 ~~regarding department decision making.~~

192
193 ~~5.4.2 Faculty members shall support their departments, colleges/schools, and University by~~
194 ~~serving on committees, task forces, university councils, and/or participating in other activities~~
195 ~~relevant to the mission of the University.~~

196
197 ~~5.4.3 Faculty members shall support their disciplines by participating in activities including but~~
198 ~~not limited to service in professional societies, planning or chairing conferences or conference~~
199 ~~sessions, participating in peer review, or reviewing materials for publication.~~

200



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201 ~~5.4.4 Senior faculty members shall provide advice and assistance to their junior faculty~~
202 ~~colleagues as needed, including but not limited to matters relating to retention, tenure, and~~
203 ~~promotion.~~

204
205 ~~5.4.5 Faculty members are encouraged to support their communities by participating in activities~~
206 ~~and groups that are related to their disciplines and to the mission and interests of the University.~~
207

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity

208



UTAH VALLEY UNIVERSITY
Policies and Procedures



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 25, 2020
TITLE:	Standing PO Requisition FY2020-21
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Val Peterson, VP for Finance and Administration
SUBJECT:	Standing PO Requisitions FY2020-21
BACKGROUND:	<p>Because they rise above the established \$1 million threshold of oversight, the Board of Trustees is being asked to approve annual standing POs which will be paid over the course of FY2021:</p> <p>Utah Transit Authority - \$1,000,000 * Annual payment for transit passes for all faculty, staff, and students</p> <p>Rocky Mountain Power - \$3,013,500 (estimated) * Electricity for Orem, Wasatch, Vineyard campuses and properties</p> <p>Apple - \$2,400,000 (estimated) * Resale Computers and Products for Bookstore Tech Store</p> <p>Regence BlueCross BlueShield of Utah - \$2,000,000 (estimated) * Medical Plan Admin Fees and Stop Loss Insurance Premiums</p> <p>MagellanRx Management - \$6,085,000 (estimated) * Pharmacy Benefits Admin Fees and Plan Claims</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve the following requisitions: <ul style="list-style-type: none"> ○ \$1,000,000 paid to the Utah Transit Authority ○ \$3,013,500 paid to Rocky Mountain Power ○ \$2,400,000 paid to Apple

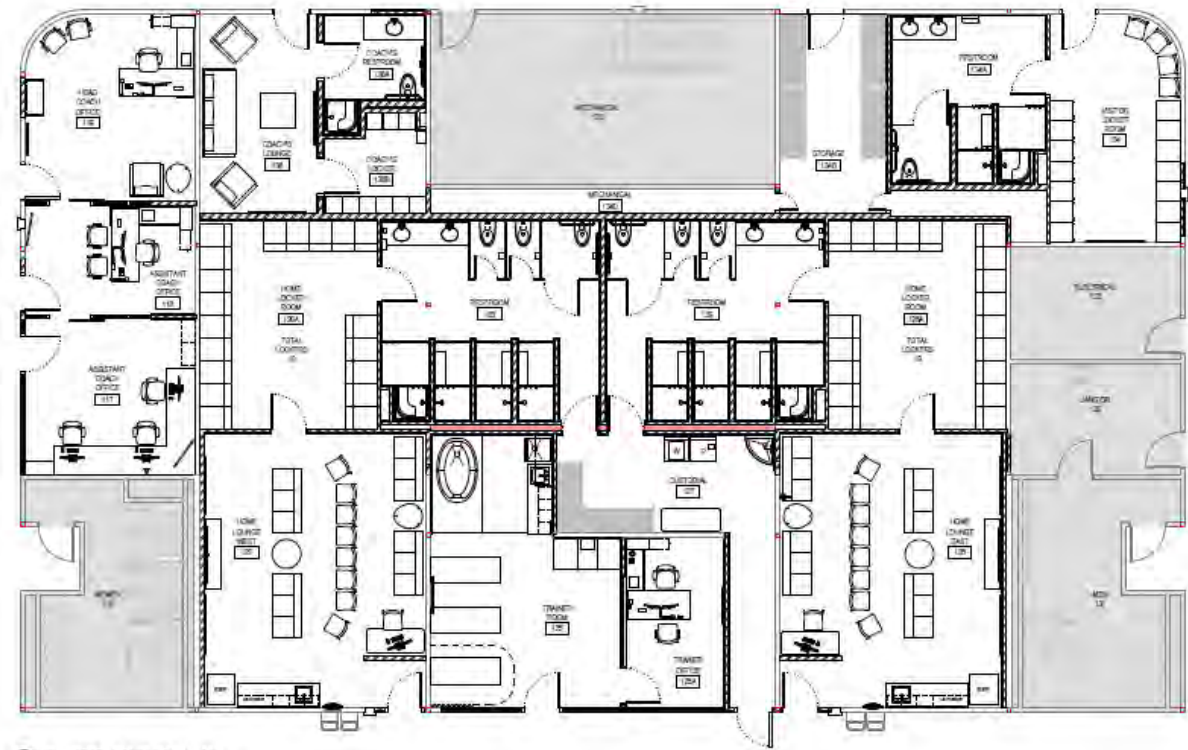
	<ul style="list-style-type: none"> ○ \$2,000,000 paid to Regence BlueCross BlueShield of Utah ○ \$6,085,000 paid to Magellan Rx Management <ul style="list-style-type: none"> ● Amend and approve, “I move to approve, as amended...” ● No action, “I move that we go to the next agenda item...”
FINANCIAL IMPACT:	Total expenditure of funds will be approximately \$14.5 million
EXHIBITS:	N/A



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 25, 2020
TITLE:	Lockhart Arena Locker Room Requisition
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Val Peterson, VP for Finance and Administration
SUBJECT:	Remodel of the Rebecca Lockhart Arena Locker Rooms
BACKGROUND:	<p>Constructed in 1983 and originally named the Activity Center, the Rebecca Lockhart Building was a stand-alone building. During a large construction project in 1995 the building became part of the Physical Education Building and was connected to the current concourse system. The locker room areas have never been updated to current standards.</p> <p>The remodeling project is expected to cost \$1,020,000 for construction. The 2018 PBA allocated \$500,000 towards remodeling the locker rooms. Additional money was gifted by doTERRA to complete the million-dollar project.</p> <p>Local architects, CMA, were hired to provide planning and construction documents for the project. This project will improve the Volleyball locker room and create a second home locker room, better visitor space, and a doTERRA strength and training room.</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve the expenditure of \$1,020,000 for construction to remodel the Rebecca Lockhart Building as explained.” • Amend and approve, “I move to approve, as amended...” • No action, “I move that we go to the next agenda item...”

FINANCIAL IMPACT:	\$1,020,000 (estimate)
EXHIBITS:	



ENLARGED LOCKER ROOM AREA
SCALE: 1/4" = 1'-0"







**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 25, 2020
TITLE:	Academic Programs
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Wayne Vaught, Provost and VP for Academic Affairs
SUBJECT:	Academic Programs
BACKGROUND:	<p>The Board of Trustees is being asked to approve the following academic program deletions and modifications as recommended by the Academic Affairs Committee of the Board of Trustees:</p> <p style="padding-left: 40px;">a. Change of Program Name: Secondary French Education to French Education b. Program Deletion: AA/AS Integrated Studies c. Program Deletion: Communication</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve the following academic program changes: a. Change of Program Name: Secondary French Education to French Education b. Program Deletion: AA/AS Integrated Studies c. Program Deletion: Communication.” • Amend and approve, “I move to approve, as amended...” • No action, “I move that we go to the next agenda item...”
FINANCIAL IMPACT:	Available upon request
EXHIBITS:	<p>a. Change of Program Name: Secondary French Education to French Education b. Program Deletion: AA/AS Integrated Studies c. Program Deletion: Communication</p>

Utah Valley University
Program Name Change

Current Program Title: BA-FRED-Secondary French Education

Proposed Program Title: BA-FRED-French Education

Program Type: BA

Date of Original Program Board of Trustee Approval: 9/18/2017

Sponsoring School, College, or Division: CHSS

Sponsoring Academic Department(s) or Unit(s): Languages and Cultures

Classification of Instructional Program Code: 13.1325

Proposed Beginning Term: Fall 2021

University Curriculum Committee Approval Date:

Academic Affairs Council Approval Date:

Institutional Board of Trustees' Approval Date:

Section I: The Request

The Department of Languages and Cultures in the College of Humanities and Social Sciences at Utah Valley University requests approval to change the name of Secondary French Education to French Education effective Fall 2021.

Section II: Program Proposal

Program Description

This four-year degree prepares students to teach French in secondary education settings. It also prepares students to qualify for the Dual Language Immersion (DLI) Endorsement. Students take major courses from the Department of Languages and Cultures and licensure and endorsement courses through the School of Education. This degree requires separate application to the School of Education.

Section III: Needs Assessment

Program Rationale

Request initiated in order to better align program with other programs in the department. New title more accurately reflects the program's scope and reach.

Expense Narrative

No known expenses to be incurred.

Program Deletion/Suspension Form

Institution Submitting Request: Utah Valley University

Current Program Title: Associates Degree, Communication

Sponsoring School, College, or Division: College of Humanities and Social Sciences

Sponsoring Academic Department(s) or Unit(s): Department of Communication

Classification of Instructional Program Code: 09.0101

Min/Max Credit Hours Required of Full Program: 60

Proposed Effective Term: Fall 2021

Institutional Board of Trustees' Approval Date:

Program Type (check all that apply):

<input type="checkbox"/>	Program Suspension
<input checked="" type="checkbox"/>	Program Discontinuation
<input type="checkbox"/>	Reinstatement of Previously Suspended Program
<input type="checkbox"/>	Out of Service Area Delivery Program

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.

Name:

Date:

Program Change Description—Abbreviated Template

Section I: The Request

The Department of Communication in the College of Humanities and Social Sciences at Utah Valley University requests approval to discontinue the Associates in Communication effective Fall 2021.

Section II: Program Proposal

Program Deletion/Suspension Rationale

The College of Humanities and Social Sciences is starting its own associate's degree. Due to this, the department faculty voted to eliminate the A.S./A.A. in Communication.

Institutional/USHE Impact

Over the past five years, the department has averaged 1.6 students enrolled in the associate's degree. As such, the department does not anticipate any negative effect on the department, university, or USHE.

Finances

As the Associate's Degree only enrolls 1-2 students per year, no negative financial impact is anticipated.

Section III: Curriculum

Teach Out Plan

The classes required for the Associates Degree will still remain in the course catalogue. Further, the classes will be taught for the next seven years on a regular rotation following the teach-out plan devised for the discontinuation for the BA/BS/Minor degrees.

Program Deletion/Suspension Form

Institution Submitting Request: UVU

Current Program Title: AA-INST3: Integrated Studies, A.A. & AS-INST3: Integrated Studies, A.S.

Proposed Program Title (if applicable): NA

Sponsoring School, College, or Division: CHSS

Sponsoring Academic Department(s) or Unit(s): Integrated Studies

Classification of Instructional Program Code: 30.9999

Min/Max Credit Hours Required of Full Program: 60

Proposed Effective Term: Fall 2021

Institutional Board of Trustees' Approval Date: 2002

Program Type (check all that apply):

<input type="checkbox"/>	Program Suspension
<input checked="" type="checkbox"/>	Program Discontinuation
<input type="checkbox"/>	Reinstatement of Previously Suspended Program
<input type="checkbox"/>	Out of Service Area Delivery Program

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.

Name: Wayne Vaught, Provost and Vice President for Academic Affairs

Date: 3/31/2020

Program Change Description—Abbreviated Template

Section I: The Request

The Integrated Studies Department in the College of Humanities and Social Sciences (CHSS) at Utah Valley University requests approval to delete the AA and AS in Integrated Studies effective Fall 2021, to align with the Dean's vision of a single associate degree in CHSS. The BA/BS will be retained.

Section II: Program Proposal

Program Deletion/Suspension Rationale

During the Back to School event of Fall 2019, Dean Clark conveyed his vision for a single CHSS associate degree program; in support of the Dean's vision, the Integrated Studies department requests the deletion of the AA/AS in Integrated Studies. This will also enable the department to focus time, energy, and other resources on revising the BA/BS program.

Institutional/USHE Impact

In 2018, 46 students graduated with either an AA or AS in Integrated Studies. In 2019, 44 students graduated with either an AA or AS in Integrated Studies. It is imagined that future students seeking the degree will be well-served by the new AA/AS in Humanities and Social Sciences.

Finances

The current AA/AS in Integrated Studies required one major core course. Thus, the elimination of this program will require no additional expenditures and will have little to no cost savings.

Section III: Curriculum

Teach Out Plan

Only one course (IS 2000) needs to be offered as part of the Teach Out Plan, since the rest of the AA/AS curriculum is comprised of General Education courses and electives – assuming UVU maintains its GE requirement in much the same form it's in now. So, as long as IS 2000 is taught once per year, students should be able to complete the program. Since IS 2000 is part of the curriculum for the BA/BS program that will continue, there is no reason to believe the course won't be taught at least annually. In rare cases, if needed, a substitution course could be provided for completion reasons.



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 25, 2020
TITLE:	Budgets
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Linda Makin, VP for PBHR
SUBJECT:	2020-21 Budgets
BACKGROUND:	<p>The Board of Trustees is being asked to approve four budgets for the institution. These budgets are as follows:</p> <ul style="list-style-type: none"> a. 2019-20 Education and General and Educational Disadvantaged Operating Revenue Revision b. Restatement of 2018-19 Institutional Discretionary Actuals; 2019-20 Institutional Discretionary Budget Revision c. 2020-21 Education and General, Educational Disadvantaged, and Fire and Rescue Training Operating Revenue & Expenditure Budget d. 2020-21 Institutional Discretionary Operating Revenue and Expenditure Budget
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve the following budgets: <ul style="list-style-type: none"> a. 2019-20 Education and General and Educational Disadvantaged Operating Revenue Revision b. Restatement of 2018-19 Institutional Discretionary Actuals; 2019-20 Institutional Discretionary Budget Revision c. 2020-21 Education and General, Educational Disadvantaged, and Fire and Rescue Training Operating Revenue & Expenditure Budget d. 2020-21 Institutional Discretionary Operating Revenue and Expenditure Budget • Amend and approve, “I move to approve, as amended...” • No action, “I move that we go to the next agenda item...”
FINANCIAL IMPACT:	See attached

EXHIBITS:	a. 2019-20 Education and General and Educational Disadvantaged Operating Revenue Revision b. Restatement of 2018-19 Institutional Discretionary Actuals; 2019-20 Institutional Discretionary Budget Revision c. 2020-21 Education and General, Educational Disadvantaged, and Fire and Rescue Training Operating Revenue & Expenditure Budget d. 2020-21 Institutional Discretionary Operating Revenue and Expenditure Budget



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 25, 2020
TITLE:	UPAC Mission Fulfillment Report
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Linda Makin, VP for PBHR
SUBJECT:	UPAC Mission Fulfillment Report
BACKGROUND:	<p>The Board of Trustees is being asked to approve the Mission Fulfillment Baseline Analysis undertaken by the University Planning Advisory Committee (UPAC).</p> <p>UPAC evaluates fulfillment of UVU’s mission, action commitments, and objectives biannually, making recommendations to the university leadership and the Board of Trustees for additional determinations and action as appropriate. This periodic review ensures that UVU regularly evaluates and continuously improves its institutional performance as required under NWCCU standards 1.B.1-4.</p> <p>The review is based on 42 indicators selected by UPAC as reliable and valid indicators of achievement, each with an associated benchmark for satisfactory performance. Each indicator, objective, action commitment, and the mission overall is evaluated on the extent to which the measures indicate that UVU fulfills each essential element of its mission. The purpose of the 2019-20 evaluation is three-fold: to test the effectiveness of the evaluation process, to provide a baseline against which progress can be judged, and to identify priority areas for university action through 2024.</p>
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve the UPAC Mission Fulfillment Evaluation.” • Amend and approve, “I move to approve, as amended...” • No action, “I move that we go to the next agenda item...”

FINANCIAL IMPACT:	N/A
EXHIBITS:	UPAC Mission Fulfillment Evaluation



Utah Valley University Mission Fulfillment Baseline Analysis

*University Planning Advisory Committee
March 6, 2020*

*Approved by President's Council
April 23, 2020*

*Submitted to Board of Trustees
June 25, 2020*

Susan L. Thackeray

Assistant Professor of Technology Management
Co-Chair

Jeffrey Alan Johnson

Director of Institutional Effectiveness, Planning, and Accreditation Support
Co-Chair

Linda Makin

Vice President for Planning, Budget, and Human Resources
Executive Sponsor

Executive Summary

The University Planning Advisory Committee (UPAC) evaluates fulfillment of UVU's mission, action commitments, and objectives biannually, making recommendations to the university leadership and the Board of Trustees for additional determinations and action as appropriate. This periodic review ensures that UVU regularly evaluates and continuously improves its institutional performance as required under NWCCU standards 1.B.1-4.

The review is based on 42 indicators selected by UPAC as reliable and valid indicators of achievement, each with an associated benchmark for satisfactory performance. Each indicator, objective, action commitment, and the mission overall is evaluated on the extent to which the measures indicate that UVU fulfills each essential element of its mission. The purpose of the 2019-20 evaluation is three-fold: to test the effectiveness of the evaluation process, to provide a baseline against which progress can be judged, and to identify priority areas for university action through 2024.

Ratings Summary

Mission elements are rated on a four point scale: excellent (a point of pride in the university's performance), satisfactory (generally acceptable performance with improvement sometimes recommended), unsatisfactory (unacceptable performance with improvement needed), and developing (insufficient data to support informed evaluation).

- UPAC rated all action commitments satisfactory.
- UPAC rated Achieve Objective 3 (post-graduation success) excellent.
- UPAC rated two objectives, Engage Objective 3 (employee engagement) and Achieve Objective 2 (Assessment of Student Learning) unsatisfactory.
- UPAC rated 10 indicators excellent, 20 satisfactory, 3 unsatisfactory, and 9 developing.

Major Findings

UPAC's major findings included five substantive issues.

1. UVU demonstrates great success overall in executing its Integrated Dual Mission educational model.
2. UVU's students are important contributors to their communities and the state.
3. Completion is an area of both significant concern and significant potential.
4. Due to lack of institutional-level evaluation structures, UVU is currently unable to demonstrate that students achieve program learning outcomes.
5. Many employees perceive a lack of transparency and accountability.

UPAC will conduct a second evaluation in 2021-22 evaluating progress, and a final evaluation in 2023-24 that will form the basis for UVU's Evaluation of Institutional Effectiveness report to NWCCU.

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Introduction

The University Planning Advisory Committee (UPAC) evaluates fulfillment of UVU's mission, action commitments, and objectives biannually, making recommendations to the university leadership and the Board of Trustees for additional determinations and action as appropriate. This periodic review ensures that UVU regularly evaluates and continuously improves its institutional performance as required under Northwest Commission on Colleges and Universities (NWCCU) standards 1.B.1-4. The 2019-20 Mission Fulfillment Self-Evaluation was approved by the UVU President's Council on April 23, 2020 and by the Board of Trustees on <date TBA>.

UPAC will conduct three Mission Fulfillment Evaluations during the 2018-2024 accreditation cycle. The purpose of the 2019-20 evaluation is three-fold: to test the value of each indicator and of the evaluation rubric as the basis for evaluation, revising as needed to make future evaluations more effective; to provide a baseline against which progress can be judged; and to identify priority areas for university action through 2024. UPAC will conduct a second evaluation in 2021-22 evaluating progress, and a final evaluation in 2023-24 that will form the basis for much of UVU's Evaluation of Institutional Effectiveness report to NWCCU.

UVU's Mission

Utah Valley University established its mission statement on approval by the State Board of Regents on May 17, 2019:

Utah Valley University is an integrated university and community college that educates every student for success in work and life through excellence in engaged teaching, services, and scholarship.

This mission statement reflects the institution's commitment to student success through its innovative dual-mission approach to higher education (which integrates structures and practices typically separated into community colleges and teaching universities) and its commitment to engaged learning.

UVU's culture supports our mission of student success. Student success encompasses both completed degrees and the holistic education of students, and we believe that we can fulfill this mission best in an environment that allows all individuals to thrive personally and professionally. To this end, UVU operates in accordance with three core values: exceptional care, exceptional accountability, and exceptional results.

Student Success is the essence of UVU's mission and the focus of the mission statement. Three action commitments—Include, Engage, and Achieve—identify thematic areas of activity that lead toward fulfillment of the mission. Each action commitment is operationalized in three objectives identifying specific actions that UVU will take to achieve its mission. They are not themselves specific, actionable goals for the university, but will be implemented in operational

and organizational plans. Success is defined in relation to quantitative or qualitative indicators that assess achievement of the objectives.

UVU recognizes that mission fulfillment is more than the achievement of numerical values for a set of key performance indicators. Other factors include UVU's dynamic demographic, political, and economic environment and UVU's institutional values. At UVU, mission fulfillment is considered a continuous improvement process rather than a terminal outcome.

Major Findings

The most important findings of the 2019-20 Mission Fulfillment Evaluation are:

1. Overall, UPAC rated all action commitments satisfactory. The committee rated Achieve Objective 3 (post-graduation success) excellent. It rated two objectives, Engage Objective 3 (employee engagement) and Achieve Objective 2 (Assessment of Student Learning) unsatisfactory. UPAC rated 10 indicators excellent, 20 satisfactory, 3 unsatisfactory, and 9 developing. Ratings are detailed in the Table of Findings below.
2. UVU demonstrates great success overall in executing its Integrated Dual Mission educational model. While the dual mission inventory indicator remains in development, UPAC can point to several aspects of the mission fulfillment evaluation that together show a consistent commitment to integrating the community college and regional teaching university roles in a single institution. UVU supports students at all degree levels; promotes inclusion and affordability; and offers flexible, high-quality academic programs taught largely by full-time faculty members.
3. UVU's students are important contributors to their communities and the state. Community engagement is in most respects a strength of UVU, with high levels of student engagement and graduates making major contributions to the Utah economy. Post-graduation success in employment and further education after graduating from UVU significantly exceeds institutional benchmarks. In a national higher education environment that continually questions the economic value of higher education, UVU students' personal success and contributions to the economy is a point of pride for the university.
4. Completion is an area of both significant concern and significant potential. UPAC recognizes the significant efforts that the university has put into improving completion rates, and the substantial progress that the university has made. Short-term completion rates and contributing measures such as retention and credentials awarded are promising. But UPAC also recognizes that a 45% completion goal by 2025 is deliberately ambitious. Today, UVU is not where it needs to be. Completion needs to remain the university's first focus over the next five years. Through continued efforts, though, completion rates could be a signature success by 2025.
5. Due to lack of institutional-level evaluation structures, UVU is currently unable to demonstrate that students achieve program learning outcomes. This is a foundational requirement of contemporary higher education and one of the central elements of NWCCU's new accreditation standards. While this is somewhat mitigated by UVU's success in

assessing general education, lack of institutionally-coordinated program-level assessment is a significant risk to UVU’s ability to demonstrate mission fulfillment to external stakeholders, including NWCCU. Improvement in this area must be a major institutional priority.

6. Many employees perceive a lack of transparency and accountability, a finding consistent with previous university findings on which the Great University to Work For initiative was based. Continued efforts in this area are warranted.
7. A significant number of data limitations have been identified, especially where important campus groups have not provided data or reports that they had previously agreed to provide. In some cases, unworkable aspects of the benchmarks or rubrics required immediate changes in the evaluation process. Several issues with individual indicators are identified in this report, and more general concerns are discussed with recommendations at the end of the report. The committee was unsatisfied with the number of indicators that were still in development; in future reports, indicators for which data is inadequate will be rated as unsatisfactory.

Table of Findings

	Baseline (2020)	Progress (2022)	Final (2024)	
Key	Excellent	Satisfactory	Unsatisfactory	Developing
Include Action Commitment	S			
Objective 1: Dual Mission	S			
Dual mission practices inventory	D			
Instructional credit hours by faculty type	S			
Academic programs by degree level	S			
Degrees and certificates awarded by degree level	S			
FTE in courses by course level	S			
Faculty degree qualifications	D			
Objective 2: Access and Equity	S			
Demographic representation of students	S			
Demographic representation of faculty	D			
NSSE “Discussions with Diverse Others” indicator	S			
Global/Intercultural Effectiveness Survey	S			
Strategic Inclusion Plan Assessment	D			
Tuition and fees as a share of the state’s median household income	S			
State tax fund support per FTE	S			
Objective 3: Campus Environment	S			
NSSE Supportive Campus Environment indicator	S			
Great Colleges to Work For perceptions of inclusiveness items	S			
Completion of underserved students	U			

					Baseline (2020)	Progress (2022)	Final (2024)
Key	Excellent	Satisfactory	Unsatisfactory	Developing			
Retention of underserved students					S		
Engage Action Commitment					S		
Objective 1: Engaged Learning					S		
NSSE Effective Teaching Practices Indicator					S		
OTL Online/Hybrid Certification					D		
University scholarship portfolio					D		
Student participation in scholarly and creative activity					S		
Participation in co-curricular activity					E		
Engaged Learning Survey participation items					D		
Objective 2: Community Engagement					S		
Carnegie Foundation Community Engagement Classification					E		
Graduates employed in Utah					E		
Credentials awarded in DWS 4/5-star jobs					S		
Credentials awarded in USHE focus areas					S		
Alumni Giving					D		
Objective 3: Employee Engagement					U		
Great Colleges survey employee satisfaction items					S		
Great Colleges survey employee opinions about planning, improvement, and accountability					U		
Great Colleges survey employee opinion about transparency, collaboration, and shared governance					U		
Achieve Action Commitment					S		
Objective 1: Educational Goals					S		
IPEDS Outcome Measures (Completion Rate)					S		
IPEDS Outcome Measures (Positive Outcome Rate)					S		
Total number of credentials awarded					S		
IPEDS student retention rates					E		
NSSE academic support item					E		
NSSE learning support services item					E		
Objective 2: Student Learning					U		
Achievement of Essential and Program Learning Outcomes					D		
Graduate survey evaluation of Essential Learning Outcomes					E		
Objective 3: Post-Graduation Success					E		
College Scorecard ratio of salary to cost of attendance					E		

					Baseline (2020)	Progress (2022)	Final (2024)
Key	Excellent	Satisfactory	Unsatisfactory	Developing			
Employer satisfaction surveys					E		
Continued Education as Reported to NSCH					E		

Methodology

Evaluation Process

UPAC evaluates achievement of UVU's objectives and action commitments based on 42 indicators selected by UPAC as reliable and valid indicators of achievement, each with an associated benchmark for satisfactory performance. UPAC and President's Council have determined these indicators and operational measures are meaningful, assessable, and verifiable in accordance with NWCCU standards. Each indicator consists of a construct, an operational measure, and a benchmark or other standard for success.

The university has formalized quantitative or qualitative benchmarks for each indicator, using a wide range of standards appropriate to the specific indicators and UVU's intentions. UPAC rates each indicator against the benchmark in order to determine a preliminary assessment of achievement. This can be revised based on data quality and additional evidence that contextualizes the indicator data. The evaluation of the indicators forms the basis for ratings of each objective, again considering additional contextual information. Evaluations of the objectives similarly lead to overall evaluation of the action commitment.

Each indicator, objective, and action commitment is evaluated on the extent to which the measures indicate that UVU fulfills each essential element of its mission.

- Excellent. Performance on this aspect of UVU's mission substantially exceeds the standard of acceptable performance and is a point of pride for UVU.
- Satisfactory. Performance on this aspect of UVU's mission is acceptable, but improvement is possible and can be considered within the university's priorities.
- Unsatisfactory. Performance on this aspect of UVU's mission is not acceptable and improvement should be a university priority.
- Developing: Indicators or benchmarks for this aspect of UVU's mission are insufficient to support informed evaluation.

Rubrics adopted by UPAC in 2018-19 define operational standards for each rating at each level of the mission framework (indicators, objectives, and action commitments). Narratives for each objective and action commitment clarify the extent of mission fulfillment and identify strengths or opportunities for ongoing improvement.

The evaluation process uses a triangulation methodology common especially in social scientific research. The set of indicators for each objective are explicitly designed with limited commensurability to evaluate multiple dimensions of an objective, to ensure that findings reflect underlying facts rather than the peculiarities of measurement techniques, and to minimize temptations to "game" specific metrics at the expense of success in overall mission fulfillment. The indicators thus provide a sophisticated picture of performance and support holistic and actionable assessment of mission fulfillment. The narrative evaluations of each aspect of UVU's

mission reflect the committee’s professional judgment as to the best explanation for the full set of indicators and benchmarks.

Evaluation Data

Evaluation data is collected and managed by UVU’s Institutional Research office. It is publicly available at https://www.uvu.edu/iri/action_commitments_and_objectives/action_commitments_and_objectives.html.

Evaluation Rubrics

The following rubrics, adopted by UPAC in 2018, are used in evaluating indicators, objectives, and action commitments:

Evaluation Rubric for Indicators				
	Excellent	Satisfactory	Unsatisfactory	Developing
Data Quality	Sufficient to evaluate effectively	Sufficient to evaluate effectively	Insufficient to evaluate effectively after first evaluation	Insufficient to evaluate effectively during first evaluation
	AND	AND	OR	
Defined Threshold of Achievement	Substantially exceeds	Approximately meets*	Substantially fails to meet	
	AND	AND	OR	
Effects on Objective Achievement**	Demonstrated positive contribution	No demonstrated substantial limitation	Demonstrated substantial limitation	

* Some benchmarks include future dates by which the benchmark will be met. Prior to the goal dates, the benchmark will be evaluated as “met (in progress)” if the data trend provides a reasonable expectation that the benchmark will be met by the goal date. The benchmark will be evaluated as “acceptable progress” if there is a reasonable expectation that actions underway will result in meeting the benchmark by the goal date but those actions are not yet reflected in data trends. Such indicators will be evaluated as satisfactory, but the latter case especially indicates a need for close, ongoing attention to the indicator.

**Based on totality of evidence available, including evidence from beyond the specific indicators.

Evaluation Rubric for Objectives			
	Excellent	Satisfactory	Unsatisfactory
Critical Indicators*	Excellent	Not unsatisfactory	Unsatisfactory
	AND	AND	OR
Unsatisfactory Indicators	None	No more than one	More than one
	AND		
Excellent Indicators	At least one	Not considered. Unsatisfactory indicators cannot be offset by excellent indicators.	
	AND	AND	OR
Effects on Action Commitment Achievement**	Demonstrated positive contribution	No demonstrated substantial limitation	Demonstrated substantial limitation
	OR	AND	OR
Related Unit Objectives	At least 25% rated excellent	Not more than 25% rated unsatisfactory	More than 25% rated unsatisfactory

*Critical indicators are direct measures of outcomes that are essential to the objective. Not all objectives have critical indicators. Critical indicators associated with future goals are considered non-critical prior to the goal date.

**Based on totality of evidence available, including evidence from beyond the specific indicators.

Evaluation Rubric for Action Commitments			
	Excellent	Satisfactory	Unsatisfactory
Unsatisfactory Objectives	None	No more than one	More than one
	AND		
Excellent Objectives	At least one	Not considered. Unsatisfactory objectives cannot be offset by excellent objectives.	
	AND	AND	OR

	Excellent	Satisfactory	Unsatisfactory
Effects on Mission Fulfillment*	Demonstrated positive contribution	No demonstrated substantial limitation	Demonstrated substantial limitation

*Based on totality of evidence available, including evidence from beyond the specific objectives.

Include Action Commitment

UVU provides accessible and equitable educational opportunities for every student who wants to receive a rewarding postsecondary education. UVU maintains a dual mission approach that integrates roles, functions, and practices traditionally associated with either community colleges or teaching universities. This provides educational opportunities on a non-prejudicial basis: neither social position nor prior educational background bars students from succeeding at UVU. The university ensures that both traditional and underserved students of various backgrounds and perspectives experience a safe and supportive environment in which to pursue their academic goals.

Evaluation of Action Commitment: Satisfactory

UVU effectively operates as a dual mission institution; promotes access, equity, and diversity; and promotes a safe and supportive environment. Some challenges are present, particularly with faculty diversity and completion rates of minority students. There are also several areas where data supporting the objectives needs further clarification or definition by other university working groups.

Objective 1: Dual Mission

UVU integrates educational opportunities appropriate to both community colleges and universities.

The intended outcome of this objective is an institution that by design integrates traditionally distinct roles. This requires that UVU maintain specific practices and structures that are characteristic of community colleges and teaching universities regardless of individual outcomes. The dual mission inventory identifies the most fundamental aspects of its dual mission (e.g., an undergraduate open admissions policy). Faculty qualification and workload determines whether students are studying with university-level faculty, while program and course measures by degree level indicate the integration of community college and university level instruction. The contribution of this structure to student success is evaluated in the Achieve core theme.

Evaluation of Indicators

Indicator		Benchmark	Contextual Factors
Dual mission practices inventory	Developing	UVU will maintain structures, policies, and practices implementing all key areas of its dual mission.	The dual mission practices inventory is currently being developed as part of the Vision 2030 planning process.
Critical indicator			

Indicator		Benchmark		Contextual Factors
Instructional credit hours by faculty type	Satisfactory	55% of non-high school instructional credit hours will be taught by salaried faculty.	Met	
Academic programs by degree level	Satisfactory	Continuous increase at all levels as appropriate to ongoing growth	Met	One-year decline for certificates needs to be monitored. Growth in associate degree programs may not be an appropriate goal given institutional pathways strategies.
Degrees and certificates awarded by degree level	Satisfactory	Continuous increase at all levels as appropriate to ongoing growth	Met	Associate degrees are unstable and requires close monitoring.
FTE in courses by course level	Satisfactory	Continuous increase at all levels as appropriate to ongoing growth	Met	Remedial FTE has declined due to shift from dedicated remedial courses to non-coursework strategies that do not produce FTE (e.g., ALEKS in Developmental Math). This reflects national trends in developmental education and has had considerable success. Remedial enrollment should thus be included in lower division enrollment.
Faculty degree qualifications	Developing	90% of full-time faculty members will have a terminal degree appropriate to their field.		This indicator may establish an unrealistic goal. It requires further revision to consider whether all full-time faculty, all tenure-track faculty, or only tenured faculty should be considered. 90% may be difficult to achieve when including longer-serving faculty members, ABDs, lecturers, visiting positions, and professionals-in-residence. Academic Affairs Council and/or the Faculty Senate could be consulted in resolving this issue.

Evaluation: Satisfactory

The indicators show that UVU is fulfilling both community college and regional university roles. Of six indicators, four were satisfactory. Two were developing, with one being a critical indicator and one raising significant questions about whether the data and benchmark were meaningful in

Indicator data is available at

https://www.uvu.edu/iri/action_commitments_and_objectives/action_commitments_and_objectives.html

the context of UVU's mission. Two indicators met benchmarks but showed signs of concern should trends in the data remain consistent.

Objective 2: Access and Equity

UVU provides accessible, equitable, and culturally diverse learning experiences and resources for students of all backgrounds, including those historically underrepresented in higher education.

The intended outcome of this objective is that UVU will reflect the diversity of its community in participation, affordability, and curriculum. Access and equity are reflected in the presence of underrepresented groups. The evaluation of the UVU Inclusion Committee, which coordinates the university's efforts in this area, recognizes their expertise and familiarity with challenges to inclusion. Economic affordability is a critical dimension of access and equity, ensuring that financial obstacles are minimized. As UVU does not operate on a high-price/high aid model and is a non-residential institution, tuition is the main tool for achieving affordability, with state support being the foremost determinant of tuition growth. UVU assesses opportunities to participate in a diverse curriculum through participation in its Global/Intercultural education program; the pedagogical effectiveness of this is assessed under the Achieve core theme.

Evaluation of Indicators

Indicator		Benchmark		Contextual Factors
Demographic representation of students Critical Indicator by 2025	Satisfactory	At least 21.5% of UVU students will be ethnically diverse as defined by USHE by Fall 2025.	Met (in progress)	Currently 18.2% of UVU students identify as racial or ethnic minorities, and minority representation continues to increase among students. Making the goal of 21.5% by 2025 seems challenging but feasible.
Demographic representation of faculty	Developing	No benchmark established		Faculty minority representation lags both the community and the student body considerably. This may reflect poor representation within many academic disciplines more generally. UPAC recommends review by Academic Affairs Council, Faculty Senate, and the Inclusion Committee for consideration with reference to Vision 2030 goals for racial/ethnic minorities and gender, incremental progress, peer institutions, or other USHE institutions.

Indicator data is available at

https://www.uvu.edu/iri/action_commitments_and_objectives/action_commitments_and_objectives.html

Indicator		Benchmark	Contextual Factors
NSSE "Discussions with Diverse Others" indicator	Satisfactory	UVU's score will be at least 35.	Met
Global/Intercultural Effectiveness Survey	Satisfactory	UVU's After-G/I score will be at least 4.33.	Met
Strategic Inclusion Plan Assessment	Developing	As determined by the Inclusion Committee (no benchmark established at this time)	
Published tuition and fees as a share of the state's median household income	Satisfactory	Published tuition and fee rates will be no more than 10% of the state's median household income.	Met
State tax fund support per FTE	Satisfactory	State tax funding will exceed \$4,300 per FTE.	Met

Evaluation: Satisfactory

The indicators show that UVU promotes access, equity, and diversity in most respects. This continues a long-standing trend at UVU, which has nearly doubled the proportion of student of color since 2008 and is now more diverse than its service region generally. UVU continues to receive awards for its inclusion initiatives, recently receiving the CUPA-HR 2018 Inclusion Cultivates Excellence Award and the Rose Duhon-Sells Award for Program of the Year from the National Association of Multicultural Education. UVU remains inclusive not only through diversity initiatives but also through affordability. Faculty diversity lags student diversity but lacks a well-defined benchmark and faces a number of constraints coming from outside of the university.

Objective 3: Campus Environment

UVU fosters an inviting, safe, and supportive environment in which students, faculty, and staff can succeed.

The intended outcome of this objective is that UVU creates an affective sense of security in students, faculty, and staff. The perception of UVU's environment is as essential to inclusion as any practices: Students and employees whose experiences leave them feeling unsafe and unsupportive will not succeed. Perceptions of the environment is a major factor in retention and completion of underserved students.

Evaluation of Indicators

Indicator	Benchmark	Contextual Factors
NSSE Supportive Campus Environment indicator	Satisfactory UVU's score will be at least 28.	Met
Great Colleges to Work For perceptions of inclusiveness items	At least two-thirds of employees with give positive responses on average.	Met Positive response rates fell from 72.0% in 2016 to 65.9% in 2018. While still substantially meeting the benchmark, a continued trend would lead UVU to unsatisfactory performance.
Completion of underserved students	Completion rates for minority, first-generation, and low-income students will equal that of all students (currently 35.7%).	Not met While met for low-income students, first-generation students (32.1%) and especially minority students (25.3%) did not meet benchmarks.
Retention of underserved students	Retention rates for minority, first-generation, and low-income students will equal that of all students (currently 63.2%).	Met The gap between underserved students and students generally is consistent but less than 4 percentage points and trending positively, indicating substantial achievement of the benchmark.

Evaluation: Satisfactory

The indicators show that UVU succeeds in fostering an inviting, safe, and supportive environment, but that there are significant weakness in this area that risk an unsatisfactory rating in the future. The completion rate for minority students is substantially below that of students generally, and employees are less likely to perceive the university as inclusive now than in 2016. There is reason to expect improvement in the future, with closing retention gaps suggesting future improvements in completion, and evidence that 2018 data may have been anomalous. Nonetheless, this objective requires close monitoring in the future.

Engage Action Commitment

UVU delivers rigorous, meaningful, and experiential learning opportunities driven by a shared responsibility for student success. UVU engages students with their academic subjects through real-world, practical educational experiences by, staff, the business sector, and the community to prepare students for successful careers and to contribute to society. UVU's community of scholarship, creativity, and professional practice contributes to the excellence of teaching and provides students with opportunities to learn collaboratively with faculty. The University's civic engagement through community partnerships and its academic programs gives students opportunities to learn from practice and makes UVU a responsible steward of the diverse communities of which it is part.

Evaluation of Action Commitment: Satisfactory

UVU uses effective, engaged teaching and learning practices and engages its communities in myriad ways, making positive contributions to Utah's economy and society. It faces significant challenges, however, with employee engagement. There are also several areas where data inadequacies limit the ability to evaluate objectives.

Objective 1: Engaged Learning

UVU faculty, staff, and students practice excellent, engaged teaching and learning activities as a community of scholars, creators, and practitioners.

The intended outcomes of this objective are teaching practices, and the environment within which students study. NSSE data provides nationally normed measures of teaching practices on which there is general agreement about effectiveness, while online certification ensures effective teaching in all programs, wherever offered and however delivered. Scholarship is not a general component of the UVU mission, but learning within a community of scholarship in which undergraduate students may participate is as essential to engaged learning as classroom pedagogy. Participation in co-curricular activities, especially those related to global/intercultural learning, reflects extension of the engaged learning environment beyond the classroom.

Evaluation of Indicators

Indicator		Benchmark		Contextual Factors
NSSE Effective Teaching Practices Indicator	Satisfactory	UVU's score will be at least 36.	Met	
Office of Teaching and Learning Certification for Online and Hybrid Courses	Developing	All faculty teaching online or hybrid courses will be certified through OTL.		Given onboarding time, 100% is probably an unrealistic goal. Since data was last reported, OTL notes a significant increase in the number of certified faculty members.

Indicator		Benchmark		Contextual Factors
University scholarship portfolio based on activity reported in Digital Measures or included in the institutional repository	Developing	The portfolio will demonstrate that the university and each school or college creates a community of scholarship, creative activity, and professional practice.		The scholarship portfolio has not been developed, in part due to limited adoption of Digital Measures. However, numerous examples of faculty scholarship and creative work can be identified, making clear that most students will be regularly exposed to scholarly and creative work over their academic careers.
Student participation in scholarly and creative activity as reported in the NSSE Senior Survey	Satisfactory	A majority of UVU students will report participating in scholarly and creative activities.	Met	Five-year trends remain essentially flat, but show that the majority of students participate in scholarly and creative activity during their academic careers.
Number of students who report participating in at least one co-curricular activity on the Student Opinion Survey	Excellent	At least two-thirds of non-concurrent enrollment students will participate in at least one activity per semester.	Met	At 80%, student participation significantly exceeds the established benchmark, and has for four of the past five years. This participation is believed to have a significant effect on retention.
Engaged Learning Survey participation items	Developing	Two-thirds of graduates will have at least two engaged learning experiences.		The Office of Engaged Learning reports that it is still in the process of collecting this data.

Evaluation: Satisfactory

Available evidence suggests that UVU provides an engaging educational experience for its students. Students regularly participate in co-curricular activities, have classroom experiences built on engaged learning practices, and learn within a community of scholarship. This objective, however, has some of the most serious data limitations identified in the mission fulfillment report. Both unsatisfactory indicators reflect unrealistic benchmarks that confuse evaluative with aspirational goals. The developing indicators reflect data needs that have been unmet since the previous core themes framework was adopted. This objective is the top priority for improved data.

Objective 2: Community Engagement

UVU develops relationships and outreach opportunities with students, alumni, and community stakeholders.

The intended outcome of this objective is that UVU will work in partnership with its community. The Carnegie elective Community Engagement Classification relies on peer review of an extensive documentation framework to recognize institutions for participation in their

communities. Employment in Utah, especially in high-demand fields, demonstrates UVU's contributions to the state economy. Alumni contributions reflect the commitment of UVU's community to ongoing partnership with the university.

Evaluation of Indicators

Indicator		Benchmark		Contextual Factors
Carnegie Foundation Community Engagement Classification	Excellent	UVU will maintain its classification as a Carnegie Community Engagement Institution.	Met	The 2015 renewal of the classification praised UVU for alignment across campus in support of community engagement and excellent demonstration of engagement in the application.
Graduates employed in Utah	Excellent	At least 80% of employed UVU graduates will work in Utah at one year after graduation.	Met	
Credentials awarded in high market demand occupation-related programs	Satisfactory	UVU will award at least 4,500 degrees or certificates in DWS 4- and 5-Star job fields by 2025.	Met (In progress)	UVU is progressing appropriately to its 2025 goal.
	Satisfactory	UVU will award at least 950 degrees or certificates in USHE focus areas by 2025.	Met (In progress)	UVU is progressing appropriately to its 2025 goal.
Alumni Giving	Developing	At least 2,000 alumni will give to UVU each fiscal year.		Raw numbers are not a common measure of alumni engagement. Definitions of alumni have varied over time. IA will suggest a more appropriate benchmark.

Evaluation: Satisfactory

UVU develops strong relationships with the communities it serves. UVU continues to hold the prestigious Elective Community Engagement designation from the Carnegie Foundation for the Advancement of Teaching, which was renewed in 2015. It graduates make major contributions to the Utah economy. Alumni giving, however, continues on a downward trend indicating lower engagement with alumni.

Objective 3: Employee Engagement

UVU employees demonstrate a commitment to student success, professionalism, ethics, and accountability.

The intended outcome of this objective is that UVU employees will be professionally engaged in their work. UVU achieves this by making employees satisfied and empowered. The Great Colleges to Work For Survey provides nationally normed data on employee engagement.

Indicator data is available at

https://www.uvu.edu/iri/action_commitments_and_objectives/action_commitments_and_objectives.html

Evaluation of Indicators

Indicator	Benchmark	Contextual Factors
Great Colleges survey employee satisfaction items	Satisfactory	At least two-thirds of employees will give positive responses on average.
Great Colleges survey employee opinions about planning, improvement, and accountability	Unsatisfactory	At least two-thirds of employees will give positive responses on average.
Great Colleges survey employee opinion about transparency, collaboration, and shared governance	Unsatisfactory	At least two-thirds of employees will give positive responses on average.

Evaluation: Unsatisfactory

UVU continues to face challenges in employee engagement, particularly with regard to relationships between front-line employees (whether faculty or staff) and management. The university noted dissatisfaction in many areas of the 2018 Great Colleges survey. While believing that these results may in part reflect uncertainty around the 2018 presidential transition and an increasingly confrontational social climate nationally, university leaders have recognized the need for improvement. UVU implemented its Great University to Work For and People Management Excellence initiatives to reduce obstacles to employee engagement. UVU hopes these initiatives will be reflected in increasing scores in the 2020 Great Colleges survey.

Achieve Action Commitment

UVU champions a university experience through which students can realize their educational, professional, and personal aspirations. UVU promotes the success of its students in learning that leads to completing their academic programs and other educational goals. The entire university community adheres to high academic and professional standards and pursues quality at all levels of the university to ensure competence, professionalism, and integrity and provide the best possible education for all students.

Evaluation of Action Commitment: Satisfactory

While UVU's performance in this area is acceptable at this stage in the evaluation process, significant improvement is needed. UVU's students' success after graduation as employees and continuing students is a point of pride for the university. Eight-year completion rates are below the university's 2025 goal of 45%, but the university's intense efforts to improve completion would not yet show in eight-year cohorts. Intermediate completion rates, retention rates, and total credentials awarded suggest that the university's efforts are having a substantial effect. This progress must be sustained in order to make this objective a signature success by 2025. The lack of institutional processes for evaluating the achievement of student learning outcomes is a major challenge that jeopardizes UVU's ability to demonstrate that it is fulfilling its mission to external stakeholders.

Objective 1: Educational Goals

UVU supports students in completing their educational goals.

The intended outcome of this objective is that students will complete their academic programs. Outcome measures and total number of degrees awarded are broadly inclusive measures of completion more suited to UVU's dual mission than the IPEDS Graduation Rate Survey metrics. Academic and learning support are essential inputs to student success for UVU's student body.

Evaluation of Indicators

Indicator	Benchmark		Contextual Factors
IPEDS Outcome Measures Critical Indicator in 2025	Satisfactory given ongoing progress	45% of students will complete a degree or certificate within eight years by 2025.	Acceptable Progress Completion rates have remained stable recently, well above prior levels but below the 45% goal. Shorter-term outcome measures for recent cohorts are well above the pace of previous cohorts.
	Satisfactory	At least two-thirds of students will show a positive outcome (graduated, transferred, or still enrolled) at eight years	Met

Indicator		Benchmark		Contextual Factors
Total number of degrees and certificates awarded	Satisfactory	UVU will award at least 10,400 degrees and certificates in 2018-19 and 2019-20, and will adapt this benchmark to goals adopted by USHE after 2019-20.	Met (in progress)	Data for 2018-19 is not yet available. If UVU continues on pace from 2017-18 for the next two years, it will exceed its goal by more than 15%.
IPEDS student retention rates	Excellent	The IPEDS retention rate will be at least 65% by 2025.	Met	UVU has already achieved its target retention rate for 2025. This should ultimately be reflected in significant increases in completion rates as the retention cohorts progress through their academic careers.
NSSE academic support item	Excellent	UVU's score will be at least 2.1.	Met	UVU substantially exceeds the benchmark for this indicator.
NSSE learning support services item	Excellent	UVU's score will be at least 1.98.		UVU substantially exceeds the benchmark for this indicator.

Evaluation: Satisfactory

UVU's completion rates remain problematic, but there is significant evidence that rapid improvement is likely over the next five years. UVU has a comprehensive completion plan, which is a priority initiative in the Vision 2030 plan, that identifies the areas for improvement. Progress in retention and completion is being made and critical data points are in a positive trend. Shorter-term graduation rates for cohorts that have not yet reached eight years from entry are well above the pace of previous cohorts. Four-year completion rates rose from 20.6% for the now-completed 2010-11 cohort to 26.3% for the 2014-15 cohort (currently in its fifth year), and the four-year completion rate for the 2014-15 cohort is nearly equal to the six-year rate for the 2007-08 cohort. At the growth pace of the 2010-11 cohort, the 8-year completion rate is projected to be 45.7% for the 2014-15 cohort and 48.6% for the 2015-16 cohort. UVU has already met its retention goal for 2025, and looks to significantly exceed its goal for total degrees and certificates awarded. Keeping in mind the need to sustain this progress, UVU may be able to point to this objective as a signature success by 2025.

Objective 2: Learning

UVU students master the learning outcomes of the university and their programs.

The intended outcome of this objective is student learning. The assessment of student learning is a complex task in which, under NWCCU standard 1.C.5, faculty have a central role. Direct assessment of student learning outcomes is coordinated by the Academic Program Assessment Committee and reported annually. The use of Graduating Student Survey data complements the UAC report by evaluating students' perceptions of their learning.

Evaluation of Indicators

Indicator		Benchmark		Contextual Factors
Achievement of Essential and Program Learning Outcomes	Developing	As determined through the University Assessment Committee process (in development).		Development of this process remains stalled, with no firm implementation date identified.
Critical indicator				
Graduate survey evaluation of UVU's contribution to personal achievement of Essential Learning Outcomes	Excellent	For each area of personal and intellectual growth evaluated, at least two-thirds of graduates will indicate a meaningful UVU contribution.	Met	UVU has substantially exceeded the benchmark, with values near or in excess of 80% for all items.

Evaluation: Unsatisfactory

While the indicator for which data is available has consistently shown that UVU is successful in encouraging personal and intellectual growth in its graduates, data remains unavailable for the critical indicator. Efforts to develop an institutional process for evaluating achievement of student learning outcomes have not yet come to fruition. This is a substantial limitation on UVU's ability to demonstrate student learning, which will be a major focus of future accreditation efforts. In the current higher education environment, not having this data may be seen as a critical institutional weakness that in itself may jeopardize UVU's ability to demonstrate fulfillment of its mission.

Objective 3: Post-graduation Success

UVU prepares students for success in their subsequent learning, professional, and civic pursuits.

The intended outcome of this objective is that UVU students will be prepared for work or continued education after graduation. College Scorecard data demonstrates that students' employment success represents a worthwhile investment, while reported employer satisfaction demonstrates that students are prepared to succeed in, not just secure, work. Continued education measures student success in fields where graduate degrees are the norm or where UVU has raised students' ambitions.

Evaluation of Indicators

Indicator		Benchmark		Contextual Factors
College Scorecard ratio of salary to cost of attendance	Excellent	UVU's ratio will be at least 4.8 (one standard deviation above the average for public four-year institutions).	Met	UVU far exceeds the benchmark and has the highest salary to cost-of-attendance ratio in the state.

Indicator data is available at

https://www.uvu.edu/iri/action_commitments_and_objectives/action_commitments_and_objectives.html

Indicator		Benchmark		Contextual Factors
Employer satisfaction surveys	Excellent	For each skill area, at least 75% of employers will evaluate graduates as at least adequate.	Met	UVU far exceeds the benchmark, being above 95% in 13 of 15 areas.
Continued Education as Reported to NSCH	Excellent	At least one-third of graduates will continue their education after receiving a degree or certificate from UVU.		UVU far exceeds the benchmark, with more than 40% of graduates continuing their education.

Evaluation: Excellent

Post-graduation success is a point of pride for UVU. Students are successful in all areas, demonstrating the highest return on their educational investments in themselves of any Utah public, degree-granting institution. Employers of UVU graduates consider them capable employees who are assets to Utah's vibrant economy.

Recommendations for Procedural Improvements

An important aim of this baseline analysis was to examine the adequacy of data and methods for evaluating mission fulfillment. Most indicators proved effective, thanks in no small part to the efforts of Institutional Research in developing data sources and dashboards. Several aspects of the methodology and data require further development.

Current Evaluation Cycle Revisions

UPAC determined that two issues in evaluating benchmarks associated with future goals rather than current performance (e.g., the goal of a 45% completion rate by 2025) were sufficiently critical to warrant immediate revision of the evaluation rubrics. These standards were applied in this evaluation cycle, and are included in the rubrics described above. This is consistent with the intent of using this preliminary evaluation to test indicators and evaluation procedures.

- UPAC found that the evaluation rubric for indicators needed to account for progress toward future targets. Because there was no explicit rule for this in the rubric, some groups considered these goals unmet while others considered them developing. The committee further articulated the definition of meeting benchmarks, identifying standards for “met (in progress)” and “acceptable progress” as described in the evaluation rubric for indicators.
- UPAC found that evaluating objectives with critical indicators that had future goal dates as unsatisfactory resulted in an inability to effectively evaluate ongoing progress. The committee determined that critical indicators with future goal dates should not be treated as critical prior to the target date.

Future Evaluation Cycles

UPAC recommends that several aspects of the evaluation process be improved before the 2021-22 mission fulfillment progress report.

- After the bulk of the evaluation was completed, NWCCU released a rubric for evaluating institutional effectiveness as required under standards 1.B.1-4. The evaluation process should be revised as needed to maximize performance according to this rubric. Each mission fulfillment report should be evaluated against this rubric by UPAC in the following year.
- The evaluation rubric should develop clearer standards for “contribution to mission fulfillment.” This component of the rubric is intended to allow contextual or qualitative information to provide additional insight beyond the indicators themselves. This serves as an important check on tendencies to “game the numbers,” a significant problem in purely quantitative approaches. However, UPAC members were not clear on what this meant and, as a result, applied this standard inconsistently. Describing this as “additional contextual factors” might be more effective.

- The rubric's standard for excellent performance on an indicator should include consideration of substantially exceeding the benchmark. Currently, the rubric only asks evaluators to determine whether the benchmark was met or not met, with excellence determined by contribution to mission fulfillment. This does not clearly identify indicators on which UVU has excelled relative to the benchmark.
- Benchmarks for indicators where trends or time series data is important (e.g., continuous growth over time) should include a specific time standard (e.g., 3-year average or average annual growth since a base date).
- As general education assessment is well developed, an annual summary of achievement of essential learning outcomes in general education courses would be an effective additional indicator of student learning that would not require major efforts to develop additional processes.
- Several individual indicators have problems noted with the evaluation of the indicator. These problems should be resolved before the next evaluation.

University Planning Advisory Committee

The University Planning Advisory Committee (UPAC) plays an essential role in the university's planning, assessment, and accreditation processes and serves in an advisory capacity to the President and other senior leaders on university planning and effectiveness. Members represent a broad range of programs and services in an effort to effect ongoing and participatory planning that reflects the interdependent nature of the institution's operations, functions, and resources and to promote broad ownership for the university's plans and achievements. UPAC is comprised of representatives of the administration, faculty, staff, and students. General committee members are appointed by the President and serve two-year terms; some members serve by virtue of their position. The committee is co-chaired by a faculty member and the Director of Institutional Effectiveness, Planning, and Accreditation Support; the Vice President for Planning, Budget, and Human Resources, serves as the executive sponsor.

Committee Leadership and Staff

Susan L. Thackeray, Assistant Professor of
Technology Management, Co-Chair

Linda Makin, Vice President of Planning,
Budget, and Human Resources,
Executive Sponsor

Jeffrey Alan Johnson, Director of
Institutional Effectiveness, Planning, and
Accreditation Support, Co-Chair

Stacy Fowler, Administrative Support
Jennifer Zabriskie, Administrative Support

University Leadership

Astrid S. Tuminez, President

F. Wayne Vaught, Provost and Vice
President of Academic Affairs

Cameron Martin, Vice President of
University Relations

Belinda Otukolo Saltiban, Chief Inclusion
and Diversity Officer

Scott Cooksey, Vice President of
Institutional Advancement

Val Peterson, Vice President of Finance and
Administration

Anne Arendt, Faculty Senate President

Kyle Reyes, Vice President of Student
Affairs

Beka Grulich, PACE President-Elect

Taylor Bell, UVUSA President

Committee Members

Stephanie Albach

McKay Isham

Mary Stephens

Candice Brunger

Jared Kearns

Andrew Stone

Steven Clark

Michelle Kearns

Samantha Thee

Polly Clauson

Sara Lafkas

David Tobler

David Connelly

Ashley Larsen

Phillip Witt

Suzy Cox

Ben Moulton

Ming Yu

Donna Fairbanks

Adam Sanft

Erika Hill

Tim Stanley



**UVU BOARD OF TRUSTEES
Agenda Item Coversheet**

DATE:	June 25, 2020
TITLE:	Consent Calendar
EXECUTIVE/RESPONSIBLE STAFF MEMBER:	Clark Collings, Interim Secretary to the Board
SUBJECT:	Consent Calendar
BACKGROUND:	<p>The Board of Trustees is being asked to approve the Consent Calendar which contains the following:</p> <ul style="list-style-type: none"> a. Minutes of March 25, 2020 b. February, March, and April 2020 Investment Reports
ALTERNATIVES:	<ul style="list-style-type: none"> • Approve as presented, “I move to approve the consent calendar as presented.” • Amend and approve, “I move to approve, as amended...” • No action, “I move that we go to the next agenda item...”
FINANCIAL IMPACT:	N/A
EXHIBITS:	<ul style="list-style-type: none"> a. Minutes of March 25, 2020 b. February, March, and April 2020 Investment Reports

UVU BOARD OF TRUSTEES

March 25, 2020

8:00am MSFT Teams

Board of Trustee Members Present

R. Duff Thompson, Chair
Karen Acerson
Taylor Bell
James Clarke
Elaine Dalton
Dru Huffaker
Rick Nielsen
Scott Smith
Paul Thompson
Jill Taylor, Second Vice Chair

Others Present

Danielle Corbett
Scott Trotter

UVU Attendees

Astrid S. Tuminez, President
Anne Arendt, Faculty Senate President
Clark Collings, Interim General Counsel
Scott Cooksey, Vice President, Development and Alumni
Nathan Gerber, PACE President
Kelly Flanagan, Vice President, Digital Transformation
Linda Makin, Vice President, Planning, Budgets, and HR
Cam Martin, Vice President, Marketing & Communication
Kyle Reyes, Vice President, Student Affairs
Val Peterson, Vice President, Finance and Administration
Belinda Otukolo Saltiban, CIDO
Wayne Vaught, Provost & Vice President, Academic Affairs
Katie Zabriskie, Executive Communication Officer

Chair R. Duff Thompson welcomed those in attendance to the March 25, 2020, Board of Trustees meeting.

I. INFORMATION

1. University Update

President Astrid S. Tuminez presented the Trustees with an update on the university since the February 2020 board meeting. Topics included an announcement of new hires, changes to commencement, and an update on the university's efforts surrounding COVID-19. The presentation then transitioned to a legislative update on monies allocated in the legislative session, the tuition and fees proposal, and the implications of SB 111 and other bills passed. The presentation ended with an articulation of the importance of strong, consistent communication to UVU students, employees, and constituents.

2. Committee Reports

The Trustees were provided with updates on activities of two committees of the Board, Academic Affairs and Finance and Facilities, since the February board meeting. Academic Affairs Committee Chair Paul Thompson informed those gathered that the approval process for new degrees is in the preliminary stages of revision. Finance and Facilities Committee Chair Jill Taylor informed those gathered that the committee held a brief meeting to review the tuition and fees proposal for 2020-21 and recommended that it be approved.

II. ACTION

1. Ratification of Executive Committee Vote of March 14, 2020

The Trustees were apprised that on March 14, 2020, the Executive Committee of the Board approved the proposed tuition and fees changes for the 2020-21 academic year. An executive committee vote was necessary due to the timing of the legislative session. Trustee Taylor Bell provided those gathered with additional information about why a student fee increase was being requested, noting that this request will help restore the health of student programming, support student performances in the School of the Arts, and better the athletics experience. Vice President Linda Makin briefly explained the rationale behind the requested 1.38% tuition increase. Trustee Taylor motioned to approve the ratification of the Executive Committee Vote of March 14, 2020. Trustee P. Thompson seconded. The motion carried without opposition.

2. Policy

The Board of Trustees was presented with several policies for review. Policy 101 Policy Governing Policies was revised to amend the temporary emergency policy so that in extraordinary circumstances the university had flexibility to prolong the temporary emergency status of a policy. Trustee Rick Nielsen motioned to approve

revisions to Policy 101. Trustee Taylor seconded. The motion carried without opposition. The Trustees then were asked to approve the collective extension of current temporary emergency policies by six months. Trustee Nielsen motioned to approve the extension of current temporary emergency policies by six months. Trustee Scott Smith seconded. The motion carried without opposition. The Trustees turned to Policy 161 Freedom of Speech and were apprised that the revision provides UVU PD discretion to prevent the wearing of masks on campus, with a carve out for speaker safety. Trustee Dru Huffaker motioned to approve the revisions to Policy 161. Trustee P. Thompson seconded. The motion carried without opposition.

III. EXECUTIVE SESSION

Trustee Taylor Bell motioned to enter Executive Session to strategically discuss character, professional competence, or physical or mental health of an individual, and litigation that is pending or reasonably imminent. Trustee Acerson seconded. The motion carried without opposition.

II. ACTION (Continued)

3. Rank Advancement

Trustee P. Thompson motioned to approve the advancement in rank to Senior Lecturer for Christian Draper and the advancement in rank to Professor for Danial Perry; John Fisher; Dianne McAdams-Jones; Sue Jackson; Nathan Cottle; Andrew Creer; Eric Heiny; Bonnie Anderson; Brian Jensen; Perry Stewart; and, Ben Moulton. Trustee Nielsen seconded. The motion carried without opposition.

4. Tenure

Trustee Smith motioned to approve the following individuals for tenure and rank of Associate Professor: Duane Andersen; Amanda Bordelon; Diana Lundahl; Marcy Hehnly; Ryan Vogel; Alan R. Misbach; Maria Blevins; John M. Hunt; Mark Abramson; Vern Hart; Raymond Perkins; George Odongo; Thomas Keck; Cheryl Worthen; Kari Joseph Olsen; and, Rachel Bi, and to approve the following individuals for tenure and rank of Professor: Ronald Miller and Don Capener. Trustee Thompson seconded. The motion carried without opposition.

IV. CONSENT CALENDAR

The Trustees were asked to review the Consent Calendar, which consisted of the minutes of February 26, 2020, and the January 2020 Investment Report. Trustee Acerson motioned to approve the Consent Calendar. Trustee Taylor seconded. The motion carried without opposition.

The Trustees were provided with a brief summary of the response by Academic Affairs to COVID-19. Following this, Chair Thompson adjourned the meeting.



UTAH VALLEY UNIVERSITY

**CASH AND INVESTMENT
REPORT
February 2020**

Monthly Composite Performance Review
UTAH VALLEY UNIVERSITY
February 2020



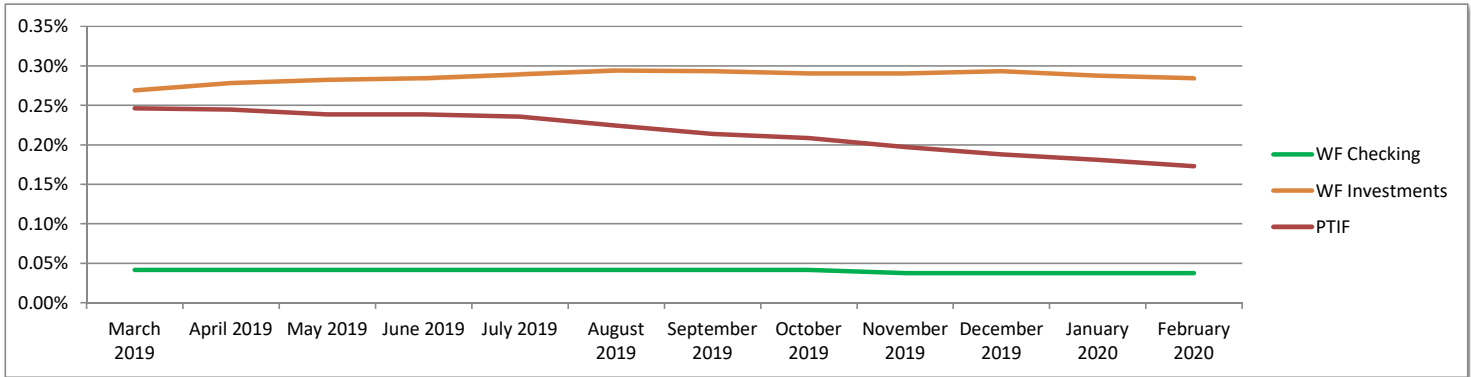
Account Activity

	Checking/Sweep	Investments	PTIF	Total University Cash and Investments	Past Twelve Months of Activity
Beginning Balance	\$ 11,414,645	\$ 87,711,366	\$ 121,049,203	\$ 220,175,214	\$ 192,172,598
Interest/Earnings Credit	4,202	157,141	200,309	361,652	5,501,160
Acquisitions/Credits	(4,107,014)	4,056,040	6,417,868	6,366,894	241,933,171
Dispositions/Debits	-	(3,000,000)	(11,000,000)	(14,000,000)	(214,240,244)
Unrecognized Gain/Loss	-	(58,846)	-	(58,846)	(147,956)
Fees	(4,202)	-	-	(4,202)	(66,260)
Transfers *	-	(157,141)	1,515,379	1,358,238	(10,953,519)
Ending Balance	\$ 7,307,631	\$ 88,708,560	\$ 118,182,759	\$ 214,198,950	\$ 214,198,950

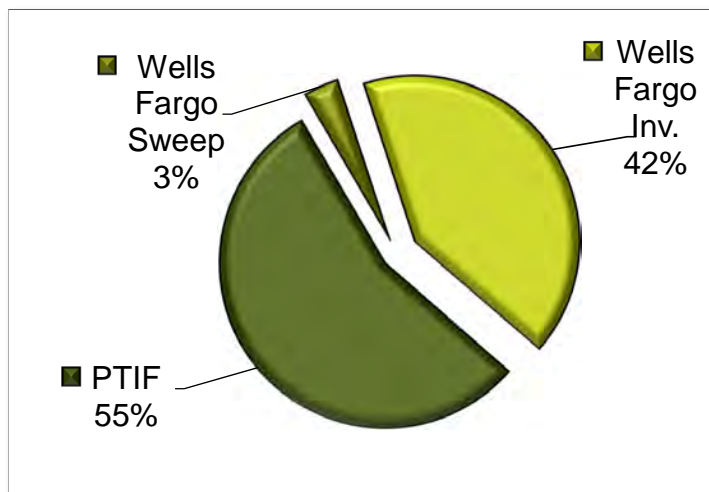
* Transfers consist of activity between UVU and the Foundation and interest transferred to UVU.

Performance Returns

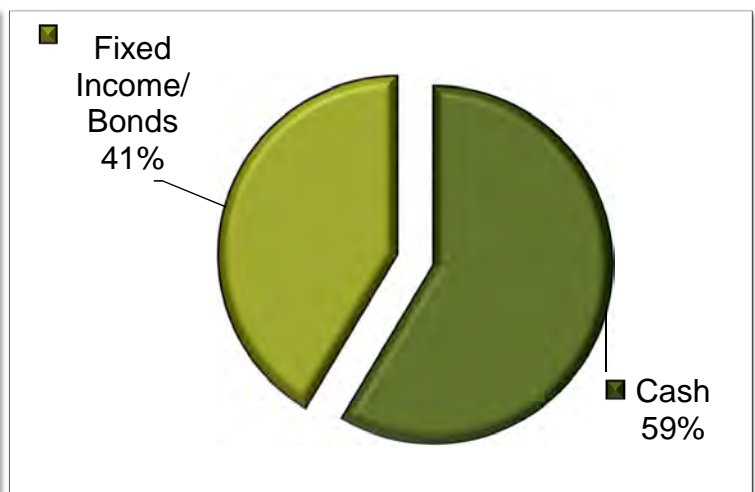
	Wells Fargo Checking/Sweep	Wells Fargo Investments	PTIF
March 2019	0.04%	0.27%	0.25%
April 2019	0.04%	0.28%	0.24%
May 2019	0.04%	0.28%	0.24%
June 2019	0.04%	0.28%	0.24%
July 2019	0.04%	0.29%	0.24%
August 2019	0.04%	0.29%	0.22%
September 2019	0.04%	0.29%	0.21%
October 2019	0.04%	0.29%	0.21%
November 2019	0.04%	0.29%	0.20%
December 2019	0.04%	0.29%	0.19%
January 2020	0.04%	0.29%	0.18%
February 2020	0.04%	0.28%	0.17%
Monthly Average	0.04%	0.29%	0.22%
12 Month Return	0.48%	3.43%	2.59%



UVU Cash and Investments as a Percent of Total



UVU Cash and Investments Investments by Type



Monthly Composite Performance Review
UVU Foundation
February 2020



Account Activity

	Unrestricted	Temporarily Restricted	Permanently Restricted - Endowments	Total Foundation Investments	Past Twelve Months of Activity	Notes Due From University ^
Beginning Market Value	\$ 3,084,805	\$ 52,368,909	\$ 32,885,070	\$ 88,338,784	\$ 75,253,293	Beginning Balance \$ 7,319,458
Interest	2,023	70,436	45,016	117,475	1,164,443	Additional Notes -
Acquisitions	-	-	110,199	110,199	13,992,643	Principal Received (339,170)
Dispositions	-	(7,581)	(102,618)	(110,199)	(14,275,012)	Ending Balance \$ 6,980,287
Gain/Loss Rec & Unrec	-	(543,436)	(1,191,867)	(1,735,303)	1,172,226	Interest Received \$ 203,904
Fees	-	147	(11,482)	(11,335)	(53,928)	Rate 5.5%
Transfers *	231,202	(3,195,343)	1,448,762	(1,515,379)	7,940,577	^ Fiscal Year Activity
Ending Market Value	\$ 3,318,030	\$ 48,693,132	\$ 33,183,080	\$ 85,194,242	\$ 85,194,242	

* Transfers consist of activity between money market accounts and other investment accounts as well as activity between the University and the Foundation.

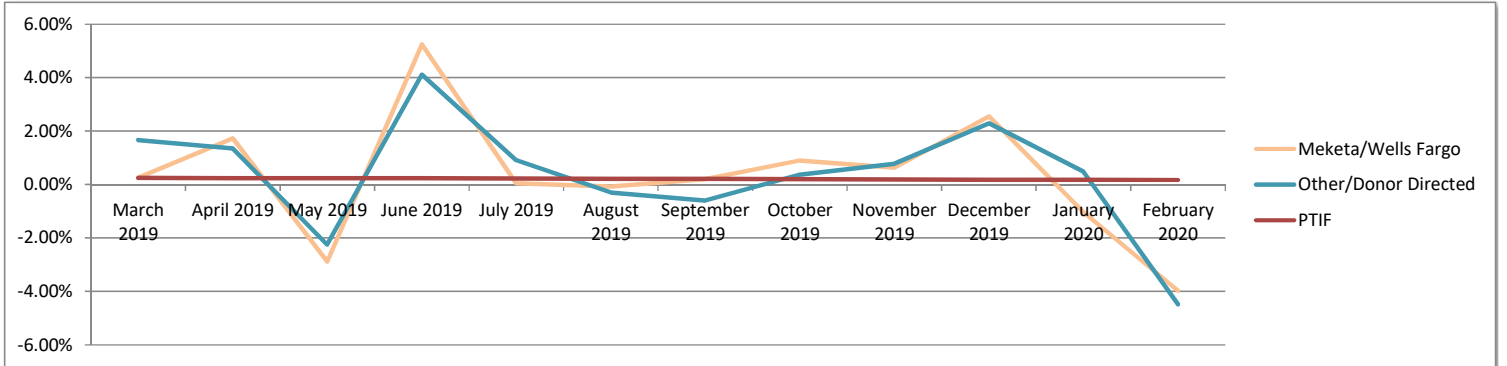
Performance Returns

	Meketa/ Wells Fargo	Other - Donor Directed	PTIF
March 2019	0.26%	1.67%	0.25%
April 2019	1.72%	1.36%	0.24%
May 2019	-2.88%	-2.25%	0.24%
June 2019	5.25%	4.11%	0.24%
July 2019	0.05%	0.91%	0.24%
August 2019	-0.07%	-0.29%	0.22%
September 2019	0.21%	-0.59%	0.21%
October 2019	0.90%	0.38%	0.21%
November 2019	0.63%	0.79%	0.20%
December 2019	2.56%	2.29%	0.19%
January 2020	-1.04%	0.48%	0.18%
February 2020	-3.98%	-4.49%	0.17%
Monthly Average	0.30%	0.36%	0.22%
12 Month Return	3.60%	4.35%	2.59%

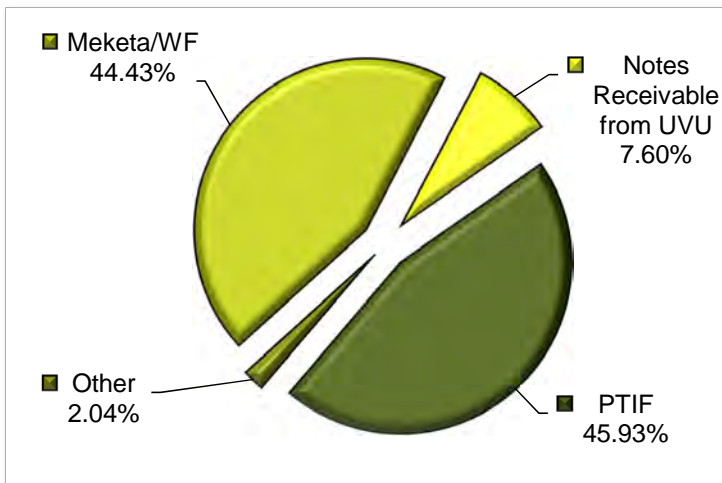
Fund Performance

	1-Year	3-Year	5-Year
UVU	7.63%	7.80%	9.29%
Benchmark	7.70%	6.00%	7.00%

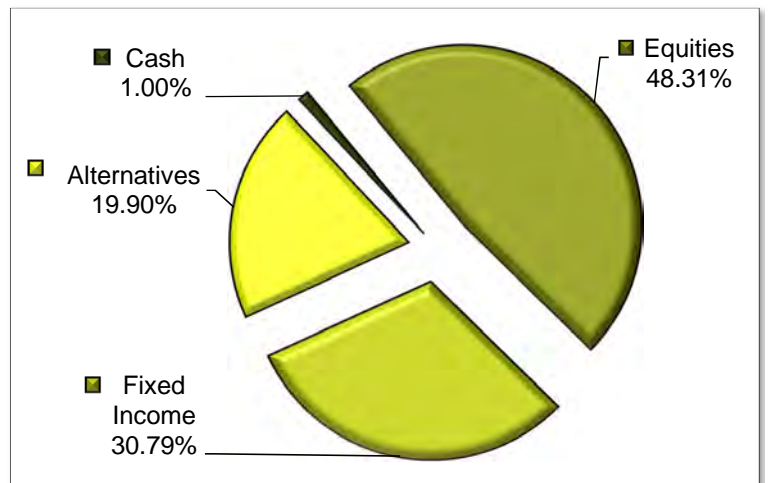
2018 data. Benchmark per NACUBO



UVU Foundation
All Funds as a Percent of Total



UVU Foundation
Investments by Type/Long-Term Investment Fund



Utah Valley University

Investments and Investment Earnings

From 7/1/19 to 2/29/20

Description	Coupon	Settlement Date	Maturity Date	Principal	Premium (Discount)	Accrued Interest	Net Amount	Par	Total Interest Received To Date	Less Accrued Interest	Interest Earnings
BK of Communications/HK	3.40%	5/15/2017	8/16/2019	3,017,220.00	17,220.00	14,023.75	3,031,243.75	3,000,000.00	26,062.83	-	26,062.83
China Development Bank	2.44%	7/28/2017	3/6/2020	1,000,662.47	662.47	2,560.28	1,003,222.75	1,000,000.00	14,458.88	-	14,458.88
Goldman Sachs Group Inc SRNT	2.97%	2/23/2018	4/23/2020	5,783,361.78	100,361.78	14,213.59	5,797,575.37	5,683,000.00	148,486.92	-	148,486.92
UBS AG Stamford CT	2.76%	9/29/2017	6/1/2020	3,038,334.36	38,334.36	5,054.26	3,043,388.62	3,000,000.00	48,245.82	-	48,245.82
Morgan Stanley	2.87%	6/16/2017	6/16/2020	3,544,030.00	44,030.00	-	3,544,030.00	3,500,000.00	57,407.42	-	57,407.42
National Bank of Canada	2.45%	8/24/2017	6/12/2020	4,024,000.00	24,000.00	14,503.56	4,038,503.56	4,000,000.00	57,838.60	-	57,838.60
National Bank of Canada	2.45%	8/24/2017	6/12/2020	1,006,000.00	6,000.00	3,625.89	1,009,625.89	1,000,000.00	14,459.65	-	14,459.65
Bank of Montreal	2.33%	1/9/2018	6/15/2020	1,507,200.00	7,200.00	2,113.01	1,509,313.01	1,500,000.00	20,508.18	-	20,508.18
Wells Fargo	2.68%	8/21/2017	7/22/2020	5,083,300.00	83,300.00	8,526.39	5,091,826.39	5,000,000.00	119,943.89	-	119,943.89
Canadian Imperial Bank	2.21%	3/9/2018	10/5/2020	2,507,925.00	7,925.00	8,775.94	2,516,700.94	2,500,000.00	50,208.28	-	50,208.28
JPMorgan Chase & Co.	2.98%	1/16/2018	10/29/2020	3,076,110.00	76,110.00	16,789.24	3,092,899.24	3,000,000.00	79,274.05	-	79,274.05
American Express Co	2.10%	1/24/2018	10/30/2020	3,001,500.00	1,500.00	12,240.38	3,013,740.38	3,000,000.00	59,357.94	-	59,357.94
Canadian Imperial Bank	2.08%	2/12/2018	2/2/2021	3,006,600.00	6,600.00	12,240.38	3,018,840.38	3,000,000.00	59,190.59	-	59,190.59
Wells Fargo	3.24%	5/2/2018	3/4/2021	3,590,463.24	90,463.24	18,972.44	3,609,435.68	3,500,000.00	65,093.22	-	65,093.22
HSBC HOLDINGS PLC	4.13%	3/16/2018	3/8/2021	8,547,201.00	447,201.00	7,717.10	8,554,918.10	8,100,000.00	184,994.28	-	184,994.28
Toronto Dominion Bank	2.87%	4/10/2018	4/7/2021	3,067,953.00	67,953.00	277.55	3,068,230.55	3,000,000.00	75,589.39	-	75,589.39
Bank of Nova Scotia	2.26%	4/30/2018	4/20/2021	5,015,250.00	15,250.00	3,887.03	5,019,137.03	5,000,000.00	103,404.41	-	103,404.41
Morgan Stanley	3.22%	4/30/2018	4/21/2021	5,143,600.00	143,600.00	3,657.07	5,147,257.07	5,000,000.00	139,937.76	-	139,937.76
Santander UK PLC	2.53%	6/6/2018	6/1/2021	1,502,280.00	2,280.00	608.40	1,502,888.40	1,500,000.00	22,378.73	-	22,378.73
Mitsubishi UFJ FIN GRP	2.44%	8/10/2018	7/26/2021	1,803,030.04	10,030.04	2,229.95	1,805,259.99	1,793,000.00	40,041.98	-	40,041.98
Citigroup Inc	2.95%	8/8/2018	8/2/2021	8,670,000.00	170,000.00	5,012.96	8,675,012.96	8,500,000.00	224,934.07	-	224,934.07
Goldman Sachs Group Inc SRNT	2.86%	11/29/2018	11/15/2021	2,020,000.00	20,000.00	2,944.77	2,022,944.77	2,000,000.00	52,115.14	-	52,115.14
Santander UK PLC	2.35%	1/9/2019	11/15/2021	2,488,307.50	(11,692.50)	12,513.00	2,500,820.50	2,500,000.00	55,262.68	-	55,262.68
MIZUHO Financial Group	2.85%	2/28/2019	2/28/2022	2,016,000.00	16,000.00	-	2,016,000.00	2,000,000.00	48,050.91	-	48,050.91
Barclays Bank	2.58%	6/21/2019	6/21/2022	5,000,000.00	-	-	5,000,000.00	5,000,000.00	73,062.63	-	73,062.63
MIZUHO Financial Group	2.77%	2/10/2020	9/11/2022	4,056,040.00	56,040.00	18,763.46	4,074,803.46	4,000,000.00	-	(18,763.46)	(18,763.46)
FHLB	1.75%	8/30/2017	8/23/2022	3,000,000.00	-	-	3,000,000.00	3,000,000.00	52,500.00	-	52,500.00
				95,516,368.39			95,707,618.79	94,076,000.00	1,892,808.25	(18,763.46)	1,874,044.79
			Matured/Sold	(6,017,220.00)			(6,031,243.75)	(6,000,000.00)			
			Total	89,499,148.39			89,676,375.04	88,076,000.00			



**CASH AND INVESTMENT
REPORT
March 2020**

Monthly Composite Performance Review

UTAH VALLEY UNIVERSITY

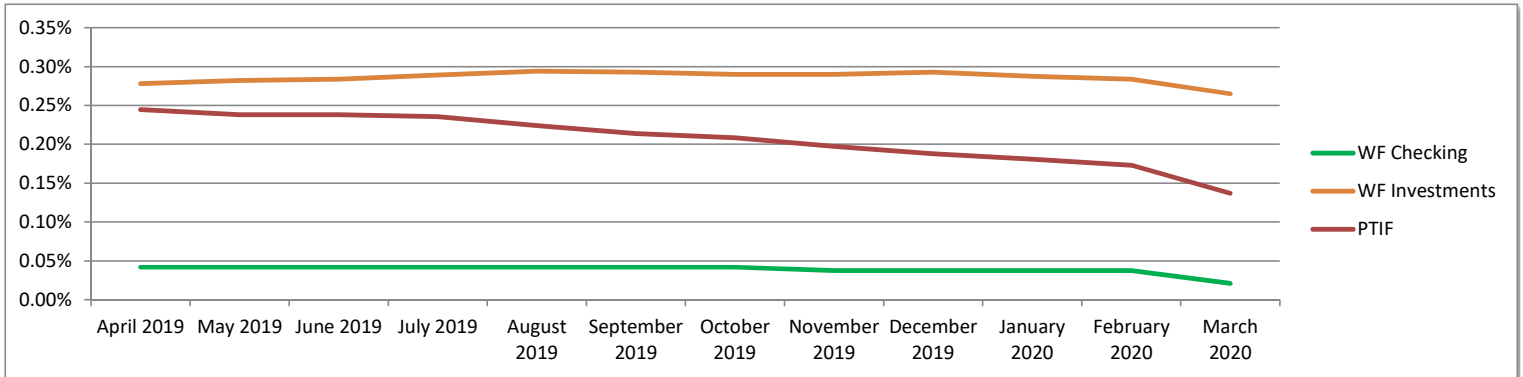
March 2020



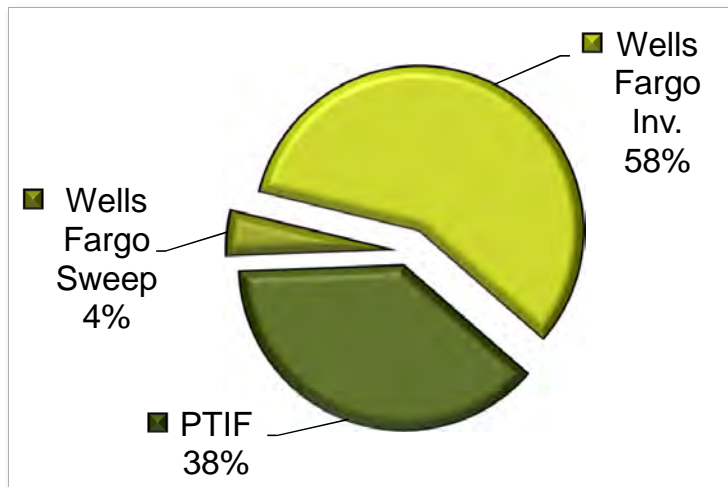
Account Activity	Checking/Sweep	Investments	PTIF	Total University Cash and Investments	Past Twelve Months of Activity
Beginning Balance	\$ 7,307,631	\$ 88,708,560	\$ 118,182,759	\$ 214,198,950	\$ 181,371,631
Interest/Earnings Credit	2,741	367,479	150,107	520,327	5,475,732
Acquisitions/Credits	1,518,558	35,350,000	6,413,214	43,281,772	276,857,836
Dispositions/Debits	-	(6,683,000)	(48,000,000)	(54,683,000)	(249,523,244)
Unrecognized Gain/Loss	-	(3,028,610)	-	(3,028,610)	(3,243,498)
Fees	(2,741)	-	-	(2,741)	(64,211)
Transfers *	-	(367,479)	(1,246,976)	(1,614,455)	(12,202,003)
Ending Balance	\$ 8,826,189	\$ 114,346,950	\$ 75,499,104	\$ 198,672,243	\$ 198,672,243

* Transfers consist of activity between UVU and the Foundation and interest transferred to UVU.

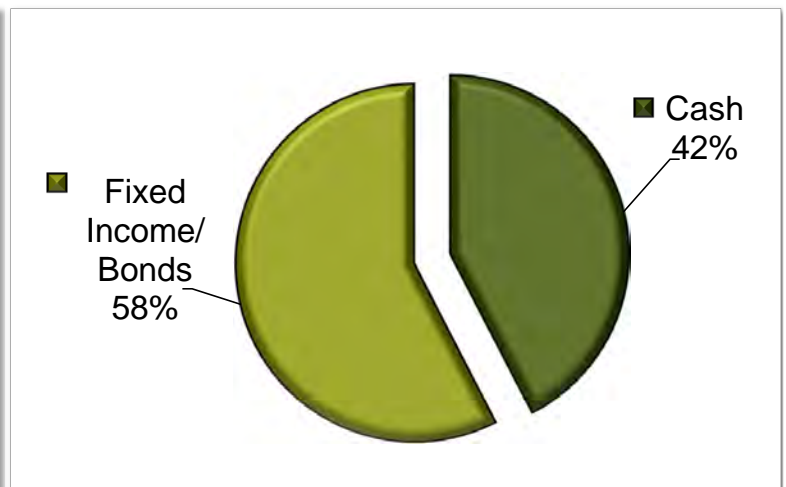
Performance Returns	Wells Fargo Checking/Sweep	Wells Fargo Investments	PTIF
April 2019	0.04%	0.28%	0.24%
May 2019	0.04%	0.28%	0.24%
June 2019	0.04%	0.28%	0.24%
July 2019	0.04%	0.29%	0.24%
August 2019	0.04%	0.29%	0.22%
September 2019	0.04%	0.29%	0.21%
October 2019	0.04%	0.29%	0.21%
November 2019	0.04%	0.29%	0.20%
December 2019	0.04%	0.29%	0.19%
January 2020	0.04%	0.29%	0.18%
February 2020	0.04%	0.28%	0.17%
March 2020	0.02%	0.27%	0.14%
Monthly Average	0.04%	0.29%	0.21%
12 Month Return	0.46%	3.43%	2.48%



UVU Cash and Investments as a Percent of Total



UVU Cash and Investments Investments by Type



Monthly Composite Performance Review
UVU Foundation
March 2020



Account Activity

	Unrestricted	Temporarily Restricted	Permanently Restricted - Endowments	Total Foundation Investments	Past Twelve Months of Activity	Notes Due From University ^
Beginning Market Value	\$ 3,318,030	\$ 48,693,132	\$ 33,183,080	\$ 85,194,243	\$ 75,498,695	Beginning Balance \$ 7,319,458
Interest	1,849	51,928	1,145	54,922	1,134,253	Additional Notes -
Acquisitions	-	2,492,533	6,621,478	9,114,011	22,304,144	Principal Received (440,483)
Dispositions	-	(1,282,981)	(7,831,030)	(9,114,011)	(22,586,513)	Ending Balance \$ 6,878,975
Gain/Loss Rec & Unrec	-	(585,271)	(1,920,488)	(2,505,759)	(1,442,992)	Interest Received \$ 232,378
Fees	-	166	(171)	(5)	(53,933)	Rate 5.5%
Transfers *	(115,814)	(309,756)	1,672,546	1,246,976	9,136,723	^ Fiscal Year Activity
Ending Market Value	\$ 3,204,065	\$ 49,059,751	\$ 31,726,560	\$ 83,990,377	\$ 83,990,377	

* Transfers consist of activity between money market accounts and other investment accounts as well as activity between the University and the Foundation.

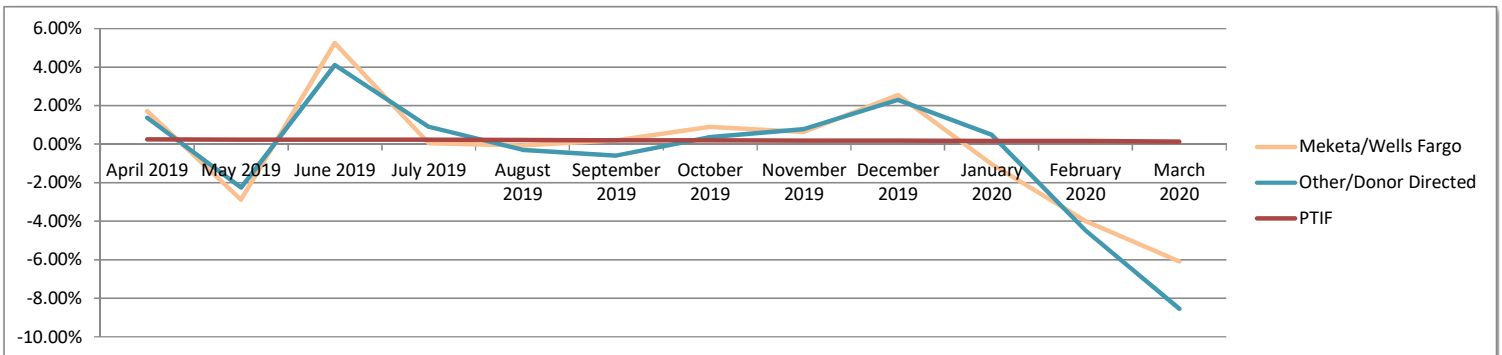
Performance Returns

	Meketa/ Wells Fargo	Other - Donor Directed	PTIF
April 2019	1.72%	1.36%	0.24%
May 2019	-2.88%	-2.25%	0.24%
June 2019	5.25%	4.11%	0.24%
July 2019	0.05%	0.91%	0.24%
August 2019	-0.07%	-0.29%	0.22%
September 2019	0.21%	-0.59%	0.21%
October 2019	0.90%	0.38%	0.21%
November 2019	0.63%	0.79%	0.20%
December 2019	2.56%	2.29%	0.19%
January 2020	-1.04%	0.48%	0.18%
February 2020	-3.98%	-4.49%	0.17%
March 2020	-6.09%	-8.55%	0.14%
Monthly Average	-0.23%	-0.49%	0.21%
12 Month Return	-2.75%	-5.86%	2.48%

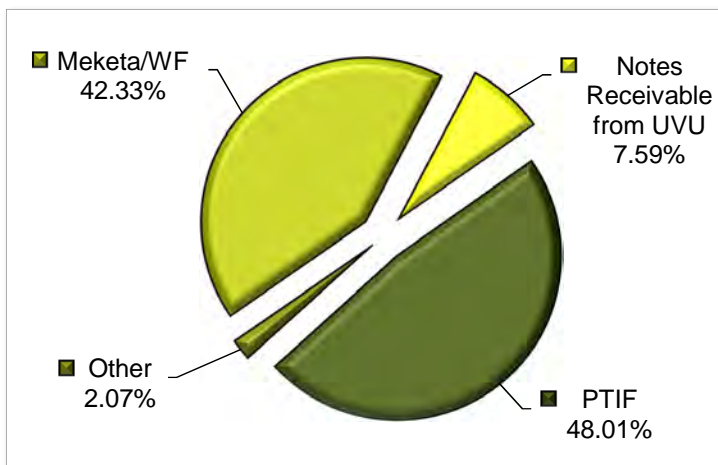
Fund Performance

	1-Year	3-Year	5-Year
UVU	7.63%	7.80%	9.29%
Benchmark	7.70%	6.00%	7.00%

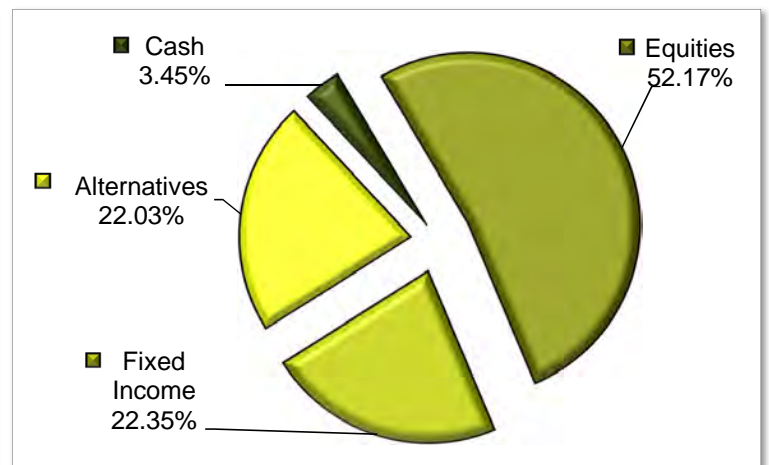
2018 data. Benchmark per NACUBO



UVU Foundation
All Funds as a Percent of Total



UVU Foundation
Investments by Type/Long-Term Investment Fund



Utah Valley University

Investments and Investment Earnings

From 7/1/2019 to 3/31/2020

Description	Coupon	Settlement Date	Maturity Date	Principal	Premium (Discount)	Accrued Interest	Net Amount	Par	Total Interest Received To Date	Less Accrued Interest	Interest Earnings
BK of Communications/HK	3.40%	5/15/2017	8/16/2019	3,017,220.00	17,220.00	14,023.75	3,031,243.75	3,000,000.00	26,062.83	-	26,062.83
China Development Bank	2.44%	7/28/2017	3/6/2020	1,000,662.47	662.47	2,560.28	1,003,222.75	1,000,000.00	20,619.40	-	20,619.40
Goldman Sachs Group Inc SRNT	2.97%	2/23/2018	4/23/2020	5,783,361.78	100,361.78	14,213.59	5,797,575.37	5,683,000.00	176,582.25	-	176,582.25
UBS AG Stamford CT	2.76%	9/29/2017	6/1/2020	3,038,334.36	38,334.36	5,054.26	3,043,388.62	3,000,000.00	69,152.16	-	69,152.16
Morgan Stanley	2.87%	6/16/2017	6/16/2020	3,544,030.00	44,030.00	-	3,544,030.00	3,500,000.00	82,831.06	-	82,831.06
National Bank of Canada	2.45%	8/24/2017	6/12/2020	4,024,000.00	24,000.00	14,503.56	4,038,503.56	4,000,000.00	82,583.02	-	82,583.02
National Bank of Canada	2.45%	8/24/2017	6/12/2020	1,006,000.00	6,000.00	3,625.89	1,009,625.89	1,000,000.00	20,645.75	-	20,645.75
Bank of Montreal	2.33%	1/9/2018	6/15/2020	1,507,200.00	7,200.00	2,113.01	1,509,313.01	1,500,000.00	29,356.53	-	29,356.53
Wells Fargo	2.68%	8/21/2017	7/22/2020	5,083,300.00	83,300.00	8,526.39	5,091,826.39	5,000,000.00	119,943.89	-	119,943.89
Canadian Imperial Bank	2.21%	3/9/2018	10/5/2020	2,507,925.00	7,925.00	8,775.94	2,516,700.94	2,500,000.00	50,208.28	-	50,208.28
JPMorgan Chase & Co.	2.98%	1/16/2018	10/29/2020	3,076,110.00	76,110.00	16,789.24	3,092,899.24	3,000,000.00	79,274.05	-	79,274.05
American Express Co	2.10%	1/24/2018	10/30/2020	3,001,500.00	1,500.00	12,240.38	3,013,740.38	3,000,000.00	59,357.94	-	59,357.94
Canadian Imperial Bank	2.08%	2/12/2018	2/2/2021	3,006,600.00	6,600.00	12,240.38	3,018,840.38	3,000,000.00	59,190.59	-	59,190.59
Wells Fargo	3.24%	5/2/2018	3/4/2021	3,590,463.24	90,463.24	18,972.44	3,609,435.68	3,500,000.00	93,759.37	-	93,759.37
HSBC HOLDINGS PLC	4.13%	3/16/2018	3/8/2021	8,547,201.00	447,201.00	7,717.10	8,554,918.10	8,100,000.00	269,453.65	-	269,453.65
Toronto Dominion Bank	2.87%	4/10/2018	4/7/2021	3,067,953.00	67,953.00	277.55	3,068,230.55	3,000,000.00	75,589.39	-	75,589.39
Bank of Nova Scotia	2.26%	4/30/2018	4/20/2021	5,015,250.00	15,250.00	3,887.03	5,019,137.03	5,000,000.00	103,404.41	-	103,404.41
Morgan Stanley	3.22%	4/30/2018	4/21/2021	5,143,600.00	143,600.00	3,657.07	5,147,257.07	5,000,000.00	139,937.76	-	139,937.76
American Express Co	2.22%	3/24/2020	5/17/2021	2,633,970.00	(216,030.00)	6,142.24	2,640,112.24	2,850,000.00	-	(6,142.24)	(6,142.24)
Santander UK PLC	2.53%	6/6/2018	6/1/2021	1,502,280.00	2,280.00	608.40	1,502,888.40	1,500,000.00	31,959.82	-	31,959.82
Citibank	2.38%	3/23/2020	7/23/2021	1,466,700.00	(33,300.00)	5,940.62	1,472,640.62	1,500,000.00	-	(5,940.62)	(5,940.62)
Mitsubishi UFJ FIN GRP	2.44%	8/10/2018	7/26/2021	1,803,030.04	10,030.04	2,229.95	1,805,259.99	1,793,000.00	40,041.98	-	40,041.98
Citigroup Inc	2.95%	8/8/2018	8/2/2021	8,670,000.00	170,000.00	5,012.96	8,675,012.96	8,500,000.00	224,934.07	-	224,934.07
Goldman Sachs Group Inc SRNT	2.86%	11/29/2018	11/15/2021	2,020,000.00	20,000.00	2,944.77	2,022,944.77	2,000,000.00	52,115.14	-	52,115.14
Santander UK PLC	2.35%	1/9/2019	11/15/2021	2,488,307.50	(11,692.50)	12,513.00	2,500,820.50	2,500,000.00	55,262.68	-	55,262.68
MIZUHO Financial Group	2.85%	2/28/2019	2/28/2022	2,016,000.00	16,000.00	-	2,016,000.00	2,000,000.00	48,050.91	-	48,050.91
Barclays Bank	2.58%	6/21/2019	6/21/2022	5,000,000.00	-	-	5,000,000.00	5,000,000.00	105,284.51	-	105,284.51
Bank of American Corp	2.60%	3/20/2020	6/25/2022	9,637,800.00	(362,200.00)	60,588.03	9,698,388.03	10,000,000.00	64,194.46	(60,588.03)	3,606.43
MIZUHO Financial Group	1.65%	3/18/2020	9/11/2022	2,885,250.00	(114,750.00)	961.41	2,886,211.41	3,000,000.00	-	(961.41)	(961.41)
MIZUHO Financial Group	2.77%	2/10/2020	9/11/2022	4,056,040.00	56,040.00	18,763.46	4,074,803.46	4,000,000.00	27,991.40	(18,763.46)	9,227.94
FHLB	1.75%	8/30/2017	8/23/2022	3,000,000.00	-	-	3,000,000.00	3,000,000.00	52,500.00	-	52,500.00
Goldman Sachs Group Inc	2.56%	3/26/2020	10/31/2022	4,634,500.00	(365,500.00)	19,533.63	4,654,033.63	5,000,000.00	-	(19,533.63)	(19,533.63)
US Bank	1.40%	3/23/2020	12/9/2022	9,413,000.00	(587,000.00)	5,440.09	9,418,440.09	10,000,000.00	-	(5,440.09)	(5,440.09)
Wells Fargo	2.91%	3/19/2020	1/24/2023	2,889,000.00	(111,000.00)	13,341.53	2,902,341.53	3,000,000.00	-	(13,341.53)	(13,341.53)
				129,076,588.39			129,379,786.34	129,426,000.00	2,260,287.30	(130,711.01)	2,129,576.29
		Matured/Sold		(12,801,244.25)			(12,832,041.87)	(12,683,000.00)			
		Total		116,275,344.14			116,547,744.47	116,743,000.00			



**CASH AND INVESTMENT
REPORT
April 2020**

Monthly Composite Performance Review

UTAH VALLEY UNIVERSITY

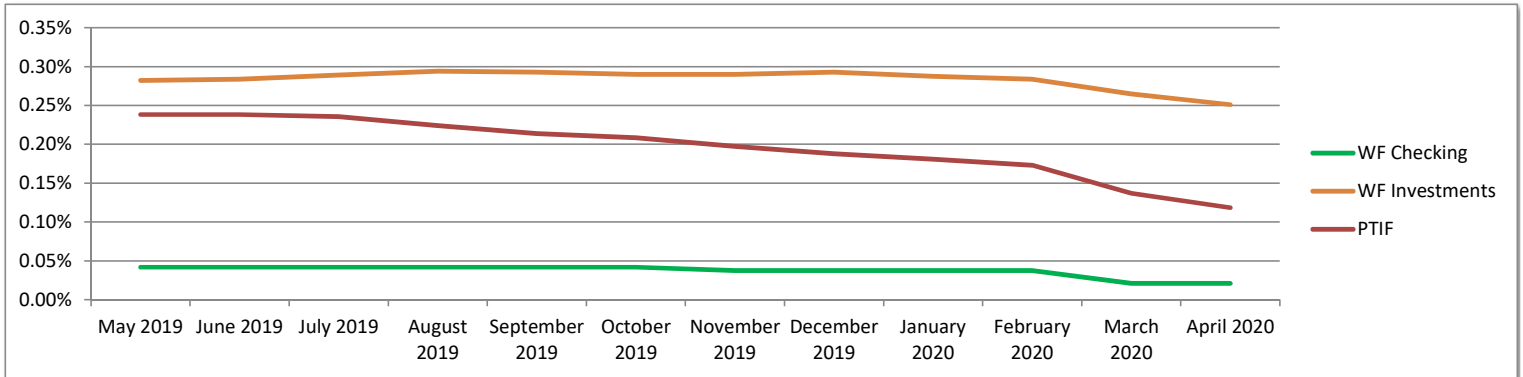
April 2020



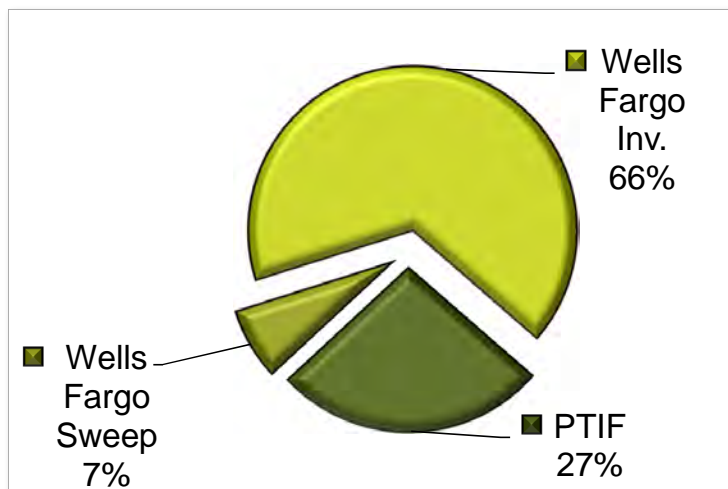
Account Activity	Checking/Sweep	Investments	PTIF	Total University Cash and Investments	Past Twelve Months of Activity
Beginning Balance	\$ 8,826,189	\$ 114,346,950	\$ 75,499,104	\$ 198,672,243	\$ 174,719,885
Interest/Earnings Credit	3,458	251,227	82,701	337,386	5,308,368
Acquisitions/Credits	3,522,472	-	8,445,434	11,967,906	281,415,042
Dispositions/Debits	-	-	(34,000,000)	(34,000,000)	(267,042,058)
Unrecognized Gain/Loss	-	1,849,057	-	1,849,057	(1,441,060)
Fees	(3,458)	-	-	(3,458)	(62,587)
Transfers *	-	(251,227)	(3,227,688)	(3,478,915)	(17,553,371)
Ending Balance	\$ 12,348,661	\$ 116,196,007	\$ 46,799,551	\$ 175,344,219	\$ 175,344,219

* Transfers consist of activity between UVU and the Foundation and interest transferred to UVU.

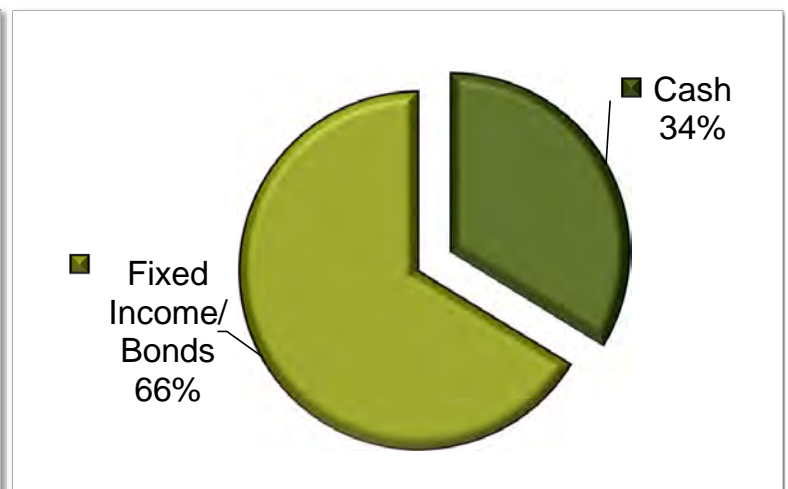
Performance Returns	Wells Fargo Checking/Sweep	Wells Fargo Investments	PTIF
May 2019	0.04%	0.28%	0.24%
June 2019	0.04%	0.28%	0.24%
July 2019	0.04%	0.29%	0.24%
August 2019	0.04%	0.29%	0.22%
September 2019	0.04%	0.29%	0.21%
October 2019	0.04%	0.29%	0.21%
November 2019	0.04%	0.29%	0.20%
December 2019	0.04%	0.29%	0.19%
January 2020	0.04%	0.29%	0.18%
February 2020	0.04%	0.28%	0.17%
March 2020	0.02%	0.27%	0.14%
April 2020	0.02%	0.25%	0.12%
Monthly Average	0.04%	0.28%	0.20%
12 Month Return	0.44%	3.40%	2.35%



UVU Cash and Investments as a Percent of Total



UVU Cash and Investments Investments by Type



Monthly Composite Performance Review
UVU Foundation
April 2020



Account Activity

	Unrestricted	Temporarily Restricted	Permanently Restricted - Endowments	Total Foundation Investments	Past Twelve Months of Activity	Notes Due From University ^
Beginning Market Value	\$ 3,204,065	\$ 49,059,751	\$ 31,726,560	\$ 83,990,376	\$ 74,089,575	Beginning Balance \$ 7,319,458
Interest	1,470	46,727	3,630	51,827	1,103,262	Additional Notes -
Acquisitions	700,106	-	1,151,474	1,851,580	23,822,224	Principal Received (2,270,243)
Dispositions	-	(249,454)	(902,020)	(1,151,474)	(23,404,487)	Ending Balance \$ 5,049,215
Gain/Loss Rec & Unrec	-	494,415	2,349,569	2,843,984	705,886	Interest Received \$ 232,378
Fees	-	-	(1,102)	(1,102)	(49,854)	Rate 5.5%
Transfers *	(701,576)	6,530,815	(2,601,551)	3,227,688	14,546,273	^ Fiscal Year Activity
Ending Market Value	\$ 3,204,065	\$ 55,882,254	\$ 31,726,560	\$ 90,812,879	\$ 90,812,879	

* Transfers consist of activity between money market accounts and other investment accounts as well as activity between the University and the Foundation.

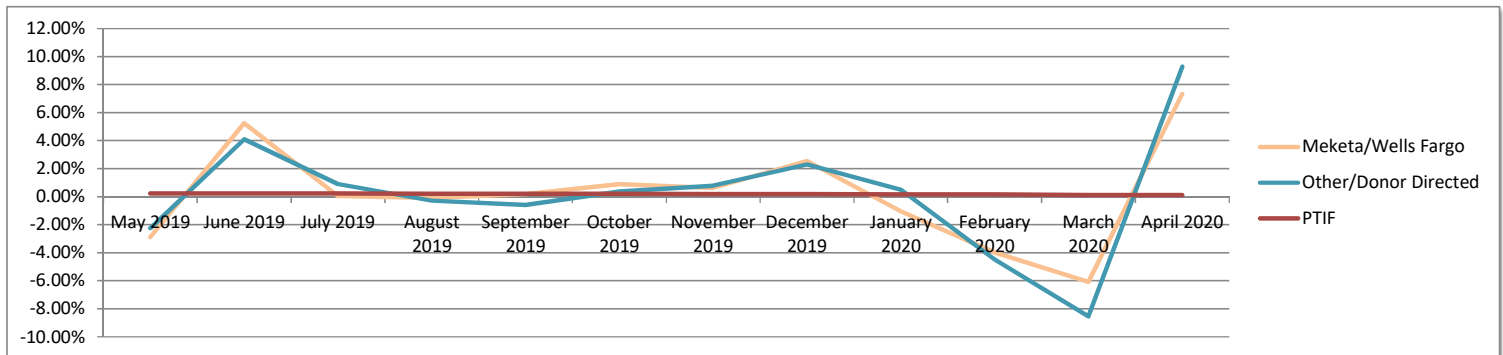
Performance Returns

	Meketa/ Wells Fargo	Other - Donor Directed	PTIF
May 2019	-2.88%	-2.25%	0.24%
June 2019	5.25%	4.11%	0.24%
July 2019	0.05%	0.91%	0.24%
August 2019	-0.07%	-0.29%	0.22%
September 2019	0.21%	-0.59%	0.21%
October 2019	0.90%	0.38%	0.21%
November 2019	0.63%	0.79%	0.20%
December 2019	2.56%	2.29%	0.19%
January 2020	-1.04%	0.48%	0.18%
February 2020	-3.98%	-4.49%	0.17%
March 2020	-6.09%	-8.55%	0.14%
April 2020	7.34%	9.29%	0.12%
Monthly Average	0.24%	0.17%	0.20%
12 Month Return	2.87%	2.03%	2.35%

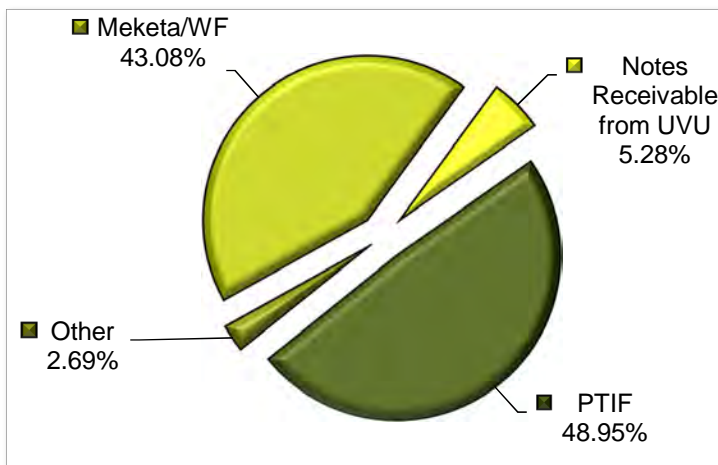
Fund Performance

	1-Year	3-Year	5-Year
UVU	7.63%	7.80%	9.29%
Benchmark	7.70%	6.00%	7.00%

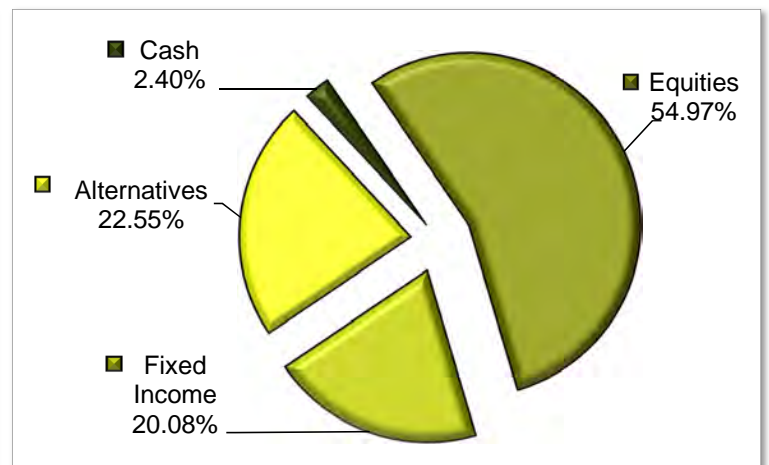
2018 data. Benchmark per NACUBO



UVU Foundation
All Funds as a Percent of Total



UVU Foundation
Investments by Type/Long-Term Investment Fund



Utah Valley University

Investments and Investment Earnings

From 7/1/2019 to 4/30/2020

Description	Coupon	Settlement Date	Maturity Date	Principal	Premium (Discount)	Accrued Interest	Net Amount	Par	Total Interest Received To Date	Less Accrued Interest	Interest Earnings
BK of Communications/HK	3.40%	5/15/2017	8/16/2019	3,017,220.00	17,220.00	14,023.75	3,031,243.75	3,000,000.00	26,062.83	-	26,062.83
China Development Bank	2.44%	7/28/2017	3/6/2020	1,000,662.47	662.47	2,560.28	1,003,222.75	1,000,000.00	20,619.40	-	20,619.40
Goldman Sachs Group Inc SRNT	2.97%	2/23/2018	4/23/2020	5,783,361.78	100,361.78	14,213.59	5,797,575.37	5,683,000.00	176,582.25	-	176,582.25
UBS AG Stamford CT	2.43%	9/29/2017	6/1/2020	3,038,334.36	38,334.36	5,054.26	3,043,388.62	3,000,000.00	69,152.16	-	69,152.16
Morgan Stanley	1.72%	6/16/2017	6/16/2020	3,544,030.00	44,030.00	-	3,544,030.00	3,500,000.00	82,831.06	-	82,831.06
National Bank of Canada	1.34%	8/24/2017	6/12/2020	4,024,000.00	24,000.00	14,503.56	4,038,503.56	4,000,000.00	82,583.02	-	82,583.02
National Bank of Canada	1.34%	8/24/2017	6/12/2020	1,006,000.00	6,000.00	3,625.89	1,009,625.89	1,000,000.00	20,645.75	-	20,645.75
Bank of Montreal	1.18%	1/9/2018	6/15/2020	1,507,200.00	7,200.00	2,113.01	1,509,313.01	1,500,000.00	29,356.53	-	29,356.53
Wells Fargo	1.98%	8/21/2017	7/22/2020	5,083,300.00	83,300.00	8,526.39	5,091,826.39	5,000,000.00	153,843.04	-	153,843.04
Canadian Imperial Bank	1.68%	3/9/2018	10/5/2020	2,507,925.00	7,925.00	8,775.94	2,516,700.94	2,500,000.00	64,175.83	-	64,175.83
JPMorgan Chase & Co.	2.05%	1/16/2018	10/29/2020	3,076,110.00	76,110.00	16,789.24	3,092,899.24	3,000,000.00	101,868.59	-	101,868.59
American Express Co	2.10%	1/24/2018	10/30/2020	3,001,500.00	1,500.00	12,240.38	3,013,740.38	3,000,000.00	75,279.15	-	75,279.15
Canadian Imperial Bank	2.08%	2/12/2018	2/2/2021	3,006,600.00	6,600.00	12,240.38	3,018,840.38	3,000,000.00	59,190.59	-	59,190.59
Wells Fargo	2.59%	5/2/2018	3/4/2021	3,590,463.24	90,463.24	18,972.44	3,609,435.68	3,500,000.00	93,759.37	-	93,759.37
HSBC HOLDINGS PLC	3.24%	3/16/2018	3/8/2021	8,547,201.00	447,201.00	7,717.10	8,554,918.10	8,100,000.00	269,453.65	-	269,453.65
Toronto Dominion Bank	2.39%	4/10/2018	4/7/2021	3,067,953.00	67,953.00	277.55	3,068,230.55	3,000,000.00	97,382.98	-	97,382.98
Bank of Nova Scotia	1.58%	4/30/2018	4/20/2021	5,015,250.00	15,250.00	3,887.03	5,019,137.03	5,000,000.00	131,643.54	-	131,643.54
Morgan Stanley	2.51%	4/30/2018	4/21/2021	5,143,600.00	143,600.00	3,657.07	5,147,257.07	5,000,000.00	180,623.99	-	180,623.99
American Express Co	2.22%	3/24/2020	5/17/2021	2,633,970.00	(216,030.00)	6,142.24	2,640,112.24	2,850,000.00	-	(6,142.24)	(6,142.24)
Santander UK PLC	2.20%	6/6/2018	6/1/2021	1,502,280.00	2,280.00	608.40	1,502,888.40	1,500,000.00	31,959.82	-	31,959.82
Citibank	1.61%	3/23/2020	7/23/2021	1,466,700.00	(33,300.00)	5,940.62	1,472,640.62	1,500,000.00	9,009.95	(5,940.62)	3,069.33
Mitsubishi UFJ FIN GRP	1.64%	8/10/2018	7/26/2021	1,803,030.04	10,030.04	2,229.95	1,805,259.99	1,793,000.00	51,119.52	-	51,119.52
Citigroup Inc	2.95%	8/8/2018	8/2/2021	8,670,000.00	170,000.00	5,012.96	8,675,012.96	8,500,000.00	224,934.07	-	224,934.07
Goldman Sachs Group Inc SRNT	2.86%	11/29/2018	11/15/2021	2,020,000.00	20,000.00	2,944.77	2,022,944.77	2,000,000.00	52,115.14	-	52,115.14
Santander UK PLC	2.35%	1/9/2019	11/15/2021	2,488,307.50	(11,692.50)	12,513.00	2,500,820.50	2,500,000.00	55,262.68	-	55,262.68
MIZUHO Financial Group	2.55%	2/28/2019	2/28/2022	2,016,000.00	16,000.00	-	2,016,000.00	2,000,000.00	48,050.91	-	48,050.91
Barclays Bank	1.85%	6/21/2019	6/21/2022	5,000,000.00	-	-	5,000,000.00	5,000,000.00	105,284.51	-	105,284.51
Bank of American Corp	1.87%	3/20/2020	6/25/2022	9,637,800.00	(362,200.00)	60,588.03	9,698,388.03	10,000,000.00	64,194.46	(60,588.03)	3,606.43
MIZUHO Financial Group	1.65%	3/18/2020	9/11/2022	2,885,250.00	(114,750.00)	961.41	2,886,211.41	3,000,000.00	-	(961.41)	(961.41)
MIZUHO Financial Group	1.65%	2/10/2020	9/11/2022	4,056,040.00	56,040.00	18,763.46	4,074,803.46	4,000,000.00	27,991.40	(18,763.46)	9,227.94
FHLB	1.75%	8/30/2017	8/23/2022	3,000,000.00	-	-	3,000,000.00	3,000,000.00	52,500.00	-	52,500.00
Goldman Sachs Group Inc	2.56%	3/26/2020	10/31/2022	4,634,500.00	(365,500.00)	19,533.63	4,654,033.63	5,000,000.00	31,964.13	(19,533.63)	12,430.50
US Bank	1.40%	3/23/2020	12/9/2022	9,413,000.00	(587,000.00)	5,440.09	9,418,440.09	10,000,000.00	-	(5,440.09)	(5,440.09)
Wells Fargo	2.13%	3/19/2020	1/24/2023	2,889,000.00	(111,000.00)	13,341.53	2,902,341.53	3,000,000.00	22,074.17	(13,341.53)	8,732.64
				129,076,588.39			129,379,786.34	129,426,000.00	2,511,514.49	(130,711.01)	2,380,803.48
		Matured/Sold		(12,801,244.25)			(12,832,041.87)	(12,683,000.00)			
		Total		116,275,344.14			116,547,744.47	116,743,000.00			

Mission

PACE advocates for and recognizes staff by providing a unified voice to the campus community, social and service opportunities, and support for professional development.

Objectives

- **Advocate** for staff by representing and advancing their interests and recognizing the value of their contributions.
- **Unify** the diverse groups of staff across campus toward common goals in alignment with the university mission.
- **Communicate** with administration and staff by providing a forum for the exchange of information.
- **Involve** staff by encouraging social, service, and professional engagement on campus and in the community.



Executive Board

President	Nathan Gerber
President Elect	Beka Grulich
Administrative Vice President	Tamara Jensen
Executive Vice President	Candida Johnson
Secretary/Treasurer	Ashlyn Robb
Administrative Liaison	Linda Makin / Marilyn Meyer

Committee Chairs

Benefits.....	Trish Baker
Marketing & Communication.....	Kameron Dearing
Employee Recognition.....	Natalie Healy
Bylaws & Procedures.....	Jennifer Gallagher
Events.....	Bonnie Mortensen
Legislative Affairs.....	Steve Anderson
Nominations & Elections.....	Tena Medina
Policy Review.....	Ben Burk
Service & Scholarship.....	Kellie Hancock
Staff Education & Development.....	Daniel Delgadillo
Wolverine Pride	DaSheek Akwenye

Division Senators

Academic Affairs	Anthony Morris
Academic Affairs	Dalene Rowley
Academic Affairs	Alison Jensen
Academic Affairs	Kristen Nuesmeyer
Academic Affairs	Dan Zacharias
Institutional Advancement	Julie Stowe
Finance & Administration.....	Jeff Anderson
Finance & Administration.....	Megan Densley
Finance & Administration.....	John Berry
Finance & Administration.....	Justin Hansen
Planning, Budget & HR.....	Leisa Galloway
Student Affairs.....	Alex Gebers
Student Affairs.....	Todd Olsen
Student Affairs.....	Alauna Bates
Student Affairs	Jenice Schulzke
University Relations	Shari Warnick

Other Representation

Faculty Senate President	Anne Arendt
UVUSA (Student	Brylee Bromley

Thank You to all PACE Board members, committee members, university leadership, and all university staff who helped make 2019-2020 another successful year!

Statistics, Highlights and Accomplishments

Achieve

- Distinguished Employee Awards – 8 Full-time and 4 Part-time
- Automated the Wolverine Sighting Awards making it easier for employees to recognize their colleagues
- Wolverine Sightings - 657 Sightings Awarded
- Staff Education Fund - 97 Employees Awarded
- PACE Professional Development Forum – 6 sessions averaging 26 attended
- Wolverine Pride Ambassador of the month nominations – 106 awarded

Include

- PACE Weekly Update Email – Continued weekly communication and received positive feedback.
- PACE Facebook Page – continued to encourage involvement and networking
- PACE Elections – 38 ballots were cast to nominate 129 candidates. 632 ballots were cast to vote for the 29 candidates for the 16 open positions.
- New Employee Orientation (NEO) – Presented information regarding PACE membership at NEO sessions
- Staff Fall Forum - 800 Staff Attended; Presented Employee funded student scholarship fund and increased employee pride by providing tumblers for attendees
- PACE Halloween Decorating Contest – Individual And Office Award/Prizes Given
- PACE Homecoming Office Decorating Contest – office prize given
- PACE Holiday Social – 1,300 Staff Attended – this was record attendance for a PACE event!
- Summer University - Committee Representation, Staff Presentations -
- Show your pride at Athletic Events – Prizes awarded to staff during Men’s Basketball games
- PACE Transition Luncheon – Honored Ingoing and Outgoing Board Members, Included Committee Members
- PACE Annual General Membership Meeting – Reported on Progress of Strategic Goals and Committee Work – this was done digitally via teams due to COVID-19
- Goodwill Association provided flowers for 44 employees who had lost a loved one or had an extended hospital stay
- Gather and share ideas, input, and concerns on initiatives and implementations
- Wolverine Wednesday food court vendor discount was expanded to include vendors new to campus

Engage

- PACE Representation on committee’s including VP Digital Transformation hiring committee and AVP/CTO hiring committee
- Vision 2030 input and communication
- COVID-19 Communication, input gathering, support for supervisor guidance
- Campus Policy Review - Reviewed 12 Policies and Provided Feedback
- UHESA Involvement – Representation at Monthly Webinars, Meetings, and Conference
- University Committee and Meeting Representation

2018-2019 PACE Distinguished Employee Award Recipients

Full-time

Andrea Calaway – School of Business
Brett McKeachnie – Information and Technology
Christie Snyder – Human Resources
Christine Peterson – Human Resources
Giovana Alisa – Gear-up
Kim Reynolds – Outdoor Adventure Center
Sandra Ozuna – Concurrent Enrollment
Niles Wimber – Information and Technology

Part-time

Ana Munoz – Gear Up
Austin Skinner – Outdoor Adventure Center
Douglas Nielson – Institutional Research & Information
Nicholas Lawyer – Bingham Gallery - Library