ACADEMIC SENATE AGENDA  
December 7, 2009

1. CALL TO ORDER: 3:00 p.m. in room 115 C. Roland Christensen Center

2. APPROVAL OF MINUTES: November 2, 2009

3. REQUEST FOR NEW BUSINESS:
   a. White Paper – Chuck Wight / Rick Anderson – ETD’s

4. CONSENT CALENDAR:
   a. Appendix I: Resignations, Administrative and Faculty Appointments
   b. Appendix II: Auxiliary and Limited Term Appointments
   c. Appendix III: Emeritus Appointments

5. EXECUTIVE COMMITTEE REPORT:

6. REPORT FROM ADMINISTRATION:

7. REPORT FROM ASUU:

8. NOTICE OF INTENT:
   a. Revision of Policy 3-004 (Processing & Signing of Legal Documents)
   b. New Policy & Rule 9-003 (Endowed Chairs)

9. DEBATE CALENDAR:
   a. Proposed New Policy 3-018 (Internal Controls)
   b. Proposed New Major in Applied Mathematics
   c. Proposed New Major in Operations Management
   d. Proposed New Minor in Media Studies
   e. Proposed Transfer of Elementary Education Undergraduate Degree
   f. Proposed Pharmacotherapy Outcomes Research & Health Policy
   g. Proposed Juris Doctor and Master of Social Work

10. INFORMATION CALENDAR:
    a. Revision of Policy 3-002 (Administration of State Appropriated Funds)
    b. Implementation of Criminal Background Checks
    c. Athletics Advisory Council Annual Report

11. NEW BUSINESS:

12. ADJOURNMENT:
Call to Order
The regular meeting of the Academic Senate, held on November 2, 2009, was called to order at 3:02 pm by James A. Anderson, Senate President. The meeting was held in room 115 C. Roland Christensen Center.


Excused: Marlene Egger, R. Lor Randall, Andrea Rorrer, Tim Slover, Paula Smith, Irving Torres, Lorris Betz, Richard Sperry, Michael K. Young

Ex-officio: James Anderson, Robert Flores, John Francis, James Graves, Nancy Lines, Paul Mogren, Susan Olson, David W. Pershing, Chuck Wight

Others: Ann Floor, Ann Darling, Theresa Ashman, Robert Payne, Kevin Taylor, Kevin Hansen

Approval of Minutes
The minutes of the Academic Senate meeting of October 2, 2009 were unanimously approved.

Request for New Business
Steve Hess, Chief Information Officer, presented a White Paper entitled ‘An Educator’s View of the Impact of Information Technology on Higher Education and the University of Utah’ which was very informative and well received. He stressed the great impact internet technology has in higher education and the University. Technology changes rapidly and we need to be aware of what technology is doing. A copy of his full presentation will be posted on the Senate website.

Consent Calendar
The resignations, retirements, faculty appointments, auxiliary, and limited term appointments, appearing in the Appendices dated October 19 and November 2, 2009 received approval to forward to the Board of Trustees following a motion from Larry DeVries which was seconded by Eric Eddings.
Executive Committee Report
Jim Metherall, Executive Committee Secretary, summarized his written report of the October 19, 2009 Executive Committee meeting.

Report from Administration
Senior Vice President David Pershing represented the administration and commented on the re-dedication of the Marriott Library informing the committee of the amazing collection of old and new housed in the beautiful edifice. The vice president apologized for the construction on campus indicating some of it was scheduled while other parts were unplanned but necessary to keep the University functioning.

The vice president also commented on the budget indicating that they didn’t have much more information as yet but are not anticipating a mid-year cut rather they expect big challenges in July 2010. The administration will be trying to brace that increase and will not be able to cover all of the expected $22 million but will do their best to protect the academic core. He reiterated that building funds have been appropriated for building buildings and those funds cannot be used for other needs.

Regarding positive things for the University, Vice President Pershing indicated that since July 2005, the Capital Campaign has raised about $670 million that impacts everyone in some way. Development continues to improve, last year adding 10,000 new donors. Despite the economy, research had its best year ever last year with about $355 million in new research funds. The first quarter of this year we were up 25% over the record-year last year. Thus far we have received about $32 million in new research funding from the stimulus program.

Report from ASUU
Tayler Clough reported on the activities of ASUU. First, they have finished with their legislative project to lower costs for student elections from $10,000 to $6500. Secondly, the Student Fee Committee will review student fees and analyze their appropriation and are accepting applications for participation. The committee will be under the direction of Senior Vice President Pershing, Vice President Brinkman and will include the ASUU financial director, ASUU president and vice president. Finally, the Community Mentoring Program in partnership with the College of Education is under way to help junior high students to start thinking about the direction they want to pursue in higher education. Mary Burbank from the College of Education will serve as the director.

Notice of Intent
Theresa Ashman, University Controller, was asked to fill in for Jeff West and explain the purpose for instigating the proposed new Policy 3-018 (Internal Controls). She said, basically the policy is created to keep bad things from happening and would prevent three major things from happening in the University’s financial areas: 1) avoid errors; 2) fraud; 3) incompetence. Ms. Ashman noted where there is good control, there is more efficiency. Online, onsite, and one-on-one training would be made available by the controller’s office. Ms. Ashman invited any corrections be forwarded to Jeff West so that a final proposal can be sent to the Senate’s debate calendar in December.
Debate Calendar
Ann Darling appeared before the Senate for the third time presenting the proposal for revision of Policy 6-401 to authorize establishment of the newly proposed Student Media Council. President Anderson explained that this proposed revision of the Policy will decommission two current Councils, the Student Broadcast Council and the Publications Council and create the new Student Media Council which will provide a stable funding base with a more streamlined system for transparency and student support. A motion to table the proposal was made by Chris Nelson and seconded by David Ailion but following a vote the motion failed by 30 in favor and 39 against. By a seconded motion the proposed revision of Policy 6-401 was finally approved. The proposal will be forwarded to the Trustees for their December meeting.

Robert Payne, Associate General Counsel, explained the purpose for Interim Rule 5-210 (Sexual Assault Prevention and Response), indicating that it came about following an August 25, 2008 Federal audit of the University wherein they found us out of compliance with the Clery Act, a federal policy that requires universities to have policies in place to educate current and prospective students about campus resources and processes available to student victims of sexual assault. To correct the deficiency, the University committed to having a sexual assault policy in place by October 1, 2009, and having drafts of recommended policies written and submitted for the approval process by November 1, 2009. The rule will become part of a larger, more comprehensive policy by the October 2010 deadline. The Institutional Policy Committee, the President’s Commission on the Status of Women, the Chief of Police, and others will be working to promulgate the final policy that will replace the interim rule. It was proposed that a sunset clause be inserted to decommission the interim status by June 2011. A motion from Larry DeVries to forward Interim Rule 5-210 as amended to the Board of Trustees for their approval and designate it to be decommissioned as a sunset provision by June 2011, at which time a new policy will be in place, was seconded by Jim Metherall and approved.

Kevin Taylor, director of the Office of Technology, gave a précis on the new proposed University Rule 4-002 regarding peer-to-peer illegal file sharing. The rule will provide students and faculty members with disclosure information regarding potential civil and criminal penalties, specifically targeting infractions with the electronic media (i.e. distributing copyrighted music/movies, etc.). Those who engage in illegal file sharing can be subjected to disciplinary proceedings, in addition to having their computer/network privileges cut off. The University’s goal is to protect the students while keeping the institution free from liability. It was suggested that a sentence be included in the proposed rule that prior to losing network privileges, the students/faculty involved will be contacted and given an opportunity for. As a seconded motion, the proposed rule passed with one abstention and with a friendly amendment to add to the process the step of notification and opportunity for explanation.

Chuck Wight gave a short synopsis of the proposed University of Utah Center in St. George, more specifically to use the name “center” in its name. The Center will be housed in a building across the street from Dixie State College and will contain classroom facilities, staff, and infrastructure to support primarily graduate degrees from the University of Utah. The proposal for an institutional partnership with Dixie State College is completely separate from this request.
As a seconded motion, the request passed unanimously to forward to the Board of Trustees for final approval.

Kevin Hanson was present to respond to questions for a name change from the Division of Film Studies to the Department of Film and Media Arts. The name change more accurately describes the mission and long-term goals and reflects the tripled number of declared majors since its inception. There were no questions or concerns. As a seconded motion, the proposed request received unanimous approval to forward to the Board of Trustees for final approval.

Information Calendar:
Susan Olson reported on a plan to conduct a three-year review of the Family Leave Policy which became effective in the spring of 2006. A graduate student in Educational Leadership and Policy working under the direction of Professor Andrea Rorrer has volunteered to conduct this review as a project in a graduate methods course. A faculty questionnaire will be sent out to all faculty most likely in January (with the exception of the School of Medicine faculty as they have a separate policy), to accumulate information from those who have used the policy as well as to find out who did not or who intends to use it in the future. Some of those responders will be asked to participate in a focus group to gauge faculty opinions of the program. A separate questionnaire will be sent to department chairs to query them as to how the policy worked in their departments.

Emphasis in Early Childhood Education for Human Development and Family Studies Majors, Emphasis in Financial Planning for Consumer and Community Studies Majors, and Emphasis in Entertainment Arts and Engineering for Film Studies Majors will be forwarded to the Board of Trustees.

New Business
Jim Anderson informed the Senate that the Pandemic Task Force is concerned about procedures in place for absenteeism in attendance for students and faculty. He encouraged the senators to think about a buddy system if they are sick as it takes one week for symptoms to subside and another week to recover causing a two-week absence. The University does not want people coming on campus when they are sick. He recommended that senators consider these things and take responsibility for their own situation.

Adjournment:
The meeting adjourned at 4:46 p.m.

Respectfully submitted,

Nancy Lines
ADDENDUM
APPENDIX I
RESIGNATIONS, RETIREMENT, & APPOINTMENTS

Resignations

1. Dr. Harry H. Hatasaka Jr., Associate Professor (Clinical) of Obstetrics and Gynecology, effective October 31, 2009.

2. Professor Erik Luna, Professor with tenure of Law, effective June 30, 2009.

3. Dr. Gregory A. Voth, Distinguished Professor with tenure of Chemistry, effective July 1, 2010.

Retirement

1. Dr. Harold Bauman, Associate Professor with tenure of History, member of faculty for 44 years, effective December 31, 2009. (See Emeritus Appointment)

Administrative Appointments

1. Dr. Gianluca Lazzi, Chair, Department of Electrical and Computer Engineering, effective November 1, 2009.

Faculty Appointments

ENGINEERING

1. Dr. Gianluca Lazzi, Professor with Tenure of Electrical and Computer Engineering, effective November 1, 2009.

   Ph.D., 1994, Universita Di Roma
   Ph.D., 1998, University of Utah

MARRIOTT LIBRARY


   B.A., 1998, University of Florida
   M.A., 2001, University of Arizona
   M.L.S., 2005, Indiana University
MEDICINE

3. Dr. Mia Hashibe, Assistant Professor of Family & Preventive Medicine, effective November 1, 2009.

   B.S., 1997, University of California
   M.P.H., 1999, University of California
   Ph.D., 2002, University of California

4. Dr. Sean V. Tavtigian, Associate Professor of Oncological Sciences, effective November 1, 2009.

   B.A., 1984, Pomona College
   Ph.D., 1992, California Institute of Technology

SCIENCE

5. Dr. Shanti Deemyad, Assistant Professor of Physics, effective January 1, 2010.

   B.S., 1998, Sharif University of Technology
   Ph.D., 2004, Washington University

6. Dr. Saveez Saffarian, Assistant Professor of Physics, effective January 1, 2010.

   B.S., 1997, Sharif University of Technology
   Ph.D., 2003, Washington University
APPENDIX II

AUXILIARY FACULTY APPOINTMENTS

EDUCATION

1. Dr. Emily A. Swan, Associate Professor (Clinical) of Educational Psychology, effective July 1, 2009 and ending June 30, 2011. This supersedes her appointment as Adjunct Associate Professor of Educational Psychology.

ENGINEERING

2. Dr. Erik Kubiak, Adjunct Assistant Professor of Bioengineering, effective October 23, 2009 and ending June 30, 2010. This is secondary to his tenure track position as Assistant Professor of Orthopedic Surgery.

3. Dr. Scott K. Kuwada, Adjunct Professor of Bioengineering, effective October 23, 2009 and ending June 30, 2010. This is in addition to his appointments as Adjunct Instructor in Internal Medicine and Adjunct Associate Professor of Oncological Sciences.

4. Dr. Alonso P. Moreno, Adjunct Professor of Bioengineering, effective October 23, 2009 and ending June 30, 2010. This is secondary to his tenure track appointment as Professor of Internal Medicine.

5. Dr. Hong Yong Sohn, Adjunct Professor of Chemical Engineering, effective November 1, 2009 and ending June 30, 2010. This is secondary to his appointment as Professor with tenure of Metallurgical Engineering.

6. Dr. James W. Wiskin, Adjunct Associate Professor of Bioengineering, effective October 23, 2009 and ending June 30, 2010.
   B.S., 1978, University of Waterloo
   M.S., 1980, Dalhousie University
   Ph.D., 1991, University of Utah

7. Dr. Darrin J. Young, Adjunct Associate Professor of Bioengineering, effective October 23, 2009 and ending June 30, 2010. This is secondary to his appointment as Professor with tenure of Electrical and Computer Engineering.

FINE ARTS

8. Professor Mikhail Tchoupakov, Assistant Professor Lecturer of Ballet, effective September 29, 2008 and ending June 30, 2010.
   B.A., 1983, Bolshoi Ballet Academy
   B.S., 1987, Moscow State University
   M.F.A., 1991, Moscow State Choreographic Institute
9. Dr. Vera D. Watanabe, Adjunct Assistant Professor of Music, effective September 16, 2009 and ending June 30, 2010.

    B.F.A., 1996, Ural State University
    M.A., 1994, Ural State University
    D.M.A., 2007, Ural State University

HEALTH

10. Mr. Brent F. Hamblin, Clinical Instructor in Physical Therapy, effective November 1, 2009 and ending June 30, 2010.

    B.S., 1980, Brigham Young University
    B.S., 1982, University of Utah

11. Dr. Dale M. Maughan, Adjunct Assistant Professor of Health Promotion and Education, effective October 21, 2009 and ending June 30, 2010.

    A.A., 1982, Brigham Young University
    B.N., 1984, Brigham Young University
    Z.M., 1998, Brigham Young University
    Ph.D., 2009, University of Utah

MEDICINE

12. Dr. Ali Ahmed, Adjunct Instructor in Internal Medicine, effective January 1, 2010 and ending June 30, 2010.

    M.B.B.S., 1991, Government Dehli College

13. Dr. Fred R. Alamshaw, Adjunct Instructor in Family & Preventive Medicine, effective December 20, 2009 and ending June 30, 2010.

    B.S., 1991, University of California
    D.O., 1996, California Western University

14. Dr. David Bearss, Research Associate Professor of Oncological Sciences, effective October 19, 2009 and ending June 30, 2010.

    B.S., 1994, Brigham Young University
    Ph.D., 1999, University of Texas

15. Dr. Michelino Brignole, Visiting Professor of Cardiology, effective October 22, 2009 and ending June 30, 2010.

    M.D., 1976, University of Genova

16. Dr. Marcos Daccarett, Assistant Professor (Clinical) of Internal Medicine, effective November 2, 2009 and ending June 30, 2010.

    M.D., 1999, Pontificia University Javeriana
17. Dr. David G. Dienhart, Adjunct Instructor in Internal Medicine, effective January 1, 2010 and ending June 30, 2010.
   M.D., 1980, University of Missouri

18. Dr. Thomas J. Druzgal, Visiting Instructor in Radiology, effective January 1, 2010 and ending June 30, 2010.
   B.S., 1995, University of Maryland
   M.D., 2003, University of Pennsylvania

19. Dr. Henry C. Herrod, Adjunct Assistant Professor of Radiology, effective October 20, 2009 and ending June 30, 2010. This supersedes his appointment as Visiting Instructor in Radiology.

20. Dr. Ross G. Hoffman, Adjunct Assistant Professor of Internal Medicine, effective November 2, 2009 and ending June 30, 2010.
   B.A., 1984, University of Pennsylvania
   M.D., 1988, University of Florida

21. Dr. Andrew S. Johnson, Adjunct Assistant Professor of Pediatrics, effective November 7, 2009 and ending June 30, 2010.
   B.S., 1988, United States Naval Academy
   M.D., 1992, Tulane University
   M.P.H., 2007, University of Utah

22. Dr. Charles E. Liu, Adjunct Instructor in Anesthesiology, effective October 26, 2009 and ending June 30, 2010.
   B.S., 1977, University of Utah
   M.D., 2004, University of Utah

23. Dr. Patricia L. Nelson, Adjunct Instructor in Internal Medicine, effective January 1, 2010 and ending June 30, 2010.
   B.S., 1979, Washington University
   M.D., 1983, Washington University

24. Dr. Marc S. Tubay, Adjunct Assistant Professor of Radiology, effective October 20, 2009 and ending June 30, 2010. This supersedes his appointment as Visiting Instructor in Radiology.

   B.A., 1999, Hanover College
   M.D., 2005, University of Cincinnati

26. Dr. Joanne Yaffe, Adjunct Associate Professor of Psychiatry, effective September 15, 2009 and ending June 30, 2010. This is secondary to her appointment as Associate Professor with tenure of Social Work.
SOCIAL & BEHAVIORAL SCIENCE

27. Dr. Maritza L. Sotomayor, Adjunct Assistant Professor of Economics, effective July 1, 2009 and ending June 30, 2010.
   M.A., 1990, Centro de Investigacion y Doce
   Ph.D., 2008, Universidad Autonoma de Barcel

SOCIAL WORK

   M.S.W., 2001, Brigham Young University

   M.S., 1992, University of Houston

APPENDIX III

EMERITUS APPOINTMENT

1. Dr. Harold Bauman, Associate Professor Emeritus with tenure of History, member of faculty for 44 years.
Policy 3-004, Processing and Signing Official Documents
Executive Summary
Nov. 16, 2009

The current version of Policy 3-004, Processing and Signing Official Documents, was written in 1983, with minor revisions in 1999; and summarized the then-current guidance for assigning responsibility re: what type of documents could be approved by whom. During a recent internal audit, it was discovered that certain documents committing the University contractually and legally were being executed by individuals without the proper authority to do so. Policy 3-004 was consulted for guidance by the auditors, and found lacking – in currency and specificity, particularly in setting forth who may obligate the University, and the principles surrounding such actions, including appropriate delegation. Also, as part of the current University initiative to re-structure and modernize our policy documents, this policy has now been revised with additional wording and formatting to conform the policy to the new standard template, and to update the definitions, terminology, and document types. In fact, whereas the policy previously attempted to list out each document type by responsible VP within the body of the policy text, the revised policy has that information stripped out, and maintained as a separate document, which is attached. This separate listing will change from time to time, and therefore should not be part of the policy per se. The original text is in black type, while all changes are shown in red type.
Policy 3-004: Processing and Signing Official Documents

I. Purpose

To establish responsibilities for the review, approval, and signing of Official Documents.

II. Definitions

A. Official Document – For the purpose of this policy and procedure, an “official document” is a written agreement, proposal, or other formal instrument regarding a course of action, the expenditure of University funds, or other contractual obligation – which is intended to be binding upon the University. Official Documents obligate the University as a whole, or its divisions, to act, engage, consent, perform, or pay. Typically, at least one party to the transaction is external to the University. Official Documents may be in the form of contracts, proposals, agreements, statements, notices, resolutions, letters, memorandums, licenses, indentures, etc. But such documents may go by other names as well.

B. University Officer – An individual holding an executive level position at the University – typically a member of the President’s Cabinet. A University Officer has implicit authority to sign Official Documents as they pertain to his/her area of authority.

C. Authorized Signature – The actual signature of the responsible individual authorized to sign official university documents as outlined in this policy. A rubber-stamped signature is not acceptable on official documents.

C. Authorized Alternate Signature – The actual signature of the individual designated in writing by the principal investigator, department chair/head, director, dean, or vice president a University Officer to act in his or her behalf in matters requiring signatures on Official university Documents as outlined in this Policy. An Authorized Alternate may exercise such authority in the planned or occasional absence of a University Officer, as a “proxy”; or may receive a more permanent delegation of authority for one or many particular Official Documents. The individual designated as an authorized alternate will sign his or her own name and not the name of the higher supervisory officer who made the designation, or of any other person.

III. Policy

A. All Official Documents shall be signed by a University Officer, an Authorized Alternate, or as otherwise permitted by University Policy. For instance, University Policy allows for the fact that many business processes, forms, and related documents provide instructions for authorized approvals and signatures to facilitate the processing of routine transactions, such as Campus Orders, Limited Purchase Orders, Travel Reimbursements, and the like. These documents are properly handled at the dean, director, or department chair level. This Policy is not intended to supersede other policies or change approval requirements for these established business processes. See Section V. below for references to such other policies.

B. The originator of an Official Document shall route the document to the office of the appropriate University Officer for review, processing, and signature after obtaining necessary approval and/or signature of the department head, dean, or director.
C. Exceptions to the signature requirements of this Policy may be authorized by the president or the appropriate vice president when special circumstances or emergency conditions make strict compliance impracticable. Authorization shall be in writing and filed in the Office of the Vice President for Administrative Services.

D. The designation of any Authorized Alternate and any exceptions to this Policy shall be in writing and filed in the Office of the Vice President for Administrative Services.

E. Official documents with significant legal implications should be forwarded to the University Office of General Counsel for review before execution by the appropriate University Officer. Documents such as summonses or subpoenas may be received and signed for by a University officer representative, as appropriate, but should be referred to the Office of General Counsel for review before any action is taken.

F. During the absence of individuals authorized to sign Official Documents, approval and signature should be obtained from the Authorized Alternate or next higher supervisory officer. The individual designated as an Authorized Alternate will sign his or her own name and not the name of the University Officer who made the designation, or of any other person.

G. Official Documents shall be routed to the cognizant University Officer for signature. To assist in identifying an appropriate division of duties with respect to the categories of Official Documents, and to facilitate the changing nature of these documents and the responsibilities of University Officers over time, a separate listing of Official Documents segregated by University Officer will be maintained by the Vice President for Administrative Services. The Listing of Official Documents by Vice Presidential Area is incorporated within this Policy by reference, and may be found through the link provided in Section IV.A. below.

NOTE: the following “Procedures” will become the separate listing referred to above.

Procedures
Office of Vice President for Research
The following documents, including the official document summary sheet, shall be routed to the Office of the Vice President for Research for review, processing, and signature by the vice president or authorized alternate:

- Research contracts, grants, agreements, and proposals/applications for same.
- Training and/or Institutional Service contracts, grants, agreements, and proposals/applications for same.
- Patent agreements.
- General contractual agreements:
  - Testing programs over $5,000 between University of Utah Experiment Station and governmental agencies or private sources.
  - Other applicable general service agreements, such as independent consultant/contractor agreements.
- Closing documents on cost reimbursement type contracts and agreements.
Office of Vice President for University Relations
The following documents shall be routed to the Office of the Vice President for University Relations or designee for review, processing, and signature by the vice president or authorized alternate:

- Documents from the Athletics Department, including:
  - Intercollegiate athletic game contracts.
  - Intercollegiate athletic air charter contracts.
  - Contracts to televise and broadcast athletic events.
  - Athletic letters-of-intent.

- Documents from the Development Office, correlating with the assistant treasurer:
  - Gift agreements.
  - Pledge agreements.
  - Charitable remainder unitrusts.
  - Annuity trusts.
  - Bequests.

- Contracts with non-university users of university facilities:
  - Alumni House
  - Rice Stadium

Office of Senior Vice President for Health Sciences
The following documents shall be routed to the Office of the Senior Vice President for Health Sciences for review, processing, and signature by the vice president or authorized alternate:

- Hospital service agreements with federal or local agencies for patient care.
- Affiliation agreements with hospitals and other health-related agencies to train medical residents and health sciences students.
- Letters of agreement between the university and outside agencies for student internships.
- Support agreements for WICHE students and agreements on interstate exchange and education of students in the health sciences.
- Nursing loan programs.
- Contracts with non-university users of university facilities:
  - College of Medicine
  - College of Nursing
  - College of Pharmacy

- Self-insurance malpractice trust for the University Hospital and individual malpractice contracts, as a joint responsibility with the vice president for administrative services.

Office of Vice President for Administrative Services
The following documents shall be routed to the Office of the Vice President for Administrative Services for review, processing, and signature by the vice president or authorized alternate:

- Banking agreements in accordance with university banking policy (Policy 3-051).
- Financial documents, including:
  - Debt financing documents.
Bond and stock powers as directed by the Board of Trustees.

Construction and remodeling contracts less than specified under current law, or such other limits as set from time to time by the State Department of Facilities Construction and Management.

Sole source contracts without bidding when there is only one practicable source for needed item(s).

Waiver of bidding requirement when circumstances warrant.

All real property and real estate interest contracts, including:

Purchase or sale agreements.

Leases, with the university as either lessor or lessee.

Easements, right of way and right of entry agreements.

Quit claim deeds.

Use of access roads, etc.

Gifts of real property.

Professional service agreements with:

Architects, engineers and design consultants.

Accounting and auditing firms.

Agreements with federal and state government related to audits:

Overhead rate agreements.

Resolution of audit disallowances.

Special contracts:

Group insurance plans.

Employee benefit agreements.

Applications for permits and licenses with Federal Communications Commission to operate two-way radio communications on campus.

Self-insurance malpractice trust for the University Hospital and individual malpractice contracts as a joint responsibility with the vice president for health sciences.

Office of Senior Vice President for Academic Affairs

The following documents shall be routed to the Office of the Senior Vice President for Academic Affairs or designee for review, processing, and signature by the vice president or authorized alternate:

Applications and grant awards for academic purposes:

Grant-in-aid awards.

Scholarship grants.

Awards for student loans and employment-aid programs.

Applications for permits and licenses with Federal Communications Commission and other government agencies for operation of KUED and KUER.

Personal service contracts and agreements with:

Speakers and special lecturers.

Artists, choreographers, and star performers in university theatre productions.

General contractual agreements:

Contracts for production of educational television programs.
Agreements with countries for housing, maintenance, and operation of television signal stations.

- Contracts with non-university users of university facilities:
  - Kingsbury Hall
  - Pioneer Memorial Theatre
  - Marriott Library
  - College of Law
  - Museum of Fine Arts
  - Museum of Natural History
  - Olpin Union
  - Residence Halls
  - Sill Center
- Other facilities, not specifically mentioned in this policy, processed through the Scheduling Office.
- Foreign educational exchange contracts for review before final approval by the president.

**Office of the President**

The following documents shall be routed through the Office of the President for signature by the president and/or the chair or secretary of the Board of Trustees:

- Foreign educational exchange contracts after review by the Senior Vice President for Academic Affairs.
- Diplomas and certificates originating with the registrar’s office, signed personally or in facsimile by the president and chair of the Board of Trustees.
- Certificates originating within the Academic Outreach and Continuing Education, signed personally or in facsimile by the president.
- Special diplomas and certificates.
- Official Notice of Appointments (routed through the Office of Budget and Institutional Analysis) for signature by the secretary of the Board of Trustees.
- Certificates of resolutions passed by the Board of Trustees for signature by the secretary of the Board of Trustees.

- Items normally processed through committees of the State Board of Regents require routing through the Office of the President, e.g., grant proposals in the amount of $500,000 or above.

- The executive assistant to the president shall be responsible for signing university-wide license agreements for public performances of non-dramatic musical works on university premises, after review and processing by the university coordinator of copyright compliance.

**IV. Rules, Procedures, Guidelines, Forms & Other Related Resources**

A. Listing of Official Documents by Vice Presidential Area
B. Procedures [reserved]
C. Guidelines [reserved]
D. Forms [reserved]
E. Other Related Resources [reserved]
V. References
A. Policy 3-051, Banking Policy
B. Policy 3-190, Requisition Preparation and Processing
C. Policy 3-110, Lease or Rental of Property for University Use
D. Policy 3-111, Independent Consultant and Independent Contractor Professional Service Agreements

VI. Contacts

Acting as the Policy Owner, the Associate Vice President for Financial & Business Services is responsible for answering questions regarding the application of this policy. Acting as the Policy Officer, the Vice President for Administrative Services has the authority to all exceptions to this policy.

VII. History

Editorial revisions approved by Cabinet 9/8/83
Editorially revised 12/27/99
### Policy 3-004, Listing of Official Documents by Vice Presidential Area

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<th>VP for Administrative Services</th>
<th>VP for Technology Venture Development</th>
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<tbody>
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<td>Diplomas and certificates for student achievement</td>
<td>Banking agreements</td>
<td>Technology licensing</td>
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<tr>
<td>AUCE certificates for student achievement</td>
<td>Construction &amp; remodeling contracts</td>
<td>Agreements relating to tech venture development</td>
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<tr>
<td>Special diplomas and certificates</td>
<td>Sole source contracts w/o bidding</td>
<td>VP General Counsel</td>
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<tr>
<td>Official notice of administrative and faculty appointments</td>
<td>Waiver of bidding</td>
<td>Legal services retains or engagement agreements</td>
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<td>Resolutions passed by the Board of Trustees</td>
<td>Real property &amp; real estate interest rental contracts</td>
<td>VP for Government Relations</td>
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<td>Foreign educational exchange contracts</td>
<td>Professional services agreements</td>
<td>Independent consultant/contractor agreements</td>
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<tr>
<td>License agreements for public performances</td>
<td>Agreements w/ governmental auditing entities</td>
<td>Chair - Board of Trustees</td>
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<td>Certain items passed by BOI committees</td>
<td>Special contracts re: insurance, benefits, etc.</td>
<td>Diplomas and certificates for student achievement</td>
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<tr>
<td>Gift agreements w/ donors</td>
<td>Debt financing documents</td>
<td>Resolutions passed by the Board of Trustees</td>
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<td>Final disposition letters re: faculty/staff appeal decisions</td>
<td>Capital leases</td>
<td></td>
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<tr>
<td>Notices of faculty retention, promotion &amp; tenure decisions</td>
<td>Trademark licensing</td>
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<td></td>
<td>Food services &amp; vending contracts</td>
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<thead>
<tr>
<th>SVP for Health Sciences</th>
<th>VP for Research/Pres. of UURF*</th>
<th>Chief Information Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service agreements for patient care</td>
<td>Research contracts, grants, proposals, etc.</td>
<td>Software licensing</td>
</tr>
<tr>
<td>Agreements for training students, residents</td>
<td>Training or institutional service contracts, etc.</td>
<td>Permits &amp; licenses re: public telecommunication</td>
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<tr>
<td>Agreements for student internships</td>
<td>Patent agreements</td>
<td>Contracts-for-edu TV usage &amp; transmission</td>
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<td>Agreements for WICHE &amp; related exchanges</td>
<td>Licensing programs for UUC-experimentation</td>
<td>Enterprise software agreements</td>
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<td>IT infrastructure agreements</td>
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<tr>
<td>Nursing loan programs</td>
<td>Independent consultant/contractor agreements</td>
<td>IT audits and consulting agreements</td>
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<tr>
<td>Rental contracts for HSC facilities</td>
<td>Sponsored research agreements</td>
<td>Telecommunications/network agreements</td>
</tr>
<tr>
<td>Malpractice self-insurance and related contracts</td>
<td>Technology licensing*</td>
<td>Enterprise IT outsourcing or SaaS agreements</td>
</tr>
<tr>
<td>Physician services: medical director contract</td>
<td></td>
<td>Data federation or data sharing agreements</td>
</tr>
<tr>
<td>Third party payor contracting</td>
<td></td>
<td>IT infrastructure grant proposals</td>
</tr>
<tr>
<td>Clinical training agreements</td>
<td>VP for Institutional Advancement</td>
<td>Chief Human Resources Officer</td>
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<tr>
<td>Graduate medical education</td>
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<tr>
<td>Gift agreements</td>
<td>Gifts and pledge agreements</td>
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<tr>
<td>Contracts for speakers, artists, performers, etc.</td>
<td>Unbills, allowances, and expense reimbursement contracts</td>
<td></td>
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<tr>
<td>HIPAA agreements</td>
<td>Rental contracts for Alumni House, Stadium</td>
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<tr>
<td>Faculty appointments</td>
<td>Contracts for edcu- public TV programs &amp; transmission</td>
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<tr>
<th>SVP for Academic Affairs</th>
<th>VP for Student Affairs</th>
<th>Director of Athletics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracts for speakers, artists, performers, etc.</td>
<td>Scholarship, loans, and employment aid programs</td>
<td>Athletic game and air charter contracts</td>
</tr>
<tr>
<td>Rental contracts for University-owned facilities</td>
<td>Contracts for speakers, artists, performers, etc.</td>
<td>Athletic events broadcasting contracts</td>
</tr>
<tr>
<td>Foreign educational exchange contracts</td>
<td>Rental contracts for University-owned facilities</td>
<td>Athletic letters of intent</td>
</tr>
<tr>
<td>Faculty appointments</td>
<td>Construction &amp; remodeling contracts</td>
<td></td>
</tr>
<tr>
<td>Museum exhibit agreements</td>
<td>Food services &amp; vending contracts</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** The above listing is intended as a guide in identifying the cognizant University Officer for the signing of Official Documents. Any document creating potential risk for the University must be routed to the cognizant University Officer. This listing is not inclusive of all Official Documents; however, it does provide the majority of possibilities.
TO: Senior Vice President for Academic Affairs David W. Pershing  
Senior Vice President for Health Science A. Lorris Betz  
Vice President for Institutional Advancement Fred Esplin

FROM: Susan M. Olson, Associate Vice President for Faculty  
Richard J. Sperry, Associate Vice President for Health Sciences

DATE: November 16, 2009

SUBJECT: Proposed Policy and Rule on Endowed Chairs and Other Named Positions

The attached proposed policy brings into University Regulations for the first time an official Policy and accompanying Rule governing the use of named positions, such as endowed chairs and professorships. As the university has growing success with private fund-raising, such positions are proliferating. This is largely a cause for celebration because, as the Policy’s purpose statement says, the use of named positions assists in attracting and retaining outstanding faculty and staff members who have distinguished themselves through their teaching, research, creative activity, administration, and service. Such positions also enable us to honor generous donors to the University or others whom donors would like to honor by creating a named position. Presently, such positions are overwhelmingly held by faculty members, but the policy is specifically written to include the possibility of named positions for other university employees as well. For that reason, the proposed location of the Policy is in Part 9 of University Regulations, Community Relations and Institutional Advancement, rather than Part 6, Faculty.

The Policy and corresponding Rule have several purposes:

1. They affirm the principle of university oversight regarding the appropriateness of major naming donations, so that the university as a whole can avoid embarrassment from an intended gift that might benefit one part of the university and accidentally do greater harm to the institution as a whole.

2. They authorize the establishment of funding standards for key named positions to be fair to all donors while still providing individual flexibility for faculty and administrators. Members of the university community have a shared interest in encouraging donations that are sufficiently generous to achieve important academic goals. On the other hand, we don’t want to reject smaller gifts or those development initiatives that do not reach their original goals. This Policy attempts to strike this balance by exerting greater regulation over the use of some titles than others.
3. They maintain high standards by holders of named positions by requiring appropriate review of appointments to the most prestigious such positions and by requiring a review at least every five years to continue in any named position. Because the named positions are separable from the underlying faculty or staff appointment, an individual’s basic employment is not at stake in such a review.

This policy proposal has been developed in consultation with the Vice President for Institutional Advancement, the Council of Academic Deans, the Interim Vice President for Human Resources, and the Office of General Counsel, and processed through the Institutional Policy Committee.

If you and the President approve, this proposal will then be submitted to the Academic Senate Executive Committee. Given the subject matter, it is anticipated that the Executive Committee will determine that this proposal is academically significant and will designate the Policy and Rule to be submitted for the debate and approval of the Senate, pursuant to Policy 1-001. With Senate approval, the proposed Policy will then be submitted for final approval of the Board of Trustees.
Policy 9-003 Revision 0.
Subject: POLICY ON ENDOWED CHAIRS AND OTHER NAMED POSITIONS

Revision Status: new   Effective Date: July 1, 2010

I. Purpose and Scope

To establish University Policy regarding the use of named positions, including positions with regulated titles, and to authorize enactment of Rules to implement such Policy. This policy and any associated Rules do not apply to the ranks of Distinguished Professor, Presidential Professor, or University Professor.

The use of named positions for University employees assists in attracting and retaining outstanding faculty and staff members who have distinguished themselves through their teaching, research, creative activity, administration, and service. Such positions may also honor generous donors to the University or others whom donors would like to honor by creating a named position. It is essential that holders of named positions maintain high standards of performance and responsible conduct as members of an academic community.

II. Definitions

A. Named position: a position awarded to an employee that bears a special title honoring a named person or organization. Named positions normally are established with special sources of funding, which may include funding gifted to the University in the form of an endowment. Such special funding may be used to increase the amount of compensation paid to or support available for the employee holding a named position.

B. Named positions with “regulated titles” constitute a subset of named positions, distinguished because they bear certain especially prestigious titles and/or may be subject to minimum funding level requirements. Such titles include those bearing the words presidential, chair, professor, or director, and any other titles identified as regulated titles in a University Rule implementing this Policy.

III. Policy

A. The University shall manage the use of named positions and shall determine the level and sources of funding associated with named positions with regulated titles. The President or designee is responsible for and authorized to set minimum funding levels for any named position, thereby making such a position one with a “regulated title.” Minimum funding levels may be based on the title of the position and may be increased over time.

B. No named position shall be named for a person or organization with whom it is not in the University’s interest to be affiliated. In the event of disagreement on this point, the final decision rests with the President or designee.
C. The President or designee shall establish procedures for establishing named positions and for appointing individuals to named positions. If the named position is to be held by a faculty member, the procedures shall be compatible with normal faculty appointment procedures.

D. Individuals holding named positions must be reviewed and determined to have achieved satisfactory performance at least every five years to retain those positions. The President or designee, in conjunction with the Academic Senate, shall establish Rules for conducting such reviews.

IV. Rules, Procedures, Guidelines, Forms and other related resources

A. Rules [See attached proposal for University Rule 9-003]
B. Procedures (Reserved)
C. Guidelines (Reserved)
D. Forms (Reserved)
E. Other related resource materials (Reserved)

V. References:
Policy 6-300, Sec. 2. (Regular Faculty)
Policy 6-302 (Appointments of Faculty)
Policy 6-303 (Retention, Promotion and Tenure of Faculty)
Policy 2-005, Sec. 5.C. (Review of Tenured Faculty)
Policy 6-002, Sec. 10 (Consolidated Hearing Committee for Faculty Disputes)

VI. Contacts:
Policy Officers:
Sr. Vice President for Academic Affairs, 801-581-5057
Sr. Vice President for Health Science, 801-581-7480
Vice President for Institutional Advancement, 801-581-4088

Policy Owners:
Associate Vice President - Faculty, 801-581-8763
Associate Vice President - Health Sciences, 801-585-9602
Director of Development Services, 801-585-0745
VII. History:

A. Current version: Revision 0.
   Effective date July 1, 2010 ??.
   Approved by Academic Senate ______.
   Approved by Board of Trustees ______
   Background information for Revision 0: [link]
University Rule 9-003 Revision 0.
Subject: Endowed Chairs and other Named Positions—Establishment of Positions, Appointments to Positions, and Periodic Reviews of Employees Holding Such Positions.

Revision Status: new Effective Date: [July 1, 2010]

I. Purpose. To implement University Policy 9-003 (POLICY ON ENDOWED CHAIRS AND OTHER NAMED POSITIONS) by further defining the positions and titles to which the Policy applies, by prescribing procedures for establishing named positions and appointing individuals to such positions, and by prescribing procedures for periodic review of individuals holding such positions.

II. Definitions.
A. University Policy 9-003 defines terms as follows:
   Named position: a position awarded to an employee that bears a special title honoring a named person or organization. Named positions normally are established with special sources of funding, which may include funding gifted to the university in the form of an endowment. Such special funding may be used to increase the amount of compensation paid to or support available for the employee holding a named position.
   Named positions with “regulated titles” constitute a subset of named positions, distinguished because they bear certain especially prestigious titles and/or may be subject to minimum funding level requirements. Such titles include those bearing the words presidential, chair, professor, or director, and any other titles identified as regulated titles in a University Rule implementing this Policy.

B. This Rule elaborates upon and clarifies the preceding definitions as follows:

1. All named positions are subject to some requirements under Policy 9-003 and this Rule, but not all are subject to the greater requirements applicable for “regulated titles,” as described further here. “Regulated titles” are subject not only to the requirements applicable for other named positions, but also to greater requirements under Policy 9-003 and this Rule (often including minimum funding levels for establishment of positions).

2. Regulated titles with minimum funding requirements currently include the titles of Presidential Endowed Chair, Endowed Chair, Endowed Directorship, Endowed Professorship, and Endowed Associate or Assistant Professorship. Because of the potential for confusion with positions requiring a minimum funding level, any named position of Chair, Professor, or Director (or another regulated title designated in the future) is subject to the requirements applicable for the category of regulated titles, regardless of the absence of “endowed” from the title or the addition of other modifiers such as Research, Distinguished, Assistant, etc.
Current examples of titles that would be named positions but not regulated titles include “scholar,” “fellow,” “lecturer” and “artist in residence.”

3. From time to time, the President, with assistance from the Development Office, may identify other titles to be included as named positions generally, or more particularly as positions with regulated titles, and subjected to the requirements of Policy 9-003 and this Rule. Administrators should consult with the Vice President for Institutional Advancement for a current list of covered titles and other information when considering the establishment of a faculty or staff position with any special title.

4. There are certain special titles and positions currently used at the University which are not considered named positions for purposes of Policy 9-003 and this Rule (and therefore are not subject to the special requirements described here). These include the titles of “Presidential Professor,” “Distinguished Professor,” and “University Professor.” As more fully described in University Policy [6-300, Sec. 2] those are faculty ranks that are conferred upon meritorious individual faculty members, independent from establishment of any funding sources, and their conferral requires special procedures (such as approval from the existing Presidential or Distinguished Professors in the case of those two ranks).

III. Rule
A. Requirements for establishment of new named positions (including minimum funding requirements for positions with regulated titles).

1. Procedures and criteria for establishing all new named positions (including positions with regulated titles).
   a. Approval. Establishment of any faculty or staff position using a title defined as a “named position” for purposes of Policy 9-003 and this Rule requires the following approvals:
      (i) approval of the dean of the college for a position established within any college (including any department or program within a college), or
      (ii) approval of the cognizant administrator (such as Associate Vice-President or Director) for a position established within any administrative unit that is not part of an academic college, and
      (iii) approval of the Vice President for Institutional Advancement or designee.

   b. Criteria.
      (i) Positions shall be named only for individuals, groups, or organizations with whom it is in the University’s interest to be affiliated.
      (ii) Approvals shall not be given unless establishment of the position conforms to the terms of any gift agreement from which funding to support the position will be derived.
      (iii) If the eventual appointees to the new named position shall be faculty members, the faculty of the relevant unit shall be consulted about the nature of the named position.
2. Additional procedures and criteria for establishing named positions with regulated titles.

   a. Approval. For establishment of any named position carrying a “regulated title” for purposes of Policy 9-003 and this Rule, in addition to the approvals required for all named positions, the approval of the President (or designated vice president) is required. Requests for such approval may be submitted upon the recommendation of the cognizant dean or director, cognizant vice president, and the Vice President for Institutional Advancement.

   b. Criteria. The primary additional criterion for approval to establish a named position bearing a regulated title shall be the assurance of adequate funding to support the position at the appropriate level. The Development Office, with the President’s approval, shall maintain and make available to deans (and other appropriate administrators) current information regarding appropriate funding level and form (e.g., permanent endowments or annual gifts) for each class of positions with regulated titles. The Development Office may change these requirements from time to time.

      i. The normally acceptable form of assured adequate funding is a permanent endowment associated with the particular named position. Other forms which may be acceptable include the following.

      ii. Named positions with similar titles (e.g., chair, professorship, directorship) but without associated endowments, may be created with funding in the form of annual gifts, subject to these limitations. A.) The amount of the annual gift must equal the yield that would be produced by the minimum endowment associated with a position of the same title. B.) The word “endowed” may not be used in the title of positions funded with annual gifts (or other non-endowed funds). C.) As shall be made clear to the holder of the position in any appointment letter, the position will no longer carry the regulated title or any associated additional compensation or support if the gifts cease. (This distinguishes such positions from those established with permanent endowments, for which a decline in the revenue received from endowed funds does not similarly end a named position.)

      iii. Large, multi-purpose endowments may also be used to create named positions using regulated titles so long as the annual amount allocated to the position is at least 50% of the yield that would be produced by the minimum designated endowment level associated with a position of the same class of title.

B. Procedures for appointments of individuals to existing or newly established named positions.

   1. Procedures for appointment to all named positions (including positions with regulated titles).

      a. The dean or director, in consultation with the other administrators to whom the position reports within a specific unit, and in consultation with
departmental faculty for any faculty appointment, or in consultation with Human Resources for any staff appointment, will determine appropriate procedures for identifying candidates and selecting appointees to fill the newly established position or a vacancy in an existing position.

Such procedures shall comply with all pertinent University Regulations generally applicable for recruitment and completion of appointments of similar faculty or staff positions.¹

b. Notice of each appointment to any named position shall be given to the cognizant vice president (and if the appointment is to a newly established named position, such notice shall include a brief description of the newly established named position). Prompt notice to the Vice President for Institutional Advancement is also required for appointments of any length to ensure consideration of donor stewardship and recognition appropriate to the importance of the appointment.

2. Additional procedures for appointment of individuals to named positions with regulated titles.

a. Appointments of individuals to positions with regulated titles must comply with the requirements applicable for all appointments to named positions, described above, and with the following additional requirements.

b. For any position which includes the special term “Presidential” as part of its title, search procedures for filling that position must be approved in advance by the cognizant vice president.

c. For any such appointment which (i) is for a term of more than three years or (ii) has the term “Presidential” in its title, the appointment of an individual to the named position shall be submitted for the approval of the cognizant vice president and the President. Such appointments are completed only upon the presentation of a formal offer letter signed by the President (or designee).

¹ In particular, if the individual being considered for appointment to the position does not already hold an equivalent level faculty or staff appointment at the University, the procedures followed for the appointment shall comply with those ordinarily applicable for a faculty or staff appointment of similar level, as well as satisfying requirements for appointment to the named position. For example, if a candidate for a named position which includes a regular faculty appointment is expected to be appointed with tenure, the ordinary procedures for a faculty appointment and for granting of tenure at time of appointment shall be followed (see Policy 6-302 and 6-303), in addition to those specific procedures implemented for completing appointment to the named position.
d. An appointment to a position with a regulated title which is for a term of three years or less and does not include the term “Presidential” in its title may generally be made by the dean or director, and notice subsequently given to the cognizant vice president.

3. Notice to Academic Senate and/or Board of Trustees.

For any individual appointment or any category of appointments to named positions, cognizant administrators may request that notice of appointment should be provided for the information of the Academic Senate and/or the Board of Trustees.

C. Special criteria and procedures for exceptional appointments to unfunded named positions, typically those with regulated titles.

1. Circumstances may arise making it appropriate to allow appointment of an individual to a proposed named position with a regulated title prior to the University’s receipt of the complete funding necessary for the establishment of that position. For example, it may be appropriate to honor a donor who is experiencing serious health problems with recognition of an intended gift in his/her lifetime. An appointment, in such appropriate circumstances, may be made only upon satisfaction of the following requirements and subject to the following limitations.

   a. The proposed gift must be in a form that is irrevocable, with the University as named remainder beneficiary or equivalent provision.

   b. The present value of the intended gift must be equal to or greater than the funding level ordinarily required to fund such a position.

   c. Appointment of an individual to such a position prior to the University’s receipt of funding for the position, if allowed, will be ceremonial and in name only, without any increased compensation or support for the individual at the time of the appointment. Even upon subsequent receipt by the University of full funding for the position, there may be some delay before investment earnings from the gifted funds permit any increased compensation or support being provided for the position.

   d. The President, in his/her discretion will make the final decision whether to make such a ceremonial appointment to a position with a regulated title prior to receipt of full funding for the position.

   e. Individuals appointed to a position under these circumstances (and any successors) will be subject to University Regulations otherwise applicable for funded named positions with regulated titles. In particular, individuals holding such appointments are subject to the ordinary periodic review requirements described below, regardless of whether the position has been funded.
D. Terms of appointments—for all appointments to named positions.

1. Any new appointment or reappointment to a named position, initiated after the effective date of this Rule, will be for a specific term not to exceed five years.

2. The appointment period will begin on July 1 of the initial year and end on June 30 of the final year of the appointment unless otherwise specified.

E. Periodic review of individuals holding named positions.

1. All persons holding any named position are to undergo a careful review of performance no less frequently than every five years. Individuals will be reviewed during the final year of the appointment period, if it is proposed that the appointment be renewed.²

2. For appointees to any named position who hold a faculty appointment.
   a. The scheduling of a review conducted for purposes of the named position shall be coordinated to the extent practicable with the scheduling of reviews conducted of that individual based on their status as a regular faculty member either in the pre-tenure probationary status (see Policy 6-303), or in the post-tenure status (see Policy 2-005), or their status as a long-term auxiliary faculty member in a position closely associated with the work they perform in the named position (see Policy 6-310). Because of their financial implications, reviews of individuals holding named positions need to be completed before the beginning of the fiscal year.

   b. Regarding methodology and contents of the review, in addition to those matters addressed as part of any coordinated pre-tenure, post-tenure, or auxiliary faculty review process, the review for purposes of the named position shall directly address the issues of past performance in the named position and suitability for continuation in the named position. The final review documents shall be submitted to the cognizant dean or director for consideration in making the determination to continue the appointment to the named position (or if a position with a regulated title and a term of greater than three years is involved, for consideration in making a recommendation to the vice president as described below).

   c. If the named position is a position with a regulated title, the following additional requirements and steps shall apply.

² For any named position created before the passage of Policy 9-003 and this Rule, for which the appointment period of the incumbent is unspecified in the agreements that established the position, the appointment will be subject to review every five years to retain the position, as described below.
i. The file assembled for purposes of the review shall give special emphasis to those achievements during the current period under review that pertain to the position with the regulated title, and to the expectations for continuing accomplishments befitting such a position.

ii. If the appointment term is three years or less and the individual was appointed under the terms of III.B.2.d.above, the chair and dean or director shall consider the results of any prior review conducted under E.2. a., and b., add their own reading of the record, and determine if the appointment shall be renewed.

iii. If the appointment term is more than three years, the chair and dean or director shall consider the results of any prior review conducted under E.2. a., and b., add their own reading of the record, and make recommendations to the cognizant vice president.

iv. At the conclusion of the review, the cognizant vice president will recommend to the president that the appointment to the position with the regulated title and a term of longer than three years be renewed for another specified term, or that the appointment not be renewed. If the recommendation is not to renew, then that recommendation shall be in writing and the individual shall have the right to respond in writing to the President, but no other appeal is provided.

v. The President, or President’s designee, in his or her sole discretion will renew the appointment or initiate the process to make a new appointment.

3. For named positions that are not associated with a faculty appointment, procedures for review shall be developed in consultation with the Chief Human Resources Officer (or designee).

   a. If the term of the appointment is greater than three years, the procedures developed shall include a provision for submitting review materials to the cognizant vice president, and for submitting to the President a recommendation regarding reappointment.

   b. For such reviews, if the recommendation submitted to the President is not to renew, then that recommendation shall be in writing and the individual shall have the right to respond in writing to the President, but no other appeal is provided.

   c. The President in his or her sole discretion will renew the appointment or initiate the process to make a new appointment.

F. Revocation of an appointment between periodic reviews.
1. A named position may not be revoked between periodic reviews except for cause.

2. Cause includes, but is not limited to:
   a. Personal or professional misconduct detrimental to the University; or
   b. Failure to uphold high standards for scholarly work, creative activity, teaching, administration, or service.

3. Responsibility for determining whether or not there is sufficient evidence to recommend revocation of a named position rests with the cognizant vice president for positions with regulated titles and with the cognizant dean or director for other named positions.

4. A faculty incumbent may appeal a recommendation for a revocation between periodic reviews to the Consolidated Hearing Committee (see Policy 6-002). Appeal procedures for a staff incumbent shall be developed by the Chief Human Resources Officer (or designee).

5. The final decision to revoke a named position from an incumbent rests with the President of the University.
## [addendum to Proposal for Rule 9-003]
### Summary of Regulations of Named Positions

<table>
<thead>
<tr>
<th>Position</th>
<th>V.P. Approval needed to create position?</th>
<th>Minimum funding set for position?</th>
<th>V.P. Approval needed of search procedures?</th>
<th>V.P. Approval needed of candidate to be selected?</th>
<th>Appointment letter from President?</th>
<th>Periodic review for renewal (at end of term or at least every 5 yrs)</th>
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<tbody>
<tr>
<td>&quot;Presidential&quot;</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Report to President (via VP)</td>
</tr>
<tr>
<td>Chair-Professor-Director (&quot;regulated titles&quot;)</td>
<td>Yes</td>
<td>Yes</td>
<td>Only normal approval for new faculty or staff recruitment</td>
<td>No, if term ≤ 3 years, but notify vice president</td>
<td>No, if term ≤ 3 years, unless gift agreement requires</td>
<td>Report to cognizant Vice President</td>
</tr>
<tr>
<td>Other (e.g., Fellow, Scholar, Lectureship)</td>
<td>No</td>
<td>No</td>
<td>Only normal approval for new faculty or staff recruitment</td>
<td>No, but notify vice president</td>
<td>No, unless gift agreement requires</td>
<td>Report to cognizant dean or director</td>
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</table>
TO: The Academic Senate

RE: Proposed University Policy 3-018 INTERNAL CONTROLS

Attached for your consideration and approval is a proposal for a new University Policy, 3-018 Internal Controls. This policy has been deemed to be relevant to the University’s academic missions, and therefore will be on the debate agenda for the December 7, 2009 meeting of the Senate.

If approved, it will then go on to the Board of Trustees for final approval. The proposed effective date for the new policy is December 8, 2009.

{Note to Senate for December 7, 2009 meeting: Based on feedback received at and subsequent to the November Senate meeting, two minor changes have been made to this proposed Policy for debate and approval at the Senate’s December meeting. The changes are clearly marked below. They are:

   Section II.A, the definition of Internal Control is revised to refer to the board of trustees rather than board of directors.

   Section III.E.5, describing the responsibilities of faculty and staff in leadership positions, now has added language to clarify the term “direct reports”.

Any questions or comments about these changes, or any other aspects of the proposed, may be directed to Jeffrey West, Associate VP for Finance at jeff.west@admin.utah.edu or phone 581-7520, prior to the December meeting.}
This new policy is designed to communicate the University’s expectations for and commitment to providing a strong internal control environment. Internal Controls are a means by which an organization’s resources are directed, monitored, and measured. They play an important role in preventing and detecting error or fraud, and protecting the organization’s resources, both physical and intangible. Internal Control objectives relate to the reliability of financial reporting, timely feedback on the achievement of operational or strategic goals, and compliance with laws and regulations. Some examples of these controls include reconciliations, segregation of duties, review and approval authorizations, safeguarding and accountability of assets, etc. The benefits of a strong control environment include the mitigation of various risks (e.g. financial, reputational, etc.) that could arise if controls are lacking.

The policy outlines specific roles and responsibilities for University faculty and staff and various departments.

Adopting this policy will facilitate the development of various Rules to strengthen controls and promote sound business practices.

**Policy 3-018: Internal Controls**

I. **Purpose & Scope**

The purpose of this policy is to communicate, to the entire campus community, the University’s internal control objectives; and to establish standards for the design and operation of the University’s system of internal controls in order to reduce the University’s exposure to financial risks – such as mismanagement of funds and fraud.

II. **Definitions**

A. Internal Control – is broadly defined as a process, implemented by an entity’s Board of directors, Trustees, management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency of operations, reliability of financial reporting, and compliance with applicable laws and regulations. A system of effective internal controls helps identify and manage risks.

B. Risk assessment – is the process of identifying, analyzing, and managing risks related to the accomplishment of the Board’s and the University’s objectives. Risk types include
strategic, reputational, financial, legal, human resources, compliance, and operational risks.

C. Monitoring – is the process that assesses the quality of internal controls over time. An effective system is able to react dynamically to changing conditions.

D. Business Function – a generic term broadly used in this policy to refer collectively to programs, departments, colleges, units, museums, theatres, centers, institutes, etc. “Business”, in this instance, is not intended to be limited to traditional administrative functions, but rather to also refer to functions carried out in the academic and patient-centered areas where fiscal and budgetary responsibility rest.

E. Faculty and Staff Leadership – personnel given fiscal and budgetary responsibility over a business function, as defined above. This includes those with administrative appointments serving as department chairs, deans, vice-presidents, and the like – anyone who is in a position to direct how university financial, capital and human resources are utilized.

III. Policy

A. Control environment – the core of any university is its people and the internal control environmental tone is set by its leaders. Their individual attributes (integrity, ethical values, and competence) and the environment in which they operate set the tone for the organization and determine the sincerity with which the institution embraces the control environment. University leaders are expected to set an appropriate “tone at the top” that reflects the University’s values and commitment to ethical conduct.

B. Administration of Internal Control Policy – Faculty and staff in leadership roles are responsible for the application of this policy and the design, development, implementation, and maintenance of an effective system of internal controls within their respective areas of responsibility. The University Controller’s Office is the primary source of information, education, and assistance to faculty and staff leadership on this topic; and will make resources available to any business function on campus to assist in administering this policy – either through the Controller’s on-going internal control training programs, or through tailored individual training to department chairs and deans upon request.

C. Design of Internal Control Systems – Internal control systems will vary depending upon the operating environment, including the size of the business function, its diversity of operations and the degree of centralization of financial and administrative management. While there may be practical limitations to the implementation of some internal controls, each business function throughout the University must establish and maintain an effective system of controls designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency of operations, reliability of financial reporting, and compliance with University policies and procedures, and applicable laws and regulations.

D. Operation of Internal Control Systems – Faculty and staff responsible for internal control systems should understand the systems in sufficient detail so as to support ongoing monitoring of the systems’ effectiveness.
E. Information and communication – information must be timely and communicated in a manner that enables people to carry out their responsibilities. Specifically:

1. All personnel must receive a clear message from their leaders that control responsibilities must be taken seriously.

2. Employees must understand their own roles in the internal control system, as well as how individual activities relate to the work of others. To this end, whenever a new budgetary unit, financial activity, research project, etc. is set up, notification will be provided to the appropriate parties of the responsibilities incumbent on them for good business practices and sound financial management, including reference to the principles within this policy.

3. Employees must have a means of communicating significant information to leaders.

4. The university must communicate effectively with external parties, such as students, parents, funding providers, contractors, suppliers, regulators and other stakeholders.

5. Faculty and staff in leadership positions have the responsibility to ensure that those who report to them (their direct reports) have adequate knowledge, skills, and abilities to function within, and contribute to, an effective internal control environment. This includes providing access to appropriate training on topics relevant to their job responsibilities.

F. Review and Evaluation of Internal Controls – The Internal Audit Department, external auditors, and/or representatives from the Controller’s area have the authority to review and measure the effectiveness of the controls established within the framework of this policy as they relate to the University’s accounting, financial and operating systems. In addition, they have the authority to make recommendations for improvements in internal controls. Upon issuance of an Internal Audit Report, management is responsible for responding to findings and for implementing changes as appropriate. Reviews and audits, as described above, serve to:

1. Ascertain the reliability and integrity of accounting, financial and operating information and the means of generating and reporting that information

2. Ensure that systems comply with University regulations and with applicable laws and regulations

3. Evaluate computer-based systems in production, in development or undergoing change

4. Evaluate the systems development process and computer operations

5. Evaluate the adequacy of methods used to safeguard University assets

6. Improve the efficiency and effectiveness of University business processes

G. Segregation of Duties – Individuals responsible for a business function must take steps to assure that duties are appropriately segregated such that no one person has control over all aspects of a particular transaction.
IV. Rules, Procedures, Guidelines, Forms, and other related resources
   A. Rules [reserved]
   B. Procedures [reserved]
   C. Guidelines [reserved]
   D. Forms [reserved]
   E. Other Related Resources [reserved]

V. References
   A. Committee of Sponsoring Organizations of the Treadway Commission (COSO)
   B. Ethical Standards & Code of Conduct Handbook
   C. Policy 1-006 Conflict of Interest
   D. Policy 3-003 Authorizations and Approvals Required for Financial Transactions
   E. Policy 3-019 University of Utah Internal Audit Policy
   F. Policy 5-205 Code of Conduct for Staff

VI. Contacts
    The Office of the Associate Vice President for Financial and Business Services, acting as the
    owner of this Policy is responsible for answering questions regarding the application of this
    Policy; while the office of the Vice President for Administrative Services will act as the
    officer of this Policy.

VII. History
    A. Current Version
    B. Background Information
October 8, 2009

TO:  David Pershing
     Senior Vice President for Academic Affairs

FR:  John Francis
     Chair, Undergraduate Council

RE:  Major in Applied Mathematics

At its meeting of Tuesday, October 6, 2009, the Undergraduate Council voted unanimously to approve a proposal from the Department of Mathematics for new major in Applied Mathematics. The proposal, along with supporting letters, is attached.

We are asking you, if you also approve of the proposal, to forward it on to the Executive Committee of the Academic Senate for their consideration.
Executive Summary
University of Utah
Bachelors in Applied Mathematics
10 September 2009

Program Description
Professionals with solid mathematical and interdisciplinary skills are increasingly the central players in tackling many of today’s scientific, technological, medical, security, and societal challenges. The Applied Mathematics Major will encourage students who love mathematics to explore one or more of these applications and connections as potential career paths, by tackling mathematically-intensive upper division courses available throughout the University. Conversely, this degree is designed to encourage and guide motivated students from other mathematically-oriented disciplines to strengthen their mathematical background by completing a double major. In this way it will enhance interdisciplinary studies, without diverting students from major programs of allied departments.

The interdisciplinary focus of the Applied Mathematics Major distinguishes it from the existing Mathematics Major. Like the existing Major, the Applied Mathematics Major has core courses in calculus, physics, linear algebra, differential equations and introductory analysis. Additionally, students in the Applied Mathematics Major take foundational courses which are especially important for interdisciplinary work: programming, discrete mathematics, probability/statistics and complex analysis. A course in numerical analysis replaces the second semester of theoretical analysis required for the Mathematics Major. Applied Mathematics Majors complete at least 5 courses beyond the core requirements. Up to 3 of these electives may be taken from other departments on campus, as long as they have significant mathematical content and are approved by the Departmental adviser.

Role and Mission Fit
Some students completing the Applied Mathematics Major will enter the workforce directly and make significant contributions to business, industry or government; most will use the major as preparation for further career development. In addition to mathematics and mathematically-oriented disciplines such as computer science, engineering, medicine, physics, economics, business, and the earth sciences, many emerging fields require the combination of mathematical thinking and interdisciplinary skills.

This program is consistent with and appropriate to the University of Utah’s mission to serve the wider community through “the discovery, creation and application of knowledge.” Students will be able to utilize and disseminate their applied mathematical knowledge and skills throughout their career as they participate in Utah’s job market. The interdisciplinary nature of the Applied Mathematics Major is consonant with the University’s mission to “advance rigorous interdisciplinary inquiry.”

Faculty
Please indicate the number of discipline specific faculty and level of preparation of the faculty who will support the program. Tenure includes already tenured and tenure-track.

<table>
<thead>
<tr>
<th>Faculty Type</th>
<th>Tenure</th>
<th>Contract</th>
<th>Adjunct</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of faculty with Doctoral degrees</td>
<td>42</td>
<td>27</td>
<td>4</td>
</tr>
<tr>
<td>Number of faculty with Master's degrees</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of faculty with Bachelor's degrees</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Faculty</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Market Demand
The variety and importance of jobs for which an interdisciplinary mathematics background is important are two of the reasons that "Mathematician" was recently listed as the very top career choice in a national study, as reported in the January 26, 2009 Wall Street Journal article, "Doing the math to find good jobs." A good source for careers requiring Applied Mathematics major skills is the Society for Industrial and Applied Mathematics (SIAM) website http://www.siam.org/careers/thinking.php. Ideally, students should begin exploring which of these careers might interest them while they are still undergraduates, and the Applied Mathematics major provides an effective framework to do this exploration and preparation.

Past University of Utah Mathematics majors have graduated, possibly pursued further training or certification, and ultimately entered the work force in a variety of capacities and settings: education (K-12, junior college and senior university settings); biotech; engineering (computer, civil, electrical, mechanical); finance; public sector; medicine. See Appendix D for a list of businesses and entities that currently employ our graduates.

Student Demand
According to a survey conducted in Spring 2009, approximately 30 current Utah Mathematics students may be interested in pursuing the Applied Mathematics Major. This program of study will be attractive as a double major to the students of undergraduate programs residing in the University of Utah’s Colleges of Science, Mines and Engineering, as well as to students in Finance and Economics programs. In an informal canvassing undertaken by one of our undergraduates, 30 students from allied programs listed their names and current majors, expressing interest in a double major which would include Applied Mathematics. We expect that student demand will increase as this program becomes established.

Statement of Financial Support.
Indicate from which of the following the funding will be generated. (Provide the detail for funding as part of the “Financial Analysis” section included in the full proposal.)

- Legislative Appropriation
- Grants
- Reallocated Funds
- Tuition dedicated to the program
- Other

Similar Programs Already Offered in the USHE
Although a significant number of national programs and several out of state peer universities support an applied mathematics major, no such major is currently available at any Utah State Higher Education institution.
Section I: The Request

The University of Utah Mathematics Department requests approval to offer a Bachelor of Science Degree in Applied Mathematics, effective Spring 2010.

Section II: Program Description

2.1 Complete Program Description

Professionals with solid mathematical and interdisciplinary skills are, and will continue to be, central players in tackling many of today’s scientific, technological, medical, security, and societal challenges. The Applied Mathematics Major will encourage students who love mathematics to explore one or more of these applications and connections as potential career paths, by tackling mathematically-intense upper division courses available throughout the University. Conversely, this degree is designed to encourage and guide motivated students from other mathematically-oriented disciplines to strengthen their mathematical background by completing a double major.

The interdisciplinary focus of the Applied Mathematics Major distinguishes it from the existing Mathematics Major. Like the existing Major, the Applied Mathematics Major has core courses in calculus, physics, linear algebra, differential equations and introductory analysis. Additionally, students in the Applied Mathematics Major take foundational courses which are especially important for interdisciplinary work: programming, discrete mathematics, probability/statistics and complex analysis. A course in numerical analysis replaces the second semester of theoretical analysis required for the Mathematics Major. Applied Mathematics Majors complete at least 5 courses beyond the core requirements. Up to 3 of these electives may be taken from other departments on campus, as long as they have significant mathematical content and are approved by the Departmental adviser.

Core coursework

<table>
<thead>
<tr>
<th>Title</th>
<th>Catalog Number</th>
<th>CH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Calculus</td>
<td>MATH 1210, 1220, 2210 (or equivalent)</td>
<td>11</td>
</tr>
<tr>
<td>Physics Sci/Eng</td>
<td>PHYS 2210, 2220 (or 3210, 3220)</td>
<td>8</td>
</tr>
<tr>
<td>Discrete Mathematics/Intro Proofs</td>
<td>MATH 2200 or CS 2100</td>
<td>3</td>
</tr>
<tr>
<td>Linear Algebra</td>
<td>MATH 2270</td>
<td>4</td>
</tr>
<tr>
<td>Differential Equations</td>
<td>MATH 2280 (or 2250 and 3150)</td>
<td>4 or 6</td>
</tr>
<tr>
<td>Intro Programming</td>
<td>CS 1000 (or CS 1020, 1021, 2000)</td>
<td>3 or 4</td>
</tr>
<tr>
<td>Foundations of Analysis I</td>
<td>MATH 3210</td>
<td>4</td>
</tr>
<tr>
<td>Complex Analysis</td>
<td>MATH 3160 or 4200</td>
<td>2 or 4</td>
</tr>
<tr>
<td>Probability/Statistics</td>
<td>MATH 5010 or 3070</td>
<td>3 or 4</td>
</tr>
<tr>
<td>Numerical Methods</td>
<td>MATH 5610 or 5600 (or equivalent)</td>
<td>4</td>
</tr>
</tbody>
</table>

(If student plans to take one semester of numerical analysis, they should take MATH 5600.)

Electives: At least 5 courses from the following list and approved by the student's Mathematics advisor. Up to three courses from other departments may be substituted, as long as they have significant mathematical content and are approved by the advisor.
<table>
<thead>
<tr>
<th>Title</th>
<th>Catalog Number</th>
<th>CH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foundations of Analysis II</td>
<td>MATH 3220</td>
<td>4</td>
</tr>
<tr>
<td>Medical Mathematics</td>
<td>MATH 3900</td>
<td>4</td>
</tr>
<tr>
<td>Intro to Number Theory</td>
<td>MATH 4400</td>
<td>3</td>
</tr>
<tr>
<td>Into to Topology</td>
<td>MATH 4510</td>
<td>3</td>
</tr>
<tr>
<td>Fluid Dynamics</td>
<td>MATH 4750</td>
<td>3</td>
</tr>
<tr>
<td>Undergraduate Research Math.</td>
<td>MATH 4800</td>
<td>3</td>
</tr>
<tr>
<td>Actuarial Mathematics</td>
<td>MATH 5030</td>
<td>3</td>
</tr>
<tr>
<td>Stochastic Processes I, II</td>
<td>MATH 5040, 5050</td>
<td>3,3</td>
</tr>
<tr>
<td>Statistical Inference I, II</td>
<td>MATH 5090, 5090</td>
<td>3,3</td>
</tr>
<tr>
<td>Mathematical Biology I, II</td>
<td>MATH 5110, 5120</td>
<td>3,3</td>
</tr>
<tr>
<td>Real Analysis</td>
<td>MATH 5210</td>
<td>4</td>
</tr>
<tr>
<td>Applied Fourier Analysis</td>
<td>MATH 5215</td>
<td>3</td>
</tr>
<tr>
<td>Matrix Analysis</td>
<td>MATH 5250</td>
<td>3</td>
</tr>
<tr>
<td>Modern Algebra I</td>
<td>MATH 5310</td>
<td>3</td>
</tr>
<tr>
<td>Intro ODE I, II</td>
<td>MATH 5410, 5420</td>
<td>4,3</td>
</tr>
<tr>
<td>Intro PDE</td>
<td>MATH 5440</td>
<td>3</td>
</tr>
<tr>
<td>Chaos and Nonlinear Systems</td>
<td>MATH 5470</td>
<td>3</td>
</tr>
<tr>
<td>Numerical Analysis I, II</td>
<td>MATH 5610, 5620</td>
<td>4,4</td>
</tr>
<tr>
<td>Applied Mathematics I, II</td>
<td>MATH 5710, 5720</td>
<td>3,3</td>
</tr>
<tr>
<td>Mathematical Modeling</td>
<td>MATH 5740</td>
<td>3</td>
</tr>
<tr>
<td>Topics in Applied Math</td>
<td>MATH 5750</td>
<td>3</td>
</tr>
<tr>
<td>Intro Math Finance I, II</td>
<td>MATH 5760, 5765</td>
<td>3,3</td>
</tr>
</tbody>
</table>

2.2 Purpose of Degree

Professionals with solid mathematical and interdisciplinary skills are, and will continue to be, central players in tackling many of today’s scientific, technological, medical, security, and societal challenges. The Applied Mathematics Major will encourage students who love mathematics to explore one or more of these applications and connections as potential career paths, by tackling mathematically-intense upper division courses available throughout the University. Conversely, this degree is designed to encourage and guide motivated students from other mathematically-oriented disciplines to strengthen their mathematical background by completing a double major.

Some students completing the Applied Mathematics Major will enter the workforce directly and make significant contributions to business, industry or government, most will use the major as preparation for further career development. In addition to mathematics and mathematically-oriented disciplines such as computer science, engineering, medicine, physics, economics, business, and the earth sciences, many emerging fields require the combination of mathematical thinking and interdisciplinary skills.

2.3 Institutional Readiness

This major relies on the existing Departmental infrastructure. New organizational structures will not be required. The courses utilized by the plan of study are already in place. The implementation of the Applied Mathematics Major is likely to enhance the Department's usual and continual process of program and course modification, renewal and creation, just as this proposal is an outgrowth of that process. The enhancement will essentially be a cost-free side effect of the additional "experimental" data we will obtain
by tracking the Applied Mathematics Major outcomes, in the same way and framework that we currently track the regular Math Major.

**Faculty**

No additional faculty are required. The mathematics and allied departments already support the required classes.

**Staff**

No additional staff is required.

**Library and Information Resources**

No additional library and information resources are required.

**Admission Requirements**

The current open admission policy for the existing Mathematics Major will hold for the Applied Mathematics Major.

**Student Advisement**

For Freshman and Sophomore students, advising will begin with the Department’s academic advisor. The Major’s expectations and requirements will be made explicit to each student verbally and in writing. The academic advisor will aid students in short- and long-term planning for their individual program of undergraduate study.

As students become more advanced, designated Applied Mathematics faculty members will assist students in selecting upper-division electives. When necessary, mathematics faculty will consult with faculty members in allied departments to find suitable external elective courses to meet a student’s particular needs and interests.

**Justification for Graduation Standards and Number of Credits**

To graduate under this program, in addition to the required coursework, all Applied Mathematics Majors are required to:

- receive a "C" or better and an overall GPA of at least 2.3, in Major coursework.
- complete an exit interview the semester the student graduates.

The overall GPA requirement for courses within the major is not currently required for the standard Mathematics Major. We institute the GPA requirement for the Applied Mathematics Major as a reflection of the fact that students who complete this major should display the industriousness and abilities which will predict their later success in challenging interdisciplinary mathematics careers. The Mathematics Department uses exit interviews with graduating students to solicit comments and suggestions about the strengths, weaknesses, and possible improvements for our programs, and to get information about our students' future plans and careers.
Between 61 to 74 credit hours are required to complete the course work within the Applied Mathematics Major. This range is within the accepted limits for a bachelors program, and is somewhat more than the minimum of 56 credit hours required for the standard Mathematics Major. The extra course work as compared to the Mathematics Major reflects the fact that this interdisciplinary major requires competency in basic programming, combinatorics and statistics. Many of these extra topics are also required for majors in allied fields, facilitating completion of double majors without onerous total credit hour demands. Counting other University requirements, students receiving a BS in Applied Mathematics are required to complete at least 103 credit hours, at most 113 credit hours. This is within the 126 credit hour limit for a BS.

**External Review and Accreditation**

External consultants were not involved in developing the program. No special accreditation is required.

**Projected Enrollment**

<table>
<thead>
<tr>
<th>Year</th>
<th>Student Head Count</th>
<th># of Faculty*</th>
<th>Student-to-Faculty Ratio**</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>20</td>
<td>42</td>
<td>0.47:1</td>
</tr>
<tr>
<td>2</td>
<td>30</td>
<td>42</td>
<td>0.71:1</td>
</tr>
<tr>
<td>3</td>
<td>40</td>
<td>42</td>
<td>0.95:1</td>
</tr>
<tr>
<td>4</td>
<td>50</td>
<td>42</td>
<td>1.19:1</td>
</tr>
<tr>
<td>5</td>
<td>50</td>
<td>42</td>
<td>1.19:1</td>
</tr>
</tbody>
</table>

* total number of tenure track Math faculty.
** marginal change in student to faculty ratio; current ratio (math majors:faculty) is approximately 6.74:1.

**Expansion of Existing Program**

<table>
<thead>
<tr>
<th>Total Mathematics Undergraduate Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year</td>
</tr>
<tr>
<td>Total Students</td>
</tr>
<tr>
<td>Pre-Majors</td>
</tr>
<tr>
<td>Full-Majors</td>
</tr>
<tr>
<td>Teaching Majors</td>
</tr>
</tbody>
</table>

**Section III: Need**

**Program Need**

Areas of mathematics application are becoming increasingly broad. Beyond the traditional connections between applied mathematics, physics, and engineering, we are now seeing advances in biology, medicine, economics, finance, computer science, and even in the social sciences, that are being led by fundamentally mathematical ideas. Applied mathematics is aimed at building these interdisciplinary bridges, and the University of Utah is an ideal environment in which to build them. No other USHE institution offers an Applied Mathematics Major. To improve the educational opportunities for Utah citizens, and for the benefit of our state and country, Utah should have such a program.
Labor Market Demand

The variety and importance of jobs for which an interdisciplinary mathematics background is important are two of the reasons that "Mathematician" was recently listed as the very top career choice in a national study, as reported in the January 26, 2009 Wall Street Journal article, "Doing the math to find good jobs." A good source for careers requiring Applied Mathematics major skills is the Society for Industrial and Applied Mathematics (SIAM) website http://www.siam.org/careers/thinking.php. Ideally, students should begin exploring which of these careers might interest them while they are still undergraduates, and the Applied Mathematics major provides an effective framework to do this exploration and preparation. Past University of Utah Mathematics majors have graduated, possibly pursued further training or certification, and ultimately entered the work force in a variety of capacities and settings: education (K-12, junior college and senior university settings); biotech; engineering (computer, civil, electrical, mechanical); finance; public sector; medicine. See Appendix E for a list of businesses and entities that currently employ our graduates.

Possible career directions for Applied Mathematicians, as found on the SIAM website (http://www.siam.org/careers/thinking/work.php):

- Aerospace and transportation equipment manufacturers such as The Aerospace Corporation; Boeing; Ford Motor Co.; General Motors; Lockheed Martin, and United Technologies.
- Chemical and pharmaceutical manufacturers such as DuPont; GlaxoSmithKline; Kodak; Merck & Co., Inc.; Pfizer; and Wyeth.
- Communications service providers such as Clear Channel Communications; Qwest Communications; and Verizon.
- Computer service and software firms such as Adobe; Google, Inc.; KuderSystems; The MathWorks, Inc.; Mentor Graphics; Microsoft Research; Mosek; MSC Software Corporation; Palo Alto Research Center; ThomsonWest; and Yahoo Research.
- Consulting firms such as Daniel H. Wagner Associates and McKinsey & Company.
- Electronics and computer manufacturers such as Bell Laboratories; Alcatel-Lucent; Hewlett-Packard; Honeywell; IBM Corporation; Motorola; Philips Research; and SGI.
- Energy systems firms such as Lockheed-Martin Energy Research Corporation and the Schatz Energy Research Center (SERC).
- Engineering research organizations such as AT&T Laboratories – Research; Exxon Research and Engineering; NEC Laboratories America, Inc.; Schlumberger-Doll Research; and Telcordia Technologies.
- Federally funded contractors such as the Mitre Corporation and RAND.
- Financial service and investment management firms such as Citibank; Moody’s Corporation; Morgan Stanley; and Prudential.
- International government agencies such as the Defence Science and Technology Organisation, DSTO (Australia); French Atomic Energy Commission, CEA/DAM; and National Research Council Canada.
- Medical device companies such as Baxter Healthcare; Boston Scientific; and Medtronic.
- Nonprofit organizations such as the American Institute of Mathematics (AIM) and SIAM.
- Producers of petroleum and petroleum products such as Amoco; Exxon Research and Engineering; and Petróleo Brasileiro S/A, Petrobras.
- Publishers such as Birkhauser and Springer.
• University-based research organizations such as the Institute for Advanced Study; the Institute for Mathematics and Its Applications (IMA); and the Mathematical Sciences Research Institute (MSRI).
• U.S. government agencies such as the Institute for Defense Analyses (IDA); NASA's Institute for Computer Applications in Science and Engineering; National Institute of Standards and Technology (NIST); National Security Agency (DIA); Naval Surface Warfare Center, Dahlgren Division; Supercomputing Research Center, and the U.S. Department of Energy.
• U.S. government labs and research offices such as the Air Force Office of Scientific Research; Lawrence Berkeley National Laboratory; Los Alamos National Laboratory; Oak Ridge National Laboratory; Pacific Northwest National Laboratory; and Sandia National Laboratories.

Student Demand

According to a survey conducted in Spring 2009, approximately 30 current Utah Mathematics students may be interested in pursuing the Applied Mathematics Major. This program of study will be attractive to the students of undergraduate programs residing in the University of Utah's Colleges of Science, Mines and Engineering, as well as to students in Finance and Economics programs. In an informal canvassing undertaken by one of our undergraduates, 30 students from allied programs listed their names and current majors, expressing interest in a double major which would include Applied Mathematics. Bringing analytic and quantitative skills imparted through this degree program to jobs in the physical and life sciences, engineering, medical, or financial fields will give dual majors an advantage over single-degree holders in the competition for employment, or in post-graduate work leading to employment. Mathematically inclined students in the following majors could benefit from a double major in Applied Mathematics:

Accounting
Architecture
Biology
Biology (teaching)
Biomedical Engineering
Chemical Engineering
Chemistry
Chemistry (teaching)
Civil Engineering
Computer Engineering
Computer Science
Earth Science Composite (teaching)
Economics
Electrical Engineering
Environmental Earth Science
Environmental Studies
Finance
Geological Engineering
Geology
Geophysics
Information Systems
Material Science & Engineering
Mechanical Engineering
Metallurgical Engineering
Meteorology
Mining Engineering
Pharmacy
Physics
Physics (teaching)

Similar Programs

Successful Applied Mathematics Major programs exist at many top-level academic institutions in the United States. In the western United States, some of the top programs are at the University of Arizona, UCLA, University of Colorado, University of Washington and UC Berkeley. According to the Peterson's Guide, 190 institutions offer Bachelor degrees in Applied Mathematics. No such major is currently available at any Utah State Higher Education institution.

Collaboration with and Impact on Other USHE Institutions

No such major is currently available at any Utah State Higher Education institution.

Benefits

Establishing this major will benefit the University of Utah, the USHE system, individual students, the state and the country as a whole, by providing students with rigorous training in the tenets and tools of Applied Mathematics. Graduates of the program will ultimately be prepared to enter the workforce and make significant contributions. Some graduates will begin their careers directly after their bachelors degree. For others, the training and interest in allied fields such as the potential dual majors listed above will lead to post-graduate training in these allied fields, and this training will lead to careers like those listed earlier in this document, in the section "Labor Market Demand."

Consistency with Institutional Mission

This program is consistent with and appropriate to the University of Utah's mission to serve the wider community through "the discovery, creation and application of knowledge." Students will be able to utilize and disseminate their applied mathematical knowledge and skills throughout their career as they participate in Utah's job market. The given interdisciplinary nature of the study of Applied Mathematics is consonant with the University's mission to "advance rigorous interdisciplinary inquiry."

Section IV: Program and Student Assessment

Program Assessment

*Primary Program goals:*
#1: Provide the Utah job market with workers with a rigorous background in Applied Mathematics.
#2: Give students a foundation of Mathematical skills to bring to applied problems.
#3: Strengthen the mathematical background of students in allied majors by providing a viable path towards double majoring in mathematics.
#4: Encourage students with interests in applied mathematics to investigate real world applications and potential career paths during their undergraduate years, through coursework and interactions in allied departments (see ‘Labor Market Demand’).

#5: Increase the number of interdisciplinary students majoring in Applied Mathematics.

Secondary Program goals:

#1: Increase educational and research collaborations among the faculty of the Mathematics Department with faculty in the allied departments.

#2: Compete for training grants that support the development of foundational research and education programs for interdisciplinary study.

Program Assessment:
The mathematics advisor will monitor students’ progress and satisfaction through traditional indicators (GPA, enrollment numbers, program retention, post-graduation placement, graduation exit surveys) and required periodic one-on-one meetings with students. Other quantitative and qualitative indicators will be tracked and analyzed to assess the execution of program goals: frequency of student advising sessions; number of undergraduate research projects undertaken by Majors; number of mathematics faculty collaborating with allied faculty on joint papers, cross-listed courses developed, co-mentoring of students in research settings, and the writing of interdisciplinary grant proposals.

After the third year of the program, the department will initiate a review of the program. Student and faculty input and indicators (GPA, enrollment numbers, program retention, post-graduation placement, graduation exit surveys) will be compiled and analyzed. A group chosen from faculty in the allied departments, professionals in industry, and program graduates will be asked to evaluate the program’s suitability and rigor. The external evaluators will be encouraged to offer criticism and possible directions for program improvements.

Expected Standards of Performance

Competencies necessary for students who ultimately plan for a career in a mathematically-intensive field:

1) skill in programming, statistics, proofs, analysis, linear algebra, and numerical methods.
2) competence in upper-division mathematically-intense courses.
3) ability to model and analyze applied mathematics and interdisciplinary problems.

Foundational and elective coursework provides a foundation in the topics of applied mathematics and in the ability to think mathematically: to think logically; to develop models of real-world problems; to analyze these models; to quickly learn the new concepts demanded by particular models.

The Applied Mathematics Major requires a higher average GPA than the existing Mathematics Major. This is an enhanced major, interdisciplinary work is challenging because it requires a broad base of competencies and the ability to see connections between seemingly disparate fields. It is challenging for a student to complete a double major. The students that we attract from the allied fields will be the academically stronger and more industrious students. The Mathematics students who opt for the Applied Mathematics track will be more outward and forward looking in terms of their future career options.
Section V: Finance

Budget

<table>
<thead>
<tr>
<th>Financial Analysis Form</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
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<tbody>
<tr>
<td>Students</td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Projected FTE Enrollment</td>
<td>20</td>
<td>30</td>
<td>40</td>
<td>50</td>
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<td>Cost Per FTE</td>
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<td>3,500</td>
<td>3,500</td>
<td>3,500</td>
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<td>Student/Faculty Ratio</td>
<td>47</td>
<td>70</td>
<td>.93</td>
<td>1.16</td>
<td>1.16</td>
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<tr>
<td>Projected Head Count</td>
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<td>30</td>
<td>40</td>
<td>50</td>
<td>50</td>
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<tr>
<td>Projected Tuition</td>
<td></td>
<td></td>
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<tr>
<td>Gross Tuition</td>
<td>241,433</td>
<td>222,118</td>
<td>204,349</td>
<td>206,392</td>
<td>212,584</td>
</tr>
<tr>
<td>Tuition to Program</td>
<td>241,433</td>
<td>222,118</td>
<td>204,349</td>
<td>206,392</td>
<td>212,584</td>
</tr>
</tbody>
</table>

5 Year Budget Projection

<table>
<thead>
<tr>
<th>Expenditures</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Wages</td>
<td>6,613,018</td>
<td>6,083,977</td>
<td>5,597,256</td>
<td>5,653,231</td>
<td>5,822,628</td>
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<tr>
<td>Benefits</td>
<td>1,827,833</td>
<td>1,681,606</td>
<td>1,547,078</td>
<td>1,562,549</td>
<td>1,609,425</td>
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<tr>
<td>Total Personnel</td>
<td>8,440,851</td>
<td>7,765,583</td>
<td>7,144,336</td>
<td>7,215,780</td>
<td>7,432,253</td>
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<tr>
<td>Current Expense</td>
<td>200,000</td>
<td>184,000</td>
<td>169,280</td>
<td>170,973</td>
<td>176,102</td>
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<tr>
<td>Travel</td>
<td>15,000</td>
<td>13,600</td>
<td>12,696</td>
<td>12,823</td>
<td>13,208</td>
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<tr>
<td>Capital</td>
<td>20,000</td>
<td>18,400</td>
<td>16,928</td>
<td>17,097</td>
<td>17,610</td>
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<tr>
<td>Library Expense</td>
<td>12,000</td>
<td>11,040</td>
<td>10,157</td>
<td>10,258</td>
<td>10,566</td>
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<tr>
<td>Total Expense</td>
<td>8,687,851</td>
<td>7,992,823</td>
<td>7,353,397</td>
<td>7,426,931</td>
<td>7,649,739</td>
</tr>
</tbody>
</table>

Revenues

| Legislative Appropriation | 8,096,674 | 7,448,940 | 6,853,025 | 6,921,555 | 7,129,202 |
| Grants & Contracts        | 314,177   | 289,043    | 265,919    | 268,579    | 276,636    |
| Donations                 | 0         | 0          | 0          | 0          | 0          |
| Reallocation              | 30,000    | 27,600     | 25,392     | 25,646     | 26,415     |
| Tuition to Program        | 241,433   | 222,118    | 204,349    | 206,392    | 212,584    |
| Fees                      | 5,567     | 5,122      | 4,712      | 4,759      | 4,902      |
| Total Revenue             | 8,687,851 | 7,992,823  | 7,353,397  | 7,426,931  | 7,649,739  |

Difference

| Revenues - Expenditures  | 0         | 0          | 0          | 0          | 0          |

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Budget Comments

Given the current state of the economy, we project an 8% cut in Years 2 and 3. A turn-around is projected in the following years: increases of 1% in Year 4 and 3% in Year 5.

Funding Sources

This program utilizes the existing Departmental infrastructure. No new faculty, staff, or resources are needed.

Reallocation

No reallocation of funds will be required by the proposed program.

Impact on Existing Budgets

The current Mathematics base budget will cover this program. The existing Mathematics Majors will not be affected.
Appendix A: Program Curriculum

All Program Courses

<table>
<thead>
<tr>
<th>Title</th>
<th>Catalog Number</th>
<th>CH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Calculus</td>
<td>MATH 1210, 1220, 2210 (or equivalent)</td>
<td>11</td>
</tr>
<tr>
<td>Physics Sci/Eng</td>
<td>PHYS 2210, 2220 (or 3210, 3220)</td>
<td>8</td>
</tr>
<tr>
<td>Discrete Mathematics/Intro Proofs</td>
<td>MATH 2200 or CS 2100</td>
<td>3</td>
</tr>
<tr>
<td>Linear Algebra</td>
<td>MATH 2270</td>
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</tr>
<tr>
<td>Differential Equations</td>
<td>MATH 2280 (or 2250 &amp; 3150)</td>
<td>4 or 6</td>
</tr>
<tr>
<td>Intro Programming</td>
<td>CS 1000 (or CS 1020, 1021, 2000)</td>
<td>3 or 4</td>
</tr>
<tr>
<td>Foundations of Analysis I</td>
<td>MATH 3210</td>
<td>4</td>
</tr>
<tr>
<td>Complex Analysis</td>
<td>MATH 3160 or 4200</td>
<td>2 or 4</td>
</tr>
<tr>
<td>Probability/Statistics</td>
<td>MATH 5010 or 3070</td>
<td>3 or 4</td>
</tr>
<tr>
<td>Numerical Methods</td>
<td>MATH 5610 or 5600 (or equivalent)</td>
<td>4</td>
</tr>
</tbody>
</table>

Core Courses Sub-total                | 46 to 52 |

Elective Courses Sub-total             | 15 to 22 |

Total                                  | 61 to 74 |

Mathematics Elective Courses

<table>
<thead>
<tr>
<th>Title</th>
<th>Catalog Number</th>
<th>CH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foundations of Analysis II</td>
<td>MATH 3220</td>
<td>4</td>
</tr>
<tr>
<td>Medical Mathematics</td>
<td>MATH 3900</td>
<td>4</td>
</tr>
<tr>
<td>Intro to Number Theory</td>
<td>MATH 4400</td>
<td>3</td>
</tr>
<tr>
<td>Intro to Topology</td>
<td>MATH 4510</td>
<td>3</td>
</tr>
<tr>
<td>Fluid Dynamics</td>
<td>MATH 4750</td>
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</tr>
<tr>
<td>Undergraduate Research Math.</td>
<td>MATH 4800</td>
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</tr>
<tr>
<td>Actuarial Mathematics</td>
<td>MATH 5030</td>
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</tr>
<tr>
<td>Stochastic Processes I, II</td>
<td>MATH 5040, 5050</td>
<td>3 or 3</td>
</tr>
<tr>
<td>Statistical Inference I, II</td>
<td>MATH 5080, 5090</td>
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</tr>
<tr>
<td>Mathematical Biology I, II</td>
<td>MATH 5110, 5120</td>
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<tr>
<td>Real Analysis</td>
<td>MATH 5210</td>
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</tr>
<tr>
<td>Applied Fourier Analysis</td>
<td>MATH 5215</td>
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</tr>
<tr>
<td>Matrix Analysis</td>
<td>MATH 5250</td>
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</tr>
<tr>
<td>Modern Algebra I</td>
<td>MATH 5310</td>
<td>3</td>
</tr>
<tr>
<td>Intro ODE I, II</td>
<td>MATH 5410, 5420</td>
<td>4 or 3</td>
</tr>
<tr>
<td>Intro PDE</td>
<td>MATH 5440</td>
<td>3</td>
</tr>
<tr>
<td>Chaos &amp; Nonlinear Systems</td>
<td>MATH 5470</td>
<td>3</td>
</tr>
<tr>
<td>Numerical Analysis I, II</td>
<td>MATH 5610, 5620</td>
<td>4 or 3</td>
</tr>
<tr>
<td>Applied Mathematics I, II</td>
<td>MATH 5710, 5720</td>
<td>3 or 3</td>
</tr>
<tr>
<td>Mathematical Modeling</td>
<td>MATH 5740</td>
<td>3</td>
</tr>
<tr>
<td>Topics in Applied Math</td>
<td>MATH 5750</td>
<td>3</td>
</tr>
<tr>
<td>Intro Math Finance I, II</td>
<td>MATH 5760, 5785</td>
<td>3 or 3</td>
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</table>
### Physics Elective Courses

<table>
<thead>
<tr>
<th>Course</th>
<th>Code</th>
<th>CH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modern Optics I &amp; II</td>
<td>PHYS 3410</td>
<td>4</td>
</tr>
<tr>
<td>Intro to Quantum Theory &amp; Relativity</td>
<td>PHYS 3740</td>
<td>3</td>
</tr>
<tr>
<td>Principles of Thermodynamics &amp; Statistical Mechanics</td>
<td>PHYS 3760</td>
<td>3</td>
</tr>
<tr>
<td>Classical Mechanics I</td>
<td>PHYS 4410</td>
<td>4</td>
</tr>
<tr>
<td>Classical Mechanics II</td>
<td>PHYS 4420</td>
<td>4</td>
</tr>
<tr>
<td>Theoretical Classical Mechanics &amp; Quantum Mechanics</td>
<td>PHYS 5010</td>
<td>3</td>
</tr>
<tr>
<td>Theoretical Electricity &amp; Magnetism &amp; Statistical Physics</td>
<td>PHYS 5020</td>
<td>3</td>
</tr>
<tr>
<td>Introduction to Nuclear &amp; Particle Physics</td>
<td>PHYS 5110</td>
<td>3</td>
</tr>
<tr>
<td>Introduction to Quantum Mechanics</td>
<td>PHYS 5450</td>
<td>4</td>
</tr>
<tr>
<td>Quantum Mechanics &amp; Statistical Mechanics</td>
<td>PHYS 5460</td>
<td>4</td>
</tr>
<tr>
<td>Solid-State Physics I</td>
<td>PHYS 5510</td>
<td>3</td>
</tr>
<tr>
<td>Solid-State Physics II</td>
<td>PHYS 5520</td>
<td>3</td>
</tr>
<tr>
<td>Introduction to Disordered Solids</td>
<td>PHYS 5530</td>
<td>3</td>
</tr>
<tr>
<td>Extragalactic Astronomy &amp; Cosmology</td>
<td>PHYS 5580</td>
<td>3</td>
</tr>
</tbody>
</table>

### Civil & Environmental Engineering Elective Courses

<table>
<thead>
<tr>
<th>Course</th>
<th>Code</th>
<th>CH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Structural Analysis I</td>
<td>CVEEN 3210</td>
<td>3</td>
</tr>
<tr>
<td>Hydraulics</td>
<td>CVEEN 3410</td>
<td>4</td>
</tr>
<tr>
<td>Structural Analysis II</td>
<td>CVEEN 5210</td>
<td>3</td>
</tr>
<tr>
<td>Quantitative Methods in Transportation Operation</td>
<td>CVEEN 5530</td>
<td>3</td>
</tr>
<tr>
<td>Nuclear Engineering I with Laboratory</td>
<td>CVEEN 5700</td>
<td>4</td>
</tr>
<tr>
<td>Applied Nuclear Engineering with Lab</td>
<td>CVEEN 5710</td>
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</table>

### Electrical & Computer Engineering Elective Courses

<table>
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<tr>
<th>Course</th>
<th>Code</th>
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</thead>
<tbody>
<tr>
<td>Fundamentals of Electromagnetics &amp; Transmission Lines</td>
<td>ECE 3300</td>
<td>4</td>
</tr>
<tr>
<td>Fundamentals of Signals &amp; Systems</td>
<td>ECE 3500</td>
<td>4</td>
</tr>
<tr>
<td>Introduction to Feedback Systems</td>
<td>ECE 3510</td>
<td>4</td>
</tr>
<tr>
<td>Introduction to Quantum Theory &amp; Relativity</td>
<td>ECE 3740</td>
<td>3</td>
</tr>
<tr>
<td>Introduction to Microwave Tubes &amp; Electron Devices</td>
<td>ECE 5330</td>
<td>3</td>
</tr>
<tr>
<td>Numerical Techniques in Electromagnetics</td>
<td>ECE 5340</td>
<td>3</td>
</tr>
<tr>
<td>Random Processes</td>
<td>ECE 5510</td>
<td>3</td>
</tr>
<tr>
<td>Digital Communication Systems</td>
<td>ECE 5520</td>
<td>3</td>
</tr>
<tr>
<td>Digital Signal Processing</td>
<td>ECE 5530</td>
<td>3</td>
</tr>
<tr>
<td>Survey of Function Approximation Methods</td>
<td>ECE 5550</td>
<td>3</td>
</tr>
<tr>
<td>Control of Electric Motors</td>
<td>ECE 5570</td>
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### Biomedical Engineering Elective Courses

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<td>Biophysics</td>
<td>BIOEN 5001</td>
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<tr>
<td>Engineering Principles in Bioinstrumentation</td>
<td>BIOEN 5101</td>
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</tr>
<tr>
<td>Biomechanics</td>
<td>BIOEN 5201</td>
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<tr>
<td>Course</td>
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<td>Credits</td>
</tr>
<tr>
<td>-------------------------------------------------------</td>
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<tr>
<td>Principles of Ultrasound</td>
<td>BIOEN 5480</td>
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<tr>
<td><strong>Computer Science Elective Courses</strong></td>
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<tr>
<td>CS 4150: Algorithms</td>
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<td>CS 4550: Simulation</td>
<td>CS 4550</td>
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<tr>
<td>CS 5150: Advanced Algorithms</td>
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<tr>
<td>CS 5310: Robotics</td>
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<tr>
<td>CS 5320: Computer Vision</td>
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<tr>
<td>CS 5630: Scientific Visualization</td>
<td>CS 5630</td>
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<tr>
<td><strong>Chemical &amp; Fuels Engineering Elective Courses</strong></td>
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<tr>
<td>Fluid Mechanics</td>
<td>CH EN 3353</td>
<td>3</td>
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<tr>
<td>Heat Transfer</td>
<td>CH EN 3453</td>
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<tr>
<td>Process Design</td>
<td>CH EN 4253</td>
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<tr>
<td><strong>Mechanical Engineering Elective Courses</strong></td>
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<tr>
<td>Reliability Engineering</td>
<td>ME EN 5030</td>
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</tr>
<tr>
<td>Quality Assurance Engineering</td>
<td>ME EN 5040</td>
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<tr>
<td>Advanced Modeling &amp; Control</td>
<td>ME EN 5200</td>
<td>3</td>
</tr>
<tr>
<td>State Space Methods (also listed as CH EN 5203)</td>
<td>ME EN 5210</td>
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</tr>
<tr>
<td>Advanced Strength of Materials</td>
<td>ME EN 5300</td>
<td>3</td>
</tr>
<tr>
<td>Vibrations</td>
<td>ME EN 5400</td>
<td>3</td>
</tr>
<tr>
<td>Intermediate Dynamics</td>
<td>ME EN 5410</td>
<td>3</td>
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<tr>
<td>Engineering Elasticity</td>
<td>ME EN 5500</td>
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<tr>
<td>Introduction to Finite Elements</td>
<td>ME EN 5510</td>
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<tr>
<td>Intermediate Thermodynamics</td>
<td>ME EN 5600</td>
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<td>Modern Physics in Engineering</td>
<td>ME EN 5610</td>
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<tr>
<td>Intermediate Fluid Dynamics</td>
<td>ME EN 5700</td>
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<tr>
<td>Aerodynamics</td>
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<tr>
<td>Computational Fluid Dynamics</td>
<td>ME EN 5720</td>
<td>3</td>
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<tr>
<td>Thermal Systems Design</td>
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<tr>
<td><strong>Meteorology Elective Courses</strong></td>
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<tr>
<td>Dynamic Meteorology</td>
<td>ATMOS 5110</td>
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</tr>
<tr>
<td>Physical Meteorology</td>
<td>ATMOS 5210</td>
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</tr>
<tr>
<td>Remote Sensing of the Environment</td>
<td>ATMOS 5410</td>
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</tr>
<tr>
<td>Biophysical Ecology</td>
<td>ATMOS 5495</td>
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</tr>
<tr>
<td>Synoptic Meteorology I</td>
<td>ATMOS 5530</td>
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</tr>
<tr>
<td>Synoptic Meteorology II</td>
<td>ATMOS 5540</td>
<td>3</td>
</tr>
<tr>
<td><strong>Materials Science &amp; Engineering Elective Courses</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Thermodynamics of Solids</td>
<td>MSE 5032</td>
<td>4</td>
</tr>
<tr>
<td>Kinetics of Solid-State Processes</td>
<td>MSE 5034</td>
<td>3</td>
</tr>
<tr>
<td>Transport Phenomena in Materials Science &amp; Engineering</td>
<td>MSE 5061</td>
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</tr>
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<td>Course</td>
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<td>CH</td>
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<tr>
<td>----------------------------------------------------------------------</td>
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<tr>
<td>Semiconductor Device Physics II</td>
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</tr>
<tr>
<td>Introduction to Composites</td>
<td>MSE 5475</td>
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<tr>
<td><strong>Metallurgical Engineering Elective Courses</strong></td>
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<td></td>
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<tr>
<td>Proton Exchange Membrane Fuel Cells</td>
<td>MET E 5610</td>
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</tr>
<tr>
<td>Mineral Processing I</td>
<td>MET E 5670</td>
<td>3</td>
</tr>
<tr>
<td>Mineral Processing II</td>
<td>MET E 5680</td>
<td>3</td>
</tr>
<tr>
<td>Hydrometallurgy</td>
<td>MET E 5700</td>
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<tr>
<td>High-temperature Chemical Processing</td>
<td>MET E 5710</td>
<td>4</td>
</tr>
<tr>
<td>Rate Processes</td>
<td>MET E 5750</td>
<td>3</td>
</tr>
<tr>
<td>Process Synthesis, Design, &amp; Economics</td>
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<td>MG EN 5050</td>
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<td>Heat Energy Systems</td>
<td>MG EN 5060</td>
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<td>MG EN 5150</td>
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<td>Rock Mechanics Applications</td>
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<td>MG EN 5290</td>
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<td>Hydraulic Systems</td>
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<td>Solute Transport &amp; Subsurface Remediation</td>
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<td>Financial Management</td>
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Appendix B: Program Schedule

For each level of program completion, present, by semester, a suggested class schedule—by prefix, number, title, and credit hours. This section should preferably be presented in tables similar to the table found in Appendix A.

**Applied Mathematics Major**

**Freshman Year: Fall**

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Sub-total: 14

**Freshman Year: Spring**

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Sub-total: 14

**Sophomore Year: Fall**

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Sub-total: 13

**Sophomore Year: Spring**

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Sub-total: 14 to 15

**Junior Year: Fall**

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57
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<tr>
<td>Numerical Methods</td>
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**Sub-total** 13 to 15

**Junior Year: Spring**

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**Sub-total** 11 to 14

**Senior Year: Fall**

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**Sub-total** 12 to 15

**Senior Year: Spring**

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**Sub-total** 12 to 13

**Total** 103 to 113
# Mechanical Engineering and Applied Mathematics Double Major

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<tr>
<td>Intro to Robotic System Design</td>
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<td>General Chemistry I</td>
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**Sub-total** 15 to 20

## Freshman Year: Spring

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**Sub-total** 15

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**Sub-total** 17.5

## Sophomore Year: Spring

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<td>Numerical Techniques in Engineering</td>
<td>ME EN 2450</td>
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**Sub-total** 18

## Sophomore Year: Summer
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**Junior Year: Fall**

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<td>ME EN 3200</td>
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<td>Mechatronics II</td>
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## Appendix C: Faculty

List current faculty within the institution, with their qualifications, to be used in support of the program. Do not include resume.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>PhD Year</th>
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<tr>
<td>Ali, Bachim</td>
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<td>Partial Differential Equations</td>
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<td>Aifeld, Peter</td>
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<td>1977</td>
<td>Approximation Theory</td>
<td>University of Dundee</td>
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<td>Balk, Alexander</td>
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<td>1988</td>
<td>Nonlinear Phenomena</td>
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<td>Bestvina, Miaden</td>
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<td>1984</td>
<td>Topology</td>
<td>University of Tennessee</td>
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<td>Borisuk, Alla</td>
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<td>Assistant Professor/Lecturer</td>
<td>2006</td>
<td>Algebraic Geometry</td>
<td>University of Pennsylvania</td>
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<tr>
<td>Dobson, David</td>
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<td>1990</td>
<td>Applied Mathematics</td>
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<td>Docampo Alvarez, Roi</td>
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<td>2009</td>
<td>Algebraic Geometry</td>
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<td>Du, Jian</td>
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<td>2008</td>
<td>Mathematical Biology</td>
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<td>Easton, Robert W.</td>
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<td>Elthier, Stewart</td>
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<td>1975</td>
<td>Applied Probability</td>
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<td>Fogelson, Aaron</td>
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<td>1982</td>
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<td>Guevara-Vasquez, Fernando</td>
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<td>Gustafson, Grant</td>
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<td>1974</td>
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<td>Columbia University</td>
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<td>1982</td>
<td>Probability &amp; Statistics</td>
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<td>Functional Analysis</td>
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<td>University of British Columbia</td>
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<td>2009</td>
<td>Stochastics</td>
<td>University of Wisconsin - Madison</td>
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<td>Keener, Jim</td>
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<td>1972</td>
<td>Applied Mathematics</td>
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<td>Khoshnevisan, Davar</td>
<td>Professor</td>
<td>1999</td>
<td>Probability &amp; Statistics</td>
<td>UC Berkeley</td>
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<tr>
<td>Kim, Peter Sehoon</td>
<td>Research Assistant Professor</td>
<td>2007</td>
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<td>Stanford University</td>
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<td>Korevaar, Nick</td>
<td>Professor</td>
<td>1991</td>
<td>Differential Geometry, PDEs</td>
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<tr>
<td>Lakunig, Enkeleida K.</td>
<td>Assistant Professor/Lecturer</td>
<td>2008</td>
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<td>University of Pennsylvania</td>
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<td>Lee, Yuan-Pin</td>
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<td>1999</td>
<td>Algebraic Geometry</td>
<td>UC Berkeley</td>
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<tr>
<td>Lin, Joyce</td>
<td>Assistant Professor/Lecturer</td>
<td>2009</td>
<td>Fluid Mechanics</td>
<td>UNC Chapel Hill</td>
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<tr>
<td>Lodh, Remi Shankar</td>
<td>Assistant Professor/Lecturer</td>
<td>2008</td>
<td>Algebraic Geometry</td>
<td>Rheinsche Friedrich-Wilhelms Universitaet</td>
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<tr>
<td>Macri, Emanuele</td>
<td>Assistant Professor/Lecturer</td>
<td>2006</td>
<td>Stability Conditions</td>
<td>SISSA, Trieste</td>
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<tr>
<td>Milicic, Dragan</td>
<td>Professor</td>
<td>1973</td>
<td>Lie Groups</td>
<td>University of Zagreb</td>
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<td>Milton, Graeme</td>
<td>Distinguished Professor</td>
<td>1985</td>
<td>Materials and Fluids</td>
<td>Cornell University</td>
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<td>Niziol, Wieslawa</td>
<td>Associate Professor</td>
<td>1981</td>
<td>Algebraic Geometry</td>
<td>Princeton University</td>
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<tr>
<td>Onofrei, Daniel T.</td>
<td>Assistant Professor/Lecturer</td>
<td>2007</td>
<td>Partial Differential Equations</td>
<td>Worcester Polytechnic Institute</td>
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<td>Paupert, Julien</td>
<td>Assistant Professor/Lecturer</td>
<td>2007</td>
<td>Geometry</td>
<td>Universite Pierre-et-Marie-Curie</td>
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<td>Rassoul-Agha, Firas</td>
<td>Associate Professor</td>
<td>2003</td>
<td>Probability Theory</td>
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<td>Roberts, Paul</td>
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<td>Commutative Algebra</td>
<td>McGill University</td>
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<td>Savin, Gordan</td>
<td>Professor</td>
<td>1988</td>
<td>Automorphic Forms</td>
<td>Harvard University</td>
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<td>Professor</td>
<td>1967</td>
<td>Nonlinear Analysis, Differential Equations</td>
<td>University of Nebraska</td>
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<td>Singh, Anurag</td>
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<td>1998</td>
<td>Commutative Algebra</td>
<td>University of Michigan</td>
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<td>Sircar, Sarthok</td>
<td>Research Assistant Professor</td>
<td>2009</td>
<td>Mathematical Biology</td>
<td>University of South Carolina</td>
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<td>Smale, Nathan</td>
<td>Professor</td>
<td>1997</td>
<td>Differential Geometry</td>
<td>UC Berkeley</td>
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<td>Stirling, Spencer</td>
<td>Assistant Professor/Lecturer</td>
<td>2008</td>
<td>Math and Physics</td>
<td>University of Texas at Austin</td>
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<td>Tao, Jing</td>
<td>Assistant Professor/Lecturer</td>
<td>2009</td>
<td>Geometry</td>
<td>University of Illinois - Chicago</td>
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<td>Taylor, Joe</td>
<td>Professor</td>
<td>1964</td>
<td>Group Representations</td>
<td>Louisiana State University</td>
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<td>Toledo, Domingo</td>
<td>Professor</td>
<td>1972</td>
<td>Differential Geometry</td>
<td>Cornell University</td>
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<td>Toth, Damon J. A.</td>
<td>Research Assistant Professor</td>
<td>2007</td>
<td>Mathematical Biology</td>
<td>University of Washington</td>
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<td>Trapa, Peter</td>
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<td>1998</td>
<td>Lie Groups</td>
<td>MIT</td>
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<td>Treibergs, Andrejs</td>
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<td>Differential Geometry</td>
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<td>Trombi, Peter</td>
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<td>Lie Groups</td>
<td>University of Illinois</td>
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<td>Tucker, Don</td>
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<td>1958</td>
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<td>Wortman, Kevin</td>
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<td>2003</td>
<td>Topology</td>
<td>University of Chicago</td>
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<td>Yao, Lingxing</td>
<td>Research Assistant Professor</td>
<td>2008</td>
<td>Mathematical Biology</td>
<td>University of North Carolina</td>
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<td>Zajac, Mark</td>
<td>Research Assistant Professor</td>
<td>2008</td>
<td>Mathematical Biology</td>
<td>Notre Dame University</td>
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<td>Zhu, Jingyi</td>
<td>Associate Professor</td>
<td>1989</td>
<td>Computational Fluid Dynamics</td>
<td>New York University</td>
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</table>
Appendix D: Sample of Current Employers of Undergraduate Alumni

Allegiance Inc
Alpine School District
American Pacific
ATG Inc
Big Horn County School District #4
BluePoint Pool Service, LLC
Boise School District
Bonneville Power Administration
C.R. Bard (Bard Access Systems)
California Air Resources Board
Calypto Technology
Church of Jesus Christ of Latter-Day-Saints
Clark County School District
Clark Planetarium
COMParion Corp.
Connecticut Technical High School System
Davis School District
Deutsche Bank Securities
EMIA
Eons, Inc.
Equation Consulting
Exploratorium
Fitchburg State College
General Dynamics
General Electric
Goldman Sachs
Google
Grace School District
Granite School District
Harford Community College
HealthInsight
Henderson Trauman, PC
IBM
iCrossing
IM Flash Technologies
Ingenix
InterContinental Hotels Group
Jacobs
Jordan School District
Kohler Co.
Lincoln Financial Advisors
Mercer
Merit Medical
Metropolitan State University
Michael F. Pingree M.D. P.C.
MITRE Corporation
Models for Learning, Inc.
Mound Valley Electric
Murray City School District
Nemean Networks
New York University
Niche Associates
North Slope Borough School District
OnDialog, Inc.
Provo School District
Raytheon
Reliant Energy
Rowland Hall St Marks
Salt Lake Community College
Salt Lake County Library System
Stress Engineering Services
Summit County Park City
Technicolor
The Boeing Company
The Hartford Financial Services
The McGillis School
The Modellers
The Ritz-Carlton Hotel Company
The Winter Sports School in Park City
Travelers
U.S. Department of State
University of Utah Hospital
University of California, Santa Barbara
University of Chicago, Department of Statistics
University of Rochester Medical Center
Department of Orthopedics
University of Utah
University of Utah School of Medicine
University of Utah, Department of Pediatrics
University of Wisconsin
US Army Combined Arms Center
US Government
US NAVY
Utah Department of Health
Utah Department of Technology Services
Utah Dept of Health
UVU
Wake Forest University Baptist Medical Center
Walgreens
Wasatch Electric
Waterford School
Xapio
Zion Bancorporation
Institution Submitting Proposal: University of Utah

College, School or Division in Which Program/Administrative Unit Will Be Located: Science

Department(s) or Area(s) in Which Program/Administrative Unit Will Be Located: Mathematics

Program/Administrative Unit Title:

Recommended Classification of Instructional Programs (CIP) Code: 27.0301

Certificate, Diploma and/or Degree(s) to be Awarded: Bachelors Degree

Proposed Beginning Date: 1 January 2010

Institutional Signatures (as appropriate):

President: [Signature]

Chief Academic Officer: [Signature]

Department Chair: [Signature]

Graduate School Dean: [Signature]

Dean or Division Chair: [Signature]

Career and Technical Education Director: [Signature]

Date: 10 September 2010
September 15, 2009

Undergraduate Council
University of Utah
Sill 110

Dear Council Members:

The University of Utah Libraries' appreciate your request to comment on our ability to support students in a new Bachelor of Science degree in Applied Mathematics. The Libraries are committed to supporting the University and its faculty as they develop programs needed by our students.

As the curriculum comprises existing courses, current collections should be sufficient. A collection of this size and depth satisfies most undergraduate needs. Marriott has an approval plan which automatically provides major English language scholarly books.

We encourage faculty to work with subject librarians to build up specific sub-disciplines where our collection needs supplementing. Despite budget constraints, we are usually able to order any books necessary to directly support classes. We modify our journal subscriptions to reflect current teaching and research. As the scholarly communication landscape evolves, new options may exist beyond traditional print book purchases and conventional subscriptions. We would like to work with faculty to evaluate the most workable.

Thanks to the state-wide funding received by the Utah Academic Library Consortium (UALC) and to campus Student Computing Task Force funds, our electronic collection is strong in indexes, abstracts, and full-text online databases such as the online American Mathematical Society journals and MathSciNet.

Student difficulties in locating materials often stem not from collection weaknesses but from the complexities of using a large research library. We offer class presentations and one-to-one consultations with library specialists who will help students find the most relevant works and suggest the most appropriate search strategies.

We look forward to working with the faculty and students in this new program.

Rick Anderson
Associate Director
Scholarly Resources and Collections

Juli Hinz
Associate Director
Research and Learning Services

cc: Kathleen Moore [kerr@math.utah.edu]
Dear Council Members:

As dean of the College of Engineering, I enthusiastically support the Mathematics Department in its proposal for a new Applied Mathematics Major. Such a major could be attractive to students in Engineering who want to hone their mathematics skills by means of a double major. Many of our students now do a minor in Math, but this would give them a practical option for a double major.

The current mathematics major makes such an option difficult, but by its construction, the Applied Mathematics Major would be much more feasible.

Sincerely,

Richard B. Brown
October 5, 2009

Prof. Aaron Bertram  
Chair, Department of Mathematics  
University of Utah  
237 JWB  
CAMPUS

Re: Letter of Support for Bachelors of Applied Mathematics Degree

Dear Aaron-

I understand that the Department of Mathematics is seeking approval for a new degree program in Applied Mathematics at the University of Utah. I am writing to you to strongly endorse this proposal.

Because of the considerable overlap between the Physics and Mathematics degree programs, it makes sense for Physics majors with strong interests in Mathematics to double major. The new Applied Mathematics Major, with its emphasis on coursework more aligned with the physics curriculum, makes this option much more likely to be adopted by our students. The Physics Department therefore supports the Mathematics Department proposal for the new Applied Mathematics Major.

With Best Regards,

[Signature]

Dave Kieda  
Chair, Department of Physics and Astronomy  
University of Utah  
x1-3538  
dave.kieda@utah.edu
October 14, 2009

TO:    David Pershing
       Senior Vice President for Academic Affairs

FR:    John Francisco
       Chair, Undergraduate Council

RE:    Operations Management Major

At its meeting of Tuesday, October 6, 2009, the Undergraduate Council voted unanimously to approve a proposal from the David Eccles School of Business for new major in Operations Management. The proposal, along with supporting letters, is attached.

We are asking you, if you also approve of the proposal, to forward it on to the Executive Committee of the Academic Senate for their consideration.
Section I: The Request

University of Utah requests approval to offer a B.S. degree in operations management effective Fall 2010. This program has been approved by the institutional Board of Trustees on XX Month 2009.

Section II: Program Description

Complete Program Description
The Operations Management (OM) major will be offered through the Operations and Information Systems (OIS) Department within the David Eccles School of Business (DESB). The major will prepare students for a career in OM. OM is concerned with the implementation of business plans and the continuous improvement of day to day business processes. OM is critical to many industries, including the manufacturing, services, health care and education industries. Almost all major companies have complex operations which need to be managed well to maximize company profits. Core topics include (but are not limited to) productivity, project management, product design and innovation, process design and management, supply chain management, quality control and management, capacity planning, resource planning, scheduling and inventory management. Practitioners need to have a strong foundation in modeling and data analysis. The OM major will provide graduates with state of the art content knowledge, as well as the analytic problem-solving skills needed to confidently pursue fruitful careers as operations managers or consultants.

Currently the Management Department offers a Management degree and it is possible to emphasize OM within that degree. Hence the majority of the classes that will be offered as a part of the new major are already in place. (Recently, the OIS Department was formed within the DESB and has become the home for the courses formally taught by the Management Department and used for the OM emphasis.) Given that the new major will be part of the DESB, all OM majors will be required to complete pre-business and intermediate business classes. As with other majors within the School, the major classes will be part of the students’ final year and will account for 15 hours of credit. The classes specific to the major are listed in Appendix A.

Purpose of Degree
The purpose of the OM degree is to give students the necessary knowledge and skills to be successful operations managers. Besides giving students knowledge of the core areas of OM, the major will help create graduates with strong analytical and problem solving skills that will be valuable assets long into their future. As elaborated upon more below (see the Labor Market Demand and Student Demand sections), there is growing demand for graduates in OM. The state of Utah and the region are seeing growth in manufacturing and service firms that have a need for experts in operations.

It is also true that most of our peer and aspirant Business Schools offer degrees in operations management. We feel that local employers are forced to go beyond the University of Utah to find qualified applicants for their positions. To be competitive as a Business School, we need to offer degrees in all of the major functions of business. Without the proposed degree, there is an obvious hole in what we can offer to employers.
Institutional Readiness
Because there is already an OM emphasis within the Management Department, the transition to the new major should be very straightforward. The majority of classes already exists and can be taught with existing faculty. Similarly, the undergraduate office within the DESB already offers counseling to business students and should be able to advise students in the new major without additional resources.

Faculty
As of July 1, 2009, the Operations and Information Systems (OIS) Department has twelve tenure-track and five lecturing faculty members. Of those, six tenure-track and two lecturing faculty teach classes in operations. (One of the six tenure-track members is the new Dean of the DESB and hence will not be teaching classes for the next several years.) The faculty size we currently have is sufficient to offer the new degree as proposed, although more faculty are desirable to allow us to offer more electives. We anticipate that over the next five years, we will have the resources to hire a net increase of two regular full-time, tenure track faculty members to expand our offerings.

Staff
In early 2009 the OIS Department was formed, which included the addition of an administrative assistant (AA). The current AA already oversees scheduling classes and assisting faculty that are part of the proposed major; hence we do not anticipate any change in staff size for the department. As described above, the DESB provides student advisors and other support staff and we don't anticipate needing any other staff.

Library and Information Resources
Because we have had operations management faculty as part of the Management Department (and now OIS Department) for many years, we have been able to obtain the library resources necessary to support both teaching and research needs. Moreover, historically the University had an industrial engineering department, and many of the library resources for that department and major have served and will continue to serve the new major.

Admission Requirements
The admission requirements to the major will be the same as those for other majors within the DESB.

Student Advisement
As mentioned above, the student advisement function in the DESB is centralized. The staff work with all majors within the School. We anticipate that the current staff of the Undergraduate Advising Office will be able to serve students in the new major without additional resources.

Justification for Gradation Standards and Number of Credits
The graduation requirements will be consistent with University guidelines and requirements for other majors within the DESB. Some of the requirements that are specific to the School include 40 semester hours of upper division credit, a 2.0 or better GPA in upper division business classes, and at least a C- grade in all business courses.

External Review and Accreditation
No outside consultants were involved in the development of the program. We contemplate the possibility of an advisory board from industry, but at this point it does not exist. We anticipate that such a board would assist in curriculum review and development as well as internship and job placement advice and
opportunities. As part of the DESB, the new major will be part of a School review by the Association to Advance Collegiate Schools of Business (AACSB) and the School’s National Advisory Board. The next AACSB review to which the School will be subject is beginning now.

Our department will not be accredited separately from the DESB. The AACSB (our accrediting body) assesses us on two measures: (1) participating faculty, which is an indicator of faculty engagement, and (2) academic qualifications, which is an indicator of faculty currency and contributions to knowledge, which is important for us because we are a research mission school. There are no fixed standards, but since we are a graduate institution, we are expected to hit a higher standard. The AACSB does not proscribe a student-to-faculty ratio.

Projected Enrollment

<table>
<thead>
<tr>
<th>Year</th>
<th>Student Headcount</th>
<th># of Faculty*</th>
<th>Student-to-Faculty Ratio</th>
<th>Accreditation Req’d Ratio</th>
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<td>8</td>
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<td>60</td>
<td>9</td>
<td>6.7</td>
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</table>

I. The number of faculty indicated in the table is the number of full-time faculty teaching OM classes. The total department faculty is approximately twice the number shown.

Expansion of Existing Program

Because we are expanding an emphasis into a major, rather than expanding a current major, we do not have information on current enrollment or student credit hours (SCH). (The emphasis is actually quite new and we did not ask the Undergraduate Advising Office to collect information from students on their emphasis.) We have SCH information on current classes, but those classes serve the entire DESB (and beyond in some cases), so they do not indicate the number of students who will be transitioning from the current emphasis to the proposed major.

Section III: Need

Program Need

As highlighted below, there is both student interest and market demand for graduates in OM. We have had cases in the recent past where potential employers such as IM Flash Technologies have come to recruit graduates for their job openings, and it has been difficult to meet their needs. Because OM is one of the core functions of any business, many companies have an ongoing need for operations management personnel. The state of Utah continues to attract companies from many industries and of many different sizes and we want to be poised to fill their needs for operations managers. We should emphasize here that OM is not just about manufacturing; it is relevant in service, healthcare, government and non-profit industries.

We also feel that the proposed major is necessary to stay competitive with top business schools. Most of the top schools offer OM as a major. We recently had a group of managers from Intermountain Health come to recruit what they call “management engineers.” They would like to recruit locally, but have not been able to find qualified candidates. Hence they have to go outside the local market to find the right people. Graduates from the proposed OM major would be able to meet their needs. We believe that they
are not unique and therefore want to provide local businesses a pool of candidates to help fill their requirements in operations management.

Labor Market Demand
We queried several websites to obtain a snapshot of current demand for individuals with operations management skills. The following tables and screenshots show the results. In all cases, the source of the information is given either above or below the table or figure. Tables showing job openings are for 2008. 2009 numbers are lower, but we feel that they are not representative of what our students will face at the time of graduation due to the current economic downturn. The data collected also reveal that operations managers are well compensated (and these data were updated with the most recent numbers). As we are able to communicate that fact to students, we believe that demand for the major will increase. Appendix D shows some sample job openings.

The first exhibit is a screen shot taken April 4, 2008 from the American Production and Inventory Control Society’s webpage. We have highlighted job openings most closely related to OM with the red boxes.

APICS Career Center

Browse Jobs

By Category

- Accounting (6)
- Business Development (14)
- CIM (4)
- Consulting (6)
- Customer Relations Management (12)
- Customer Service (14)
- Data Processing (3)
- Distribution (37)
- E-commerce (5)
- Engineer (29)
- Forecasting (40)
- General Management (33)
- Information Systems (21)
- Inventory Control (100)
- Logistics (84)

- Manufacturing Systems (64)
- Marketing (3)
- Materials Management (101)
- MRP II (41)
- Operations Management (79)
- Other (22)
- Production Control (51)
- Project Management (47)
- Purchasing (93)
- Quality Assurance (32)
- Scheduling (52)
- Supply Chain (152)
- Training/Development (111)
- Transportation/Traffic (28)
Position Openings in Fields Related to Operations Management in Utah

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<thead>
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<th>State</th>
<th>Number of Openings</th>
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<tbody>
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<tr>
<td>Project/Program Management</td>
<td>Utah</td>
<td>42</td>
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<tr>
<td>Manufacturing/Production/Operations</td>
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<td>Logistics/Transportation</td>
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<td>60</td>
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<td>Retail/Wholesale</td>
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</table>

Source: Monster.com, April 10, 2008
Total number of positions across 6 categories above 553

National Salaries (see Appendix D for descriptions of the occupation codes)

<table>
<thead>
<tr>
<th>Occupation (SOC code)</th>
<th>Employment</th>
<th>Median Hourly</th>
<th>Mean Hourly</th>
<th>Mean Annual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Industrial Production Managers (11-3051)</td>
<td>154,030</td>
<td>$40.04</td>
<td>$43.85</td>
<td>$91,200</td>
</tr>
<tr>
<td>General and Operations Managers (11-1021)</td>
<td>1,697,690</td>
<td>$44.02</td>
<td>$51.91</td>
<td>$107,970</td>
</tr>
<tr>
<td>Purchasing Managers (11-3061)</td>
<td>67,150</td>
<td>$42.86</td>
<td>$45.34</td>
<td>$94,300</td>
</tr>
<tr>
<td>Transportation, Storage, and Distribution Managers (11-3071)</td>
<td>96,300</td>
<td>$37.98</td>
<td>$40.64</td>
<td>$84,520</td>
</tr>
<tr>
<td>Medical and Health Services Managers (11-9111)</td>
<td>258,130</td>
<td>$38.58</td>
<td>$42.67</td>
<td>$88,750</td>
</tr>
<tr>
<td>Logisticians (13-1081)</td>
<td>98,590</td>
<td>$31.96</td>
<td>$32.98</td>
<td>$68,600</td>
</tr>
<tr>
<td>Operations Research Analysts (15-2031)</td>
<td>60,860</td>
<td>$33.17</td>
<td>$35.68</td>
<td>$74,220</td>
</tr>
<tr>
<td>Statisticians (15-2041)</td>
<td>60,860</td>
<td>$33.17</td>
<td>$35.68</td>
<td>$74,220</td>
</tr>
</tbody>
</table>

SOC code: Standard Occupational Classification code – see http://www.bls.gov/soc/home.htm
Data extracted on June 11, 2009
Period: May 2009

Utah Salaries (see Appendix D for descriptions of the occupation codes)

<table>
<thead>
<tr>
<th>Occupation (SOC code)</th>
<th>Employment</th>
<th>Median Hourly</th>
<th>Mean Hourly</th>
<th>Mean Annual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Industrial Production Managers (11-3051)</td>
<td>1,160</td>
<td>$36.71</td>
<td>$40.30</td>
<td>$83,820</td>
</tr>
<tr>
<td>General and Operations Managers (11-1021)</td>
<td>(Not released)</td>
<td>$33.69</td>
<td>$40.11</td>
<td>$83,440</td>
</tr>
<tr>
<td>Purchasing Managers (11-3061)</td>
<td>390</td>
<td>$38.44</td>
<td>$40.64</td>
<td>$84,530</td>
</tr>
<tr>
<td>Transportation, Storage, and Distribution Managers (11-3071)</td>
<td>990</td>
<td>$34.21</td>
<td>$35.90</td>
<td>$74,670</td>
</tr>
<tr>
<td>Medical and Health Services Managers (11-9111)</td>
<td>2,020</td>
<td>$38.89</td>
<td>$41.45</td>
<td>$86,220</td>
</tr>
<tr>
<td>Logisticians (13-1081)</td>
<td>1,590</td>
<td>$31.33</td>
<td>$31.62</td>
<td>$65,770</td>
</tr>
<tr>
<td>Operations Research Analysts (15-2031)</td>
<td>570</td>
<td>$25.39</td>
<td>$27.04</td>
<td>$56,240</td>
</tr>
<tr>
<td>Statisticians (15-2041)</td>
<td>170</td>
<td>$28.78</td>
<td>$28.65</td>
<td>$59,580</td>
</tr>
</tbody>
</table>

SOC code: Standard Occupational Classification code – see http://www.bls.gov/soc/home.htm
Data extracted on June 11, 2009
Period: May 2008
Student Demand
Student demand is a key factor in the success of a new program. The OM market demand indicators show the potential for a strong market, which we believe will fuel long-term growth of the program as more job opportunities are created and recruiters witness the demand for these students.

Immediate and local student demand is what we have attempted to gauge. The University of Utah has historically had a large portion of commuter students and tends to populate its undergraduate programs with local students. Due to this type of student feeder system, gauging the interest of our current student population through a survey seemed most appropriate.

Survey Information

Participant Search
Students were sent an invitation for an online survey. The students receiving the survey were undergraduate students in current Operations Management courses. These courses were selected because they contain a broad cross-section of business students both from major and class perspectives because these classes are required for all business majors.

Survey Format
The survey was conducted near the beginning of the Spring 2008 semester online using SurveyMonkey. A link was emailed out to each student either through WebCT if the instructor used WebCT heavily or through class email lists if WebCT was not used heavily. The following is the detail of the survey:

Survey Responses

Question 1 – If the Business School offered a four-year undergraduate degree in Operations Management, how interested would you be in earning that degree?

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I would definitely pursue that degree.</td>
<td>2</td>
<td>1%</td>
</tr>
<tr>
<td>I would STRONGLY consider that degree.</td>
<td>30</td>
<td>14.5%</td>
</tr>
<tr>
<td>I would consider that degree.</td>
<td>97</td>
<td>46.9%</td>
</tr>
<tr>
<td>I would not be interested in that degree.</td>
<td>78</td>
<td>37.7%</td>
</tr>
</tbody>
</table>

Question 2 – If you selected that you would not be interested, please select the most applicable reason why you are not interested.

<table>
<thead>
<tr>
<th>Reason</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I am not planning on pursuing a business degree.</td>
<td>1</td>
<td>0.7%</td>
</tr>
<tr>
<td>I have chosen a different degree and am too far along to change.</td>
<td>55</td>
<td>39.2%</td>
</tr>
<tr>
<td>I am not interested in Operations Management.</td>
<td>80</td>
<td>57.1%</td>
</tr>
<tr>
<td>Had I known about this earlier at the Freshman level, I may have opted for it</td>
<td>4</td>
<td>2.9%</td>
</tr>
</tbody>
</table>
Question 3 – Which of the following jobs might you be interested in as a career, if you chose a degree in Operations Management?

<table>
<thead>
<tr>
<th>Job</th>
<th>Percentage</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supply Chain Manager</td>
<td>14.9%</td>
<td>29</td>
</tr>
<tr>
<td>Inventory Manager</td>
<td>16.9%</td>
<td>33</td>
</tr>
<tr>
<td>Materials Manager</td>
<td>13.8%</td>
<td>27</td>
</tr>
<tr>
<td>Products/Project Manager</td>
<td>46.2%</td>
<td>90</td>
</tr>
<tr>
<td>Process Improvement Leader (Six Sigma)</td>
<td>30.3%</td>
<td>59</td>
</tr>
<tr>
<td>Workforce Scheduling Manager</td>
<td>10.8%</td>
<td>21</td>
</tr>
<tr>
<td>Forecasting Manager</td>
<td>29.2%</td>
<td>57</td>
</tr>
<tr>
<td>Management Consulting</td>
<td>62.6%</td>
<td>122</td>
</tr>
</tbody>
</table>

Question 4 – When everything is said and done, would you be interested in the Operations Management Major?

<table>
<thead>
<tr>
<th>Option</th>
<th>Percentage</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>23.4%</td>
<td>48</td>
</tr>
<tr>
<td>No</td>
<td>38.5%</td>
<td>79</td>
</tr>
<tr>
<td>Undecided at this time</td>
<td>38.5%</td>
<td>79</td>
</tr>
</tbody>
</table>

Question 5 – What is your current major? (If double major check first priority).

<table>
<thead>
<tr>
<th>Major</th>
<th>Percentage</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting</td>
<td>26.7%</td>
<td>55</td>
</tr>
<tr>
<td>Business Administration</td>
<td>10.2%</td>
<td>21</td>
</tr>
<tr>
<td>Entrepreneurship</td>
<td>2.9%</td>
<td>6</td>
</tr>
<tr>
<td>Finance</td>
<td>29.6%</td>
<td>61</td>
</tr>
<tr>
<td>Information Systems</td>
<td>7.3%</td>
<td>15</td>
</tr>
<tr>
<td>Management</td>
<td>11.2%</td>
<td>23</td>
</tr>
<tr>
<td>Marketing</td>
<td>11.2%</td>
<td>23</td>
</tr>
<tr>
<td>Non-Business Major</td>
<td>1.5%</td>
<td>3</td>
</tr>
<tr>
<td>Undecided</td>
<td>3.4%</td>
<td>7</td>
</tr>
</tbody>
</table>
Question 6 – What is your current status?

<table>
<thead>
<tr>
<th>Status</th>
<th>Percentage</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freshman</td>
<td>1.5%</td>
<td>3</td>
</tr>
<tr>
<td>Sophomore</td>
<td>26.7%</td>
<td>55</td>
</tr>
<tr>
<td>Junior</td>
<td>52.9%</td>
<td>109</td>
</tr>
<tr>
<td>Senior</td>
<td>18.9%</td>
<td>39</td>
</tr>
</tbody>
</table>

Question 7 – Regardless of your major, the following classes are being taught by Professor Mughal during next Fall and Spring: Mgt-5450 Operations Simulations Mgt-5610 & 5611 Practical Management Science The pre-requisite to both classes is Mgt-3440 (Stat II). Would you be interested in taking these classes as electives for your major?

<table>
<thead>
<tr>
<th>Response</th>
<th>Percentage</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>39.0%</td>
<td>80</td>
</tr>
<tr>
<td>No</td>
<td>31.7%</td>
<td>65</td>
</tr>
<tr>
<td>Undecided at this time</td>
<td>30.7%</td>
<td>63</td>
</tr>
</tbody>
</table>

Results/Conclusions

We had 203 responses to the OM degree survey from students of the introductory statistics and core operations management classes. Over 71% of these responses were from students who identified themselves as juniors or seniors. While not all of these students may be formally part of the upper division, the prevalence of upper classmen may indicate that most of these students have already committed to an existing degree. Nevertheless, 48% indicated that they would consider an OM degree, and 14% indicated that they would strongly consider an OM degree. Of those who indicated that they had no interest in an OM degree, 54% indicated that they had already chosen an existing degree and were too far along to change.

Importantly, 62% of respondents were interested in a career in management consulting, and 46% were interested in a career as a project manager. Both of these occupation categories exhibit employment growth, high starting salaries, and generally require a background in traditional operations management skill sets.

Overall we interpret these results to indicate that there would be a strong interest in an OM degree from students who have not yet committed to another degree program.

Similar Programs

Utah State University offers a degree in OM that has about 20-25 majors per year as reported by one of their faculty members (Vijay Kannan). Weber State University offers a Business Administration degree with an emphasis in supply chain management, which is similar to our current emphasis, but the focus on supply chain makes it much more specialized. Based on our investigation, we did not find any other offerings at other System-of-Higher-Education schools.
We believe that offering an OM major at the University of Utah will complement what Utah State and Weber State do by providing more Utah residents an opportunity to prepare for a career in operations management. The programs at those schools are small and pull from a different student population than does the University of Utah.

**Benefits**

A major in Operations Management will benefit the University of Utah and the Utah System of Higher Education by attracting students to an area of study that has been underrepresented at the University and in the state. The major can appeal to students who are interested in both business and engineering, but have heretofore been unable to find a home for their interests. The major should also allow us to create and strengthen relationships with local industry by providing graduates who can fill a need that has been filled in the past with people from other institutions (mostly outside the state). The salaries that graduates are likely to earn are high, which will hopefully allow alumni to give back to the University in the future.

**Consistency with Institutional Mission**

“The mission of The University of Utah is to serve the people of Utah and the world through the discovery, creation and application of knowledge; through the dissemination of knowledge by teaching, publication, artistic presentation and technology transfer; and through community engagement.” The establishment of the new major will further enhance the already strong contribution of the OM faculty to this mission. As envisioned by President Young, we anticipate that many students will want to have one-on-one experiences with faculty, where they can assist in the research mission. Providing a needed major directly contributes to the teaching and dissemination-of-knowledge missions. Growth in the program should allow us to expand the size of our faculty, which in turn will allow us to offer courses that we have not been able to offer before. More specifically, we will be able to do the following more effectively:

- Discover and disseminate a combination of technical and business knowledge through real-world-oriented learning opportunities, integrated in required, core, elective and executive course work.
- Prepare students to manage and improve supply chain processes to build a competitive advantage through operations.
- Motivate and prepare students for advanced studies in OM
- Support local and state economies with high-quality operations managers who help create value for their employers and establish solid financial foundations with above-average income jobs.

**Section IV: Program and Student Assessment**

**Program Assessment**

When students have completed the new major, they should be able to do the following.

- Exhibit strong oral and written communication skills.
- Approach problems using a systematic, analytical thought process.
- Show an understanding of the operations management function, and its relationship to other functional areas within the firm.
- Be familiar with the business vocabulary used within the operations management field.
- Know how to collect and analyze data.
- Simplify complicated situations using mathematical models.
• Have a mental framework whereby the strengths and weaknesses of a firm’s operations can be analyzed, and whereby the firm can develop viable alternatives in pursuing its goals and objectives.
• Understand the tradeoffs that managers face in emphasizing one goal (such as high capacity utilization) as compared to another goal (such as minimum throughput time).
• Develop competence with specific tools and techniques used by practicing operations management personnel.
• Compare and contrast the strengths and weaknesses of different strategies and techniques, as determined by industry and global operating environment.
• Understand the impact of variability on processes.

There are several potential mechanisms that we can use to provide the assessment.

• In-class presentations by students to be evaluated by faculty and other students.
• In-class exercises to measure whether students have learned fundamental concepts.
• Case analyses test students’ ability to apply concepts.
• Direct surveys and testing of students.
• Certification exams (Certified Project Manager, Certified Quality Manager, etc.)

**Expected Standards of Performance**
These are the same as those listed in the previous section.
Section V: Finance

Please see the notes below the table for explanation of the numbers in the table. Some of the numbers are specific to the major while many others are for the OIS Department as a whole. Without the explanation, the numbers themselves may not seem consistent.

<table>
<thead>
<tr>
<th>Financial Analysis Form</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
<tr>
<td>Students</td>
</tr>
<tr>
<td>Projected FTE Enrollment</td>
</tr>
<tr>
<td>Cost Per FTE</td>
</tr>
<tr>
<td>Student/Faculty Ratio</td>
</tr>
<tr>
<td>Projected Headcount</td>
</tr>
<tr>
<td>Projected Tuition</td>
</tr>
<tr>
<td>Gross Tuition</td>
</tr>
<tr>
<td>Tuition to Program</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5 Year Budget Projection</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
<tr>
<td>Expense</td>
</tr>
<tr>
<td>Salaries &amp; Wages</td>
</tr>
<tr>
<td>Benefits</td>
</tr>
<tr>
<td>Total Personnel</td>
</tr>
<tr>
<td>Current Expense</td>
</tr>
<tr>
<td>Travel</td>
</tr>
<tr>
<td>Capital</td>
</tr>
<tr>
<td>Library Expense</td>
</tr>
<tr>
<td>Total Expense</td>
</tr>
<tr>
<td>Revenue</td>
</tr>
<tr>
<td>Legislative Appropriation</td>
</tr>
<tr>
<td>Grants &amp; Contracts</td>
</tr>
<tr>
<td>Donations</td>
</tr>
<tr>
<td>Reallocation</td>
</tr>
<tr>
<td>Tuition to Program</td>
</tr>
<tr>
<td>Fees</td>
</tr>
<tr>
<td>Total Revenue</td>
</tr>
<tr>
<td>Difference</td>
</tr>
<tr>
<td>Revenue-Expense</td>
</tr>
</tbody>
</table>
Budget Comments
As mentioned earlier in the proposal, the OM major will be housed in the OIS Department. Currently the OIS Department already offers a bachelors degree in information systems (IS). The student counts in the tables above are based on only OM classes; most of the dollar amounts, however, are related to the Department as a whole. We felt that separating the money by area (OM and IS) would be somewhat difficult, but may also misrepresent the finances available for the major. To be clear, the revenue and costs of the department are about evenly split between the OM and IS courses and faculty.

The FTE Enrollment numbers are based on total enrollment in classes that we will offer in OM. The majority of these classes are already offered as part of existing undergraduate, MBA and PhD programs. We assumed that a full time student takes 30 hours per year and hence calculated FTE enrollment as annual SCH values divided by 30. Besides growth in the major, we also anticipate growth in masters programs, which will slightly increase FTE enrollment beyond the increase in the number of majors.

The headcount projections are only for students enrolled in the major and hence are much smaller. We have based the gross tuition amounts on these headcount projections. The Office of Budget and Institutional Analysis shows tuition for a resident student taking 15 hours to be $2507 per semester. It also notes that a $68 per credit hour differential tuition will be assessed for upper division business classes. Hence the annual tuition (for 30 hours) for a resident student is approximately $7050. Using that number and a 5% annual increase in tuition, we computed the gross tuition numbers in the table above (we rounded the results to the nearest 1000).

The 5-Year Budget Projection results are for the OIS Department as a whole. We have assumed that state allocation and differential tuition revenue will grow at 3% per year, which we believe is conservative given our assessment of demand for both OM and IS majors, an added MS in IS, and differential tuition allocated to the new department. The reallocation amount includes other moneys received from the Dean’s Office and Vice President for endowed chairs, teaching awards, etc.

The Salary and Wages value for year 1 is based on current costs of faculty and staff within the Department. For subsequent years, we have assumed salary increases of 3% per year plus a new hire in each of years 2 and 4. As the University pays us directly for the benefits for state allocated salaries, we have left the benefits portion blank. The David Eccles School of Business does pay benefits on those salaries paid by the differential tuition; however, this amount is deducted from our revenue by the Dean’s Office and then transferred to the Senior Vice President. The travel money shown in the table is for faculty research accounts, which are indeed used for travel as well as other research-related activities. Current expenses include typical departmental costs (photocopies, telephone, etc.), but also include some summer research money for faculty that the department pays. The department contribution to summer money is expected to decrease in subsequent years because the School is working on ways to increase summer research money to faculty.

Funding Sources
The program will be funded mainly through state appropriations as well as differential tuition. Because we already have OM classes in place, the student credit hours are already in place and have grown over the last few years. The OM major will be part of a department that includes an Information Systems major, which is another source of revenue. As the program grows and students complete their degrees, we also anticipate a small flow of revenue from alumni contributions.
Reallocations
No resources will be reallocated due to the introduction of the new major.

Impact on Existing Budgets
The only impact that we foresee on existing budgets is to the Operations and Information Systems Department as described above.

Appendix A: Program Curriculum

All Program Courses
In the table below, the majority of the core courses represent those required by the DESB. We have used italic font to highlight the courses that will be taught by OM faculty. The table below does not include intellectual exploration, American institution or diversity required courses.

<table>
<thead>
<tr>
<th>Course Prefix &amp; Number</th>
<th>Title</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Courses</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MATH 1090</td>
<td>College Algebra</td>
<td>3</td>
</tr>
<tr>
<td>MATH 1100</td>
<td>Quantitative Analysis</td>
<td>3</td>
</tr>
<tr>
<td>BUS 1050</td>
<td>Foundations of Business Thought</td>
<td>3</td>
</tr>
<tr>
<td>WRTG 2010</td>
<td>Intermediate Writing</td>
<td>3</td>
</tr>
<tr>
<td>IS 2010</td>
<td>Computer Essentials</td>
<td>3</td>
</tr>
<tr>
<td>ACCTG 2010</td>
<td>Intro to Financial Accounting</td>
<td>3</td>
</tr>
<tr>
<td>ACCTG 2020</td>
<td>Intro to Managerial Accounting</td>
<td>3</td>
</tr>
<tr>
<td>OIS 2340</td>
<td>Business Statistics</td>
<td>3</td>
</tr>
<tr>
<td>OIS 3440</td>
<td>Applications of Business Statistics</td>
<td>3</td>
</tr>
<tr>
<td>ECON 2010</td>
<td>Microeconomics</td>
<td>3</td>
</tr>
<tr>
<td>ECON 2020</td>
<td>Macroeconomics</td>
<td>3</td>
</tr>
<tr>
<td>COMM 1010 or 1020</td>
<td>Elements of Speech Comm or Public Speaking</td>
<td>3</td>
</tr>
<tr>
<td>WRTG 3016</td>
<td>Professional Writing</td>
<td>3</td>
</tr>
<tr>
<td>IS 4410</td>
<td>Information Systems</td>
<td>3</td>
</tr>
<tr>
<td>FINAN 3040</td>
<td>Financial Management</td>
<td>3</td>
</tr>
<tr>
<td>FINAN 3050</td>
<td>Introduction to Investments</td>
<td>3</td>
</tr>
<tr>
<td>MGT 3410</td>
<td>Business Law</td>
<td>3</td>
</tr>
<tr>
<td>OIS 3660</td>
<td>Production/Operations Management</td>
<td>3</td>
</tr>
<tr>
<td>MGT 3680</td>
<td>Human Behavior in Organizations</td>
<td>3</td>
</tr>
<tr>
<td>MGT 5700</td>
<td>Advanced Management</td>
<td>3</td>
</tr>
<tr>
<td>MKTG 3010</td>
<td>Principles of Marketing</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>International Elective I</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>International Elective II</td>
<td>3</td>
</tr>
</tbody>
</table>

Sub-Total 69

Elective Courses (Students select at least 5 of the following)
### New Courses to be Added in the Next Five Years

The following courses are currently being planned and will be offered in the next five years. We already offer similar classes at the MBA level. (In fact, the descriptions provided are those for the equivalent MBA classes. These descriptions will change slightly as we design the classes for undergraduate students.)

<table>
<thead>
<tr>
<th>Prefix &amp; Number</th>
<th>Title</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>OIS 5620</td>
<td>Global Supply Chain Management</td>
<td>3</td>
</tr>
<tr>
<td>OIS 5640</td>
<td>Project Management</td>
<td>3</td>
</tr>
<tr>
<td>OIS 5650</td>
<td>Six Sigma</td>
<td>3</td>
</tr>
</tbody>
</table>

**Descriptions of Proposed Courses**

**OIS 5620 Global Supply Chain Management**

Production of services and goods typically involves many process steps that are spread across multiple firms or departments. In supply chain management (SCM) we examine how to improve performance by considering the actions of multiple members within this chain of activities. SCM addresses not only the flow of materials from upstream to downstream members in the supply chain, but also the flow of information and funds. Advancements in information technology allow the supply chain to achieve performance improvements previously beyond reach, and may change the optimal structure of the supply chain. Class discussion is motivated by case studies that examine successful emerging supply chain strategies.

**OIS 5640 Project Management**

Project management has become the way of life in many industries. Whether it is development of a new product, organizational-wide implementation of a new IT tool, or execution of a merger, project management skills are required to manage cross-functional teams subject to strict deadlines and tight budget constraints. In this course we discuss all three phases of project management: project conception, execution, and closure. Issues related to project leadership, budgeting, and scheduling will be addressed in the course, and case discussions will highlight state of the art project management practices. Project management software will be introduced (possibly including a group project using MS Project Software).
Six Sigma is a philosophy and set of concrete tools designed to reduce variation in all critical processes to achieve continuous and breakthrough improvements that impact the bottom line of organization and increase customer satisfaction. In this course, we will study the five phase DMAIC (Design-Measure-Analyze-Improve-Control) approach in detail with a combination of lecture, small group breakout sessions, and hands-on practice. Course topics will include a review of statistics, process improvement tools, statistical process control, measurement system evaluation, capability analysis and design of experiments. Statistical software such as Minitab will be required and used throughout the class.

### Appendix B: Program Schedule

The following is a suggested class schedule—by prefix, number, title, and credit hours.

<table>
<thead>
<tr>
<th>Course Prefix &amp; Number</th>
<th>Title</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FALL YEAR 1</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PHIL</td>
<td>Philosophy (Humanities) IE Class</td>
<td>3</td>
</tr>
<tr>
<td>PSYCH, SOC or ANTHRO</td>
<td>Social Science IE Class</td>
<td>3</td>
</tr>
<tr>
<td>MATH 1090</td>
<td>College Algebra</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Fine Arts IE Class</td>
<td>3</td>
</tr>
<tr>
<td>WRTG 2010</td>
<td>Intermediate Writing</td>
<td>3</td>
</tr>
<tr>
<td><strong>SPRING YEAR 1</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MATH 1100</td>
<td>Quantitative Analysis</td>
<td>3</td>
</tr>
<tr>
<td>BUS 1050</td>
<td>Foundations of Business Thought</td>
<td>3</td>
</tr>
<tr>
<td>IS 2010</td>
<td>Computer Essentials</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Science IE Class</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>American Institutions Course</td>
<td>3</td>
</tr>
<tr>
<td><strong>FALL YEAR 2</strong></td>
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<td></td>
</tr>
<tr>
<td>ACCTG 2010</td>
<td>Intro to Financial Accounting</td>
<td>3</td>
</tr>
<tr>
<td>OIS 2340</td>
<td>Business Statistics</td>
<td>3</td>
</tr>
<tr>
<td>ECON 2010</td>
<td>Microeconomics</td>
<td>3</td>
</tr>
<tr>
<td>COMM 1010 or 1020</td>
<td>Elements of Speech Comm or Public Speaking</td>
<td>3</td>
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<tr>
<td></td>
<td>Fine Arts IE Class</td>
<td>3</td>
</tr>
<tr>
<td><strong>SPRING YEAR 2</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACCTG 2020</td>
<td>Intro to Managerial Accounting</td>
<td>3</td>
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<tr>
<td>ECON 2020</td>
<td>Macroeconomics</td>
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<tr>
<td>OIS 3440</td>
<td>Applications of Business Statistics</td>
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<tr>
<td>WRTG 3016</td>
<td>Professional Writing</td>
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<td></td>
<td>Science IE Class</td>
<td>3</td>
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<td><strong>FALL YEAR 3</strong></td>
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<td></td>
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<tr>
<td>FINAN 3040</td>
<td>Financial Management</td>
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<tr>
<td>OIS 3660</td>
<td>Production/Operations Management</td>
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</tr>
<tr>
<td></td>
<td>Diversity Requirement Course</td>
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<td></td>
<td>International Elective I</td>
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<tr>
<td>Course Prefix &amp; Number</td>
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<td>Credit Hours</td>
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<tr>
<td><strong>SPRING YEAR 3</strong></td>
<td></td>
<td></td>
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<tr>
<td>FINAN 3050</td>
<td>Introduction to Investments</td>
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</tr>
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<td>MGT 3410</td>
<td>Business Law</td>
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<tr>
<td>MGT 3680</td>
<td>Human Behavior in Organizations</td>
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<tr>
<td>MKTG 3010</td>
<td>Principles of Marketing</td>
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<tr>
<td>OIS 5660</td>
<td>Operations Strategy</td>
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<tr>
<td><strong>FALL YEAR 4</strong></td>
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<tr>
<td>MGT 5700</td>
<td>Advanced Management</td>
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<tr>
<td>IS 4410</td>
<td>Information Systems</td>
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<tr>
<td>OIS 5450</td>
<td>Simulation of Business Processes</td>
<td>3</td>
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<tr>
<td>OIS 5670</td>
<td>Managing Service Operations</td>
<td>3</td>
</tr>
<tr>
<td><strong>SPRING YEAR 4</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OIS 4650</td>
<td>Principles of Quality Management</td>
<td>3</td>
</tr>
<tr>
<td>OIS 5610</td>
<td>Practical Management Science</td>
<td>3</td>
</tr>
<tr>
<td>OIS 5630</td>
<td>Operations Resource Planning</td>
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</tbody>
</table>
Appendix C: Faculty Bios

Krishnan S. Anand is Associate Professor of Operations Management at the David Eccles School of Business (DESB) at the University of Utah. Prior to joining the DESB faculty, he was a faculty member at the Wharton School, University of Pennsylvania, and the Kellogg Graduate School on Management, Northwestern University. Dr. Anand received a B.Tech in Computer Science from the Indian Institute of Technology (IIT) (Madras), an M.S. in Management Science from the Simon School of Business Administration, University of Rochester and his Ph.D. from the Stanford Graduate School of Business, Stanford University, with a concentration in Operations and Information Management.

Dr. Anand's research spans the areas of Operations / Supply Chain Management as well as the economics of Information Systems, and the interface of these two disciplines. His specific interests are in the interplay of Inventories, Information and Incentives in Supply Chains, and in Supply Chain Design and Management informed by these considerations. He also has ongoing research on strategic issues in e-Supply Chains, e-Procurement, Business Process Outsourcing and the optimal design of firms' Information Systems. Dr. Anand has consulted with a variety of firms in the high-tech sector, and serves on the advisory boards of a number of Hi-Tech startups. Prior to his academic career, Dr. Anand worked in the Hi-Tech arena in a variety of positions. He was the co-founder and director of Juggernaut Systems Consultants, a consultancy firm specializing in turnkey software projects, executive training programs, and state-of-the-art systems software.

Tariq Mughal (Lecturer) comes to DESB with fifteen years of experience in the aerospace industry. His experience constitutes in the areas of engineering analysis, project management, business development, finance and program management. While he was at United Airlines in San Francisco he developed a budget of $2.2 Billion dollars for the acquisition and assimilation of U.S. Airways maintenance operations. He has masters in Mechanical Engineering and an MBA from University of Utah. His bachelors are in mathematics with emphasis in statistics. His primary responsibility at DESB is to teach undergraduate statistics classes and manage that program.

Taylor Randall is Dean of the David Eccles School of Business and has served on the faculty of the University of Utah’s school of Accounting for the past ten years. As a member of the school’s faculty he has been named a George Eccles emerging scholar as an assistant professor and a faculty fellow as an associate professor. He has served as a director for the University Venture Fund since 2003, during which time the Venture Fund has become the largest independent student-run venture in the country at over $18.3 million and has accepted invitations to serve as a visiting faculty member at INSEAD, the Wharton School of Business and Washington University

Randall’s research interests focus on economic and performance impact of operational strategies, strategic performance measurement, product variety and supply chain complexity and econometric research in operations management. He is widely published in journals on operations management and marketing. His professional honors include the Brady Superior Teaching Award from the University of Utah and the Wharton Teaching Award. Dean Randall holds a bachelor's with honors in accounting from the University of Pennsylvania.

Glen Schmidt is Associate Professor of Operations Management. His research interests include product innovation, new product development, and supply chain management. He has worked inside and/or studied
firms in various industries including high-tech, heavy-duty equipment, automotive, and oil. Both his research and teaching materials have been recognized for their excellence by the Institute for Operations Research and the Management Sciences (INFORMS).

**Jeff Stratman** is an Associate Professor of Operations Management. He received his Ph.D. in Business Administration with a concentration in Operations Management from the University of North Carolina at Chapel Hill in 2001. He holds a B.S.E. in Mechanical and Aerospace Engineering from Princeton University. His research interests include operations strategy, the strategic use of information systems for supply chain management, enterprise resource planning (ERP) systems, and management of technology. He has published in Production and Operations Management, the Journal of Operations Management, Decision Sciences, R&D Management and Supply Chain & Logistics Journal, and has presented papers at national meetings of the Institute for Operations Research and the Management Sciences (INFORMS), the Decision Sciences Institute (DSI), and the Production and Operations Management Society (POMS). He is a senior editor for Production and Operations Management, and a member of the editorial review boards of the Journal of Operations Management, and Decisions Sciences. He was a member of the faculty of the College of Management at the Georgia Institute of Technology from 2000-2006. Prior to joining Georgia Tech, he had six years of experience as a manufacturing systems consultant with Andersen Consulting (now Accenture). He is certified in Production and Inventory Management through the American Production and Inventory Control Society (APICS).

**Sriram Thirumalai** is an Assistant Professor in the Operations and Information Systems Department at the David Eccles School of Business, University of Utah. Sriram holds a Bachelor's in Metallurgical Engineering from the Indian Institute of Technology (IIT) Madras, a Master of Science in Statistics from the University of Minnesota, and a Ph.D. in Operations Management from the University of Minnesota. Sriram's research interests are in the areas of Management of Technology, Supply Chain Management, Operations Strategy, and Health Care Operations. Sriram's research has appeared in the Journal of Operations Management and Electronic Markets. He serves a reviewer for various journals including Journal of Operations Management, Production Operations Management Journal, and IEEE Transactions.

**Weiyu Tsai** is an Associate Professor (Lecturer) of Operations Management. His research interests are in the areas of new product-service development and project management. Specifically, he studies the topics of design of new product-service bundle, new product preannouncement, design competition, and project scheduling and resource allocation. His teaching interests are in the areas of management science and operations management.

**Don G. Wardell** is Professor and Chair of the Department of Management at the University of Utah's David Eccles School of Business (DESB). He received BS and MS degrees in Metallurgical Engineering from the University of Utah, and a Ph.D. degree from Purdue University’s Krannert Graduate School of Management. Dr. Wardell has taught at both the undergraduate and graduate levels, including teaching classes in Spanish at INCAE in Costa Rica. Dr. Wardell was honored with the University of Utah’s Distinguished Teaching Award, the DESB’s Masters Teaching Excellence Award, the Brady Superior Teaching Award, and the Marvin J. Ashton Award for Excellence in Undergraduate Teaching. His research interests are mainly in the areas of quality management and Six Sigma, and especially statistical process control. He has served as an associate editor for Technometrics, is a member of the editorial review boards of Production and Operations Management and IIE Transactions on Quality and Reliability and reviews articles for numerous journals.
Appendix D: Sample Industry Job Opportunities

In this appendix is listed information from various job postings on Operations Management. Descriptions of the occupation codes given earlier are also provided.

Zrii: Buyer/Inventory Forecast Analyst

Information
Job ID: 20716
Job Title: Buyer / Inventory Forecast Analyst
Job Reference Num:
Organization Name: Zrii
Referenced Schedule:
Wage/Salary: $37,000 – 40,000
Job Description: SUMMARY
Analyzes sales numbers, monthly demand for sales, and inventory levels to ensure orders are placed to replenish stock. Will use MRP knowledge to cut purchase orders for JIT production. Provides reports to show sales and production data to ensure proper inventory levels.
ESSENTIAL DUTIES AND RESPONSIBILITIES include the following.
Other duties may be assigned.
- Plans and manages production schedules to meet customer delivery requirements and best utilize the company’s productive capacity.
- Responsible for the analysis of sales order data with respect to capacity planning and material requirements.
- Responsible for the management of inventory levels, schedules and availability of selected item, either manufactured or purchased, to meet production schedules.
- Complete shipping information and delivery date.
- Receive and review Sales Orders against current requirements
- Release Purchase Orders for production material, packaging, components, raw materials, and finished goods.
- Interface with manufacturing personnel and multiple departments on material status and production planning issues.
- Enter data for quantities of parts issued and transferred between locations, inventory and cycle count adjustments, into computer database.
- Receive and issue finished goods into computer database.
- Troubleshoot quantity discrepancies with manufacturing and inspection personnel.
- Record and monitor all items with shelf-life daily and notify appropriate personnel when material has expired.
- Prepare monthly reports for cycle count and pick-lists count for monthly highlights.
- Prepare and participate in yearly physical inventory.

COMPETENCIES
To perform the job successfully, an individual should demonstrate the following competencies:
- Analytical – Synthesizes complex or diverse information; Collects and researches data; Uses intuition and experience to complement data; Designs work flows and procedures.
• Problem Solving – Identifies and resolves problems in a timely manner; Gathers and analyzes information skillfully; Develops alternative solutions; Works well in group problem solving situations; Uses reason even when dealing with emotional topics.

• Change Management – Develops workable implementation plans; Communicates changes effectively; Builds commitment and overcomes resistance; Prepares and supports those affected by change; Monitors transition and evaluates results.

• Cost Consciousness – Works within approved budget; Develops and implements cost saving measures; Contributes to profits and revenue; Conserves organizational resources.

• Judgment – Displays willingness to make decisions; Exhibits sound and accurate judgment; Supports and explains reasoning for decisions; Includes appropriate people in decision-making process; Makes timely decisions.

• Planning/Organizing – Prioritizes and plans work activities; Uses time efficiently; Plans for additional resources; Sets goals and objectives; Develops realistic action plans.

*Qualifications – IF a degree is required, you MUST include degree level (BS, MS, PhD) and major(s):

QUALIFICATIONS
To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and/or ability required. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

EDUCATION AND/OR EXPERIENCE
Associates’s degree and one to two years related experience and/or training; or equivalent combination of education and experience.

COMPUTER SKILLS
To perform this job successfully, an individual must be computer literate and should have a strong knowledge of Microsoft Excel Spreadsheet software.

JOB KNOWLEDGE, SKILLS AND ABILITIES
• Must possess solid analytical skills in forecasting and anticipating production needs and capabilities.
• Ability to solve practical problems and deal with a variety of changing situations under stress.
• Must be detail oriented and pay close attention to accuracy.
• Ability to properly handle confidential information and records.
• Able to analyze information gathered in order to identify potential problems or discrepancies.

*Application Instructions: Apply by email at jobs@zrii.com
Please put Buyer/Inventory in the subject line, Thanks.

Posting Information
*Job Location(s): Draper, UT
Job Category (Preferred Method):
Business/Finance/Economics
Management
Minimum GPA:
Graduation Start:
Graduation End:
Degrees: Bachelor’s
*Majors: ALL MAJORS
*Post Date: 04/04/2008
*Expiration Date: 05/04/2008
Sharp Analytics: Business Intelligence Analyst

We are a rapidly growing services and technology division of iCrossing, the largest privately-held digital marketing company in the United States. Sharp Analytics is based in Salt Lake City, with analysts in Scottsdale, AZ, Chicago, and New York. We do consulting work, without the extensive travel and instability of normal consulting organizations. If you are looking for variety and fast-paced, interesting work, take a look at Sharp Analytics.

Job Description:
As a member of the Sharp Analytics Business Intelligence practice you will be responsible for systems analysis, design, and implementation of reporting and analytics systems. You will help provide technical support to the sales staff. You will meet with clients to identify project requirements, develop project plans and schedules, write, test and implement software according to the client’s specifications. You will be required to interact with people at many levels within an organization, from the CEO to applications developers.

Job Functions:

- Interact with clients to establish applications and systems requirements for assigned projects.
- Create design specifications using current techniques and tools or techniques and tools required by the client.
- Establish timelines for project milestones.
- Develop SQL reports and reporting dashboards per customer specifications.
- Keep current with the latest versions of Business Intelligence software, techniques and practices. Research and develop new ideas in Business Intelligence and Enterprise Reporting strategies.
- Supervise projects and coordinate technical resources as needed within the scope of the project.
- Work within the development team to foster good communication throughout the project life cycle.

Skills needed:
Oracle is the foundation of all of our systems. The candidate should have some knowledge of SQL and relational database concepts. We also look for:

- Ability to deal with complex situations and collaborate effectively with local and remote personnel in order to provide fast and effective problem resolutions.
- Superior communication skills.
- Ability to work in a fast-paced environment.
- Must be team-oriented, possess excellent organizational and written skills, and demonstrate the ability to communicate with either a software developer or business audience.
Education and Experience Required:
The candidate should have (or be close to completing) a Bachelors or Masters degree in either Information Systems, Business Administration, Accounting or Statistics. He or she should also have 3+ years of proven success developing analysis or reports to answer strategic business questions.

Description of Occupation Codes Related to Operations Management

11-1021 General and Operations Managers

Plan, direct, or coordinate the operations of companies or public and private sector organizations. Duties and responsibilities include formulating policies, managing daily operations, and planning the use of materials and human resources, but are too diverse and general in nature to be classified in any one functional area of management or administration, such as personnel, purchasing, or administrative services. Include owners and managers who head small business establishments whose duties are primarily managerial. Exclude “First-Line Supervisors/Managers of Retail Sales Workers” (41-1011) and workers in other small establishments.

11-3051 Industrial Production Managers

Plan, direct, or coordinate the work activities and resources necessary for manufacturing products in accordance with cost, quality, and quantity specifications.

11-3061 Purchasing Managers

Plan, direct, or coordinate the activities of buyers, purchasing officers, and related workers involved in purchasing materials, products, and services. Include wholesale or retail trade merchandising managers and procurement managers.

11-3071 Transportation, Storage, and Distribution Managers

Plan, direct, or coordinate transportation, storage, or distribution activities in accordance with governmental policies and regulations. Include logistics managers.

11-9111 Medical and Health Services Managers

Plan, direct, or coordinate medicine and health services in hospitals, clinics, managed care organizations, public health agencies, or similar organizations.

13-1081 Logisticians

Analyze and coordinate the logistical functions of a firm or organization. Responsible for the entire life cycle of a product, including acquisition, distribution, internal allocation, delivery, and final disposal of resources.

15-2031 Operations Research Analysts

Formulate and apply mathematical modeling and other optimizing methods using a computer to develop and interpret information that assists management with decision making, policy formulation, or other
managerial functions. May develop related software, service, or products. Frequently concentrates on collecting and analyzing data and developing decision support software. May develop and supply optimal time, cost, or logistics networks for program evaluation, review, or implementation.

15-2041 Statisticians

Engage in the development of mathematical theory or apply statistical theory and methods to collect, organize, interpret, and summarize numerical data to provide usable information. May specialize in fields, such as bio-statistics, agricultural statistics, business statistics, economic statistics, or other fields. Include mathematical statisticians.
Institution Submitting Proposal: University of Utah

College, School or Division in Which Program/Administrative Unit Will Be Located: David Eccles School of Business

Department(s) or Area(s) in Which Program/Administrative Unit Will Be Located: Operations and Information Systems

Program/Administrative Unit Title: Operations Management Major

Recommended Classification of Instructional Programs (CIP) Code: 52.0205

Certificate, Diploma and/or Degree(s) to be Awarded: Bachelor of Science

Proposed Beginning Date: 20 August 2009

Institutional Signatures (as appropriate):

President: ____________________________
Michael K. Young

Chief Academic Officer: ____________________________
David W. Pershing

Department Chair: ____________________________
Don G. Wardell

Dean or Division Chair: ____________________________
Taylor Randall

Date: 7 October 2009
Dear Council Members:

I support the proposal from the David Eccles School of Business with the College of Engineering I support the proposal from the David Eccles School of Business with the College of Engineering to create a major in Operations Management (OM). I have met Executive Committee and the Committee also supports the pro-

Mechanical Engineering during a year of budget cuts. Mechanical and Civil Engineering (which has an Engineering Management Masters Degree), are therefore most closely related to the proposed Operations Management Degree. We are trying to broaden our students’ education, and have been encouraging them to get some exposure to business and law. We also offer a course for business and law students, called Emerging Technologies. We believe that some of the courses developed for the new operations management degree will be of benefit to our students. We are also hopeful that the creation of the major will open doors of communication between our faculty and those in the OIS Department for research and curriculum collaboration.

Sincerely,

Richard B. Brown
September 28, 2009

Ed Barbanell  
Associate Dean, Curriculum Administration  
Undergraduate Studies  
Sill 110  

Dear Dr. Barbanell:

The University of Utah Libraries appreciate the opportunity to comment on our ability to support students in a new Bachelor of Science degree in Operations Management. The Libraries are committed to supporting the University and its faculty as they develop programs needed by our students.

As the curriculum mostly comprises existing courses, current collections should be sufficient. A collection of this size and depth satisfies most undergraduate needs. Marriott has an approval plan which automatically provides major English language scholarly books. We provide instantaneous access to new e-books from some of the major publishers in this field.

We encourage faculty to work with subject librarians to build up specific sub-disciplines, such as the three proposed courses, if our collection needs supplementing. Despite budget constraints, we are usually able to order any books necessary to directly support classes.

Journal subscriptions are modified to reflect current teaching and research. Of the dozen titles in Scopus under the general concept of operations management, the University libraries provide access to eleven. Three of those have been added this year through the new Elsevier ScienceDirect license. As the scholarly communication landscape evolves, new options may exist beyond traditional print book purchases and conventional subscriptions. We would like to work with faculty to evaluate the most workable.

Thanks to the state-wide funding received by the Utah Academic Library Consortium (UALC) and to campus Student Computing Task Force funds, our electronic collection is strong in indexes, abstracts, and full-text online databases.

Student difficulties in locating materials often stem not from collection weaknesses, but from the complexities of using a large research library. We offer class presentations and
one-to-one consultations with library specialists who will help students find the most relevant works and suggest the most appropriate search strategies.

We look forward to working with the faculty and students in this new program.

Rick Anderson  
Associate Director  
Scholarly Resources and Collections

Juli Hinz  
Associate Director  
Research and Learning Services

CC: don.wardell@utah.edu
November 9, 2009

TO: David Pesking  
   Senior Vice President for Academic Affairs

FR: John Francis  
   Chair, Undergraduate Council

RE: Minor in Media Studies

At its meeting of Tuesday, October 27, 2009, the Undergraduate Council voted unanimously to approve a proposal from the Department of Communication for a Minor in Media Studies. The proposal is attached.

We are asking you, if you also approve of the proposal, to forward it on to the Executive Committee of the Academic Senate for their consideration.
Proposed Minor in Media Studies
Department of Communication
University of Utah

The minor in Media Studies is designed to serve students who have interests and/or needs to develop enhanced knowledge related to the contemporary media. The Media Studies Minor is appropriate for students who do not major in Communication but who need a systematic program of study as they face an increasingly mediated world.

The Media Studies minor program includes a minimum of 18 credit hours, six of which must be upper division. At least one introductory course must be taken to ensure that students learn basic background concepts and the remaining credits are to be selected from a set of courses that focus on media studies.

The purpose of this minor is to serve students who are interested in pursuing knowledge of media to compliment their major areas of study. Students in a variety of majors see themselves as needing to operate in a mediated environment. This minor is designed to help students understand media effects on individuals, society and culture. Several courses examine the relationship of media and ethnicity, gender, race, and social identity. Other courses emphasize the role of communication technology, new media, social media, and the relationship of audience, content and aesthetics. The minor will help students understand how individuals and communities use, adapt, appropriate and are impacted by media in their personal, family, work, and community lives.

Admission requirements are designed to be consistent with existing University and Department requirements. Students must be undergraduate students in good standing with the University who are pursuing any major other than speech communication or mass communication.

This minor is needed due to heavy student demand. Just under half (46.7 percent) of students enrolled in Communication courses are not Communication majors. While the Department of Communication is at or beyond capacity for serving majors seeking careers in this area, those career-oriented skills courses are not included in the minor. Rather, the minor focuses on courses not fully enrolled and which can provide students some basic critical understanding of media as they pursue other majors. By allowing students to combine Communication courses they are already taking, or to add one or more additional courses, the minor should serve their need for knowledge as well as their need for a marketable credential.

In addition to these primary reasons, it is important to note that the communication discipline is trending toward increasing the number and variety of minors offered. Two general models for minors are evident in the discipline. The first, evident in a number of institutions, is a general communication, media, and/or journalism minor. The second model, evident in other institutions, is offering several minors in more focused sub-disciplines. The range of minors offered through this second model varies depending on available expertise and student demand in particular institutions. (See Appendix A for some examples of both trends). The Department of Communication at the University of Utah proposes the minor in Media Studies as a general minor in keeping with the first model because many students need to understand the media to enhance their major, but do not intend to become professional journalists or media practitioners.
The proposed minor does not include new courses nor does it require additional library resources. Rather, the proposed minor entails the packaging of existing courses that are regularly taught into coherent programs to better ensure that students have the opportunity to pursue media studies in a structured developmental way.

**Media Studies Minor**

Choose 18 credits; 6 must be upper division.

Introductory courses are designed to establish a foundation for three different directions of study: COMM 1500, a basic history and broad understanding of media; COMM 3020, an exploration of new media developments and innovations; COMM 5540, a study of effects of media on societal issues. Students may choose electives to concentrate their study in these areas, or they may broaden their study and choose among all three areas.

**Introductory Courses – choose at least one.**

**1500 Introduction to Mass Communication** (3) Theory, structure, content, functions, and audiences of mass communication media (print, broadcast, film, and new media) in contemporary life. History and technology of media in providing news, opinion, entertainment, and advertising in a democracy.

**3020 Media & Pop Culture** (3) Fulfills Humanities Exploration. Due to television and new media (Internet, blogging, YouTube), popular culture has become a dominant social force in today’s world. This course will study the media that bring us popular culture, the products of popular culture, and the celebrities—movie stars, singers, and athletics—who function as the gods of popular culture.

**5540 Media and Diversity** (3) Cross listed as ETHNC 5540. Fulfills Diversity. Explores theoretical and critical approaches to understanding relationships between media and ethnicity, gender, race, and social identity. Through an examination of contemporary scholarship, lectures and discussions, video screenings, in-class writing, and group presentations, the course provides an integral approach to understanding how media affect the production and consumption of diverse social and intellectual ideas and perspectives.

**Elective Courses – choose other courses from either Introductory or Elective Courses.**

**3645 Living the eLife** (3) Cross listed as UGS 3645. Fulfills Humanities Exploration. What’s your eLife quotient? Do you Facebook, Flickr, Twitter, Skype, blog, text, YouTube, and play World or Warcraft and believe your life is better for it? Many of us are both enthralled and appalled by the rapidly-expanding universe of the new media, and by the increasing cultural pressures to keep up with the latest gadgets. In this course students investigate how individuals and communities use, adapt, appropriate, and are impacted by new media technologies for work, play, and maintaining social ties.

**3770 Cross Cultural Documentary** (3) Fulfills International Requirement. This course is designed to explore the epistemological dimension of cross-cultural documentaries by examining power relations among viewers, subjects, and filmmakers with theoretical implications from both communication studies and visual anthropology. This course not only will deepen a student’s
understanding of critical issues of cultural representation, but also prepare the student to be well-versed communicators in an increasingly cross-cultural environment.

4360 Consuming the Earth (3) For the first time in history, humans threaten the earth. Any effective response to the environmental crisis requires a serious analysis of communication patterns about nature and humanity’s relation to nature. This course will investigate the role of the media in transmitting, popularizing, and distorting environmental information, with special attention to international issues.

4550 Developments in New Media (3) Prerequisite: COMM 1500. Fulfills Upper Division Communication/Writing. An examination of issues, uses, and effects related to digital communication technology.

5200 Persuasion and Political Communication (3) Theory and practice in modern persuasion situations, with emphasis on teaching students to become critical consumers of persuasive messages.

5310 Telecommunication Policy and Management (3) Government and industry regulations applied to operation of broadcast facilities. Practical application of regulations.

5320 Freedom of Expression (3) Legal, political, and philosophical issues in systems of public communication under the First Amendment.

5330 Visual Rhetoric and Political Argumentation (3) Meets with COMM 6330. The course explores the ways audiences and decision-makers write and talk about visual political argumentation in a host of venues, including television, archives, documentaries, billboards, photography, blogs, political campaigns, and museums. The focus will be on both domestic and international political usage of visual rhetoric.

5360 Environmental Communication (3) Cross listed as ENVST 5360. Social construction of the environment and environmental issues through media and other communication processes. How individual and societal choices are shaped in the process.

5420 Contemporary Social Movements (3) Meets with COMM 6420. One or more contemporary social movements are examined with an eye toward assessing communication strategies used by those movements as well as strategies employed to control them. The purpose of the course is to cultivate critical awareness, appreciation, and creative consideration of the role of communication in organizing, controlling, and negotiating resistance in contexts of constraint.

5500 Emerging Technologies (3) Meets with COMM 6500. This course will explore the development, life cycle, and transformation of an emerging technology and how it has or may change the rules of communication in professional and social settings. Students may critique, design, and/or participate in the emerging community. The featured technology will vary. May be taken twice for credit.
5610 IT & Global Conflict (3)  Meets with COMM 6610. This course will examine the impact new information and communication technologies (GPS, Internet, blogging, videogames, and more) are having on various forms of global conflict. This includes state-level warfare, terrorism, peaceful resistance and protest, the emergence of new forms of conflict such as “cyberterror” and “softwar,” as well as impact on international relations in the Information Age.

5620 International Communication (3) Fulfills International Requirement. Examines the forces—physical, social, political, psychological, economic—that influence the movement of news, entertainment, and advertising worldwide. Includes such considerations as censorship, propaganda, media diplomacy, media imperialism. Foreign correspondence, the use of the Internet, cables, and communication satellites.

5630 Mass Communication History (3)  Major historical developments in mass communication; emphasis on people, economics, technology, and societal influences on media environment.

5640 Communication Technology and Culture (3)  This course examines the ideological context of evolving communication technologies as they function to structure, maintain, and alter power relations in contemporary society. Special attention is given to a) social construction of gender, race, national identity, and class by and through communication technology; and b) the ideological valences of recent and emerging communication technologies.

5650 Videogames Studies (3) Meets with COMM 6650. In this course students explore and challenge current topics in video and computer game design, reception, and criticism. Topics vary. May be taken twice for credit.

5660 Media Ethics (3) Prerequisite: COMM 1500. Professional ethics in media; emphasis on news work. Philosophical concepts, moral reasoning, and media values and principles. Current issues through case studies. Institutions through which media have addressed moral dilemmas.

5680 Computer Mediated Communication (3) Meets with COMM 6680. Examination of various discursive communities constituted by/through computing technologies (personal computer, mobile phone, PDA, and other electronic devices). Students analyze and critique use and effects in interpersonal, political, economic, work and educational contexts.

5690 Topics in New Media Studies (3) Meets with COMM 6690. Special Topics in new media. May be taken twice for credit.
Appendix A

Sample of Communication Minors Offered at Peer Institutions

University of North Carolina at Chapel Hill
Writing for the Screen and Stage

Arizona State University:
Minor in Communication
Minor in Media Analysis

University of California at Davis:
Minor in Communication (includes skills and theories)

University of Southern California:
Minor in Communication and the Entertainment Industry
Minor in Interactive Media and the Culture of New Technologies
Minor in Professional and Managerial Communication
Minor in Communication Law and Media Policy
Minor in Global Communication

University of New Mexico:
Minor in Communication
Minor in Journalism

Ohio State University:
Minor in Communication
Visual Design Minor
Communication Technology Minor
Minor in Media and Society

Arizona State University:
Minor in Media Analysis

University of Minnesota:
Minor in Communication

Washington State University: Minors or sequences in:
Advertising
Agricultural Communication
Applied Intercultural Communication
Broadcasting
Journalism
Organizational Communication
Professional Writing
Public Relations
Rhetoric and Professional Writing

University of Iowa:
Minor in Communication Studies
Mass Communication Minor

University of Missouri:
Journalism Minor
University of Minnesota:
   Minor in Communication

Washington State University: Minors or sequences in:
   Advertising
   Agricultural Communication
   Applied Intercultural Communication
   Broadcasting
   Journalism
   Organizational Communication
   Professional Writing
   Public Relations
   Rhetoric and Professional Writing

University of Iowa:
   Minor in Communication Studies
   Mass Communication Minor

University of Missouri:
   Journalism Minor
October 7, 2009

TO: Chuck Wight  
Chair, Graduate Council

FR: John Francis  
Chair, Undergraduate Council

cc: D. Pershing  
M. Hardman

RE: Proposal to Transfer the Elementary Education Undergraduate Degree Program to a Cross-Departmental College Level Program and Discontinue the Department of Teaching and Learning

At its meeting of Tuesday, October 6, 2009, the Undergraduate Council voted unanimously to approve a proposal from the College of Education to transfer its undergraduate Elementary Education program to a cross-departmental College-level program and Discontinue the Department of Teaching and Learning. This requested change is included in a broader proposal soon to be considered by the Graduate Council.
Utah System of Higher Education
R401 Approval of Program Changes

R401 6.3.1 TRANSFER OF PROGRAM (Information Calendar)
DISCONTINUANCE OF PROGRAM (Consent Calendar)

TRANSFER UNDERGRADUATE ELEMENTARY EDUCATION DEGREE TO A
CROSS-DEPARTMENTAL PROGRAM IN THE COLLEGE OF EDUCATION AND
DISCONTINUE THE DEPARTMENT OF TEACHING AND LEARNING

Executive Summary

Action. This request seeks approval to transfer the Elementary Undergraduate Degree at the
University of Utah from the Department of Teaching and Learning to a cross-departmental
College of Education program under the oversight of a Teacher Education Governing Board
consisting of four Department Chairs and the Dean of the College of Education. In doing so, the
College of Education seeks to discontinue the Department of Teaching and Learning and relocate
one tenured faculty member and one tenure-track faculty member to the Department of
Educational Psychology and one tenured faculty member to the Department of Educational
Leadership and Policy. Additionally, one PhD auxiliary clinical faculty member will be
transferred to the Department of Educational Psychology. All of the above faculty members
have agreed to this transfer and the departments have approved their appointments. The proposed
transfer of the elementary undergraduate degree to a cross-departmental College of Education
program will not impact the program requirements, courses and/or credits for the undergraduate
elementary education degree or teacher licensure.

Need. The undergraduate elementary education major is a four-year (8 semesters) cross-
derpartmental program. The courses in this major are taught by faculty in each of the departments
within the College of Education as well as the College of Fine Arts, College of Science, College
of Social and Behavioral Science, and College of Humanities. The program is designed to
effectively prepare candidates to work with students across various age and ability levels, and
from diverse cultural, linguistic, and socioeconomic backgrounds. The college-wide focus of the
elementary education degree reflects the vision of the University of Utah to attract and retain a
diverse faculty of the highest quality who have the desire and responsibility to provide teacher
candidates with the mentoring, coursework, and field experiences that are rigorous and relevant
for successful careers in today’s schools and communities.

In transferring to a cross-department College of Education undergraduate degree in elementary
education, the proposal seeks to establish a Teacher Education Governing Board (TEGB) and a
Faculty Advisory Committee on Teacher Education (FACTE). The TEGB has oversight for 1) curriculum, course design/revision, program requirements, and scheduling for the undergraduate elementary education degree and the professional education core courses/field experiences in the teacher education programs; 2) the appointment, re-appointment review, and promotion of full or part-time auxiliary faculty appointed at the College level with responsibilities in the elementary education undergraduate degree program, and the early childhood, elementary, and secondary licensure programs; and 3) national and state accreditation through the content, process and timelines for teacher licensure programs as mandated by the Teacher Education Accreditation Council and the Utah State Office of Education.

The Faculty Advisory Committee for Teacher Education (FACTE) shall be established as a standing advisory committee to the TEGB. As a standing committee for TEGB, the FACTE is charged to 1) advise and make recommendations to the Governing Board on the conceptual framework of the elementary education undergraduate degree and teacher licensure courses/field experiences in meeting the basic tenets of the University’s teacher education program; 2) the qualifications, responsibilities, and professional development of full and part-time auxiliary faculty teaching and supervising within early childhood, elementary, and secondary licensure programs; 3) development of the national accreditation program inquiry brief and candidate performance assessments; and 4) other relevant issues in the implementation of the elementary education undergraduate degree and teacher licensure programs.

The process for the appointment, re-appointment, review, and promotion of full-time or part-time auxiliary faculty appointed at the college level shall be consistent with University Policy 6-300 and 6-310.

Institutional Impact. The proposed transfer of the elementary education undergraduate degree to a college-wide program will have no affect on student enrollment or program requirements in the College of Education or university departments/colleges. This administrative structure will not require any new or additional faculty, physical facilities, or equipment.

University students who seek to enter the teacher education program at the graduate level will be required to meet the graduate admission standards of one of the departments within the College of Education, College of Science, College of Fine Arts, College of Social and Behavioral Science, as well as be admitted for completion of a teaching license in conjunction with a Masters Degree in a graduate department.

Finances. There are no additional costs associated with the proposal. The transfer will result in an annual cost savings in the implementation of the University’s teacher education programs.
R401.6.3.1 TRANSFER OF PROGRAM (Information Calendar)
DISCONTINUANCE OF PROGRAM (Consent Calendar)

TRANSFER UNDERGRADUATE ELEMENTARY EDUCATION DEGREE TO A
CROSS-DEPARTMENTAL PROGRAM IN THE COLLEGE OF EDUCATION AND
DISCONTINUE THE DEPARTMENT OF TEACHING AND LEARNING

Full Proposal

Section I: The Action

Program Transfer. The College of Education at the University of Utah is seeking
approval to transfer the undergraduate elementary education bachelor's degree currently located
in the Department of Teaching and Learning to a cross-departmental college level undergraduate
degree program. The elementary education undergraduate major/degree would be overseen by
the Teacher Education Governing Board (TEGB). In addition to the undergraduate degree with
teaching licensure in elementary education, the TEBG has oversight of the: 1) early childhood
and secondary education teacher licensure programs; 2) appointment, evaluation, and
retention/promotion of auxiliary faculty providing instruction and field supervision within the
above licensure programs; and 3) Urban Teacher Education Institute (UITE) which serves as the
coordinating unit for teacher education programs within the College of Education. The UITE
also provides coordination of teacher licensure programs for the academic departments offering
teaching majors in early childhood education, (Department of Family and Consumer Studies),
special education (Department of Special Education) and secondary education (Colleges of
Science, Fine Arts, Social and Behavioral Science, Health, and Humanities). (See attached
College of Education Organizational Chart in Appendix A.).

Discontinuance of the Department of Teaching and Learning. With the transfer of
elementary education undergraduate degree to a cross-departmental program within the College
of Education, this proposal seeks to discontinue the Department of Teaching and Learning. The
elementary education program is the only undergraduate degree currently offered within this
department, and the graduate programs and faculty within in the Teaching and Learning
Department have been relocated as follows:

- The Reading and Literacy Masters and PhD Degrees are being transferred to the
  Department of Educational Psychology, Learning Sciences Program, in the College of
  Education. The transfer involves the relocation of two tenure-track faculty members (one
tenured and one untenured) and one and PhD level clinical auxiliary faculty member.

- The Science and Mathematics Education Masters Degree and PhD Programs are being
transferred to an interdisciplinary graduate program within the College of Science and the
College of Education. Two open faculty lines are being transferred to this
interdisciplinary cross-college program which will also involve establishing a new
University Center for Science and Math Education.

In addition to the relocation of the above graduate programs and faculty, one tenured faculty
member with expertise in child development, prevention education, and character education, will
be relocated to the Department of Educational Leadership and Policy within the Teacher
Leadership Program. All of the above faculty members have agreed to this transfer and both
departments have approved their appointments.

Relocation of Currently Admitted Graduate Students in the Department of Teaching and
Learning to New Graduate Departments. Currently admitted master’s and doctoral students in
the Department of Teaching and Learning will transfer to a department in which their graduate
advisor/committee chair has been relocated. The receiving departments (Ed Psych in the College
of Education and Family and Consumer Studies (FCS) in the College of Social and Behavioral
Science) have agreed to accept T&L graduate students into their respective masters or doctoral
degree programs without additional admissions, coursework, or program requirements. These
“pipeline” students will be given the option of receiving a degree that identifies them with the
receiving department (e.g., Educational Psychology or FCS) or the Department of Teaching and
Learning. As per agreement with the Graduate School, students will make the decision as to
which department they wish to affiliate in the awarding of their degree by the end of the 2009-
2010 academic year. If a pipeline student chooses, the Department of Teaching and Learning as
the department which will award the degree, the student must complete all program requirements
within three academic years (by the end of spring semester 2013) or the degree will be awarded
by one of the receiving departments (Ed Psych or FCS).

Plan for Graduate Student Admission in the 2010-2111 Academic Year. Applicants
seeking admission to a master’s degree program with teaching license beginning in the 2010-
2111 academic year will be able to do so as follows:

Early Childhood Education: Department of Family and Consumer Studies

Elementary Education: Graduate Programs within the College of Education
   EdPsych: Reading & Literacy Masters Degree w/Teaching License
   ELP: Teacher Leadership Masters Degree w/ Teaching License
   SpEd: Special Education Masters Degree w/Teaching License.

Secondary Education: (Applicants must have completed the requirements for a major or minor
within a content discipline(s) prior to admission.) ECS Masters Degree w/ License.

Applicants seeking admission to a T&L doctoral degree program beginning in the 2010-2111
academic year will apply to one of the existing doctoral programs in the academic departments in
the College of Education.
transferred to an interdisciplinary graduate program within the College of Science and the College of Education. Two open faculty lines are being transferred to this interdisciplinary cross-college program which will also involve establishing a new University Center for Science and Math Education.

In addition to the relocation of the above graduate programs and faculty, one tenured faculty member with expertise in child development, prevention education, and character education, will be relocated to the Department of Educational Leadership and Policy within the Teacher Leadership Program. All of the above faculty members have agreed to this transfer and both departments have approved their appointments.

Relocation of Currently Admitted Graduate Students in the Department of Teaching and Learning to New Graduate Departments. Currently admitted master’s and doctoral students in the Department of Teaching and Learning will transfer to a department in which their graduate advisor/committee chair has been relocated. The receiving departments (Ed Psych in the College of Education and Family and Consumer Studies (FCS) in the College of Social and Behavioral Science) have agreed to accept T&L graduate students into their respective masters or doctoral degree programs without additional admissions, coursework, or program requirements. These “pipeline” students will be given the option of receiving a degree that identifies them with the receiving department (e.g., Educational Psychology or FCS) or the Department of Teaching and Learning. As per agreement with the Graduate School, students will make the decision as to which department they wish to affiliate in the awarding of their degree by the end of the 2009-2010 academic year. If a pipeline student chooses, the Department of Teaching and Learning as the department which will award the degree, the student must complete all program requirements within three academic years (by the end of spring semester 2013) or the degree will be awarded by one of the receiving departments (Ed Psych or FCS).

Plan for Graduate Student Admission in the 2010-2111 Academic Year. Applicants seeking admission to a master’s degree program with teaching license beginning in the 2010-2111 academic year will be able to do so as follows:

Early Childhood Education: Department of Family and Consumer Studies

Elementary Education: Graduate Programs within the College of Education
    EdPsych: Reading & Literacy Masters Degree w/Teaching License
    ELP: Teacher Leadership Masters Degree w/ Teaching License
    SpEd: Special Education Masters Degree w/Teaching License.

Secondary Education: (Applicants must have completed the requirements for a major or minor within a content discipline(s) prior to admission.) ECS Masters Degree w/ License.

Applicants seeking admission to a T&L doctoral degree program beginning in the 2010-2111 academic year will apply to one of the existing doctoral programs in the academic departments in the College of Education.
Section II: Need

The undergraduate elementary education major is a four-year (8 semesters) cross-departmental program that prepares candidates with evidence-based knowledge and skills through an extensive professional education core. The courses in this major are taught by faculty in each of the departments within the College of Education as well as the Colleges of Fine Arts, College of Science, College of Social and Behavioral Science, and College of Humanities. The program is designed to effectively prepare candidates to work with students across various age and ability levels, and from diverse cultural, linguistic, and socioeconomic backgrounds. As a professional development program in a research extensive university located in an area that is experiencing rapidly changing student and family demographics, a major focus is preparing elementary education candidates to be culturally competent and responsive professionals in an urban setting. The cross-departmental and college-wide focus of the elementary education degree reflects the vision of the University of Utah to attract and retain a diverse faculty of the highest quality who have the desire and responsibility to provide all teacher candidates with the mentoring, coursework, and field experiences that are rigorous and relevant for successful careers in today’s schools and communities.

The professional education core (completed by all students in the elementary education program) was developed by faculty in each of the departments within the College of Education in collaboration with faculty in the College of Science, the College of Fine Arts, the College of Humanities, and the College of Social and Behavioral Science. The professional education core develops a common understanding of the goals and purposes of schooling; knowledge and skills to meet the educational needs of all students in urban schools; collaboration across educators in a school-wide support system; and the use of evidence-based instruction leading to advanced skills in one or more teaching specializations. The Interstate New Teacher Assessment and Support Consortium (INTASC) (2001) calls for a cross-disciplinary core in which every teacher candidate across licensure programs develops understanding of content and pedagogy. Using the INTASC framework and its principles for student-centered learning, the cross-departmental teacher education degree program with teaching license incorporates the following content domains:

* Child, Adolescent, and Human Development (3 credit hours)
* Ethnic Studies, Multicultural/Multilingual Education, and Effective Instructional Approaches for English Language Learners (12 credit hours)
* Foundations Exceptionality & Inclusive Education Students w/Disabilities (6 credit hours)
* Research and Inquiry in Education (3 credit hours)
* Educational Assessment and Data-Based Decision Making (3 credit hours)
* Behavior Management (6 credit hours)
* Communication and Language Development (6 credit hours)
* Reading/Writing Foundations and Methods and Global Children and Adolescent Literature (20 credit hours)
* Math and Science Foundations and Methods (23 credit hours)
* Integrating the Arts into Academic Learning (15 credit hours)
* Using Technology in Diverse Classrooms (4 credit hours)
* Education Law and Policy for Classroom Teachers (3 credit hours)
* Safe Schools, Family, and School-wide Support (3 credit hours)
Upon completion of the professional education core, the undergraduate elementary education candidates complete their B.S. degree with licensure through a two-semester course and field experience sequence (i.e., student teaching or internship) with content emphasis in reading, mathematics, science, social studies, and classroom management.

Section III: Institutional Impact

The proposed transfer of the elementary education undergraduate degree to a college-wide program will have no affect on student enrollment or program requirements in the College of Education or university departments/colleges. This administrative structure will not require any new or additional faculty, physical facilities, or equipment.

*Elementary Education Undergraduate Degree Faculty Governance.* In transferring to a cross-departmental College of Education undergraduate degree in elementary education, the proposal seeks to establish faculty governance through a *Teacher Education Governing Board (TEGB).* The five voting members of the TEGB shall include each of the four department chairs and the dean of the College of Education. The dean serves as the chair of TEGB and is the day-to-day liaison to the Urban Institute for Teacher Education which is the implementation arm of the TEGB. The TEGB is charged with the oversight and approval of:

1) Curriculum, course design/revision, program requirements, and scheduling for the elementary education undergraduate degree and the undergraduate/post-bachelor’s teaching licensure programs in early childhood elementary, and secondary education. Responsibilities include review and approval of new courses and curriculum as well as proposed changes to existing courses prior to submission to the College Council Curriculum Committee.

2) The process and timelines for the review, retention, and promotion of full and part-time auxiliary faculty appointed at the College level. Responsibilities include auxiliary faculty who provide instruction and field supervision in the early childhood, elementary education, and secondary education licensure programs. Auxiliary faculty are appointed and supervised on an annual basis by TEGB and assigned to the Institute for Urban Teacher Education. (Policy and procedures for the appointment, re-appointment, review, and promotion of auxiliary faculty are described in a later section of this document.).

3) Recruitment and appointment of the Director of the Urban Institute for Teacher Education (UITE) who shall work under the supervision of the Dean of the College of Education. The UITE serves as the implementation unit for the teacher licensure programs in early childhood, elementary and secondary education, as well as the undergraduate degree in elementary education. The UITE Director has day-to-day supervisory responsibilities for all full and part-time auxiliary faculty (described above and appointed by the TEGB) and staff (Executive Assistant, Academic Program Advisors, and Receptionist) who are assigned to the Institute. The Director’s programmatic roles shall include the coordination of:
The elementary education undergraduate degree and teacher licensure program courses and curriculum in early childhood, elementary and secondary education with the TEGB, the FACTE and each of the university colleges that offer teaching majors.

- Scheduling of the professional education core and specialization courses across the various teacher licensure programs in conjunction with each department and participating university college.
- School/agency field placements, student teaching, and internships for the elementary and secondary education teacher licensure programs.
- Teaching and supervisory loads for full and part-time auxiliary faculty appointed by the TEGB and assigned to the Institute.
- On-going performance evaluation of the teaching and supervisory performance of auxiliary faculty assigned to the Institute and under the oversight of the TEGB.
- National accreditation content, process and timelines for teacher licensure program as prescribed by the Teacher Education Accreditation Council (TEAC) and the Utah State Office of Education. This shall include development and implementation of the TEAC candidate performance data system and its utility in evaluating teacher education program quality and improvement.
- Professional development opportunities for practicing teachers as part of the UIITE Summer Institute series.
- Professional development for UIITE faculty and staff to promote the mission of teacher education programs at the University of Utah.
- Licensure policies, issues, and curriculum goals in collaboration with faculty from the Utah colleges of education and the Salt Lake Community College.

A Faculty Advisory Committee for Teacher Education (FACTE) shall be established as a standing committee of the TEGB. The FACTE shall consist of five voting members, including both regular and full-time auxiliary faculty. Regular faculty shall constitute the majority of the membership. Four tenure-track or tenured voting members shall be elected by the faculty in each of the college departments (one member per department) and one voting member shall be elected by and from the auxiliary faculty appointed at the College level and assigned to the Urban Institute for Teacher Education. Voting members shall serve a three-year renewable term. At the discretion of the FACTE, additional faculty members within the College of Education and the university may be invited to participate in committee discussions and deliberations.

As a standing committee for TEGB, the FACTE is charged with making recommendations to the TEGB that include, but are not limited to, the following:

1) The effectiveness of the elementary education undergraduate degree and teacher licensure courses and field experiences in meeting the basic tenets of program design, including:
   a) implementation of the integrated program model;
   b) use of evidence-based practice in the design of courses and field experiences;
   c) preparation of teacher candidates to be culturally competent and responsible professionals;
d) analysis of teacher candidate acquisition of knowledge, skills, and dispositions that foster learning for all students;

e) teacher candidate access to course curricula, assignments, and field-based experiences in school or agency settings that reflect cultural and linguistic diversity, as well as the inclusion of students with disabilities;

f) socialization of teacher candidates to the expectations of continuous professional development and improvement; and

g) implementation of a college-wide accountability system that evaluates the quality and impact of program graduates over time.

2) The qualifications, responsibilities, and professional development of full and part-time auxiliary faculty assigned to the Urban Institute for Teacher Education, and teaching and supervising within the elementary education undergraduate degree with licensure, as well as the licensure (pedagogical) courses in early childhood and secondary education.

3) Development of the national accreditation program inquiry brief and candidate performance assessments.

4) Other relevant issues in the implementation of the elementary education undergraduate degree and teacher licensure programs as determined by the TEGB.

Appointment, Re-Appointment, Review, and Promotion of College Level Auxiliary Faculty Appointments in Teacher Education. The TEGB, in conjunction with the FACTE, shall have the responsibility for the appointment, re-appointment, review, and promotion of full-time or part-time auxiliary faculty appointed at the college level and providing instruction and/or field supervision in the early childhood, elementary, and secondary programs. Consistent with University Policy 6-300 (See http://www.regulations.utah.edu/academics/6-300.html, auxiliary clinical appointments are defined as full-time (.75 FTE or above) instructional faculty whose primary professional expertise is in the practice context or whose primary professional responsibility is conducted in a clinical, professional or practicum setting. Auxiliary faculty include part-time adjunct faculty who are instructional and/or advisory faculty whose professional activities do not span the full range of responsibilities of regular faculty members in the college Accordingly, adjunct faculty shall not serve on a full-time basis.

The appointment of auxiliary faculty at the college level shall be consistent with University Policies 6-302 (Appointments) and 6-310 (Appointment, Reappointment & Evaluation of Auxiliary Faculty & Other Instructional Personnel).


In meeting the intent and requirements of 6-302 and 6-310, the following procedures shall be established:

The FACTE (described in an earlier section of this proposal) shall serve in the role of the “Department Appointments Advisory Committee.”

The four department chairs who serve on the TEGB (described in an earlier section of this proposal) shall serve in the role of “Department Chair.”
The Dean of the College shall make the final recommendation following the deliberations of the FACTE and TEGB.

All other levels of appointment are as described in University Policy 6-302.

The continuing role of the University Advisory Council on Teacher Education (UACTE). The UACTE currently exists in policy—As per University PPM, Revised October 31, 2008. See College of Education website: http://www.ed.utah.edu/UACTE/UACTE.htm. The role of UACTE is to assist the College of Education and the other university colleges involved in teacher education in responding to the interests and concerns of the university in matters pertaining to the education of teachers with reference to substantive rather than pedagogical issues. [This Advisory] Council is to be concerned with policy and is not to perform operational functions. The current proposal to establish a cross-departmental elementary education undergraduate degree with licensure does not seek to change the current roles and responsibilities of the UACTE. The relationship of the UACTE to the College of Education is one of counsel and recommendation. The UACTE formulates for the College of Education and other colleges involved in teacher education recommendations for the training of teachers. At the same time, UACTE members serve as a conduit to transmit recommendations of the College of Education and recommendations of the Council on the functioning of the colleges in preparing teachers.

Section IV: Finances

There are no additional costs in the transfer of the undergraduate elementary program to a cross-departmental program under the governance of the Teacher Education Governing Board. Annual cost savings the transfer of the administrative and operational components of the elementary education undergraduate degree and teacher licensure programs to the college level are approximately $250,000 in state-funding.

College, School or Division in Which Program/Administrative Unit Will Be Located: College of Education, University of Utah

Department(s) or Area(s) in Which Program/Administrative Unit Will Be Located: Program/Administrative Unit Title: College of Education

Recommended Classification of Instructional Programs (CIP) Code: __ __ __ __ __ __
Certificate, Diploma and/or Degree(s) to be Awarded: Undergraduate Bachelors Degree in Elementary Education and Institutional Recommendation for Teaching Licensure in Early Childhood, Elementary Education, and Secondary Education

Proposed Beginning Date: 2010-211 Academic Year
APPENDIX A

COLLEGE OF EDUCATION ORGANIZATIONAL CHART FOR

ELEMENTARY EDUCATION UNDERGRADUATE DEGREE W/ TEACHING LICENSE
Organizational Chart for Cross-Departmental Elementary Education Undergraduate Degree with Licensure
September 17, 2009

Dean Michael L. Hardman
College of Education
225 MBH
University of Utah
Campus

Re: College of Education Proposal to Transfer Elementary Education Undergraduate Degree to a College Level Program

Dear Dean Hardman:

I am pleased to indicate my full support of the College of Education’s proposal to transfer the undergraduate elementary education degree with licensure to a college level program and discontinue the Department of Teaching and Learning.

The proposed college-wide governance structure for elementary undergraduate teacher education is fully consistent with the partnership among our two colleges to create an interdisciplinary Center for Science and Mathematics Education with joint faculty appointments and a conceptual framework designed to enhance the quality of the content and instruction for every teacher candidate graduating from the University of Utah. The proposal also enhances opportunities at the graduate level for our two colleges to develop new interdisciplinary graduate programs in science and mathematics education, and provides stronger linkages with related College of Education Research Centers in applied education technology and reading literacy.

Thank you for the opportunity to review this proposal and I look forward to its implementation.

Sincerely,

Pierre V. Sokolsky
Dean, College of Science, and
Professor of Physics and Astronomy
September 8, 2009

Michael Hardman, Ph.D.
Dean, College of Education
University of Utah
Salt Lake City, UT 84112

Re: Letter of Support for College of Education R401 Proposal

Dear Dean Hardman:

We're writing to express our support for the College of Education’s R401 Proposal, as well as to thank you for working closely with the College of Social and Behavioral Science and Department of Family and Consumer Studies throughout the development of the proposal. We agree that the proposal will allow for effective and efficient preparation of our undergraduates to work with students across the full spectrum of age and ability levels, particularly those from diverse backgrounds. The cross-departmental approach is indeed consistent with the University of Utah’s vision to offer future teachers the mentoring, coursework and practical experience essential for success in the classroom.

Family and Consumer Studies is well positioned and prepared to meet the needs of the Department of Teaching and Learning graduate students relocated to the Department, and has agreed to accept the students without additional admissions or program requirements. Please let us know if you need anything additional as the proposal moves forward.

Sincerely,

M. David Rudd
Dean

Cheryl Wright
Chair, Family and Consumer Studies
September 1, 2009

Michael L. Hardman, Dean
College of Education
University of Utah
Campus

Re: R401 Proposal to Transfer Elementary Education Undergraduate Degree to a College Level Program and Discontinue the Department of Teaching and Learning

Dear Mike,

I have reviewed the College of Education proposal to transfer the undergraduate elementary education degree with teacher licensure to a college level program and to discontinue the Department of Teaching and Learning. The college level governance structure for the undergraduate elementary education program as described within the proposal clearly reflects the interdisciplinary nature of the university's redesigned teacher education program. I am pleased to see the strong emphasis on urban education, diversity, cultural competence, and an integrated curriculum model across multiple subject areas, including child development, literacy, mathematics, science, and the arts. This proposal will also serve to further enhance the successful partnership across our two colleges in the delivery of a high quality and evidence-based teaching endorsement in English as a Second Language and the new World Languages Masters Degree Program in Secondary Education.

Thank you for the opportunity to review the proposal. I am pleased to indicate my full support and look forward to continuing the positive and productive relationship across our two colleges in the development and implementation of interdisciplinary degree, licensure, and endorsement programs.

Sincerely,

Robert Newman
Dean, College of Humanities
Associate Vice President for Interdisciplinary Studies

RN/jd
Office of the Dean

August 31, 2009

Michael L. Hardman, Dean
College of Education
University of Utah
1705 Campus Center Drive, Room 225
Salt Lake City, Utah 84112

Re: Support for College of Education Proposal to Transfer Undergraduate Elementary Education Degree to College Level and Discontinue Department of Teaching and Learning

Dear Mike,

I have reviewed the College of Education R401 proposal to establish the undergraduate elementary education degree as an interdisciplinary program at the college level and discontinue the Department of Teaching and Learning. A major component of this proposal is the utilization of a curriculum framework for elementary education that includes the integration of the arts into academic learning for every undergraduate teacher candidate. The College of Fine Arts is pleased to be a partner with the College of Education in the design and implementation of this integrated curriculum model.

As Dean of the College of Fine Arts, I fully support the attached 401 proposal to establish a college level governance structure for the elementary education under the oversight of a Teacher Education Governing Board. The proposal is consistent with the basic tenets of the redesigned teacher education program and will enhance its interdisciplinary emphasis

Sincerely,

Raymond
Raymond Tymas-Jones
Vice President for the Arts
Dean, College of Fine Arts
September 8, 2009

Michael L. Hardman, Ph.D.
Dean, College of Education
University of Utah

Dear Dr. Hardman,

I am writing to indicate my full support for the proposal to transfer the College Undergraduate Elementary Degree with Licensure program to a cross-departmental and cross-disciplinary program in the College of Education. Faculty within departments and the College of Education leadership team have had multiple opportunities to provide feedback and make suggestions regarding this proposal and faculty in my department have expressed their support.

Because of the nature of the redesigned elementary education program, and the number of courses and field experiences that are offered by different departments in the College and across campus, this organizational structure should lend itself to shared commitment towards and responsibility for the elementary education program. I understand that the proposed transfer includes the discontinuation of the Department of Teaching & Learning, and the establishment of the College Education Teacher Education Governing Board, and a Faculty Advisory Committee for Teacher Education that would include a faculty member from teacher education. I am very supportive of working with you and the other department chairs as a part of the TEGB, and of having a faculty member from special education serve on the FACTE. Additionally, I am supportive of the structure of the Urban Institute for Teacher Education as outlined in the proposal; including as the implementation unit for the teacher education programs in early childhood, elementary, and secondary education, as well as the undergraduate degree in elementary education.

Please let me know if I can provide any additional information that would be helpful during the proposal review process. I look forward to continuing collaborative cross-departmental and cross-disciplinary relationships within the College of Education and the University of Utah that support the preparation of the highest quality teachers. It is most critical that our undergraduate and graduate teachers, across teaching licensure and endorsement program areas are well prepared to meet the needs of the increasingly diverse students they will have the privilege of teaching.

www.ed.utah.edu/sped/
Sincerely,

Andrea P. McDonnell

Andrea P. McDonnell, Ph.D.
Professor and Chair
Department of Special Education
College of Education
University of Utah
September 4, 2009

Dean Michael Hardman
College of Education
University of Utah
Milton Bennion Hall

Dear Dean Hardman:

I would like to go on record in being in full support of the programmatic and governance proposals being made by the College of Education relating to the preparation of elementary and secondary teachers at the University of Utah and the discontinuance of the Department of Teaching and Learning. As Dean and in collaboration with the college faculty, you have done a masterful job in constructing this approach and structure to the deliverance of teacher education on our campus. While I served as Dean of the College of Education, a number of discussions were held at various levels to move in a direction like this proposal has reached well beyond what we were discussing and has creatively and effectively brought the entire college, much of the university, and a number of public schools under the umbrella of teacher education. I believe the college, university, and community will greatly benefit from this approach. I encourage the Undergraduate Council, Graduate Council, the University Academic Senate, and Senior Vice President David Pershing to give full approval to the proposal. I personally, as well as the department I represent, will lend full cooperation to this effort.

Sincerely,

[Signature]

David J. Sperry, Interim Chair
Department of Educational Leadership and Policy
College of Education
University of Utah
September 11, 2009

Michael Hardman, Ph.D., Dean
Office of the Dean
College of Education
2nd Floor Milton Bennion Hall
University of Utah
Salt Lake City, UT 84112-9255

Dear Dr. Hardman:

I am writing this letter to offer my support for the establishment of the College of Education Urban Institute for Teacher Education. Specifically, I am supportive of the plan to establish the College Undergraduate Elementary Degree with Licensure, involving the Department of Educational Psychology, as well as others for the purpose of providing cross-disciplinary educational opportunities and training. Further, I am in favor of the proposed governing structure that involves establishing the College Teacher Educational Governing Board (TEGB) and FACTE. Lastly, I support the discontinuation of the Department of Teaching and Learning.

I am looking forward to serving on the (TEGB) and working with other COE department chairs and college administration on this very exciting initiative. Please let me know if there is anything else you need from me at this time.

Sincerely,

Elaine Clark, Ph.D.
Chair and Professor
September 3, 2009

Dean Michael Hardman
MBH 225
College of Education
1705 S. Campus Center Drive
University of Utah

Dear Mike:

I strongly support the proposal to discontinue the Department of Teaching and learning and transfer the undergraduate elementary education degree to a cross-departmental program in the College overseen by a College Teacher Education Governing Board. The new organization promises to heighten the visibility of teacher education in the College and to involve faculty members from all departments in the College in teacher education. I believe it is an important step forward in the achievement College’s mission to prepare future teachers to meet the needs of all students in the Salt Lake Valley and in the state of Utah.

Best,

[Signature]

Harvey Kantor, Professor and Chair
Department of Education, Culture, and Society
College of Education
University of Utah
7 November 2009

A. Lorris Betz
Senior Vice President for Health Sciences
Bldg 550, 5th Floor
Campus

Dear Vice President Betz,

Enclosed is the proposal for a Ph.D. in Pharmacotherapy Outcomes Research and Health Policy which was approved by the Graduate Council on October 26, 2009. Included in this packet are the proposal and signature page.

Please forward this packet to the President’s Office for his signature before being forwarded to the Academic Senate to be placed on the information calendar for the next meeting of the Senate.

Sincerely,

Charles A. Wight
Dean, The Graduate School
Signature Page to Accompany Proposals Providing Board Notification
- This signature page, with all appropriate signatures included, must be attached to proposals submitted for Board notification.

Institution Submitting Proposal: The University of Utah

College, School of Division affected: College of Pharmacy

Department(s) or Area(s) affected: Pharmacotherapy

Change Description: Ph.D. in Pharmacotherapy Outcomes Research and Health Policy

Proposed Beginning Date: Upon Approval

Institutional Signatures (as appropriate):

[Signatures]

Department Chair

Dean College of Pharmacy

Dean Graduate School

Chief Academic Officer

President

November 16, 2009, Date
Proposal for a PhD Program in Pharmacotherapy Outcomes Research and Health Policy

Department of Pharmacotherapy
College of Pharmacy
258 Skaggs Hall
University of Utah
SECTION I: The Request
Pharmacotherapy outcomes are major issues for physicians, pharmacists, and other health professionals. Policy makers, insurance companies, managed care organizations, and patients make significant resource allocation decisions based on pharmacotherapy outcomes research. To prepare scholars capable of analyzing clinical and economic outcomes from pharmacotherapy requires substantial education and training beyond that necessary to practice as a clinician. The Department of Pharmacotherapy at the University of Utah has a rich history of training advanced practice pharmacists, through both the College of Pharmacy’s Doctor of Pharmacy (PharmD) program and Master of Science in Pharmacotherapy program. However, the Department does not currently offer an academic doctoral program (Doctor of Philosophy, or PhD) that specifically trains individuals for research-based careers in outcomes-based pharmacotherapy research. The Department of Pharmacotherapy wishes to expand on the department’s current Master of Science program to form a PhD program in Pharmacotherapy Outcomes Research and Health Policy.

Therefore, the University of Utah requests approval to offer a Doctor of Philosophy (PhD) in Pharmacotherapy Outcomes Research and Health Policy effective Fall 2010.

SECTION II: Program Description
The program in Pharmacotherapy Outcomes Research and Health Policy will train students so that they have a core competency in health economics, epidemiology, research design, and statistics and how these disciplines are applied to health policy decisions. In the first year, students will take required courses in health economics, biostatistics, research design, and epidemiology in preparation for qualifying examinations and development of a dissertation proposal. The goal of this coursework is to expose students to the tools necessary for conducting outcomes research in pharmacotherapy. Following coursework, students will take qualifying examinations and form a supervisory committee for advancement to the dissertation. Students who pass the qualifying examinations will create a dissertation proposal, develop and defend a dissertation that demonstrates their ability to conduct independent scholarship in pharmacotherapy outcomes research.

Program of Study
The doctoral program in Pharmacotherapy Outcomes Research and Health Policy requires a minimum of 66 credit hours. These required credit hours must be taken from five different areas (specific course offering within each area are listed in Appendix A):

1. Pharmacotherapy Core Courses: minimum 11 credit hours required
2. Health and Health Policy Emphasis Courses: 24 credit hours required
3. Research Seminar and Pharmacotherapy Outcomes Journal Club: 1 credit per semester; minimum 8 credit hours required (4 seminar, 4 JC)
4. Dissertation credits: 14 minimum credit hours required
5. Electives to suit the needs of the individual student: 9 credit hours minimum required

Supervisory Committee
Students in the doctoral program in Pharmacotherapy Outcomes Research and Health Policy will form a supervisory committee after successful completion of two semesters of coursework.
(minimum of 18 credit hours). The supervisory committee must consist of five members. Three members must be from the Department of Pharmacotherapy at the University of Utah. One of the members will be designated the chair of the student’s supervisory committee. The two additional committee members must be from outside the Department of Pharmacotherapy. The chair and majority membership must be regular faculty or have a justified exception approved by the Graduate School. The supervisory committee will have the responsibility for approving the student’s academic program, approving and judging the qualifying examination, approving the dissertation subject and final dissertation, and administering and judging the dissertation defense.

Qualifying Examination
Ph.D. Candidates for Pharmacotherapy Outcomes Research and Health Policy will be required to take the qualifying examinations at the completion of a minimum of 3 semesters of course work (minimum 24 credit hours). The proposal topic for the qualifying examination must be approved by student’s supervisory committee. The Qualifying Exam will consist of two parts: a written proposal covering the student’s approved area of emphasis and an oral examination involving a defense of the student’s written proposal. The student’s supervisory committee will be responsible for evaluating and grading the written proposal and judging the accuracy of the oral defense. Students must pass the qualifying examination to advance to candidacy.

Dissertation
Students will be required to submit a dissertation with the results of the student’s dissertation research. The dissertation will be judged and approved by the student’s supervisory committee. Students will be required to perform an oral dissertation defense. At least three weeks before the dissertation defense, the student will submit a written draft of the dissertation to the chair of the supervisory committee who will distribute copies to the supervisory committee.

Institutional Readiness
The Department of Pharmacotherapy conducted its annual strategic planning retreat in December of 2008. The faculty considered the creation of a PhD program one of the main objectives of this retreat. The faculty believe that a PhD program will expand the Department’s research agenda and commitment to outcomes research and health policy and increase the scholarly activity of our faculty.

The Department currently offers an M.S. in Pharmacotherapy; therefore, essential resources such as administrative and technical support are in place. The College of Pharmacy will be conducting a ground-breaking ceremony for a new building in August, 2009. The completion of this new building will allow the outcomes research facilities to meet the space demands of additional future graduate students.

The size of the faculty was a consideration in determining the readiness of the Department of Pharmacotherapy to offer a doctorate degree. The department currently has 7 tenure-track faculty members, 4 research track members and 13 clinical track faculty members who are actively engaged in an ongoing research agenda. The faculty members have established collaborative relationships with faculty members and research facilities in other departments, providing a diversity of opportunities for mentoring and access to research facilities. The Department of Pharmacotherapy faculty members are also in active collaboration with faculty from the Departments of Family and Preventative Medicine, Pediatrics, and Internal Medicine, and many
of these collaborating faculty members have expressed interest in contributing to the training and mentorship of our PhD students. The Department has also been proactive in addressing the faculty size issue and has received blanket exception from Dean Wight for three of our research track faculty members to serve as chairs and majority members of supervisory committees. The Department will also limit enrollment in the doctoral program to no more than 3 new students per year until faculty members can be added to the program.

Faculty
The faculty has a strong record of scholarship that has been steadily increasing over the past several years. The faculty’s research has been extensively published in the peer-reviewed journals, such as *Journal of Managed Care Pharmacy*, *Annals of Epidemiology*, *International Journal of Clinical Practice*, *Journal of Antimicrobial Chemotherapy*, *American Journal of Health System Pharmacy*, *Health Services Research*, *Medical Care*, *Pediatrics*, and *Current Medical Research and Opinion*. Several members of the faculty have received institutional, regional, national and international awards for their research efforts. Our faculty represent senior leadership in numerous national and international professional societies including: the International Society for Pharmacoeconomics and Outcomes Research, Academy of Managed Care Pharmacy, American Society of Health System Pharmacists, Pharmacotherapy Specialty Council, Utah Society of Health System Pharmacists, American Association of Colleges of Pharmacy, American Society of Health-System Pharmacy and American College of Clinical Pharmacy. The demonstrated excellence in scholarship of the department insures that potential Ph.D. students will be immersed in a productive scholarly environment. The following faculty list includes regular, research and clinical faculty who will support the doctoral program:

- **Regular Core Faculty**
  Diana I. Brixner, RPh, PhD
  Michael J. Goodman, PhD
  Arthur G. Lipman, PharmD, FASHP
  Mark A. Munger, PharmD
  Nancy A. Nickman, MS, PhD
  Gary M. Oderda, PharmD, MPH
  Joanne LaFleur, PharmD, MSPH

- **Research Core Faculty**
  Frederick S. Albright, MS, PhD
  Carl V. Asche, PhD, MBA
  Joseph E. Biskupiak, PhD, MBA
  Carrie McAdam-Marx, RPh, MS, PhD

- **Clinical Core Faculty**
  Barbara Insley Crouch, PharmD, MSPH
  Kamila Dell, PharmD, BCPS
  Karen M. Gunning, PharmD
  Brandon T. Jennings, PharmD
  Sarah S. Feddema, PharmD, BCPS
  Lynda H. Oderda, PharmD
  Patricia L. Orlando, PharmD
  William J. Rusho, MS
  Laura Shane-McWhorter, PharmD
No additional professional staff would be needed to support the doctoral program in the department. Because of the limited number of students to be admitted to the program initially, the existing staff in the Department of Pharmacotherapy will be able to provide support to the program. Over time, our Department’s consolidation in a new building in late 2011 will provide increased capacity of our staff to support the graduate program.

Library and Information Resources
Library resources required for a doctoral program include access to pharmaceutical and health outcome journals and other textbooks and reference material related to pharmacotherapy outcomes and health policy. The existing resources of the Eccles Health Science Library are adequate for support of this doctoral program.

Admission Requirements
Applicants for admission to the Program in Pharmacotherapy Outcomes and Health Policy must be admitted by the graduate school and the Department of Pharmacotherapy at the University of Utah. Applicants should have a strong interest in research and teaching. Applicants should also have a master’s or clinical doctoral degree. Exceptional students with a bachelor’s degree and compelling clinical research experience in health sciences will be considered.

The following information must be submitted to the graduate school:
1. Graduate admission application
2. Official transcripts of undergraduate and graduate course work
3. For international students, a Test of English as a Foreign Language (TOEFL) score.

The following information must be submitted to the Department of Pharmacotherapy.
1. A current Curriculum Vitae
2. Report of the Graduate Record Exam taken within the past five years
3. A written statement (less than 1000 words) of research experience and interest, and long-term career goals
4. 3-5 letters of recommendation from individuals with knowledge of the applicant’s potential for success in a doctoral program

Admission to the doctoral Program in Pharmacotherapy Outcomes and Health Policy will require:
1. Acceptance to the graduate school at the University of Utah
2. A minimum grade point average of 3.0 in all college work and a record of the Graduate Record Exam
3. Availability of faculty mentor resources that match the student’s research interests
4. TOEFL score of at least 550, if applicable.

Student Advisement
Upon admission into the doctoral program, each student will be matched with a faculty advisor. This faculty advisor will assist the student in developing a plan of study and will oversee the
composition of a supervisory committee that will be identified after the student’s first year. The supervisory committee must be approved by the faculty advisor and will be responsible for providing additional advisement to the student throughout his or her course of study.

Justification for Graduation Standards and Number of Credits
The total number of credit hours required by the doctoral program in Pharmacotherapy Outcomes and Health Policy (minimum 66 credits), examination processes and dissertation evaluation are consistent with other Ph.D. programs at the University of Utah.

External Review and Accreditation
The PhD program in Pharmacotherapy Outcomes Research and Health Policy is not subject to external review and accreditation, except as required for the University of Utah’s Northwest Accreditation process. The department’s graduate programs abide by the University of Utah Graduate School periodic (6 year) review process that includes both campus and external university reviewers (see Section IV: Program and Student Assessment).

Projected Enrollment
We will admit a maximum of three students per year until faculty resources can be increased. Most of these students will be new students; however, some of our current MS students may be interested in applying for the new PhD program.

<table>
<thead>
<tr>
<th>Year</th>
<th>Student Headcount</th>
<th># of Faculty</th>
<th>Student-to-Faculty Ratio</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
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<td>24</td>
<td>0.125</td>
</tr>
<tr>
<td>2011</td>
<td>3 + 3</td>
<td>24</td>
<td>0.25</td>
</tr>
<tr>
<td>2012</td>
<td>3 + 6</td>
<td>24</td>
<td>0.375</td>
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<tr>
<td>2013</td>
<td>3 + 9</td>
<td>24</td>
<td>.5</td>
</tr>
<tr>
<td>2014</td>
<td>3 + 12</td>
<td>24</td>
<td>.625</td>
</tr>
</tbody>
</table>

Expansion of Existing Program
Not applicable

SECTION III: Need

Institutional Need
The Department of Pharmacotherapy is one of four departments in the College of Pharmacy. The remaining three departments (Medicinal Chemistry, Pharmaceutics/Pharmaceutical Chemistry, and Pharmacology & Toxicology) have long-standing and distinguished PhD programs. As one of the premier research-intensive Colleges of Pharmacy in the US and the only state-supported College of Pharmacy in Utah, Department of Pharmacotherapy faculty wish to contribute to the research and training legacy of the College through development of a PhD program in Pharmacotherapy Outcomes Research and Health Policy. The Department currently offers a Master of Science (MS) in Pharmacotherapy (for consistency, the name of which will be petitioned to change to MS in Pharmacotherapy Outcomes Research and Health Policy when the PhD program proposal is approved) that admits 3-5 students per year. However, no other PhD
level of training in Pharmacotherapy Outcomes and Health Policy or similar degree programs exist in the Western US, except as noted under Similar Programs below (University of Washington and University of Arizona).

The three existing PhD programs in the College of Pharmacy, as the names imply, train PhD students in basic, laboratory-based pharmaceutical sciences. The PhD program in Pharmacotherapy Outcomes Research and Health Policy will train PhD students in the applied sciences of pharmacoeconomics (health economics as applied to medication use), pharmacoepidemiology (epidemiological principles as applied to medication use), and outcomes research (evidence-based use of medications) as relevant to health and medication use policy. At present, no PhD-level training in pharmacotherapy outcomes research exists within the University of Utah, although faculty in complementary departments and PhD programs in Economics, Biomedical Informatics, and Public Health participate in research projects and MS supervisory committees with Department of Pharmacotherapy faculty. Although these other PhD programs potentially provide focused areas of education for students who wish to attain additional education, none of those programs provide further education in evidence-based evaluation of medications and the impact of medication use policy on patient-centered and population-based care.

As described below relative to Labor Market Demand, the Department of Pharmacotherapy has been successful in hiring two new tenure-track outcomes research-focused faculty members this academic year. These hires were the result of two separate searches to fill open tenure track positions – one search was conducted for three years and the second search remained open for a third year. The existence of a PhD program in the Department of Pharmacotherapy will allow the department to recruit our best and brightest PharmD and MS students to continue PhD-level education, in addition to expanding recruitment of PhD students to other institutions for retention as faculty at the University of Utah (“grow your own faculty”). Finally, the College of Pharmacy supports dual-degree programming for Doctor of Pharmacy (PharmD) students, through a program that allows current PharmD students to simultaneously complete both a PharmD and PhD in one of the three existing basic pharmaceutical science PhD programs. At such time that the PhD in Pharmacotherapy Outcomes Research and Health Policy is able to satisfactorily mentor PharmD students in the dual-degree program, Department faculty would also be supportive and encouraging of student participation. The 2005 University of Utah Graduate Council Review of the MS program also recommended that the Department continue to plan for a PhD program.

Professional Need and Labor Market Demand
As outlined above, the Department of Pharmacotherapy conducted two separate tenure-track outcomes research faculty searches for a combined total of five years, while successfully recruiting two tenure-track PhD-level faculty members in that same time period. Numerous national pharmacy education reports on faculty workforce issues [American Association of Colleges of Pharmacy (AACP) 2006/2007 Council of Faculties/Council of Deans Joint Task Force on Faculty Workforce, and American Foundation for Pharmaceutical Education reports and Gateway to Research programs] have noted that although pharmacy education faces the same issues as other disciplines related to a “graying of the faculty,” other market forces are expanding the labor market for PhD-trained pharmaceutical scientists at a time when PhD
programs are already unable to keep up with demand from the pharmaceutical and healthcare industries. This issue is particularly acute in pharmaceutical education, because schools and colleges of pharmacy have increased enrollments and new schools have developed in order to meet the shortage of practicing pharmacists available in the US. Compounding the faculty workforce issue are higher wages paid in the healthcare sector that encourage students to practice pharmacy rather than entertain additional educational opportunities, and shortages of scientists capable of working in industry.

Specifically related to pharmacotherapy outcomes research and the practice of evidence-based medicine, only Ohio State, Arizona, Texas-Austin, and Washington specifically focus on the production of pharmaceutical scientists trained in the methods and analysis of medication-related outcomes research. From 1990 to present, the number of PhDs broadly classified as trained in the “Social and Administrative Sciences” has hovered around 300 individuals [Academic Pharmacy Now, May/June 2008]. Although approximately 40 PhD students per year are produced by the 13 programs outlined below, perhaps 25% of these students (10/year nationally) are trained as pharmacotherapy outcomes researchers. Given recent reports from the Institute of Medicine (IOM) on health professions education (2003) and preventing medication errors (2007), outcomes research and the practice of evidence-based medicine are specifically mentioned as methods which the US health care system can use to improve healthcare and medication use safety. Finally, the National Institutes of Health (NIH) Roadmap for Biomedical Research also specifically mentions “outcomes researchers” as essential to the collaborative, translational science atmosphere inherent is present and future “bench to bedside” research programs. The Department of Pharmacotherapy is uniquely poised to embark on development of a PhD program in Pharmacotherapy Outcomes Research and Health Policy that is not only timely, it will be one of only a few growth areas in the biomedical sciences where the educational enterprise cannot keep up with demand for the product.

Student Demand
Although exact numbers of students who desire PhD-level training in pharmacotherapy outcomes research is difficult to tabulate, former and current departmental MS students who desire PhD-level training are currently referred to University of Utah PhD programs in Economics, Biomedical Informatics or Public Health. Faculty from the Department of Pharmacotherapy currently serve as committee members for both MS and PhD students in these local departments. Current and/or potential students with specific interests in pharmacotherapy outcomes research are referred to one of the PhD programs listed below. Similar national programs with which the proposed program would be competitive are those to which the faculty currently refer students: Arizona, Texas-Austin, and Washington.

Similar Programs
There are no similar programs within the USHE. The 13 programs below (some more productive with regard to graduates than others) are currently available, although only Arizona and Colorado would be considered to be within the Intermountain West. Department of pharmacotherapy faculty are recruited on a national and international basis; the expectation would also be to recruit from local pharmacy school graduates with additional interest in a national and international pool of applicants.
<table>
<thead>
<tr>
<th>Institution</th>
<th>Program</th>
<th>Number of Credit Hrs</th>
<th>Administering Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Ohio State University</td>
<td>MS &amp; PhD Pharmaceutical Administration</td>
<td>135 quarter credits (core, elective, thesis)</td>
<td>Division of Pharmacy Practice and Administration</td>
</tr>
<tr>
<td>University of Arizona</td>
<td>MS &amp; PhD Pharmaceutical Economics, Policy and Outcomes Track</td>
<td>80 semester credits (core, elective, thesis)</td>
<td>Pharmaceutical Sciences Graduate Program</td>
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<tr>
<td>University of Colorado</td>
<td>PhD Pharmaceutical Outcomes Research emphasis area</td>
<td>30 semester credits minimum; research rotations; seminars</td>
<td>Pharmaceutical Sciences Graduate Program</td>
</tr>
<tr>
<td>University of Florida</td>
<td>PhD Pharmacy Health Care Administration; emphasis in pharmacoeconomics,</td>
<td>36 semester credits (core), in addition to emphasis courses and thesis</td>
<td>Department of Pharmacy Health Care Administration</td>
</tr>
<tr>
<td>University of Maryland</td>
<td>PhD Pharmaceutical Health Services Research</td>
<td>30 semester credit core, 12 credits in research emphasis area, thesis</td>
<td>Department of Pharmaceutical Health Services Research</td>
</tr>
<tr>
<td>University of Michigan</td>
<td>PhD Social and Administrative Sciences</td>
<td>36 semester credits (core), in addition to elective courses and thesis</td>
<td>Department of Social and Administrative Sciences</td>
</tr>
<tr>
<td>University of Minnesota</td>
<td>PhD Social and Administrative Pharmacy track</td>
<td>Minimum of 34 semester credits minimum(core), 12 credits minor/supporting program, 24 credits thesis</td>
<td>Graduate Program in Social, Administrative and Clinical Pharmacy</td>
</tr>
<tr>
<td>University of North Carolina-Chapel Hill</td>
<td>PhD Pharmaceutical Outcomes and Policy</td>
<td>46 semester credits (core), in addition to elective courses and thesis</td>
<td>Division of Pharmaceutical Outcomes and Policy</td>
</tr>
<tr>
<td>University of Rhode Island</td>
<td>PhD Pharmacoepidemiology and Pharmacoeconomics</td>
<td>72 semester credits (core, elective, thesis)</td>
<td>Department of Pharmacy Practice</td>
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<tr>
<td>University of South Carolina</td>
<td>PhD Pharmaceutical Sciences Pharmacy Administration option</td>
<td>55 semester credits ), in addition to 12 minor credits and thesis</td>
<td>Department of Pharmaceutical and Health Outcome Sciences</td>
</tr>
<tr>
<td>University of Texas-Austin</td>
<td>MS &amp; PhD Pharmacy Administration</td>
<td>30 Semester Credits for PhD beyond Masters (does not include thesis credits)</td>
<td>Department of Pharmacy Administration</td>
</tr>
<tr>
<td>University of Washington</td>
<td>PhD Pharmaceutical Outcomes Research &amp; Policy</td>
<td>126 quarter credits (core, elective, thesis)</td>
<td>Department of Pharmacy</td>
</tr>
</tbody>
</table>
Collaboration with and Impact on Other USHE Institutions
None. The University of Utah contains the only College of Pharmacy and Department of Pharmacotherapy among the institutions in the USHE.

Benefits
The current thesis-based MS in Pharmacotherapy program admits 3-5 well-qualified students per year, with a graduation rate of 2 students per year (program was updated and re-designed in 2005 to reflect outcomes research focus). One unusual aspect of the current MS program is a programmatic tie to advanced pharmacy practice administrative residencies at University Hospital Pharmacy Services and Intermountain Healthcare Pharmacy Services. These 2-year residency experiences are accredited by the American Society of Health-System Pharmacists (ASHP). Although managed separately through the Department of Pharmacotherapy and the University of Utah Graduate School, exceptional administrative residents are encouraged to complete a concurrent MS in Pharmacotherapy. This collegial arrangement with the two hospitals also provides a level of academic administrative training to administrative residents that is specific to their desired employment sphere: health systems pharmacy practice administration. Practicing pharmacists who completed the MS degree prior to 2005 also successfully work in managed care, pharmaceutical and healthcare industry, government, or academia. Department faculty would also assume that some of these students would be interested in completion of PhD-level studies in Pharmacotherapy Outcomes Research and Health Policy; thus, this program would also provide local pharmacists with options for graduate study that are not currently available beyond the MS-level of training.

Consistency with Institutional Mission
The mission of the PhD in Pharmacotherapy Outcomes Research and Health Policy program is consistent with the University of Utah Mission Statement: “…to serve the people of Utah and the world through the discovery, creation and application of knowledge….,” The graduate program mission will also be consistent also with the University of Utah Health Sciences Center Mission (“To serve the public by improving health and quality of life” accomplished via a commitment to “excellence in education, research and clinical care.”), and the College of Pharmacy Mission statement related to advancing “health care related to optimal medication outcomes through education and training.” As described previously under Institutional Need, the College of Pharmacy has a rich and long-standing tradition of world leaders, both on the faculty, and as graduates of MS and PhD level training. The primary outcome goal of the PhD in Pharmacotherapy Outcomes Research and Health Policy would be to educate productive teachers, researchers and professional thought leaders.

SECTION IV: Program and Student Assessment

Program Assessment
This program is not subject to accreditation from any agency. As a graduate program at the University of Utah, the program will be subject to review from the Graduate Council. In addition, the College of Pharmacy will evaluate the program as it currently evaluates the programs in other departments within the college. This includes:
The faculty of the Department of Pharmacotherapy will use these assessment tools to conduct an internal review of the program on an annual basis. Until the program matures, this review will be conducted informally as a meeting of the core faculty in the PhD program.

**Expected Standards of Performance**

Graduates of the PhD program will have specific knowledge of one of the general areas of outcomes research: epidemiology or economics. These graduates will become researchers, scholars, teachers, thinkers, and planners in academia, government, and industry. The graduates will have the skills required to lead in Universities and other settings where pharmaceutical outcomes research is practiced and taught. Students will acquire these skills through the completion of the graduation requirements. These are:

1. **Coursework:** Students in the PhD program will be expected to complete coursework in health economics, biostatistics, epidemiology, and research design during their first year to develop the tools to conduct independent scholarship in pharmaceutical outcomes research.
2. **Supervisory Committee:** Students will form a supervisory committee after the successful completion of three semesters. This committee will approve electives, approve and judge the qualifying examination and approve dissertation subject, final written dissertation and judge the final oral examination.
3. **Qualifying Examinations:** At the end of the required coursework, students will take a qualifying examination that assesses their knowledge within their specific discipline and of the tools of outcomes research.
4. **Dissertation:** After successful completion of the Qualifying Examination and advancement to candidacy, students will develop a proposal for the dissertation, complete and defend the research.

**Section V: Finance**

**Budget Comments**

The costs associated with the PhD program would be those required for instruction of a second semester of pharmacotherapy outcomes research and stipends for doctoral students. The additional course will be taught by regular faculty within the Department of Pharmacotherapy. The Department has passed pre-proposal screening for $5,000 from the Herbert & Elsa Michael Foundation. If awarded, the money will support startup of the program.

Students will be paid a stipend of $25,000 per year. The students will be funded by 5000 funds, be Research Assistants and will be eligible for Student Tuition Benefit through the Graduate School. The Department will pay any cost of health insurance and tuition not covered by the Student Tuition Benefit Subsidized Insurance Plan.

There will be no additional costs associated with mentoring PhD students. The time required for mentoring can be absorbed into existing faculty FTE. There are no additional costs for space or equipment as space has been requested in the new Pharmacy building design.
Funding Sources

Funding for the stipends will come from the Pharmacotherapy Outcomes Research Center budget.

Reallocation

Not Applicable

Impact on Existing Budgets

No impact on existing budgets is anticipated from this program.

Appendix A: Program Curriculum
Appendix B: Course Descriptions
Appendix C: Supporting Letters
Appendix D: Letter from Dean Wight
Appendix E: Faculty list
APPENDIX A: Program Curriculum

All Program Courses
A minimum of 66 credits past the baccalaureate degree will be required for completion of the PhD program in Pharmacotherapy Outcomes Research and Policy. All students will be required to complete a minimum number of 43 credits in the 4 areas below (Pharmacotherapy Outcomes, Economics, Public Health/Epidemiology, and Research Methods/Biostatistics). In addition, a minimum of 9 elective credits and 14 thesis research credits will be required.

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<td>3**</td>
</tr>
<tr>
<td>PCTH 7151*</td>
<td>Pharmacotherapy Outcomes Research II</td>
<td>3</td>
</tr>
<tr>
<td>PCTH 7XXX</td>
<td>Pharmacoepidemiology</td>
<td>3</td>
</tr>
<tr>
<td>PCTH 7436</td>
<td>Ethical Dilemmas in Pharmacotherapy and Pharmaceutical Sciences</td>
<td>2</td>
</tr>
<tr>
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</tr>
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</tr>
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<td>3</td>
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*New course number and/or upgrade of existing course required for PhD students
**Increase from 2 to 3 credits per semester effective Spring 2010

Suggested Program Electives

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</tr>
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<tr>
<td>FPMD 7110</td>
<td>Methods of Clinical Trials</td>
<td>3</td>
</tr>
<tr>
<td>FPMD 7120</td>
<td>Linear and Logistic Regression Models</td>
<td>3</td>
</tr>
<tr>
<td>FPMD 7140</td>
<td>Applied Multivariate Data Analysis</td>
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<tr>
<td>FCS 5969</td>
<td>Survival Analysis</td>
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<tr>
<td>FPMD 6101</td>
<td>SAS Programming</td>
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<td>FPMD 7120</td>
<td>Methods of Clinical Trials</td>
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### Epidemiology Electives

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<th>Credit Hours</th>
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<td>FPMD 6305</td>
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</tr>
<tr>
<td>FPMD 6301</td>
<td>Occupational and Environmental Epidemiology</td>
<td>3</td>
</tr>
<tr>
<td>FPMD 6340</td>
<td>Infectious Disease Epidemiology</td>
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### Economic Electives

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<td>ECON 6630</td>
<td>Applied Econometrics</td>
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<td>ECON 7590</td>
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New Courses to be Added in the Next Five Years

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APPENDIX A: Program Curriculum

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September 17, 2009

Diana Brixner, RPh, PhD
Professor and Chair
Department of Pharmacotherapy
Executive Director Outcomes Research Center
LS Skaggs Pharmacy Building
30 S 2000 E. Room 201
CAMPUS

Dear Diana:

As Chair of the Department of Physical Therapy I express my enthusiastic support for your pursuit of a PhD program in Pharmacotherapy Outcomes Research and Health Policy. I endorse your proposal's clarity about, and drive toward, addressing the critical need for outcomes and policy related data in health care. Having recently established a PhD program in Rehabilitation Sciences that focuses both on the sciences of rehabilitation and clinical outcomes research in rehabilitation, I share your enthusiasm for producing scientists that address broad health care demands for information about the delivery and results of care.

Being a part of the College of Pharmacy, which has such a strong history of successful research coupled with clinical training, will serve your Department well as you establish this degree and serve your future graduate students. The infrastructure that is already present in the College of Pharmacy bodes well for this program to be a success. The direction of this program as outlined in your proposal demonstrates vision and leadership in health care delivery and assessment that is critical in many areas including pharmacotherapy.

I expect there will be opportunities for us in the Department of Physical Therapy to collaborate with students in your program as they seek to look at a variety of outcomes measures and policies that affect the functional and biomechanical outcomes of patients.

The program you are proposing is timely and your proposal is strong. I look forward to the potential of working with you on additional projects in the future.

Sincerely,

R. Scott Ward, PT, PhD
Professor and Chair
Department of Physical Therapy
July 17, 2009

Charles A. Wight, Ph.D.
Dean of the Graduate School
302 Park Building
Salt Lake City, UT 84112

Dear Dean Wight,

The Department of Pharmacotherapy is finalizing a proposal for a PhD program in Pharmacotherapy to complement our current MS program. This proposal will be sent to the Graduate School in early September. In preparation of submitting the proposal, and in light of the fact that we have fewer PhD-trained regular faculty than most Departments with a PhD program, I am requesting PhD supervisory committee blanket exception to serve as chairs and regular faculty majority for three of our qualifying research faculty. To have this exception to the regular faculty committee rule approved by the Graduate School in advance will strengthen our PhD program proposal by allowing our prospective PhD students to take greater advantage of the knowledge and expertise of these faculty members. This request was originally directed to Dean Chapman in early June. Dean Chapman answered our correspondence, and this modified request is in response to that letter.

Dean Chapman’s letter stated that due to the small number of tenured faculty in our department, several factors would be considered for exception to the chair and majority membership committee rules. We currently have three PhD Research faculty members who meet all of the criteria for exception: (1) they all possess special expertise unique to the department; (2) funding for our PhD students (should the program be approved) will come, in whole or in part, directly from research grants and contracts generated by these faculty members; (3) all have a history of good mentoring; (4) tenured faculty approve and their documented approval is attached.

Therefore, we would like to request blanket approval to serve as chairs and count for the regular majority on any of our PhD committees for the following research faculty members:

Joseph Bikupak, MBA, PhD, Research Associate Professor
Carl Asche, PhD, Research Associate Professor
Carrie McCauley Marx, PhD, Research Assistant Professor

We would then like to proceed with the understanding that chairs and majority membership for our PhD supervisory committees will come from tenured faculty and that PhD research faculty granted blanket exception, and if we feel that an additional exception should be considered, especially for our PharmDs, we will formally request that exception on a case by case basis.

Thank you for your guidance on this issue.

Sincerely,

[Signature]

Diana Brinno, R.Ph., Ph.D.
Professor and Chair
Department of Pharmacotherapy
(801) 581-3182

College of Pharmacy
30 South 9000 East, Room 250
Salt Lake City, Utah 84112
Phone (801) 581-5411
Fax (801) 585-0160

[Approval Stamp]
7/17/09
November 2, 2009

Professor Diana L. Brixner Chair,
Department of Pharmacotherapy
College of Pharmacy
University of Utah
CAMPUS

Dear Professor Brixner,

The Spencer S. Eccles Health Sciences Library is pleased to write a letter of support for the proposal for a Ph.D. degree program in Pharmacotherapy Outcomes and Health Policy within the Department of Pharmacotherapy. I feel certain that the Eccles Health Sciences Library along with the J. Willard Marriott and S.J. Quinney Libraries are able to provide resources and services for this program and that current holding and online resources are adequate to support the program as proposed. All of the University of Utah library collections have evolved to meet the needs of our patrons, with databases, and paper and electronic journals and monographs. Our interlibrary loan department is always ready to secure materials we do not own from libraries all over the country.

Librarians and staff can also provide customized training to program participants to help faculty and students succeed in their use of the materials, as well as assistance in integrating innovative technology tools into the classroom experience. The library encourages faculty to integrate library instruction into their graduate course work and we are excited about our potential contributions to this program’s success.

The libraries have supported the University community with adequate resources, services and technologies for many years and will continue to do so in the future. Again we are pleased to provide support for the Ph.D. degree program in Pharmacotherapy Outcomes and Health Policy at the University of Utah. If I can provide further information or support, please do not hesitate to ask.

Sincerely,

Joan Stoddart
Deputy Director
Proposal for a Joint Degree:  
Juris Doctor and Master of Social Work

Institution Submitting the Proposal:  The University of Utah
Colleges, Schools of Division Affected: The S.J. Quinney College of Law  
The College of Social Work
Change Description: Proposal of a joint Juris Doctor (J.D.) and  
Master of Social Work (M.S.W.) degree
Proposed Beginning Date: Fall Semester 2010

Institutional Signatures

Hiram Chodosh, Dean, S.J. Quinney College of Law

Jannah Mather, Dean, College of Social Work

Charles Wight, Dean, Graduate School

David Pershing, Senior Vice President, Chief Academic Affairs Officer

Michael Young, President
J.D./M.S.W. Joint Degree Program

The S.J. Quinney College of Law and the College of Social Work propose the following program to enable students to pursue both a J.D. degree and an M.S.W. degree simultaneously.

1. Reduction in Overall Credit Requirement

The J.D./M.S.W. program is based on the premise that, because there is complementary intellectual benefit from studying law and social work in a coordinated program, a student enrolled in the joint degree program should be allowed to earn both degrees in less time and with a lower overall credit requirement than a student enrolled in each school or program independently. Accordingly, students enrolled in the joint degree program may count up to 12 credit hours of College of Law course work towards fulfilling the 60 credit-hour requirement of the M.S.W. degree, and may count up to 12 credit hours of M.S.W. course work towards fulfilling the 88 credit-hour requirement of the J.D. degree. Upon completion of both programs, the student earns two separate degrees, a J.D. degree awarded by the College of Law and an M.S.W. degree awarded by the College of Social Work.

Because the overall credit requirements for both degrees may be reduced by up to 24 credit hours, a student enrolled in the joint degree program can expect to complete the two degrees in approximately eight semesters of full-time study. However, as noted in § 2.10 below, a student enrolled in the J.D./M.S.W. Joint Degree Program must complete all J.D. and all M.S.W. requirements before either degree will be awarded.

2. Regulations Governing the J.D./M.S.W. Joint Degree Program

2.1 Application to the J.D./M.S.W. Joint Degree Program

Applicants interested in this program must submit separate admission applications to the College of Law and to the College of Social Work. Each program has its own independent admissions standards, and admission to one program does not ensure admission to the other. However, each program may inform the other when it learns that a prospective student has been admitted to its program.

Applicants interested in pursuing the J.D./M.S.W. joint degree are encouraged to apply to both programs at the same time. Nonetheless, a law student may apply to the M.S.W. program (and thus be eligible to earn a joint degree) prior to completion of the first year of law school. As noted in § 2.2 below, an M.S.W. student who enrolls in the law program after matriculating in the M.S.W. program will have limitations imposed on those M.S.W. credit hours that can count towards the law degree.
2.2 Completion of First Year at the College of Law as Prerequisite for Law Credit for M.S.W. Courses

The College of Law will not give law credit for an M.S.W. course unless the applicant has first successfully completed the first year at the College of Law. This prerequisite means that applicants who start the joint degree program by doing work in the M.S.W. program before completing the first year of law school must delay taking the specific M.S.W. courses they intend to count towards their 15 hours of law credit until after they complete the first year of law school.

2.3 Enrollment in the J.D./M.S.W. Joint Degree Program and Appointment of Faculty Advisors in Both Programs

A student who has been admitted to both the J.D. and to the M.S.W. programs and who wishes to pursue the joint degree program opportunity must file a Joint Degree Enrollment Form with the Registrar of each program. Upon filing this form and its approval by the Associate Dean for Academic Affairs in the College of Law and the M.S.W. Program Director in the College of Social Work, a Faculty Advisor will be appointed in each program to assist the student in planning an overall program of study that takes advantage of the goals of the joint degree program.

2.4 Requirements for Cross-Over Course Credit

A. To earn academic credit towards a law degree for coursework completed in the M.S.W. program:
   1) an M.S.W. course must be pre-approved by the College of Law Faculty Advisor or be included in a list of pre-approved courses adopted by the College of Law’s Associate Dean for Academic Affairs, and that approval must be indicated on the Request to Count M.S.W. Course Credit Toward J.D. Degree Form;
   2) the course must be a graduate level course; and
   3) the student must receive a grade of 3.0 (“B”) or higher in each course.
   Pre-approved College of Social Work Courses that may be counted towards J. D. Requirements shall include up to four (4) credits for completion of the Social Work Advanced Field Practicum II, provided the practicum is completed in a pre-approved Law Clinic placement site and meets all requirements for the law school clinic and the M.S.W. field placement.

B. To earn academic credit towards the M.S.W. degree for coursework completed in the College of Law:
   1) a College of Law course must be pre-approved by the College of Social Work Faculty Advisor or be included in a list of pre-approved courses adopted by the College of Social Work’s MSW Director, and that
approval must be indicated on the Request to Count Law Course Credit Toward M.S.W. Degree Form;
2) the course must be a graduate level course; and
3) the student must receive a grade of 3.0 (“B”) or higher in each course.
In addition to the courses that are pre-approved under 2.4.B.1, the following College of Law courses have been approved for M.S.W. degree credit and can be substituted for M.S.W. courses otherwise required for the M.S.W. degree:
   a) Administrative Law (Law 7300) will exempt the student from the M.S.W requirement of Advanced Social Work Administration/Supervision (3 credits; SW 6132/42/52/62).
   b) A Law Seminar course (Law 7800) will exempt the student from the M.S.W. requirement of Advanced Social Work Policy (3 credits; SW 6231/41/51/61) & Advanced Social Work Research II (2 credits; SW 6432/42/52/62). The student must coordinate with the College of Social Work Faculty Advisor to ensure that the Law Seminar work includes a social policy research focus.

If a student withdraws from either program, only credits completed within the remaining program will count toward that degree. The remaining program may approve credit earned from courses taken in other colleges according to the remaining program’s otherwise applicable policies.

2.5(a) Notification to Associate Dean for Academic Affairs of Enrollment Only in M.S.W. Courses

A student in the J.D./M.S.W. Joint Degree Program who is enrolled only in M.S.W. courses during any semester shall notify the law school’s Associate Dean for Academic Affairs.

2.5(b) Notification to M.S.W. Program Manager of Enrollment Only in College of Law Courses

A student in the J.D./M.S.W. Program who is enrolled only in College of Law courses during any semester shall notify the M.S.W. Program Manager.

2.6 M.S.W. Major Research Paper or Thesis

The M.S.W. program does not currently require that a student complete a major research paper. If such a paper is required in the future for completion of the M.S.W. degree, a research paper completed in a College of Law seminar course or other directed research project may satisfy the M.S.W. major research paper requirement if the student’s M.S.W. Faculty Advisor determines that the paper meets the following requirements:
1) The paper written in the law seminar course (Law 7800) meets all criteria for a major research paper set by the M.S.W. program in terms of length and significance;

2) The law school paper receives a grade of “B” or better; and

3) The subject matter of the paper has significance in the fields of both law and social work.

If a student in the M.S.W. program chooses to write a master’s thesis, the M.S.W. program may appoint the student’s College of Law Faculty Advisor as a member of the thesis committee.

2.7 College of Law Writing Requirement

The College of Law writing requirement will not be waived for students in the J.D./M.S.W. Joint Degree Program, and the M.S.W. major research paper will not satisfy this law school requirement. (However, as noted in § 2.6 above, in certain instances the College of Law seminar paper may satisfy the M.S.W. major research requirement.)

2.8 Completion of Both Programs Required for Award of Each Degree

A student enrolled in the J.D./M.S.W. Joint Degree Program who wishes to count credits taken in one program toward fulfilling the degree in the other program, must complete all requirements of both programs before either degree will be awarded.
M.S.W./J.D. Joint Degree
Typical Curriculum and Timeline

A student completing courses as indicated below should be able to satisfy both degree requirements in four (4) years. The program will reduce approximately 24 credits (one full-time year) from completing a two-year M.S.W. program and a three-year J.D. program separately.

Graduation requirements:
- College of Social Work: 60 credits
- College of Law: 88 credits

1st Year
- College of Law First year courses 30 credits.

2nd Year
- College of Social Work foundation courses (including practicum) 30 credits

3rd Year
- Completion of Social Work 2nd year core requirements

Fall
- SW 6431/41/51/61 Advanced SW Research I 2 credits
- SW 6031/41/51/61 Advanced SW Practice I 3 credits
- SW 6521 Advanced Field Placement I 4 credits

Spring
- SW 6032/42/52/62 Advanced Practice II 3 credits
- SW 6522 Advanced Field Placement II 4 credits

Completion of Constitutional Law II in the College of Law

3rd and 4th Years

Completion of College of Law writing and skills requirements and the Legal Profession course and completion of College of Law and Social Work electives
September 30, 2009

Charles A. Wight  
Dean of the Graduate School  
302 Park Building  
201 South Presidents Circle  
University of Utah  
Salt Lake City, UT 84112-9016  

Dear Dean Wight:

The College of Social Work and the S.J. Quinney College of Law jointly propose the creation of a joint degree (the JD/MSW). I write with enthusiastic support for this proposal.

Under our cross-training initiative we seek to expand the expertise of the bar in fields that intersect with law practice but for which lawyers generally receive no formal training. One sixth of our entering students come to their legal training with an advanced degree in another discipline, and we have added a significant number of courses co-taught by professors from other colleges. Our joint degree programs in business, public administration, and public policy offer additional options.

Many of our students pursue academic and professional interest in serving members of our society with severe challenges: the poor, the accused in criminal matters, those in need of special medical and other social services. Conversely, professionals in social work quickly confront a dizzying array of legal issues affecting their clients. The ability of each professional (lawyer or social worker) to understand and master the intersecting discipline is therefore invaluable to his or her effectiveness. This program builds that unique interdisciplinary expertise effectively through coursework under each program, strong advising, and an integrated, the availability of rich clinical and field experiences, and the capstone of an advanced research paper.

For these reasons, the JD/MSW will provide a rich opportunity for students in the two programs to gain unique interdisciplinary training, and I look very much forward to the approval of this exciting proposal.

Very truly yours,

Hiram E. Chodosh  
Dean and Professor of Law

www.law.utah.edu • Main Office (801) 581-6833 • Facsimile (801) 581-6897  
332 South 1400 East, Room 101 • Salt Lake City, Utah 84112-0730
October 5, 2009

Charles A. Wight
Dean of the Graduate School
302 Park Building
201 South Presidents Circle
University of Utah
Salt Lake City, UT 84112-9016

Dear Dean Wight:

I am writing in support of the planned J.D./M.S.W. Joint Degree Program with the College of Social Work and the College of Law, and I am excited about the possibility of its approval.

As you can see by the curriculum, the proposal has been well developed and coordinated. The interdisciplinary nature of this program will provide graduate students with the opportunity to better understand and develop both legal and social work skills beyond what the two programs accomplish alone. This dynamic gives students access to new ways of thinking that they can use to serve their agencies and communities with broader and richer perspectives. Faced with an increasingly competitive job market tightened further by the economic recession, this is also a way for students can differentiate themselves to secure jobs they want.

The College of Social Work gives strong support for this proposal. Thank you for your consideration of our exciting new program.

Sincerely,

Jannah Mather, Ph.D.
Dean
October 5, 2009

Charles A. Wight  
Dean of the Graduate School  
302 Park Building  
201 South Presidents Circle  
University of Utah  
Salt Lake City, UT 84112-9016

Dear Dean Wight:

I am writing to support Graduate Council approval of the proposed joint J.D.-M.S.W. degree program that has been endorsed by the College Councils of the College of Law and the College of Social Work.

Law and Social Work have recognized the value of this opportunity for some time. Indeed, students have pursued both degrees in the past, recognizing the benefits of this interdisciplinary blend to serve the community in many ways. During my service as dean of the law school, this joint degree was a goal that I shared with Social Work Dean Jannah Mather.

This program will enable students to deepen their understanding of the role of law in addressing social problems, especially in the criminal justice system. It will facilitate development of legal and social work skills beyond what the two programs accomplish independently. It will give students a broader and richer perspective and make them more effective as they apply their training in the community.

The J.D.-M.S.W. degree will add a welcome component to the Utah Criminal Justice Center, the interdisciplinary research and learning program established in 2006. The Center is a partnership among the Colleges of Law, Social Work, and Social and Behavioral Science, and the Utah Commission on Criminal and Juvenile Justice. The joint degree will strengthen that partnership by encouraging more interaction and the pursuit of new research and curricular opportunities.

This proposal has had a long gestation. I have been involved in its formulation first, as dean, and second, as chair of the law school’s curriculum committee. At every step of the process, I have found strong support for this proposal. We are excited to see it come to fruition and look forward to favorable consideration from the Graduate Council and subsequent approving entities.

With all best wishes,

Scott M. Matheson, Jr.

www.law.utah.edu • Main Office (801) 581-6833 • Facsimile (801) 581-6897  
332 South 1400 East, Room 301 • Salt Lake City, Utah 84112-0730
October 12, 2009

Charles A. Wight  
Dean of the Graduate School  
302 Park Building  
University of Utah  
Salt Lake City, Utah 84112-9016

Dear Dean Wight:

I am pleased to support the planned J.D./M.S.W. Joint Degree Program with the College of Social Work and the College of Law. This is a strong academic program for both colleges and one that students will appreciate.

The joint J.D./M.S.W. curriculum incorporates the strengths of both programs while giving students enough flexibility to pursue some of their own interests. This joint program fills a need that many students have requested for the past ten years. We are very excited that the joint program has been created and we look forwarded to a rewarding partnership with the College of Law.

Sincerely,

Larry L. Smith, D.S.W.  
M.S.W. Director
October 5, 2009

Charles A. Wright, Dean of the Graduate School
302 Park Building
201 South Presidents Circle, University of Utah
Salt Lake City, Utah 84112-9016

Dear Dean Wright,

Please receive this correspondence in support of the proposed J.D./M.S.W. Program being considered by the Graduate Council. For many years, I have been a proponent of this concept for various reasons. One reason is that I am a product of these two degrees. I received my M.S.W., in 1972, and my J.D. in 1989. I have utilized both degrees throughout my career in various settings.

During my 40 years of employment in state and local government, I have worked in numerous positions where having both degrees enhanced my public service. I have also had the opportunity to teach at the University of Utah Graduate School of Social Work and the S.J. Quinney College of Law and have come to appreciate the interplay and nexus between these degrees.

I have had the privilege of serving as a juvenile probation officer, a probation officer supervisor, the director of the Salt Lake County Detention Center, a prosecutor and division chief for the Salt Lake County District Attorney’s Office, a juvenile court judge, director of the Utah State Sentencing Commission, executive director of the Commission on Criminal and Juvenile Justice, and more recently a member of the Board of Pardons. In each of these positions, my academic background in law and social work has proven to be invaluable.

Over the years, I have found that there is a great deal of common ground in the two disciplines and that these two degrees work well together. In the Utah Criminal and Juvenile Justice system, there is a significant need for social workers and lawyers. Having employees trained in both disciplines would be a tremendous asset and boon to our justice system in my opinion.

People who work in the courts, adult corrections, juvenile justice services, and private providers would accrue significant benefit by having a workforce pool to draw from people who are educated in the law and in social work. Students who may not otherwise be able to pursue both degrees under the present academic structure, may likely choose to pursue the proposed joint degree based on time and tuition considerations.

In my judgment, there is a natural marriage between the two disciplines. Establishing a joint degree would produce professionals who would be marketable and who would be in a position to feel a void not only in the criminal and juvenile justice arenas but in other professions as well.

I strongly endorse the proposed dual degree program and urge the Graduate Council to do the same. Thank you for allowing me to voice my support.

Very Truly yours,

Robert S. Yeates
Board Member
October 5, 2009

Charles A. Wright, Dean of the Graduate School
302 Park Building
201 South Presidents Circle, University of Utah
Salt Lake City, Utah 84112-9016

Dear Dean Wright,

Please receive this letter as an endorsement of the proposed Juris Doctorate/Masters Degree of Social Work Program presently under consideration by the Graduate Council. From my perspective as Chairman of the Board of Pardons and Parole, there is a need throughout the criminal justice system of Utah for employees who have academic backgrounds in law and social work.

In my judgment, the two professions are mutually complementary and share many of the same tenets and principles. To have individual staff members educated in both disciplines would significantly enhance our ability to be effective in the administration of justice, the preservation of public safety, and rehabilitation of criminal offenders.

I support the development of the duel degree program without reservation.

Sincerely Yours,

Curtis L. Garner
Chairman
Dear Dean Wight:

I am writing to encourage the Graduate Council, and subsequent approving entities, to give their approval for a joint Juris Doctor and Master of Social Work Program at the University of Utah. I strongly believe such a joint program would be well received by the court community, and provide an extremely desirable option for court staff wanting to further their professional preparation.

The proposed joint degree program would benefit both our court system as well as the larger criminal justice system. Our juvenile court, with its delinquency, child welfare, and family focus, is a natural fit for this combined program. For example, this would be ideal preparation for a law clerk who works with juvenile court judges. Utah’s courts have also just completed a major study on court staffing direction which will be fewer, better prepared, and more professional staff. Again, this is an excellent compliment to this change in emphasis.

As a member of the Utah Criminal Justice Center Board of Directors, I can share that this joint degree program was a natural fit from the initial formation of the Center. It represents the very kind of multidisciplinary approach necessary for moving it forward. Utah’s court system looks forward to having this degree program available through the University of Utah.

Sincerely,

Daniel J. Becker
October 8, 2009

Charles A. Wight  
Dean of the Graduate School  
302 Park Building  
201 South Presidents Circle  
University of Utah  
Salt Lake City, UT 84112-9016

Dear Dean Wight:

I've recently been made aware regarding a J.D./M.S.W. Joint I

As a custody agency for juvenile rehabilitating delinquents, I've two individuals who've receive Utah's juvenile justice system. management, prosecution, and contractor providing sex offend reputation for quality service.

In juvenile proceedings, balanced rehabilitation placements would background.

This also advances the work of disciplinary education will, I am cannot tell you how pleased I am

Yours truly,

Dan Maldonado

Director, Division of Juvenile Justice Services
October 13, 2009

Charles A. Wight, Dean
Park Building, Suite 302
201 South Presidents Circle
University of Utah
Salt Lake City, Utah 84112-9016

Dear Dean Wight,

It is my pleasure to support the establishment of a joint degree program for the awarding of a J.D./MSW degree. I favor this proposal and am zealous for the unique skills, training and educational benefits that this proposal affords under "one degree".

As a local government leader and practitioner in the field of criminal justice services, I encounter daily the work of prosecution and legal defense, judges and treatment workers. They have fields of expertise but I’ve often found myself wanting “joint practice” that a lawyer with a social work background could bring to the table. Conversely, a social worker with a law degree is profound in the mediation and negotiation arena. This joint degree would be very helpful in navigating the criminal justice arena.

Also of importance would be the practical applicability of this joint degree. By the time a child would receive prior to the court’s intervention or adoption, disability law and justice interventions would be pronounced with this background of expertise.

Our agency would find this joint degree beneficial to believe this joint degree program would benefit re and outcome measures over time.

Please consider my affirmative support of this end
State of Utah
Commission on Criminal and Juvenile Justice

October 5, 2009

Charles A. Wight
Dean of the Graduate School
302 Park Building
201 South Presidents Circle
University of Utah
Salt Lake City, UT 84112-9016

Dear Dean Wight,

I am writing to encourage the Graduate Council, and subsequent approving entities, to
or of the proposal for the J.D./M.S.W. Joint Degree Program at the University of Utah.
and juvenile justice systems involve a delicate balance of at least four critical
blic safety, punishment of offenders, rehabilitation of offenders and serving the needs
. These factors are not mutually exclusive. At the same time, they sometimes appear
adictory. Fully informed criminal and juvenile justice policies as well as daily
x practitioners should reflect careful evaluation of the interaction of these factors and
rs. Recipients of a joint J.D./M.S.W. degree will be a tremendous resource in this
dition makers and practitioners within the criminal and juvenile justice systems spend
nt amount of time on cross-education: attorneys educate social workers and social
ucate attorneys. This is necessary because many legal experts do not understand or
the concerns of social workers. Likewise, many social workers do not understand or
the concerns of legal experts. Many individuals in both fields feel that the others are
ading the needs of the criminal and juvenile justice systems. In reality, the best
ning of those needs in found in a mixture of the legal and social work perspectives.
ly, that mixture is difficult to find because of decades of entrenched positions held by
both fields. The criminal and juvenile systems need professionals with training in both


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Recipients of a joint J.D./M.S.W. degree who work in any decision-making capacity within the criminal or juvenile justice system are likely to make better informed decisions because of their unique training in both law and social work. These decisions will better serve criminal defendants, abused and neglected children, vulnerable adults and victims of crime to name a few groups. Recipients will also help bridge the knowledge gap between legal experts and social work experts, contributing to better policy decisions. Additionally, they will help all practitioners understand the impact that proposed policies and other decisions will have on the criminal and juvenile justice systems because of their ability to view issues from more than one perspective.

The Commission on Criminal and Juvenile Justice has been a long-standing supporter of research-based policy making. Our partnership with the Utah Criminal Justice Center ("UCJC") is critical to our efforts to coordinate policy decisions and reduce crime. The joint J.D./M.S.W. degree is consistent with UCJC's multidisciplinary approach to education, teaching and research. This approach reflects and understanding that the various disciplines within the criminal and juvenile systems must do more than co-exist; they must work jointly with unprecedented levels of understanding and cooperation to affect the best policies for Utah.

I gain encourage the Graduate Council to vote in favor of the proposal for the W. Degree Program. Thank you for your consideration.

Sincerely,

Ronald B. Gordon, Jr.
Executive Director
Charles A. Wight  
Dean of the Graduate School  
302 Park Building  
201 South Presidents Circle  
University of Utah  
Salt Lake City, UT 84112-9016

Dear Dean Wight,

I am writing to encourage the Graduate Council, and subsequent approving entity the J.D./M.S.W. Joint Degree Program at the University of Utah.

From my experience participating with the Utah Criminal Justice Center (UCJC) criminal justice issues is a natural fit given the working relationship I have observed over the last several years. Public policy will benefit greatly from this multi-disciplined approach to serving between the administrations of different disciplines with this proposed interaction.

Expanding practitioner tools in the criminal justice field will better equip the graduate in understanding the criminal behavior. An employer in either public or private sector will benefit from a balanced approach of victimization and incarceration on the one hand, and actively identifying and addressing behavioral patterns in the criminal justice field with a strong good public policy.

Please don't hesitate to contact me.

I believe this joint degree will assist our state in maintaining a pioneering preeminent balanced approach fueled by research and multi-disciplinary consideration of crime and punishment.

Thank you for your consideration. If I can provide additional information, please let me know.

Sincerely yours,

[Signature]

October 5, 2009
Policy 3-002, Administration of State Appropriated Funds

Executive Summary
Nov. 16, 2009

The current version of Policy 3-002, Disbursement of University Funds, was written in 1981 and summarized the then-current guidance for preparing and approving the annual institutional budget, expending against that budget, and processing budget transfers. As part of the current University initiative to re-structure and modernize our policy documents, this policy has now been re-written with an emphasis on providing clear guidance in administering state appropriated funds. Additional wording has been added to conform the policy to the new standard template, and to update the definitions, terminology and principles currently being used to govern the use of these funds. The original text is in black type, while all changes are shown in red type.

POLICY 3-002 DISBURSEMENT OF UNIVERSITY ADMINISTRATION OF STATE APPROPRIATED FUNDS

II. Purpose and Scope
The purpose of this policy is to establish requirements relating to the administration of state appropriated funds.

III. Definitions
For the purposes of this policy, these words and phrases have the following meanings:
A. State Appropriated Funds – monies appropriated by the legislature to the University.
B. University Work Program – process of transferring funds from the State to the University.
C. Carryforwards – budgeted funds that are not expended during the fiscal year.
IV. Policy

A. Budget Preparation

1. The president of the university will call upon all departments and officers of the university annually for estimates of their financial needs during the ensuing fiscal year. On the basis of these estimates and other available information, the president will negotiate with the Commissioner of Higher Education, fellow USHE presidents, and the State Board of Regents in crafting a system-wide budget request, including institution-specific components, to State government. A budget request will be prepared and submitted by the president to the State Board of Regents for its consideration, modification, and recommendation to the legislature.

2. The moneys allocated to the university by legislative appropriation will be budgeted by the university in accordance with legislative intent and a university work program or operating budget approved by the State Board of Regents – which will be prepared to ensure, so far as feasible, that expenditures remain within the appropriations for the applicable period.

3. In preparing unit-level budget requests, operating units across campus will follow presidential directives and guidelines promulgated by the Office of Budget and Institutional Analysis.

4. After approval of the operating budget by the State Board of Regents, proposed budgets are approved by the cognizant vice president and the president, each college, department, or other operating unit will be notified before July 1st of the amount allocated for its use during the ensuing fiscal year.

B. Expenditures

1. Operating units will expend state appropriated funds in a manner consistent with applicable state law and legislative intent.

2. Expenditures of state appropriated funds by operating units are not to exceed budgeted amounts in the aggregate for any individual unit, without the consent of the cognizant vice president.

Expenditures of state appropriated funds by operating units are not to exceed available resources in the aggregate, including budgeted amounts and any available reserves, for any individual unit without the consent of the cognizant vice president.

C. Budget Approval

1. All budget transfers of state appropriated funds must be approved by the Office of Budget and Institutional Analysis Resource Planning.

2. Budget transfers involving non-appropriated funds should follow procedures established by the Office of Research Administration, auxiliary services, or other
administrative unit responsible for oversight of the particular funds involved and in ways consistent with procedures of the Office of Budget and Institutional Analysis Resource Planning.

D. Carryforwards
1. Funds remaining unspent at fiscal year end are available to build up a cash reserve to cover unanticipated needs, mitigate the effects of future budget cuts, or provide a reserve for future obligations that cannot typically be met during one budget cycle.
2. Carryforward balances should be kept within a reasonable range, as set forth by Board of Regents Policy R562, and not allowed to grow beyond the anticipated needs of the budgeted unit.

Expenditure of Funds:
• All purchases to be funded with funds controlled by the university shall be processed pursuant to the relevant provisions of the Policy and Procedures Manual.
• It is the policy of the university to expend funds appropriated by the legislature in a manner consistent with applicable law. Accordingly, (see above section III.C.)

V. Rules, Procedures, Guidelines, Forms, and Other Related Resources
A. Rules [reserved]
B. Procedures [reserved]
C. Guidelines [reserved]
D. Forms [reserved]
E. Other Related Resource Materials [reserved]

VI. References
A. State Board of Regents Policy R562, Non-Lapsing Balances

VII. Contacts
A. Policy Owner – Associate Vice President for Budget and Planning
B. Policy Officer – Senior Vice President for Academic Affairs

VII. History
TO: Academic Senate
FROM: Susan Olson, Associate Vice President for Faculty (Academic Affairs)
       Richard Sperry, Associate Vice President for Health Sciences
DATE: November 17, 2009
SUBJECT: Criminal Background Checks Update

In spring 2000 the University complied with a legislative requirement and instituted a new criminal background check for full-time faculty and academic staff (Policy 5-130 and Rule 5-130A). The Senate asked for an early update on results of these new checks in fall 2009. This report responds to this request.

Since May 1, 2009, 112 “academic” background check requests have been submitted to the vendor, Accurate Background—71 in Health Science and 41 in Academic Affairs. This number includes faculty of all kinds, academic staff (such as Research Associates and Associate Instructors), and postdocs. Only two checks required any follow-up whatsoever from the Associate Vice Presidents designated to receive those which don’t clear automatically. Health Sciences inquired about a matter with the Division of Professional Licensing, which upon review did not impede appointment. Academic Affairs followed up on one case where the Ph.D. was not verified. In that case the new faculty member had some years earlier put a FERPA hold on educational records, not knowing it would bar the university from verifying a completed degree. At the request of the faculty member, the university verified the degree.

The next report that the policy requires will be provided to the Senate two years after its effective date, which will be May 1, 2011.
ANNUAL REPORT
2008-2009
ATHLETICS ADVISORY COUNCIL

Barry Angstman, Kristina Diekmann, Marissa Diener (Chair), Clark Ivory, Mahamud Khalil Sbaih, Howard Lehman, Philip Malugade, Stephanie Neff, Brian Patrick, Keven Rowe, William Smith, Paul Tikalsky, Patrick Tripeny (Vice-Chair), Diane McVey Ward, Paul White

Submitted to
President Michael K. Young
Athletics Director Chris Hill
University of Utah Academic Senate

October 2009
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Athletics Advisory Council Summary Report

The Athletics Advisory Council (AAC) serves as a policy recommendation and review body for the Athletics Department and intercollegiate athletics at the University of Utah. The Council is composed of faculty, alumni, Board of Trustees representatives, ASUU and student athlete representatives, and ex-officio members from throughout the University campus. Issues brought before the Council are first discussed in the appropriate standing committee and recommendations are then forwarded to the Council for further discussion. There are four standing committees – Athletics Academic Standards Committee, Finance Committee, Equity and Diversity Committee and the Compliance Committee. One of the responsibilities of the Council is to submit an annual report to the President, the Academic Senate and the Athletics Director each academic year. This document fulfills that obligation.

The reports of the four standing committees are summarized in this section of the report, with more detailed explanations and information in the sections following.

FINANCE

Although the 2008-2009 budget for the Athletics Department was anticipated to be a surplus, income was approximately $1.5 million less than expenses, which were greater than budgeted (this budget shortfall was without consideration of revenue from the Sugar Bowl, which is discussed later). Expenses rose this year largely due to increases in travel expenses and and salaries. The budget shortfall for 2008-2009 was covered by the income derived from the football team’s income from their Sugar Bowl victory.

The income shortfall for the 2009-2010 year is also anticipated to be large: $1,200,000. This shortfall will be covered by the remaining money from the BCS fund. It was expected that the money from this fund would be spent over three or four years of budget shortfalls. Instead, the Athletics Department has chosen to spend this money to balance the 2008-2009 and 2009-2010 budgets in hopes of equalizing expenses and income in the 2010-2011 budget year.

ATHLETICS ACADEMIC STANDARDS

During the 2008-09 academic year, the Athletics Academic Standards Committee considered the following issues: 1) excused absences and final exam policy; 2) the institutional relevance of a cover story in USA Today; 3) whether to evaluate data on transfer student success; 4) the academic summary for AY 2008-09; 5) the GPA of all student-athletes and football student-athletes specifically from 2005-2009; 6) the academic progress rate (APR); 7) the graduation success rate (GSR); 8) the 2008-2009 academic all-Mountain West Conference teams; and 9) the attendance tracking pilot program.

Utah athletes continue to do well academically. Furthermore, the academic success of the student athletes appears to be fairly stable, with no noticeable declines in academic performance over time (although academic indicators do vary slightly on a yearly basis). The percentage of students receiving a GPA of less than 2.0 has declined over time. The APR for most teams has improved over time.

EQUITY AND DIVERSITY

The Gender Equity & Diversity Committee reviewed the Equity in Athletics Disclosure Act Report and five-year comparisons of data regarding key indicators of equity. Areas included in the report are athletics participation, grants and scholarships, coaching salaries, travel and recruiting expenses. Also reviewed was the Committee’s Annual Report for the previous year (2007-08). In addition, as recommended last year, we created a list of potential issues for the Committee to evaluate each year. The other potential
indicators for gender equity and ethnic diversity are scheduling (games & practice), tutoring access, facilities (locker rooms, training and competition facilities), medical and training services (physicians and trainers, weight room scheduling), housing and dining services, publicity, and support services for coaches and athletes.

University of Utah’s Athletics Department is well within the Title IX requirements for athlete participation rates for females with 48.6% participating in sports, which is above the 44.9% represented in the student population as a whole. The Committee believes that the Athletics Department continues to do a good job of fulfilling its mandate in regards to gender equity. Continued monitoring of all the indicators of gender equity is warranted to ensure that the Athletics Department maintains and improves on an already successful record.

**COMPLIANCE**

The Compliance Committee considered the procedure for conducting internal audits and the Athletics Compliance Office’s response to the review, reviewed the results of the Mountain West Conference’s institutional conference compliance review, and monitored rules violations and waiver requests. The Compliance Committee also monitored a parents’ compliance education document that educates parents about compliance principles.
Finance Committee Report

Members:
   Chair: Patrick Tripeny
   Board of Trustee: Clark Ivory
   Students: Mahamud Khalil Sbaih and Philip Malugade
   Alumni: Barry Angstman

Budget 2008-2009

Although the 2008-2009 budget for the Athletics Department was anticipated to be a surplus, not taking into account the income from the BCS Sugar Bowl, which will be discussed later, the income to the Athletics Department was approximately 1.5 million less than its expenses. Expenses rose this year largely due to increases in travel expenses and compensation. The budget shortfall for 2008-2009 was covered by the income derived from the football team’s income from their Sugar Bowl victory.
BCS Sugar Bowl Income and Expenses

When the football team secured the bid to the Sugar Bowl, it was widely reported that the payout for the trip would be $19.2 million. The payout toward the non-BCS teams was approximately $19.2 million but the income to the University of Utah was considerably less than that. A few years ago, member conferences of the BCS came to agreement with a five conference coalition on how payments would be made both in years when a member of those five conferences play in a BCS Bowl and when they do not. The five conferences in the coalition include the Mountain West Conference (MWC), Western Athletics Conference (WAC), Mid-Atlantic Conference (MAC), Conference USA (C-USA), and the Sun Belt Conference (SB). When no team from the coalition is chosen to go to a BCS bowl game, the coalition splits approximately $9.6 million. Half of the money is split equally amongst the conferences, and half is distributed based on each conference’s performance. If a team makes it into one of the BCS Bowl games, then the coalition receives an additional $9.6 million. The coalition splits this money by giving $6 million to the conference of the Bowl team and the remaining $3.6 million to the remaining four conferences based upon conference performance. Thus, the University of Utah’s actual income from the BCS for the Sugar Bowl bid and being a member of the coalition was $3.5 million. The expenses associated with the Sugar Bowl bid, which needed to come out of the income, were $1.2 million. The estimated net profit to the Athletics Department for the bowl bid was approximately 2.3 million.

Projected 2009-2010 Budget

Income
The anticipated income for the 2009-2010 budget year is down from the 2008-2009 budget. This decrease in income is largely due to the BYU game being played in Provo this year, no large guarantees to the football team for away games (such as last year’s Michigan game), and the loss of concession money from the Real Salt Lake games. It is anticipated that revenue from other sporting events including Men’s Basketball and Women’s Gymnastics will remain flat, as will fund raising from individuals and foundations.

Expenses
The major expenses of the athletics department include salaries, travel expenses, athletes’ tuition and room and board, and facility costs. Salary, tuition, and facility costs are anticipated to increase this year. The salary commitment associated with the Football team will increase $600,000. Tuition for the year has increased by almost 13%, which will increase the expenses of the Athletics Department, who pays the tuition of athletes with scholarships. Facility costs will go up largely due to an increase in parking and police services. The amount of money the University of Utah will pay to teams coming here to compete is also increasing.
Net income shortfall

The income shortfall for the 2009-2010 year is anticipated to be $1,200,000. This will be covered by the remaining money from the BCS Fund Reserve. It was expected that this profit would be spent over three or four years of budget shortfalls. The Athletics Department has chosen to spend this money to balance the 2008-2009 and 2009-2010 budgets in hopes of equalizing expenses and income in the 2010-2011 budget year.

Summary

The University of Utah’s women and men’s athletic teams continue to meet with success. This has translated to increased visibility and recognition within the Mountain West Conference and nationally. The income shortfall explained earlier will need to made up over the course of the 2009-2010 budget year otherwise some very difficult decisions will need to be made for the 2010-2011 budget year. Having the BYU game in Rice-Eccles Stadium and revenue from the University of Notre Dame game in 2010 will make up some of this shortfall.

University of Utah
Athletics Department
Consolidated Statement of Revenues
Comparison

<table>
<thead>
<tr>
<th>Revenues</th>
<th>07-08 Budget</th>
<th>07-08 Actuals</th>
<th>08-09 Budget</th>
<th>08-09 Actuals</th>
<th>09-10 Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Fees</td>
<td>$3,661,805</td>
<td>$3,633,154</td>
<td>$3,808,277</td>
<td>$3,719,204</td>
<td>$3,998,691</td>
</tr>
<tr>
<td>University Support</td>
<td>1,190,196</td>
<td>1,260,784</td>
<td>1,327,713</td>
<td>1,341,340</td>
<td>1,260,521</td>
</tr>
<tr>
<td>Facility Rental Support</td>
<td>435,000</td>
<td>435,000</td>
<td>635,000</td>
<td>635,000</td>
<td>635,000</td>
</tr>
<tr>
<td>Ticket Sales - FB</td>
<td>3,998,250</td>
<td>3,932,667</td>
<td>4,608,687</td>
<td>4,801,766</td>
<td>4,734,000</td>
</tr>
<tr>
<td>Facility Fee</td>
<td>360,000</td>
<td>373,080</td>
<td>360,000</td>
<td>412,942</td>
<td>360,000</td>
</tr>
<tr>
<td>Ticket Sales - MBB</td>
<td>2,200,000</td>
<td>2,037,674</td>
<td>2,083,800</td>
<td>2,033,653</td>
<td>2,100,000</td>
</tr>
<tr>
<td>Ticket Sales - Other</td>
<td>314,000</td>
<td>365,856</td>
<td>359,000</td>
<td>363,890</td>
<td>392,000</td>
</tr>
<tr>
<td>Donations</td>
<td>4,410,000</td>
<td>4,599,376</td>
<td>4,697,500</td>
<td>5,106,604</td>
<td>4,710,000</td>
</tr>
<tr>
<td>National TV</td>
<td>1,166,666</td>
<td>1,197,438</td>
<td>1,200,000</td>
<td>1,219,653</td>
<td>1,222,222</td>
</tr>
<tr>
<td>Utah Sports Property</td>
<td>1,600,000</td>
<td>1,600,000</td>
<td>1,650,000</td>
<td>1,661,171</td>
<td>1,700,000</td>
</tr>
<tr>
<td>NCAA</td>
<td>1,198,276</td>
<td>1,430,617</td>
<td>1,245,186</td>
<td>816,264</td>
<td>1,425,730</td>
</tr>
<tr>
<td>Suites</td>
<td>487,500</td>
<td>397,889</td>
<td>490,000</td>
<td>456,830</td>
<td>490,000</td>
</tr>
<tr>
<td>MWC Distributions</td>
<td>261,400</td>
<td>859,597</td>
<td>262,778</td>
<td>109,137</td>
<td>270,000</td>
</tr>
<tr>
<td>Concessions/Novelties</td>
<td>1,147,560</td>
<td>1,493,669</td>
<td>1,145,560</td>
<td>1,680,446</td>
<td>1,002,241</td>
</tr>
<tr>
<td>Away Games</td>
<td>475,000</td>
<td>504,500</td>
<td>865,000</td>
<td>995,000</td>
<td>485,000</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td>621,920</td>
<td>598,747</td>
<td>661,550</td>
<td>1,029,154</td>
<td>679,935</td>
</tr>
<tr>
<td>Post Season Revenue</td>
<td></td>
<td></td>
<td>700,000</td>
<td>3,568,667</td>
<td>700,001</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$23,527,573</td>
<td>$24,720,048</td>
<td>$26,100,051</td>
<td>$29,950,721</td>
<td>$26,165,341</td>
</tr>
</tbody>
</table>
## Athletics Department
### Consolidated Statement of Expenses
#### Comparison

<table>
<thead>
<tr>
<th>Expenses</th>
<th>07-08 Budget</th>
<th>07-08 Actuals</th>
<th>08-09 Budget</th>
<th>08-09 Actuals</th>
<th>09-10 Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compensation</td>
<td>$9,043,301</td>
<td>$8,755,571</td>
<td>$9,888,387</td>
<td>$10,853,943</td>
<td>$10,517,041</td>
</tr>
<tr>
<td>Tuition and fees</td>
<td>1,809,736</td>
<td>1,804,867</td>
<td>1,897,201</td>
<td>1,818,389</td>
<td>2,059,385</td>
</tr>
<tr>
<td>Room and Board</td>
<td>1,524,169</td>
<td>1,416,305</td>
<td>1,588,184</td>
<td>1,733,407</td>
<td>1,588,184</td>
</tr>
<tr>
<td>Travel</td>
<td>2,712,186</td>
<td>3,676,248</td>
<td>3,094,075</td>
<td>3,449,308</td>
<td>3,048,863</td>
</tr>
<tr>
<td>Uniforms &amp; Equipment</td>
<td>938,890</td>
<td>1,259,320</td>
<td>891,650</td>
<td>941,874</td>
<td>894,050</td>
</tr>
<tr>
<td>Office Expenses</td>
<td>1,558,295</td>
<td>1,555,600</td>
<td>1,559,495</td>
<td>1,900,370</td>
<td>1,589,355</td>
</tr>
<tr>
<td>Public Relations</td>
<td>692,400</td>
<td>748,926</td>
<td>763,100</td>
<td>743,040</td>
<td>765,900</td>
</tr>
<tr>
<td>Insurance</td>
<td>330,000</td>
<td>452,075</td>
<td>342,000</td>
<td>543,304</td>
<td>380,000</td>
</tr>
<tr>
<td>Game Operations</td>
<td>1,647,650</td>
<td>1,635,636</td>
<td>1,451,400</td>
<td>1,642,409</td>
<td>1,779,150</td>
</tr>
<tr>
<td>Stadium Rental</td>
<td>435,000</td>
<td>406,330</td>
<td>435,000</td>
<td>412,942</td>
<td>435,000</td>
</tr>
<tr>
<td>Facility Fee</td>
<td>360,000</td>
<td>373,080</td>
<td>360,000</td>
<td>459,212</td>
<td>360,000</td>
</tr>
<tr>
<td>Hourly Wages</td>
<td>307,350</td>
<td>408,048</td>
<td>343,450</td>
<td>298,615</td>
<td>392,287</td>
</tr>
<tr>
<td>Housing Meals</td>
<td>286,800</td>
<td>393,139</td>
<td>370,850</td>
<td>470,149</td>
<td>376,150</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td>2,374,964</td>
<td>2,210,129</td>
<td>2,399,264</td>
<td>2,669,520</td>
<td>2,467,782</td>
</tr>
<tr>
<td>Post Season Expenses</td>
<td>700,000</td>
<td>1,221,217</td>
<td>700,000</td>
<td>1,221,217</td>
<td>700,000</td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td><strong>$24,020,740</strong></td>
<td><strong>$25,095,275</strong></td>
<td><strong>$26,084,056</strong></td>
<td><strong>$29,157,699</strong></td>
<td><strong>$27,353,147</strong></td>
</tr>
<tr>
<td><strong>Net Operating Profit / Loss</strong></td>
<td>($493,167)</td>
<td>($375,227)</td>
<td>$15,995</td>
<td>$793,022</td>
<td>($1,187,806)</td>
</tr>
<tr>
<td><strong>BCS Fund Balance Reserve</strong></td>
<td>$493,167</td>
<td>$375,227</td>
<td>$0</td>
<td>$0</td>
<td>$1,187,806</td>
</tr>
</tbody>
</table>
Academic Standards Committee Report

Voting members:
2008-2009 Report
Chair: William A. Smith, Faculty Athletics Representative (FAR)
Faculty: Diane McVey Ward
Faculty: Marissa Diener
Alumni Representative: Keven Rowe

Ex officio members
Associate Dean, University College: W. Jency Brown
Athletic Dept. Rep.: Mary Bowman

The Athletics Academic Standards Committee (AASC) is composed of six members: three faculty members, one which is the faculty athletics representative; an alumni representative; and two ex-officio members. The two ex officio members are the associate dean of the University College and the associate athletics director for athletics student support services/senior woman administrator. All members, except the associate dean of University College, are on the Athletics Advisory Council.

The charge of the AASC is to review the academic performance each academic term of every student-athlete, compile an annual statistical composite profile of academic performance and honors, and investigate various issues that relate to the academic performance of student-athletes.

During the 2008-09 academic year, the Athletics Academic Standards Committee considered the following issues: 1) excused absences and final exam policy; 2) the institutional relevance of a cover story in USA Today; 3) whether to evaluate data on transfer student success; 4) the academic summary for AY 2008-09; 5) the GPA of all student-athletes and football student-athletes specifically from 2005-2009; 6) the academic progress rate (APR); 7) the graduation success rate (GSR); 8) the 2008-2009 academic all-Mountain West Conference teams; and 9) the attendance tracking pilot program. Supporting materials, including tables outlining the academic performance of student-athletes, GSR data, and APR data are included in the report.

1) The Excused Absences and Final Exam Policy
One persistent issue that arises between a small number of university instructors and athletics representatives is a conflict over student-athletes missing class for university-related business (i.e., athletic competition) and when the final exam should be administered. Often, faculty members are not aware that the excused absences policy covers intercollegiate athletics. Moreover, some student-athletes felt that they were unfairly penalized when final exams were moved up a week and fell outside of the university final exam calendar. As a result, the faculty athletics representative met with John G. Francis, the Sr. Associate Vice President for
Academic Affairs, and Susan Olson, the Associate Vice President for Faculty, to review the current policy and its applicability for student-athletes. It was agreed that the current policy is sufficiently written to cover student-athletes. Additionally, it was agreed that a periodic email to all faculty during the fall and spring semesters was appropriate for raising the awareness for all students who fall within the scope of this policy. A copy of the email that faculty received is included at the end of this report.

2) USA Today Article: College athletes studies guided toward 'major in eligibility'

On November 19, 2008, USA Today published an article (http://www.usatoday.com/sports/college/2008-11-18-majors-cover_N.htm) on college athletes being guided and clustered in “easy” academic majors. These majors were chosen because it would be easier for student-athletes to stay eligible while persisting toward degree completion. Unfortunately, this article also reported that many of the athletes in the story left college without fulfilling their real academic goals, and their education did not prepare them for post-sports careers. The AASC decided that this issue was an important enough matter to examine. The AASC decided to examine student-athletes’ majors to determine if clustering existed among student-athletes. If clustering existed, like what was identified in the USA Today article, this might be an indication of a larger problem.

The investigation included all sixteen sports. We examined declared majors (or expected majors) for all student-athletes by sport and looked for patterns of majors being overrepresented within a sport or few majors being represented in the sport. We saw a wide range of majors from all colleges including Biology, Exercise and Sport Science, Health Education, Mechanical Engineering, History, Business, Mass Communication, Human Development and Family Studies, International Studies, Sociology, Anthropology, Psychology, Urban Planning, Spanish, and Chemistry. The table below shows the top majors of junior/senior student-athletes who had declared a major.

<table>
<thead>
<tr>
<th>Major</th>
<th>Number</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exercise Sport Sciences</td>
<td>30</td>
<td>16.95%</td>
</tr>
<tr>
<td>Business</td>
<td>27</td>
<td>15.25%</td>
</tr>
<tr>
<td>Economics</td>
<td>26</td>
<td>14.69%</td>
</tr>
<tr>
<td>Communication</td>
<td>22</td>
<td>12.43%</td>
</tr>
<tr>
<td>Parks, Recreations, &amp; Tourism</td>
<td>18</td>
<td>10.17%</td>
</tr>
<tr>
<td>Sociology</td>
<td>16</td>
<td>9.04%</td>
</tr>
<tr>
<td>Biology</td>
<td>11</td>
<td>6.21%</td>
</tr>
<tr>
<td>Human Dev. &amp; Family Studies</td>
<td>11</td>
<td>6.21%</td>
</tr>
<tr>
<td>Health Education</td>
<td>9</td>
<td>5.08%</td>
</tr>
<tr>
<td>International Studies</td>
<td>7</td>
<td>3.95%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>177 Student-Athletes</td>
<td></td>
</tr>
</tbody>
</table>

In analyzing the information the committee concluded that clustering of majors is not occurring among the student athlete population. Although there are large numbers of student-athletes in several majors, these majors are also popular among the undergraduate population as a whole, in terms of the number of degrees conferred. Because the committee did not see any clustering, the likelihood of academic fraud and coaches and athletics
academic advisers inappropriately influencing students’ decisions on majors and classes does not appear to be happening at the University of Utah. The committee decided that no further study was necessary because of these results. However, the committee will continue to periodically monitor this area in the future.

3) Collecting and Reviewing Data on Transfer Students Success

The committee discussed the importance of having a better understanding of how transfer student-athletes adjust to campus. While this is an important issue, given the number of items we focused on, the committee decided to postpone this item for future consideration.

4) Academic Summary for AY 2008-09

The AASC reviewed the academic performance of each student athlete. Statistical summaries of each semester are presented in Tables 1 and 2. These tables present the number of student athletes (and percentages) who were on the Dean’s List (receiving a 3.5 GPA or higher), those who were on the Athletic Honor Roll (GPA of 3.0 or greater), as well as those with a cumulative GPA below 2.0.

<table>
<thead>
<tr>
<th>Team</th>
<th># of SAs on Team</th>
<th>Mean GPA</th>
<th>∆ from Sp ‘08</th>
<th>#(%)(Dean’s List/3.5 GPA or above)</th>
<th>#(%)(≥3.0 GPA Honor Roll)</th>
<th>#(%)(≤2.0 GPA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cross Country</td>
<td>13</td>
<td>3.518</td>
<td>NA</td>
<td>9 (69%)</td>
<td>11 (85%)</td>
<td>1 (8%)</td>
</tr>
<tr>
<td>W Skiing</td>
<td>14</td>
<td>3.483</td>
<td>+0.143</td>
<td>8 (57%)</td>
<td>12 (86%)</td>
<td>0</td>
</tr>
<tr>
<td>M Skiing</td>
<td>13</td>
<td>3.393</td>
<td>-0.547</td>
<td>6 (46%)</td>
<td>9 (69%)</td>
<td>0</td>
</tr>
<tr>
<td>Gymnastics</td>
<td>14</td>
<td>3.338</td>
<td>-0.176</td>
<td>5 (36%)</td>
<td>8 (57%)</td>
<td>0</td>
</tr>
<tr>
<td>M Basketball</td>
<td>16</td>
<td>3.288</td>
<td>+0.195</td>
<td>4 (25%)</td>
<td>10 (63%)</td>
<td>0</td>
</tr>
<tr>
<td>M Swimming</td>
<td>24</td>
<td>3.202</td>
<td>+0.087</td>
<td>6 (25%)</td>
<td>13 (54%)</td>
<td>1 (4%)</td>
</tr>
<tr>
<td>W Soccer</td>
<td>25</td>
<td>3.197</td>
<td>+0.01</td>
<td>7 (28%)</td>
<td>15 (60%)</td>
<td>0</td>
</tr>
<tr>
<td>M Tennis</td>
<td>12</td>
<td>3.191</td>
<td>+0.092</td>
<td>2 (17%)</td>
<td>5 (42%)</td>
<td>0</td>
</tr>
<tr>
<td>W Tennis</td>
<td>11</td>
<td>3.175</td>
<td>-0.115</td>
<td>6 (55%)</td>
<td>8 (73%)</td>
<td>0</td>
</tr>
<tr>
<td>W Basketball</td>
<td>14</td>
<td>3.058</td>
<td>-0.084</td>
<td>1 (7%)</td>
<td>7 (50%)</td>
<td>0</td>
</tr>
<tr>
<td>W Swimming</td>
<td>23</td>
<td>3.048</td>
<td>-0.022</td>
<td>6 (26%)</td>
<td>15 (65%)</td>
<td>0</td>
</tr>
<tr>
<td>W Volleyball</td>
<td>16</td>
<td>3.007</td>
<td>+0.243</td>
<td>4 (25%)</td>
<td>7 (44%)</td>
<td>1 (6%)</td>
</tr>
<tr>
<td>Track</td>
<td>20</td>
<td>2.978</td>
<td>NA</td>
<td>3 (15%)</td>
<td>10 (50%)</td>
<td>1 (5%)</td>
</tr>
<tr>
<td>M Golf</td>
<td>12</td>
<td>2.947</td>
<td>+0.083</td>
<td>1 (8%)</td>
<td>6 (50%)</td>
<td>0</td>
</tr>
<tr>
<td>W Softball</td>
<td>18</td>
<td>2.830</td>
<td>-0.047</td>
<td>3 (17%)</td>
<td>6 (33%)</td>
<td>1 (6%)</td>
</tr>
<tr>
<td>M Baseball</td>
<td>36</td>
<td>2.770</td>
<td>+0.195</td>
<td>3 (8%)</td>
<td>12 (33%)</td>
<td>0</td>
</tr>
<tr>
<td>Football</td>
<td>118</td>
<td>2.657</td>
<td>-0.041</td>
<td>9 (8%)</td>
<td>47 (40%)</td>
<td>4 (3%)</td>
</tr>
<tr>
<td>TOTAL</td>
<td>399</td>
<td>3.122</td>
<td>1.34</td>
<td>83 (21%)</td>
<td>201(50%)</td>
<td>9 (2%)</td>
</tr>
</tbody>
</table>

Examination of the data from Table 1 indicates that during Fall semester 2009, 50% of the student athletes were on the Athletics Department Honor Roll, receiving a GPA of 3.0 or
better. Over a fifth (21%) of the student athletes received an even higher distinction, being on the Dean’s List with a GPA of 3.5 or higher. An examination of the mean GPAs of the teams indicated that 12 of 17 teams demonstrated a GPA of 3.0 or better during Fall Semester 2009. Teams with average GPAs below 3.0 include Track, Men’s Golf, Women’s Softball, Men’s Baseball, and Football. Few student-athletes (2%) received a cumulative GPA of 2.0 or lower. Academic performance of student-athletes was also good during Spring 2009 semester, with over half of the student-athletes receiving a GPA of 3.0 or greater (see Table 2).

### Table 2: Academic Indicators – Spring 2009

<table>
<thead>
<tr>
<th>Team</th>
<th># of SAs on Team</th>
<th>Mean GPA</th>
<th>Δ from F’08</th>
<th>(#%) on Dean’s List/3.5 GPA or above</th>
<th>(#%) ≥3.0 GPA (Honor Roll)</th>
<th>(#%) ≤2.0 GPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cross Country</td>
<td>11</td>
<td>3.700</td>
<td>+0.018</td>
<td>6 (55%)</td>
<td>10 (91%)</td>
<td>0</td>
</tr>
<tr>
<td>W Skiing</td>
<td>14</td>
<td>3.552</td>
<td>+0.069</td>
<td>6 (43%)</td>
<td>13 (93%)</td>
<td>0</td>
</tr>
<tr>
<td>M Skiing</td>
<td>13</td>
<td>3.429</td>
<td>+0.036</td>
<td>5 (38%)</td>
<td>12 (92%)</td>
<td>0</td>
</tr>
<tr>
<td>Gymnastics</td>
<td>13</td>
<td>3.464</td>
<td>-0.126</td>
<td>5 (38%)</td>
<td>12 (92%)</td>
<td>0</td>
</tr>
<tr>
<td>M Basketball</td>
<td>16</td>
<td>2.825</td>
<td>-0.462</td>
<td>1 (6%)</td>
<td>5 (31%)</td>
<td>0</td>
</tr>
<tr>
<td>M Swimming</td>
<td>20</td>
<td>3.192</td>
<td>-0.010</td>
<td>6 (30%)</td>
<td>15 (75%)</td>
<td>0</td>
</tr>
<tr>
<td>W Soccer</td>
<td>28</td>
<td>3.207</td>
<td>-0.010</td>
<td>9 (32%)</td>
<td>14 (50%)</td>
<td>0</td>
</tr>
<tr>
<td>M Tennis</td>
<td>12</td>
<td>3.058</td>
<td>-0.133</td>
<td>7 (58%)</td>
<td>9 (75%)</td>
<td>1 (8%)</td>
</tr>
<tr>
<td>W Tennis</td>
<td>11</td>
<td>3.069</td>
<td>-0.106</td>
<td>6 (55%)</td>
<td>7 (64%)</td>
<td>1 (9%)</td>
</tr>
<tr>
<td>W Basketball</td>
<td>14</td>
<td>3.360</td>
<td>+0.302</td>
<td>5 (36%)</td>
<td>11 (79%)</td>
<td>0</td>
</tr>
<tr>
<td>W Swimming</td>
<td>22</td>
<td>3.293</td>
<td>+0.245</td>
<td>8 (36%)</td>
<td>13 (59%)</td>
<td>0</td>
</tr>
<tr>
<td>W Volleyball</td>
<td>18</td>
<td>3.411</td>
<td>+0.404</td>
<td>7 (39%)</td>
<td>11 (61%)</td>
<td>0</td>
</tr>
<tr>
<td>Track</td>
<td>35</td>
<td>3.209</td>
<td>NA</td>
<td>8 (23%)</td>
<td>19 (54%)</td>
<td>0</td>
</tr>
<tr>
<td>M Golf</td>
<td>11</td>
<td>2.981</td>
<td>+0.231</td>
<td>1 (9%)</td>
<td>6 (55%)</td>
<td>0</td>
</tr>
<tr>
<td>W Softball</td>
<td>18</td>
<td>2.827</td>
<td>-0.003</td>
<td>3 (17%)</td>
<td>7 (39%)</td>
<td>0</td>
</tr>
<tr>
<td>M Baseball</td>
<td>34</td>
<td>2.845</td>
<td>+0.075</td>
<td>4 (12%)</td>
<td>15 (44%)</td>
<td>0</td>
</tr>
<tr>
<td>Football</td>
<td>124</td>
<td>2.558</td>
<td>-0.099</td>
<td>10 (8%)</td>
<td>37 (29%)</td>
<td>3 (2%)</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>414</strong></td>
<td><strong>3.175</strong></td>
<td><strong>0.431</strong></td>
<td><strong>97 (23%)</strong></td>
<td><strong>216 (52%)</strong></td>
<td><strong>5 (1%)</strong></td>
</tr>
</tbody>
</table>

5) Student-Athletes’ GPA over a 5 Year Time Frame

We also tracked these indicators over time, in order to determine whether there were changes in academic performance over time. This was in response to a question raised in Fall 2008 by the Academic Senate when the 2007-2008 annual report was presented. These data show some variability in the academic performance of student athletes over time, but do not show a clear downward or upward trend for the percentage of students receiving academic honors. The data for both Fall and Spring semesters show a downward trend for the percentage of students receiving a GPA of 2.0 or lower, indicating that fewer student athletes are doing poorly. Thus, it appears that academic performance of student-athletes as a whole has not declined over the past 5 years.
Because the question was raised in reference to the football team, we also examined the performance of the football team over time. These data are presented in Figures 3 and 4. They show, consistent with the data from all student-athletes, that the percentage of football student-athletes receiving a GPA of less than 2.0 has declined over time for both Fall and Spring semesters. Although the percentage of football student-athletes receiving a GPA equal to or above a 3.0 appears to be improving for Fall Semester, Spring Semester shows the opposite pattern. The AASC believes this is an area to monitor to make sure a negative trend is not occurring.
Conclusion: The majority of student athletes do quite well in the classroom, and the academic success of the student athletes appears to be fairly stable, with no noticeable declines in academic performance over time (although academic indicators do vary slightly on a yearly basis). The percentage of students receiving a GPA of less than 2.0 has declined over time.

6) Academic Progress Rate (APR) and Multiyear APR by Sport in NCAA Division I vs Univ. of Utah (AY 2004-2008)

The Athletics Department is required annually to submit an Academic Progress Report (APR) to the NCAA. Given the charge of this Committee, the APR is of major interest and concern. The NCAA’s benchmark for APR is an index number of 925. The index is affected
by both poor academic performance and high rates of student transfers. Teams that fall below a 925 are subject to penalties. All teams at the University of Utah were above 925 for the 2008-09 academic year. We also examined APR trends over time. Many of the teams increased their APR from the prior academic year and above their multi-year APR. (The NCAA Division I 2007-2008 Academic Progress Rate Institutional Report and the University of Utah Men’s and Women’s Multiyear APR graphs for the years 2005-2008 are attached to this report). In summary, specific men’s and women’s teams should be congratulated on prioritizing academic performance.

The AASC reviewed the APR for the academic years 2004-2008. The data are listed by year according to sport comparing Utah (red) and all NCAA Division I teams (blue).
All men’s teams have improved their APR over the four-year analysis with the exception of the Golf team. The teams should be congratulated for their improvements and encouraged to keep striving for improvement. It should also be noted that the basketball team has made remarkable improvement from below 880 in 2004 to consistently above 925 in 2005-2008. The Golf team should design strategies to improve the APR as they have been consistently lower than the average NCAA Division I teams and have declined over time.

APR 2004-2005 Women Division 1 vs. Utah

APR 2005-2006 Women Division I vs. Utah
All women’s teams have remained above the 925 mark. The teams should be congratulated for maintaining their eligibility status and encouraged to keep striving for improvement. It should be noted that the softball team has consistently been below the average of all NCAA Division I teams and, the team has had the lowest APR for women’s teams. This team should design strategies to improve their APR as they have not shown any improvement in the past four years.

7) Multiyear Cohort GSR by Sport in NCAA Division I
The AASC reviewed the Graduation Success Rate (GSR) for the academic years 1995-98, 1996-99, 1997-2000 and 1998-2001. The data are listed according to sport and cohort. The University of Utah GSRs have stayed high over this time period with an average for women of greater than 85% and an average of greater than 65% for men. Teams should be congratulated for this consistent GSR. It should be noted that on average the GSRs have not improved from the 1995-98 to 1998-2001 analysis (Green line) and strategies should be designed to improve this record.
A comparison of 1998-2001 GSR within selective MWC institutions and comparable institutions.
8) Fall 2008 & Spring 2009 Academic All-Mountain West Conference Teams

Many University of Utah athletes received Mountain West Conference recognition for their academic achievements for 2008 – 2009. A total of 51 student-athletes received the All-Conference Award for fall semester 2008. This included athletes from women’s cross country, football, women’s soccer, and women’s volleyball. A total of 88 received the same award for spring semester 2009, including athletes from baseball, men’s and women’s basketball, men’s golf, softball, men’s and women’s swimming and diving, men’s and women’s tennis, and women’s track and field. To be eligible for this award, the student must have completed at least one academic term at a member institution while maintaining a cumulative grade point average of 3.0 or better, and be a starter or significant contributor on their athletic team.

Seventy-seven student athletes received the prestigious Mountain West Scholar-Athlete Award for 2008 - 2009, up from 64 last year. This award is the highest academic honor bestowed by the Conference. This included athletes from all of the teams listed above, as well as women’s gymnastics and skiing. To be eligible, the student must have completed at least two academic terms at the member institution, while maintaining a cumulative grade point average of 3.5 or better, and have participated in varsity competition in an NCAA-sponsored sport.

9) Attendance Tracking Pilot Program

The Athletics Department instituted a pilot attendance monitoring program during the 2007-2008 year. Monitoring attendance has been experimented with by college athletics teams and departments. While the reviews are very mixed on its usefulness or effectiveness, the Athletics Department chose to pilot the program and collect data to determine if it made sense to develop a permanent program.

The goal of the program was to improve academic performance. The 2007-2008 academic year was the first year of the program, and was considered a pilot year. The Athletics Department hired monitors to check student athletes’ attendance at class each class period. Daily reports of attendance were forwarded to coaches, and a weekly report was forwarded to coaches and the Athletics Department administrators. Coaches were advised to address absences or tardies with their student athletes to emphasize the importance of class attendance.

The criteria for monitoring include the following: a returning student-athlete with a cumulative GPA of 2.5 or lower, freshmen with an admissions index below 100, transfer students with 2.5 or lower transfer GPA, new students with a diagnosed disability, and any additional student mutually agreed upon by the advisor and coach. Some coaches decided to have their entire team monitored. Given the budget deficits and lack of clear evidence that the attendance monitoring program was responsible for improved academic performance, the decision was made to eliminate the attendance tracking program. The Athletics Academic Standards Committee supports this decision, believing that academic performance is supported in other ways.
To: University of Utah Faculty  
From: John Francis and Susan Olson  
Subject: Excused Absences and Final Examinations

Dear Colleagues,

Now that we are four weeks into Spring Semester, the promise of flowers and final examinations will soon be realized. We would like to call the following to your attention:

First, as you are aware, many of our students are involved in official university activities. Occasionally, these students may be required to travel during the semester to present their research, perform at cultural events, or participate in intercollegiate athletic competition.

University regulations (UPol 6-100, Sec. 15) allow students who are away from campus on official university business the opportunity to make up examinations and assignments missed during their absence. This may be accomplished in a number of ways before students leave campus, at the regularly scheduled time through a proctor at a host institution in some cases, or after they return. While we are aware that absences from campus during classes can interfere with course expectations, we appreciate your understanding of these situations and your cooperation with university programs running student activities by accommodating makeup work.

We would also like to encourage you to use the official final examination period at the end of each semester. While university regulations state that final exams must be given at the times officially set forth by the Scheduling Office, we have received complaints that many students have become overloaded with multiple exams on the final days of the semester. Finals Week is scheduled intentionally to allow students greater preparation time for each of their exams.

Furthermore, some students may be traveling on university business during the last week of classes. Therefore, the makeup policy should be respected throughout that last week.

If you have any questions or concerns, please feel free to contact either of us. We hope that you have a successful and productive remainder of the semester.

Sincerely,

John G. Francis  
Sr. Associate Vice President, Academic Affairs

Susan Olson  
Associate Vice President, Faculty

Distribution of this message was approved by David W. Pershing, Senior Vice President for Academic Affairs, University of Utah Phone (801) 581-5057, 201 S. Presidents Circle, Room 205, Salt Lake City, UT 84112
Gender Equity and Diversity Committee Report

Voting members:
Chair: Paul White, Psychology & Ethnic Studies
Faculty: Kristina Diekmann, Management
Faculty: Howard Lehman, Political Science
Student: Stephanie Neff

Ex-officio Members
Athletics Department Representative: Mary Bowman
Athletics Diversity Administrator: Manny Hendrix
Women’s Resource Center: Debra Daniels
Office of Equal Opportunity and Affirmative Action: Tom Loveridge

INTRODUCTION

The Gender Equity & Diversity Committee reviewed the Equity in Athletics Disclosure Act Report and five-year comparisons of data regarding key indicators of equity. Areas included in the report are athletics participation, grants and scholarships, coaching salaries, travel and recruiting expenses. Also reviewed was the Committee’s Annual Report for the previous year (2007-08). Members of the Committee met in November and December (2008) to plan and review the available data, monitor both accomplishments and deficiencies in equity, discuss goals, and make recommendations for any needed changes. As recommended by the Committee in last year’s report, we met with Dr. Chris Hill (Athletic Director) in the Fall 2008 to get a report and update on the issues raised in the previous Committee report. In addition, as recommended last year, we created a list of potential issues for the Committee to evaluate each year (items are listed below). A draft of the Committee report was distributed via e-mail to all Committee members for their input and the final report is a product of the full committee.

Currently, there are eight topics the Committee identified as gender equity and ethnic diversity issues in this year’s report (which are the same ones used in last year’s report). The topics are Participation rates, Athletic student aid, Equipment and supplies funds, Team travel funds, Recruiting funds, Coaches’ salaries, Diversity general issues, and Retention rates. The other potential topics the Committee developed as indicators for gender equity and ethnic diversity for future reports are Scheduling (games & practice), Tutoring access, Facilities (locker rooms, training & competition facilities), Medical and training services (physicians & trainers, weight room scheduling), Housing and dining services, Publicity, and Support services for coaches and athletes.

Meeting with Dr. Chris Hill (Athletic Director): The Committee met with Dr. Hill (with Dr. Marissa Diener, Chair of the Athletic Advisory Council in attendance) in December 2008 to discuss his reactions to last year’s Committee report and get an update on current issues for our committee. Dr. Hill informed us of issues that the Athletic Department is pursuing related to our Committee, some of which is incorporated into the sections below. Dr. Hill told us that the
Department is raising funds for both a new women’s softball field and a new women’s track & field facilities. In addition, the Department would like to improve the locker rooms for all sports, especially for women’s sports. Dr. Hill suggested that our Committee might want to look into facility usage, access to academic support, access to sports medicine, and track ethnic diversity among the athletes as we do for gender equity (in relation to the university student population, including the Athletic Department’s staff). Finally, he indicated that a department-wide diversity training session was planned for February 2009.

Below are brief descriptive assessments for each of the gender equity and ethnic diversity indicators reviewed along with a graphic depiction of the available data.

1. **Participation**: The Committee is pleased to report that the University of Utah’s Athletics Department is well within the Title IX requirements for athlete participation rates. Women at the U of U participate in sports at a rate slightly above (48.6%) their percentages in the student population (44.9%), which continues a trend of increasing percentage in participation since 2004-05 (see Figure 1). Dr. Hill continues his goal of achieving a 50% rate of sports participation for females.

![Figure 1: Enrollment and participation trends by gender](image-url)
2. **Athletic Student Aid:** There is a discrepancy between men’s and women’s sports in terms of both actual dollars spent, as well as percentage of equivalencies awarded to each gender. In looking at the actual dollars spent per athlete, there is a growing gap since 2004-05 and funds for female athletes decreased from 2006-07 to 2007-08 (see Figure 2). However, two issues need to be considered. First, when excluding football, the gap for 2007-08 between male and female athletes decreases from $1,956 to $475. Second, these hard dollar values are most indicative of the number of resident versus non-resident student-athletes who are receiving an athletic scholarship. The estimated in-state tuition and fees for 2007-08 was $4,486 compared to $14,051 for out-of-state tuition and fees (based on 13 credit hours). The Committee found that of the student-athletes who received aid in men’s sports, 55 were labeled as residents versus 116 labeled as non-residents. For women’s sports, those numbers were 58 residents versus 79 non-residents. Thus, men’s teams undoubtedly will have higher actual dollar values associated with the awarding of scholarship money.

![Athletics Grants-in-Aid Dollars per Athlete](image)

*Figure 2: Average funds spent per athlete for student aid*

As a result, the Committee does not believe the actual dollars spent on scholarships for each gender is a good indicator of the athletics department’s commitment to funding men’s and women’s sports. The Committee believes a better indicator of the athletics department’s commitment to funding is the growth in the percentage of equivalencies awarded to women’s teams. The “equivalency” of a scholarship is the percentage of a full grant-in-aid being received.
by a student-athlete, regardless of whether she or he is classified as a resident or non-resident. In 2003-04, women’s sports accounted for 42% of the maximum amount of equivalency that could be awarded to all student-athletes. That number has grown to 44.2% in 2007-08 and demonstrates that the athletics department is making some progress (+2.2% in 4 years) to close the gap in awarding scholarship funds (see Figure 3). According to Dr. Hill, women’s sports are now fully funded (as are all men’s sports). The Committee again recommends encouraging coaches for the women’s sports to use all of the scholarships available to them for their teams.

Figure 3: Equivalence percentages for student aid
3. **Equipment and Supplies**: Overall, there still exists a discrepancy in the dollars spent for women’s sports for equipment and supplies (per athlete) compared to that spent for men’s sports. It appears that the discrepancy grew in 2007-08 ($1,494 compared to $1,109 in 2006-07). While the exclusion of football closes the gap ($343), this is still an increase from the 2006-07 gap of $124 using the same comparison. The remaining discrepancies are largely explained by the different needs and desires of the sports programs and not based on any inequities in the availability of funds for the men’s and women’s sports. In order to better understand the discrepancy, the Committee recommends continued monitoring of the expenses for football, and increased funding of women’s sports, as needed for equipment.

![Figure 4: Average funds spent per athlete for equipment](image-url)
4. **Team Travel:** In the last two reports, it has been noted that there were discrepancies between the amounts of money expended by men’s and women’s sports for team travel (per athlete). This gap continued to grow overall during the past year. In 2005-06, the gap between men’s and women’s sports was $1,940 ($1,313 excluding football) and increased to $3,126 ($1,929 excluding football) in 2006-07. For 2007-08, the gap is now $3,828 overall ($1,845 excluding football) (see Figure 5). An Athletic Department self-study report (2006-07) suggested that these discrepancies are due to differences in need (particularly relating to post-season competition) and preferences (e.g. dining and per diem arrangements) by the various sports and not due to deficiencies in equity. Dr. Hill suggested conducting future analyses on team travel for non-conference, conference, and post-season schedules to understand the gap. The Committee also recommends that the travel expenditures continue to be monitored and efforts made to reduce some of the discrepancy that exists even when football is not included in the comparison.

![Figure 5: Average funds spent per athlete for travel](image-url)
5. Recruiting: In last year’s report, it was noted that there were discrepancies between the amounts of money expended (per athlete) by men’s and women’s sports for recruitment of student athletes. The discrepancies continue this year, but the gap has narrowed (see Figure 6).

![Recruitment Dollars Spent With and Without Football](image)

**Figure 6: Average funds spent per athlete for recruitment**

Overall, the recruitment expenditures increased for both men’s and women’s sports in 2007-08. In 2006-07, the gap between men’s and women’s sports was $817 ($382 excluding football) and decreased to $496 ($270 excluding football) in 2007-08. Any disparity appears to be the result of recruiting styles of coaches for the various sports and unique circumstances that apply to recruiting in any given sport in a particular year. For example, the preference of the football and men’s basketball coaches is to be out recruiting year-round because the other schools will be out recruiting. However, this is not typically the case for many women’s sports. No policies exist which limit the amount that women’s sports programs can spend on recruiting. The Committee again suggests that coaches, particularly of women’s sports, be welcomed in requesting additional recruitment funds if needed. If these coaches feel that they are adequately funded for recruitment, the existing disparity may not be problematic. As suggested in last year’s report, each sport’s recruitment budget was monitored to see if particular sports were going over or under their budget differentially. Dr. Hill informed us that only women’s volleyball and women’s basketball went over budget for 2007-08, which may account for the closing of the gap. The Committee recommends an assessment from the coaches about their recruiting budgets to
better understand if their recruitment needs are being met. In addition, there should be continued monitoring of the recruiting budgets to see if increases in budget may be warranted to close the gap.

6. Coaches’ Salaries: Current coaches’ salaries (including head coaches and assistants) are characteristic of college athletics both in the Mountain West Conference and nationally. Both men’s and women’s sports have 23 FTE coaching slots filled. Based upon the available data (see Figure 7), the Committee believes that there is relative equity in salary between men’s and women’s sport coaches and that the major disparity is due to the expected larger salaries for men’s basketball and football coaches. These disparities are market, rather than gender, driven. Attention is warranted, however, to continue monitoring these data to reduce the likelihood of the gap widening. In addition, the Committee recommends developing other indices to track this item (e.g., salaries of female and male coaches; salaries as percentage of the market salary nationally and/or in the conference) to better understand coaches’ salaries.

Figure 7: Percentage of coaches’ salaries for men’s and women’s teams
7. **Diversity issues:** As mentioned in our meeting with Dr. Hill, the Committee is developing a list of indicators for diversity issues to be monitored. One item is to track the ethnicity of student athletes in relation to the general student population at the University of Utah. These data could inform us on the percentage of student athletes of color attending and staying at the University compared to the general population. In addition, the Committee recommends monitoring the Athletic Department staff demographics regarding gender and ethnic diversity. With the list now in place, we can begin incorporating those indicators into the annual report.

8. **Retention:** The Committee investigated the number of scholarship students who transfer or discontinue participating in their sport before graduation. In 2007-08, 25 students (7% of the total number of scholarship athletes) left their sport. The number of women was 9 (5% of female athletes) and the number of men was 16 (9% of male athletes). These numbers are down from 2006-07 (37 overall, 15 female, 22 male). Of those who stopped participating in 2007-08, 6 males and 2 females were students of color, which is an overall decrease from 2006-07 (11 males & 2 females), and stops the upward trend since 2003-04. The Committee recommends continued monitoring with attention paid during the exit interviews to see if issues of comfort and treatment arise differently for women and students of color as reasons for leaving.

**Conclusions**

The Gender Equity & Diversity Committee of the Athletics Advisory Council believes that the Athletics Department continues to be doing a very good job of fulfilling its mandate in regards to gender equity. Continued monitoring of all the indicators of gender equity is warranted to ensure that the Athletics Department maintains and improves on an already successful record. Particular attention should continue to be given to preventing the gap from widening in a few particular areas. First, regarding the funds spent for student aid, the gap has been reduced this past year. We recommend encouraging coaches for the women’s sports to use all of the scholarships available to them for their teams. Second, for equipment, we recommend continued monitoring of the expenses for football, and to increase funding of women’s sports, as needed for equipment. Third, with respect to travel expenses, we recommend looking at the team’s non-conference, conference, and post-season schedules, which may explain differences in expenses as a result of more travel due to competitions further away from Utah and more post-season activities. Finally, with recruitment of student athletes, we recommend looking at each sport’s recruitment budget to see if particular sports are going over or under their budget differentially, with the goal of making sure all coaches have sufficient funds for recruitment.

In addition to these items, the committee would like to continue some activities started this year. First, the committee would like to continue to meet with Dr. Hill at the beginning of the academic year to discuss the previous year’s report and plan for the current year. Second, we will continue to develop a list of issues to monitor for the year with Dr. Hill, the Athletics Diversity Administrator (Manny Hendrix) and the Athletics Department Representative (Mary Bowman). Finally, we will incorporate more ethnic diversity issues into its objectives and information gathering.
Compliance Committee Report

Voting members: 2008-2009 Report
Chair: William A. Smith
Faculty: Brian Patrick
Faculty: Paul Tikalsky

Ex officio members
Athletic Dept. Rep.: Chris Hill
General Counsel: Robert Payne
Athletic Dept. Compliance Officer: Kyle Brennan
Registrar’s Office: Suzanne Jones
Financial Aid Office: Derek Boyle
Senior Academic Officer: John Francis

The Athletics Compliance Committee is required to meet twice each academic year, once in the fall and once in the spring, in addition to such ad hoc meetings as may be required. The committee held its scheduled fall meeting on November 24, 2008 and its spring meeting on May 20, 2009.

The following items came before the committee during the 2008-2009 academic year:

1) Internal Audit

NCAA Bylaws require each Division I institution to obtain an evaluation of its rules-compliance program by an authority outside the Athletics Department every four years. The University of Utah met this requirement through reviews conducted by the Mountain West Conference in February 2000 and June 2004. A Mountain West Conference review was scheduled for this year (October 29-31, 2009). Following a major infraction in 2003, action was taken to substantially improve the compliance program. During the 2004-05 academic year, the University completed a thorough review of NCAA compliance operations and developed a comprehensive Compliance Policies and Procedures Manual. In 2005, Bond, Schoeneck & King, PLLC, a law firm with nationally-recognized NCAA expertise, conducted a comprehensive review of Athletics Department compliance policies, procedures, and operations. It was then decided to strengthen monitoring of the compliance program through annual reviews by the University of Utah Internal Audit Department. The initial schedule called for a 5-year review cycle to begin in 2006. Because of the departure of the Athletics Compliance Director, the 2006 review was postponed until the summer of 2007 at the request of Dr. Chris Hill, Director of Athletics, with the concurrence of the Office of General Counsel and the Athletics Advisory Council. After that review, the following 4-year review cycle was approved by the Athletics Advisory Council in the fall of 2007.

In accordance with the agreed upon schedule, the scope of this review included a full department-wide evaluation of five compliance areas plus limited evaluation of selected portions of other areas using a review program published by the Association of College and...
University Auditors. The reviews included samples from all sports with emphasis on Football, Men’s and Women’s Basketball and Gymnastics. There were ten recommendations, with one that this group considered as potentially serious—that Athletics ensure the “Certification of Compliance” form is completed by all required personnel.

On October 22, 2008, the Office of Athletics Compliance submitted a “Response to Review of NCAA Compliance, Playing Year Ended July 31, 2008.” Additionally, during the fall meeting, Kyle Brennan discussed in detail each of the ten recommendations and the one “potentially serious” recommendation. The Office of Athletics Compliance submitted the following response to this “potentially serious” issue:

**Response:** The Athletics Compliance Office accepted an employee form created by the auditors. The form is signed by staff members of the athletics department (including part-time staff members, graduate assistants, and clerical staff). Signing this form is designed to ensure that all employees within the Athletics Department (and those employees who are closely involved with athletics) understand and agree that they must report NCAA violations to the University of Utah’s compliance office, the Mountain West Conference, or the NCAA. After reviewing the form and removing individuals who are no longer employed by the institution, the staff used this form to obtain signatures for the certification of compliance at the mandatory staff orientation meeting in early September. For part-time, contract, and outside department staff members who were not required to attend the meeting, a compliance staff member has attempted to obtain as many signatures as possible by visiting offices of individuals who are listed on the form. The Athletics Compliance Office will ensure, at the very least, all full-time athletics staff members will sign the form (approximately 119 individuals).

Additionally, the faculty athletics representative was enlisted to meet with and interview part-time employees who have a direct contact with student-athletes. On-going discussions will continue about additional people who should sign the “Certification of Compliance” form.

2) **Mountain West Conference Institutional Compliance Review**

The Mountain West Conference Institutional Compliance Review is intended to assist the University of Utah examine its compliance efforts and at the same time allow the Mountain West Conference associate commissioner for compliance to become more familiar with the programs in place at Utah. This review is designed to assess whether the compliance program at Utah possesses certain key components, using a questionnaire, review of selected documents and on-campus interviews.

This institutional compliance review report may be used to satisfy the requirements of NCAA Bylaw 22.2.1.2 (e). Bylaw 22.2.1.2 (e) requires that the institution demonstrate that at least once every four years its rules compliance program is the subject of evaluation by an authority outside of the athletics department.

The institutional compliance review focuses on organization and structure, finance and use of funds, eligibility, financial aid, recruitment monitoring, investigatory and self-reporting processes, student-athlete issues, rules education and the NCAA Academic Performance
Program. The report also includes a brief evaluation of each area and if applicable includes suggested recommendations for improvement.

It is important to note that this is a conference assisted self-study intended to assist Utah examine and improve its compliance program. It should not be viewed as a comprehensive “audit” or as a “seal of approval” relative to the institution’s compliance efforts. Even the most sound compliance program cannot eliminate completely an institution’s ability to prevent or detect violations, and to take appropriate actions should violations occur, consistent with the provisions of Constitution 2.8.1.

While the Mountain West Conference did not find anything that was remotely “potentially serious,” the Office of Athletics Compliance will adjust policies, procedures, and forms, and address all mechanisms implemented or enhanced in response to the recommendations of the contained in the MWC Compliance Review Report. Additionally, the Office of Athletics Compliance will seek the suggestions of the Athletics Compliance Committee in implementing the recommendations contained in the report.

3) Rules Violations and Waiver Requests

As per its charge, the committee reviewed 17 rules violations. Of these 17 violations nine were Level I violations and the eight were Level II. Men’s football had three Level I and one Level II violations. While Women’s basketball and swimming had two Level I violations. The remaining Level I violations were with gymnastics, Men’s basketball, and an institutional violation. The institutional Level I violation was the result of several student-athletes participating in an institutional fundraising event for a nonprofit group without receiving written approval from athletics department administration prior to their participation. Swimming, Sports Information (2), gymnastics, Women’s soccer, football, and volleyball had Level II violations.

The committee also reviewed 18 (eighteen) requests for a waiver of rules submitted by the Compliance Office to the NCAA. The University withdrew three requests; the NCAA denied one (1) request and granted fourteen others (10 fully granted and four with conditions). The committee concluded that high percentage of requests granted indicated that the Compliance Office was doing a good job in making the case for exceptions and that the requests submitted were reasonable and appropriate.

At the spring meeting Kyle Brennan discussed with the committee several cases that involved both a waiver request and a rules violation as a means of demonstrating to the committee members the complexity of the rules and the extensive and authoritative documentation required to submit self-reports and waiver requests.

4) Increased Compliance Education for Parents

The Office of Athletics Compliance created/improved a “Parents’ Compliance Education” document that covers significant areas: 1) statement of compliance principles, 2) representatives of the University of Utah’s athletics interests (boosters), 3) extra benefits, 4) financial aid, 5) amateurism and agents, 6) employment, 7) promotional activities, 8) seasons
of competition -5 year clock, 9) complimentary ticket admissions, 10) consequences of NCAA rules violations, 11) “win the right way!”, along with 12) “two final reminders”—a) how to contact the Office of Athletics Compliance about rules interpretations and b) that extra benefits will immediately jeopardize the collegiate eligibility of their son or daughter.
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