

**THE UNIVERSITY OF WYOMING
BOARD OF TRUSTEES' REPORT**

January 20-22, 2011

**The Final Report can be found on the University of Wyoming Board of Trustees website at
<http://uwadmweb.uwyo.edu/trustees>**

University of Wyoming Mission Statement (March 2009)

The University of Wyoming aspires to be one of the nation's finest public land-grant research universities. We serve as a statewide resource for accessible and affordable higher education of the highest quality; rigorous scholarship; technology transfer; economic and community development; and responsible stewardship of our cultural, historical, and natural resources.

In the exercise of our primary mission to promote learning, we seek to provide academic and co-curricular opportunities that will:

- Expose students to the frontiers of scholarship and creative activity and the complexities of an interdependent world;
- Ensure individual interactions among students, faculty, and staff;
- Nurture an environment that values and manifests diversity, free expression, academic freedom, personal integrity, and mutual respect; and
- Promote opportunities for personal growth, physical health, athletic competition, and leadership development for all members of the University community.

As Wyoming's only university, we are committed to outreach and service that extend our human talent and technological capacity to serve the people in our communities, our state, the nation, and the world.

The primary vehicles for identifying the specific actions and resource allocations needed to accomplish this complex mission are the University's strategic plans, revised periodically.

TRUSTEES OF THE UNIVERSITY OF WYOMING AGENDA
January 20-22, 2011

WORK SESSIONS

Mid-Year Development Update, Blalock	1
Student Satisfaction Survey, Allen/Walter	2
Enrollment Update, Axelson.....	3
Tuition & Fee Update, Vinzant.....	4
East Campus Development Update, Vinzant.....	4
HPG-ATC, Gern	4
Approval of the Athletics Facilities Master Plan Planning Firm, Vinzant	5
Approval of Pre-Development Agreement with American Campus Communities, Vinzant.....	7
Niobrara Minerals Lease Update, Vinzant.....	9

BUSINESS MEETING

Roll Call

Approval of Board of Trustees Meeting Minutes

November 18-20, 2010

Approval of Executive Session Meeting Minutes

November 18-20, 2010

Approval of Special Meeting Minutes (Conference Calls)

December 14, 2010

Reports

ASUW
Staff Senate
Faculty Senate

Public Testimony

Committee of the Whole

REGULAR BUSINESS

1. Board Committee Reports
 - A. Academics and Research (Allen) – Trustee Palmerlee, Committee Chair 10
 - B. Fiscal and Legal Affairs (Vinzant) – Trustee Haynes, Committee Chair..... 10
 - C. Student Affairs/Athletics/Administration/Information Technology (Axelson)
Trustee Rochelle, Committee Chair

CONSENT AGENDA

1. Approval of Contracts and Grants, Gern
2. Personnel, Allen.....
3. Proposed Changes in Reproductive Biology and Biomedical Sciences Degree Programs, Allen
4. Approval of the Athletics Facilities Master Plan Planning Firm, Vinzant

5. Approval of the Pre-Development Agreement with American Campus Communities, Vinzant	32
6. Approval of the Energy Service Company (ESCO) Investment Grade Audit Agreement, Vinzant	33

New Business

Date of Next Meeting – March 3-5, 2011; Laramie Wyoming

Adjournment

Information Only Items (see tab):

1. Progress Report/Change Orders, Vinzant	38
2. Internal Audit Report, K. Miller	43
3. State Matching Funds for Endowments, Buchanan	69
4. Development Report, Blalock.....	71

AGENDA ITEM TITLE: Mid-Year Development Update, Blalock

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify:

Vice President for Institutional Advancement Ben Blalock will provide an update to the Board of Trustees. Materials may be distributed at the meeting.

AGENDA ITEM TITLE: Student Satisfaction Survey, Allen/Walters

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The University of Wyoming conducts three student surveys on a biennial basis, all of which assess student satisfaction on a wide range of topics. The Noel-Levitz (NL) Student Satisfaction Inventory is administered to approximately one half the student sample, while the other half completes the ACT Student Opinion Survey. A third survey, the University of Wyoming Student Opinion Survey (UWSOS), is composed of questions specific to UW and is administered to the entire student sample. The surveys are administered to a total of nearly 1,500 students every two years. The purpose of the surveys is to give UW insight into the issues that matter to students and to identify and respond to areas needing improvement.

The results of all three surveys are periodically examined and compiled by Oliver Walter, dean of the College of Arts and Sciences, and the Data Analysis and Special Projects Team of the UW Enrollment Management Council.

A presentation of results since 1994 will show areas in which UW has made significant positive strides, as well as areas in which the university compares favorably with sister institutions. It will also point out some areas requiring further attention.

WHY THIS ITEM IS BEFORE THE BOARD:

This is an information item only

ACTION REQUIRED AT THIS BOARD MEETING:

None

AGENDA ITEM TITLE: Enrollment Update, Axelson

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

At the beginning of each regular semester, information is orally presented on preliminary estimates for that semester's enrollment. Official counts for the 2011 spring semester will be taken on January 31 (the 15th class day of the semester). A full report will be presented at the March Board of Trustees meeting.

WHY THIS ITEM IS BEFORE THE BOARD:

This information is presented for the general information of the Trustees.

AGENDA ITEM TITLE: Tuition & Fee Update, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify: Committee of the Whole (Consent Agenda)

Vice President for Administration Douglas Vinzant will provide an update to the Board of Trustees. Materials may be distributed at the meeting.

AGENDA ITEM TITLE: East Campus Development Update, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify: Committee of the Whole (Consent Agenda)

Vice President for Administration Douglas Vinzant will provide an update to the Board of Trustees. Materials may be distributed at the meeting.

AGENDA ITEM TITLE: HPG-ATC, Gern

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify:

Vice President for Research and Economic Development Bill Gern will provide an update to the Board of Trustees. Materials may be distributed at the meeting.

AGENDA ITEM TITLE:

Approval of the Athletics Facilities Master Plan Planning Firm, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify: Committee of the Whole (Consent Agenda)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The 2003 Athletic Strategic Plan provided the basis for the \$35 million received in a capital campaign and state matching funds. That funding has supported completion of these major projects:

- Jonah Field Turf
- Upper Stadium Concourse Concession and Restroom Improvements
- Outdoor Track
- Indoor Practice Facility
- East Stadium Club & Suites along with lower level concessions and restroom improvements

In the same period major maintenance funding supported improvements in the following facilities:

- Upper West Stadium seating replacement
- Upper Stadium Frame repairs
- Lower East Stadium ADA improvements and repairs
- Upper East Stadium ADA improvements

To maintain the University's standing with Title IX, the Indoor Tennis facility is under construction and will complete nearly all of those athletic facilities envisioned in the 2003 Strategic Plan. Those projects not completed in the 2003 Strategic Plan will be carried into the next strategic planning cycle.

Many improvements in the athletic facilities have been accomplished over the last several years, but many improvements remain. The Athletic Department envisions several opportunities that may exist to improve the University's ability to recruit and retain high caliber coaches and student athletes. Those opportunities may exist in Men's and Women's Basketball facilities, Men's and Women's Swimming facilities, and Men's and Women's Golf among other University teams. A new strategic plan or master plan is needed to review several of the existing facilities and discover whether the facilities can be improved or if new facilities are more cost effective for the University.

The master plan will require specialized athletic expertise in the areas of swimming basketball, and golf venues along with game day support to improve fan experiences and attendance. That specialized expertise along with the on-campus facility expertise is necessary to plan the future facilities.

The Facilities Planning Office has publicly advertised the Request for Qualifications for master planning expertise. Seven firms responded with the statements of qualifications. The Athletic Facilities Master Plan team will interview four of the responding teams on January 6, 2011. The Athletics Facilities Master Plan Team and the Facilities Planning Office recommends the following ranking of planning teams:

1. Sink Combs & Dethlefs, Denver, CO
2. Populus, Kansas City, MO
3. AECOM/Ellerbe Becket, Fort Collins, CO/Kansas City, MO

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

None

WHY THIS ITEM IS BEFORE THE BOARD:

Authorization is required from the Board of Trustees to contract with a planning and design firm for professional services.

ARGUMENTS IN SUPPORT:

The funding for the professional services is available through internal allocations of funds by the Athletic Department and the Vice President for Administration.

ARGUMENTS AGAINST:

None

ACTION REQUIRED AT THIS BOARD MEETING:

Authorization to contract with the recommended firm for professional planning and design services to complete the 2011 Athletic Facilities Master Plan.

PRESIDENT'S RECOMMENDATION:

It is recommended that the Board of Trustees of the University of Wyoming authorize the contracting with the recommended planning and design firm for the Athletic Facilities Master Plan.

AGENDA ITEM TITLE: Approval of the Pre-Development Agreement with American Campus Communities, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify: Committee of the Whole (Consent Agenda)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Over the past decade, the University has conducted multiple surveys and a major market analysis that resulted in the December 2002, *Comprehensive Housing Facility & Fiscal Plan*, that has guided the redevelopment of the University's residence halls and student apartments.

Based on the survey and planning data, the University has identified the need for alternative housing options for students who are not required to live in the residence halls. In the past 18 months, the University has conducted an RFQ/RFP process and selected American Campus Communities (ACC) as a development partner. The University and ACC have worked collaboratively to determine the feasibility of a townhouse/apartment community on the site that is now vacant after the demolition of the old apartment complex known as Summit View.

The University is now prepared to enter into a pre-development agreement that will define the responsibilities and obligations of the University and ACC with regard to pre-development activities and costs associated with the proposed housing development project.

Terms of the Pre-Development Agreement

1. ACC will perform the following tasks:
 - In consultation with the University, select the professional consultants necessary for the planning, market analysis, financing, design, engineering, and construction of the project;
 - In consultation with the University, prepare preliminary drawings, conceptual designs, schematic designs and specifications for the project;
 - Conduct a detailed assessment of the site including title review, soil and geotechnical testing, engineering and storm water analysis and an environmental site assessment (if necessary);
 - Prepare a final pro-forma analysis related to the development, construction, financing and operation of the project;
 - Obtain all necessary governmental approvals and permits;
2. The parties agree that all pre-development expenses will be funded initially by ACC;
3. If ACC and the University enter into a final development agreement, the pre-development costs will be included in the development budget and reimbursed to ACC from financing proceeds at the closing of the construction financing.

4. ACC will provide monthly cost statements to the University during the pre-development phase.
5. If the project does not go forward, the University and ACC will split the pre-development costs on a 50/50 basis.
6. If the University decides to go forward with the project within a five-year period, the University will be obligated to provide payment to ACC for the pre-development costs and the design plans at a rate which will be negotiated.

If the pre-development efforts lead to a viable proposal, the Board will have the opportunity to review and approve the project and the financial structure at the March (and/or May) 2011 BOT meetings. If approved by the Board in the Spring of 2011, the plan is for the project to be completed in time for Fall 2012 occupancy of the new apartments.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

- November 2009 – Discussion of Summit View
- July 2010 (Board Retreat) – Discussion of University Housing Needs and University Debt
- September 2010 – Summit View Redevelopment Discussion

WHY THIS ITEM IS BEFORE THE BOARD:

Board approval of the Pre-Development Agreement is necessary to authorize the University to incur costs for work with ACC to complete documents and analyses which will ultimately be used to determine whether the proposed project is viable for the University and ACC.

ARGUMENTS IN SUPPORT:

The development process has been conducted in incremental steps to conserve University resources and make prudent business decisions regarding the feasibility of the project. The University must incur some potential costs under the terms of the pre-development agreement in order to complete the planning process.

ARGUMENTS AGAINST:

None

ACTION REQUIRED AT THIS MEETING:

Approval of the pre-development agreement between the University and ACC.

PRESIDENT'S RECOMMENDATION:

The President recommends approval of the pre-development agreement.

AGENDA ITEM TITLE: Niobrara Minerals Lease Update, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify:

Vice President for Administration Douglas Vinzant will provide an update to the Board of Trustees. Materials may be distributed at the meeting.

1. Committee of the Whole: REGULAR BUSINESS
Board of Trustees Committee Reports

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify: Committee of the Whole (Regular Business)

A. Academics and Research Committee (Allen)

Trustee Palmerlee, Committee Chair

B. Fiscal and Legal Affairs Committee (Vinzant)

Trustee Haynes, Committee Chair

C. Student Affairs/Athletics/Administration/Information Technology Committee (Axelson)

Trustee Rochelle, Committee Chair

1. Committee of the Whole- CONSENT AGENDA
Approval of Contracts and Grants, Gern

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify: Committee of the Whole (Consent Agenda)

Sponsored Programs

The following sponsored programs are accepted subject to compliance with the University's policies on classified information and protection of human subjects. This report covers the months of October and November 2010.

October 2010

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Albany County	\$8,903	Humstone, Mary M.		American Studies	Laramie West Side Inventory
Amer Society of Plant Taxonomists	\$11,000	Brown, Gregory		Botany	Amer Soc Plant Taxonomists Operational Support
American Diabetes Assoc	\$22,500	Ren, Jun		Pharmacy	Diabetic Cardiomyopathy
American Kennel Club	\$11,768	Lauenroth, William		Botany	Assessment of grass awn disease in dogs
Booz,Allen,Hamilton	\$50,000	Taylor, David T.		Ag & Applied Economics	Economic Impact of Wyoming Sage Grouse Policy
CA Inst of Tech	\$148,813	Parkinson, Bruce		Chemistry	Powering the planet
Center for Civic Education	\$35,000	Bryant, Carol		Secondary Education	Wyoming/Bolivia Partnership, 2010-11
CO State Univ	\$136,898	Paige, Virginia		Renewable Resources	Water Resources Research, Education and Extension
CO State Univ	\$27,593	Rodi, Alfred		Atmospheric Science	UW King Air Research Aircraft N2UW with Wyoming Cloud Radar and Wyoming Cloud Lidar Measurements in Support of the Light Precipitation Validation Experiment (LPVEX)
Environment Now	\$10,000	Baker, William		Geography	Eastern Cascades fire and forest structure
Fugro William Lettis Associate	\$41,943	Chen, Po		Geology	3D inversion for geothermal reservoirs
Krell Institutes	\$2,000	Mavriplis, Dimitri J		Mechanical Engineering	Graduate Fellowship
KS State Univ	\$30,000	Evans, Jenna		Cooperative Ext Serv	4-H/Military Club Grant
KS State Univ	\$92,000	Evans, Jenna		Cooperative Ext Serv	Military 4-H Grant
KY, Univ of	\$21,583	Gomelsky, Mark		Molecular Biology	Hms phenotype of Yersinia pestis
MT State Univ	\$15,000	Kniss, Andrew	Smith, Richard Douglas & Franc, Gary D.	Plant Sciences	Integrated Management of Wheat Stem Sawfly, Fusarium Crown Rot, and Grassy Weeds
ND, Univ of	\$139,058	Latchininsky, Alexandre		Renewable Resources	Upper Midwest Aerospace Consortium (UMAC)
New Orleans, Univ of	\$39,857	Barbier, Edward Burr		Economics/Finance	Quantifying Ecosystem Services in Coastal Louisiana
OR, State of	\$237,201	Wambeam, Rodney		WY Survey & Analysis Center	SPF-SIG Evaluation
Texas A&M	\$84,919	Peck, Dannele Elaine		Ag & Applied Economics	Livestock-wildlife interactions

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
TX, Univ of	\$55,228	Bowen, Anne		Psychology	Tanzanian AIDS Prevention Project – Stigma and Social Support Study (TAPP S3)
University Corporation for Atm	\$11,600	Gern, William A.		VP Research	Chet Lockhard travel
US Dept Ag ARS	\$30,150	Miller, Myrna		Veterinary Sciences	Support for Rift Valley Fever Vaccine Evaluation Studies
US Dept Ag FS	\$200,000	Ben-David, Merav	Flaherty, Elizabeth A.	Zoology	Small mammal responses to Tongass young-growth thinning
US Dept Ag NIFA	\$700,000	Norton, Urszula		Plant Sciences	Soil Carbon and Nitrogen Dynamics in Organic Crop and Animal Feed Production
US Dept Ag NIFA	\$149,911	Cammack, Kristi		Animal Science	Partnerships with New Zealand
US Dept Ag NRCS	\$50,000	Oakleaf, James R.		WY Geographic Info Sci Ctr	NRCS Wildlife Inventory Resources Locator and Cultural Assessment Resource Locator Upgrade and Maintenance Proposal (WIRL and CARL)
US Dept Ag NRCS	\$1,925	Leonard, Andrea		Ag Dean	AgriFuture Conference student stipends
US Dept Ag NRCS	\$36,000	Bastian, Chris		Ag & Applied Economics	Estimating WY Agricultural Land Values
US Dept Ag RMA	\$10,000	Ehmke, Cole C	Hewlett, John P. & Edwards, Jeffrey & Paulson, Deborah Dawn	Ag & Applied Economics	Supporting Local Food Producers in Eastern Wyoming
US Dept Ag RMA	\$6,931	Ehmke, Cole C	Hewlett, John P. & Frost, Sandra M.	Ag & Applied Economics	A Challenge Group for the Big Horn Basin of Wyoming
US Dept Ag RMA	\$293,000	Hewlett, John P.		Ag & Applied Economics	Crop Insurance Education for Wyoming Agricultural Producers 2010-11
US Dept Commerce NIST	\$92,588	Stewart ,Larry Ray		Manufacturing Works	Provide services to manufacturers and technical businesses in Wyoming
US Dept Ed	\$288,000	Salmon, Zackie S.		Student Ed Opportunity	McNair Scholars Program PY2010
US Dept Ed	\$2,500	Aagard, Tammy L.		Student Financial Aid	Teacher Ed Assistance/College
US Dept Ed	\$623	Aagard, Tammy L.		Student Financial Aid	SEOG Grant 10-11
US Dept Ed	\$10,711	Aagard, Tammy L.		Student Financial Aid	Academic Competitive Grant
US Dept Ed	\$24,600	Aagard, Tammy L.		Student Financial Aid	Ntl Science/Math Access
US Dept Ed	\$415,724	Aagard, Tammy L.		Student Financial Aid	Pell Grant 10-11

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Dept Energy	\$5,000,000	Surdam, Ronald		School Energy Resources	CO2 storage site in WY
US Dept Energy	\$190,000	Parkinson, Bruce		Chemistry	Water Photoelectrolysis
US Dept Energy	\$45,000	Naughton, Jonathan	Balas, Mark J.	Mechanical Engineering	WT Blade Characterization and Control
US Dept Health & Human Services NIH	\$234,890	Du, Min		Animal Science	Activated Protein Kinase in Cell Differentiation during Muscle Development Affected by Maternal Obesity (AMPK in fetal muscle development)
US Dept Health & Human Services NIH	\$277,307	Jarvis, Donald		Molecular Biology	Transgenic silkworm system
US Dept Health & Human Services NIH	\$250,000	Ren, Jun		Health Science Dean	WY Idea Networks of Biomedical Research Excellence (INBRE) Renovation
US Dept Interior BLM	\$30,000	Caffrey, Paul		WY Geographic Info Sci Ctr	Maintenance and Enhancements to Wyoming's NHD/WBD
US Dept Interior BLM	\$21,000	Heidel, Bonnie		WY Natural Diversity Database	Rare Plant Species Status
US Dept Interior BLM	\$127,663	Caffrey, Paul	Miller, Scott N.	WY Geographic Info Sci Ctr	Salt-Energy Dvlp Watersheds
US Dept Interior NPS	\$100,000	Harkin, Michael	Sanders, Paul H.	Anthropology	Historic Context for Yellowstone
US Dept Interior USGS	\$150,000	Cornish, Todd	Kauffman, Matthew & Edmunds, David R.	Veterinary Sciences	Chronic Wasting Disease (CWD) in Mule Deer
US Nat'l Science Foundation	\$74,641	Shaw, Scott R.		Renewable Resources	CAPEA: Caterpillars and Parasitoids in the Ecuadoran Andes
US Nat'l Science Foundation	\$22,965	Baker, William		Geography	Spatial analysis of sagebrush fires and landscapes
US Small Business Administration	\$100,000	Kline, Jill		Small Business Development Center	Federal and State Technology Partnership Program (FAST)
UT State Univ	\$153,702	Freeburn, James		Ag Experiment Station	2010 Western SARE PDP Administrative Support
UT State Univ	\$37,090	Freeburn, James		Ag Experiment Station	2010 Western SARE PDP Special Outreach Travel
UT State Univ	\$62,105	Freeburn, James		Ag Experiment Station	2010 SARE/NACAA Fellows Program
UT State Univ	\$24,990	Cammack, Kristi		Animal Science	Residual Feed Intake in Ewes

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Various Sponsors	\$8,115	Wambeam, Rodney		WY Survey & Analysis Center	Conduct the Community Level Prevention Framework Evaluation 2010
Various Sponsors	\$31,150	Mealor, Brian		Plant Sciences	Mgt/Invasive Rangeland Weeds
Various Sponsors	\$1,120	Walrath, David		Mechanical Engineering	Small Business Engineering Assistance
Various Sponsors	\$317	Root-Elledge, Sandra Lee		Wyoming Institute for Disabilities	Fee Book Income
Various Sponsors	\$2,373	Wolverton, Diane	Kline, Jill K.	Small Business Development Center	Small Business Development Centers
Various Sponsors	\$16,650	Peterson, Eric M.	Schamber, Robin Anne	Cooperative Ext Serv	Various Sponsored Sublette County Extension Programs
Various Sponsors	\$2,533	Ford, Stephen		Animal Science	Fetal Programming
Various Sponsors	\$44,266	Lake, Scott		Animal Science	Research Laboratory Expenses
Various Sponsors	\$17,018	Ellsworth, Peter C.		Science & Mathematics Teaching Ctr	Support
Various Sponsors	\$20,317	Hess, Bret		Animal Science	Livestock Grazing Symposium
Various Sponsors	\$20	Root-Elledge, Sandra Lee		Wyoming Institute for Disabilities	UAP Technical Assistance
Various Sponsors	\$330	Clarke, Pamela		Nursing	Nursing Schools Program Development
Various Sponsors	\$394	Redder, Alan		WY Natural Diversity Database	Database Management
Various Sponsors	\$25	Hamerlinck, Jeffrey		WY Geographic Info Sci Ctr	Spatial Data and Visualization Center
Virginia Polytech Inst	\$315,289	Norton, Jay	Arnould, Eric J. & Norton, Urszula & Peck, Dannele Elaine & Press, Melea D.	Renewable Resources	Conservation agriculture production systems in eastern Uganda and western Kenya
WA, Univ of	\$6,552	McEchron, Matthew		WWAMI	Medical Student Counselor 10-11
WA, Univ of	\$74,000	McEchron, Matthew	Hubbell, Colleen	WWAMI	WY Model States Area Health Educaiton Center (AHEC)
WY Animal Damage Mgmt Board	\$5,750	Kauffman, Matthew		Zoology	Absaroka Elk Ecology Project
WY Arts Council	\$6,788	Selting, Leigh	Kirkaldie, Katherine Iris & Knight, Marsha Fay & Wilson, Margaret Ann	Theatre/Dance	Grants to Organizations (GTO) FY2011: UW Theatre and Dance: Multiple Projects
WY Business Council	\$691,409	Wolverton, Diane	Kline, Jill K.	Small Business Development Center	Rock Springs

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
WY Business Council	\$133,887	Wolverton, Diane	Kline, Jill K.	Small Business Development Center	Procurement Technical Assistance Center (PTAC) for training small businesses throughout Wyoming in selling their products and services to federal, state, or local governments
WY Cultural Trust Fund	\$6,000	Sandeen, Eric J.		American Studies	Heart Mountain Barracks in the Contemporary Wyoming Landscape Utilities
WY Dept Environmental Quality	\$4,366,324	Scott, James L.		Physical Plant	
WY Dept Family Services	\$2,362,113	Wardlaw, Mary		Family/Consumer Sci	Wyoming Supplemental Nutrition Assistance Program Education FFY 2011-2013 (3-Year SNAP-Ed Plan State and Counties)
WY Dept Health	\$150,000	Fleming, Deborah Kay		Wyoming Institute for Disabilities	Wyoming Caring With Confidence
WY Dept Health	\$35,000	Beshkov, Hristiyan	Feldman, Laura L. & Lorenz, Michelle Oliva Delapp & Anatchkova, Bistra B.	WY Survey & Analysis Center	WY Tobacco Prevention
WY Game & Fish	\$100,000	Oakleaf, James R.	Hamerlinck, Jeffrey D.	WY Geographic Info Sci Ctr	Research & Development of a GIS-Based Wildlife Resource Management & Mitigation Decision Support System Tool (DSS)
WY Game & Fish	\$20,000	Stahl, Peter D.	Tanaka, John	Renewable Resources	Energy development and wildlife database organization
WY Humanities Council	\$1,702	Zare, Bonnie S.		Woman's Studies	Bollywood Cinema
WY Humanities Council	\$500	DeNapoli, Antoinette		Religious Studies	Buddhism in the American West
WY Weed & Pest Dstrct	\$28,000	Collier, Timothy		Renewable Resources	WY Weed Support for Biological Control Position

Sponsored Programs

TOTAL 10/2010 \$18,894,822

Total From 7/2010 \$9,673,576

Total From 8/2010 \$8,024,448

Total From 9/2010 \$12,394,036

Total Year to Date 7/2010-10/2010 \$48,986,882

INSTITUTIONAL AWARDS WYOMING DEPARTMENT OF ENVIRONMENTAL QUALITY FISCAL YEAR 2011

Gern, William & Ballard, Robert	VP Research	High Plains Gasification	WY Dept Environmental Quality	\$5,000,000
Northam, Mark A.	School of Energy Resources	Advancement of Energy Resources	WY Dept Environmental Quality	\$15,400,000.00
Ballenger, Nicole Susan	Associate Provost	ARRA Academic Purposes Fund SFSF	WY, State of	\$5,200,000.00 \$677,519.00
Northam, Mark A.	School of Energy Resources	Clean Coal Technology	WY, State of	
			TOTAL Inst 10/2010	<u><u>\$26,277,519</u></u>
		GRAND TOTAL		\$75,264,401

November 2010

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
CO State Univ	\$44,610	Burke, Ingrid		Institute of Environmental & Natural Resources	Electronically Steerable LiDar
Corporation Public Broadcasting Larimer County	\$271,173 \$12,000	Schwartz, Jon Dorssom, Michael D.		Wyoming Public Radio WY Survey & Analysis Center	Grant 2011 Triennial Community Health
MT, State of	\$131,840	Anatchkova, Bistra	Harnisch, Brian J.	WY Survey & Analysis Ctr	MT Adult Tobacco Survey FY2011
MT, Univ of	\$480,200	Pierre, John W.	Muknahallipatna, Suresh	Electrical Engineering	Mode Meter Development for WISP
Nat'l Fish & Wildlife Foundation	\$26,203	Newsome, Seth		Zoology	Diets of Breeding Bald Eagles
Stillwater Ecosystem Watershed	\$11,000	Riebe, Clifford		Geology	Cosmogenic Nuclides in the Santa Clara River Watershed
Supercritical Fluids	\$200	Radosz, Maciej		Chemical/Petroleum Engr	Thermodynamic Data for Polymer Systems
US Dept Ag NIFA	\$50,000	Krall, James		Plant Sciences	Legume adoption practices
US Dept Commerce NIST	\$265,000	Stewart, Larry Ray		Manufacturing Works	Growth Transformation/Innovatn
US Dept Defense ONR	\$157,028	Legleiter, Carl		Geography	Remote sensing of rivers
US Dept Ed	\$62,117	Root-Elledge, Sandra Lee		Wyoming Institute for Disabilities	WIND Assistive Technology Resources (WATR)
US Dept Ed	\$1,300	Aagard, Tammy L.		Student Financial Aid	Academic Competitive Grant
US Dept Ed	\$4,706	Aagard, Tammy L.		Student Financial Aid	Ntl Science/Math Access
US Dept Ed	\$33,814	Aagard, Tammy L.		Student Financial Aid	Pell Grant 10-11
US Dept Energy	\$1,074,759	Piri, Mohammad	Pereira, Luis F. & Furtado, Frederico C. & Ginting, Victor E. & Goual, Lamia & Yin, Shunde	Chemical/Petroleum Engr	Permanent trapping of CO2

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Dept Health & Human Services NIH	\$216,164	Fox, Jonathan		Veterinary Sciences	Mutant huntingtin oligomers and HD pathogenesis
US Dept Health & Human Services SAM	\$97,648	Socall, Daniel W		Counseling Center	Lifesavers Initiative
US Dept Interior BLM	\$70,000	Caffrey, Paul	Miller, Scott N.	WY Natural Diversity Database	Salt-Energy Dvlp Watersheds
US Dept Interior USGS	\$50,000	Chalfoun, Anna Lisa		Zoology	Sagebrush Birds
US Nat'l Science Foundation	\$36,740	Shuman, Bryan		Geology	Earth System History (ESH)
UT State Univ	\$17,742	Islam, Md		Plant Sciences	Improved organic milk production through the use of condensed tannin-containing forage legume
Various Sponsors	\$6,000	Hartung, Cynthia M		Psychology	Teacher Classroom Behavior Management
Various Sponsors	\$956	Wambeam, Rodney	Lorenz, Michelle Oliva Delapp	WY Survey & Analysis Center	Conduct the Community Level Prevention Framework Evaluation 2010
Various Sponsors	\$114	Mealor, Brian		Plant Sciences	Mgt/Invasive Rangeland Weeds
Various Sponsors	\$1,000	Walrath, David		Mechanical Engineering	Wyoming Small Business Engineering Assistance
Various Sponsors	\$27,630	Root-Elledge, Sandra Lee		Wyoming Institute for Disabilities	Fee Book Income
Various Sponsors	\$3,093	Wolverton, Diane	Kline, Jill K.	Small Business Development Center	Small Business Development Centers
Various Sponsors	\$4,250	MacLean, William		Wyoming Institute for Disabilities	UAP Training
Various Sponsors	\$270	Clarke, Pamela		Nursing	Nursing Schools Program Development
Various Sponsors	\$1,323	Redder, Alan		WY Natural Diversity Database	Database Management
Various Sponsors	\$111	Hamerlinck, Jeffrey		WY Geographic Info Sci Ctr	Spatial Data and Visualization Center
Various Sponsors	\$16,100	Krall, James		Plant Sciences	Sustainable Crop Research
Virginia Polytech Inst	\$4,597	Smutko, Leonard		Ag & Applied Economics	Sustainable Ag in NC and VA

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
WY Community Network	\$29,000	Wolverton, Diane	Kline, Jill K. & Gorski, Debbie Kay	Small Business Development Center	Wyoming Community Network
WY Dept Ed	\$100,000	Holt, Philip	Lawson-Borders, Gracie L.	A-S Dean	Teach CHIN1010 WY High Sch
WY Dept Environmental Quality	\$10,000	Mayes, Robert		Science & Mathematics Teaching Ctr	Advcmnt of Energy Resources
WY Dept Health	\$195,905	Wambeam, Rodney		WY Survey & Analysis Center	Core Prevention Evaluation
WY Dept Health	\$7,499	Socall, Daniel W		Counseling Center	Mental Health Awareness
WY Dept Transportation	\$618,061	Kunkel, Paul		Fleet Operations	FY11 5311 Operating Grant
WY Dept Transportation	\$155,861	Kunkel, Paul		Fleet Operations	FY11 5311 Admin Grant
WY Dept Transportation	\$131,200	Kunkel, Paul		Fleet Operations	FY11 5311 Maintenance Grant
WY Dept Transportation	\$43,447	Anatchkova, Bistra		WY Survey & Analysis Center	Wyoming WYDOT Citizen Satisfaction Survey
WY Dept Transportation	\$24,800	Samp, Michael		University Police	Traffic/DUI Enforcement Grant
WY Game & Fish	\$40,000	Shaw, Scott R.		Renewable Resources	Aquatic Beetles in Wyoming
WY State Forestry Division	\$1,500	Lovato, Jill	Tinker, Daniel Bryan	Institute of Environmental & Natural Resources	Bark Beetle Management Conference

Sponsored Programs

TOTAL 11/2010 \$4,536,961

Total From 7/2010 \$9,673,576

Total From 8/2010 \$8,024,448

Total From 9/2010 \$12,394,036

Total From 10/2010 \$18,894,822

Total Year to Date 7/2010-11/2010 **\$53,523,843**

INSTITUTIONAL AWARDS WYOMING DEPARTMENT OF ENVIRONMENTAL QUALITY FISCAL YEAR 2011

Gern, William & Ballard, Robert	VP Research	High Plains Gasification	WY Dept Environmental Quality	\$5,000,000
Northam, Mark A.	School of Energy Resources	Advancement of Energy Resources	WY Dept Environmental Quality	\$15,400,000.00
Ballenger, Nicole Susan	Associate Provost	ARRA Academic Purposes Fund SFSP	WY, State of	\$5,200,000.00
Northam, Mark A.	School of Energy Resources	Clean Coal Technology	WY, State of	\$677,519.00
			TOTAL Inst 11/2010	<u><u>\$ 26,277,519</u></u>

GRAND TOTAL **\$79,801,362**

2. Committee of the Whole- CONSENT AGENDA

Personnel, Allen

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify: Committee of the Whole (Consent Agenda)

A. Items for Action Recommended by the President

APPOINTMENTS

1. Administrators

It is recommended to the Trustees of the University of Wyoming that the following administrator appointments be approved as indicated.

Academic Affairs

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
Hansen, Andrew C.	Associate Provost	\$170,000/FY	01/03/2011 to 06/30/2011

Andrew Hansen received a B.S. (1980) in Civil Engineering from Montana State University, an M.S. (1982) in Mechanical Engineering from the University of Washington, and a Ph.D. (1985) in Mechanical Engineering from Montana State University. Dr. Hansen joined the UW faculty in 1986. Dr. Hansen has served as Academic Coordinator for the School of Energy Resources, Associate Dean for Graduate Program and Research for the College of Engineering and Applied Science and most recently as department head in Petroleum Engineering at UW.

2. Faculty

It is recommended to the Trustees of the University of Wyoming that the following faculty appointments be approved as indicated.

College of Agriculture and Natural Resources

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
<i>Department of Plant Sciences</i>			
Jeliazkov, Valtcho	Associate Professor	\$85,008	12/15/2010 to 06/30/2011

Valtcho Jeliazkov received his M.S. (1983) and Ph.D. (1988) in Agronomy from the Higher Institute of Agriculture in Plovdiv, Bulgaria and second Ph.D. (2001) in Plant and Soil Sciences from the University of Massachusetts. He has been a research professor at Mississippi State since 2005.

Department of Veterinary Sciences

Schumaker, Brant A.	Instructor	\$86,004/FY	10/29/2010 to 06/30/2011
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Dr. Schumaker received a B.S. (2001) in Biological Sciences, M.S. in Preventive Veterinary Medicine (2006), Doctor of Veterinary Medicine (2005) and Ph.D. in Epidemiology (2010) from the University of California Davis. He previously taught in the Department of Medicine and Epidemiology at UC Davis. The title of this tenure-track position will convert to Assistant Professor upon receipt of documentation of degree completion.

College of Arts & Sciences

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
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Department of Zoology & Physiology

Carling, Matthew D.	Assistant Professor	\$72,000/AY	01/10/2011 to 06/30/2011
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Dr. Carling received a B.S. (1997) in Biology from the University of Michigan, M.S. (2002) in Zoology from the University of Idaho and Ph.D. (2008) in Biology from Louisiana State University. Previously, he was a Postdoctoral Associate in the Fuller Evolutionary Biology Program at Cornell University Laboratory of Ornithology.

3. Academic Professionals

It is recommended to the Trustees of the University of Wyoming that the following extended-term-track academic professional appointments be approved as indicated.

College of Agriculture and Natural Resources

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
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Department of Plant Sciences

Obour, Augustine	Assistant Research Scientist	\$40,008/FY	11/04/2010 to 06/30/2011
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Dr. Augustine Obour received a B.S. (2002) in Crop Science from Kwame Nkrumah University in Ghana, an M.S. (2007) in Agronomy and a Ph.D. (2010) in Soil and Water Sciences from the University of Florida. He began as an Academic Professional Research Scientist, Extended Term Track in the Department of Plant Sciences in October 2010. He is based at the UW James C. Hageman Sustainable Agriculture and Research Center (SAREC) in Lingle, Wyoming.

Department of Renewable Resources

Cook, Craig	Research Scientist	\$70,008/FY	11/30/2010 to 06/30/2011
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Craig Cook received his B.S. (1978) in Biology and Chemistry from the University of Utah. He has served as the Laboratory Manager in the Stable Isotope Ration Facility for Environmental Research at the University of Utah since 1985.

College of Arts & Sciences

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
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Department of Geography

Harty, John Patrick	Assistant Lecturer	\$45,000/AY	08/17/2010 to 06/30/2011
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John Harty received his B.S. (1995) in Earth Sciences, an M.S. (2000) in Geography from the University of Utah, and a Ph.D. (2007) in Geography from Kansas State University. Dr. Harty has been a visiting professor in the Department of Geography at the University of Wyoming since 2008.

Department of Zoology & Physiology

Flaherty, Elizabeth A.	Assistant Lecturer	\$52,008/AY	01/10/2011 to 06/30/2011
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Elizabeth Flaherty received her B.S. (2000) in Wildlife and Fisheries Biology and Management for the University of Wyoming, M.N.S. (2002) in Biology from Southeast Missouri State University and Ph.D. (2008) in Zoology and Physiology from the University of Wyoming. She has been a Postdoctoral Research Associate at the University of Wyoming since 2009.

RETIREMENTS

1. Administrators

The individuals listed below have requested retirement on the date and under the conditions cited. It is recommended to the Trustees of the University of Wyoming that these retirements be approved.

Academic Affairs

<u>Name</u>	<u>Rank</u>	<u>Employment Dates</u>
Abernethy, Rollin	Associate Provost	12/04/1978 to 12/22/2010

Professor Abernethy is retiring December 22, 2010 with Emeritus Professor status and board retirement.

GLOSSARY OF PERSONNEL TERMS

Academic Professional

Person other than faculty, engaged primarily in activities that extend and support the teaching, research, extension, and service missions of the University. There are four categories of academic professional: Extension Educators, Lecturers, Research Scientists, Post-Doctoral Associates. Individuals belonging to any of the first three categories can hold extended-term-track appointments under certain conditions.

Academic-Year (AY) Appointments

Appointments in which the regular period of employment includes the fall and spring semesters (nine months) of each year, with no accrual of vacation leave. Most faculty members and academic professionals hold AY appointments. AY employees typically receive their nine-month salaries and benefits spread out over the 12 months of each calendar year.

Adjunct Faculty

An adjunct appointment is the appointment of an individual to an academic unit that recognizes special discipline-related expertise but carries no financial obligation per se. Adjunct appointments can include qualified non-academic personnel or faculty with other academic affiliations. Adjunct appointments carry no rights to remuneration, tenure, or employment-related privileges and are normally for three years, with renewal possible.

Archives Faculty

This special faculty designation is reserved for archivists of the American Heritage Center. Archivists are responsible for acquiring original resource material to support academic research and teaching, organizing the material physically and intellectually, and teaching faculty, students and others to use these materials. There are three archivist ranks: Assistant Archivist, Associate Archivist, Archivist.

Assistant Professor

Indicates tenure-track appointments of individuals who hold the terminal degree in their discipline. This is the usual entry-level faculty rank.

Associate Professor

In addition to the qualifications of an Assistant Professor, Associate Professors have established a strong reputation in scholarship and teaching. Generally, faculty hired as Assistant Professors are promoted to the rank of Associate Professor at the time tenure is granted.

Clinical Faculty

Clinical faculty appointments allow experts in health-related fields to contribute to the training of UW students in allied disciplines. Clinical appointments are for at most one year at a time and carry no rights to tenure or extended terms. Clinical faculty members may be salaried members of the UW faculty, in which case their reappointment is subject to annual performance reviews. There are also adjunct clinical faculty appointments, which typically involve health-care professionals whose normal employment is outside the university. Adjunct clinical appointments carry no financial commitment from the University.

Emeritus Faculty

Tenured faculty who retire after long and distinguished service are eligible for emeritus status upon their retirement. The designation is honorary and carries no necessary commitment of space or remunerative employment. By analogy, extended-term academic professionals may be eligible for emeritus status upon retirement. (Emeritus=masculine, emerita=feminine, emeriti=plural)

Extended-Term Appointment

Academic professionals who have successfully completed probationary terms (usually six years) may receive six-year appointments called extended-term appointments. The term also applies to certain librarians and archivists who hold faculty status. These employees are eligible for extended-term appointments after five-year probationary periods. Extended terms for these employees are five years in length. Academic professionals, librarians, and archivists who are in the probationary period are on the extended-term-track.

Extension Educator

These academic professionals provide non-credit education to off-campus clientele through UW's Cooperative Extension Service. There are three ranks of Extension Educators: Assistant Extension Educator, Associate Extension Educator, Senior Extension Educator. All Extension Educators are in the College of Agriculture.

Faculty

Members of the permanent faculty include tenured or tenure-track Assistant Professors, Associate Professors, and Professors. Also included are tenure-track individuals who hold the rank of Instructor while completing their terminal degrees. Librarians and archivists also hold faculty status. They are eligible for extended terms instead of tenure.

Fiscal-Year (FY) Appointments

Appointments in which the regular period of employment is the entire calendar year, with accrual of annual vacation leave. Faculty members who hold administrative positions with summer responsibilities often have FY appointments for the duration of their administrative terms.

Full-Time Equivalent (FTE)

A measure of the time commitment expected of an employee or a set of employees. For example, two full-time employees or four half-time employees constitute 2.0 FTE.

Instructor

Tenure-track faculty member who does not yet hold the terminal degree in the appropriate field. UW requires verification of degrees in the form of official transcripts. UW does not grant tenure to faculty members who hold Instructor status at the time of the decision.

Leave of Absence Without Pay

Academic and administrative personnel may request leaves without pay for periods normally not in excess of one year, for purposes consistent with the professional enhancement of the employee and the advancement of the University's stature.

Lecturer

A category of academic professional involved largely in classroom instruction. Lecturers may be appointed to three ranks: Assistant Lecturer, Associate Lecturer, Senior Lecturer.

Library Faculty

This faculty designation applies to employees of the University Libraries. There are three ranks of library faculty: Assistant Librarian, Associate Librarian, Librarian.

Part-Time Employee

Any employee holding less than a full-time equivalent position (FTE less than 1.0).

Post-Doctoral Associate

Post-Docs are doctorally qualified academic professionals seeking greater professional development and research investigation, before obtaining permanent employment. Post-Doctoral appointments are temporary.

Probationary Faculty

This term refers to tenure-track faculty members who are working toward tenure and to academic professionals, library faculty, and archive faculty who are working toward extended-term contracts. The probationary term for academic professionals is generally six years, with yearly reviews and re-appointments. For librarians and archivists, it is five years. Faculty members who are on tenure-track appointments typically undergo the review for tenure in the sixth year of employment.

Professional Development Leave

Extended-term academic professionals who have completed six years of service at the University are eligible for professional development leave. The purpose of development leave is to enhance performance, to conduct special studies, or in some other way to enhance an individual's ability to contribute to the University. Development leaves can be granted with or without pay, are the prerogative of the academic unit in which the academic professional is located, and are generally similar to sabbatical leaves for faculty.

Professor

In addition to the qualification of an Associate Professor, "full" Professors have attained wide recognition in their professional fields for scholarship or other creative activity and have gained recognition for superior teaching and service.

Research Professor

Person with demonstrated superior capacity for research contributions, who is employed solely on external funds, and who holds a terminal degree. These appointments are made only at the Professor level and for not more than one year at a time. They are renewable.

Research Scientist

An academic professional whose primary responsibility is to conduct research. There are three ranks for Research Scientists: Assistant Research Scientist, Associate Research Scientist, Research Scientist.

Review Year

Year in which a reappointment review occurs for probationary employees. Normally, tenure-track faculty members undergo mandatory reappointment reviews in their first, second, and fourth years, with optional reviews in the third and fifth years. A review for the tenure decision occurs no later than the sixth year. An explanatory flow chart appears at the end of this glossary. In some cases employees start with credit toward a tenure or extended-term decision, based on their previous experience. In these cases the review year is the number of years of service at UW plus the number of years of credit.

Sabbatical Leave

Sabbatical leave may be granted to any tenured member of the faculty for the purposes of increasing professional competence and usefulness to the University. A minimum of six years' service at the University must precede each period of sabbatical leave, although no right accrues automatically through lapse of time. Sabbatical leaves are normally granted for either a half year (full pay) or a full year (60% of salary). A faculty member who fails to return to the University after a sabbatical leave must repay the amount of compensation received from the University during the sabbatical. Faculty members may not use sabbatical leaves to pursue degrees.

Temporary Appointment

A short-term appointment without rights to tenure or extended term. Most temporary appointments are for one semester or one academic year.

Tenure-Track Appointment

Indicates a probationary faculty appointment prior to the award of tenure. Tenure-track positions generally require six years to tenure, but fewer years may be required based upon level of previous experience and accomplishments.

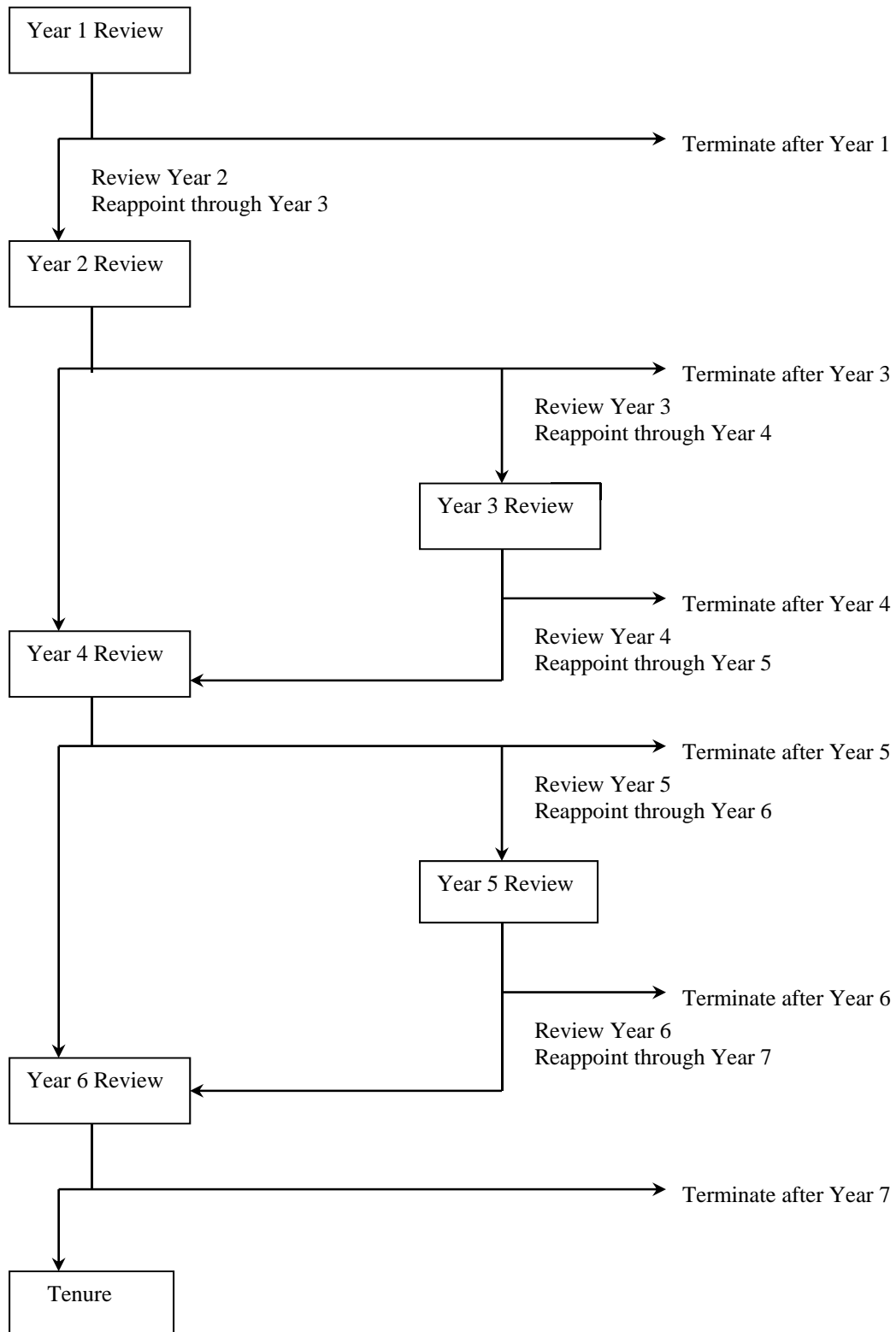
Terminal Degree

Typically the highest earned degree in a field of study. Examples include the Ph.D. (a variety of fields), the M.D. (medicine), the Ed.D. (education), M.F.A. (fine arts), M.Arch. (architecture), and J.D. (law).

Visiting Appointment

Indicates a non-permanent, non-tenure-track faculty appointment. Most visiting appointments are for one year.

FLOW CHART FOR FACULTY REAPPOINTMENTS



B. Items for Information

The changes in appointments and reappointments listed below are for the information of members of the Board of Trustees.

CHANGES IN APPOINTMENTS

1. Administrators

College of Health Sciences

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
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Family Medicine Residency Program - Casper

Robitaille, Beth C.	Acting Director	\$171,792/FY	11/01/2010 to 06/30/2011
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Dr. Robitaille will serve as Acting Director of the Family Medicine Residency Program in Casper. She is also a Clinical Associate Professor in the College of Health Sciences.

2. Faculty

College of Health Sciences

<u>Name</u>	<u>Rank</u>	<u>Salary</u>	<u>Appointment Period</u>
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Family Medicine Residency Program - Casper

Trent, Stephan N.	Director	\$180,672/FY	06/01/2008 to 10/31/2010
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Dr. Trent will continue to be a Clinical Associate Professor in the College of Health Sciences. He will continue to serve as the Program Director of the Osteopathic track.

3. Committee of the Whole- CONSENT AGENDA

Proposed Changes in Reproductive Biology and Biomedical Sciences Degree Programs, Allen

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify: Committee of the Whole (Consent Agenda)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Consistent with proposals from and consultation with affected faculty members, the Office of Academic Affairs proposes the following changes to UW's interdisciplinary life science graduate programs:

1. Absorb the existing Ph.D. program in Reproductive Biology into the recently established Ph.D. program in Biomedical Sciences. After this change, transcripts of students completing this concentration will include the notation "Biomedical Sciences/Reproductive Biology."

This action will have the practical effect of eliminating the Reproductive Biology Ph.D. as a stand-alone degree program, in favor of offering doctoral education in reproductive biology as a concentration within the more broadly encompassing Biomedical Sciences Ph.D. program.

2. Convert the existing M.S. program in Reproductive Biology to an M.S. in Biomedical Sciences. For students who complete the curriculum in the field of reproductive biology, transcripts will include the notation "Biomedical Sciences/Reproductive Biology."

This action will have two practical effects. First, it will change the name of an existing M.S. program, without reducing intellectual opportunities for students and faculty members to pursue education and research in reproductive biology. Second, it will open pathways for current and prospective students in other concentration areas to pursue M.S. degrees in biomedical science, without requiring a proliferation of new distinct degree programs. Examples of possible transcript notations in other concentration areas aligned with UW faculty expertise are "Biomedical Science/Kinesiology", "Biomedical Science/Nutrition", "Biomedical Science/Toxicology", and "Biomedical Science/Biomedical Engineering".

Administratively, the proposed changes will reduce, by one, the overall number of distinct Ph.D. programs on the official master list approved annually by the Board of Trustees. The changes will leave unaffected the overall number of distinct M.S. programs.

Academically, the proposed changes are consistent with the strategy outlined in *University Plan 3* (see especially Action Item 59, Doctoral program in biomedical sciences). This strategy organizes UW's multi-college faculty strength in four key areas of the life sciences via an array of interdisciplinary graduate programs. During the past decade, programs of this type have expanded opportunities for synergy among faculty members and students housed in several colleges, including Agriculture and Natural Resources, Arts and Sciences, Engineering and Applied Science, and Health Sciences. The next paragraph describes prior Trustee actions that have advanced this strategy.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

- March 2010 - the Board of Trustees approved the Ph.D. in Biomedical Science. This action established a complete array of board-approved degree programs for interdisciplinary doctoral study in the life sciences, listed chronologically as follows:
 - Neuroscience
 - Ecology
 - Molecular and Cellular Life Science
 - Biomedical Science

The actions proposed in this narrative solidify the last step, by housing a previously existing doctoral program under the aegis of the Biomedical Science program and expanding the associated M.S. program to accommodate other areas of UW faculty expertise in biomedical science.

WHY THIS ITEM IS BEFORE THE BOARD:

The Board of Trustees has authority over name changes of UW's degree programs and majors.

ARGUMENTS IN SUPPORT:

The proposed actions simplify UW's life science degree offerings, offering students greater choice among areas of concentration within biomedical science and facilitating further cross-departmental and cross-college collaboration among faculty, academic professional, and student researchers.

ARGUMENTS AGAINST:

None

ACTION REQUIRED AT THIS BOARD MEETING:

The proposal appears on the consent agenda for approval by the Board.

PRESIDENT'S RECOMMENDATION:

President Buchanan recommends approval.

4. Committee of the Whole- CONSENT AGENDA

Approval of the Athletics Facilities Master Plan Planning Firm, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify: Committee of the Whole (Consent Agenda)

5. Committee of the Whole- CONSENT AGENDA

Approval of the Pre-Development Agreement with American Campus Communities, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify: Committee of the Whole (Consent Agenda)

6. Committee of the Whole- CONSENT AGENDA

Approval of the Energy Service Company (ESCO) Investment Grade Audit Agreement, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify: Committee of the Whole (Consent Agenda)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The President of the University signed on to the American College and University President's Climate Commitment in April 2007 with the goal of reducing the University carbon footprint over time. Carbon reductions could include energy conservation, water conservation, more efficient buildings and efficient transportation systems. The goals toward achieving carbon neutrality of the Climate Commitment are formalized in the University's Climate Action Plan. In addition to that commitment, the University wants to ensure that University facilities are as energy efficient as possible.

The processes of an Energy Services Company (ESCO) presented an opportunity for the University to achieve a level of energy and envelope improvements that could be funded through a financial mechanism utilizing utility savings. An ESCo would perform an Investment Grade Energy Audit that would identify several Energy Conservation Measures (ECMs) that would collectively provide the funding to construct the recommended modifications. The ESCo will guarantee the energy savings over a period of time, 15 years by Wyoming State Statute, allowing a financial mechanism similar to a bond to be issued for the funds to construct the ECMs. Examples of ECMs are more efficient ventilation and heating systems, more efficient lighting, building automation systems managing the building systems operations and operating hours, insulation improvements to the building envelope, and low flow plumbing fixtures such as toilets.

A team of individuals under the Vice President for Administration represented by the Associate Vice President of Administration, Facilities Planning and the Physical Plant were charged to investigate and determine whether the University could benefit from the services of an ESCo. E/S3 Consultants was commissioned to assist the University with the acquisition of an ESCo to perform a pilot project of 11 buildings. E/S3 has extensive experience in energy conservation programs and energy performance contracts including the former Wyoming Energy Conservation Improvement Program (WYECIP) for public entities under the Wyoming Business Council. The consultant, the Facilities Planning Office and the University Counsel's Office developed contract forms for the Investment Grade Audit (IGA) and the Energy Performance Contract (EPC) incorporating the standards of the ESCo industry and the University standards for design and construction of capital projects. The contract forms establish the basis of performance by an ESCo with the University and were provided to each ESCo during the selection process. The IGA and the EPC are the two phases of completing an ESCo project.

The ESCo process is similar to a design-build process wherein the IGA requires a level of design, engineering and construction expertise to identify the ECMs along with the utility savings to be guaranteed and the Guaranteed Maximum Price for the construction of the ECMs acceptable to the University. Upon completing the financing, the EPC completes the design, the construction and verification of those ECMs.

The University chose to utilize the Request for Qualification (RFQ) and the Request for Proposal (RFP) process typically utilized on capital projects to acquire the services of a Design-builder or Construction Manager-at-Risk.

The RFQ identified the University's desire to establish a pilot project utilizing the services of an ESCo involving eleven university buildings representing a cross section of building types on the campus:

- Agriculture 'C'
- Arts & Sciences
- Centennial Complex
- Education
- Education Annex
- Engineering
- Old Main
- State Chemistry and Veterinary Lab
- Wyoming Hall
- Bureau of Mines (WRI)

The RFQ established the process and criteria for those ESCos to provide their qualifications and financial capabilities along with references from their past projects. The RFQ also provided the criteria the University would utilize to evaluate the responses of the ESCos.

The RFQ was publicly advertised in Wyoming newspapers and the Facilities Planning website. Five ESCos responded by June 30, 2010 to the advertisement:

- Chevron Energy Solutions Company
- EMC Engineers, Inc.
- Long Building Technologies
- NORESO
- Johnson Controls, Inc.

In the opinion of the University team and consultant, three of the five responses provided the best qualifications and capabilities of performing the pilot project. The three finalists were then issued an RFP.

The RFP established the process and criteria to maintain equity among the finalists and their responses. The RFP included:

- A preproposal conference with the University team and consultant to provide an opportunity for the finalists to understand the expectations of the University such as maintaining the enterprise building automation system the University presently utilizes.
- Three days of physical inspection by each ESCo team of the 11 buildings in the pilot project and the Central Energy Plant.
- Consistent responses to each ESCo of presented questions and requests for additional information by any ESCo.
- A schedule of activities required of the ESCos to respond to the request including interviews and when commitments would be made by the University to the RFP.
- Criteria for evaluation of the responses to the RFP.
- University forms of agreement for the ICP and EPC.
- A spreadsheet identifying the University's expectation of the cost or fees distribution for the Guaranteed Maximum Price prior to and during the EPC.
- A form for the fee proposal for the IGA and the ESCo's insurance rates, bond rates, and percentage fees for performing the EPC.
- The ESCo wage and equipment rates for performing the IGA and EPC.
- A form for the ESCo to identify any exceptions to the terms and conditions of the RFP and the IGA and EPC contract forms.

Each ESCo was required to provide a 30,000 foot view of the potential ECMs and an estimate of the savings that would occur in a very preliminary IGA of the 11 buildings. The preliminary IGA provided the University with an overview of how the ESCo would complete an IGA and their basis for an EPC.

Each ESCo's response received on October 19, 2010 was independently evaluated on a preliminary basis by each member of the University team and the consultant. From the preliminary evaluation process the team developed a number of questions from the proposals that were common to each ESCo and presented to the ESCos for response during their individual interviews. Not every ESCo was fully responsive to the criteria established for their response and interview. Each ESCo's proposal and interview along with reference checks were then independently evaluated by each member of the University team and consultant. The consensus ranking of the University team and consultant and recommendation for the IGA agreement will be presented to the Board at the January meeting.

The ranking is provided should the first selected ESCo not complete an acceptable IGA agreement with the University based upon their proposal within the RFP. Negotiations will be terminated with the first ranked firm and opened with the second ranked firm and so on until an acceptable agreement is reached.

Upon completing an IGA agreement the ESCo will perform a detailed IGA in accordance with the executed agreement and present their recommended ECMs to the University for acceptance. The acceptance of the ECM recommendations will be followed by a Guaranteed Maximum

Price, the guaranteed savings and financing mechanism, and an acceptable verification and measurement program to prove the savings over the life of the contract. The Guaranteed Maximum Price and financing mechanism will be presented for final acceptance by the Board of Trustees before proceeding with the construction.

At the request of the University the construction of the ECMs will follow the completion of the SFSF facility modifications to limit the number of buildings on the campus that are affected by construction at any one time.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

- September 16-18, 2010 – ESCo contract information item presented to Board of Trustees

WHY THIS ITEM IS BEFORE THE BOARD:

Authorization by the Board of Trustees is required to commission the recommended firm to perform the Investment Grade Audit (IGA). As indicated above the IGA will identify those acceptable Energy Conservation Measures (ECMs) that will be utilized to guarantee the funding streams to finance and Guarantee a Maximum Price to complete the design and construction of the ECMs in the 11 buildings of the pilot project. Should the pilot project prove to be successful, the University may consider additional phases of performance contracting for other buildings on campus in the future.

ARGUMENTS IN SUPPORT:

All funding for the building improvements to be completed by this pilot project will be from the utility savings identified and guaranteed by the selected firm in the 11 buildings. The result will be facilities that operate more efficiently reducing the costs of operation, improving the quality of the indoor environment for University employees, and reducing the carbon footprint of the University in pursuit of the goals established in the Climate Action Plan.

The ESCo process has been successful on many university campuses across the country.

The IGA and EPC Agreements require the ESCo to bid the subcontracts and major material supplies before performing the construction of the ECMs.

ARGUMENTS AGAINST:

None

ACTION REQUIRED AT THIS BOARD MEETING:

Authorization to contract the Investment Grade Audit with the recommended firm on the 11 buildings identified above for a proposed fee of \$157,500. If the IGA including the guaranteed utility savings and guaranteed maximum price is acceptable the IGA fee will be incorporated in the financing of the project. If the IGA proves unsuccessful the University will pay Long Building Technologies for the performance of the IGA.

PRESIDENT'S RECOMMENDATION:

It is recommended that the Board of Trustees of the University of Wyoming authorize the Vice President for Administration to execute an agreement with the recommended firm for the Industrial Grade Audit on the 11 buildings in the ESCo pilot project.

1. INFORMATION ONLY ITEM

Progress Report/Change Orders, Vinzant

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify:

**Capital Construction
 Progress Report as of December 13, 2010**

The following gives an accounting of the progress and activity of construction and design since the last Trustees' meeting. Also reported are approved change orders.

PROJECTS IN CONSTRUCTION

1. College of Business

Construction Manager at Risk	Adolfson & Peterson Construction Aurora, CO
Guaranteed Maximum Price	\$44,188,467
Contract Substantial Completion Date	April 27, 2010 except for Landscaping May 13, 2010
Extended	June 15, 2010 for the Landscaping

(In Thousands)	Total	Admin	Constr	Design	Tech	FF&E	Misc	Cntngcy
Budget	57,619	1,538	44,017	3,679	2,746	2,974	794	1,871
Expended	55,472	1,137	44,017	3,441	2,351	2,274	381	1,871
Obligated	601	30	39	70	395	23	44	0
Other Funding	39	0	39	0	0	0	0	0
Un-obligated	1,585	371	0	168	0	677	369	0

Remarks Furniture and Audio Visual equipment has been installed. Addressing the warranty items.

2. Berry Biodiversity and Conservation Center

Construction Manager at Risk	Haselden Construction Centennial, CO
Guaranteed Maximum Price	\$14,569,939
Contract Substantial Completion Date	September 6, 2010

Extended December 2, 2010
 Phase II Substantial Completion Date February 1, 2010

(In Thousands)	Total	Admin	Constr	Design	Tech	FF&E	Misc	Cntngcy
Budget	20,000	595	14,467	1,447	250	2,144	435	662
Expended	15,982	340	13,803	1,447	0	299	93	0
Obligated	1,076	81	598	0	0	369	28	0
Un-obligated	2,942	174	66	0	250	1,476	314	662

Remarks The construction contract is being split into phases so that the completion dates can be sequenced over time. Phase I includes the majority of the project. It is complete and occupants are now moved into the building. The punch list work for Phase I is progressing. Phase II includes the integration of lab equipment with the fume hoods and some minor building changes. Phase III will include the exterior landscaping which will be completed in the summer of 2011.

3. Visual Arts Facility

Construction Manager at Risk G E Johnson Construction Company
 Jackson, WY
 Guaranteed Maximum Price \$26,673,930
 Contract Substantial Completion Date October 28, 2011

(In Thousands)	Total	Admin	Constr	Design	Tech	FF&E	Misc	Cntngcy
Budget	36,350	1,076	26,964	3,236	712	2,860	215	1,287
Expended	3,820	245	1,191	2,384	0	0	0	0
Obligated	26,368	135	25,483	750	0	0	0	0
Un-obligated	6,162	696	290	102	712	2,860	215	1,287

Remarks Construction is on schedule with minimal impact from weather to date. Completion of footings and foundations will be complete by early January. Steel erection is progressing rapidly and is expected to be complete by early March. Contractor will start temporary enclosure as portions of the steel are complete. This will allow under slab work and placement of concrete slabs on first and second floors.

4. Downey Hall Renovations

Contractor Haselden Wyoming Constructors, LLC
 Casper, WY
 Bid Price \$4,191,300
 Contract Substantial Completion Date May 3, 2011

(In Thousands)	Total	Admin	Constr	Design	Tech	FF&E	Misc	Cntngcy
Budget	6,000	185	4,721	280	0	425	94	295
Expended	892	94	653	145	0	0	0	0
Obligated	4,145	0	4,093	52	0	0	0	0
Other Funding	92	0	92	0	0	0	0	0
Un-obligated	1,055	91	67	83	0	425	94	295

Remarks Rough-ins are progressing on the upper four floors. The concrete work for the front entrance has been completed and the contractor is working on walls and roof. Asbestos abatement has been completed except for removal of sealant around windows. This process will be coordinated with the glass installer to minimize the opening to the weather.

CHANGE ORDERS

1. College of Business

Statement of Contract Amount

Original Contract	\$44,188,467.00
Change Order 1-32	+ 1,101,712.00
Adjusted Contract	\$45,290,179.00

2. Berry Biodiversity and Conservation Center

Item 1 Primary electric meter relocation	Add:	95,504.00
	<u>Total Change Order No.11</u>	Add: \$95,504.00
		+27 calendar days
Item 1 Upgrade exterior finish in stairway #2	Add:	\$3,363.00
Item 2 Provide pedestal paver system at the south plaza	Add:	25,459.00
Item 3 Provide window operators	Add:	3,894.00
Item 4 Provide additional wiremold and receptacles	Add:	4,079.00
Item 5 Modification as requested by green roof planning committee	Add:	11,553.00
	<u>Total Change Order No. 12</u>	Add: \$48,348.00
Item 1 Add lagging to underside of roof deck to control noise	Add:	\$44,441.00
Item 2 Reduce window openings	Add:	726.00
Item 3 Remove old concrete vaults in alley	Add:	1,898.00
Item 4 Provide additional flashing at sloped roof area	Add:	943.00
Item 5 Add solenoid valve in DI water pipe system	Add:	1,667.00
Item 6 Provide additional overhead stop/hold on doors in AV room	Add:	192.00
	<u>Total Change Order No. 13</u>	Add: \$49,867.00

Item 1 Furnish and install emergency phone	Add:	\$8,905.00
Item 2 Install owner supplied lab equipment and furnishings	Add:	15,321.00
Item 3 Relocate elevator machine room fan and duct	Add:	4,287.00
Item 4 Reduce size of conduit	Deduct:	750.00
Item 5 Additional return air grilles	Add:	1,059.00
Item 6 Added wall enclosures under stairs	Add:	1,027.00
Item 7 Provide wiring for restroom hand dryers	Add:	3,218.00
Item 8 Additional receptacles for equipment	Add:	1,592.00
Item 9 Additional receptacles for A/V room	Add:	1,594.00
Item 10 Provide additional drywall and framing	Add:	304.00
Item 11 Polish densified concrete floors	Add:	8,251
Item 12 Added Site light installation	Add:	2,478.00
	<u>Total Change Order No. 14</u>	<u>Add: \$47,286.00</u>

Item 1 Furnish Lund key cabinet	Add:	\$480.00
Item 2 Additional cabling and room number changes	Add:	3,530.00
Item 3 Add 120V emergency circuit to lecture	Add:	1,450.00
Item 4 Structural steel modifications	Add:	3,124.00
Item 5 A/V package allowance credit	Deduct:	208.00
Item 6 Utility redesign	Add:	29,229.00
Item 7 Flammable storage cabinet connection	Add:	1,610.00
Item 8 Additional window blinds	Add:	3,178.00
Item 9 Fire sprinkler modifications	Add:	394.00
Item 10 Fire sprinkler modifications	Add:	283.00
	<u>Total Change Order No. 15</u>	<u>Add: \$43,070.00</u>

Item 1 Remove and replace west side of existing alley	Add:	\$69,863.00
Item 2 Display case support allowance credit	Deduct:	1,270.00
Item 3 Add third vault to west of alley	Add:	12,000.00
Item 4 Landscaping wall allowance credit	Deduct:	3,116.00
Item 5 Utility expense allowance credit	Deduct:	25,000.00
Item 6 Overhead cost credit	Deduct:	2,692.00
Item 7 Ornamental handrail allowance credit	Deduct:	603.00
	<u>Total Change Order No. 16</u>	<u>Add: \$49,182.00</u>

Item 1 Relocate fire rated ceiling in Wet Collection	Add:	\$11,476.00
Item 2 Dust collection system	Add:	34,466.00
	<u>Total Change Order No. 17</u>	<u>Add: \$45,942.00</u>

Item 1 Establish construction phases I and II	Add:	\$0.00
	<u>Total Change Order No. 18</u>	<u>Add: 0.00</u>

Statement of Contract Amount

Original Contract	\$14,569,939.00
Change Order 1-18	- <u>168,793.00</u>
Adjusted Contract	\$14,401,146.00

Add 87 calendar days

3. Visual Arts Facility

Statement of Contract Amount

Original Contract	\$26,673,930.00
Change Orders	+ <u>0.00</u>
Adjusted Contract	\$26,673,930.00

4. Downey Hall Renovation

Statement of Contract Amount

Original Contract	\$4,191,300.00
Change Orders	+ <u>0.00</u>
Adjusted Contract	\$4,191,300.00

2. INFORMATION ONLY ITEM

Internal Audit Report, K. Miller

CHECK THE APPROPRIATE BOX(ES):

- Work Session
- Education Session
- Information Item
- Other Specify:

Following are audits which have been completed and submitted for your information by Kathleen Miller, the University's Internal Auditor.

INTERNAL AUDIT ACTIVITY CONDUCTED IN ACCORDANCE WITH THE AUDIT
PLAN FOR THE PERIOD April 30, 2010 to December 31, 2010

The following audits and related activities have been completed:

1. Center for Conference and Continuing Education (CCCE) Closing Audit
2. ASUW
3. University Bookstore

The following audits and related activities are in progress:

1. Alumni Association
2. Cowboy Joe Club
3. University-wide Cash Handling Process
4. Follow-up on Cheyenne Family Residency Program
5. Update on investigations in progress

Other Audit Activities:

1. Internal Audit Charter. The Institute of Internal Auditors recommends that each audit department have an Internal Audit Charter that has been approved by the Board of Trustees. The UW Internal Audit Department needs to establish a charter and have it approved.
2. Audit Website. We have been working to establish a website which will include information about internal audit, what to expect in an audit, information about internal controls and other related information. A new content management program is being implemented university-wide and will be available near the end of October.



Internal Audit Report:

Center for Conferences and Continuing Education (CCCE)

May 27, 2010

Kathleen Miller, Internal Auditor
Internal Audit Department
Department 3314
1000 E. University Avenue
Laramie, Wyoming 82071
(307) 766-2385

University of Wyoming Board of Trustees:

We have completed a limited examination of the Center for Conferences & Continuing Education (CCCE), which was a division of the Outreach School. CCCE was closed June 4, 2009 due to University of Wyoming budget cuts. We reviewed all conferences and events that were open at the time of closure to ensure that either: funds and responsibility to complete the event were transferred to another entity or the money collected was returned for those conferences for which no service had yet been provided. This audit was requested by the Dean of the Outreach School in order to review the closing procedures and final distribution of funds for CCCE. Our review indicated that all closing processes were thorough and appropriate.

Background

The brochure for the Outreach School explains that CCCE contracted with organizations to provide services for conferences and institutes, events planning and special projects, community enrichment programs, or special programs.

The Outreach brochure further explains:

In support of conferences and institutes CCCE helped professional associations and organizations plan and coordinate conferences, workshops, seminars, continuing education programs, and internet conferences. Complete conference services included: consultation, marketing, Web page development, pre-registration, on-site registration, financial management, arrangement of accommodations and meeting facilities, catering options, compressed video, audiovisual equipment, and post conference wrap-up. The office also provided assistance in

arranging for continuing education units or a credit option through Outreach Credit Programs and assistance in program planning and learning assessment.

The events planning segment of CCCE on the UW campus was a one-stop shop for campus-wide space reservations and events coordination. The core support services included facilities scheduling, contract negotiation, consolidated billing, master calendar listings, public relations calendar, recruitment, and community business networking. The office worked closely with local businesses including travel agencies, hospitality establishments, restaurants, and retailers to assemble competitive pricing and incentive packages for groups and organizations considering Laramie as the location for their events.

Community Enrichment programs were classes which did not offer college credit but might offer certificates such as pesticide certification, defensive driving courses, Red Cross certification for CPR. In addition, they offered programs such as computer classes, LSAT, GRE and GMAT preparation courses as well as cooking and exercise classes.

Summary of Actions:

When CCCE was closed, the Dean of the Outreach School assigned the Executive Business Manager to identify all outstanding conferences, determine the status and next steps for each conference (i.e. how much work was left to do for each conference, who would be the best organization to finish the work, or if the money collected to that point should be returned with an explanation that the services could not be provided), reconcile the projects to PISTOL, negotiate settlements for services partially provided, and settle all outstanding accounts.

We found that all actions taken were appropriate and completed in a professional and timely manner. We recommend that all funds in the CCCE accounts be transferred and that the accounts be closed.

We noted that all funds were accurately distributed. We recommend that all accounts be closed.

Response

As recommended, all CCCE accounts have been closed, funds have been transferred appropriately, and PISTOL reports have been reconciled. All organizations with outstanding conferences have been contacted to ensure they are satisfied with the actions taken regarding the completion of their event.

Kathleen Miller
Internal Auditor

The Outreach School appreciates the work done for the internal audit and is confident that the closing of CCCE has been handled appropriately. Remaining CCCE funds have been transferred to the Outreach School to support other statewide outreach efforts.

Maggi Murdock
Associate Provost and Dean, Outreach School

Cc: Tom Buchanan, President, University of Wyoming

Myron Allen, Provost and Vice President for Academic Affairs

Maggi Murdock, Associate Provost and Dean of the Outreach School



Internal Audit Report

Associated Student of the University of Wyoming (ASUW)

June 4, 2010

Kathleen Miller, Internal Auditor
Internal Audit Department
Department 3314
1000 E. University Avenue
Laramie, Wyoming 82071
(307) 766-2385

University of Wyoming Board of Trustees:

We conducted an audit of the Associated Students of the University of Wyoming (ASUW) for the period of July 1, 2008 - current. The audit consisted of interviewing all staff members and analyzing all business processes, including: accounts receivable, cash handling, purchasing, accounts payable, payroll and the financial reporting system. The field work for the audit was completed by Jonnie Jenkins, Senior Auditor.

We would like to thank Sara Axelson, VP Student Affairs, David Cozzens, Associate VP and Dean of Students, Matthew Caires, Asst. Dean of Students and Kristy Isaak, ASUW Accounting Associate Senior and the rest of the staff for their assistance on this audit. We would also like to recognize their concern about these issues.

Internal Audit will perform a follow up audit in six months and will report the status on the recommendations made in this audit.

Background

ASUW was created to promote the general welfare of all students at the University, to represent and serve as a voice for the concerns of the student body, and to provide and regulate such other matters relating to students as are appropriate to student government. ASUW is composed of the basic three-branch governing system: executive, legislative, and judicial branches. The executive branch is made up of the ASUW president and five executive assistants. The duty of the president and executives is to promote and pursue the objectives of ASUW. They work with the ASUW Senate, UW Board of Trustees, university officials and local and state governments.

The legislative branch (ASUW Senate) consists of the ASUW vice president and elected senators from the respective colleges. Senators serve on ASUW standing committees as well as university committees. The legislative branch is also responsible for introducing and voting on legislation. The judicial branch, or the Judicial Council, consists of ASUW Justices. Their jurisdiction from the ASUW Constitution extends to official actions by student government and to ASUW working documents. Every fee-paying student is a member of the Associated Students of the University of Wyoming. So, ASUW student government acts as the voice of the students.

ASUW is also closely connected to another department working and representing students, Campus Activities Center (CAC). The CAC is a source of information for campus events and involvement opportunities. CAC is the first place for students to go as they learn of the different organizations on campus to participate, Recognized Student Organizations (RSOs). Since ASUW funds programs proposed by RSOs through an application process, this requires the cooperation and continued supportive efforts of ASUW and CAC to work effectively together. As of FY 2011 the relationship between ASUW and CAC will continue to change as many programs such as concerts and convocations which prior to FY 2011 were housed in ASUW will now be housed and funded by CAC.

The time frame of the audit covers the retirement of a long-term University of Wyoming employee, who served in a Business Manager position and her successor, who serves in an Accounting Associate Senior position, which brought about many changes to systems mid-stream.

Recognized Student Organizations (RSOs)

1) Observation: Use of University Name

As part of the audit, we reviewed the regulations governing RSOs. In reviewing of the governing documents for RSOs, the potential risk to the University appeared to be within the use of the University's name and the creation of off-campus accounts to manage RSO funds. University Regulation 8-234, Section 7 reads:

The use of the University of Wyoming name is specifically restricted.

- A. Only an organization that is sponsored by a unit of the University or is itself a unit of the University (e.g. ASUW) may use the name of the University or abbreviation thereof as part of its own name. A recognized student organization may not use the name of the University or any abbreviation thereof as part of its own name: however, terms such as "campus" and "Wyoming" or "at the University of Wyoming" may be used by an organization of its identification to the public.
- B. Events or activities sponsored by recognized student organizations shall not be advertised or promoted in such a way as to suggest that they are sponsored by the University or that organization is acting in behalf of the University.

In an effort to detect if RSOs are currently using the University's name in the title of off-campus checking or savings accounts, we distributed a brief questionnaire through email to all active RSOs, approximately 200. We received responses from 63 RSOs, of the 63 responses, we noted 8 RSOs in violation of Uni Reg 8-234 by using UW in their name. I also reviewed the online listing of RSOs on the Campus Activities Center website, <http://www.uwyo.edu/RSO/AtoZDirectory.asp> and found 9 RSOs in violation of Uni Reg 8-234 by using UW in their name.

The impact of this violation is the financial implications of a RSO utilizing the University's name or tax identification number. This leads to the presumption that the University will be financially responsible for any overcharges to the account, which is inaccurate if the organization does not have the University's authority to have such an account.

Recommendation:

We recommend that a review process be created to ensure that RSOs are not in violation of Uni Reg 8-234. There is guidance included in the most recent copy of the RSO Handbook 2007-2008 regarding this regulation; however we recommend a review process be created to ensure compliance. This is critical as RSOs are being created and also mature RSOs should be reviewed to ensure their compliance. We recommend that this be part of the RSO orientation that is conducted in the fall. The process with the RSOs originates from the Campus Activities Center (CAC) and ASUW relies on the accuracy and integrity of the information filed with CAC.

Response from CAC:

Each year, every RSO is required to file renewal paperwork to update their officers, advisor name, meeting times, etc. This process begins in the late spring and continues until the first full week of October. Information is then updated in our RSO management system. The staff in the Campus Activities Center will go through each renewal packet to ensure compliance with University Regulation 8-234 in terms of usage of the UW name. If an RSO is in violation of UR 8-234, the RSO will be contacted and CAC staff will individually advise the group on an acceptable name change. No RSO will be given recognition status until the name change is in compliance. Information will also be given during the RSO orientation sessions regarding appropriate name usage for RSOs.

2) Observation: Tax Identification Numbers

In addition, the questionnaire distributed to the RSOs brought forward many questions from RSOs regarding tax identification numbers. Many of the organizations did not know what a tax identification number was and if their organization had one. This was troublesome to the organizations as many indicated after discussion with our office and further research that someone in the organization's past had used their personal social security number.

Recommendation

We recommend that a process be created to educate the leaders of the RSOs as to the purpose of tax identification numbers to an organization and provide instructions on how to properly apply for a tax identification number online. A frequently asked questions (FAQ) document could assist students in the decision making process for their RSO as there are potential income tax consequences to their decision. We recommend that this be part of the orientation for RSOs that is conducted in the fall which is mandatory.

Response from CAC:

Each RSO is required to send a representative to the multiple RSO Orientations the Campus Activities Center hosts each year. All information from these sessions is also included in the RSO Handbook that is online and is provided in hardcopy (if requested). Information regarding financial processes is included in the RSO Orientation. More detailed information on accounting procedures and tax-identification numbers will be included in each of the sessions and added to the RSO Handbook. The staff of the Campus Activities Center will construct a FAQ section on the CAC website to help RSOs with questions regarding accounting procedures.

The annual renewal form will be revised to gather information regarding financial accounts. Information will be added regarding the proper use of tax id numbers (no personal social security numbers, no use of the UW tax id number, etc.). A statement will also be placed on the advisor agreement, which the advisor has to sign, regarding use of financial accounts.

ASUW Business Processes

3) Observation: Supporting Documentation for Expenditures

Our review indicated that there was a significant lack of training and follow up with students and employees for the reimbursement of expenditures in compliance with University of Wyoming regulations, policies and procedures. The following three examples were very common:

1. Student submitted a non-itemized receipt for meals for reimbursement. The receipt was used for reimbursement; however there was no verification that the charges were for allowable costs within University Regulations. This requirement is also included in the Procurement Manual for documentation and receipts.
2. Student/Employee submitted an itemized receipt for the meals for several individuals. We noted several issues:
 - The receipt for meals during travel did not list the name of those present for the meal in order to verify they were UW students or employees.
 - Duplicate receipts could be submitted by other students or employees for the same meal and no one would be able to identify the error.
 - In addition, sometimes an individual would pay for a group without documenting the participants. This makes it impossible to determine compliance with daily per diem

limits per the ASUW Finance policy. In one case the student submitted receipts for a total of 4 meal charges for a single day for group of students.

3. Student was reimbursed for the cost of travel without adequate supporting documentation to verify the cost. For example, the student was reimbursed for airfare purchased online, however the receipt provided for reimbursement did not indicate the cost of the airfare.

Recommendation

We recommend that the ASUW Business Office review all materials provided to staff and students to ensure that documents adequately provide guidance regarding the appropriate documentation to accompany all reimbursements for expenditures. We also recommend that the meals for a single trip be reimbursed by either actual costs or per diem and not a mixture of the two methods. We recommend that the reimbursement process be simplified and a monitoring system be established to ensure that an appropriate method of reimbursement is followed and can be verified against the appropriate rules governing the expenditure.

We also recommend that the Accounting Associate Senior and the approver review all reimbursements to ensure their adequacy before submission of their approval. We also recommend that a review be completed to ensure that no individual is reimbursed for a purchase they did not make.

Response from ASUW:

The ASUW Business office will take extra measures to insure that receipts are submitted with all of the required information (including: itemized individual receipts, and dining lists). Each dining list will ask additional information about the meal and who attended the meal.

The ASUW Accounting Associate Senior has already noted vendors who do not list enough information on their receipts, the most recent list included Orbits, Cheaptickets and Big Hallow Food Coop. The Accounting Associate Senior will make an extra effort to look out for these receipts and collect the missing information.

ASUW will also work with the Campus Activities Center (CAC) to develop a one page hand out to be included in the RSO handbook that is distributed to each RSO in the Fall. The hand out would include information on allowable expenses for reimbursement, required information on the receipts and other miscellaneous required documents. Also, an additional "Travel and meal reimbursement tips" section will be included. This document will also be posted on the ASUW website, handed out to awarded Funding Board requests, and in envelopes for future travelers to take while traveling.

4) Observation: Segregation of Duties/Approval Authority

During the prior Business Manager's time with ASUW, we noted that she signed off on financial documents as Department Head which caused an inadequate segregation of duties since this would allow her to both cause and conceal errors.

Recommendation

We recommend that management of ASUW continue to monitor processes to ensure appropriate segregation of duties is maintained given the small staff size. We commend management for changing this process to ensure that the Accounting Associate Senior does not have approval authority. The approved signer on behalf of ASUW is now the Asst. Dean of Students or his supervisor.

Response from ASUW:

As noted above, this situation has been corrected as of July 2009 when the ASUW Business Manager retired. Since that time the Asst. Dean of Students has signed off on all accounting and human resources documents. Currently the Accounting Associate Senior has no final signing authority. This will continue to be ASUW's procedure.

5) Observation: Petty Cash Handling

We noted during testing that there is not an adequate process to manage petty cash. Petty cash is \$500 and the current process includes using scraps of paper to record the withdrawal of funds and the purpose of the withdrawal. For the replenishment of the petty cash expenditure, there was not adequate supporting documentation of the cost.

Recommendations:

We recommend the creation of a petty cash system that will provide a form to be completed by the individual requesting the use of the petty cash and approved by someone with approval authority. We also recommend that receipts be required for each reimbursement. The automation of this system is recommended perhaps by using an Excel spreadsheet.

Response from ASUW:

The ASUW Business Office will develop a more efficient method of administering the petty cash monies. Immediately a "Petty cash ledger" will be created, similar to the other ASUW accounting ledgers. This ledger will keep track of all outgoing and incoming amounts, dates, and who requested the amounts. Additionally, a "contract" will be developed. This contract will request all pertinent information to administer the transfer of money (including: reason for request, contact information, outgoing and incoming amounts and date). Finally, a signature would be required on this form from the Accounting Associate Senior, the Asst. Dean of Students, and the requestor of the money.

6) Observation: Budgets Close out Procedures

We noted that for FY 2007 and FY 2008, the budgets were not closed out until March 2, 2009. We also noted that the FY 2009 has still not been closed out. When this was discussed with Kristy Issak, Accounting Associate Senior, she indicated that she provides a letter to Accounting in July requesting cash transfers be made to close out the year's budget. However there was no follow up by ASUW to ensure the funds had been transferred and the accounts were appropriately closed.

We also noted funds reflected a negative cash balance on the PISTOL reports as of June 30, 2009. Because of the lack of proper close out procedures it is unclear if the deficit is a timing issue or an over expenditure. These reports should be reviewed carefully to detect any instances of overspending or the need to transfer funds to bring the balance current.

Recommendations:

We recommend that ASUW create a process to monitor the close out of their budget to ensure that only current year funds are available to each fund and to conduct follow up procedures to ensure timely closeout of each budget year.

We also recommend that ASUW review all monthly PISTOL reports carefully, in particular at year end to ensure balances are accurate and transfers are made appropriately.

Response from ASUW:

Immediately the Accounting Associate Senior will look into the closing out of old accounts. She will also follow up with the Accounting Office on a more consistent basis to ensure the closure of the accounts is done in a timely manner. At that time she will also resolve any negative balances.

7) Observation: Payroll Testing – Internal Controls

Testing of the payroll system revealed inconsistencies with basic timesheet completion and approval processes. There were many instances in which timesheets did not have the employee's signature. There were also many instances in which timesheets did not have a supervisory signature.

Recommendation

We recommend that a process be created to ensure that timesheets are completed in an accurate and comprehensive manner.

- a. The supervisor should only sign off in approval of the timesheet if it includes the employee signature.
- b. We realize that time is reported for HNB (hourly non-benefitted) staff semi-monthly, however the total hours for the pay period should be calculated and verified by the individuals entering the data into the HRMS system.
- c. Timesheets should be signed in approval of someone with the direct supervisory knowledge of the employee. We recommend the Office Associate, be the supervisory approval for all student workers as she has direct knowledge of their time in the office. We recommend that the Assistant Dean of Students be the supervisory approval for the non-student employees.

Response from ASUW:

For future timesheets, ASUW staff will require a three signature requirement (one from the employee, one from the direct supervisor of that employee, and the final one from the Assistant Dean of Students). The Office Associate and the Assistant Dean of Students would sign off on all Executive staff timesheets. The Project Coordinators of ASTEC and Safe Ride would first sign off on their student employee's timesheets. Finally, the Assistant Dean of Students would then sign.

Kathleen Miller,
Internal Auditor

cc: Dr. Tom Buchanan, President, University of Wyoming

Dr. Sara Axelson, Vice President for Student Affairs

Dr. David Cozzens, Associate Vice President for Student Affairs and Dean of Students

Dr. Matthew Caires, Assistant Dean of Students



Internal Audit Report:

University Bookstore

September 1, 2010

Kathleen Miller, Internal Auditor
Internal Audit Department
Department 3314
1000 E. University Avenue
Laramie, Wyoming 82071
(307) 766-2385

University of Wyoming Board of Trustees:

We conducted an audit of the University Bookstore for the 2010 fiscal year. The audit consisted of interviewing all staff members and analyzing all business processes, including: accounts receivable, cash handling, purchasing, accounts payable, payroll, resale inventory and the financial reporting system. The field work for the audit was completed by Kathleen Miller, Internal Auditor and Jonnie Jenkins, Senior Auditor.

We would like to thank Misty Eaton the Bookstore Manager, Edward Hays the Assistant Manager and the rest of the staff for their assistance on this audit. We would also like to recognize their concern about these issues.

Internal Audit will perform a follow up audit in nine months as this will coincide with the fiscal year end. We will report the status on the recommendations made in this audit at that time.

Background

Bookstore Mission Statement:

Mission Statement: To operate a premier institutional college store by offering materials for academic needs and insignia items to promote the University of Wyoming. We are committed to providing educational resources that enhance academic growth, student employment opportunities, and institutional support. We strive to offer excellent and expanded services, promote opportunity for employee growth, and support the campus community through profitability and financial commitments.

Vision: To be a viable, independent bookstore that is an essential resource for the University of Wyoming."

Bookstore Financials as shown on Pistol reports.

**University of Wyoming
 Monthly Report for Non Budgeted
 Report Information As Of: May 31, 2010**

Description	Balances at the Beginning of 2010-05-31	Transactions For The Month of: 2010-Period 11 - 2010-05-01	Ending Balances Before Encumbrances: May 31, 2010
Balance Sheet			
Claim on Cash	296,409.31	128,146.75	424,556.06
Sales Tax Payable	18,657.97	(5,953.77)	12,704.20
Fund Balance	112,441.45	-	112,441.45
Fund Balance Change	427,508.73	122,192.98	549,701.71
Fund Additions			
Gifts	250.00	-	250.00
Total Fund Additions	250.00	-	250.00
Fund Deductions			
Mand Trfr-Retire Indebtedness	37,200.00	-	37,200.00
Nonmand Trfr-Aux Ent	395,000.00	-	395,000.00
Total Fund Deductions	432,200.00	-	432,200.00
Revenues			
Interest On Investments	232.68	-	232.68
Washakie Food Service Sales	-	(86.79)	(86.79)
Bookstore Sales	(6,818,642.64)	(387,966.89)	(7,206,609.53)
Textbooks - Student Accounts	(616,603.96)	(33,112.05)	(649,716.01)
Interdepartmental Credits	(400.00)	-	(400.00)
Stores Mark-Up	(143.61)	-	(143.61)
Total Revenues	(7,435,557.53)	(421,165.73)	(7,856,723.26)
Expenses			
Cost of Sales	5,089,898.04	176,397.42	5,266,295.46
Full-time Salaries	533,322.26	51,777.00	585,099.26
Other	747.25	2.70	1,023,176.83
Total Expenses	6,575,598.80	298,972.75	6,874,571.55
Net Fund Additions/Deductions, Revenue And Expenses	(427,508.73)	(122,192.98)	(549,701.71)

The Bookstore employs 17 full time salaried individuals and up to 60 hourly non-benefited individuals. The Bookstore is an auxiliary enterprise and must therefore be self-sufficient. They run all of their transactions through a point of sale system called WinPRISM. This system does not connect to the University system and must be manually reconciled to ensure the two systems are in agreement.

This audit identifies areas in the Accounting Department where there are weaknesses, however it should be noted that the operational side has many strong processes. For example Shipping & Receiving, Inventory Management, Profit Center management, and Point of Sale processes are all strong.

The following issues were identified in the audit and are presented by general area.

Accounts Receivable Issues

1) Observation: Accounts Receivable should be monitored more closely

We requested and received a copy of the A/R aging through April 30, 2010. Review of the report detected a number of observations that lead us to believe that there was a lack of appropriate monitoring processes regarding A/R. In addition the A/R module of WinPRISM is weak and management will need to establish additional procedures to adequately manage the A/R process. We noted the following items:

- There appears to be a lack of monitoring of A/R on a regular basis to detect errors in data entry. For example, we detected duplicate accounts for students/ faculty/ customers. In many cases, duplicates were caused by inconsistent data entry of names, W Numbers or telephone numbers. We detected 30 instances of errors.
- We noted accounts with a credit balance that exceeds 30 days, refunds were not issued.
- Our review of the A/R aging reflected credit balances for the classification of student accounts. The University Bookstore works closely with Student Financial aid to establish accounts in which the student can purchase books and have the cost be deducted directly from their student financial aid account. Further investigation of the credit balances revealed the following circumstances:
 - A monthly "feed" from Banner identifies payments to the student accounts.
 - The September 2009 "feed" was not received via email as normal.
 - The Bookstore accounting office posted the Banner feed from September 2008. The correct feed was received on the PISTOL side and credited appropriately to the Bookstore's cash account. This "re-posting" of the 2008 Banner payments caused credits in student accounts and this error was not detected until the inquiries of the audit. This error caused an overstatement in cash which was not discovered by accounting or management until the audit in the amount of \$4,111.69.
- The Aging report does not provide a management overview. The report does not provide totals for delinquent accounts based on the 30,60, or 90 day timeframes. It is therefore difficult to get an accurate summary of the accounts receivable totals.
- According to WinPRISM the A/R Balance as of April 30, 2010 was \$280,016.86. As noted above there is no clear breakdown by an accurate aging, therefore we were unable to determine what accounts are collectible and which accounts should be written off as a bad debt.

Recommendation

A/R should be monitored and appropriate steps be taken to ensure that payments are made in a timely way or the accounts are frozen and sent to collections. We recommend the following:

- Data entry standards should be established and monitored to ensure that no person has two accounts.
- An analysis should be done to determine what accounts should be sent to collections. This process should be completed and approved on a monthly basis.
- All write offs should be reviewed and approved by a supervisor and write offs should include any account without a payment in 120 days. This time frame reflects the limit on the aging report.
- A/R should be reviewed each month to ensure that errors in processing are corrected.
- Credit balances should be reviewed and monitored each month by Bookstore Accounting and valid refunds should be issued in a timely manner.

Response

The Bookstore is in the process of rewriting and implementing procedures and an analysis of what accounts should be remitted to collections. This will occur in the upcoming months. Two of the recommendations have been completed,

1. Data entry standards have been set for A/R customers and any deviations will be monitored and corrected on a monthly basis.
2. The A/R monthly review recommendation was implemented with the June 2010 reconciliation process and will continue to be done as part of the monthly review process with the Supervisor of Financial Operations and the Manager or Assistant Manager.

Note: During the audit process, it became apparent that the University Bookstore's Accounting Department was a weakness in the Bookstore's operations. The Supervisor of Financial Operations subsequently resigned and immediate action was taken by Bookstore management to delve into problem areas and improve financial processes. Significant progress has been made and Bookstore management is certain that many of the recommendations contained throughout this report can be implemented and monitored via process implementation. The accounting position has been upgraded to require a CPA certification as well as a minimum of four years of directly related work experience. The knowledge and experience that comes from these requirements should provide a solid background to proficiently manage the Accounting department and provide increased accountability.

2) Observation: Accounts Receivable Billings Procedures Should be Improved

Currently the Bookstore does not assess late fees, interest or finance charges on outstanding balances. Without a penalty for non-payment there is no incentive to make payments on account in a timely manner.

In addition, we noted that there is no automatic payroll deduction for University employees. Adding this requirement to the Revolving Account Contract for employees would ensure the Bookstore receives regular and adequate payments and might also allow them to raise their credit limit for employees.

Recommendation

We recommend that the Bookstore consider these options since they could provide an additional revenue stream for the Bookstore and ensure timely payments on accounts.

Response

The Bookstore is currently looking into automatic payroll deduction for University of Wyoming employee accounts. Assessing interest or late fees will be further explored once all the A/R accounts have been reviewed and corrections made. A daily and monthly reconciliation process will be implemented and verified by the Supervisor of Financial Operations.

3) Observation: The Collection Process Should Be Followed

We noted that it appears there were no attempts to collect delinquent A/R since September 2009. According to Bookstore procedures delinquent accounts are sent to the University Financial Services Business Office for collective action. In reviewing accounts receivable we noted that there are accounts in this category. However, when questioned, the Business Office indicated that it has been two or three years since any accounts were turned over for collection and those that had been turned over previously were too old to attempt collection efforts.

We also noted that the Bookstore policies do not address processes to write off accounts receivable.

Recommendation

We recommend that the Bookstore procedures be followed and that all delinquent accounts be sent to University Financial Services Business Office for collection. We also recommend that this process be monitored by the Bookstore Supervisor of Financial Operations to ensure it is completed monthly.

In addition, we recommend that policies regarding the processes for writing off accounts receivable be developed and followed.

Response

Further discussion with the University of Wyoming's Accounts Receivable Department will be necessary to determine the appropriate timing for turning accounts over to collections and when to consider an account as uncollectible to ensure an optimal collection process. As part of the month-end procedures, all past due accounts will be reviewed; and according to the process laid forth from discussion with Accounts Receivable, turned over for collections when deemed appropriate.

4) Observation: The Accounting System Should Be Used Correctly

During the audit we noted instances in which the "payment" module of WinPRISM was used as a mechanism for making corrections or write offs of accounts receivable. This is an inappropriate use of the system because when the "payments" module was used to make corrections, the adjustment was effectively concealed from management and therefore could not be reviewed and approved. WinPRISM does provide an "adjustments" module created for the

purpose of making these adjustments. When this module is used the adjustments can easily be reviewed and approved.

In addition, we noted an inadequate segregation of duties since the accounting staff has the ability to create A/R accounts, receive payments and then write off balances.

Recommendation

We recommend that the payment module for WinPRISM not be used to make corrections or write off accounts receivable and that all adjustments be reviewed and approved.

We also recommend that the computer system's security be reviewed and that access be modified to ensure that there is an adequate segregation of duties.

Response

1. Complete. The payment module is no longer being used to make corrections and will be monitored on a monthly basis through the month-end report process.
2. The computer security levels for the Bookstore are defined at the individual user level and further defined by job roles. The segregation of duties within the accounting department will be completed once all vacancies are filled. Additional security rights within the WinPRISM accounting system will be vetted and adjusted accordingly to ensure separation of duties without affecting daily operations.

Credit Memo Issues

5) Observation: The Credit Memo Process should be Improved

Credit memos are a significant part of the financial stability of bookstores. Many vendors are willing to give credit for items returned, but are not willing to track the credit or cut a check for the credit. It therefore falls to the Bookstore to track credits due from the vendors and ensure that the Bookstore can get the value for their money.

We noted that the credit memo process does not appear to be monitored on a monthly basis. In order to ensure accuracy the process must be strong and well monitored. Credit memos documents should be reconciled on a monthly basis to the WinPRISM system.

We also noted that many of the supporting documents for the items sampled in the audit could not be produced, indicating that the process is inadequate. Currently, after the items are received and entered into inventory, Receiving sends all documents to the Buyer and the Buyer is responsible to obtain the appropriate credit and then alert Accounts Payable of the status of the invoice. This seems to be problematic because many of the credit memos in our sample did not have the appropriate documents on file in the Accounts Payable office. Since no credit is applied by Accounts Payable unless the documents are on hand this permits invoices to be paid without using an outstanding credit.

Recommendation

We recommend that the Bookstore revise the process for tracking credit memos in the following ways:

1. Credit memos should be reconciled to the computer system monthly. This might require using an excel file to track the credits. This would ensure that should the computer files be corrupted through an upgrade or any other problem, the credit memos can be restored to their original and accurate state. This would also insure that all credits are used in a timely manner.
2. The Bookstore should review the process for tracking credit memos and develop a method in which the Bookstore Accounts Payable Office is notified of the credit memo in a more timely way.

Response

The Bookstore agrees with the audit that credit memos are a very important function within the operations of the store and that current processes need to be revised.

1. Credit memos will be monitored monthly by the Supervisor of Financial Operations.
2. The review of the Credit Memo process in conjunction with the Accounts Payable Office will be completed by early fiscal year 2012.

6) Observation: Write Off Procedures for Credit Memos Should Be Created

We noted that the system is tracking credit memos from 2005 and yet the Bookstore cannot produce the documents to verify the credit memos. In our review it appears that there may have been an input error and these credit memos were actually used but not correctly applied to the system. Therefore these credit memos are still on the books but reflect no real value to the Bookstore.

There also does not appear to be a process in place to track credit memo expiration dates or outdated memos.

Recommendation

We also recommend that credit memos that have been used but not correctly applied to the system be removed from books and all other credit memos be analyzed to determine if they are still valuable.

We recommend that a policy be developed to identify when and how a credit memo should be written off and who should review and approve the process.

Response

1. A thorough review of credit memos in the system will occur, including contact with appropriate vendors to verify the credit memo status. Any credit memos that are still tracked on the books but are identified as already used will be removed.
2. The write off procedures for the Bookstore have been started and will be finalized in FY 2010. They will include maximum dollar amounts that can be written off, an approval process from management, and a documentation process for tracking any write offs within the WinPRISM module.

Reconciliation and Cash Handling Issues

7) Observation: The Reconciliation Process Should be Documented and Approved

Because WinPRISM is a standalone system and does not automatically connect to PISTOL, it is important that these systems be reconciled each month. We noted in our review that although the reconciliations appear to verify cash, not all the adjustments were documented and approved. This lack of appropriate reconciliation procedures allowed an over statement of \$4,111.69 from September 2009 to go undetected until the audit.

This problem was identified in our review of the A/R aging which reflected credit balances for the classification of student accounts (see A/R Observation 1). This A/R error should have caused an imbalance in the reconciliation which would have initiated research to find and correct the error. Inadequate documentation of adjusting entries can allow these problems to go undetected. Adequate monitoring of A/R would have also identified this error.

Recommendation

We recommend that all adjustments to the reconciliation be documented and that the reconciliation with all supporting documentation be reviewed and approved by the Bookstore Manager.

Response

Complete. The new reconciliation form was implemented with the June 2010 reconciliation process and allows for a simplified transaction tracking procedure that should expedite reconciliation. All outstanding items will be documented and accounted for during the month-end reconciliations and procedures.

8) Observation: Checks Received through the Mail Should be Logged and the Log Reconciled

We noted that checks there is not a process to track checks received through the mail to ensure they are deposited and credited to the appropriate account.

Recommendation

We recommend that all checks received through the mail be logged and the log be reconciled to ensure checks have been deposited in a timely manner and credited appropriately.

Response

Complete. As of August 2010, all incoming checks are logged in the business office and then deposited into a register in the Bookstore. There are now two places where the check is accounted for before being entered into the daily deposit. Daily reconciliation of the checks with the log in the office will ensure that all checks are deposited in a timely manner and all incoming funds are accounted for in WinPRISM.

9) Observation: Overages and Shortages Should be Tracked in WinPRISM

It appears that there is not an over/short account on the WinPRISM system. Over and short amounts are tracked on the excel file that is used to ensure adequate balancing. However, we did not see and 'over / short' account anywhere else. This implies that there is no tracking of these numbers to ensure that processes are adequately being performed. It also implies that plug numbers are being used in the reconciliation.

Recommendation

We recommend that the Bookstore contact WinPRISM to find out where this can be tracked on the WinPRISM system and that the over/short amounts be tracked separately and regularly reviewed to ensure that there are no continuing problems.

Response

A cash count procedure will be implemented within the WinPRISM accounting module. All cash overages or shortages will be tracked on the monthly financial statement and will be completed by September, 2010.

10) Observation: Timing Differences Should be Recognized

We noted that PISTOL and WinPRISM define the month differently. This means that there are timing differences each month. Currently, a journal entry is made to adjust the days of the month in WinPRISM to reflect the same days that are in the Pistol reports. These timing issues do need to be recognized on the reconciliation form but do not need to be corrected in the system with a journal entry.

Recommendation

We recommend that timing differences be noted on the reconciliation documentation but not entered into the system with a journal entry.

Response

Complete. The University Bookstore has implemented this policy effective with the June 2010 reconciliation process.

Computer Access Issues

11) Observation: Computer Access Should be Modified to Provide Internal Control

We noted the following internal control issues regarding computer access:

1. The Supervisor of Financial Operations currently has full access to the WinPRISM system which includes the ability to create a request for payment, establish vendors, create accounts receivable accounts, receive payments, write off payments, write off credit memos and process financial statements. This unlimited access provides the opportunity to both cause and conceal errors.
2. Supervisors will often logon to the Banner system and allow students that have not yet received Family Educational Rights and Privacy Act (FERPA) training and/or do not have their own password to use the system to check student financial aid and establish revolving accounts for the students.

Recommendation

We recommend that computer access for the Supervisor of Financial Operations be limited so that no one person has the ability to both cause and conceal errors. We also recommend that access be restricted to those as needed, however allowing access to reports to complete job duties. In addition, we recommend that all employees obtain individual access to the computer with the appropriate FERPA training before they are allowed to access student records or any other computer system.

Response

1. The separation of duties in the accounting department is in the process of being further defined, specifically for the full-time accounting positions. As was noted in the response to observation 4, additional security rights within the WinPRISM accounting system will be vetted and adjusted accordingly to ensure separation of duties without affecting daily operations.
2. Complete. All of the accounting staff, including interns, has been assigned their own login and password to Banner and WinPRISM.

12) Observation: The Process to Obtain Computer Access Should Be Followed

Access to WinPRISM is managed by the Supervisor for Financial Operations and backed up by the Store Manager. Prior to receiving access the employee must fill out a University of Wyoming Request Form for access to WinPRISM. The employee indicates their name, title, start date and signs the form. The immediate supervisor completes a portion that assigns the level of access requested, justification for access and signs off as their supervisor. Once the user id is created and provided to the employee, the Store manager provides an official certification signature.

We noted the following observations:

- Store manager certifications occurred after the fact (form completed by employee and immediate supervisor in November and access was given and store manager didn't sign off as approved until January)
- Immediate supervisor's approval signature occurring after the fact and providing access to employee immediately (form completed by employee in November and access was given, immediate supervisor didn't sign until January when the store manager signed)
- No access marked for employee
- No approval by store manager
- Number of forms not signed by the immediate supervisor or store manager

Recommendation

We recommend that the process to provide access be followed, and that the appropriate approval be obtained before access is granted. Consideration should be given to having the Auxiliary Services Programmer Analyst, Executive give access.

Response

Complete. After careful consideration of all options and consultation with the Programmer Analyst, Executive, the process has been tightened as follows:

- The request form for WinPRISM access will be filled out by an employee's immediate supervisor as part of the hiring process and determines the level of access requested.
- The Bookstore Manager will verify that appropriate access has been requested on the form and sign the request form.
- The Assistant Manager (Manager as back-up) will set up the new user accounts when the paperwork is completed properly and signed by the employee, immediate supervisor and the Bookstore Manager.
- A random quarterly audit by the Assistant Manager will verify that employees have the appropriate access and that no employees outside of the Manager or Assistant Manager have access to all of the controls within the WinPRISM system.
- The Supervisor of Financial Operations will only activate WinPRISM users in the absence of both the Manager and Assistant Manager, and only if timing is critical.

Store Operating Issues

13) Observation: The Process to Review Operating Expenses Should Be Improved

We selected 20 transactions for testing. Results of the testing revealed the following observations:

- An expenditure of \$2,319.12 made payable to the Copy Center was not supported by adequate documentation. Further research into the transaction revealed that the payment was made in an effort to "clean up" the account, the Store Manager found additional mistakes in the processing of this payment that left paid invoices, unapplied in the system and she could not fully reconcile the payment.
- An expenditure for inventory in the amount of \$249.12 was misclassified as education. On travel, the Assistant Store Manager purchased 100 straw hats and the purchase was miscoded.

Recommendation

We recommend that a process be implemented to carefully review all requests for payment to ensure adequate documentation is attached and that it is correctly coded and included in inventory as appropriate. We also recommend that additional reports for A/P be reviewed on a monthly basis to review unapplied invoices to detect errors in payments.

Response

The review of all monthly expenditures will be tracked by the new accountant position and per Recommendation #14 in this report; these invoices and reconciliations will be placed into a monthly packet and signed off on by either the Bookstore Manager or Assistant Manager. All financial reporting will take place in the WinPRISM system to allow for easier tracking and better communications within the accounting department and modules.

14) Observation: Reports Reviewed by Management should be Expanded

We identified all the reports routinely reviewed by management. We noted that operations are reviewed extensively using a number of applicable and appropriate reports. However, there are some financial reports that should be also be monitored on a monthly basis that are not included in the monthly review process.

Recommendation

We recommend that the Supervisor of Financial Operations be required to prepare the following reports and that they be reviewed the Bookstore Manager or Assistant Manager on a monthly basis:

1. The reconciliation of WinPRISM to Pistol. We recommend that the Store Manager require the Accounting Office prepare a packet showing the supporting documentation for each number on the reconciliation. The documentation should be carefully selected and put together in a way that is simple to review and easily understandable.
2. List of journal entries manually posted.
3. Adjustment Module Report(s).
4. Credit Memo review. An excel report has been created to review Credit Memos and reconcile them to WinPRISM, however it has not been used since January. We recommend that this be reinstated and that the report always balance to WinPRISM.
5. The list of individuals sent to collections.
6. The Accounts Receivable Aging Report (review totals and compare with Balance Sheet Report)
7. Reconciliation of the accounts receivable student balances listed on WinPRISM to Banner.
8. Accounts and amounts written off.
9. Transaction error report on WinPRISM.
10. Verification that month is closed.

Response

The University Bookstore agrees with this recommendation and these reports will be implemented beginning with the July 2010 financials.

Kathleen Miller,
Internal Auditor

cc: Dr. Tom Buchanan, President, University of Wyoming

Dr. Doug Vinzant, Vice President for Administration

Mark Collins, Associate Vice President for Administrative Operations

Carolyn Smith, Director of Auxiliary Services

Misty Eaton, Manager, University Bookstore

3. INFORMATION ONLY ITEM

State Matching Funds for Endowments, Buchanan

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify:

STATE MATCHING FUNDS FOR ATHLETICS

There were none.

STATE MATCHING FUNDS FOR ACADEMIC FACILITIES

Questar Corporation

This is to inform you regarding approval for the Wyoming Legislative Matching Funds for a gift of \$56,000.00 from Questar Corporation for the School of Energy Building Fund Project. Questar Corporation has other state matched gifts of \$180,000.00 to the same building project.

Questar Corporation is an entity.

STATE MATCHING FUNDS FOR ENDOWMENTS

Graff, Robert C.

This is to inform you regarding approval for Wyoming Legislative Matching Funds for a gift of \$20,000.00 from Robert C. Graff for the Alfred Jacob Miller Classroom Fund at the American Heritage Center. Mr. Graff has a previous state match of \$50,000.00 for the same endowment.

Mr. Graff is a friend of the University of Wyoming.

Vanvig, Andrew and Constance

This is to inform you regarding approval for Wyoming Legislative Matching Funds for a gift of \$26,508.40 from Andrew and Constance Vanvig for the Andrew Vanvig Distinguished Faculty Achievement Award. Dr. and Mrs. Vanvig have previous state matches of \$108,596.65 to several endowments.

Dr. Vanvig is a friend and former faculty member of the University of Wyoming, and Mrs. Vanvig is a friend of the University of Wyoming.

Violett, Ellen M. and Mary P.R. Thomas

This is to inform you regarding approval for Wyoming Legislative Matching Funds for a gift of \$100,000.00 from Ellen M. Violett and Mary P.R. Thomas for the University of Wyoming Neltje Endowment.

Ms. Violett and Ms. Thomas are friends of the University of Wyoming.

Weatherford, Larry R. and Jennifer S.

This is to inform you regarding approval for Wyoming Legislative Matching Funds for a pledge of \$51,000.00 from Larry R. and Jennifer S. Weatherford for the Lawrence R. and Jennifer S. Weatherford Business Excellence Fund for the Department of Marketing and Management.

Dr. Weatherford is a friend and faculty member of the University of Wyoming, and Mrs. Weatherford graduated from the University of Wyoming in 2009 with a Master of Science degree in Statistics and is pursuing her doctorate in Statistics as well.

4. INFORMATION ONLY ITEM

Development Report, Blalock

CHECK THE APPROPRIATE BOX(ES):

- Work Session
 Education Session
 Information Item
 Other Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The UW Foundation has agreed to report on donor giving to the University of Wyoming Board of Trustees.

WHY THIS ITEM IS BEFORE THE BOARD:

This report is before the board to advise them of the most current giving totals.

COMMENTS:

There are two spreadsheets within the FY2010 Monthly Giving Report through December 31, 2010. The first includes all gifts, while the second focuses on annual fund gifts. Both tables are broken down by the unit receiving the gifts.

University of Wyoming, Foundation
FY 2011 Monthly Giving Report through December 31, 2010
All Gifts

FUND	Current Month Gifts Received		FY 2011 to date								FY 2010 Commitments YTD w/o New Planned Gifts		
			Cash & Cash equivalent				New Commitments YTD				STATE MATCH	DONORS	GIFTS
	DONORS	GIFTS	DONORS	OUTRIG HT	GIK	PLEDGE PMTS	NEW PLEDGES	PLANNED GIFTS	TOTAL				
AGRIC	210	\$9,332,369	715	\$9,727,208	\$1,996	(\$56,000)	\$5,000			\$9,678,205	\$0	561	\$362,959
AHC	70	\$26,267	245	\$304,629	\$80	(\$221,000)	\$40,000			\$123,709	\$20,000	211	\$239,166
ALUMNI	0	\$0	0	\$0	\$0	\$0	\$0			\$0	\$0	1	\$4,000
A & S	551	\$711,835	1712	\$1,577,816	\$566	(\$795,778)	\$755,000	\$50,000		\$1,587,604	\$11,450	1519	\$683,958
ATHLETICS	1073	\$1,070,113	2359	\$1,857,149	\$114,662	(\$881,054)	\$750,000			\$1,840,758	\$33,334	2551	\$1,383,611
BUSINESS	277	\$210,298	720	\$1,888,442	\$35,495	(\$1,554,215)	\$51,050	\$600,000		\$1,020,772	\$51,000	675	\$392,994
EDUCATION	131	\$543,208	572	\$583,726	\$0	(\$248,879)	\$297,615			\$632,462	\$137,615	392	\$48,754
ENERGY	2	\$1,056,250	19	\$1,087,503	\$0	(\$1,000,000)	\$0			\$87,503	\$81,000	16	\$3,081,312
ENGINEERING	366	\$136,831	1071	\$936,977	\$4,990	(\$625,440)	\$3,000	\$100,000		\$419,527	\$0	985	\$430,345
IENR	42	\$26,625	74	\$42,600	\$0	\$0	\$0			\$42,600	\$0	79	\$54,347
HEALTH SCI	153	\$105,058	594	\$208,353	\$1,489	(\$70,863)	\$124,863			\$263,842	\$0	589	\$247,043
LAW	149	\$97,700	376	\$228,183	\$0	(\$108,350)	\$37,000			\$156,833	\$0	238	\$70,007
LIBRARY	34	\$62,431	140	\$74,468	\$1,221	\$0	\$0			\$75,689	\$0	186	\$22,643
OUTREACH	264	\$12,001	4934	\$373,866	\$0	(\$4,967)	\$250			\$369,149	\$0	4942	\$359,360
STU AFFRS	110	\$13,375	394	\$33,876	\$0	\$0	\$0			\$33,876	\$0	594	\$33,252
UW ART MUS	120	\$40,105	595	\$187,120	\$84,353	(\$51,250)	\$0			\$220,223	\$0	598	\$466,082
UNIV. FUND	165	\$37,353	657	\$100,712	\$0	\$0	\$0			\$100,712	\$0	618	\$80,539
OTHER GIFTS NOT YET BOOKED	110	\$886,411	316	\$1,271,511	\$0	(\$244,011)	\$255,050			\$1,282,551	\$323,000	269	\$3,232,839
TOTAL	3,239	\$14,368,229	13,356	\$20,484,139	\$244,852	(\$5,861,806)	\$2,318,828	\$750,000		\$17,936,013	\$657,399	12,840	\$11,193,211
TOTAL YTD GOAL	\$33,000,000		Total Count of Planned Gifts					15					
**Total Donors does reflect Column totals. Donors may give to more than one unit/division.													

University of Wyoming, Foundation
FY 2011 Monthly Giving Report through December 31, 2010
Annual Gifts

FUND	FY 2011 GOALS*	Current Month		FY 2011 to date		FY 2010 to same date		FY 2011 AF % of Goal
		DONORS	AMOUNT	DONORS	TOTAL	DONORS	TOTAL	
AGRIC	\$ 91,102	182	\$51,576	615	\$94,018	448	\$60,958	103.20%
AHC	\$ 42,226	60	\$10,152	221	\$29,716	200	\$25,076	70.37%
ALUMNI	\$ -	0	\$0	0	\$0	0	\$0	N/A
A & S	\$ 375,883	480	\$266,686	1513	\$402,538	1317	\$222,964	107.09%
ATHLETICS	\$ 2,300,000	982	\$295,197	2060	\$730,990	2340	\$692,397	31.78%
BUSINESS	\$ 191,960	242	\$42,016	629	\$90,977	599	\$96,398	47.39%
EDUCATION	\$ 62,910	116	\$287,587	541	\$314,575	363	\$33,409	500.04%
ENERGY	\$ 2,302	0	\$250	14	\$6,503	7	\$1,310	282.47%
ENGINEERING	\$ 276,232	331	\$106,585	972	\$177,791	900	\$164,341	64.36%
IENR	\$ 54,570	39	\$24,125	70	\$36,600	71	\$28,847	67.07%
HEALTH SCI	\$ 116,067	142	\$23,856	530	\$88,678	537	\$65,151	76.40%
LAW	\$ 63,804	106	\$23,120	243	\$59,353	184	\$27,032	93.02%
LIBRARY	\$ 29,682	30	\$27,575	129	\$39,063	166	\$18,973	131.60%
OUTREACH	\$ 810,000	262	\$11,251	4925	\$326,862	4930	\$328,115	40.35%
STU AFFRS	\$ 31,397	107	\$9,925	374	\$25,566	546	\$23,628	81.43%
UW ART MUS	\$ 46,301	72	\$11,142	177	\$27,505	136	\$22,852	59.40%
UNIV. FUND	\$ 125,731	163	\$37,328	649	\$83,109	615	\$80,489	66.10%
OTHER	\$ -	71	\$22,555	185	\$39,540	142	\$18,149	N/A
GIFTS NOT YET BOOKED								
TOTAL	\$4,620,167	2,931	\$1,250,925	12,221	\$2,573,382	11,903	\$1,910,089	55.70%
**Total Donors do not reflect Column totals. Donors may give to more than one unit/division.								