

THE UNIVERSITY OF WYOMING
BOARD OF TRUSTEES' REPORT

November 16-18, 2016

The final report can be found on the University of Wyoming Board of Trustees Website at
<http://www.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
November 16-18, 2016

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Roll Call

Approval of Board of Trustees Meeting Minutes

October 19, 2016 (conference call)

Approval of Executive Session Meeting Minutes

October 19, 2016 (conference call)

Reports

ASUW

Staff Senate

Faculty Senate

Public Testimony

[Thursday, November 17, 2016, at 11:30 a.m.-12:00 p.m.]

Committee of the Whole

REGULAR BUSINESS

Board Committee Reports

[Note- Committees of the Board will be discussed during a regular work session of the meeting. Those listed below will provide reports during the regular Business meeting.]

Trustee Standing Committees

Audit and Fiscal Integrity Committee (“Audit Committee”)

Jeff Marsh (Chair)

Financial Management and Reporting Committee (“Financial Committee”)

Dave True (Chair)

Facilities Contracting Committee (“Facilities Committee”)

John McKinley (Chair)

Budget Committee

John McKinley (Chair)

Honorary Degrees and Awards Committee (“Honorary Degree Committee”)

Laurie Nichols (Chair) Mike Massie (Trustee Chair)

Liaison to Other Boards

- *UW Alumni Association Board* – Wava Tully
- *Foundation Board* – Jeff Marsh & Dave Bostrom
- *Haub School of Environment & Natural Resources* – Michelle Sullivan
- *Energy Resources Council* – Dave True
- *Cowboy Joe Club* – John McKinley

PROPOSED ITEMS FOR ACTION:

1. Approval of Contracts and Grants – Gern
2. Approval of Personnel – Miller
[Note: Distributed in advance using the Trustee secure website]
3. Approval of Revisions to UW Regulations – Evans
 - UW Reg 1-102 and 2-178 (re: Residence Halls)
 - UW Regs 1-1, 5-1, 5-408, 5-804, 7-580 (re: Haub School of Environment and Natural Resources)
4. Approval of Bylaws – MacPherson/Evans
5. Approval of Policy Related to Alcohol Sales at Athletic Events – Burman
6. Approval of Operating and Capital Facilities Reserve Policy – Mai
7. Approval of Modification to Trustee Scholars Award – Axelson
8. Approval of Mineral Lease (per discussion during executive session) – Mai
9. Approval of Degree Elimination [Self-Design Major (SDM)] – Miller
10. Approval of Mick and Susie McMurry High Altitude Performance Center – Guaranteed Maximum Price – Mai
11. Approval of FY18 Budget Reduction Plan – Nichols

New Business

Date of Next Meeting – December 14, 2016 Conference Call

Adjournment

Information Only Items:

1. Capital Construction Report, Mai 349
-

AGENDA ITEM TITLE:

Revenue in Athletics - Approval of Modifications to the University's Alcohol and Other Drugs Policy to include Sale of Alcohol at Athletics/Special Events, Burman/Samp

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

UW Regulation 2-39 (Alcohol and Other Drugs Policy) authorizes the Vice President for Administration to enforce the University Policy on Alcohol. The University proposes modifications to Appendix A to UW Regulation 2-39 to allow to sale of alcohol at Athletics and/or Special Events in War Memorial Stadium and the Arena Auditorium.

The rationale for this request is as follows:

- To enhance fan experience at UW events and increase fan engagement opportunities;
- To generate additional revenues (i.e., beverage sales, concession sales, ticket sales and corporate sponsorship revenues);
- To provide a more entertaining game atmosphere and encourage increased fan attendance;
- To provide a safer, more controlled/monitored environment for fans who desire and choose to purchase beer or wine beverages while attending UW events;
- To provide an environment that discourages binge drinking, while promoting more responsible drinking (i.e., verification of age, limiting number of beverages, establishing cut off times for beverage purchase, prohibiting re-entry to stadium or arena, etc.)

The Department of Intercollegiate Athletics will maintain an operational plan outlining sales locations, staffing, TIPS training, use or wrist bands, equipment, etc. This working document may be modified by Athletics based on modifications to facilities, improvements/changes to product lines/technologies, attendance numbers, and other factors impacting game day operations.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

At the September 2016 Board of Trustees meeting, UW Athletics Director Tim Burman presented materials on the sale of beer and wine in War Memorial Stadium and the Arena Auditorium, including a discussion of revenues and expenses. The Board indicated that it would consider approval of the plan at the November 2016 Board meeting.

WHY THIS ITEM IS BEFORE THE BOARD:

UW Regulation 1-101 requires that any modification to UW Regulations must be approved by the Board.

ACTION REQUIRED AT THIS BOARD MEETING:

Board approval or disapproval of the recommended modifications to the Regulation.

PRESIDENT'S RECOMMENDATION: The President recommends approval.

Appendix A to UW Regulation 2-39

**University of Wyoming
Alcohol and Other Drugs Policy**

I. INTRODUCTION

A. Purpose

The purpose of this policy is to provide the university community with guidelines for the safe, legal, and responsible use of alcohol, to outline prohibitions for the use of illegal drugs, and to provide appropriate disciplinary sanctions.

B. Statement of Philosophy

The University of Wyoming Alcohol and Other Drugs Policy is intended to further the educational mission and goals of UW by advocating for individual responsibility, healthy and informed decision-making, and the safe, legal, and responsible use of alcohol and the prohibition of illegal drugs. The University of Wyoming is committed to creating a safe and healthy environment for all members of the University community in which the illegal or inappropriate use of alcohol or illegal drugs does not interfere with learning, performance, employment, residential living, or development.

C. Authority

Authority for establishment and implementation of this policy derives from University Regulation 39 and is vested in the Vice President for Administration or designee.

D. Application of laws, regulations, and policy

The University of Wyoming complies with requirements set forth in the *Drug-Free Schools and Communities Act of 1989*, the *Drug-Free Workplace Act of 1988*, and amendments thereto, plus applicable federal, state, and municipal laws. The unlawful uses, possession, production, manufacture, and distribution of alcohol and illegal drugs and controlled substances is strictly prohibited. Students, faculty, staff, and visitors to the University are required to obey 1) federal, state, and municipal laws regarding alcohol, drugs, and controlled substances, and 2) UW policies regarding alcohol and illegal drugs, and to act reasonably to reduce the risks associated with use and abuse of these substances. This policy governs all service of alcohol on University owned or controlled property and facilities, including locations supporting UW outreach programs, recognized student organization activities, and student exchange programs.

E. Policy distribution

The Alcohol and Other Drugs Policy will be published and distributed annually by the Vice President for Administration's Office to each student and employee. The Policy shall also be made available through the University's electronic information system.

F. Biennial program review

The alcohol and drug program shall be reviewed at least once every other year by the University's Alcohol, Wellness Alternatives, Research and Education (AWARE) Coordinator, who shall file required reports with the U.S. Department of Education.

II. HEALTH RISKS

A. Alcohol. Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a vehicle safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts. Alcohol is often a major factor in crimes committed both on campus and off campus. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Women who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

For current research on the health effects of alcohol, refer to the National Institute on Alcohol Abuse and Alcoholism at www.niaaa.nih.gov

B. Illegal Drugs. Drugs such as marijuana, cocaine, hallucinogens, narcotics, anabolic steroids, amphetamines, and methamphetamines are regulated because they often have a powerful impact on the body and its systems. A description of health risks associated with the use of illegal drugs is printed in the *Student Handbook & Planner*. For current research on the health effects of drugs, refer to the National Institute on Drug Abuse website at www.nida.nih.gov

III. ABUSE PREVENTION PROGRAMS AND ASSISTANCE SERVICES

- A.** The University of Wyoming actively works toward reducing the misuse of alcohol and the harmful consequences associated with alcohol abuse through the implementation of research-based practices. UW offers late-night alcohol-free programming to students through the Campus Activities Center, a free shuttle service for students to prevent driving under the influence, conducts educational programs and activities in the residence halls, and supports the A-Team, which is a campus-community coalition that addresses alcohol issues. In addition, the UW Alcohol Wellness Alternatives, Research & Education (AWARE) Program provides education, prevention, and intervention services to the university and community.
- B.** All University of Wyoming students may receive alcohol and other drug education and referral services from the Alcohol Wellness Alternatives, Research & Education (AWARE) Program in the University Counseling Center (766-2187). Those enrolled full-time, or part-time if they have purchased the optional fee package, may receive services from the Student Health Service (766-2130). Substance abuse evaluations are conducted through the Counselor Education Training Clinic on campus (766-6820). Also, students may seek services in the community, incurring the charges themselves, at Peak Wellness Center (745-8915) for outpatient services, Iverson Memorial Hospital, Behavioral Health Clinic (742-0285) for outpatient and detoxification services, or from a mental health professional listed in the telephone directory. Students at the University of Wyoming at Casper (UW-Casper) can receive services for drug and alcohol issues from Casper College Counseling and Student Development Services (268-2201).
- C.** All University of Wyoming faculty and staff can receive services for drug and alcohol issues in the Laramie community at Peak Wellness Center (745-8915) for outpatient services, Iverson Memorial Hospital, Behavioral Health Clinic (742-0285) for outpatient and detoxification services, or from a mental health professional listed in the telephone directory. Faculty and staff may also receive, free of charge, a single session crisis intervention and referral consultation for drug and alcohol issues at the University Counseling Center (766-2187). Employees at the University of Wyoming at Casper (UW-Casper) are directed to Casper College Counseling and Student Development Services (268-2201) for drug and alcohol issues.
- D.** All University of Wyoming departments can receive assistance with alcohol policy development, and can receive consultation on current evidence-based practices for the prevention of alcohol and other drug abuse from the campus-community coalition called the A-Team (766-2187).

IV. LAWS AND REGULATIONS

All use and distribution of alcohol is subject to federal, state, and local laws and regulations, which include the duties and prohibitions listed below. University employees and students may be subject to additional restrictions set forth by their respective departments.

A. Wyoming Laws

1. In accordance with the laws of the State of Wyoming, it is illegal for any person to use, possess or distribute illegal drugs or other controlled substances except as expressly permitted by law.
2. In accordance with the laws of the State of Wyoming, it is illegal for any person under the age of 21 to consume, possess, or otherwise have access to alcoholic beverages.
3. No person or organization may sell, furnish, or give alcoholic beverages to any person under the age of 21.
4. Open containers are not permitted in open areas without first obtaining an authorized permit from the University of Wyoming to possess, consume, and/or serve alcoholic beverages. This includes areas within university academic departments or other university owned or controlled properties. Permission can be requested from the Vice President for Administration using the form in Appendix A.

B. University of Wyoming Regulations

All departmental policies and processes related to alcohol and other drug issues are subject to the *Student Code of Conduct* (per University Regulation 30) in addition to departmental processes.

1. Alcohol regulations

a. Possession, Service, and Consumption of Alcoholic Beverages on Campus and in University Owned or Controlled Facilities.

The Vice President for Administration, or designee, may authorize the temporary possession and/or consumption of alcoholic beverages on the University campus or in University owned or controlled facilities. A written request must be submitted to the Vice President for Administration for the temporary possession and/or consumption of alcoholic beverages at any special events in University facilities. Such temporary authorization shall be made pursuant to the requirements of the law and the best interests of the University. The request form can be found in Appendix A.

- i. Non-alcoholic beverages must be available at all functions when alcoholic beverages are served.
- ii. No public funds of the University may be used in payment for alcoholic beverages.
- iii. When feasible, servers of alcoholic beverages are expected to have participated in server training.

b. Possession, Service, and Consumption of Alcoholic Beverages in University owned or Controlled Living Units

- i. The Executive Director of Residence Life, Dining Services, and the Wyoming Union has the authority to designate specific University owned or controlled living units where alcohol consumption by individuals aged 21 or older is permitted.
- ii. Any consumption of alcoholic beverages in University owned or controlled living units is subject to the guidelines set forth by the University's *Student Code of Conduct* and the Department of Residence Life's *Responsibilities & Rights*, and all applicable laws and ordinances.
- iii. It is the responsibility of the Executive Director of Residence Life, Dining Services, and the Wyoming Union to ensure compliance with and enforcement of this Alcohol and Other Drugs Policy, as well as such state and local laws as may apply, in University owned or controlled living units.

c. Regulations for the Operation of a Malt Beverage Service and Facilities in the Wyoming Union

- i. The Trustees of the University may on a yearly basis apply for a special malt beverage permit by which malt beverages may be served in a regular designated malt beverage dispensing room, and temporary dispensing areas for special events, within the Wyoming Union.
- ii. It is the responsibility of the Director of the Wyoming Union to ensure compliance with and enforcement of this Alcohol and Other Drugs Policy, as well as such state and local laws as apply, to the Wyoming Union and the service of malt beverages. This shall include the design and implementation of a server training program. Because the Wyoming Union has been issued a malt beverage liquor license, it is not required to seek a dispensing permit from the Vice President, for areas covered by the license.

iii. The Trustees of the University, as the holder of the special malt beverage permit, have final authority in the administration of the malt beverage facility and may prohibit or suspend the dispensing of malt beverages upon receiving information that violations of law or this regulation have occurred to a degree that in their judgment would warrant such action.

d. Regulations for the Operation of a Liquor Establishment at Jacoby Golf Course

It is the responsibility of the Director of Jacoby Golf Course to ensure compliance with and enforcement of this Alcohol and Other Drugs Policy, as well as such state and local laws as apply, at the Jacoby Golf Course. Because the Jacoby Golf Course has been issued a liquor license, it is not required to seek a dispensing permit from the Vice President.

e. Alcohol Use Substance Abuse Policy and Use of Alcohol at Athletics and/or Special Events

i. Any student participating in intercollegiate athletics at the University of Wyoming must comply with the *University of Wyoming Department of Athletics Substance Abuse Policy* and the *Student Code of Conduct*. Student athletes are subject to drug testing procedures outlined by the NCAA and the UW Department of Intercollegiate Athletics.

ii. Vendors will be allowed to sell beer and wine at University Athletic and/or Special Events pursuant to an agreement between the vendor and the University. Vendors must have a current liquor license through the State of Wyoming.

ii. It is the responsibility of the Director of Intercollegiate Athletics to ensure compliance with and enforcement of this Alcohol and Other Drugs Policy, as well as such state and local laws as apply, at all University of Wyoming athletic events.

f. Alcohol Consumption and Individuals Under the Influence

i. Employees, outside vendors, and contractors of the University may not consume alcoholic beverages while at their workstations or while on duty unless specifically authorized (e.g., an approved special event).

ii. Employees, outside vendors, and contractors of the University are not permitted to be drunk while on duty.

g. University of Wyoming Employees Performing Safety-Sensitive Functions

The following pertains to those University of Wyoming employees who perform safety-sensitive functions in the performance of their respective job duties; all employees who are required to hold a Commercial Drivers License (CDL) in order to perform their respective job duties; and, all successful applicants for such positions. The University of Wyoming prohibits any use of alcohol and/or non-prescribed controlled substances on the job. This prohibition includes evidence of alcohol or controlled substances use that may impair the employee's ability to successfully perform job duties. Designated employees are subject to alcohol and drug testing procedures set forth by the University of Wyoming and the Wyoming Department of Transportation.

h. Alcohol Advertising and Sponsorship

Advertising of any alcoholic beverages is prohibited unless permitted by the Vice President for Administration. Advertising of alcoholic beverages in publications under the purview of the Student Publications Board is controlled by that board.

2. Drug regulations

a. Drug-free Workplace Policy

The University of Wyoming is committed to the development and maintenance of a drug-free environment. It is the policy of the University of Wyoming that the unlawful manufacture, sale, distribution, dispensing, use, or possession of any controlled substance by employees is prohibited while on the job or on University owned or controlled property.

b. Definitions

i. "Controlled substance" means a controlled substance in Schedules I through V of Section 202 of the Controlled Substances Act (21 U.S.C. 812), and as further defined by regulations at 21 CFR 1300.11 through 1300.15.

ii. "Conviction" means a finding of guilt (including a plea of *nolo contendere*) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes.

iii. "Criminal drug statute" means a Federal or non-federal criminal statute involving the manufacture, sale, distribution, dispensing, use, or possession of any controlled substance.

c. Administrative Procedure

In support of this policy, the University will:

- i. Notify each University employee and each student employee that, as a condition of employment, the person, once so employed, must abide by the terms of the policy, and must notify his/her supervisor and the Human Resources Department of any criminal drug statute conviction for a violation occurring in the workplace, no later than five days after such conviction;
- ii. Notify the appropriate federal agency within ten days after receiving notice of criminal drug statute conviction of any employee engaged in performance of the grant or contract;
- iii. Make a good faith effort to continue to maintain a drug-free workplace through implementation of this policy.

V. SANCTIONS AND ENFORCEMENT

Anyone who violates federal, state, or local law regarding alcohol or other drugs is subject to prosecution and punishment by criminal and civil authorities in addition to disciplinary or administrative sanctions issued by the University. Pursuant to the educational goals and mission of the University of Wyoming, violators of this Alcohol and Other Drugs Policy are subject to the disciplinary actions listed below.

A. Infractions by Students or Student Groups

Students (or student groups) acting in violation of this Alcohol and Other Drugs Policy will be referred to the Dean of Students for disciplinary action, based on the *Student Code of Conduct*.

1. Any student who is cited for an alcohol or other drug offense (Minor in Possession, and/or Minor Under the Influence, etc.) in the University Residence Halls or Apartments will be directed to the Executive Director of Residence Life, Dining Services, and the Wyoming Union or designee for disciplinary action and participation in the Alcohol Wellness Alternatives, Research & Education (A.W.A.R.E.) Program.
2. Any student cited for an alcohol or other drug offense (Minor in Possession, and/or Minor Under the Influence, etc.) whose conduct was deemed disorderly on University property, not within the jurisdiction of the Departments of Residence Life or Dining Services, may be handled by a University Hearing Officer appointed by the Dean of Students Office for disciplinary action and participation in the Alcohol Wellness Alternatives, Research & Education (A.W.A.R.E.) Program.

3. Any student who destroys property or inflicts harm on another person while under the influence of alcohol or other drugs on University owned or controlled property may be subject to criminal action and may be subject to more severe University disciplinary sanctions, such as dismissal, suspension, and/or fines or those sanctions set forth in the *Student Code of Conduct*.

B. Infractions by Employees

Employees of the University who violate this policy are subject to disciplinary action pursuant to the University's established policies, as outlined in the Employee Handbook.

C. Infractions by non-University Employees and Guests

The University of Wyoming Police Department is responsible for handling suspected violations of this policy by invitees, contracted workers, visitors or guests on University owned or controlled property.

VI. DOCUMENTS CITED IN THIS POLICY

University Regulation 30, rev. 1 – www.uwyo.edu/legal/Uniregs/ur030.htm

University Regulation 39, rev. 3 – www.uwyo.edu/legal/Uniregs/ur039.htm

Student Code of Conduct – www.uwyo.edu/DOS/filesWORD/code.doc

Students' Responsibilities and Rights for Residence Halls & Dining Services –

www.uwyo.edu/reslife-dining/halls/Handbook/Rights2006-2007.pdf

University of Wyoming Department of Athletics Substance Abuse Policy –

[www.fansonly.com/photos/schools/wyo/genrel/auto_pdf/2006-](http://www.fansonly.com/photos/schools/wyo/genrel/auto_pdf/2006-2007SAhandbook.pdf)

[2007SAhandbook.pdf](http://www.fansonly.com/photos/schools/wyo/genrel/auto_pdf/2006-2007SAhandbook.pdf) (page 30)

Drug-Free Schools and Communities Act of 1989 –

Drug-Free Workplace Policy of 1988 – 41 U.S.C. 701

Request for Permission to Serve Alcohol – Appendix A

Malt Beverage Service in the Wyoming Union – Appendix B

APPENDIX A

REQUEST FOR PERMISSION TO SERVE ALCOHOL
ON UNIVERSITY OF WYOMING PROPERTY

- 1) Name of event _____
- 2) Date _____
- 3) Event start time: _____ Event end time: _____
- 4) Sponsoring organization/individual _____
- 5) Person making request _____
Address _____

Telephone _____ Email _____
- 6) Desired location _____
- 7) Description of event _____

- 8) All activities involved with this planned event will be in accordance with the applicable University policies, procedures, and regulations.
- 9) Food and non-alcoholic beverages are required at events serving alcohol. The following food and non-alcoholic beverages will be available _____

- 10) The service of alcohol and responsibility for age verification and responsible drinking at the event rests on the sponsoring organization/individual in compliance with University of Wyoming regulations. When feasible, servers of alcoholic beverages are expected to have participated in server training. How will appropriate staff and security determine the verification of age and compliance? _____

- 11) It is the responsibility of the sponsoring organization/individual to post one 8-1/2" x 11" sign at each bar stating that alcohol will not be served to persons under age 21.
- 12) Alcohol will be delivered to the event site by _____
Date _____ Time _____
Leftovers will be picked up by _____
Date _____ Time _____
- 13) It is University policy that no State of Wyoming funds be used to purchase alcohol.
Alcohol will be purchased by _____
using University Account # (if applicable) _____

Signature of Sponsor's Representative _____

Date signed _____

Sponsoring Organization _____

Additional Information _____

OFFICE USE ONLY

Approved _____ Not Approved _____

Comments _____

Vice President for Administration (or designee)

Date

APPENDIX B

Regulations for the Operation of a Malt Beverage Service and Facilities in the Wyoming Union

1. GENERAL INFORMATION. The Trustees of the University may, on a yearly basis, apply for a special malt beverage permit from the City of Laramie for the Wyoming Union building by which malt beverages may be served in a regular designated malt beverage dispensing room, and temporary dispensing areas for special events, within the Wyoming Union.

2. MALT BEVERAGE FACILITY AND PROVISIONS FOR DISPENSING.

a. The malt beverage service and facilities shall be located in that portion of the Wyoming Union as are described in the approved application for the special malt beverage permit.

b. Malt beverages shall be consumed only in the designated dispensing room area.

c. The furnishing or sale of malt beverages in the Wyoming Union is restricted solely to the holder and designated seller for the specified service area, and other individuals, groups or associations will not be allowed to bring alcoholic beverages onto the premises of the Wyoming Union for sale or consumption by themselves or others without approval by the Vice President for Administration.

d. The hours during which the malt beverage facility shall be available to serve malt beverages shall not exceed the following:

(1) Monday through Thursday, 3:00 p.m. to 10:00 p.m.

(2) Friday, 3:00 p.m. to 12:00 midnight

(3) Saturday, 10:00 a.m. to 12:00 midnight

For reasons related to economic trends, factors in utilization or problems of management, the Director of the Wyoming Union, in consultation with the Wyoming Union Board, may further limit these hours.

e. The clientele for which the malt beverage facility is intended includes students, University personnel, alumni, and University guests. During the hours of operation, only persons who are 21 years of age or older, as required by state and federal law, and who present appropriate government-issued identification will be served malt beverages in the facility.

Individuals who fail to properly identify themselves or who refuse to peaceably leave the premises upon request by the management of the malt beverage facility shall be subject to prosecution pursuant to Wyoming Statutes. Misconduct by students may also be subject to University disciplinary action in accordance with University Regulation 30 and the *Student Code of Conduct*.

f. During hours other than those designated for the dispensing of malt beverages, the dispensing facilities shall be closed and malt beverages shall not be consumed on the premises; however, at such times, the general premises approved for this facility may be used for alternative purposes including activities for persons under the age of 21.

g. Lunches, foods, snack items, non-alcoholic beverages and related condiments may be made available for consumption in the malt beverage facility during the hours it is in operation.

h. It is the responsibility of the management of the malt beverage facility to refuse to sell malt beverages to any person who is or becomes obviously incompetent due to the influence of alcohol or who is a habitual source of behavioral problems in the malt beverage facility area.

i. Determinations regarding appropriate staffing and security for the malt beverage facility are the responsibility of the Director of the Wyoming Union.

AGENDA ITEM TITLE:

**Management Audit Report Update & Other Governmental and Community Affairs
Topics, Boswell**

CHECK THE APPROPRIATE BOX(ES):

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

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Vice President for Governmental and Community Affairs Chris Boswell will give an update to the Board on the Management Audit Report and various other topics. Please see materials inserted below.



October 28, 2016

Senator Bruce Burns, Chairman
Representative David Miller, Vice Chair
Management Audit Committee
Wyoming State Legislature
Cheyenne, Wyoming 82002

Dear Chairman Burns and Vice Chairman Miller,

The University of Wyoming appreciates the work of the Management Audit Committee and the Legislative Service Office Program Evaluation staff in developing the January 5, 2015 report titled "University of Wyoming: Effectiveness of Block Grant Funding." The University offers this response as the requested follow up and update to actions related to the evaluation, as requested in the committee's September 26, 2016 communication to the university.

The University's initial response to Management Audit, dated July 16, 2014, noted the audit was conducted during a period in UW's history that was "extraordinary by any measure." A new President had come and gone during the space of a few months in 2013, and numerous transitions were taking place among the university's senior leadership. Those transitions among the University's most senior administrative and academic positions reached important thresholds in 2016, with the arrival of University of Wyoming President Laurie Nichols, and Provost and Vice President for Academic Affairs Kate Miller. While some progress on issues associated with the Management Audit follow up was realized prior to their arrival, 2016 demonstrated movement on a number of fronts relevant to the audit. All are quite relevant to both the spirit and the detail of the Management Audit report.

1. The University has contracted for the development and implementation of new fiscal and management systems which will facilitate an extensive reworking of those systems identified as being in dire need of overhaul in the audit report. The systems will be ready for rollout in 2017, enabling dramatically different management of university finances, HR, and other essential elements.
2. The Huron Consulting Group was tasked with an examination of non-academic operations of the University, and elements of the consultant's recommendations are being included in university plans going forward.
3. The university has embarked on a vigorous strategic planning process under the leadership of Provost Kate Miller.
4. Significant reductions to the University of Wyoming's Block Grant and line item appropriations have been ordered by the legislature and the Governor. The university has identified and realized approximately \$19 million in ongoing budget reductions for FY 2017, and is in the process of identifying a minimum of \$10 million in additional reductions for FY 2018. The resulting spending reductions and redirection of resources

Response to Management Audit
October 26, 2016
Page 2

- are relevant to the recommendations included in the audit, and will be discussed with the Joint Appropriations Committee in December, 2016.
5. A systematic process of developing a list of comparator institutions has been undertaken, and a list of eleven "close" peer institutions and nine "stretch" or aspirational institutions has been developed and approved by the Board of Trustees. The lists have many commonalities with the list developed by the LSO staff.
 6. An extensive review of academic programs has led to recommendations to consider reducing the number of degree offerings at the university. The program review process will continue through the academic year.

The University of Wyoming Board of Trustees and the administration of President Laurie Nichols believe this is an important time for the university, and we are pleased to be able to provide the following update which outlines significant progress on issues identified in the 2015 Management Audit report, following the format requested in the committee's September, 2016 letter to the university.

Sincerely,



Christopher Boswell
Vice President for Governmental and Community Affairs
University of Wyoming

Recommendation 3.1: The University should re-examine if the proportional budgeted allocation for Personal Services aligns with current goals and objectives.

Original 2015 Agency Response: *The University Partially Agreed. UW supports the notion of enhanced budget reporting. However, UW creates budgets on a functional basis depending upon the specific needs of the program or function, not by accounting code. Personal services will be the largest component of almost every program at a University.*

2016 Follow-up Response:

The University is striving to tie strategic planning efforts to its budget. Two current initiatives will move the University closer to that goal:

- 1) President Nichols has launched a robust strategic planning process which kicked off on September 23, 2016 and listening sessions are currently being held with campus constituents.
See <http://www.uwyo.edu/president/strategic-plans/>
- 2) A university-wide initiative to provide modern and sophisticated solutions for today's demands and challenges on our University is underway by implementing the Oracle Fusion Cloud systems of Enterprise Resource Planning, Human Capital Management,

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Grants Management, Budgeting & Planning, Supply Chain Management, and Reporting & Analytics. This effort will not only provide enhanced budget reporting but will transform the way the University does business.
See <http://www.uwyo.edu/wyocloud/>

Recommendation 3.2: The University should re-examine if proportional budgeted allocation for the various employee classifications aligns with current goals and objectives.

Original 2015 Agency Response: *The University noted this recommendation as indeterminable. The academic enterprise comprises more than 50% of total salaries at UW. A substantial number of classified personnel are directly assigned to academic units. However, UW creates budgets on a functional basis depending upon the specific needs of the program or function, not by the relative proportion of position classifications.*

2016 Follow-up Response:
Please see Follow-up Response to Recommendation 3.1

Recommendation 3.3: The University should re-examine the current balance of Section I and Section II funding for the Division of Athletics and ensure that the established balance aligns with current goals and objectives.

Original 2015 Agency Response: *The University noted this recommendation as indeterminable. Intercollegiate Athletics is the one UW division that relies on nearly an equal allocation of Section I and Section II revenues. Due to recent changes resulting from NCAA actions that have occurred and will occur, there will be what amounts to "de-regulation" of former limitations on athletics spending in a variety of areas. UW will need to aggressively pursue external funding and also explore with policymakers the possibilities for additional Section I support if UW to be competitive in the Mountain West Conference. Enhanced reporting will clarify the complexities associated with this mix of funding.*

2016 Follow-up Response:
Athletics is not unique in this respect. Other units including, but not limited to, University Operations, The Outreach School and the Division of Information Technology have both Section I and Section II budgets. Through the aforementioned strategic planning process, and in conjunction with the WyoCloud initiative, the concept of Section I vs. Section II funding will be thoroughly examined and the distinction will likely be eliminated. A new budget model based on best practices in higher education will be implemented in order to better align budget practices with University goals and objectives.

Recommendation 4.1: The University should re-examine its current list of comparator institutions, the 50 Public Research Universities, that is used to establish market comparator faculty salary data.

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Original 2015 Agency Response: *The University Agreed. There has been a lack of clarity and consistency in UW's use of comparator institutions with respect to faculty compensation. UW is committed to identifying a methodology to identify comparator institutions to use as a basis for discussions with regard to faculty salary levels on a continuing basis.*

2016 Follow-up Response:

Institutional peers for the University of Wyoming were developed during the summer of 2016 and subsequently approved by the UW Board of Trustee. These peer institutions all represent 4-year public research universities in the United States that have significant similarities with UW.

Peer institutions were selected by first ranking the similarity of each public research institutions in the US to UW, and then selecting the final peers through a vetting process which involved campus leaders.

The initial ranking process compared 192 public research universities in the US across 44 different variables sourced from The Carnegie Foundation, The National Center for Education Statistics (NCES), The National Science Foundation (NSF), The College Board and The National Association for College and University Business Officers (NACUBO). Each university was ranked based on similarities with the University of Wyoming. Universities with more data points similar to UW ranked highest.

The resulting list was vetted by campus leadership to select the final peers. This process resulted in splitting the list into two parts, one list of 'Close Peers' – the universities most similar to UW, and of list of 'Stretch Peers' – universities that in many ways are similar to UW, but in enrollment and/or research output are larger than UW.

The final lists:

<i>Close Peers</i>	<i>Stretch Peers</i>
University of Idaho	Kansas State University
University of Nevada-Reno	University of Nebraska-Lincoln
New Mexico State University-Main Campus	West Virginia University
University of Rhode Island	Colorado State University-Fort Collins
Utah State University	Clemson University
University of Maine	Texas Tech University
Oklahoma State University-Main Campus	University of New Mexico-Main Campus
Montana State University	Washington State University
South Dakota State University	University of Utah
The University of Montana	
North Dakota State University-Main Campus	

Recommendation 4.2: The University should establish multiple lists of comparator institutions used to conduct faculty market salary analysis for presentation to stakeholders including the

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Board and the Legislature. At a minimum, salary data from aspirant institutions should be separately identified and analyzed.

Original 2015 Agency Response: *The University noted this recommendation as indeterminable. The 7 comparator institutions identified in the LSO audit are not the appropriate comparator institutions for faculty salaries or for any other purposes of comparison. By law, the state has determined that UW should pursue Tier I status in engineering, and has also established a process to pursue excellence through a science initiative. These are the first two of what will presumably be more efforts to strengthen UW as an institution.*

2016 Follow-up Response:

The approved institutional Close and Stretch peers should be acceptable for salary comparisons on an institution-wide level. However, it should be noted that although these peers measure institutions that are very similar to UW, these institutions may not fully comprise the market for faculty at UW.

For more selective assessment, colleges and departments may develop selective comparator lists of peer institutions with comparable programs. These comparators are of value for colleges and certain disciplines, but will not serve as comparators for the institution as a whole.

Finally, the university will continue to make use of faculty salary information as available through the annual Oklahoma State University survey of doctoral degree granting institutions.

Recommendation 5.1: The Board of Trustees should approve a formal compensation policy that better defines allowable instances of discretionary salary increases, such as retention offers and equity salary increases.

Original 2015 Agency Response: *The University noted this recommendation as indeterminable. Top performing faculty are in high demand in an extremely competitive environment. These faculty may receive unsolicited offers from other institutions, or for a variety of reasons, faculty may begin to test the market. It is impractical to further reduce Block Grant commitments to UW units to set aside funding for this purpose on an ongoing basis for each budget period.*

2016 Follow-up Response:

This is a work in progress. The university is in the process of establishing the initial framework of a compensation policy which incorporates a significantly more defined retention compensation strategy than has been employed by the university in the past. The university recognizes faculty and staff compensation can no longer be as closely tied to state appropriations, and opportunities to provide compensation adjustments will require new revenue measures as well as redirection of existing university resources. Such efforts are underway as outlined in 2016 Follow-up Response 8.1.

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Recommendation 5.2: The Board Trustees should approve a compensation policy that provides for a dedicated funding source for off-cycle salary increases including increases for tenure and promotion, retention offers, and equity increases.

Original 2015 Agency Response: *The University of Wyoming, Board of Trustees disagreed. The rationale behind these recommendations is flawed as reflected in the narrative of the agency response.*

Additional agency narrative for Recommendations 5.2 through 5.4 (excerpts): *These recommendations suggest that within its existing resources, UW should be able to establish policies so that employees receive regular pay raises... Recommendation 5.4 urges the Board of Trustees to adopt a compensation policy to provide salary increases at a consistent frequency and to do so to maintain market competitive salary levels "within the flexibility of block grant funding..." Considered together, the foregoing suggests that higher education institutions in Alaska are able to implement salary increases within existing, unchanging resources... To be clear, UW is not asking for a change in the state budget process. UW does contend that the conclusions in the audit report identified above cannot be supported. If UW is to maintain salaries at competitive levels without additional resources, UW must make significant reductions in expenditures in other areas. Over time, that will necessarily result in elimination of major programs and services. See also the response under Recommendation 10.6.*

2016 Follow-up Response:
Please see 2016 Follow-up Response 5.1.

Recommendation 5.3: The Board of Trustees should approve a compensation policy to ensure salary increases are administered consistently to prevent discrepancies among the position categories.

Original 2015 Agency Response: *The University of Wyoming and Board of Trustees disagreed. Refer to response summary under Recommendation 5.2.*

2016 Follow-up Response:
Please see 2016 Follow-up Response 5.1.

Recommendation 5.4: The Board of Trustees should approve a compensation policy to allow for salary increases at a consistent frequency. The policy should include focus to provide consistent salary increases to maintain market competitive salary levels for faculty within the flexibility of the block grant funding.

Original 2015 Agency Response: *The University of Wyoming and Board of Trustees disagreed. Refer to response summary under Recommendation 5.2.*

2016 Follow-up Response:
Please see 2016 Follow-up Response 5.1

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Recommendation 5.5: The Board of Trustees should vote to update the faculty workload regulation to establish minimum teaching requirements consistent with the prevailing University mission. Once completed, the University should review current supplemental compensation administered to ensure consistency amongst the divisions and compliance with the updated University faculty workload regulation.

Original 2015 Agency Response: *The University of Wyoming, Board of Trustees agreed. The referenced UW Regulation 5-807 is, like several university regulations, admittedly out of date. No substantive changes have been made in well over 20 years. The regulation should reflect the current environment where faculty engage in teaching, research and service to accomplish UW's mission. There will need to be flexibility so that faculty can respond quickly to meet the demands in all three areas in an ever changing environment.*

2016 Follow-up Response:

In May, 2016, President Nichols established a new standardized baseline for assigning teaching responsibilities to tenure stream faculty and extended term lecturers, effective Academic Year (AY) 2016-17. Consistent with UW Regulation 5-807 and guidance documents from the Office of Academic Affairs that provide a standardized metric for determining teaching load, standard job descriptions now reflect the following distribution of duties:

- *Tenure Stream Faculty:* Teaching (62.5%; 15 credits or 3-2 load), Research/Creative Activity and Service (37.5%; distribution between duties).
- *Extended Term Lecturers:* Teaching (87.5%; 21 credits or 4-3 load), Professional Development, Advising, and Service (12.5%; distribution between duties).

These distributions can be adjusted at the discretion of the Department Head and Dean. All adjustments must be approved by the Vice President of Academic Affairs. A guidance document was created to outline criteria that are used at the discretion of department heads and deans to make adjustments to the standard teaching load.

Criteria for adjusting *tenure stream faculty's* teaching load fall into four categories: (1) Excellence in research and creative activity, including scholarship associated with the transfer of University technology to the private sector; (2) Graduate student research supervision; (3) Teaching related adjustments associated with large classes and non-classroom teaching; and (4) Professional service, including administration, coordination and advising of graduate and undergraduate programs, cooperative extension, statewide engagement, and clinical/professional practice.

Criteria for adjusting teaching load for *extended term lecturers* fall into three categories: (1) Large classroom teaching; (2) Instructional laboratory teaching; and (3) Non-classroom teaching.

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During the summer, department heads worked with faculty to adjust AY 2016-17 job descriptions where needed. Annual reviews will be conducted for all faculty job descriptions and adjustments will be made when appropriate.

The Faculty Workload Policy (UW Regulation 5-807) and employment provisions applicable to all personnel, including supplemental compensation (UW Regulation 4-2), will be studied as part of Board of Trustees directive to conduct an institution-wide review all university regulations.

Recommendation 6.1: The University should report disaggregated Section I financial information for public consumption such as individual expenditures, vendor payments, and individual fund balances.

Original 2015 Agency Response: *The University of Wyoming agreed. There needs to be a substantial investment in UW fiscal reporting and transparency. UW supports this recommendation including modifications to the Wyoming Transparency in Government Act.*

2016 Follow-up Response:

The 2016 Wyoming Legislature recognized the need for this substantial investment and appropriated \$5 million in one-time general funds towards this goal. The Legislature also directed the University to utilize an additional \$5 million from its existing block grant. The four year cost of implementing the WyoCloud solution is approximately \$21.25 million. University non-appropriated funds have been identified and will be used to fully implement the Oracle systems mentioned in Follow-up Response to Recommendation 3.1.

Recommendation 6.1 (MFLC): For purposes of transparency, the Legislature may wish to consider amending W.S. 9-2-1035 et seq., the Wyoming Transparency in Government Act, to include the University in the definition of a “participating state entity” and to require the University to make “reports, financial audits, budgets or other financial documents that are used to allocate, appropriate, spend and account for government funds” available on the Public Finance and Expenditure of Funds website. Please note that this was a matter for Legislative Consideration.

Original 2015 Agency Response: *The University of Wyoming agreed.*

2016 Follow-up Response:

Please note, no University response required.

Recommendation 7.1: The University should identify key academic measurable indicators that are applicable across colleges and departments and incorporate those indicators into the institution-wide strategic plan, division-level plans, college-level plans, department-level plans, and the report cards.

Original 2015 Agency Response: *The University of Wyoming partially agreed. With respect to Recommendations 7.1 through 7.3, the University specifically responded: UW supports the*

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notion that UW should identify clear plans, but also identify resources necessary to accomplish these goals and objectives. The UW President will serve in the leadership role for this University-wide effort and assign responsibilities across campus to ensure that the planning effort is accomplished as envisioned. The notion of a small number of academic measures applicable to all academic units fails to recognize the depth and scope of the University mission. To overstate the point, a low quality academic program with a high number of graduates may well be more cost effective than an extremely high quality program with fewer graduates. But the latter is a far more desirable outcome.

2016 Follow-up Response:

Provost and Vice President for Academic Affairs Kate Miller has been designated as the chair of the Strategic Planning Leadership Council, which will serve as the steering committee for the strategic planning process. Following an extensive series of campus wide and statewide discussions, the leadership council is scheduled to begin drafting the strategic plan in January, 2017, with presentation of a draft to the campus community and stakeholders in March. The revised plan then will be presented at a town-hall meeting for consideration by the governing bodies of Faculty Senate, Staff Senate and the Associated Students of UW. Following approval by the Board of Trustees, the plan will be implemented at the start of the 2017-18 fiscal year, with college and unit plans finalized in fall 2017.

The University of Wyoming's Strategic Plan will have metrics as an essential element of the planning process and follow-through. Specific metrics will be developed as the planning process unfolds over the course of the coming months, and an Annual Report Card of Progress will be a tracking component of the strategic planning process over time.

Due to their cross-cutting nature, several topics will be studied and discussed as the strategic plan is developed during the 2016-2017 academic year. The topics with a brief description follow.

- 1. University Structures & Organization:** Examine and discuss the current University structure regarding effectiveness and efficiency including the extent to which the current structure aligns like-disciplines/functions to encourage interdisciplinary work and/or streamlined services. Within the structure, other organizational functions/processes will be discussed as well.
- 2. Extended Education & Lifelong Learning (off campus):** Delivery of learning including off-campus enrollment, online education, and credit and non-credit bearing lifelong learning opportunities including conferences and training.
- 3. Undergraduate Recruitment and Enrollment (on campus):** Enrollment, undergraduate recruitment, on-campus undergraduate enrollment including international recruitment and students from under-represented groups.
- 4. Diversity and Inclusion:** Diversity, inclusion and internationalization at UW including overall campus climate and efforts to increase diversity and expose UW

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students to international experiences. This team will interface with the Undergraduate Recruitment and Enrollment team as needed.

5. **Academic Programs, Curriculum and Academic Quality:** The portfolio and quality of academic program offerings, including accreditation of programs, the standards and processes currently used to ensure that programs are rigorous and reputable, and the resources necessary for programs to achieve these standards. Identify the current and future areas of academic excellence and how excellence will be maintained or achieved. Included in the charge to this team will be discussion of teaching and learning, interdisciplinary and multidisciplinary degrees/curricula/collaboration, classrooms to facilitate active learning, faculty development for active and team-based learning.
6. **Information Technology:** The technology infrastructure and support structures including networking, classroom technology, learning platforms and portals, website, and the effectiveness to which UW uses technology to communicate both on and off campus. This team will interface with extended education, academic programs, and research as needed.
7. **Student Success:** UW's student success programming, and its effectiveness in improving retention, transfer, 4-year graduation rate, student engagement and satisfaction.
8. **Research, Scholarship and Graduate Education:** The quality and quantity of research and scholarly outcomes including interdisciplinary and multidisciplinary research. In concert, discuss the portfolio and quality of graduate programs.
9. **Engagement and Outreach; Economic Development and Vibrant Communities:** Efforts of the university to engage with external audiences and provide outreach programming to meet the needs of these audiences. Discuss the role of the university in innovation, and the state and region's economic development including community development.
10. **Resource Alignment, Revenue and Budgeting Model:** Exploring new revenue generation and current and potential university budgeting models including the degree to which academic responsibility (decisions) are aligned to revenue generation (consequences). Discuss the university's financial services and processes.
11. **Design, Master Plan and Campus Aesthetics:** The university master plan (capital facilities plan and campus master plan) with attention to function, design, aesthetics, and sustainability.
12. **Athletics:** UW's position as a Division I, high performing athletic program.

Recommendation 7.2: The University should assign primary responsibility for coordinating strategic planning efforts to a centralized authority or person.

Original 2015 Agency Response: *The University of Wyoming agreed.* Refer to response summary under Recommendation 7.1.

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2016 Follow-up Response:

President Nichols has designated Provost and Vice President for Academic Affairs Kate Miller as the chair of the university's strategic planning process.

Recommendation 7.3: The University should continue forward with the planning and reporting process as envisioned by President McGinity. This process should include the use of performance metrics that are uniform across all academic units to assist Legislators and the public in assessing the University's achievements.

Original 2015 Agency Response: *The University of Wyoming partially agreed.* Refer to response summary under Recommendation 7.1.

2016 Follow-up Response:

Please see the follow-up response to 7.1

Recommendation 8.1: The Board of Trustees should adopt a tuition and fee policy to guide future tuition and fee decisions. In doing so, the University and the Board should consider criteria from the Wyoming Community College Commission tuition policy as well as other states' policies, laws, and practices.

Original 2015 Agency Response: *The University of Wyoming, Board of Trustees agreed.* With respect to Recommendations 8.1 through 8.2, the University specifically responded: *UW's Board of Trustees has recently embarked on an effort to adopt a tuition and fee policy. The policies of the Wyoming Community College Commission and institutions in other states may well be useful to inform that effort. But first and foremost, tuition should be increased to generate revenue to fund clear UW goals and objectives developed through a planning process and substantial engagement with stakeholders and policymakers. There also needs to be a clear understanding of what the state, through the block grant or otherwise, will fund to accomplish these mutually agreed upon goals and objectives.*

2016 Follow-up Response:

The University of Wyoming Board of Trustees has adopted a tuition policy which identifies an annual tuition increase of four percent, but requires that any tuition increase be acted upon annually by vote of the board. Separately, in the fall of 2016, President Nichols appointed a faculty and staff committee tasked with making recommendations on revenue enhancement in the face of impacts from reduced state appropriations. The committee has forwarded a proposal to implement program fees to maintain and improve student success while covering the costs of instruction in high-cost programs. The proposed program fees provide a mechanism for the university to more closely tie the true cost of education to the students most likely to benefit from a course of study. The proposed fees were established after the committee reviewed other institutions' efforts to generate revenues, while remaining justified on the basis of program cost and market competitiveness. Significant discussion and opportunities for input are expected prior to UW trustee action on the proposal, which is expected in 2017.

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Recommendation 8.2: The Board of Trustees should take into consideration the amount of general fund support and the total cost of attendance to students when making comparative tuition and fee assessments.

Original 2015 Agency Response: *The University of Wyoming, Board of Trustees agreed. Refer to response summary under Recommendation 8.1.*

2016 Follow-up Response:
Please see follow-up response to Recommendation 8.1.

Recommendation 9.1: The Board of Trustees should vote to update its Internal Audit Bylaws with respect to the following areas:

- Include specific wording to encourage flexibility with respect to allotted time when setting the FLAC agenda based on concurrence between the Division of Administration and the Internal Auditor;
- Require that FLAC make formal reports to the Board with respect to each audit;
- Require that the Board take formal action on accepting or rejecting FLAC reports;
- Require audited divisions and colleges to attend FLAC meetings to discuss audit findings and recommendations; and,
- Update the name of the committee from the Audit and Fiscal Integrity Committee to the Fiscal and Legal Affairs Committee.

Original 2015 Agency Response: *The University of Wyoming and Board of Trustees agreed. With respect to Recommendations 9.1 through 9.3, the University specifically responded: Outdated Bylaws and regulations should of course be updated. The admittedly austere internal audit function should focus to the greatest extent practicable on high risk areas defined through some mutually acceptable means. The UW Executive Council tends to discuss a host of routine, yet important, UW business at its meetings. If there is a significant policy change being considered, it does make sense to apprise the Internal Auditor.*

2016 Follow-up Response:
The Board of Trustees is drafting amendments to the Bylaws of Trustees of the University of Wyoming, including the recommendations under 9.1. These amendments will most likely be voted on during the November or December 2016 Board of Trustees meeting.

Recommendation 9.2: The Internal Auditor should schedule higher risk areas for routine audits in the annual audit plans as discussed in this finding.

Original 2015 Agency Response: *The University of Wyoming agreed. Refer to response summary under Recommendation 9.1.*

2016 Follow-up Response:
The Internal Auditor's audit plans are based on high risk areas as identified through risk analysis, discussions with University leaders and quarterly discussions with regional

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audit directors of various universities. As new or high risk areas are identified they are incorporated into the audit schedule. The Internal Auditor also participates in webinars that discuss new and emerging risks. In the past two years the audit schedule has been changed in response to newly identified high risks areas.

The Management Audit Committee also recommended that the Internal Auditor incorporate the following areas into routine audits: (1) budgetary transfers; (2) Dean authority to manage budgets once caps are set by Division of Administration; (3) safeguards related to existing policy and procedures; and (4) expenditure sampling and review as routine audits. The Internal Auditor has done this.

Recommendation 9.3: The University and the Board of Trustees should ensure that ongoing formal communication exists between the Internal Auditor and the advisory groups with respect to policy and systemic changes or identified risks at the University.

Original 2015 Agency Response: *The University of Wyoming and Board of Trustees agreed. Refer to response summary under Recommendation 9.1.*

2016 Follow-up Response:

The President of the University has invited the Internal Auditor to attend monthly Executive Council meetings. Additionally, the Internal Auditor will be provided an opportunity to submit feedback and comments on modifications to regulations and policies as articulated in the University's follow-up response to Recommendation 10.5 (see below).

Recommendation 10.1: The University should immediately strengthen internal controls to prevent deficit spending practices from becoming a systemic problem. At a minimum, it should take action on recommendations made as part of the College of Arts and Sciences Change in Management audit university-wide.

The University of Wyoming agreed.

Original 2015 Agency Response: With respect to Recommendations 10.1 through 10.2, the University specifically responded: *UW agrees that substantial resources should be devoted to a new accounting system and to use that new system to monitor the financial health of UW units.*

2016 Follow-up Response:

See Follow-up Response to Recommendation 6.1.

Recommendation 10.2: The University should re-evaluate its accounting system to ensure the system meets budgetary and expenditure needs at the division and department levels. At a minimum, it should reconsider establishing more specific budgeting categories within PISOL to meet budgetary needs and reduce risk of under budgeting and over expenditure. Or, the University should continue to strengthen internal controls within the various shadow accounting systems.

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Original 2015 Agency Response: *The University of Wyoming agreed.* Refer to response summary under Recommendation 10.1.

2016 Follow-up Response:
See Follow-up Response to Recommendation 6.1.

Recommendation 10.3: The University should revise current practices to monitor and promote the financial health of each division or department including but not limited to revision of the deficit escalation processes to ensure appropriate action is taken to resolve budget issues, and policy is established to ensure appropriate action is taken to resolve budget issues.

Original 2015 Agency Response: *The University of Wyoming agreed.*
With respect to Recommendations 10.3 and 10.5, the University specifically responded: *UW's Board of Trustees and the administration believe it is essential to establish policies regarding budget transfers, and to use the new accounting system to ensure that there is compliance with established policy. That is a clear initiative of President McGinity.*

2016 Follow-up Response:
The accounting system components of WyoCloud are scheduled to go live on July 1, 2017. Internal controls will be established regarding budget transfers during the design and configuration phase of the implementation. In the meantime, the University has implemented prohibitions on transfers from Personal Services budgets to Support Services budgets and vice versa. An exception request process has been established with Vice Presidential approval required to deviate from the established policy.

Recommendation 10.4: Budget transfer policies should be revised.

- The Board of Trustees should create formal policy establishing criteria for permissible budget transfers. The policy should include procedure of reporting modification to the approved budget at the desired level as well as reporting of budget transfers outside of the approved budget from reserve accounts.
- The University should revise current policy to ensure that funds are not transferred contrary to policy; that budgeting efforts align with University goals and objectives; and, that adequate safeguards to prevent risk of financial mismanagement.

Original 2015 Agency Response: *The University of Wyoming and Board of Trustees agreed. As part of the transparency effort, UW policies should be reviewed, updated, and made easily accessible to UW personnel and the public.*

2016 Follow-up Response:
Huron Consulting is the University's implementation partner in the WyoCloud initiative. A comprehensive examination of current business processes is underway and as a result of business process mapping, policies and procedures are being formally documented. As the implementation progresses numerous policies and procedures will be modified (or added or eliminated) to reflect best practices in higher education financial management. It is anticipated that this comprehensive set of policies and procedures will be presented

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to the Board of Trustees in order to establish formal policy, not just for budget transfers, but for the myriad safeguards necessary to detect and minimize, if not prevent, financial mismanagement. These policies and procedures will be made easily accessible to UW personnel and the public.

With respect to current budget transfer policy, see Follow-up Response to Recommendation 10.3. For responses regarding efforts to align University budgets to goals and objectives, see Follow-up Response to Recommendations 3.1 and 3.3.

Recommendation 10.5: The University should consolidate policies to a central public location. Additionally, the University should review and update existing policies and procedures.

Original 2015 Agency Response: *The University of Wyoming agreed. Refer to response summary under Recommendation 10.3.*

2016 Follow-up Response:

At the September 2016 Board of Trustees meeting, the Board approved a review of UW's current regulatory structure over the next year and a half, to include the following: (1) phasing out Presidential Directives; (2) defining regulation versus policy/procedure and pulling all policy together into one university policy and procedure manual that will be made accessible to the public; (3) creating a new "look" for the regulations, updating the regulations as needed, and implementing policies/procedures; and (4) drafting a process for modifying regulations and policies/procedures, including review by campus constituents, Vice Presidents, the President, and the Board.

The Management Audit Committee also recommended (1) updating the University's Cash Handling Policy; and (2) making the Official University Travel and Reimbursement Policy, the Procurement Service Manual, and the Procurement Card Policies and Procedures accessible through a public centralized location. The University's Policy on Receipt and Handling of University Funds was revised on June 3, 2015. All policies will be made accessible to the public during the regulatory structure review mentioned above.

Recommendation 10.6: The University should ensure that existing policy and procedures related to all expenditure types is current and consistent with statute. The University should also instigate safeguards to assure those policies and procedures are followed.

Original 2015 Agency Response: *The University of Wyoming agreed. This recommendation should be implemented as part of efforts to address compensation issues as identified in recommendations 5.2, 5.3, and 5.4*

2016 Follow-up Response:

See Follow-up Response to Recommendation 10.4

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Recommendation 10.7: The University should review and revise policies on supplemental pay and monetary staff awards. In addition, it should ensure that safeguards are in place to enforce existing policy.

Original 2015 Agency Response: *The University of Wyoming agreed.*

2016 Follow-up Response:

Supplemental pay: The Office of Academic Affairs has initiated an internal review of salary policy for administrative appointments in academic units, including employees who hold dual titles (e.g., department head/professor). Included in the review are college level policies pertaining to supplemental pay for department heads. This review is being conducted with the intent of standardizing processes used in academic units for supplemental pay faculty receive when they take on additional duties. Upon conclusion of the review, revisions to university governing documents will be made where appropriate.

The Office of General Counsel will work with the Vice President for Administration and the Associate Vice President for Human Resources to address any issues regarding supplemental pay of staff.

Monetary staff awards: The College of Arts & Sciences has put in place safeguards to enforce its employee recognition program, including final review and approval by the Dean's Office. The Office of Academic Affairs will continue to work with other colleges as needed to address any similar issues.

In addition to the recommendations above, the LSO asked the university to provide written response to the following supplemental questions:

1. Please summarize the total legislative appropriations and any other University resources budgeted (from January 2015 through June 30, 2018) to implement a new fiscal accounting and reporting system, as well as expenditures through September 15, 2016).

Response:

\$21.25 million estimated cost over four years (through 2019):

- \$5 million – one-time general fund appropriation from 2016 Wyoming Legislature;
- \$5 million – directive from 2016 Wyoming Legislature to utilize existing block grant; and
- \$11.25 million – University non-appropriated funds.

\$350,002 expenditures through September 15, 2016:

- \$296,502 on software
- \$53,500 on consultant workspace

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Note that significant consulting work has been accomplished and invoices for that work are forthcoming.

- a. Please describe which steps have been completed to plan and contract for a new fiscal accounting and reporting system, including what portions of the system have been developed, tested, and/or fully implemented through September 15, 2016.

Response:

Contracts with Oracle for the software and with Huron Consulting for implementation support have been signed and design and configuration work is underway for the financial components of the system: Enterprise Resource Planning, Grants Management, and Supply Chain Management. Testing of these systems began the week of October 24, 2016. Budgeting & Planning and Human Capital Management systems will follow in the next implementation phase.

- b. Please describe the University's updated plan for and progress toward hiring, staffing, and adequately training all appropriate University personnel in the use of the new fiscal accounting and reporting system with updated policies and procedures.

Response:

Part of the Huron engagement is assisting in designing training for the operation of the new systems and assisting in the delivery of the initial training of campus personnel. Training materials will then be maintained and used by UW to continue to train new and existing employees as system functionalities are enhanced or upgraded. Huron is also assisting the University to design a personnel support structure for the new system and making suggestions for staffing levels.

- c. Please describe how the new fiscal accounting and reporting system will track the funds of different Section budgets of the University's overall budget (i.e. Section I and Section II).

Response:

Design of the new system's Chart of Accounts is nearing completion and Proof of Concept testing began the week of October 24, 2016. The concept of Section I and Section II funding will likely be replaced by Unrestricted and Restricted fund types complemented by a hierarchy of distinguishing characteristics that will allow the University to track and report revenues and expenditures in myriad ways, providing the transparency and accountability desired by all University stakeholders. It is too early in the process to provide a detailed description of the Chart of Accounts' capabilities.

- d. Please describe how the new fiscal accounting and reporting system will track funds based on revenue sources (i.e. tuition and fees, State general funds, Abandoned Mine Land (AML) funds, etc.).

Response:

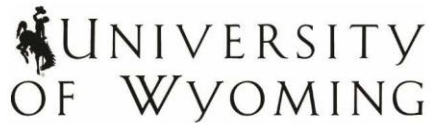
See 1. c above.

Response to Management Audit
October 26, 2016
Page **18**

2. Please provide additional information you deem necessary for the Legislature to consider moving forward.

Response:

No additional information deemed necessary at this time



November 3, 2016

To: All members of the Legislature
From: UW Trustee President John MacPherson
Re: Fall Follow up to UW Trustee Retreat Meeting with Wyoming Legislators

President Nicholas, Speaker Brown, and the members of the 63rd Wyoming Legislature:

As a follow up to the August conversation in Saratoga involving members of the Wyoming Legislature and the University of Wyoming Board of Trustees, I am writing to offer you a brief update on several of the issues which were of greatest interest during that session.

As members of the legislature know well, these are challenging times for all policymakers in Wyoming, but the University, under the remarkable leadership being evidenced by President Laurie Nichols, is committed to meeting the requirements for budget reductions while also boldly moving this institution forward.

The University is participating in the planning and implementation of budget cuts as identified both during the 2016 session and in subsequent directives from Governor Mead. UW successfully implemented cuts of more than \$19.3 million in recurring spending from our FY2017 budget, and the administration of President Nichols identified a plan to cut an additional \$10 million in FY2018. That plan, drafted in consultation with a committee of faculty, staff, and students, is being vetted by constituent groups, and comment is being encouraged both from campus and across the state. A useful summary of the reductions for FY2017 and the plan for FY2018 reductions are available here: http://www.uwyo.edu/president/_files/docs/2016budgetreduction/2016_oct_13_budget-reduction_document.pdf

In addition, the University is embarking on a vigorous academic program review process that has identified sixteen degree programs for possible elimination. You'll recall our conversations in Saratoga, and also at prior retreats, had identified the total number of degrees offered by the University as a subject which merits a thorough examination. The University is in the midst of that review process, which will extend into next year with possible action at the Trustees' meetings in May or June. Further details, including the full list of proposals for elimination, may be found here: www.uwyo.edu/acadaffairs/program-review/.

The University's new finance, administrative, research support, and reporting system is under development, and important elements of it should be ready for rollout by mid-2017. Both state appropriated funds and internal UW resources are being directed toward the overhaul that brings changes that are long overdue. The results should go a long way toward improving the quality and accuracy of information available to the University's constituents—both internal and external. We look forward to the implementation of this cloud-based Oracle program, and to finally having access to timely and current information so vital to running an entity as complex as the university. The Huron Consulting Group is the University's partner in this enterprise, and Huron is also offering

Fall Follow-up from UW Trustees
Page 2
November 3, 2016

significant consulting expertise as the University reviews other non-academic programs for cost savings and efficiencies.

UW continues to seek a seamless system of articulation and course transfers between the University and our state's community colleges, and the Trustees appreciate the compliments provided by legislators for the University's efforts thus far. To date, over 200 transfer articulation plans have been completed, providing those students who begin their studies at Wyoming's community colleges a clear path to completing a bachelor's degree at the University of Wyoming within four years. Since the August UW Board of Trustees Retreat, an additional eleven program articulation plans have been developed and signed.

On September 30th, over 200 community college and University of Wyoming faculty and administrators gathered in Laramie for the 3rd Annual Articulation Summit to discuss the development of the next 15 programs to be targeted for articulation plans. These programs were recommended for articulation by the community colleges based upon their institutional offerings and strengths. This fall, the completed articulation plans will be published on the UW degree plan website, along with the courses necessary for four-year degree completion. I'd like to thank House Education Chairman Rep. David Northrup for his insightful comments to the Articulation Summit participants.

Both the Board and President Nichols are quite disappointed in the fall enrollment numbers at UW, which dropped by some 230 students from the same period a year ago. While a variety of factors were involved in the reduction in student numbers, there is widespread understanding that such a circumstance is unacceptable, and the President is undertaking a strong effort to bring those numbers back. Simply put, the University cannot afford dropping enrollment numbers, and every effort will be made in the coming months and years to increase the numbers of both resident and non-resident students taking classes in Laramie and through our various outreach programs. We need more students; we know that legislators want to see our numbers increase as well, and we will make every effort to grow this university.

The University's strategic planning efforts are in full swing. It's gratifying to hear that strong turnout at the dozens of campus listening sessions held thus far means meetings have been moved to larger rooms to accommodate those who want to offer their views regarding the University's future. Legislators should know that the listening sessions will be scheduled in communities around Wyoming from November 30th through early December. We hope legislators take advantage of the sessions to make their feelings about the University known, or to hear the views of constituents on hopes for the University going forward and the barriers which they may see as UW realizes those hopes and aspirations for Wyoming's university. The campus Strategic Planning Leadership Council will begin drafting the strategic plan early in 2017. A website is available for you to keep up on the progress of this effort: <http://www.uwyo.edu/president/strategic-plans/>

A significant portion of the conversation in Saratoga centered on the subject of tuition at UW. As you will likely recall, the Trustees have adopted a policy which proposes annual 4% tuition increases—subject to a vote each year by the Board. As an element of budget planning, President

Fall Follow-up from UW Trustees
Page 3
November 3, 2016

Nichols appointed a subcommittee and charged it with developing additional revenue possibilities as a way to continue to build academic quality and enhance student success during a time of reduced state appropriations. That committee has authored an aggressive program fee proposal which is under discussion on campus, and which will have to come before the Board for action. I thought it important to highlight the program fee issue, and to let you know the plan is being vetted with students to gain their feedback and to make modifications before it comes to the Board.

The Science Initiative facility has been identified as a priority for the University Board of Trustees, and the Trustees recognize the significant commitment of state resources to the planning and construction of this critical element of our teaching and research efforts in the sciences. Negotiations to purchase the private properties which make up the block are progressing, and the design of the facility is moving forward. A companion to the enthusiastically received Enzi STEM undergraduate laboratories building, the Active Learning classrooms in the Science Initiative facility will offer an opportunity to move far beyond the traditional lecture setting for our core science classes. Wyoming's future engineers, teachers, geologists—indeed all students who cut their teeth on college level sciences will learn through demonstrably better methods grounded in highly interactive classroom environments. Our research mission will be enhanced as research labs move out of their 45 to 90-year-old current environs. Groundbreaking for the Science Initiative facility will occur in 2018, which affords an excellent sequencing opportunity for construction efforts just now underway on the Engineering Education and Research Building, which is slated for occupancy in 2019.

Finally, I am pleased to welcome to UW Dr. Rebecca Watts, who has begun her duties as Executive Director of the University of Wyoming Trustees Education Initiative. The Trustees Education Initiative is in the strategic planning phase, funded through a grant from the Daniels Fund. Dr. Watts will be a valuable leader of our effort to elevate the College of Education to national pre-eminence in preparing K-12 teachers, counselors, and administrators. Dr. Watts has visited with the Joint Interim Education Committee, and we look forward to her leadership as a principal element of the initiative.

On behalf of the members of the Board as well as UW President Laurie Nichols, I would like to thank those members of the legislature who traveled to Saratoga to participate in the important conversations regarding the University and our role in moving the state forward. While circumstances did not allow us to extend invitations to every legislator to join us for the annual UW Trustees Retreat, we were heartened both by the number who were able to attend, and the vigorous interactions which ensued.

Both President Nichols and the UW Board of Trustees look forward to working with Wyoming's elected leaders in the months and years ahead. Perhaps we can also look forward to UW football's next bowl appearance, which seems to be on our horizon as well.

Thank you for your leadership, and for your service to the people of Wyoming.

Sincerely,



John MacPherson
President

AGENDA ITEM TITLE:

Department of Health Report on Residencies, Asay/Wyoming Dept. of Health

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Special Advisor to the President Meredith Asay and a representative from the Wyoming Department of Health will update the Board on the Department of Health's Report on Residencies. Please see materials inserted below.



Wyoming
Department
of Health

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Thomas O. Forslund, Director

Governor Matthew H. Mead

MEMORANDUM

Date: October 1, 2016

To: Joint Appropriations Interim Committee
Joint Labor, Health and Social Services Interim Committee

From: Thomas O. Forslund, Director
Wyoming Department of Health

Subject: Legislative Report: University of Wyoming Family Medicine Residency Review

Ref: F-2016-547

In the 2016 Budget Session of the Wyoming Legislature, Footnote 2 to Section 167 of Senate Enrolled Act 19 directed the Wyoming Department of Health to submit a comprehensive review of the University of Wyoming Family Medical Residency Programs to the Joint Appropriations Committee and the Joint Labor, Health, and Social Services Interim Committee. Footnote 2 to Section 167 of Senate Enrolled Act 19 from the 2016 Budget Session states:

2. Of this other funds appropriation, up to two hundred thousand dollars (\$200,000.00) SR may be expended to contract for a comprehensive review of the state medical residency programs including the services provided; past, present and future revenue streams; alternative service delivery options; and alternative organizational structures. The University of Wyoming shall contract with a nonstate entity to conduct the review only in the event that the director of the department of health provides written notice to the university and the joint appropriations committee that the department cannot complete such a review without expenditure of these funds. The findings of the review shall be reported to the joint appropriations committee and the joint labor, health and social services interim committee by the department of health, or if review is conducted by a nonstate entity, by the University of Wyoming, not later than October 1, 2016.

Attached is the report that fulfills this mandate. For any questions, please contact Stefan Johansson, Administrator, Director's Unit for Policy, Research, and Evaluation, at (307) 777-2408, or stefan.johansson@wyo.gov.

TOF/SJ/ff/jg

Attachment: Legislative Report

c: Governor Matthew H. Mead
Legislative Service Office (electronic copy)
State Department Depository (electronic copy)

401 Hathaway Building • Cheyenne WY 82002

E-Mail: wdh@wyo.gov • WEB Page: www.health.wyo.gov

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THE UW FAMILY MEDICINE RESIDENCY PROGRAM

HISTORY, OPERATIONS AND ALTERNATIVES REVIEWED IN TERMS OF CORE
PURPOSE



Wyoming Department of Health

October 1, 2016

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EXECUTIVE SUMMARY

Study scope

In Footnote 2 to Section 167 of Senate Enrolled Act 19 from the 2016 Budget Session, the Wyoming Department of Health ("the Department") was tasked with conducting a comprehensive review of the University of Wyoming Family Medicine residency program.

In addition to studying its current operations, the Department made specific efforts to trace the history and core purpose of the program, both of which will inform any potential alternatives.

Core purpose of the residency programs

The residency programs were conceived in the late 1960s and early 1970s, a time when the nation perceived a shortage of physicians and the federal government was actively investing in medical education. In Wyoming, physician supply was significantly below the national average, and the State was having difficulties recruiting and retaining physicians, particularly in rural areas. The initial purpose of the residencies was therefore to:

- **Increase the number** of family medicine physicians in Wyoming; and to
- **Improve the distribution** of these physicians across counties.

In later years, a tertiary purpose emerged: **provide indigent primary care** to the uninsured.

Current operations

The residencies continue to provide two major services: (1) training future doctors and (2) providing primary care. These services cost approximately \$17 million per year, a cost that is paid for with approximately \$9.8 million of State General Funds (SGF), \$5.4 million in clinic revenue, and an estimated \$1.8 million in indirect cost to two teaching hospitals.

Where almost all other residency programs nationally can rely on significant federal Graduate Medical Education (GME) funding, the UW program remains ineligible for most of this funding because it is not directly tied to a hospital.

In terms of achieving the core purpose stated above, results are mixed. Generally speaking, the residencies are:

- **Less efficient** than other clinics at delivering primary care services;
- **More efficient** than most other residency programs at training physicians;
- **Improving** in quality, though still slightly below the national average; and,
- **Poor** at retaining its graduates in-State;

It should be noted that the Casper site performs better than the Cheyenne site in all of these areas.

Alternatives

This study does not recommend any particular alternative. Instead, it prompts the Legislature to think critically about the core purpose of the residencies: specifically, what is the problem that the residencies are attempting to solve? All alternative options that this study presents in Part III, from expanding the program to closing it down, are framed around this decision.

INTRODUCTION AND SCOPE

In the 2016 Budget Session, the Wyoming Legislature tasked the Department of Health with conducting a comprehensive review of the University of Wyoming Family Medicine residency program, to include an examination of:

- Services provided;
- Past, present and future revenue streams; and,
- Alternative service delivery options and organizational structures.

Legislative Requirements

Footnote 2 to Section 167 of Senate Enrolled Act 19 from the 2016 Budget Session states:

2. Of this other funds appropriation, up to two hundred thousand dollars (\$200,000.00) SR may be expended to contract for a comprehensive review of the state medical residency programs including the services provided; past, present and future revenue streams; alternative service delivery options; and alternative organizational structures. The University of Wyoming shall contract with a nonstate entity to conduct the review only in the event that the director of the department of health provides written notice to the university and the joint appropriations committee that the department cannot complete such a review without expenditure of these funds. The findings of the review shall be reported to the joint appropriations committee and the joint labor, health and social services interim committee by the department of health, or if review is conducted by a nonstate entity, by the University of Wyoming, not later than October 1, 2016.

Study Scope

The Department of Health has conducted this comprehensive review per the following study scope:

1. **Background**
 - a. Medical education in the United States
 - b. The history and purpose of the UW Family Medicine Residency program
 - c. Provider shortages, 1940 - 2016.
2. **Operations review**
 - a. Services delivered
 - b. Costs and revenues
 - c. Outputs and efficiencies
 - d. Outcomes - retention
3. **Alternative service delivery options**
 - a. Considerations
 - b. Options

PART I: BACKGROUND

Medical education in the United States

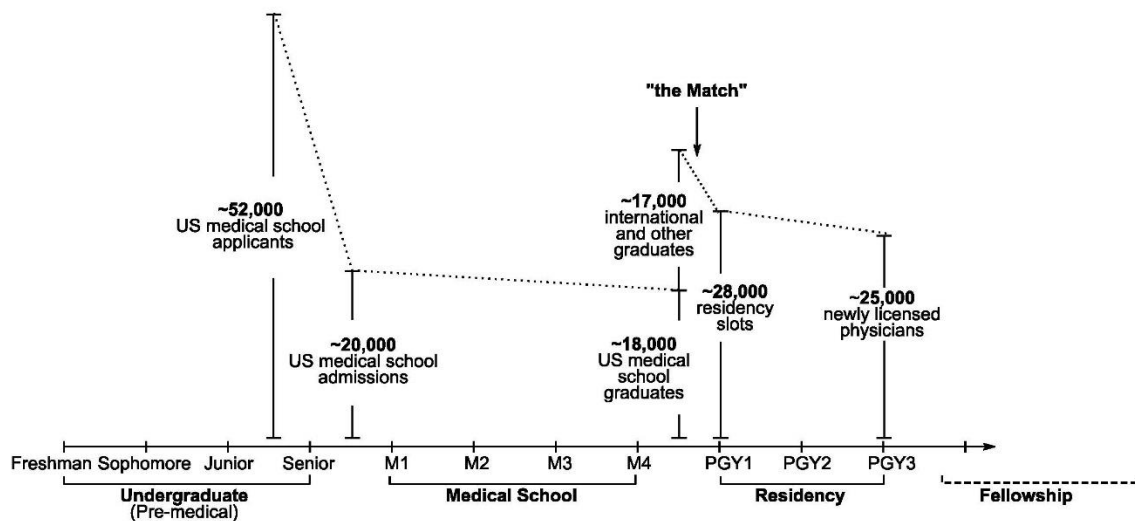
This section describes the larger medical education system in which the University of Wyoming Family Medicine residency program operates, in order to provide context for the review and recommendations. It begins by describing the physician training pipeline, noting the significant complications of primary care specialization and graduate medical education (GME) funding, and then summarizes the history of medical education and medical education funding nationally and in Wyoming.

The modern physician training pipeline

In order to legally practice medicine in the United States, aspiring physicians must commit to a minimum of six years of medical training. Depending on chosen specialty, this educational commitment can extend to over fourteen years. The training continuum spans undergraduate pre-medical education, medical school, and post-graduate residency before individuals are eligible to apply for licensure in the state in which they choose to practice. Post-residency, physicians can also pursue optional fellowships. In addition, nearly all state medical boards, except for Colorado, Indiana, Montana, New York, and South Dakota¹, require continuing medical education (CME) credits to maintain licensure, as do most specialty boards.

Although individual career paths vary, the typical physician training “pipeline” is visualized in Figure 1, below, with the number of individuals passing through the pipeline indicated by the height of the bars.

Figure 1: The typical physician training pipeline in the United States (various data sources, 2014 - 2016)²



¹ http://www.cmeweb.com/gstate_requirements.php

² Medical school applicants and admissions: <https://www.aamc.org/data/facts/>
Graduates and match statistics: <http://www.nrmp.org/press-release-results-of-2016-nrmp-main-residency-match-largest-on-record-as-match-continues-to-grow/>
Physician licensure statistics: <http://www.fsmb.org/media/default/pdf/census/2014census.pdf>

The pipeline begins on the left, with undergraduates choosing “pre-med” majors during college, taking the Medical College Admission Test (MCAT), and applying to medical schools. In that last hurdle, approximately 52,000 undergrads submit an average of 15 applications each. Just under 40% are accepted.

Once in medical school, curricula are typically divided into “pre-clinical” phase (M1 and M2) of laboratory and classroom instruction and a “clinical” phase (M3 and M4) involving rotations in an actual practice. Throughout medical school, curricula and assessments are highly standardized through two accrediting bodies. The Liaison Committee on Medical Education (LCME) accredits **allopathic** medical colleges (graduates receive the M.D. degree); and the Commission on Osteopathic College Accreditation (COCA) accredits **osteopathic** medical colleges (graduates receive the D.O. degree).

While osteopathic degrees do contain some alternative training involving manipulation of joints and muscles, the allopathic and osteopathic curricula are similar enough for both disciplines to be considered modern Western medicine.

After medical school graduation is another large hurdle: **“the Match”** between new graduates and post-graduate residency positions. “The Match” has been conducted annually by the private, non-profit National Resident Matching Program (NRMP) since 1952. In “the Match,” a pool of approximately 18,000 US medical school graduates is augmented by a similarly-sized and growing number of **international medical school graduates** (“IMGs”, who may also be US citizens).

Neither the LCME nor the COCA accredits international medical colleges, nor is there an internationally recognized accreditation program for these colleges.³ However, all medical students, including students studying at international medical colleges and intending to practice in the U.S., are required to pass the Step 1, Step 2, and Step 3 of the United States Medical Licensing Examination (USMLE) at the end of their second and fourth years of medical school and the first year of residency, respectively.⁴

Compared with medical school enrollment, the number of first-year (PGY-1) residency positions has increased at a slower rate since the 1950s (this is illustrated in later pages). The differential has raised questions as to the adequacy of first-year residency slots compared to medical student demand, and the residency phase is broadly considered the main “bottleneck” in physician supply today. While the match rate of 75.6% in 2016 for all medical school student and graduate applicants to residency positions appears to support this concern, there is wide variation in match rates by educational program for first-year residents (PGY-1):⁵

- Medical school seniors of U.S. allopathic medical colleges matched at 93.8% in 2016;
- Osteopathic medical college students/graduates matched at 80.3%;
- U.S. citizen IMGs matched at 53.9%; and,
- Foreign citizen IMGs matched at 50.5%.

The lower residency match rates for IMGs may reflect a preference for the quality control offered by accreditation standards applied in the U.S., but not used internationally. Despite lower rates, however, IMGs make up a substantial and increasing proportion of all residents (27%), as well as all physicians practicing in the U.S. (25%).⁶

³ Eckhart, N. Lynn. “Perspective: Private Schools of the Caribbean: Outsourcing Medical Education.” *Academic Medicine*, Vol. 85, No. 4, 2010, p. 626.

⁴ <http://www.princetonreview.com/med-school-advice/usmle>

⁵ Results and Data: 2016 Main Residency Match®. National Resident Matching Program, Washington, DC, 2016. (<http://www.nrmp.org/wp-content/uploads/2016/04/Main-Match-Results-and-Data-2016.pdf>)

⁶ Eckhart, N. Lynn. “Perspective: Private Schools of the Caribbean: Outsourcing Medical Education.” *Academic Medicine*, Vol. 85, No. 4, 2010, p. 625.

Medical education and specialization - primary care shortages

In addition to the general “bottleneck” of residency slots, physician supply faces a secondary problem: financial and cultural disincentives for students to pursue a career in primary care.

Culturally, medical students often report that specialty medicine has greater prestige than primary care.⁷ Additionally, they view internal medicine as both more stressful and less lucrative than other specialties, and are less likely in their fourth year to choose a residency in primary care than when they first entered medical school.⁸

Specialty practice is indeed more lucrative. According to the 2016 Medscape Physician Compensation report, for example, where cardiologists and dermatologists reported average annual incomes of \$410,000 and \$381,000 respectively, the average for family medicine and internal medicine physicians was \$207,000 and \$222,000.⁹

Increasing student debt may also drive U.S. medical students to select higher-paying specialties. Between 1960 and 1984, the percent of medical students graduating with debt increased from 31% to 86%. Since 1984, this number has plateaued, but the average amount of debt has increased substantially.¹⁰ Analysis of both 1989 and 2007 data has found a strong correlation between salary and U.S. medical student residency match rates by specialty, with lower match rates for specialties with lower salaries, such as family medicine and pediatrics.¹¹

The result is that while 49.3%¹² of residency positions might be in primary care specialties,¹³ only 45.4% of those slots were filled by U.S. medical students. The remaining positions were filled by IMGs.¹⁴

[The remainder of this page has been intentionally left blank]

⁷ Gordon, M. 18 September, 2014. “Why I’m Becoming a Primary-Care Doctor”. *The Atlantic*. Retrieved from <http://www.theatlantic.com/health/archive/2014/09/why-im-becoming-a-primary-care-doctor/379231/>

⁸ “Changes in medical students’ views of internal medicine careers from 1990 to 2007.” 2011. *JAMA Internal Medicine*. 171, 8. pp. 744-749. Retrieved from: <http://www.ncbi.nlm.nih.gov/pubmed/21518941>

⁹ Sample size of 19,183 physicians. Orthopedic surgeons top the Medscape list at \$443,000, but there is wide variation in this category, depending on sub-specialty.

<http://www.medscape.com/features/slideshow/compensation/2016/public/overview#page=2>

¹⁰ Greysen, R.S., Candice, C., Fitzhugh, M. “A History of Medical Student Debt: Observations and Implications for the Future of Medical Education.” *Academic Medicine*. 86, 7. pp. 840-845. Retrieved from:

http://journals.lww.com/academicmedicine/Fulltext/2011/07000/A_History_of_Medical_Student_Debt_Observations.16.aspx

¹¹ Future Salary and US Residency Fill Rate Revisited. 2008. *Journal of the American Medical Association*. 300, 10. pp. 1131-1132.

Retrieved from <http://jama.jamanetwork.com/article.aspx?articleid=182526>

¹² Ibid.

¹³ Ibid. Of those positions, 23.8% were specific to family medicine.

¹⁴ Results and Data: 2016 Main Residency Match®. National Resident Matching Program, Washington, DC. 2016.

Medical education funding - residencies

How residencies are funded is a third major concern. Postgraduate residency programs are part of what is more formally known as **Graduate Medical Education (GME)**, which is almost entirely federally-funded. Estimates from 2012 put total GME funding at approximately \$15 billion annually. The vast majority of GME comes from four federal agencies:

- Medicare (\$9.7 billion);
- Medicaid (\$3.9 billion);
- The Veterans Health Administration (\$1.4 billion); and
- The Health Resources and Services Administration (\$464 million).¹⁵

These federal payments are not made directly to residents, but rather to the sponsoring institutions, with the intention of subsidizing the increased burden of operating a training program.

Because they are the two largest sources, brief descriptions of Medicare and Medicaid GME funding are provided below.

Medicare has funded GME since its inception. Initially, the intent was that the funding would be temporary and thought to be necessary in order to ensure that Medicare beneficiaries had access to the highest-quality teaching hospitals. As Congressional reports noted, “educational activities enhance the quality of care in an institution, and it is intended, *until the community undertakes to bear such education costs in some other way*, that a part of the net cost of such activities (including stipends of trainees, as well as compensation of teachers and other costs) should be borne to an appropriate extent by the hospital insurance program.”¹⁶

Despite this temporary intent, Medicare remains the largest funder of GME today. While previously based on reported costs, since the advent of the Prospective Payment System (PPS) for hospitals in the early 1980s, this funding has come in two flavors: **Direct Graduate Medical Education (DGME)** and **Indirect Medical Education (IME)** funding.

DGME funding is paid to both hospitals and other provider types (including Federally-Qualified Health Centers, the current designation of the UW FMR). The payments are intended to cover residents' salaries and some facility overhead. DGME funding to PPS acute hospitals is set by statute in a complex formula involving base DGME cost levels in the mid-1980s, current rolling average resident counts, and Medicare patient volume. DGME funding to non-PPS hospitals (i.e., Critical Access Hospitals) and other providers (FQHCs) remains on the somewhat more straightforward cost basis.

IME funding represents the larger share (70%) of Medicare GME payments, and comes in the form of an adjustment factor to Medicare prospective inpatient reimbursement rates. Adjustment factors are specific to each hospital, and the formula is far more complex than DGME; for the purposes of this study, note only that, because it is built in as an adjustment to hospital prospective payment rates, IME is not available to non-PPS hospitals and other providers like the UW FMR program.

¹⁵ An excellent primer on Graduate Medical Education generally is: Eden et al. “Graduate Medical Education that Meets the Nation's Health Needs.” National Academies Press, 2014
(http://www.ncbi.nlm.nih.gov/books/NBK248027/pdf/Bookshelf_NBK248027.pdf)

¹⁶ 1965 Social Security Act (Senate Report No. 404, Pt. 1, 89th Congress, 1st Sess. 36 [1965]; H.R. No. 213, 89th Cong., 1st Sess. 32 [1965]).

Federal legislation has periodically tweaked both DGME and IME formulas over the years. Most significantly, the 1997 Balanced Budget Act (BBA) capped the number of residency positions funded by Medicare at 1996 levels, due to fears that cost-based GME was inflationary and encouraging the overproduction of physicians. **Medicaid** is the second largest payer of GME in the US. Currently, 42 states have some kind of GME methodology built into their program. Wyoming does not. Unlike Medicare, Medicaid GME payments are not standardized, since there is actually no statutory authority for Medicaid to pay for medical education costs in the first place. All GME payments must therefore be incorporated into the rates for other Medicaid covered services, typically as add-on payments to inpatient hospital rates.¹⁷ Because the funding is built into rates for medical services, targeting funding towards specific State priorities has been difficult.

The absence of statutory authority does allow some flexibility, however. The Centers for Medicare and Medicaid Services (CMS) has historically given states the latitude to devise various payment methodologies in their State Plans, as long as the payments do not exceed what Medicare would have paid for the services.

Some creative examples of how States have attempted to tailor Medicaid GME funding towards primary care medical education include:¹⁸

- Ohio has paid Medicaid GME to teaching hospitals under its inpatient rate structure since 1984.¹⁹ The State has recently proposed, however, to withhold 25% of these funds and place them into a pool that could be targeted to residency programs that better meet the State's medical workforce needs (i.e., in underserved areas, or producing primary care specialties).
- New Mexico is proposing to incorporate GME payments into its per-encounter rates to Federally Qualified Health Centers involved in training residents. CMS has not yet approved the State Plan Amendment.
- Colorado is developing a resident provider loan repayment program through Memoranda of Understanding with the hospitals and providers receiving Medicaid GME funding. In other words, the funding comes through the traditional service-benefit Medicaid channels, but the providers agree to use the funds for the specific loan repayment program.

While many creative methodologies are possible, all Medicaid GME proposals must (a) be built into service rates, (b) approved by CMS through the State Plan, and (c) not exceed what Medicare would have paid.

[The remainder of this page has been intentionally left blank]

¹⁷ <https://www.federalregister.gov/documents/2007/05/23/07-2576/medicaid-program-graduate-medical-education#h-11>

¹⁸ "State Examples of Medicaid Graduate Medical Education Initiatives." National Governor's Association memorandum of 9/9/2016.

¹⁹ <http://www.healthtransformation.ohio.gov/LinkClick.aspx?fileticket=WvonZuMotws%3d&tabid=162>

The development of modern medical education

The current system of medical education and its funding is the product of a unique history involving interactions between physician quality, physician supply, and government intervention in the education market. These are important to summarize because the same dynamics affected the founding of the UW Family Medicine Residency program in the 1970s.

While medical education first began in the United States as an apprenticeship system, by the mid-19th century it had devolved into a growth industry of diploma mills and quackery.²⁰ Most schools at the time were for-profit, had virtually no entrance requirements, and promised a degree after two 16-week semesters filled with lectures, textbooks, and rote memorization.²¹

This began to change in the late 19th century, when the concept of modern medicine (i.e., evidence-based, and built around germ theory) spread from Paris, Vienna and Berlin to a handful of medical schools on the East Coast and Midwest. Establishments like the Johns Hopkins School of Medicine (1893) set the new standard for education, requiring a college degree for admission, and building a four-year curriculum around hands-on clinical work and laboratory study.

It wasn't until the early 20th century, however, that the rest of the industry was purged. The catalyst was a report written by Dr. Abraham Flexner for the Carnegie Foundation in 1910. To write the report, Flexner toured 155 medical schools in the United States, evaluating each along a set of standard criteria. An example for Denver and Gross College of Medicine is shown in Figure 2, below.

Figure 2: Excerpt of Flexner's evaluation of Denver and Gross College of Medicine

DENVER: Population, 158,329.

(1) DENVER AND GROSS COLLEGE OF MEDICINE. Organized by consolidation 1902. Nominally the medical department of the University of Denver, with which institution it has, however, only a six months' contract; to all intents and purposes, a proprietary school, managed by its own faculty.

Entrance requirement: Less than high school graduation, loosely enforced.

Attendance: 109, over one-half from Colorado.

Teaching staff: 44 professors and 35 of other grade, none of them giving their whole time to teaching.

Resources available for maintenance: The school has no resources but fees, amounting to \$12,624 per annum (estimated).

Laboratory facilities: Its equipment consists of a chemical laboratory of the ordinary medical school type, a dissecting-room, containing a few subjects as dry as leather, a physiological laboratory with slight equipment, and the usual pathology and bacteriology laboratories. There is a total absence of scientific activity. The rooms are poorly kept. A few cases of books are found in the college office behind the counter.

On the whole, Flexner found an "enormous over-production of un-educated and ill-trained medical practitioners ... in absolute disregard of the public welfare." And in its place, Flexner proposed a series of foundational reforms.²² Most importantly, these included:

- The adoption of the **scientific method** and evidence-based medicine (at the time, this included vaccination, antiseptic surgery, public sanitation and laboratory work), instead of prevalent alternatives (e.g. bleeding, homeopathy, chiropractic).

²⁰ Flexner, Abraham. "Medical education in the United States and Canada." Carnegie Foundation for the Advancement of Teaching, Bulletin No. 4. 1910. http://archive.carnegiefoundation.org/pdfs/elibrary/Carnegie_Flexner_Report.pdf

²¹ Ludmerer, Kenneth. "Understanding the Flexner report." *Academic Medicine*, Vol. 85. No. 2. 2010.

²² Beck, Andrew. "The Flexner Report and the standardization of American medical education." *Journal of the American Medical Association*. 2004. <http://jama.jamanetwork.com/article.aspx?articleid=198677>

- Enforcing a **“uniformly arduous and expensive”** German model of university-based medical education, with stringent entry requirements, rigorous standards, and an emphasis on original research and learning-by-doing.

With the financial backing of the Rockefeller Foundation, support from the American Medical Association, and the regulatory power of state licensing boards, standards were sharply increased and hundreds of diploma mills were shut down. By the 1930s, medical education had been effectively professionalized.²³

“Physician shortage” to “physician surplus” and back again

Raising the barriers to entry, however, had the side-effect of decreasing the overall supply of physicians. The number of medical schools and enrollees roughly halved between 1910 and 1930. And where Flexner had noted an overall rate of approximately 176 physicians per 100,000 people in 1910,²⁴ rates had fallen to approximately 120 per 100,000 by 1950.²⁵ In a prosperous post-war United States, where medical care was seen as increasingly relevant to health and longevity, this perceived physician shortage became alarming.

In 1953, a commission established by President Truman released the first major report calling for major public investments in medical education. This was followed by three reports in 1958 - 60 (most famously the Surgeon General's “Bane Report” of 1959) and an increasing number of journal articles and op-eds with the same call to action. From this point until the mid-1970s, the zeitgeist was straightforward: there were not enough doctors, and the government needed to do something about it. And, indeed, from 1963 to 1976, Federal legislation began to fund medical education in earnest, largely through amendments to Title VII of the Public Health Service Act:²⁶

- The **Health Professions Educational Assistance Act** (PL 88-129, 1963) provided significant matching funds for medical school construction and medical student loans.
- The **Health Professions Educational Assistance Amendments** (PL 89-290, 1965) continued medical school construction funding, and added scholarships and other financial assistance to students.
- **Medicare** (1965) included the concept of Graduate Medical Education funding for residencies.
- The **Health Manpower Act** (1968) continued construction funding, and began including nurse and other allied health professional training.
- The **Comprehensive Health Manpower Training Act** (1971) reorganized medical school funding on a capitated incentive basis. The act also began funding post-graduate training (e.g. residencies).
- The **Health Professions Educational Assistance Act** (1976) extended capitated grant support and scholarship

This influx of federal funding had a large impact: the number of medical schools, the number of students, and ultimately the overall physician supply began to grow in earnest. The effort was successful enough that, by the 1980s, advisory bodies began to warn of an impending “physician surplus”.

²³ <https://www.hsph.harvard.edu/news/magazine/centennial-reports-around-world/>

²⁴ Flexner reports an average of 1 physician for every 568 people. 14.

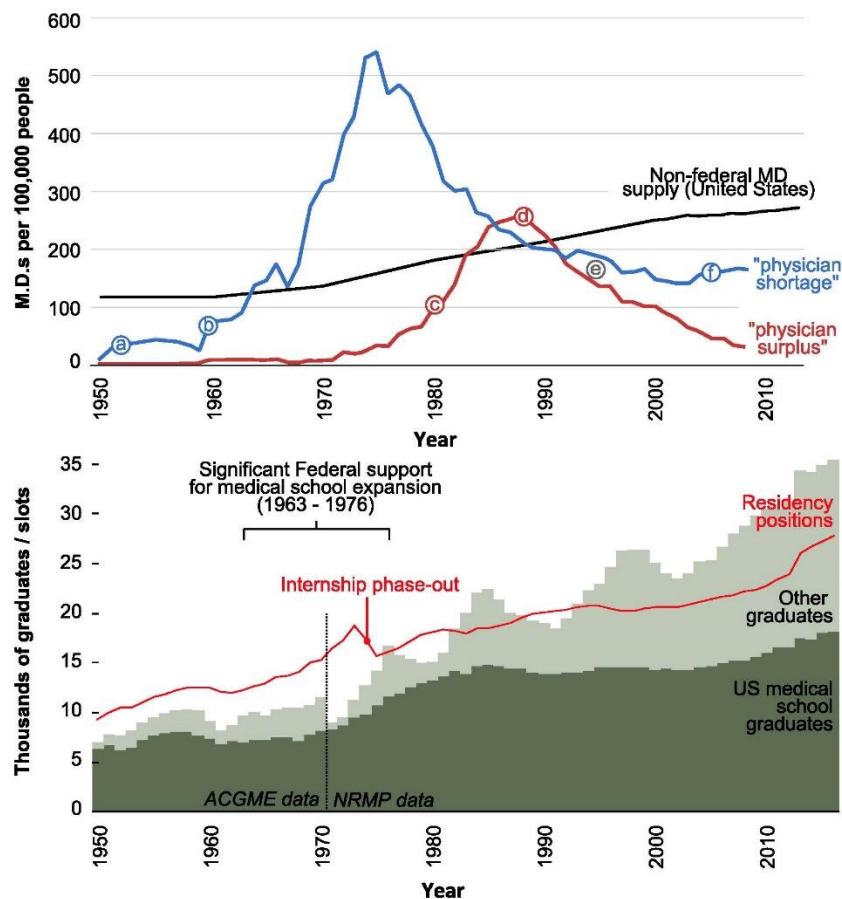
²⁵ Health Resources and Services Administration (HRSA) Area Health Resource File (2015)

²⁶ MacBride, Own. “An overview of the Health Professions Educational Assistance Act.” Robert Wood Johnson Foundation. June 1973. (<http://files.eric.ed.gov/fulltext/ED111245.pdf>) and “Health Professions Educational Assistance Act of 1976.” HRSA. Sept. 1977 (<http://files.eric.ed.gov/fulltext/ED148192.pdf>) and Reynolds, Preston. “A legislative history of Federal assistance for health professions training in primary care medicine and dentistry in the United States, 1963 - 2008.” *Academic Medicine*, 2008.

Trends in physician supply and *perceived* physician supply since 1950 are summarized in the top half of Figure 3, below. The actual per-capita supply of M.D.s is the black line, and the measures of the “zeitgeist” -- perceptions of that supply -- is shown by the blue and red lines.²⁷

The bottom half of Figure 3 shows the input side: the number of medical school graduates (U.S. seniors in dark green, IMGs in light green) and total residency positions (red line) over the same time period. Note how the doubling of medical school graduates was directly correlated (i.e., with a four-year lag) to the 1963 and 1976 period of federal support for medical education.²⁸

Figure 3: Trends in physician supply, perceived physician supply, and medical education opportunities in the United States, 1950 - 2013.



²⁷ HRSA, 2015 and Google Books Ngram Viewer.

²⁸ National Resident Matching Program, Results and Data: 2016 Main Residency Match®. National Resident Matching Program, Washington, DC. 2016. ACGME data from Liaison Committee on Graduate Medical Education. Directory of Accredited Residencies. 1977-78. American Medical Association. Table 14. Note that NRMP and ACGME data are not entirely equivalent; the ACGME counted all graduates, for example; NRMP only counts active applicants. The discrepancy is marked by a dashed line on the figure.

Table 1, below, notes the landmark studies annotated on Figure 3. On the table, blue shading indicates an overall “physician shortage” conclusion, red shading indicates a “physician surplus” conclusion, and gray indicates a mixed conclusion.

Table 1: Landmark studies on medical education.

	Year	Report	Major Conclusions
(a)	1953	President’s Commission on the Health Needs of the Nation ²⁹	<ul style="list-style-type: none"> Substantial national shortage of physicians. Recommended State and Federal supplementary funding to medical education.
(b)	1959	Bane Report ³⁰	<ul style="list-style-type: none"> More physicians needed. Recommended significant increase in public and private support for medical education.
(c)	1980	Graduate Medical Education National Advisory Committee (GMENAC) ³¹	<ul style="list-style-type: none"> Used disease-based need model to project a physician oversupply of 70,000 in most specialties by 1990. Small surplus in family practice. Recommended 17% decrease in medical school enrollment, restrictions on international medical graduates and reductions to residency positions. Geographic distribution more of a concern.
(d)	1988	Council on Graduate Medical Education (COGME I) ³²	<ul style="list-style-type: none"> Aggregate oversupply of physicians, with some undersupply of family practice/primary care. Geographic maldistribution of physicians (rural and inner city). Recommended no change to graduate medical education funding.
(e)	1994	Council on Graduate Medical Education (COGME IV) ³³	<ul style="list-style-type: none"> Unbalanced workforce: too many specialists, too few generalists. Geographic maldistribution continuing. By 2000, 50% of residency graduates should be generalists.
(f)	2005	Council on Graduate Medical Education (COGME XVI) ³⁴	<ul style="list-style-type: none"> Potential shortage as physician supply grows more slowly than demand after 2010, largely due to aging workforce and aging population with more health needs. Recommended increase in medical school enrollment and residency slots.

Since the “physician surplus” conclusions of the 1980s, the picture has become more nuanced. Generally speaking, more recent studies indicate that, while the workforce appears to be returning to a “shortage” condition, most of the shortages are in primary care.

²⁹ “Building America’s health.” 1953. Vol. 1. <https://babel.hathitrust.org/cgi/pt?id=mdp.39015031051298;view=1up;seq=17>

³⁰ “Physicians for a growing America.” US Public Health Service. 1959. <https://archive.org/details/physiciansforagr022196mbp>

³¹ Graduate Medical Education National Advisory Committee: Summary Report to the Secretary, Department of Health and Human Services (DHHS), Vol 1, publication No. (HRA) 81-651. Hyattsville, Md, Health Resources Administration, 1980 (<http://eric.ed.gov/?id=ED210990>)

³² Council on Graduate Medical Education: The First Report of the Council, Vol 1. Rockville, Md, DHHS, July 1, 1988. <http://www.hrsa.gov/advisorycommittees/bhpradvisory/cogme/Reports/1streportvol1.pdf>

³³ Council on Graduate Medical Education: The Fourth Report of the Council, Vol 1. Rockville, Md, DHHS, July 1, 1994. <http://www.hrsa.gov/advisorycommittees/bhpradvisory/cogme/Reports/fourthreport.html>

³⁴ Council on Graduate Medical Education. “Physician workforce policy guidelines for the United States, 2000-2020.” Sixteenth report. Washington, DC: Health Resources and Services Administration, January 2005. <http://www.hrsa.gov/advisorycommittees/bhpradvisory/cogme/reports/sixteenthreport.pdf>

Medical education in Wyoming

The history of medical education in Wyoming (see Appendix A for a more detailed timeline) mirrors these national trends. The State first began to send students to the University of Colorado medical school in 1949, around the time the “physician shortage” was beginning to manifest itself.

One year later, Sen. Rudolph “Rudy” Anselmi (D - Sweetwater) and Sen. C.H. Carpenter (R - Natrona) introduced legislation authorizing UW to contract with other institutions to provide medical education. This was passed and enacted as W.S. § 21-347. The bill also contained an \$18,000 appropriation to the University, but was not immediately used.

In 1952, however, Wyoming did begin to participate in the Western Interstate Commission for Higher Education (WICHE) program. WICHE was established as a “compact” system, in that all States who paid into the system through a per-student subsidy would receive in-state tuition at participating medical schools.

In the 1960s and early 1970s, as the “physician shortage” crisis intensified and the federal government began its massive investments in medical education, several studies in Wyoming began fielding various options for State-level involvement. While all agreed that Wyoming needed more doctors, policy recommendations ranged from creating a four-year medical school at the University of Wyoming to extending inter-state collaborations like WICHE.

The seminal report that influenced gubernatorial and legislative action on the residency program, however, was written by Dr. Stephen C. Joseph of the UW Medical Education Planning Committee in 1974. The Joseph Report envisioned a hybrid system of medical education, to include:

- An **undergraduate medical degree program** at the University of Wyoming, with an annual class size of approximately 30 students;
- Affiliations with **community hospitals** and other providers to provide the bulk of medical students’ clinical training (the report specifically excludes the construction of a university hospital or medical center);
- Affiliation with an **out-of-State medical center** to provide students more specialized experience;
- Development of a **family medicine residency** at community hospitals in Wyoming affiliated with the University;
- **Coordination** between the undergraduate, postgraduate and continuing education phases of medical training; and,
- A **separate source of funding** for medical education, “in order to protect the University of Wyoming’s present financial resources, which are required for current needs.”³⁵

Additionally, the Report recommended designing the system along four major principles:

- Medical education in Wyoming should be directly tied to the **healthcare delivery system**;
- **Family practice** and **primary care** should be emphasized;
- Education should encourage a **team approach**; and,
- The use of **technology** should be maximized for distance education.

³⁵ “Medical education for community health care: a plan for Wyoming.” Joseph, Stephen C. Laramie, WY. June, 1974. 6-7.
Wyoming Department of Health | UW Residencies Review | Oct 1, 2016

According to Dr. Joseph, recommending a hybrid system was a relatively straightforward decision. It simply did not make financial or practical sense for the University of Wyoming to attempt to build a large medical center. At the same time, however, while out-of-State programs like WICHE and WWAMI provided excellent educational opportunities, Dr. Joseph observed that physician recruitment and retention to Wyoming was correlated largely with personal ties to the State -- in many cases, who the medical students ended up marrying.³⁶ For that reason, the Joseph report recommended keeping as much of the classroom and clinical education as in-State as possible, while contracting out one or two clinical rotations to out-of-State medical centers.

The Joseph Report was sent to Governor Hathaway in 1974, and the Governor, in turn, submitted the medical recommendations to the Legislature in time for the 1975 Budget Session.

Only the development of the residencies, however, was initially funded that year through an appropriation inserted into the Governor's Office budget. This allowed the Casper site to be established in 1976. The rest of the medical education system conceived in the Joseph Report, however, was ultimately voted down in the Special Session of 1978.

The residencies were therefore implemented as a fragment of an otherwise comprehensive system. And while other pieces of this system were gradually put into place (i.e., the contract with Creighton, and then WWAMI), this history has effects on the current operational challenges of the residency programs, described in Part II of this study.

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³⁶ Phone conversation with Dr. Joseph. Sept. 27, 2016.

The purpose of the UW Family Medicine Residency Programs

Despite being only partly established, the vision articulated in the Joseph Report expresses the core purpose of the residency programs: **to improve the number and distribution of family medicine physicians within Wyoming.**

The emphasis on **increasing the number of physicians** in Wyoming is clear throughout the Joseph Report, and this core purpose is corroborated by UW reports in 1983³⁷ and 1985.³⁸ As part of this emphasis, the Report voices frustration with Wyoming's experience in the WICHE program from 1953 to 1969.³⁹ Dr. Joseph notes the poor retention (23%) in the number of newly-minted physicians returning to Wyoming to practice, and the increasing cost per retained physician (up to approximately \$400,000 in 2015 dollars), as shown in the table reproduced and augmented below.

Table 2: Wyoming residents assisted in obtaining M.D. by grant-in-aid or WICHE⁴⁰, 1953-69⁴⁰

MD Class Year	Number of students funded	... who received MD	... who practiced in WY	Percent of class practicing in WY	Total stipend cost	... in 2015 dollars ⁴¹	Cost per returned physician (2015 dollars)
1954	7	6	3	43%	\$48,670	\$648,025	\$216,008
1955	5	5	2	40%	\$40,000	\$521,822	\$260,910
1956	7	5	2	29%	\$43,200	\$530,011	\$265,005
1957	6	5	2	33%	\$42,000	\$494,178	\$247,088
1958	6	6	2	33%	\$48,000	\$556,322	\$278,161
1959	7	7	2	29%	\$56,000	\$636,753	\$318,376
1960	5	3	1	20%	\$27,300	\$304,740	\$304,739
1961	4	2	1	25%	\$26,000	\$282,615	\$282,615
1962	3	3	1	33%	\$24,000	\$254,255	\$254,255
1963	3	3	1	33%	\$24,000	\$248,488	\$248,488
1964	9	9	3	33%	\$72,000	\$731,305	\$243,768
1965	1	1	0	0%	\$8,000	\$78,866	-
1966	4	4	0	0%	\$32,000	\$301,087	-
1967	3	3	0	0%	\$24,000	\$214,886	-
1968	6	6	1	17%	\$52,000	\$439,912	\$439,912
1969	8	6	1	13%	\$51,300	\$406,319	\$406,318

³⁷ The 1983 UW report writes that "a 52 percent retention rate of our graduates from the residency programs ... compares rather favorably with the National retention rate of residents locating in their state of residency training." "Wyoming Family Practice Residency Program: data from the University of Wyoming." Sept. 1983.

³⁸ The 1985 report notes the purpose of "providing opportunities for medical education for Wyoming residents; attempting to attract a greater number of physicians to the state; encouraging physicians to locate in rural, underserved areas; and encouraging physicians with a family practice background to practice in Wyoming." "Report on the school of human medicine." University of Wyoming. Ad Hoc Committee, Board of Trustees. Miracle et. al. 1985.

³⁹ "Medical education for community health care: a plan for Wyoming." Joseph, Stephen C. Laramie, WY. June, 1974. 10.

⁴⁰ Ibid.

⁴¹ Using state and local implicit price deflator (US Bureau of Economic Analysis - series A829RD3A086NBEA)

A second, related theme throughout the Joseph Report is the concern over the **distribution** of physicians within the State. Along with dissatisfaction with the WICHE experience in total retention noted above, the Report points out that this had worsened in the same time period:

By 1973, the nation's physician/population ratio had increased to 169 physicians per 100,000 inhabitants, and while Wyoming overall figures had just kept pace with this increase, remaining at 62 percent of the national ratio, no progress in improving the unfavorable position had been made. Further, when we look again at the two groupings of counties, we can see that the position of the more rural, declining population counties worsened to only 49 of the national figure, while the less rural areas with increasing population improved, but less strikingly, to 66 percent of the national ratio.⁴²

How the numbers and distribution of physicians in Wyoming have actually trended between the 1940s and today is the focus of the next sub-section. Before moving on, however, it is important to note an important tertiary purpose of the residency programs: providing **indigent care** to the uninsured.

While not a major theme in previous reports, indigent care first emerges in the 1983 UW report, which notes that "we accept all patients who are referred to us and all those who walk through our doors... regardless of ability to pay" and that 30% of the clients in Cheyenne and over 50% of the clients in Casper were uninsured, illustrated in Table 3, below.⁴³

Table 3: UW FMR payer mix, 1983.

Site	Casper	Cheyenne
Private insurance	34%	53%
Medicare	1%	3%
Medicaid	11%	14%
Uninsured	54%	30%

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⁴² "Medical education for community health care: a plan for Wyoming." Supplemental Report. Joseph, Stephen C. Laramie, WY. June, 1974. 23

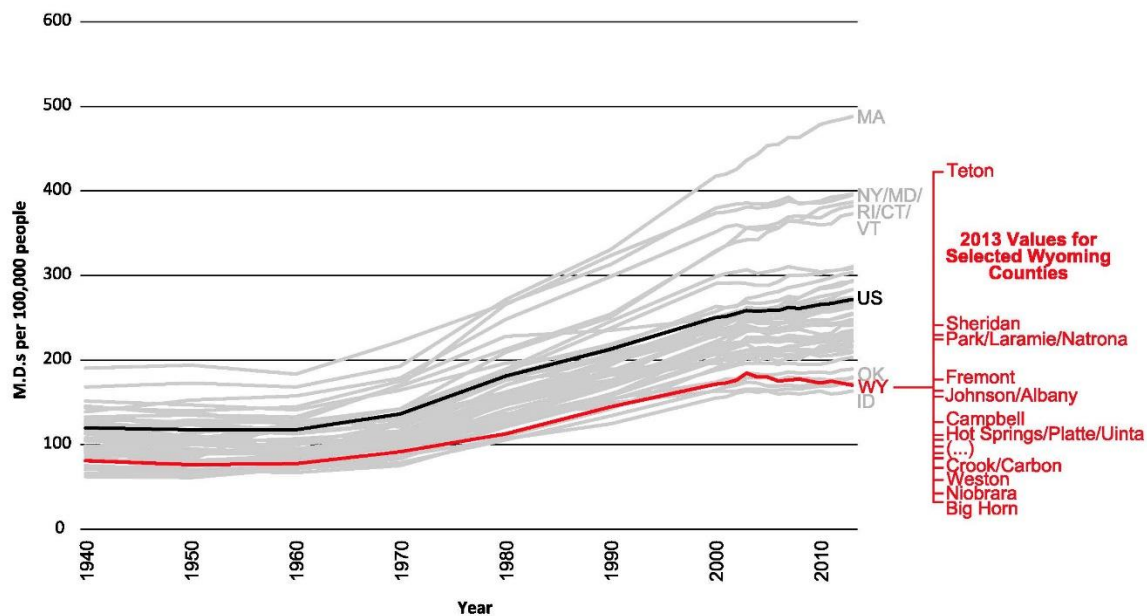
⁴³ "Wyoming Family Practice Residency Program: data from the University of Wyoming." Sept. 1983.

Provider shortages in Wyoming

Since the establishment of the residency programs, while the ratio of providers to population has increased statewide, disparities between counties have worsened.

Compared with other states, Wyoming today continues to have one of the lowest concentrations of healthcare providers per capita. As shown by the rate of active, non-federal M.D.s per 100,000 people on Figure 4, below, only Idaho has a lower supply.

Figure 4: Total active, non-federal M.D. physicians per 100,000 people, by state in the continental U.S., excluding DC (1940 - 2013).⁴⁴



Note on the figure, however, that this average masks significant variation in physician supply within the State. While Big Horn, Niobrara, and Weston counties have exceptionally low rates, for example, Teton County has more M.D.s per capita than any state but Massachusetts.

These disparities have widened over time. Table 4, on the next page, shows that physician supply rates were actually fairly even across the State in the 1940s and 50s. Since then, M.D. supply has doubled, tripled, and even quadrupled in some counties while remaining flat, or even decreasing, in others.

By this measure, particularly underserved counties include Big Horn, Carbon, Crook, Lincoln, Niobrara, Sweetwater, and Washakie. Relatively well-supplied counties include Teton, Natrona, Laramie, Sheridan, and Park.

⁴⁴ Health Resources and Services Administration, Area Health Resource File (2015), AMA. Note that this indicator excludes federal employees (e.g. military doctors or Public Health Service), as well as osteopathic physicians (D.O.s). It is used here because it is the only consistent indicator of physician supply continuously tracked since 1940.

The total number of M.D.s with an active medical license, of course, is not the best measure of county-wide access to care, for three reasons:

- A certain number of actively-licensed M.D.s do not actually provide care to patients; they might be in teaching, research, or administrative roles.
- A large fraction of active M.D.s are specialists, not primary care providers, where county-level access might be more meaningful.
- Several other provider types besides physicians are available to provide primary care services. These include other physician types (osteopaths, or D.O.s) and lower-level primary care providers, like Physician Assistants (PAs) and Advanced Practice Registered Nurses (APRNs).

Table 4: Average active, non-federal MDs per 100,000⁴⁵

County	Period							
	2013 - 2007	2006 - 2001	2000 - 1990	1990 - 1980	1980 - 1970	1970 - 1960	1960 - 1950	1950 - 1940
Albany	187.9	223.3	173.5	133.6	108.1	88.1	74.4	79.0
Big Horn	48.7	61.9	50.1	53.6	68.2	77.3	59.8	49.8
Campbell	129.3	143.0	125.2	100.4	80.4	58.5	65.4	46.3
Carbon	76.4	92.3	89.7	67.4	68.2	81.6	72.4	81.9
Converse	106.0	110.5	60.5	47.6	50.0	56.9	48.8	72.0
Crook	55.7	55.3	35.8	37.7	30.6	21.7	31.9	39.2
Fremont	180.8	202.3	189.9	169.2	118.9	64.2	56.9	56.2
Goshen	94.8	93.9	84.2	82.0	74.6	74.9	81.6	68.5
Hot Springs	123.0	168.5	154.9	95.2	103.8	106.2	86.2	91.8
Johnson	146.9	120.7	106.3	85.9	73.2	54.1	58.8	72.2
Laramie	235.3	227.2	213.3	178.5	143.3	110.0	95.7	97.3
Lincoln	69.3	67.8	81.0	56.5	38.5	56.8	72.2	77.7
Natrona	233.0	226.5	220.8	178.1	134.0	105.2	97.7	94.2
Niobrara	13.6	29.1	40.8	18.5	34.5	74.6	70.6	56.1
Park	230.9	227.2	187.8	127.2	101.3	89.1	87.2	99.2
Platte	104.5	80.8	76.9	49.8	38.0	51.5	66.2	81.8
Sheridan	219.6	180.9	193.4	170.8	126.2	100.5	95.6	94.9
Sublette	94.4	116.3	111.9	86.0	73.2	53.3	79.4	94.3
Sweetwater	80.3	97.1	87.7	74.5	65.1	58.2	65.3	79.9
Teton	409.7	405.6	309.0	276.7	225.4	113.9	71.4	80.0
Uinta	119.2	134.5	111.9	97.8	110.0	117.2	81.1	96.6
Washakie	76.6	113.2	89.9	72.6	76.9	67.5	55.6	60.6
Weston	58.9	82.6	53.3	58.8	59.7	21.1	0.0	0.0

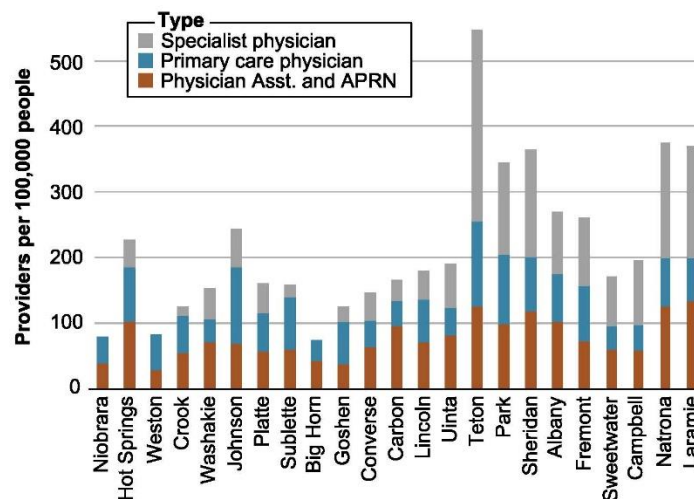
When these adjustments are factored in, discrepancies between counties lessen. Table 5, on the next page, shows the count of these other providers and Figure 5, on the same page, shows the rate of these providers per 100,000 people, by county.

⁴⁵ Area Health Resource File 2015. Health Resources and Service Administration, accessed 5/1/2016. Note that, while many years of data are available from 2000 - 2013, only one year of data is available for the periods before 2000 (e.g. 1940, 1950, 1960); averages are thus less precise. Active non-federal MDs does not include federal (e.g. Public Health Service or military) doctors, nor does it include D.O.s (approximately 109 in 2013, compared with 992 MDs)

Table 5: 2013 - Patient care health professionals, by county (HRSA)

County	Physicians in patient care		... of which, are primary care	Physician Assistants	Advance Practice RNs
	MDs	DOs			
Albany	58	5	27	6	32
Big Horn	4	0	4	3	2
Campbell	60	6	19	12	16
Carbon	9	2	6	10	5
Converse	12	0	6	4	5
Crook	5	0	4	2	2
Fremont	71	6	34	10	20
Goshen	12	0	9	0	5
Hot Springs	5	1	4	2	3
Johnson	14	1	10	2	4
Laramie	207	19	63	42	86
Lincoln	15	5	12	6	7
Natrona	180	22	59	54	48
Niobrara	1	0	1	0	1
Park	65	7	31	18	11
Platte	9	0	5	1	4
Sheridan	68	6	25	16	19
Sublette	8	2	8	2	4
Sweetwater	39	11	16	15	12
Teton	86	8	29	5	23
Uinta	19	4	9	4	13
Washakie	7	0	3	1	5
Weston	4	0	4	2	0

Figure 5: Rates of various health care professionals to county population, 2013



PART II: OPERATIONS REVIEW

Summary

The UW Family Medicine Residency (UWFMR) program provides two major services: (1) comprehensive primary care (both on an outpatient and inpatient basis) and (2) training future doctors.

These services cost approximately \$17 million per year. Payment sources include \$9.8 million of State General Funds (SGF) and \$5.4 million in clinic revenue. In addition, there are an estimated \$1.8 million in indirect costs to hospitals.

The UWFMR is less efficient at delivering primary care services than both State and national averages for other clinics. This is partly due to the higher overhead of operating a residency program, as well as the high cost of the State employee benefits package. Its client base is largely women and children, and approximately 22% of the clients are uninsured, which is higher than the background population.⁴⁶

In terms of its core purpose, the residency is more efficient than the national average at training physicians, and a higher proportion of its graduates practice in rural areas or provider shortage areas. However, the quality of the program, while improving since 2011, remains slightly below average. UW clinical faculty are also paid less than their peers in the Washington-Wyoming-Alaska-Montana-Idaho (WWAMI) network.

Additionally, in-State retention rates of 23% are poor when compared with almost all other states. This study therefore estimates the program cost per physician retained in Wyoming at approximately \$1.77 million, an investment representing an effective annual cost of \$87,000 to \$109,000 per year, of which \$57,000 to \$71,000 (65%) is paid by the State.

Inputs and Outputs

Inputs: State General Funds and clinic revenue

In SFY 2015, the cost of the UW residency programs totaled \$15.2 million. \$5.4 million of this was recouped in clinic revenue, meaning that approximately \$9.8 million (64% of total cost) was subsidized by the State General Fund. Table 6, below, breaks down cost and revenue by site and by series. Note that the Casper program is more 'self-sufficient' than the Cheyenne program, in that clinic revenue covered a greater fraction of its costs.

Table 6: Expenditures and revenues, SFY 2015⁴⁷

	Casper	Cheyenne	Total
Revenue	\$3,581,079.30	\$1,854,761.18	\$5,435,840.48
Costs	\$8,292,213.67	\$6,921,214.17	\$15,213,427.84
100-series	\$6,607,638.51	\$5,084,936.43	\$11,692,574.94
200-series	\$1,014,283.57	\$682,903.71	\$1,697,187.28
300-series	\$173,379.25	\$111,965.59	\$285,344.84
400-series		\$3,676.40	\$3,676.40
900-series	\$496,912.34	\$1,037,732.04	\$1,534,644.38
SGF Subsidy	\$4,711,134.37	\$5,066,452.99	\$9,777,587.36
SGF Subsidy (%)	56%	73%	64%

⁴⁶ SAIHIE estimated Wyoming's under-65 uninsured population at 69,582 in 2014, which is 14% of that demographic group.

⁴⁷ UW accounting data, SFY 2015.

As shown in Table 7, below, the largest sources of clinic revenue for the residency programs are Medicare, Medicaid, and private insurance, in that order. Each of these pay sources makes up approximately one-third of total revenue; a small remainder comes from self-pay, grants, and the KidCare CHIP program.

Table 7: Clinical revenue sources, both clinics⁴⁸

Pay Source	Est. Total	Percent
Medicare	\$1,764,045.79	32.5%
Medicaid	\$1,580,049.54	29.1%
Private insurance	\$1,554,785.77	28.6%
Self-pay	\$342,090.87	6.3%
Grants	\$153,011.35	2.8%
CHIP	\$41,857.15	0.8%
Total	\$5,435,840.48	

Because self-pay clients pay on a sliding-fee scale according to family size and income, the residencies also provide approximately \$1.2 million worth of uncompensated care, as shown on Table 8, below. Unreimbursed care therefore represents approximately 12% of the total SGF subsidy.

Table 8: Uncompensated care (SFY 2015)

Site	Billed charges	Est. cost ⁴⁹
Casper	\$1,016,496	\$859,956
Cheyenne	\$411,540	\$348,163
Total	\$1,428,036	\$1,208,118

Inputs: Graduate Medical Education payments

In SFY 2016, Medicare began paying the residencies for its share of DGME (approximately \$300,000 per year for both sites) but this is not reflected in the SFY 2015 revenue figures.

Medicare also estimates the cost of IME to the hospitals in Cheyenne and Casper. Due to the complexity of the cost reporting, hospitals may not actually *receive* these payments, but they are the best estimate of the indirect costs of the residency programs. While SFY 2015 data was not available in the hospital cost reports, IME costs are assumed to be similar to SFY 2014, i.e., totaling approximately \$1.9 million. Table 9, below, illustrates the trend in IME over time for Cheyenne Regional Medical Center (CRMC) and Wyoming Medical Center (WMC).

Table 9: Total Medicare Indirect Medical Education (IME) costs to Wyoming hospitals⁵⁰

Fiscal Year	CRMC	WMC	Total IME
2010	\$752,004	\$882,000	\$1,634,004
2011	\$735,904	\$638,670	\$1,374,574
2012	\$730,085	\$966,087	\$1,696,172
2013	\$661,875	\$949,511	\$1,611,386
2014	\$702,880	\$1,175,720	\$1,878,600

Note that residencies do not receive any financial support from the hospitals.

⁴⁸ HRSA UDS, 2015 (both centers), combined with UW accounting data.

⁴⁹ Using an estimated cost-to-charge ratio of 0.846, calculated from Medicare charges vs. costs as reported on Worksheet V

⁵⁰ CMS Healthcare Cost Report Information System (HCRIS), Worksheet E, Part A, Line 29, Column 1

Outputs

The residencies use these dollars to produce three services:

- **Trained providers.** As established in the background section, the primary purpose of the residencies is to train physicians in family practice medicine. The resident training process takes three years; after graduation, residents must take and pass the American Board of Family Medicine exam in order to become board-certified. From 2010 to 2015, the Casper residency produced an average of 7.3 graduates each year (of a potential total of 8), and the Cheyenne program an average of 5.8 graduates, (of a potential total of 6), for an average total of 13.1 graduates per year.

In addition to these graduates, the residencies also train other providers -- physician assistants and nurse practitioners, for example -- but these numbers are not tracked.

- **Primary care - outpatient visits.** As Federally-Qualified Health Centers (FQHCs), the residencies also provide comprehensive primary and preventive care to clients, regardless of ability to pay (e.g. on a sliding-fee scale for those who are uninsured). In SFY 2015, the UW FMR cost report counted 37,949 visits. Adjusted to match UW accounting data for the costs, this total is estimated at 38,447, with Casper residency producing 56% of the visits (21,530) and Cheyenne producing 16,917. These outpatient services included:

- Evaluation, management and counseling by a physician, nurse practitioner (NP), or physician's assistant (PA);
- Pre- and post-natal care and counseling (to include approximately 318 deliveries);⁵¹
- Immunizations and preventive screenings, to include laboratory testing and imaging; and,
- Mental health services.

- **Primary care - off-site visits.** These are the evaluation and management visits by the physician faculty, residents, case managers, and other staff to their patients who are in a hospital or nursing home. These visits are critical to the inpatient-side of resident training, but are not counted as an FQHC output, as most clinics do not perform this function.

In SFY 2015, the Casper faculty and residents conducted 7,642 other visits and the Cheyenne staff 4,785 visits. Additionally, the Casper and Cheyenne sites recorded 5,499 and 670 other outpatient visits beyond the FQHC cost report, respectively.

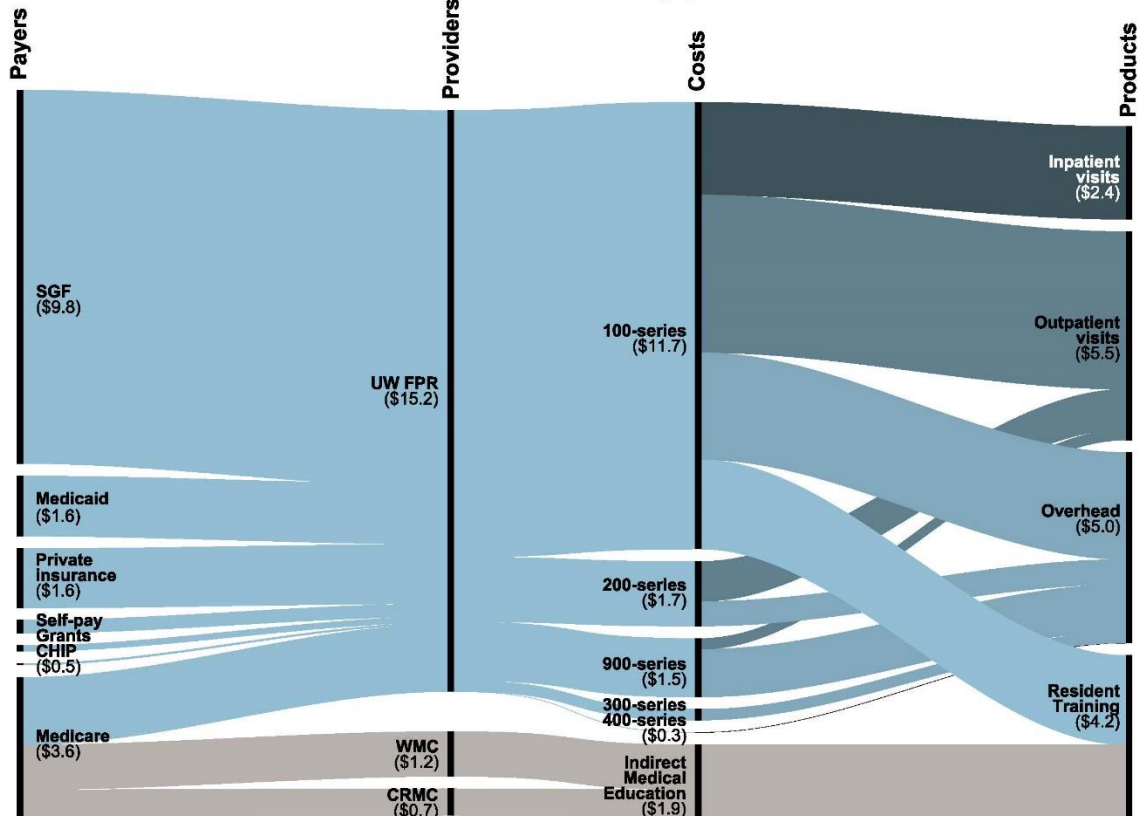
To summarize, Figure 6, on the next page, illustrates the flow of inputs (payments) to outputs (services) in what is known as a Sankey diagram. Reading the diagram from left to right, the funds first flow from various payers to the providers. The funds are then allocated by standard accounting codes:

- **100-series** funds represent personnel costs (e.g. salaries, payroll taxes, benefits)
- **200-series** represent supportive costs, mostly medical supplies and equipment.
- **300- and 400-series** are other support costs, to include IT needs and internal transactions.
- **900-series** represent contracted expenditures (e.g., third-party billing services for the clinics, etc.)

Once identified by expense type, funds flow to the services of the UW FMR program - inpatient visits, outpatient visits, residency training, and overhead. Overhead is re-allocated amongst the other products in a later table. Note that a certain amount of overhead (human resources, legal, fiscal) is performed by the University. This is impossible to estimate accurately, and is therefore not included in this cost allocation.

⁵¹ Health Resources and Services Administration (HRSA) Uniform Data System (UDS) report for 2015 (both centers)

Figure 6: Flow of inputs to outputs, UW Family Medicine Residency Programs.⁵² Indirect IME cost estimates are shown in gray.



Efficiencies

The allocation of inputs to outputs depicted in Figure 6, above, allows an estimate of the cost for each service provided by the UW FMR. This allocation is shown in Table 10, on the next page. In the table, each row is a service (i.e., trained doctors or outpatient visits), and the calculations work left to right to arrive at two measures of unit cost: marginal cost and average cost. Both of these measures are important to evaluate the efficiency of the residency program in different contexts.

- The **marginal cost** is defined here as the directly-allocated (variable) costs of each product divided by the units produced. This measure excludes fixed costs like rent, maintenance, and general administration (overhead).
- The **average cost**, on the other hand, includes overhead. Overhead is allocated proportionally (by cost) between the three services.

⁵² Direct dollar allocations for each “product” were estimated using the SFY 2015 consolidated (Cheyenne and Casper) FQHC cost report to CMS.

Table 10: Allocation of annual costs to outputs (SFY 2015)

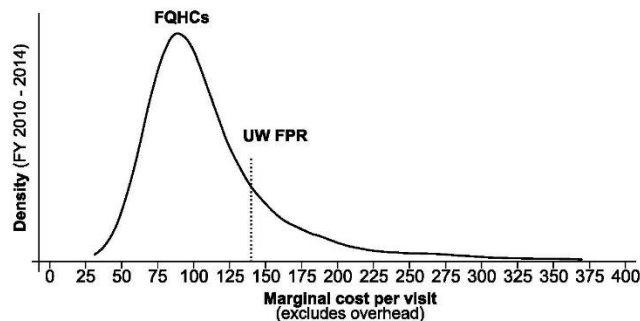
Output	Casper	Cheyenne	Total	Estimated cost	Marginal cost	Overhead allocation	Average cost	% SGF
Trained doctors	7.33	5.83	13.16	\$4,217,467.65	\$320,313.92	22.9%	\$407,024.76	65%
FQHC visits	21,530	16,917	38,447	\$5,457,590.80	\$141.95	53.4%	\$211.24	54%
Other outpatient	5,499	670	18,596	\$2,426,666.88	\$130.50	23.7%	\$194.20	54%
Inpatient visits	6,163	4,409						
SNF visits	1,387	318						
Home visits	92	58						
Overhead costs (facility and administrative)				\$4,990,302.51	Note: SFY 2015 total clinic revenue was \$5,435,840.84. SGF subsidy calculation assumes that this revenue was allocated evenly between outpatient and inpatient.			
Total costs				\$17,092,027.84				
... of which, UW Family Practice Residency costs				\$15,213,427.84				
... of which, est. indirect cost to hospitals (IME)				\$1,878,600.00				

Outpatient visits

How, for example, does the University of Wyoming program compare nationally against other Federally Qualified Health Centers (FQHCs) in delivering outpatient visits? In order to make apples-to-apples comparisons, we use the UW marginal cost of **\$141.95 per visit**, since very few (if any) of other FQHCs also train residents, and it would therefore not be appropriate to include potentially higher administrative and facility costs.

Figure 7, below, illustrates the distribution of marginal cost per outpatient visit for FQHCs nationally (black line) and the UW Family Practice Residency (dashed mark).

Figure 7: Marginal primary care visit cost for FQHCs, FYs 2009 - 2014⁵³



Note that the weighted average marginal cost for all clinics is approximately **\$105 per visit**. This means that the UW residency's cost per outpatient visit is approximately 35% higher than the average FQHC. This higher per-visit cost is likely due to two major factors:

- (1) **The unique accreditation requirements of the residency program** to have more and higher-qualified faculty physicians on staff. Other clinics, for example, can rely on less-costly provider types (e.g. Physician Assistants and Nurse Practitioners, whose average salaries are half that of a physician) to deliver primary care. This kind of model would obviously not meet accreditation requirements for the residency programs.

⁵³ Data from FQHC/RHC cost reports (FQHCs only) FY 2009 - 2014.

(2) The residency utilizes State employees, which means that staff compensation at all levels likely includes a **larger benefits package** than other private-sector clinics.

Table 11, below, shows this average per-visit cost decomposed into its components. Note the higher physician cost compared with the State and national average for other clinics. Note also, however, that the UW residencies also have higher than average costs for other medical staff (nurses, laboratory technicians, and medical assistants), as well as medical supplies and equipment.

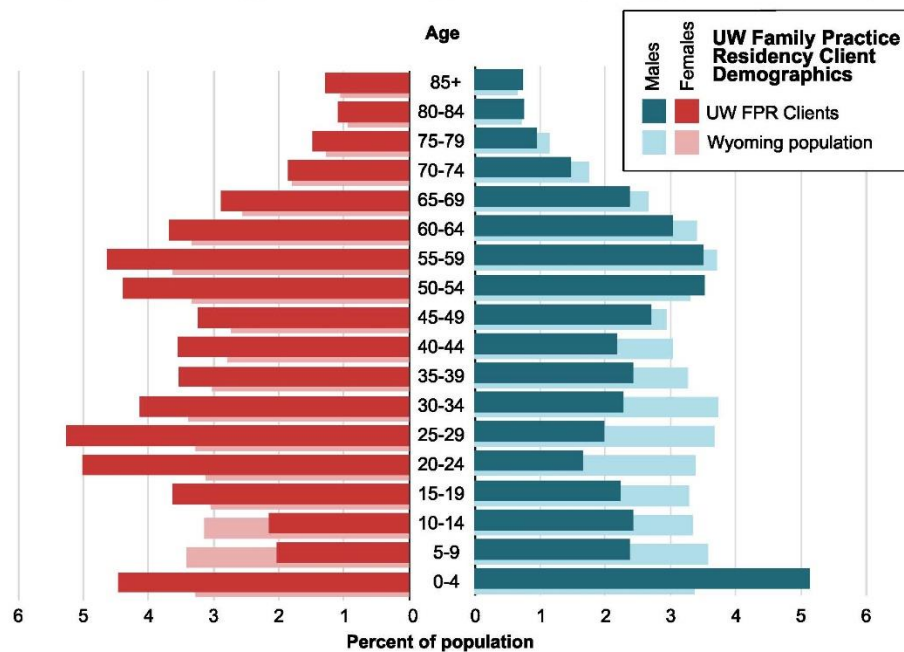
Table 11: Marginal cost breakdown for FQHC outpatient visits

Cost	UW FMR	Wyoming	National
Total marginal cost	\$141.95	\$104.65	\$104.51
... Physician	\$48.65	\$36.77	\$34.87
... Physician Assistant	\$9.78	\$14.45	\$4.73
... Nurse Practitioner	\$5.37	\$3.75	\$9.62
... Other medical staff	\$43.07	\$37.64	\$37.42
... Medical supplies and equipment	\$35.08	\$12.04	\$17.87

Patients served

Publicly-insured women and children are the largest group of clients served by the UW FMR; 60% of patients served at the residency are female. Figure 8, below, illustrates how the UW FMR client mix compares to the general Wyoming population.

Figure 8: Population pyramid of residency patients vs. Wyoming population (SFY 2015)⁵⁴



⁵⁴ Health Resources and Services Administration (HRSA) Uniform Data System (UDS) report for 2015 (both centers)

This client mix is typical for a primary care setting; women generally tend to see the doctor more often. Most studies attribute this to a combination of factors, including:

- Obvious reproductive needs (i.e., evident in the difference between ages 15-39);
- Perceptions of health and the willingness to see a physician; and
- Higher actual rates of morbidity in women than men.⁵⁵

Clinical profile

The demographic mix is corroborated by clinical data reported to the Accreditation Council for Graduate Medical Education (ACGME). Generally speaking, the UW residency program performs more mother/child-related procedures than the national average. Tables 12 and 13, below, show the top five procedures performed and top ten diagnoses of patients seen by residents in the academic years since 2011-12 for all family practice residencies (left tables) and the UW Casper program (right). Similar data was not available for Cheyenne.

Table 12: Top 5 procedures family practice residents must know, rank ordered.⁵⁶ Higher ranks are colored darker green.

National	Academic year				Casper	Academic year			
	11-12	12-13	13-14	14-15		11-12	12-13	13-14	14-15
Pap smear	1	1	1	2	Pap smear	1	1	1	5
EKG interpretation	2	2	2	1	Circumcision	2	2	2	1
Laceration - sutures	3	3	5	5	EKG interpretation	3	3	3	
Abscess - drainage	4	4	3	4	Laceration - sutures	4	4	4	3
Joint injection	5	5	4	3	Vaginal delivery	5	5	5	
					Abscess - drainage				2
					Cast/splint				4

Table 13: Top 10 diagnoses of patients seen by residents, rank ordered⁵⁷

National	Academic year				Casper	Academic year			
	11-12	12-13	13-14	14-15		11-12	12-13	13-14	14-15
Hypertension	1	1	1	1	Pregnancy - normal	1	1	4	2
Type II diabetes	2	2	2	2	Checkup (child)	2	2	2	1
Checkup (child)	3	4	4	4	Upper resp. infect.	3	3	5	6
Upper resp. infect.	4	7	5	7	Hypertension	4	4	1	4
Back pain	5	3	3	3	Gynecological	5	5		
Checkup (general)	6	5	7	6	Back pain	6	6		7
Depression	7	6	6	5	Type II diabetes	7	7		8
Hyperlipidemia	8	8	8	8	Depression	8	8	6	3
Pregnancy-normal	9	9	10	10	Sore throat	9	9	10	
Abdominal pain	10		9	9	COPD	10	10		9
Asthma		10			Checkup (general)			3	10
					Viral infection			7	
					Anxiety			8	5
					Tobacco use			9	

⁵⁵ <http://www.jfponline.com/home/article/gender-differences-in-the-utilization-of-health-care-services/33ae9b4709dda1fdca71aa66c442fec3.html>

⁵⁶ National Data Reports, Residency Review Committee for Family Medicine.

⁵⁷ Ibid.

Note that, for the Casper program, deliveries, circumcisions and pap smears are in the top five procedures, and the top two diagnoses are also related to mothers and children. This is in contrast with hypertension and diabetes consistently being in the two diagnoses nationally.

Insurance Status

As shown in Table 14, below, approximately 75-80% of patients were insured by private or public pay sources.

Table 14: Clients by insurance coverage, both residencies⁵⁸

Coverage	Clients	Percent
Uninsured	2,695	22%
Medicaid/CHIP	2,505	20%
Medicare	2,438	20%
Private Insurance	4,768	38%
Total	12,406	

As previously noted in Table 8, uninsured clients are seen on a self-pay, sliding-fee schedule. Approximately \$1.2 million of uncompensated care is delivered to these individuals. Out of the \$7.8 million in costs for outpatient and inpatient visits outlined in Table 10, this represents an uncompensated care percentage of approximately 15.3%.

Location

Unsurprisingly, the bulk of clients at the residencies come from the surrounding area. Clients by 3-digit ZIP code are shown in Table 15, below.

Table 15: Clients by location⁵⁹

3-digit ZIP	Clients	Towns in ZIP
691	50	Bushnell, Kimball (Nebraska)
807	27	Hereford, Grover (Colorado)
820	4,731	Cheyenne, Laramie, Rock River, Burns, Pine Bluffs
822	20	Wheatland, Torrington, Lusk, Glendo
825	15	Riverton, Lander
826	7,563	Casper, Douglas, Kaycee, Shoshoni

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⁵⁸ HRSA UDS, 2015.

⁵⁹ HRSA UDS, 2015.

Resident training - cost

There is little empirical data as to what a residency “should” cost. The case of the UW residency is made more difficult in the sense that it is one of the few residencies -- if not the only residency in the nation -- which operates out of an FQHC rather than a hospital.

In the last decade, a handful of studies have attempted to estimate average cost per resident per year in post-graduate training settings.⁶⁰ The estimates range from \$130,000 to \$210,000 per resident per year, but use a variety of cost models and assumptions, and come with significant caveats. As noted in the background section, total per-resident cost includes **direct costs** (paying residents and for any residency-related overhead, paying the faculty for the time they spend teaching residents, etc.) and more intangible **indirect costs** (i.e., the residency increasing the medical costs of each case due to additional training time and resources).

In the residency cost breakdown presented in Table 10, both the direct (per cost report and UW accounting data) and indirect costs (Medicare IME estimates) are counted, but clinical visits and revenue are excluded. Under these assumptions, an estimate of \$140,000 to \$180,000 represents the most comparable benchmark for national average cost per resident per year.⁶¹ For the UW FMR, the \$407,000 cost estimate per graduate divided by the three years of training works out to approximately **\$135,000 per resident per year**.

By these standards, the UW residency program is **more efficient** than the national average at producing trained physicians.

It should be noted here that the UW FMR faculty are also paid less than other family medicine residencies. Specifically, WWAMI survey data indicate that UW FMR faculty salaries are approximately 5-6% less than regional (ID, MT, and eastern WA) residency averages, and 11-12% less than all WWAMI-affiliated residency averages. This is shown in Table 16, below.

Table 16: WWAMI-affiliated Family Medicine Residency salary survey data (2016)

Position	UW FMR	All (Mean)	Difference	Regional (Median)	Difference
Director	\$221,184	\$241,265	-8.32%	\$226,000	-2.13%
Associate Director	\$192,864	\$210,848	-8.53%	\$191,432	0.75%
Senior faculty	\$167,337 ⁶²	\$198,468	-11.28%	\$185,714	-5.78%
Mid-career faculty		\$187,340		\$175,854	
Junior faculty		\$180,015		\$171,250	
Resident - PG1	\$52,704	\$53,812	-2.06%	\$52,900	-0.37%
Resident - PG2	\$54,468	\$56,173	-3.04%	\$55,014	-0.99%
Resident - PG3	\$56,352	\$58,883	-4.30%	\$57,526	-2.04%

⁶⁰ These studies include: Steinmann, Alwin. “Threats to Graduate Medical Education funding and the need for a rational approach.” *Annals of Internal Medicine*. 2011. 462. (\$130K) / Regenstein, et. al. “The cost of residency training in Teaching Health Centers.” *New England Journal of Medicine*. June 29th, 2016 (\$157K) / Wynn et. al. “Does it cost more to train residents or replace them?” *RAND Research Report RR-324-MEDPAC*. 2013. (\$140-162K) / Ben-Ari et. al. “The costs of training internal medicine residents in the United States.” *American Journal of Medicine*. Oct. 2014, Vol. 127. ([http://www.ajmmed.com/article/S0002-9343\(14\)00596-8/pdf](http://www.ajmmed.com/article/S0002-9343(14)00596-8/pdf)) (\$181 - 210K)

⁶¹ Both the RAND and Regenstein studies specifically offset clinical revenue generated by the residents in their cost measure, for example, which is more similar to the UW FMR cost assumptions.

⁶² The UW FMR program reports “full-time” vs. “part-time” faculty members instead of these categories. This number is compared against the Senior - Junior average for all WWAMI and regional WWAMI residencies to arrive at the percentage difference.

Resident training - quality

Generally speaking, the quality of the residency programs has improved since 2011, but is lower than the national average. This is evident in accreditation correspondence, where kudos for general improvements have come with the lifting of previous citations for poor performance.⁶³

One primary measure of quality is how many graduating residents take and pass the American Board of Family Medicine certification exam; this represents the capstone to becoming “board certified” in family medicine. Table 17, below, shows the most recent five-year trend for board pass rates.

Table 17: American Board of Family Medicine - Certification Exam Pass Rates

Year	Casper				Cheyenne				Combined Pass (%)	National Pass (%)
	Elig.	Taken	Passed	Pass (%)	Elig.	Taken	Passed	Pass (%)		
2011	6	3	3	100%	6	6	3	50%	67%	81%
2012	8	6	5	83%	6	6	5	83%	83%	83%
2013	7	7	7	100%	6	6	6	100%	100%	82%
2014	8	8	8	100%	5	5	3	60%	85%	90%
2015	8	8	7	88%	6	6	6	100%	93%	91%
Avg.	37	32	30	94%	29	29	23	79%	87%	85%

A second measure of quality is the average score on the exam itself. Table 18, below, shows the average exam scores of Casper and Cheyenne graduates compared with the national average. Above-average scores are highlighted in blue.

Table 18: Family Medicine Certification Exam - Average Scores

Year	Casper	Cheyenne	National
2011	487	418	478
2012	435	500	483
2013	461	425	485
2014	509	416	506
2015	419	433	505
Average	460	439	492

The pass rates, the accreditation correspondence, and the average exam scores all indicate that, while the quality of the residency programs has increased since 2011, it remains at or slightly below the national average.

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⁶³ Correspondence from the Accreditation Council for Graduate Medical Education (ACGME) to Cheyenne dated 8/5/2011 had 11 quality citations. These were lifted in correspondence dated 7/1/2016. Similarly, correspondence from ACGME to Casper dated 8/5/2011 had 10 citations. All were lifted in correspondence dated 3/4/2016.

Resident training - Retention of graduates in Wyoming

As noted in the background section, the core purpose of the UW Family Practice Residency program is to increase the number and improve the distribution of family medicine physicians in Wyoming. As such, this study estimates in-State retention of UW FMR graduates over a thirty year period to assess performance.⁶⁴

Over the average 30-year career of a physician, this study estimates **total in-State retention at 23%**. That is, given a potential 30-year career after graduation, only 23% of graduate's potential "doctor-years" are likely to be spent in-State.

When compared with other states, this is relatively poor; Wyoming ranks 3rd from the bottom in terms of family medicine physicians practicing in the same state as their residency (see Table 20 on subsequent pages).

And, given the overall per-graduate cost of \$407,000 in Table 10 in the previous section, low retention means that the average cost of the program **per doctor retained in-State** grows to \$1.77 million. Since 65% of this cost is paid by the State General Fund, this is an investment of approximately \$1.1 million per doctor-year. Over 30 years, at real discount rates between 3 to 5%, the same investment can also be thought of as an annual cost of between \$57,000 and \$71,000.

This is an imperfect estimate. The detailed records of physicians' practice locations over time required to calculate retention more precisely do not exist. This study arrived at a 'best guess' using two datasets:

- Reported locations of UW FMR graduates. While this data is likely accurate for current locations, it does not capture the time currently out-of-State or retired physicians might have spent in Wyoming prior to leaving.
- Wyoming Board of Medicine data for all physician licenses, merged with the UW FMR data based on name, credential, and graduation year.⁶⁵ Practice location data only goes back to 2011, so initial medical license date and expiration date were used to calculate a continuous timespan for physicians maintaining an active license in Wyoming.

This makes the potentially problematic assumption that there are no 'gaps' in licensure; i.e., that licensure is continuous between initial licensure and expiration.

More problematic, however, is that this estimate does not directly measure in-State retention; many out-of-State physicians maintain an active Wyoming medical license. To compensate for these deficiencies, this study examines the 'trajectory' of active Wyoming medical licensure for various cohorts of graduating residents, but adjusts the trajectory downward to correct for estimated actual in-State practice.

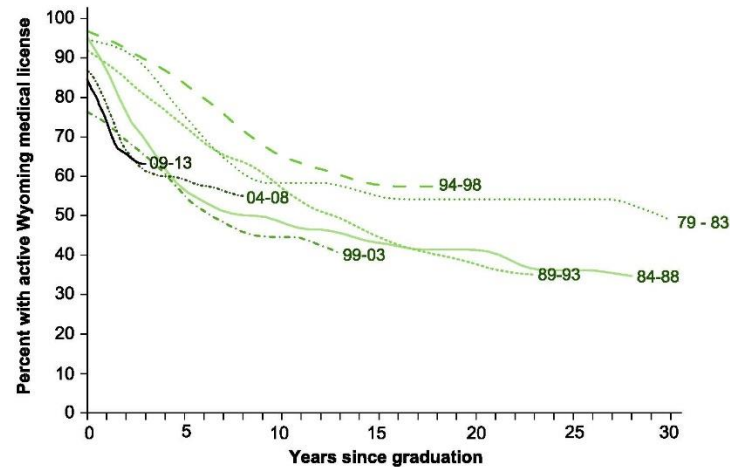
Figure 9, on the next page, illustrates the licensure trajectories of UW FMR graduates. The graduates are divided up into five-year cohorts. Each line represents the average fraction of physicians in that cohort who maintained an active Wyoming license in the indicated time since graduation. Where earlier graduation years (i.e. 1979-83) contributed up to 30 years of data, more recent graduates have shorter trajectories. Note further that:

⁶⁴ After graduation, the average career is estimated at 35 years, but reporting issues likely inflate this number by ~ 6%. Kletke. Physician workforce data: when the best is not good enough. Health Services Research. Oct, 2004. (<http://www.ncbi.nlm.nih.gov/pmc/articles/PMC1361068/>)

⁶⁵ Fuzzy-logic string matching was used to allow a higher match probability between names like "Joe Smith" (M.D., class of 1983) and "Joseph Smith" (M.D., class of 1983). Approximately 90% of the UW FMR dataset was successfully matched with a probable Wyoming physician license.

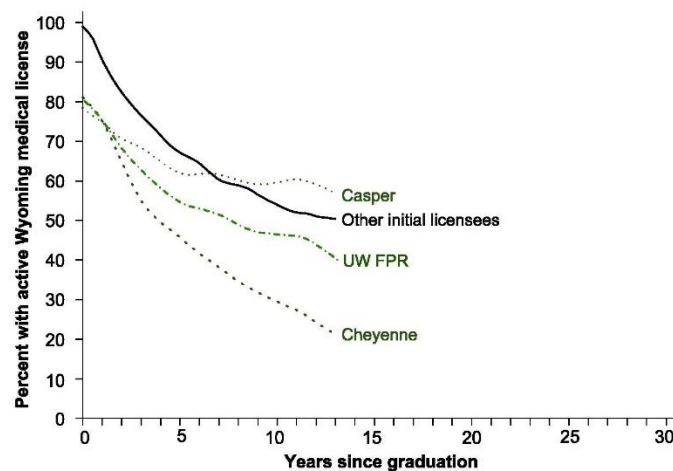
- With the exception of a cohort in 1994-98, overall retention (by this measure) has fallen since the early years of the UW FMR program.
- While initial retention is lower in recent years, trajectories since 1999 seem to be stable.

Figure 9: Percent of UW FMR graduates maintaining an active Wyoming medical license, by 5-year cohort (e.g. "79 - 83" refers to graduates between 1979 and 1983)



Because of the similar trajectories between 1999 and 2013, Figure 10, below, aggregates these cohorts together to compare the retention of Wyoming medical licenses by residency site (Casper and Cheyenne), as well as for other initial licensees (i.e., physicians who move to Wyoming mid-career) during this period.

Figure 10: Percent of initial licensees retaining an active Wyoming license (1999 - 2013)



Note on the figure that:

- As measured by this indicator, Casper appears to retain more residents than does Cheyenne.
- While both residencies have low initial retention, those graduates that do stay in-State tend to maintain Wyoming licenses longer than other sources. This is likely because the residents are the youngest possible doctors receiving Wyoming licenses, and therefore have longer careers than other physicians.

In Figure 11, below, the midpoint of the UW FMR trajectory since 1999 is adjusted downward towards the current actual in-State retention rate for those cohorts (27% -- calculated from Table 19, on the next page). The remainder of the trajectory is assumed to follow the same slope as the 1984-88 cohort.

Overall in-State retention over a projected 30-year career is then estimated as the shaded area under the curve relative to the total box indicated by the dashed line (23%). If every graduate made their career in Wyoming, the total potential available doctor-years would be 30 (30×1.0). However, the actual number of doctor years, 6.9 (the shaded area), is a result of attrition, most steeply at graduation and then tapering off as graduates either leave the state or retire.

Figure 11: Calculation of 23% estimated in-State retention over a 30-year career

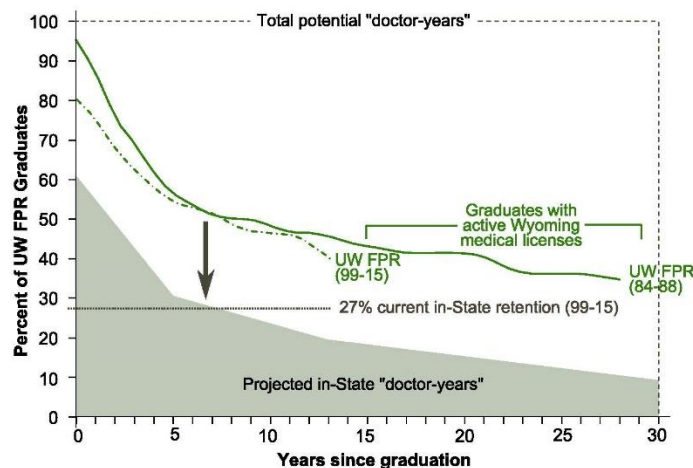


Table 19, on the next page, shows the number of graduates by site, by graduation year, as well as the number that are still currently practicing in Wyoming. While the overall total in-State (106) divided by the total number of graduates (445) equals approximately 24%, this is a coincidence:

- It is both an overestimate, due to higher retention in previous graduating cohorts (see Figure 9), and;
- It is also an underestimate, due to not counting in-State “doctor-years” from graduates who might have left the State.

Table 19: Graduates and current retention, by graduation year and site

Grad Year	Graduates			In WY (2016)
	Casper	Cheyenne	Total	
1979	2	0	2	1
1980	2	0	2	0
1981	4	0	4	0
1982	5	5	10	2
1983	7	8	15	2
1984	6	6	12	1
1985	8	6	14	3
1986	7	5	12	1
1987	7	6	13	2
1988	7	6	13	3
1989	8	6	14	2
1990	8	5	13	3
1991	8	8	16	0
1992	8	4	12	2
1993	7	6	13	1
1994	8	6	14	4
1995	4	5	9	3
1996	9	6	15	7
1997	8	6	14	7
1998	8	6	14	4
1999	8	6	14	5
2000	7	6	13	2
2001	6	6	12	1
2002	8	6	14	8
2003	6	6	12	2
2004	8	6	14	6
2005	4	5	9	2
2006	8	5	13	3
2007	6	5	11	1
2008	5	5	10	3
2009	7	6	13	2
2010	7	6	13	3
2011	6	6	12	1
2012	8	6	14	6
2013	7	6	13	5
2014	9	5	14	1
2015	7	6	13	7
Total	248	197	445	106

When in-State retention is compared with other family practice residency programs, Wyoming fairs relatively poorly. Table 20, below, shows how the State compares nationally. Note that:

- Wyoming ranks just above Rhode Island and D.C., whose in-State retention is likely lower simply because of their small area (i.e., many DC graduates might be practicing in the DC suburbs in Maryland or Virginia). States immediately above Wyoming also have small land areas.
- Other rural and frontier states in the region (highlighted in blue) have higher retention rates, in some cases, almost double that of Wyoming.

Table 20: Total number of family medicine graduates (1970 - 2006) and proportion of graduates practicing in the same state as their family practice residency.⁶⁶

State	Graduates	% in State	State	Graduates	% in State
CA	6,161	74.8	UT	572	52.7
TX	4,678	74.6	KS	818	52.5
MS	353	74.4	AL	1,090	52.2
HI	68	72.1	NV	164	51.8
AR	912	68.9	AZ	906	51.7
MT	54	68.5	ID	266	51.5
LA	808	68.0	OK	870	51.2
MN	1,330	66.7	NE	944	51.0
FL	1,928	65.5	CO	1,441	50.7
IN	1,924	64.6	VT	137	50.4
AK	74	63.5	MO	1,000	48.6
NH	62	62.9	NY	3,738	47.7
WA	1,547	61.2	SC	1,845	47.5
KY	836	60.8	ME	565	47.3
PR	357	60.3	PA	3,724	47.0
GA	1,398	59.8	IA	1,351	46.3
OH	3,058	57.4	SD	311	46.2
US Total	64,972	56.9	MD	698	44.2
WI	1,839	56.3	WV	771	42.2
NM	365	56.2	NJ	1,594	39.8
TN	1,234	56.1	ND	405	38.3
IL	3,326	55.6	CT	511	36.4
NC	1,975	55.5	DE	313	36.1
VA	1,990	55.3	WY	315	27.0
MI	2,773	54.8	RI	325	22.4
MA	669	53.8	DC	213	15.3
OR	366	53.1			

Data sorted by percent remaining in state. States in same region as Wyoming are highlighted in blue.

⁶⁶ Fagan, et. al. "Family medicine graduate proximity to their site of training: policy options for improving the distribution of primary care access." *Family Medicine*. Feb. 2015. Vol 47. No 2.

Resident training - Contribution to primary care physician supply

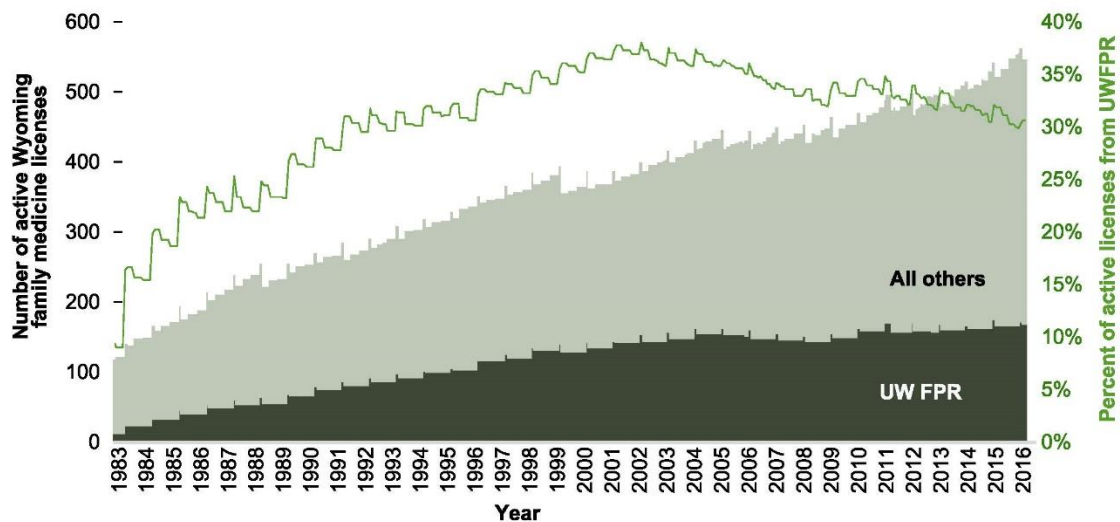
Another way of looking at retention is examining what percent of family medicine physicians in Wyoming came from the residency programs; anecdotally, the residencies have contributed up to 40% of these physicians in the State.

This study considers the family medicine specialty independently from other primary care specialties because of the added value these generalists bring in being able to provide primary care across the entire spectrum of patients, from pediatrics to OB/GYN to geriatrics.

Using the same Wyoming Board of Medicine data in previous analyses, Figure 12 shows the estimated number of UW FMR graduates with active Wyoming licenses (dark green) stacked under the number of other active family medicine licenses (light green).

The line graph shows the percent of all active family medicine licenses attributable to the UW FMR residency. The jaggedness of the line graph demonstrates the steep increase each year as a new class graduates, and the subsequent attrition over the next 12 months as individuals leave the State. Note that, over time, the total percentage of active primary care licenses attributable to the UW FMR has fallen from a high of almost 40% in the early 2000s to approximately 30% in 2016.

Figure 12: Number of primary care active Wyoming medical licenses, and percent belonging to UW FMR graduates (1985 - 2016)



Resident training - Distribution across Wyoming

As noted in the background section, a secondary purpose of the UW FMR residency program is to ensure a more even distribution of family medicine physicians across the State, particularly in underserved counties.

When county population is accounted for, the 106 graduates that are still in-State today are more-or-less evenly distributed across the State. This is shown in Table 21, below.

While it is impossible to estimate what this distribution would have looked like in the absence of the residencies, the fact that all family medicine doctors in Thermopolis, for example, are graduates of the program should be noted as anecdotal evidence of this contribution.

Table 21: Current practice locations of in-State graduates

City	No.	County	No.	Pop. (2014)	Rate per 100,000 population
Laramie	2	Albany	2	37,811	5.3
Lovell	1	Big Horn	1	11,930	8.4
Gillette	3	Campbell	4	48,320	8.3
Wright	1				
Rawlins	3	Carbon	3	15,854	18.9
Douglas	3	Converse	3	14,097	21.3
Fort Washakie	1	Fremont	8	40,703	19.7
Lander	4				
Riverton	3				
Torrington	3	Goshen	3	13,514	22.2
Thermopolis	3	Hot Springs	3	4,816	62.3
Buffalo	4	Johnson	4	8,573	46.7
Cheyenne	24	Laramie	24	96,389	24.9
Afton	1	Lincoln	3	18,567	16.2
Kemmerer	2				
Casper	33	Natrona	33	81,624	40.4
Cody	3	Park	4	28,989	13.8
Powell	1				
Sheridan	1	Sheridan	1	30,032	3.3
Marbleton	1	Sublette	1	10,057	9.9
Green River	2	Sweetwater	6	45,010	13.3
Rock Springs	4				
Worland	3	Washakie	3	8,322	36.0

The data indicates no current graduates in the following counties: Crook, Niobrara, Platte, Teton, Uinta, or Weston.

Resident training - Retention in rural or underserved areas

Considered more broadly (i.e., outside Wyoming), it is also true that the UW FMR program graduates tend to serve in more rural and underserved areas than graduates from other residencies. Data from the Graham Center⁶⁷ shows that, compared with a national average of 12.7%, 23.8% of UW graduates practice in a rural setting. Additionally, 38.4% of graduates practice in a Health Professional Shortage Area (HPSA), compared with a national average of 27.5%.

Root causes of retention and funding problems

The two largest problems with the residency programs noted in this section are **poor resident retention** and **lack of Medicare GME** funding. There are, unfortunately, no good answers as to why these problems exist -- and therefore no clear policy prescriptions for fixing them.

The circumstances surrounding the establishment of the residency programs in the mid- to late-1970s, however, are partly to blame. As Part I of this study illustrates, the residency programs were initially conceived of as part of a broader medical education system -- linked to an undergraduate medical school and affiliated community teaching hospital. Due to disagreements on the role of the State in funding medical education, this comprehensive plan was not implemented.

And while pieces of this vision (i.e., the agreements with Creighton University, and then the WWAMI program) were developed later, the lack of coordination at the outset is the "original sin" behind the two major problems illustrated here.

In the case of Medicare GME, for example, if the residencies had been fully-integrated with a community teaching hospital in the first place -- as recommended by the Joseph Report -- there is a good chance that many of the costs of the residency program could have been paid for through direct and indirect GME, as is the case with other residency programs in the nation.

While some direct GME funding is currently being received on a cost-basis as part of its FQHC designation, and there are options to increase this slightly through Medicaid, there is simply no substitute in the current system for receiving Medicare IME on a hospital scale.

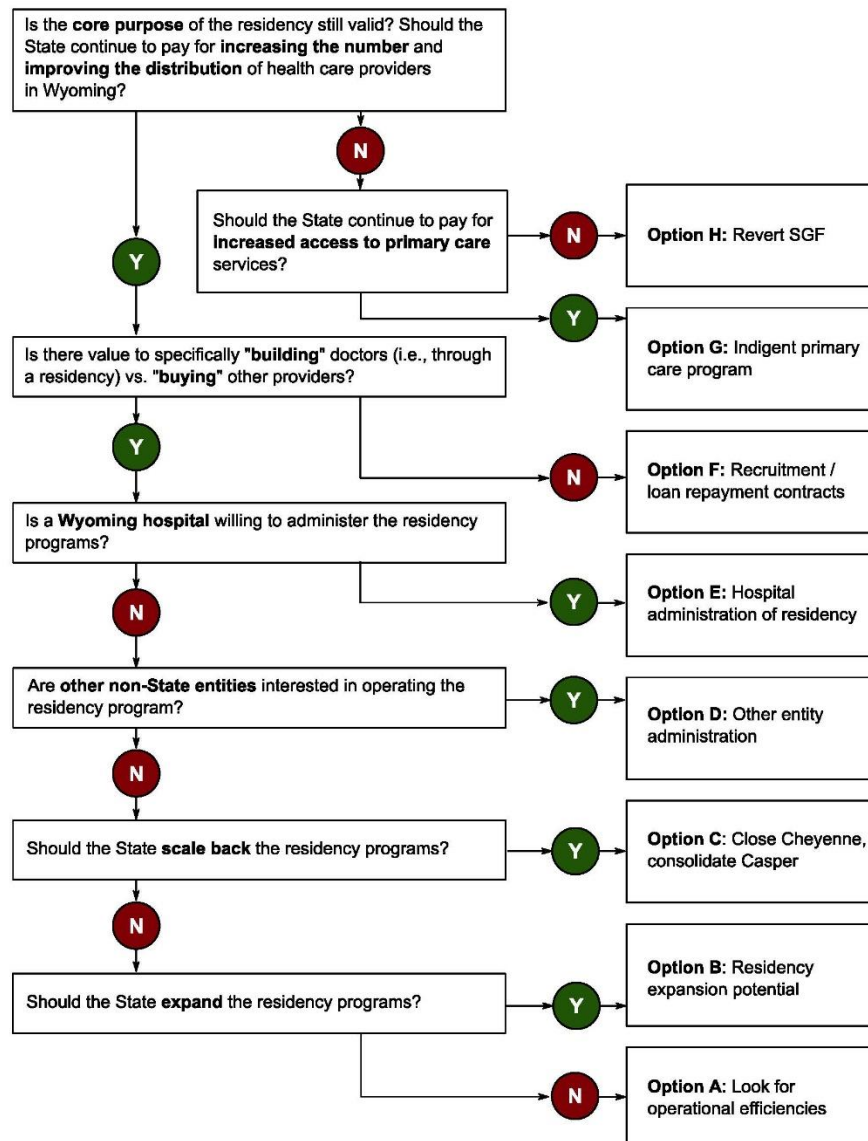
The retention problem is more complex, but again, the lack of coordination at the founding of the residency programs may have played a role. Anecdotally, few WWAMI medical school graduates return to the UW program for their residency. Other rural states in Table 20, by contrast, might have a more integrated pipeline between undergraduate and graduate medical education.

Unfortunately, the historically piecemeal implementation of medical education in Wyoming makes solving these retention and funding challenges difficult. And, as the next section articulates, there are no easy solutions.

⁶⁷ Graham Center. GME Outcomes data table. (<http://www.graham-center.org/rgc/maps-data-tools/interactive/gme-outcomes.html>). Note that this data includes all residencies, not just family medicine residencies.

PART III: ALTERNATIVE OPTIONS

The Department believes that, before any options are investigated or pursued, that the Wyoming Legislature must **re-examine the core purpose of the UW Family Medicine Residency program**. Is “building” physicians, for example, still the proper role of the State? Or would “buying” them be more appropriate? Or merely providing primary care? Instead of providing specific recommendations, this study therefore structures a **range of options** (described in subsequent pages) along a decision tree, visualized below.



Considerations

As established in Part I of this study, the original core purpose of the UW Family Residency program was to:

- Increase the **overall number** of physicians practicing in Wyoming; and,
- Even out the **distribution** of physicians among counties.

In later years, a tertiary purpose evolved:

- Provide **indigent care** to the uninsured.

The first branch of the decision tree addresses the core purpose directly. If it is no longer the State's role to increase the number of physicians in Wyoming, for example, the residency should be spun off or eliminated and the funds reverted or spent on a primary care program (Options H and G). Beyond the core purpose, however, are other pertinent questions that affect the range of options.

For example, if it is the role of the State to increase the number of distribution of physicians within Wyoming, is it important that the state "build" doctors vs. "buy" them? Further, what is the State's willingness to pay to achieve those goals? Does the existing program cost to the State of \$51,000 to \$71,000 per physician per year meet the State's willingness to pay threshold (see page 31)? Do viable alternatives exist to achieve the same goals in a more effective and efficient manner?

Alternative Options

Each of the alternative options on the decision tree is briefly outlined below, in the order they appear on the tree (i.e., not in order of degree of change or preference).

Option H: Close the program and revert State General Funds

If the Legislature determines that it is not the role of the State to increase the number and distribution of doctors in Wyoming, nor to increase access to care through an indigent care program, the UW FMR program should be closed and funds reverted. As shown in Table 6 of Part II of this study, estimated annual savings would be approximately \$9.8 million SGF.

Option G: Close the program, use funds to establish an Indigent Primary Care Program

If the core purpose is no longer valid, but the State continues to have an interest in increasing access to primary care generally, a more efficient demand-side method of providing that access would be a limited healthcare insurance program that could pay for primary care, diagnostic and pharmacy services to uninsured Wyoming adults below 100% of the Federal Poverty Level.

These services could be paid on a fee-for-service basis, capitated or bundled. If bundled -- i.e., by contracting with FQHCs and clinics that maintain a 340(b) pharmacy or work with the prescription drug donation program -- it might be possible for enrolled primary care providers to realize savings on the bundle by controlling specialist referrals, prescriptions and lab work.

Using a rough cost estimate from Wyoming Medicaid per-member per-month (PMPM) costs for a low-income adult analog population in a fee-for-service environment (see Table 22 on the next page), the estimated monthly capitation payment would be approximately \$173. An additional 4% administrative cost is assumed.

Under these assumptions, the \$9.8 million in SGF currently funding the residency programs could cover a population of approximately 4,500 low-income adults with primary care, specialist physician, diagnostic laboratory and radiology, and pharmacy care. This represents approximately 30% of the estimated 15,000 low-income uninsured adult population in the State.

Table 22: Wyoming Medicaid low-income family care adult per-member per-month estimates (SFY 15)

Service	PMPM
Primary care (physicians/PA/NP)	\$63.03
Internal medicine (specialists)	\$17.16
Prescription drug	\$71.71
Federally-qualified Health Center	\$7.41
Rural Health Clinic	\$1.76
Laboratory	\$4.84
Diagnostic radiology	\$6.74
Total PMPM	\$172.65

This estimate, of course, is rough. Along with more detailed actuarial analysis, several policy complications (e.g. who of the 30% get covered?) would also need to be resolved.

Option F: Health provider recruitment/ loan repayment contracts

If the Legislature determines that the core purpose is valid, but that “building doctors” is not as central as “buying providers” generally, better outcomes might be achieved through closing the residency program and funding a primary care provider loan repayment or grant program.

This would allow the State to ensure retention on a short-term basis (through contracts), and more precisely direct providers to the counties of greatest need (i.e., Big Horn, Carbon, etc. as shown in Part I of this study).

It would also allow the State more flexibility in the type of providers being recruited; the State could “buy” Advance Practice Registered Nurses or Physician Assistants, for example. It could also expand the use of telemedicine or invest in other public health efforts.⁶⁸

A related option may be working with the National Health Service Corps (NHSC) to develop more sites in underserved counties for these federally-funded providers.

Some States have pursued even more radical options. In a move opposed by the American Medical Association, for example, the Missouri Legislature in 2014 passed a law to allow unmatched medical students to act as “assistant physicians” (not to be confused with Physician Assistants) for up to two years in order to increase access to primary care in rural areas.⁶⁹ As of yet, no “assistant physician” licenses have been issued, though proposed rules were only promulgated in August of 2016.⁷⁰

However the program is pursued, the average annual per-provider per-year cost would need to range between \$57,000 to \$71,000 in order for the program to be as cost-effective as the status quo. With \$9.8 million in annual funding, the break-even incentive payments could fund a steady-state level of 135 - 170 providers.

The primary disadvantage of this option is that Wyoming would be ‘poaching’ providers from other states, instead of growing its own and contributing to nationwide supply. And, as with other options, there are unresolved policy questions. How would the State determine that a new applicant is truly a new recruitment, for example, instead of just paying someone who would have come to Wyoming anyway?

⁶⁸ Bodenheimer, T.S., & Smith, M.D. 2013. “Primary Care: Proposed Solutions To The Physician Shortage Without Training More Physicians.” *Health Affairs*. 32, 11. pp. 1881-1886. Retrieved from: <http://content.healthaffairs.org/content/32/11/1881.full>

⁶⁹ Lieb, D.A. 16 December 2015. “New laws to ease doctor shortage see long delays, criticism.” *Associated Press*. Retrieved from: <http://www.therolladailynews.com/article/20151216/NEWS/151219203>

⁷⁰ <https://www.sos.mo.gov/CMSImages/AdRules/moreg/current/v41n15Aug1/v41n15b.pdf>

Option E: Hospital administration of residency

If a larger Wyoming teaching hospital is interested in managing the residency program, the best way to reduce the cost to the State for “building” doctors would be to transfer the administration (and, significantly, the reportable costs) of the program to that hospital.

The process of increasing Medicare GME is not straightforward. Along with the complexity of the cost reporting itself, there are statutory restrictions on resident counts and the ability to transfer slots or expand programs. However, if these complexities can be navigated, hospital administration of the program would allow the residency program to receive significantly more Medicare GME (via Indirect Medical Education payments) than it currently receives under its cost-basis FQHC payment structure.

Implementing a Medicaid GME program for teaching hospitals might be a way to encourage this shift in ownership.

Option D: Other entity administration

If no hospital within the State is willing to administer the program, Wyoming could look out-of-State for opportunities to partner with other residency programs. This is ultimately similar to Option E, however, in that any significant federal funds would come in the form of increased Medicare IME payments to a teaching hospital, and this would also have to pass the same statutory and regulatory hurdles.

Option C: Residency consolidation: close Cheyenne

If the Legislature wishes to consolidate or scale-back the program, Part II indicates that the Casper site is performing at a higher level on all indicators, from revenue to graduation rates to retention. This option therefore would close the Cheyenne site and either augment or maintain the Casper site.

Option B: Residency expansion potential

If the Legislature wishes to expand the program, there are options to do so in the absence of PPS hospital participation. Both in-State FQHCs and Critical Access Hospitals, for example, can claim direct GME reimbursement on a cost-basis from Medicare. If desired, Wyoming Medicaid could also build a GME program built into FQHC or CAH reimbursement rates and receive some (likely small) amount of federal matching funds.

Option A: Operational efficiencies

This is the status quo option. If the Legislature believes the core purpose is still valid and the UWFM meets the State's willingness-to-pay threshold to achieve that purpose, then the program should look for operational efficiencies within the existing UWFM budget through quality improvement and process improvement activities.

APPENDIX A: TIMELINE - MEDICAL EDUCATION IN WYOMING

Year	Event	Notes
1949	First formal medical education agreement	<ul style="list-style-type: none"> Wyoming sends first medical students to University of Colorado Medical School.
1950	SEA0007	<ul style="list-style-type: none"> Sen. Anselmi (Sweetwater) introduces legislation authorizing UW to contract with other institutions to provide medical education. Passed and enacted as W.S. § 21-347 with an \$18,000 appropriation, never implemented.
1952	Western Interstate Commission for Higher Education (WICHE) established.	<ul style="list-style-type: none"> "Compact" system; Wyoming students receive equal consideration for application and pay in-state tuition at participating medical schools, in exchange for state subsidy.
1960	WICHE medical workforce study ⁷¹	<ul style="list-style-type: none"> For Wyoming, the study estimated an additional 344 physicians would be required by 1975 in order to maintain 1955 physician-population ratio.
1962	Preliminary UW medical education study (Clarke report) ⁷²	<ul style="list-style-type: none"> Study noted that WICHE arrangements for medical education will not be adequate for Wyoming students by 1970. Recommended creating a two-year medical school.
1964	WICHE study (Faulkner report) on medical education ⁷³	<ul style="list-style-type: none"> Physician shortage is largely in rural areas of the state. Medical education is a major bottleneck, but resources are not sufficient for Wyoming to establish its own medical school. Recommended coordination with other Western states.
1970	Wyoming Higher Education Council report ⁷⁴	<ul style="list-style-type: none"> Recommended that Wyoming not fund its own medical school, but rather look towards collaborating with surrounding states.
1972	Wyoming Medical Society study ⁷⁵	<ul style="list-style-type: none"> Continued shortage of physicians; need a 30% increase to reach national average. Objective of medical education should be increasing the quantity and distribution of physicians and other medical personnel. State resources are sufficient to invest in medical education. The Legislature should authorize a four-year medical education program, admitting first class of 24 students in 1975.
1973	HEA0077	<ul style="list-style-type: none"> Legislature authorizes \$100K for comprehensive study of medical education; UW appoints Dr. Stephen Joseph as Director of Medical Education Planning

⁷¹ "The West's Medical Manpower Needs." Western Interstate Commission for Higher Education (WICHE). 1960.

⁷² "A preliminary study on establishing a two-year medical school at the University of Wyoming." UW Medical Education Committee. 1962.

⁷³ "Opportunity for medical education in Idaho, Montana, Nevada and Wyoming." Faulkner, James and Barrett, Francis. Western Interstate Commission for Higher Education. 1964.

⁷⁴ "Higher education in Wyoming." Newburn and Hall. Wyoming Higher Education Council. 1970.

⁷⁵ "Medical education for Wyoming: imperative for improved health care." Academy for Educational Development (AED). Nov. 1972.

1974	Dr. Joseph Report ⁷⁶	<ul style="list-style-type: none"> Recommended development of comprehensive medical education system (M.D. degree / graduate residency program / continuing medical education).
1974	Medical Education Steering Committee	<ul style="list-style-type: none"> Appointed by Gov. Hathaway. Submits package of recommendations to 1975 Legislature in line with Joseph Report, including establishment of residency programs and planning and development of a four-year medical school.
1975	Chapter 62, Wyoming Session Laws	<ul style="list-style-type: none"> \$395,983 SGF appropriation for Family Medicine Residency Program, part of a larger \$1.8M total appropriation for medical education. Budget in the Governor's Office.
1976	Casper residency established	<ul style="list-style-type: none"> Established as 8/8/8 residency (8 residents per year) Appropriation for medical education increases to \$4.4M. Legislature approves undergraduate medical contract program at Creighton (20 slots) and University of Utah (10 slots), in addition to the WICHE program.
1977	Casper residency accredited	
1978	Special session	<ul style="list-style-type: none"> Legislature rejects creation of four-year medical school at UW, but maintains support for residency program and contract education. Total appropriation increases to \$8M.
1980	Cheyenne residency established	<ul style="list-style-type: none"> Established as a 6/6/6 residency (6 residents per year). Legislature moves medical education budget to UW College of Human Medicine. Appropriation increases to \$13.8M
1982	Cheyenne residency accredited	
1983	UW FMR Legislative report ⁷⁷	<ul style="list-style-type: none"> Initial progress report on residencies. Indigent care first emerges as a major theme. Reported 30% of Cheyenne patients uninsured; 54% uninsured at Casper.
1984	Budget Bill, Section 201(a)	<ul style="list-style-type: none"> Creates committee to review the residencies and the potential for supplemental funding.
1985	Joint Senate Education, Health and Welfare and House Education Interim Committee report ⁷⁸	<ul style="list-style-type: none"> While noting quality of the program, first largely critical report. Estimated net cost of the residencies at \$1.4M for Cheyenne and \$1.2 for Casper, "in excess of 1,000% over estimates originally given to the Legislature [in the 1972 Wyoming Medical Society report]" Lack of affiliation with hospital means that funding limited to clinic revenue and SGF only. Facilities are "attractive, well maintained and elaborately equipped ... [with] what appears to be grossly extravagant audio-visual departments well in excess of the educational needs of the programs." Graduate retention rate of 42% is below expectations. Estimated \$500,000 cost per retained graduate. Physician surplus, citing 1980 GMENAC report. No longer need to recruit physicians to Wyoming.

⁷⁶ "Medical education for community health care: a plan for Wyoming." Joseph, Stephen C. Laramie, WY. June, 1974.

⁷⁷ "Wyoming Family Practice Residency Program: data from the University of Wyoming." Sept. 1983.

⁷⁸ "Report on the Wyoming Family Practice Residency Program." Submitted by: Joint Senate Education, Health and Welfare and House Education Interim Committee. 1984.

1985	UW internal report on the School of Human Medicine. ⁷⁹	<ul style="list-style-type: none"> Concluded that there are no alternative funding sources for the UWFMR programs, beyond State and clinical revenue. An estimated \$400K of Federal GME might be possible if hospitals were involved in funding the residencies.
1988	UW-WMC affiliation agreement ⁸⁰	<ul style="list-style-type: none"> Attempt by UW to share funding/GME revenue received by WMC, with intent to replicate with CRMC if successful. Not implemented.
2000	Casper affiliation agreement with the Community Health Center of Central Wyoming (CHCCW)	<ul style="list-style-type: none"> CHCCW would run clinic operations, residencies would be in charge of teaching. Agreement would permit enhanced Medicare and Medicaid revenue.
2002-2003	Operational crisis	<ul style="list-style-type: none"> Critical consultant report on accreditation, oversight. Resignation of Cheyenne director, low staffing levels, difficulty filling residency slots, reduction of unreimbursed care delivery.⁸¹
2004	Special Session HB 1008	<ul style="list-style-type: none"> Required review of UW FMR. UW requested one-time equipment and furnishings upgrade. UW explores additional GME opportunities through FQHC and through hospital administration.⁸²
2005	UW report to JAC ⁸³	<ul style="list-style-type: none"> Notes that the program in Cheyenne has had difficulty filling residency slots, due largely to low salaries for faculty and family medicine physicians generally. Notes that a 2004 Residency Assistance Program report considered both programs underfunded, but that no other funding streams (e.g. GME) would be available, and that the "residencies will not be self-sustaining."
2005	Budget consolidation	<ul style="list-style-type: none"> New agency (167) created to separate out medical education costs from UW block grant.
2011	CCHW affiliation agreement dissolves	<ul style="list-style-type: none"> UW allocates \$2.3M in one-time funds to support transition to independent operations ACGME notes 11 citations for Cheyenne and 10 citations for Casper.
2013	Latest UW residency report ⁸⁴	<ul style="list-style-type: none"> Recommended various options for alternative funding streams, to include FQHC designation.
2014	FQHC "look-alike" designation	<ul style="list-style-type: none"> FQHC "look alike" designation allows improved payments from Medicare and Medicaid, as well as a small portion of Direct GME.

⁷⁹ "Report on the school of human medicine." University of Wyoming. Ad Hoc Committee, Board of Trustees. Miracle et. al. 1985 (?)

⁸⁰ 1988 Affiliation Agreement for Service. Wyoming Medical Center Grant Proposal. March, 1988.

⁸¹ Timeline from Jan 17-18, 2013 UW Board of Trustees' Report.

⁸² UW Board of Trustees. Minutes. Sept. 23-25, 2004.

⁸³ UW. "Report on Medical Education." Dec. 1, 2004.

⁸⁴ https://www.uwyo.edu/acadaffairs/plans/rcp_uw_famresidprog.pdf

AGENDA ITEM TITLE: Professor of Practice Update, Bostrom

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Trustee Dave Bostrom will provide the Board with information related to Professor of Practice.
Please see additional materials inserted below.

UW REGULATION 5-1 Academic Personnel

A. ACADEMIC FREEDOM

Education flourishes only when academic personnel have both freedom and responsibilities in the conduct of their official duties. These duties include: teaching activities, including extension and outreach; research and other scholarly work; service; and shared governance. Adopting a system of freedoms and responsibilities helps ensure that the university can serve as a forum in which ideas may be examined openly and rigorously, without implying institutional endorsement. Although many of these freedoms are protected by the First Amendment of the Constitution, they also exist as a fundamental requirement of the mission of the university.

The university adheres to the principles of the 1940 "Statement of Principles on Academic Freedom and Tenure," by the American Association of University Professors. The following expresses the meaning of that statement, updated for current values.

Academic freedom in teaching protects the rights of teachers to teach according to their expertise. Teachers are entitled to freedom in discussing their subject. Teachers have a responsibility to ensure that their teaching is effective and consistent with the standards of the discipline, understanding that disciplines may have diverse points of view on any given subject. Teaching may involve controversial material; however, with academic freedom in the classroom, teachers also have the responsibility to respect others' freedom to express disagreement and alternate opinions.

Academic freedom in research is fundamental to the advancement of truth. Academic personnel are entitled to full freedom in research, publication of the results, and other scholarly activities that are part of their employment. Academic personnel have the responsibility to pursue research and scholarship with integrity and fidelity to their profession and the institution.

Academic freedom does not negate the rights of students and the public to disagree with academic personnel's work, although students are expected to learn material with which they may disagree. Nor does academic freedom shield academic personnel's work from the consequences of expert review by colleagues in their field of study, which is essential to the rigorous evaluation of teaching, research, and creative activity.

Freedom in university governance entails the rights of academic personnel to express their judgments about administrative matters that bear on the university's mission. It includes the right to express agreement or disagreement with institutional policies and the positions of others, including university officials. Academic personnel have the responsibility to participate in university governance and service for the maintenance, health and improvement of the institution.

Freedoms of academic personnel also include the ability to invite guest speakers and artists, who are afforded the same academic freedoms and responsibilities of resident academic personnel. Invitation of guest speakers and artists does not imply university approval or endorsement of the expressed views.

When academic personnel speak or write as citizens, they should be free from institutional censorship or discipline. They should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, exercise appropriate restraint, show respect for others' right to disagree, and make it clear that they are not speaking for the institution.

B. FACULTY

1. DESIGNATION

Faculty status shall be granted at the appropriate professorial rank to those individuals engaged in teaching or research in the colleges of the University and to such other groups or individuals as the Trustees may designate. The general qualifications for the various faculty ranks shall be as follows:

- a. Instructors normally shall have a master's degree and preferably at least one year of additional study or professional experience in the field in which the instructorship is granted.
- b. Assistant professors shall normally hold the terminal qualification in their discipline (e.g., Ph.D., Ed.D., MFA, etc.), and shall have demonstrated ability, through appropriate experience, to perform the functions of the position they are to hold.
- c. Associate professors shall normally hold the terminal qualification in their discipline (e.g., Ph.D., Ed.D., MFA, etc.), shall have established a reputation in scholarship, teaching, artistic creation, or other productive activity in the field in which they are to serve.
- d. Professors, in addition to having the qualifications of associate professors, have demonstrated superior performance overall, being highly successful in the following areas where appropriate:
 - 1.) direction of graduate and undergraduate work and research,
 - 2.) scholarship or other creative work,
 - 3.) teaching,
 - 4.) extension,
 - 5.) service to the university as well as other communities and professional organizations, which may include administrative leadership.

- e. Research professor shall be the title granted to persons who have demonstrated superior capacity for research contributions and are employed fully on external research funding; in addition, these individuals must hold the terminal qualification in their discipline (e.g., Ph.D., Ed.D., MFA, etc.). Such appointments shall be only at the professorial rank and for not more than one year in duration; however, one may be reappointed annually by the Trustees subject to a satisfactory annual performance evaluation and the availability of external funding from contracts and grants. Service as a research professor does not entitle one to tenure and its privileges.
- f. Clinical professor shall be the title granted to those employed to teach in health care related programs offered by the University; the college dean and other appropriate academic officers will determine the appropriate academic qualifications and professional experience for these faculty. Such appointments shall be for not more than one year in duration; however, one may be reappointed annually subject to a satisfactory annual performance evaluation and available funding. Service as a clinical professor does not entitle one to tenure and its privileges.
- g. Professor of practice shall be the title granted to persons who have had distinguished careers and have made substantial impact on fields and disciplines that are important to academic programs at the University of Wyoming. The primary function is intended to be instructional; however, duties and responsibilities may also include some research and advising. Such appointments shall be only at the professorial rank and for not more than one year in duration; however, one may be reappointed annually subject to a satisfactory annual performance evaluation and available funding. Service as a professor of practice does not entitle one to tenure and its privileges, nor does it provide an alternative route or structure for conventional tenure track positions.

The general qualifications for faculty designation defined above may be waived or modified at the discretion of the President and the Trustees.

C. FACULTY APPOINTMENT

1. FULL-TIME FACULTY APPOINTMENTS

Faculty members shall be appointed by the Trustees. Recommendations for such appointments shall be initiated by the head of the unit in which the appointment occurs, after full consultation with members of the unit. The recommendations shall then be forwarded through the appropriate academic officers, who shall add their recommendations; the President of the University will then forward his/her

recommendation to the Trustees. No appointment shall be binding upon the University unless accepted in writing by the faculty member within the time specified for response, following action by the Trustees. Appointments shall be for a specified period at the appropriate professorial rank as described in this regulation to be classified as follows:

a. Tenure-Track Appointments

Probationary appointments of tenure-track faculty filling a budgeted vacancy normally will be for one academic year; individuals so appointed will be considered for reappointment annually for the term of the probationary period specified in section D.

However, in appropriate circumstances, appointments may be for up to three years; continuation during the initial multi-year term will be contingent upon satisfactory annual performance evaluations. If one is reappointed at the termination of the full probationary period, s/he will be granted tenure. Credit for prior experience must be specified in the letter of offer and approved by the Vice President for Academic Affairs. In rare circumstances, tenure and tenure-track appointments may be less than full-time positions.

b. Temporary Appointments

Temporary appointments with faculty rank may be made to address specific instructional or research needs. Such appointments shall not be for more than one year in duration; however, temporary faculty may be reappointed annually subject to a satisfactory performance evaluation. Service as a temporary professor does not entitle one to tenure and its privileges.

c. Visiting Faculty Appointments

Visiting faculty appointments to address specific University instructional needs may be extended to faculty members from other institutions or professional persons who possess special expertise. Such appointments may be with professorial rank but shall not be for more than one year in duration; however, a visiting faculty member may be reappointed subject to a satisfactory performance evaluation. Service as a visiting professor does not entitle one to consideration for tenure and its privileges.

2. PART-TIME FACULTY APPOINTMENTS

The appointment of part-time faculty members during the academic year and for Summer Session will be made by the President of the University upon the recommendation of the appropriate academic officers.

3. EMERITUS APPOINTMENTS

Emeritus status may be awarded to those tenured faculty members and extended-term academic professionals who retire after long and distinguished service to the University. Nominations for emeriti status shall be initiated by the department head and/or dean; the nomination shall then be forwarded through the appropriate academic officers, who shall add their recommendations; the President of the University will then forward his/her recommendation to the Trustees.

4. ADJUNCT FACULTY APPOINTMENTS

Adjunct appointments may be made when deemed appropriate to make available to the University, on a limited or part-time basis, the services of persons who have attained recognition in their professional fields of scholarship, creativity, or other distinguished accomplishments relevant to University programs. Such appointments may be with faculty rank or clinical faculty status. Adjunct faculty may include academic personnel in other University departments or colleges as well as those employed outside the institution. Each letter of appointment shall set forth the terms and conditions under which services to the University are to be performed by the appointee. Such appointments provide no financial remuneration.

Adjunct appointments will be made by the Trustees of the University, upon the recommendation of the appropriate academic officers, for a period of not more than three years; however, an individual may be reappointed. Service as an adjunct professor does not entitle one to consideration for tenure and its privileges.

D. FACULTY REAPPOINTMENT, TENURE AND PROMOTION

To hold a position with tenure means that the faculty appointment is not subject to termination or substantial reduction in status without adequate justification as outlined in section E. **DISMISSAL OF FACULTY** below.

Therefore, the reappointment procedures are integrally related to the tenure and promotion decisions of those faculty serving probationary appointments. Only those tenure-track faculty who successfully complete this period and are approved by the Trustees, will receive tenure. An individual who is not offered tenure at the end of the probationary period shall not be retained as a faculty member.

The main criteria for reappointment, tenure and promotion decisions are creative development, advancement of knowledge, and dissemination of knowledge. These criteria may be demonstrated in the University's functions of teaching, research, creative contributions, extension, service to the state of Wyoming, professional service, and other University-related activities and services.

Candidates for reappointment, tenure and promotion are evaluated on the academic functions they are expected to perform and the evaluations will appropriately recognize the proportion of time allocated and expected for the particular functions by the candidates at each professorial rank. In addition, the programmatic needs and directions of the University will also be considered in reappointment and tenure cases.

Procedures concerning the review and reappointment of probationary faculty, as well as tenure and promotion of all faculty, shall be initiated as specified in UW Regulations. These decisions are to occur annually and successively, as specified by the Vice President for Academic Affairs, at the department, college, and University levels; at each administrative level the cognizant University officer will make a recommendation after having been advised by an appropriate faculty committee or group.

The probationary period for tenure decisions is normally based on rank at the time of initial appointment to the University of Wyoming as set forth below:

1. For instructors, the tenure decision will be made no later than the sixth year.
2. For untenured assistant professors, the tenure decision will be made no later than the sixth year.
3. For untenured associate professors, the tenure decision will be made no later than the fourth year.
4. For untenured professors, the tenure decision will be made no later than the third year. Tenure decisions will be considered "early" if the candidate has served fewer years than specified above.

In exceptional cases, a faculty member may request in writing that his/her probationary period for tenure be modified. This request will be forwarded to the Vice President for Academic Affairs after review and recommendation by the department chair and college dean. The Vice President for Academic Affairs will render a decision on the request to modify the probationary period.

The procedures and consequences of mandatory and optional reviews for probationary faculty are specified in UW Regulations.

When an individual on probationary appointment is not recommended for reappointment, the President shall advise the faculty member in writing of this decision at least three months prior to the end of the contract year for those in their first year of service, at least six (6) months for those in their second year of service and at least twelve (12) months for those who have served more than two years at the University. Academic year contracts terminate one week following spring commencement.

The promotion of faculty shall also be initiated in accordance with the procedures specified in UW Regulations. Promotion decisions for assistant professors being considered for

associate rank will normally occur during the sixth year of service; decisions prior to the sixth year will be considered "early." Promotion decisions for associate professors being considered for the rank of professor are not tied to years of service. Instead, they hinge on the depth, level, and national or international scope and recognition of the candidate's contributions to the discipline and the University's mission. Associate professors seeking promotion to professor normally undergo a period of additional growth that results in a greater level of accomplishment and intellectual leadership.

A faculty member who has been offered tenure, and who has refused to accept tenure, can be reappointed annually at the discretion of the department in which this individual holds an appointment; in addition, any such person shall have all rights and responsibilities of tenured faculty members except permanent appointment.

As noted in paragraph B.1., not all faculty members are eligible for tenure. Faculty employed as lecturers in intercollegiate athletics, research professors, clinical professors, temporary, visiting or adjunct faculty, those serving with archivist or library faculty status and officers in the Divisions of Military Science and Aerospace Studies are among those excluded.

Administrative and academic officers do not have tenure in their administrative positions and shall serve in such capacity at the pleasure of the President and/or the Trustees. If they hold concurrent faculty appointments, they may be granted tenure in the faculty position at the discretion of the Trustees. However, no one shall forfeit tenure by reason of appointment to an administrative position.

Reappointment, tenure and promotion evaluations and recommendations shall be communicated to the individual in writing by the dean, or equivalent academic officer, prior to forwarding the information to the Vice President for Academic Affairs Office.

If the faculty member desires to comment upon the recommendation or evaluation, he/she may do so by forwarding written comments to the appropriate University officers. This information will become part of the candidate's tenure and promotion packet.

E. DISMISSAL OF FACULTY

Tenured or extended term faculty members may be dismissed (1) for cause, (2) because of *bona fide* financial exigencies of the University as described in UW Regulation 6-41, or (3) because of program elimination as described in UW regulation 6-43. "Cause" is defined to include physical or mental incapacity (as delimited by federal and state disability law) and any conduct which seriously impairs the ability of the University of Wyoming to carry out its functions. Such conduct includes neglect of duty, falsification, fabrication, or plagiarism, and behavior that leads to a conviction of a felony. Such conduct also includes discrimination as defined by UW Regulation 1-5 and sexual misconduct pursuant to UW Regulation 8-256 and any other related documents and applicable UW Regulations. Proposed dismissals of faculty members for cause must follow the procedures set forth in UW Regulation 5-801. The procedures set forth in UW

Regulation 5-801 do not apply to dismissals of faculty members because of *bona fide* financial exigencies or because of program elimination (see Appendix B to UW Regulation 5-35, which provides a process for hearing the appeal of any faculty member whose appointment is terminated pursuant to UW Regulation 6-41 or UW Regulation 6-43).

During the probationary period, the President of the University may dismiss a faculty member for cause prior to the expiration of the contract period after consultation with the appropriate administrative and/or academic officers. The President, prior to acting may, if he/she determines it to be necessary or desirable, cause an investigation to be made and may order a hearing by the appropriate faculty committee. The procedures set forth in UW Regulation 5-801 do not apply to dismissals of faculty members for cause during the probationary period.

These provisions shall not be interpreted as to constitute interference with academic freedom.

F. ACADEMIC PROFESSIONALS

1. DESIGNATION OF ACADEMIC PROFESSIONALS

Academic professionals hold academic appointments based upon specialized qualifications and specific job descriptions which enable them to fulfill assigned academic duties within the academic community. These personnel engage in activities which extend and support the teaching, research, extension and service missions of the University.

The Trustees shall approve each category of employees (i.e., extension educators, lecturers, research scientists, etc.) who shall be classified as academic professionals. Rank, academic qualifications, and conditions of employment for these groups are outlined in UW Regulations. Academic professionals with extended-term appointments may be awarded emeritus status upon retirement, following the same process as defined for faculty.

2. APPOINTMENT OF ACADEMIC PROFESSIONALS

Academic professionals shall be on either extended-term or temporary appointments; the appointment may be full-time or part-time depending upon the academic unit's needs and resources. Appointment and reappointment of academic professionals shall be made as set forth in UW Regulations.

a. Approval of Extended-Term Appointments

All extended-term appointments, whether full- or part-time involving either probationary or extended-term status, shall be approved by the Trustees.

Recommendations for such full-time appointments shall be initiated by the head of the unit in which the appointment is to occur, after consultation with members of the unit. Recommendations shall then be forwarded through the appropriate academic officers, who shall add their recommendations; the President will make his/her recommendation to the Trustees.

b. Approval of Temporary Appointments

All temporary appointments, whether full- or part-time, shall be made by the President of the University upon the recommendation of the appropriate academic officers.

No appointment shall be binding upon the University unless accepted in writing by the academic professional appointee within the time specified for response following action by the Trustees or the President.

3. EXTENDED-TERM APPOINTMENTS OF ACADEMIC PROFESSIONALS

Extended-term appointments may be full-time or part-time, depending upon the needs and resources of the academic unit. An academic professional hired on an extended-term track will be required to complete a probationary period before receiving an extended-term appointment. The length of the probation -- ranging up to six (6) years -- will be based on duties and responsibilities of the position, proposed rank, prior service and accepted practices in the professional field. Credit for prior experience must be specified in the initial letter of offer and approved by the Vice President for Academic Affairs.

Following a successful performance review at the end of the probationary period and Trustee approval, an academic professional will receive an extended-term, six-year (6) appointment. Extended-term appointees shall undergo the full reappointment review procedure during the fifth (5) year of their extended term.

4. RANK AND PROMOTION OF ACADEMIC PROFESSIONALS

The academic professional rank structure, as specified for each group, provides for the appointment of individuals at levels commensurate with their education and experience upon initial appointment and subsequently provides promotion ladders which recognize and reward professional performance.

At the time of appointment, the appointing authority (Dean/Director) will recommend the appropriate rank commensurate with the duties and responsibilities of the position and the qualifications of the individual.

Upon satisfying the criteria for promotion as set forth in the appendix appropriate to this appointment, the individual candidate is responsible for initiating the promotion review process as outlined in UW Regulations.

5. DISMISSAL OF ACADEMIC PROFESSIONALS

Academic professionals, whether on a probationary, extended-term or temporary appointment, may be dismissed (1) for cause, (2) because of *bona fide* financial exigencies of the University as described in UW Regulation 6-41, or (3) because of program elimination as described in UW Regulation 6-43. "Cause" is defined to include physical or mental incapacity (as delimited by federal and state disability law) and any conduct which seriously impairs the ability of the University of Wyoming to carry out its functions. Such conduct includes neglect of duty, falsification, fabrication, or plagiarism; and behavior that leads to a conviction of a felony. Such conduct also includes discrimination as defined by UW Regulation 1-5; and sexual misconduct pursuant to UW Regulation 8-256 and any other related documents and applicable UW Regulations. Proposed dismissals of extended-term academic professionals for cause must follow the procedures set forth in UW Regulation 5-801.

During the probationary period, the President of the University may dismiss an academic professional employee for cause prior to the expiration of the contract period after consultation with the appropriate administrative and/or academic officers. The President, prior to acting may, if he/she determines it to be necessary or desirable, cause an investigation to be made and may order a hearing by the appropriate faculty committee. The procedures set forth in UW Regulation 5-801 do not apply to dismissals of academic professional employees for cause during the probationary period or those on temporary appointment.

These provisions shall not be interpreted as to constitute interference with academic freedom.

G. VACATION AND LEAVE FOR FACULTY, ACADEMIC PROFESSIONALS, AND UNIVERSITY OFFICERS

1. VACATION LEAVE

Full-time faculty, academic professionals (excluding post-doctoral personnel) and University officers on a fiscal year contract are entitled to twenty-two (22) working days of Vacation Leave annually accrued at the rate of 1.834 working days per month. Vacation Leave credits may not accrue beyond the maximum amount which may be earned over two (2) years.

Part-time faculty, academic professionals and University officers on a fiscal year contract shall accrue Vacation Leave based upon a pro rata basis in accordance with the percentage of appointment up to a maximum of 100 percent. Thus, for example, one working three-fourths time earns Leave at 75 percent of the rate of full-time personnel.

Faculty, academic professionals and University officers whose working term is less than twelve (12) months, regardless of the fact that their salaries may be paid in twelve (12) monthly installments, are not entitled to Vacation Leave with pay.

Academic personnel converting from fiscal to academic year appointments will utilize their Vacation Leave prior to assuming their academic year appointments in lieu of a lump-sum payment.

Employees terminating for all reasons other than disciplinary may elect a lump sum payment and/or Terminal Vacation Leave; an employee released for disciplinary reasons must take the accrued Vacation Leave in a lump sum payment. No other type of Leave may be used during Terminal Vacation Leave except Holiday Leave. Dates for Vacation Leave shall be approved by the appropriate administrative supervisor.

2. LEAVES OF ABSENCE

a. Emergency or Short-term Leave With Pay

When one finds it necessary to be absent from regular duties at the University for a period not exceeding two (2) weeks, she/he shall secure approval from the immediate supervisor for the absence. A temporary Leave for more than two (2) weeks, but not to exceed four (4) weeks, may be granted for good cause upon written recommendation of the appropriate administrative superior and with the approval of the President.

An individual making application for such Leave should submit a statement suggesting a plan for carrying on his/her work during the absence. Any Leave in excess of four (4) weeks, except for illness, shall require approval by the Trustees.

b. Leave Without Pay

Upon recommendation of the appropriate administrative and/or academic officers and with the approval of the President of the University, Leaves of Absence Without Pay may be granted to academic personnel by the Trustees for a period normally not in excess of one (1) contract year. Arrangements for continuance of insurance coverage should be made with the Office of Human Resources.

c. Faculty Sabbatical Leave

Sabbatical Leave may be granted to any tenured member of the University faculty for the purpose of increasing the recipient's professional competence and usefulness to the University. Sabbatical Leave time may be used for enhancement of teaching, research, writing, and/or study at a place of the recipient's choosing. University personnel holding faculty rank whose duties are primarily administrative in nature shall also be eligible for Sabbatical Leave.

A minimum of six (6) years of academic service at the University must precede each period of Sabbatical Leave although no right accrues automatically through lapse of time. The granting of such Leave is, in each case, within the discretion of the Trustees upon the recommendation of the President. Sabbatical Leaves shall ordinarily not be available for the purpose of seeking an advanced degree. Individuals initiate their request for Sabbatical Leave during the Fall semester preceding the academic year for which the Leave is requested. The request, which shall contain a statement concerning the purpose for which the Leave is requested, shall be forwarded to the President of the University through the appropriate administrative and/or academic officers, with a recommendation from each attached.

Sabbatical Leaves will normally be granted for either a full or half contract year. Leave for a full contract year shall be compensated at a rate equal to sixty (60) percent of the faculty member's annual salary; Leave for a half contract year shall be compensated at the annual rate for the limited period. No faculty member shall receive supplemental salary from the University during the sabbatical period.

While on a full contract year Sabbatical Leave -- whether an academic or fiscal year -- outside compensation in the form of grants, contracts and other forms of funding may be accepted. However, in the event that a faculty member receives more than 40 percent of his/her salary from outside sources, the University will reduce its compensation so that salary monies received from University and external sources will total no more than 100 percent of base salary during the period of Leave.

If allowances for travel and other expenses directly related to the Leave are included in the outside grant or contract, the amount of these allowances may be disregarded in computing the contribution to be made by the University.

A faculty member who fails to return to the University for at least one academic year immediately following his or her sabbatical leave shall owe to the University an amount equal to his or her net salary applicable to the term of the sabbatical leave. For this purpose, net salary is defined as gross salary minus tax withholdings and pre-tax deductions for UW's basic health, life, and retirement benefits.

d. Academic Professional Development Leave

Academic professionals on extended-term appointments who have completed a minimum of six (6) years of academic service at the University shall be eligible for Professional Development Leave. The purpose of Professional Development Leave will be to enhance performance, to conduct special studies, or in some other way to undertake planned activities related in a substantial manner to the individual's role at the University. Procedures for applying for such Leave, funding requirements and approval processes are outlined in UW Regulations.

3. SICK LEAVE

Full-time academic personnel, appointed either on a continuing or temporary basis, are eligible to accrue Sick Leave at a rate of eight (8) hours per paid month of service. Paid Sick Leave may be used for absences from duties due to illness, injury, pregnancy and/or childbirth, death in family or medical care of family.

Part-time academic personnel appointed either to a continuing or temporary position shall accrue Sick Leave based upon a pro rata basis in accordance with the percentage of appointment up to a maximum of 100 percent. Thus, for example, one working half-time earns Leave at 50 percent of the rate of full-time employees.

An employee may also use up to six weeks of accrued or donated Sick Leave for the birth of a child and first year care of a child as well as for an adopted or state-placed foster child's care within the first year of placement.

Faculty, academic professionals or University officers are not eligible for Sick Leave until s/he has been in the employ of the University for one (1) month. Faculty, academic professionals and University officers are entitled to accrue an unlimited amount of Sick Leave.

University policy permits benefited employees to donate Sick Leave to assist another experiencing a long-term illness. If one is in an active pay status, and has accrued a minimum of eighty (80) hours of Sick Leave, he or she may donate up to sixteen (16) hours of Sick Leave per calendar year to any benefited University employee; the recipient must have an immediate and reasonable need for such assistance, have exhausted his/her available Sick and Vacation Leave and, finally, have a minimum of six (6) months of current continuous benefited service to the

University. The Office of Human Resources will provide information on procedures for donating Sick Leave.

4. FAMILY AND MEDICAL LEAVE

After twelve (12) months of service, benefited employees are eligible for twelve (12) weeks of unpaid Family and Medical Leave in any twelve (12) month period of service. All other non-benefited employees are eligible for twelve (12) weeks of unpaid Family and Medical Leave in any twelve (12) month period if the employee has worked for at least twelve (12) months and for at least 1,250 hours during that time before the Leave request.

Family Leave may be taken because of the birth or placement of a child with the employee. Medical Leave may be taken to care for a spouse, child, or parent if they have a serious health condition or because of a serious health condition that makes the employee unable to perform his/her job functions.

Any questions concerning what is considered a serious health condition should be directed to the Office of Human Resources.

Employees accruing University Vacation and Sick Leave may elect to substitute any part of their accrued Vacation Leave for any part of their twelve (12) weeks of unpaid Family or Medical Leave. However, they will be required to use their Sick Leave, and any donated Sick Leave, when the Leave is for a serious health condition or to care for a sick family member; any remaining portion of the twelve (12) weeks can be taken as Leave Without Pay.

Leave Without Pay taken under unpaid Family or Medical Leave does not require an employee to utilize Vacation Leave prior to Leave Without Pay. When Family Leave is taken, employees may not substitute paid Sick Leave for unpaid Family Leave.

The right to Family Leave usually expires twelve (12) months after the birth or placement of a child with the employee. Family Leave should be taken consecutively unless other arrangements are approved by the employee's appointing authority.

The Human Resources Director, or the employee's appointing authority, shall require certification issued by a health care provider to support an employee's request for Medical Leave. Certification shall include a statement of:

- a. The date the condition began;
- b. Expected date when medical treatment will begin;

- c. Probable duration of the condition;
- d. Appropriate medical facts;
- e. An assertion that the employee is needed to care for a sick family member for a specified time; and
- f. A schedule of the Medical Leave to be taken.

Employees are expected to give their immediate supervisor at least thirty (30) days advance notice of the intent to take Family or Medical Leave, unless such notice is not practical. Employees should try to schedule planned medical treatment so as to create a minimum disruption for their unit or department. They are also encouraged to report to their supervisor on a monthly basis about their progress and intent to return to work at the end of the Leave.

Employees returning from unpaid Family and Medical Leave, in accordance with the federal act, have the right to be returned to their former job position or they may be placed in an equivalent position with equivalent benefits, pay, and other terms and conditions of employment.

State health insurance contributions will be made for all eligible employees who have elected coverage. Employees retain all accrued benefits while on Leave. Employees should direct benefit questions to the Human Resources Department.

Employees who do not return to work after their unpaid Family or Medical Leave entitlement has expired will be required to reimburse the University for any health insurance premium paid by the University during the period that the employee was on Family or Medical Leave if the failure to return to work is not due to the continuation, recurrence, or onset of a serious health condition entitling the employee to Leave or other circumstances beyond the employee's control. In the event that an employee is unable to return to work for health care reasons, s/he will provide the Human Resources Director with certification from the appropriate health care provider.

5. BEREAVEMENT LEAVE

Employees shall be granted up to three (3) days of Bereavement Leave upon the death of a family member or spouse's family member. (This includes and is limited to parent, spouse, child, sibling, grandparent, grandchild, son-in-law, daughter-in-law, or another member of your immediate household.) This Leave shall be used before the use of any other Leave authorized for this purpose. Arrangement for this Leave shall be made with the employee's immediate supervisor.

Source:
Trustee Regulation V; adopted 7/17/08 Board of Trustees meeting

Revisions adopted 9/17/10 Board of Trustees meeting
Revisions adopted 11/15/13 Board of Trustees meeting
Revisions adopted 9/12/14 Board of Trustees meeting
Revisions adopted 3/25/15 Board of Trustees meeting

AGENDA ITEM TITLE: Residence Halls Discussion, Nichols/Axelson/Eric Webb/Mai

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Aligned with the enrollment growth initiatives, discussions and planning has occurred over the last few years to add suite style housing to the mix of residence hall options for new freshmen. At the November Board of Trustees meeting, a discussion will include a progress report on visits to other universities to see competitive new housing options, short and long-term planning, current state occupancy and financials of residence life and dining, previous planning efforts, and financing considerations.

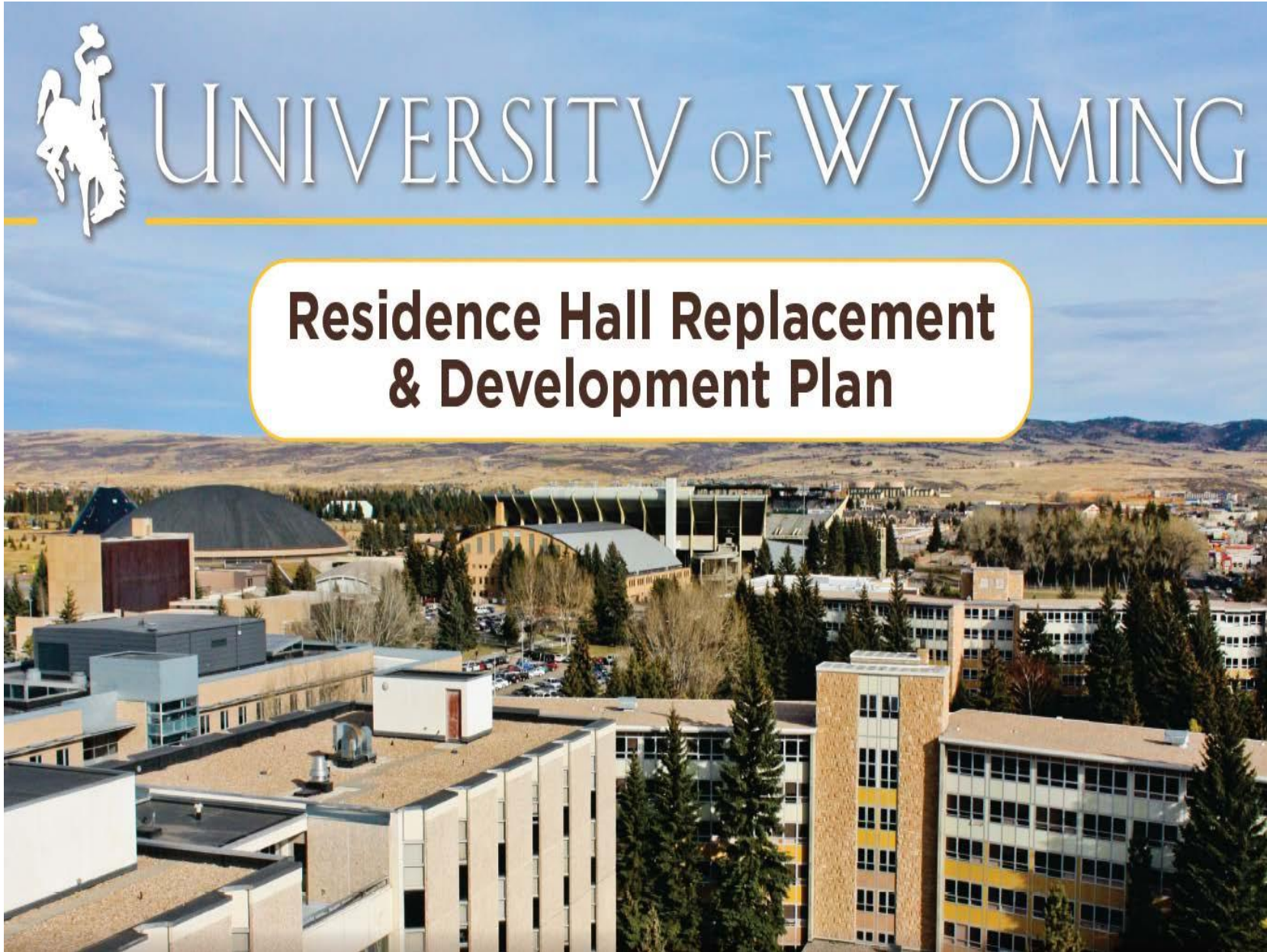
WHY THIS ITEM IS BEFORE THE BOARD:

This discussion is to engage the Board of Trustees in policy direction for residence hall planning.



UNIVERSITY OF WYOMING

Residence Hall Replacement & Development Plan



University of Northern Colorado



South Dakota State University



Colorado State University Laurel Village



University of Northern Colorado Suite Style Room



University of North Colorado Living Space in Suite



University of Northern Colorado Game Room in Residence Hall



South Dakota State University Honors College Lounge



Current UW Residence Hall Configuration



AGENDA ITEM TITLE: Strategic Enrollment Plan, Axelson/Alexander/Rose Martinelli

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

As was communicated to the Board of Trustees in July, the University of Wyoming is engaged in Strategic Enrollment Planning to increase the enrollment of the university over the next five years. The planning is aligned with the Strategic Planning of the University that is in progress.

UW has many foundational building blocks that can be built upon in the coming years. Providing our students with access to a world-class education and student success support remains the guiding principle for the University. Helping UW reimagine enrollment planning and management processes – including recruiting and retention and involving the entire university community in helping with enrollment growth – is vital to UW's future.

A university-wide Strategic Enrollment Management Task Force has convened twice with external consultant Rose Martinelli with the Huron Consulting Group. Ms. Martinelli brings substantial enrollment management expertise along with other colleagues from the Huron Consulting Group to develop a Five-Year Student Enrollment Management Plan for the University. The plan will be finalized and submitted to the Board of Trustees in March.

The scope of services for the Huron Consulting Group includes three phases along with reviewing and assisting with the fall 2017 enrollment growth plan. Phase I includes a diagnostic of current state opportunities and challenges, with a new student recruitment assessment, a market demand analysis, and a retention diagnostic. Phase II involves an assessment of organization and resources requirements, including an organization assessment, review of transfer admissions and onboarding, and providing an inventory of retention activity. Phase III is the development of the Five-Year Student Enrollment Management Plan.

Ms. Martinelli will attend and describe the planning process and outcomes at the November Board of Trustees meeting.

WHY THIS ITEM IS BEFORE THE BOARD:

This information is presented to the Board of Trustees to provide an update on enrollment planning.

AGENDA ITEM TITLE: Modification to Trustee Scholars Award, Axelson

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other

Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

In order to realize aggressive growth for fall 2017 and more heavily recruit high ability freshmen and transfer students in Wyoming and out of state, the Offices of Financial Aid and Admissions are awarding scholarships to new freshmen and transfers students during October, November and December.

Currently the Trustees Scholars award, offered to Wyoming's highest achieving freshmen, is rapidly expanding beyond the funds available. The award cost \$3.5M in 2015-16 and projections show the cost at \$4.1M by 2020-21; only \$2.8M is budgeted.

We are requesting Board of Trustees approval for incoming fall 2017 and future year recipients to:

1. Require room and board funds to be used on-campus in the residence halls, Washakie Dining Center, the campus apartments, and in the on-campus Fraternity and Sorority houses instead of received in cash during the 2nd, 3rd, and 4th years.
2. Allow Trustees Scholars to choose the meal plan of their choice without the option to receive cash back if a smaller-than-unlimited plan is selected.

The changes to the Trustee Scholars program allows for broad awarding to Wyoming high achieving students and maintains the fiscal parameters of the scholarship resources.

WHY THIS ITEM IS BEFORE THE BOARD:

To seek approval for the changes to the Trustee Scholars Award.

ACTION REQUIRED AT THIS BOARD MEETING:

Board approval or disapproval or the recommended modifications to the Trustee Scholars Award.

PRESIDENT'S RECOMMENDATION:

The President recommends approval.

AGENDA ITEM TITLE:

UW Regulations Related to Residence Halls, Axelson

[Note: UW Regulations 2-178 and 1-102 related to Residence Halls]

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The Huron Performance Improvement draft recommendations include an analysis and recommendation to increase utilization in both the residence halls and apartments by revising residential policies. The proposed policy changes have been reviewed by ASUW, Faculty and Staff Senates, and the Residence Hall Association. The following recommendations and changes to University Regulations reflect and expand on the Huron recommendations.

The proposed changes include:

University Regulation 2-178-VI-B

Revise the University Regulation to allow for pet friendly on-campus apartments. This change will provide for pet friendly apartments in addition to the policies that currently provide for service animals and emotional support animals. Allowing pets will provide for more competitive offerings with other universities and off-campus apartments, by adding designated pet friendly apartments in the UW apartments. The designation will include policies and procedures to insure a positive living experience and healthy environment for students and pets.

University Regulation 1-102, Attachment E

Make changes to the live-in policy for the Residence Halls. Change the 60-mile radius exemption to live off campus to 30 miles. Delete provision in current University Regulation that allows freshmen to live on property purchased by parents(s) or legal guardians(s) while attending UW during their freshmen year. Both changes support student academic success and integration on campus and support financial viability of the residence halls now and as we develop for the future.

WHY THIS ITEM IS BEFORE THE BOARD:

UW Regulation 1-101 requires that any modification to UW Regulations must be approved by the Board.

ACTION REQUIRED AT THIS BOARD MEETING:

Board approval or disapproval of the recommended modifications to the Regulation.

PRESIDENT'S RECOMMENDATION:

The President recommends approval.

UW REGULATION 2-178
Use of University Buildings, Grounds and Services

I. POLICY

It is the policy of the University of Wyoming to permit the use of University buildings and grounds and equipment by internal and external users, as defined within this policy, if such use is consistent with the University's primary purposes, i.e. instruction, research and public service. The University retains the right to determine which activities are consistent with its primary purposes.

II. TYPES OF USE

- A. Internal vs. External Users.** The types of uses permitted may depend on whether the person seeking to use the space is considered an "internal" user or an "external" user. Categorization of whether one is an "internal" or "external" user under this Regulation is solely determined by the University.
1. "Internal users" include: Academic or administrative departments or units of the University; Student organizations recognized by the University pursuant to UW Regulation 8-234; Faculty and staff of the University, active or retired; Organizations formally affiliated with the University, such as the University of Wyoming Foundation and University of Wyoming Alumni Association.
 2. "External users" include persons, entities or organizations other than those defined as "internal users," whose activities are consistent with the University's primary purposes.
- B. Use of Assigned Space for UW Colleges and Departments.** University buildings and space assigned or reassigned to deans of individual colleges or to administrative officers of other individual units shall be used exclusively for University instructional, research and service functions, or for purposes authorized in this Regulation. UW Regulation 2-181 sets forth the process for reallocation or change in assigned spaces.
- C. Use by Internal Users for non-University Purposes.** University buildings and grounds and equipment shall not be used by an internal user for personal or private purposes unrelated to University purposes. Internal users who are using University buildings or grounds or equipment as a private citizen may have use of said buildings, grounds or equipment as an external user but only in accordance with the procedures set forth in this Regulation. Use of University buildings and equipment by internal users for outside consulting is permitted only in accordance with Presidential Directive 2-1996-1 and the applicable policies set forth by Academic Affairs.

- D. **Emergencies.** University buildings and grounds may be used during a natural disaster or state or local emergency when authorized by the President or President's designee, as specified in any applicable Memorandums of Understanding or contracts with other entities, or as set forth in Wyoming or Federal law.
- E. **Prohibited Uses By External Users.** The University shall not, except by written authorization of the President of the University, or designee, make University buildings and grounds available to external users for the following uses or activities:
 - 1. Any interests operated primarily for profit, such as but not limited to private, personal or commercial interests;
 - 2. Sales, solicitation, advertising, and promotional activities; external users who seek to publicize activities or advertise events may only use specifically designated University bulletin boards and should contact the applicable departmental offices to seek advanced written approval for any type of posting;
 - 3. Political campaigning by, or for, candidates who have filed for public office; and
 - 4. Political campaigning for ballot measures.
- F. **Filming and Photography.** Use of University buildings and grounds for filming and photography is permitted in accordance with the UW Filming and Photography Policy as posted on the University of Wyoming Division of Administration website.

III. SCHEDULING

- A. The following process and rules apply to use of University buildings and grounds, as applicable, by internal users:
 - 1. Use of University buildings and grounds, as applicable, must be scheduled in accordance with all applicable University Regulations and policies, including but not limited to the process and procedures set forth in the Central Scheduling Policy posted on the University Central Scheduling website.
 - 2. Normal operating hours of administrative and academic department offices are 8:00 a.m. to 5:00 p.m., Monday through Friday. Summer operating hours of administrative and academic department offices are 7:30 a.m. to 4:30 p.m., Monday through Friday. Individual departments and units may also set their individual normal operating hours outside of those listed above as defined by that department or unit.

IV. FEES

- A. Users may be assessed fees, charges and/or deposits for use of University buildings and/or grounds, as set forth in the University Fee Book or applicable Presidential Directives.
- B. Any request for a reduction or waiver of any portion, or all, of a fee, charge or deposit shall be submitted to the Vice President for Administration, who shall make the final determination.

V. ALTERATIONS OR IMPROVEMENTS

Internal and external users are expressly prohibited from making any alterations or improvements or performing maintenance to University buildings or grounds. All construction, alterations, improvements or maintenance to University buildings or grounds shall be performed exclusively by, or through, the University Physical Plant or the Facilities Planning Office. All alterations or improvements or maintenance shall be requested through Physical Plant in the process set forth on the Physical Plant website. University departments, employees or offices authorizing or permitting any alterations or improvements to University facilities in violation of this directive shall be responsible for all subsequent costs resulting from such unauthorized alterations or improvements.

VI. CONDITIONS OF USE

All persons or groups, whether internal or external, using University buildings, grounds or equipment shall follow all University Regulations and applicable city, county, state or federal ordinances and statutes. In addition, the following conditions apply to all use of University buildings and grounds and equipment:

- A. **Access to Public versus non-public areas of the University.** University faculty, administrative and staff personnel, and students are permitted access to public areas of the University and, when engaged in a University-authorized or assigned activity, to non-public areas of the University. Members of the general public who are not University employees or students are permitted access to the public areas of the University, provided such access is consistent this Regulation. Members of the general public who are not University faculty or administrative or staff personnel or students are prohibited from use of non-public areas of the University, except upon authorization of the person-in-charge.
- B. **Animals.** University employees, students, and members of the general public are prohibited from bringing any animal, including but not limited to, dogs, cats and birds, into University buildings. However, animals are permitted in University buildings as follows:
 - 1. Individuals who are legally disabled, and whose disability requires the use of a service animal; or

2. Individuals who are legally disabled who have been approved pursuant to the University process allowing an emotional support animal to be present only in University-owned housing; or

3. Individuals who are engaged in an authorized University instructional, research, public service or athletic activity requiring the presence of animals.

3.4. Individuals who reside in University housing facilities that have been specifically designated by the University as pet friendly. The Vice President for Students Affairs, or designee, is responsible for establishing and administering policies and procedures governing the Pet Friendly Housing Policy.

- C. **Bicycles, motorcycles, mopeds, scooters, skateboards, and roller skates.** University employees, students, and members of the general public are prohibited from operating, using, or storing any bicycles, motorcycles, mopeds, scooters, skateboards, roller skates or other similar devices in a University building, except when expressly permitted by the Vice President for Administration or designee. Use of bicycles and non-motorized vehicles is subject to the parameters set forth in UW Regulation 2-179.
- D. **Dangerous weapons.** No dangerous weapon may be stored or carried in or upon University facilities. Any person carrying a dangerous weapon in a University facility is required to relinquish the weapon to the UW Police Department voluntarily or upon request. The weapon will be returned when the person leaves the University facility, unless the UW Police Department determines that the weapon should be retained in an investigation. If a person carrying a dangerous weapon refuses to relinquish the weapon, the person shall be denied access to University facilities. Nothing in this paragraph prevents the carrying of weapons for the following reasons: (1) by authorized Peace Officers as defined and authorized by Wyoming Statutes; (2) by individuals directly transporting weapons to and from the weapons storage facility; or (3) pursuant to official University business and University-approved activities, including activities conducted by ROTC cadets under the direct and immediate supervision of ROTC faculty members, activities conducted by registered student organizations with the written permission of the Vice President for Student Affairs; and other University activities with the written permission of the responsible vice president. University students, faculty, and staff may be subject to disciplinary action for violation of this paragraph, up to and including termination. All persons violating this paragraph may also be subject to criminal sanctions in accordance with Wyoming law.
- E. **Equipment and Services.** Internal and external users authorized to use University buildings are required, except as otherwise authorized by the Vice

President for Administration or designee, to utilize University services and equipment when using University buildings. The University may impose reasonable restrictions on the use of such services and equipment when such restrictions are necessary to avoid interruption of the University's primary functions.

- F. Right to reassign or substitute Buildings or Grounds.** The University reserves the right to impose such requirements on the use of University buildings and grounds as it may deem necessary and reasonable and reserves the right to reassign or substitute buildings or grounds as available and in the best interests of the University.
- G. Sound amplification.** Sound amplification is permitted at all times in University buildings and on University grounds during the hours of 11:45 a.m. to 1:00 p.m. and 5:00 p.m. to 6:00 p.m., provided that the written authorization for the event, indoors or outdoors, includes approval for an internal or external user to use sound amplification. The University may grant exceptions to this directive through the Vice President for Administration or designee.

VII. SANCTIONS

Failure of an internal or external user to comply with the provisions of this Regulation may, at the University's sole discretion, result in a cancellation of authorization to use University buildings, grounds or equipment, in a loss of scheduling privileges, or in disciplinary sanctions pursuant to UW Regulations and policies.

VIII. ADMINISTRATION

The Vice President for Administration, or designee, is the University administrative officer responsible for the implementation of this Regulation.

Source:

University Regulation 178, Revision 2; adopted 7/17/2008 Board of Trustees meeting

Revisions adopted 9/12/2014 Board of Trustees meeting

Revisions adopted 6/15/2016 Board of Trustees meeting

UW REGULATION 2-178 APPENDIX

DEFINITIONS

For purposes of this Regulation, the following definitions shall apply:

- A. **"Alterations"** means physical modification of buildings or grounds that include, but are not limited to altering the use or function of a space or altering electrical, plumbing or heating, ventilation or air conditioning systems within a space or modifications to and/or additions of walls.
- B. **"Building"** means buildings or structures or portions thereof, owned or leased by the Trustees of the University.
- C. **"Dangerous weapon"** includes any firearm, explosive, paintball gun, airsoft gun, taser or other electronic restraint device, sling-shot, mace or pepper spray container in excess of 1 ounce, knife (blades 3" or longer except in the apartments or for cooking purposes only), precursor for explosives, brass knuckles, blowgun, dart gun, bow, arrow, and martial arts weapons, including but not limited to a star, sword, nun chuck, and club.
- D. **"Equipment"** means all personal property, whether fixed or movable, owned, leased, or controlled by the Trustees of the University.
- E. **"External users"** means persons, entities or organizations other than those defined as "internal users," whose activities are consistent with the University's primary purposes.
- F. **"Grounds"** means all real property, other than buildings, owned or controlled by the Trustees of the University.
- G. **"Improvements"** means cosmetic changes to buildings, including, but not limited to, drilling or nailing into any surface, painting, paneling, and installing carpeting.
- H. **"Internal users"** means:
 - 1. Academic or administrative departments or units of the University;
 - 2. Student organizations recognized by the University pursuant to UW Regulation 8-234;
 - 3. Faculty and staff of the University, active or retired; or
 - 4. Organizations formally affiliated with the University, such as the University of Wyoming Foundation and the University of Wyoming Alumni Association.

- I. **“Maintenance”** means efforts to keep buildings, grounds, equipment, and systems functional.
- J. **“Non-public areas”** means University facilities not generally open to the public, including but not limited to: classrooms; laboratories; research areas; gymnasias; physical education or intercollegiate athletic exercise areas; child day care areas; faculty, administrative staff, or student offices; conference rooms; seminar rooms; lounges; storage areas; parking facilities; mechanical, information technology or electrical rooms; areas containing hazardous waste or energy; or other similar areas restricted to University faculty, staff or students.
- K. **“Person-in-charge”** means an employee of the University or appropriate designated person authorized by the University to direct or administer any activity of the University, including but not limited to a Department Head, Dean, Director, or Vice President.
- L. **“Public areas”** means University facilities that are generally open to the public, as indicated by their physical nature, function, custom or usage.
- M. **“Services”** means activities performed by the University for or by students, staff, faculty, administration or the public in connection with instruction, research and service. It includes, but is not limited to, services such as audio-visual services, computing, copying, telephone, addressing, food service, services for residence halls or University apartments, scheduling and janitorial services, or similar activities.
- N. **“University”** means the University of Wyoming.

ATTACHMENT E TO UW REGULATION 1-102 New Student Live-In Policy

Policy

The University of Wyoming Board of Trustees requires all incoming new students to live in the residence halls their first academic year on campus and to contract for a minimum of a 12-accesses-per-week dining plan.

Possible reasons for exemption include:

1. Student is 21 years of age or older;
2. Student is married;
3. Student is a single parent with custody of child;
4. Student plans to live in Laramie (or within a ~~60-30~~ mile driving distance from Laramie) at home with parent(s), ~~grandparent(s), sibling(s),~~ or legal guardian(s) while attending UW;
- ~~5. Student will live on property purchased by parent(s) or legal guardian(s) while attending UW;~~
- ~~6-5~~ Student has completed two semesters as a full-time student, or the equivalent credit hours, at a prior university or college (24 credit hours);
- ~~7-6~~ Student has a medical condition that is directly related to living in the residence halls and/or eating in Washakie Dining Center (student must provide documentation which explains why the condition cannot be accommodated by the residence hall or dining room facilities).

Appeals

A University committee of faculty, staff, and/or students will be established to address student appeals to the New Student Live-In Policy.

AGENDA ITEM TITLE: UW Reserve Policy and Cash Balances, McKinley

CHECK THE APPROPRIATE BOX(ES):

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

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Trustee John McKinley will update the Board on the UW Reserve Policy and cash balances.

AGENDA ITEM TITLE:

Response of the Financial Crisis Advisory Committee to the FY18 Budget Reduction Plan, Bieber

CHECK THE APPROPRIATE BOX(ES):

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

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Financial Crisis Advisory Committee Chair Stephen Bieber will present information regarding the FY18 Budget Reduction Plan.

AGENDA ITEM TITLE: FY18 Budget Reduction Plan, Nichols

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

University President Laurie Nichols will update the Board on the FY18 Budget Reduction Plan.
Please see materials inserted below.

A Plan for Budget Reduction at the University of Wyoming for the FY17-18 Biennium *October 2016*

For well over 100 years, the University of Wyoming has met many challenges and overcome obstacles in fulfilling its land grant mission of providing accessible and affordable education to the residents of the State of Wyoming. The most recent series of budget reductions have presented new challenges and obstacles, and have caused some to question the resolve of the institution to continue in its long-standing tradition of combining strong teaching with excellent research to offer programs of superior quality both on campus and through outreach. It is hoped that the proposed plan will alleviate this concern.

In May 2016, Governor Mead asked UW to cut \$35 million from its budget for the 2017-2018 biennium. As a consequence of this action, UW Regulation 6-41 was activated and the Financial Crisis Advisory Committee was formed. The committee comprised administrators, faculty, staff and an ASUW representative. Its charge was to assist the President in the development of a financial crisis plan to reduce the FY2018 budget by at least \$10 million. This amount is beyond that proposed for reduction in FY2017. The goal was to develop a plan that preserved the integrity of the University while not requiring the termination of tenured faculty.

The committee met with multiple constituencies across campus during the summer and early fall of 2016. It was not always an easy process. However, the committee was impressed by the willingness of so many members of the UW community to sacrifice personal and unit interests for the welfare of the institution, to commit to students and their success, and to place their trust in the future of UW. This plan is hopefully a reflection of their spirit, determination, and hope.

The actions taken to reduce the FY2017 budget have had a dramatic impact on the University and the recommendations for reductions to the FY2018 budget will further exacerbate the problem. The FCAC has made every effort to develop a plan that protects students and their educational experience, is flexible, and accomplishes its charged goal.

Fortunately, a strategic planning process has begun which will help the University make the necessary adjustments required to accommodate these reductions and to ensure continued ability to meet its land grant mission.

In addition to the plan, the FCAC considered revenue enhancement opportunities and a separate committee was formed to develop such a proposal. The work of this committee will be forwarded to the University community and to the Trustees separately.

Guiding Principles

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. 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. These aspirations will be central to the decisions on how UW will respond and adapt to reduced State support. Below are principles that will guide the development of budget reduction plans.

Staying True to our Mission

- Budget reductions should have minimal impact on student success including recruitment/access, retention, persistence, transfer ease, and timely completion of degree.
- UW will continue to place the quality of academic programs, both at the graduate and undergraduate level as the highest priority. Our most enduring legacy is its graduates, who use their education to better their lives, our state, and the world around them.
- UW will endeavor to maintain excellence in research, scholarship and creative activity that contributes to the state's economy and enriches society.
- UW will preserve its statewide presence through outreach, extension and UW athletics.

Essential to our Core

- UW will strive to attract, retain, and reward high quality employees who contribute to a diverse campus community.
- The safety and health of students, faculty, staff or visitors, or UW's compliance with applicable laws will not be compromised.
- The ability of the University to perform essential operation or maintenance of the physical plant will be maintained.

Cost savings and Revenue enhancing opportunities

- As the University works to address reductions in state funding to the University, it must also increase private support and explore entrepreneurial opportunities to diversify and grow other revenue streams.
- UW will emphasize cost savings through driving inefficiencies out of the University's operations.

Process

- The University will be as transparent as possible in dealing with budget reductions and provide on-going communication with the campus and constituencies.

FY17 Budget Reduction Completed

Permanent Budget Reduction for FY17* **\$19,300,000**

1. Implement \$7 million budget reduction submitted in early April
Savings: \$7 Million
2. Eliminate 102 vacant positions.
Savings: \$5,949,836
3. Standardize faculty workload for fall semester as follows:
 - a. Professorial faculty assigned a 2/3 or 3/2 workload. Provost develop guidelines for reducing teaching load.
 - b. Academic Professional faculty assigned a 3/4 or 4/3 teaching load.
 - c. On-line courses taught in-load.
 - d. *Temporary academic appointments for fall 2016 paid for on Section 2 funds (i.e., non-extended term academic professional lecturers, temporary faculty appointments, visiting faculty appointments).*
Savings: \$2,691,574
4. Eliminate positions between .50 FTE (50% time) and .99 FTE; take positions to below .50 or make them full time.
Savings: \$750,000
5. No overtime, no faculty overload, no additional compensation effective immediately.
Savings: \$0 (these savings occurred at the College and department level)
6. Offer a retirement incentive to qualified employees.
***Savings: \$3 Million in FY17; \$4 million in FY18**

One-time Budget Cuts for FY17 (to fund the fiscal/accounting/HR system) **\$6,519,043**

1. One-time contribution from cash balances as follows:

President's Office	\$500,000
Student Affairs	\$500,000
Information Technology	\$500,000
Audit Reserve	\$500,000
Outreach School	\$1,250,000
Colleges outreach funds	\$1,250,000

Savings: \$4.5 Million
2. Savings realized in FY16 from salary salvage and operating expenses
Savings: \$2 Million
3. Voluntary reduction of summer hours for employees to 32 hours (with pay for 32 hours). Hours of work approved by supervisor.
Savings: \$19,043

Other Actions**

1. Standardize course/section enrollment as follows:
 - a. Evaluate all course caps and raise whenever possible.
 - b. Standardize 10/5 low enrollment (10 students minimum to offer undergraduate course; 5 students minimum to offer graduate course). Two% of all sections allowed as exceptions justified to the Provost on a course-by-course basis.
 - c. For multiple section courses, employ a minimum of 85% fill rate.
2. Limit out-of-state travel; limit conference attendance; limit professional development spending.
3. Cap student labor at same level as FY16 or lower.

**These will result in some savings but potential savings is difficult to estimate

FY18 Budget Reduction Plan

Permanent Budget Reduction Target \$10 million (note: sum of all items is \$10,360,500)

1. Faculty Separation Incentive

Offer one-time separation for those with 15 years' service or more. Goal of \$4 million savings with \$2 million reduced from the FY18 budget and \$2 million returned to the Provost for hiring new faculty in high priority/high need areas. All incentive payout taken from cash balances.

Projected Savings: \$2 million (includes salary and EPB)

2. Vacancies

Eliminate approximately 12 faculty and academic professional vacancies held by the President.

Projected Savings: \$750,000 includes salary + EPB

3. Division Reductions

Reduce each division's budget using Vice President's plans; reductions presented to the Financial Crisis Advisory Committee who suggested final reduction amount based on core mission and potential impact. Please see Table 1 for Division reduction strategies.

Projected Savings: \$5,915,500

	Proposed Cut	% of FY17 budget
Academic Affairs	\$2,045,000	3.4% *
Arts and Sciences	\$475,000	1.5%
Agriculture	\$350,000	2.0%
Business	\$150,000	2.2%
Education	\$110,000	2.0%
Engineering	\$125,000	1.3%
Health Sciences	\$150,000	1.8%
Law	\$75,000	1.4%
Outreach	\$500,000	14.3%
Library	\$110,000	0.8%
Administration	\$1,308,628	4.7%
Athletics	\$1,000,000	8.3%
IT	\$500,000	4.8%
Student Affairs	\$300,000	1.9%
General Counsel/Risk/EHS/EEO	\$215,000	6.6%
President's office	\$191,340	7.5%
UW Foundation	\$175,000	7.8%
Research and Econ. Development	\$80,532	3.9%
Gov. and Community Affairs	\$100,000	7.6%

*This is the total percentage for the Division of Academic Affairs. The breakdown by College/unit follows.

Operating Efficiencies

Reduce operating costs by gaining efficiencies by Huron Consulting Group

Long-term disability	\$300,000
Stores	\$80,000
Procurement/Sourcing	\$335,000
Fleet Transportation	\$75,000
IT consolidation	\$630,000
Students Health	\$275,000

Projected Savings: 1,795,000

Table 1: Division Reduction Detail

Division	Reduction Amount	Budget Reduction Strategy
Academic Affairs	\$2,045,000	<ul style="list-style-type: none"> • Reduce faculty positions (\$685,000) • Reorganize and consolidation of staff/administrative functions (\$735,000) • Consolidate opportunities identified by the Huron (\$500,000) • Reduce operating funds (\$125,000)
Administration	\$1,308,628	<ul style="list-style-type: none"> • Eliminate 2 vacant positions (\$346,484) • Transfer 1 position to Section II (\$180,144) • Eliminate 5 positions in UW Operations (\$500,000) • Eliminate credit card process fee (to be paid by student fees) (\$192,000) • Reduce in postal services (Section II funds to be used) (\$30,000) • Redirect general fund expenses to Section II (\$30,000) • Reduce personnel leadership account (\$30,000)
Athletics	\$1,000,000	<ul style="list-style-type: none"> • Eliminate 10 FT/PT positions & modified coaching contracts (\$550,800) • Eliminate Golden Spurs Dance Team/reduce Cheer Squad Members (\$10,300) • Reduce team travel/team nutrition expenses (\$149,300) • Reduce purchase of athletic equipment and apparel (\$75,000) • Reduce game guarantees (\$75,000) • Re-negotiate/modify contracts/re-organize marketing (\$87,000) • Reduce game management/facility operational expense (\$22,600) • Reduce support staff travel for competitions (\$30,000) • Grow revenue (part of objective but not used toward budget reduction)
Information Technology	\$500,000	<ul style="list-style-type: none"> • Eliminate 7 positions (\$400,000) • Reduce support budget (\$100,000)
Student Affairs	\$300,000	<ul style="list-style-type: none"> • Transfer the majority of Counseling staff to Section II funding (\$300,000)
General Counsel & Risk/EHS/EEO	\$215,000	<ul style="list-style-type: none"> • Reduce Safety Office support budget (\$125,000) • Utilize funding from former VP/General Counsel salary (\$90,000)
President's Office	\$191,340	<ul style="list-style-type: none"> • Reduce salary and part-time budget (\$68,340) • Reduce use of aircraft (\$35,000) • Reduce use of catering and refreshments (\$61,000) • Eliminate membership with the AAC&U (\$7,000) • Reduce capital equipment purchases (\$20,000)
Foundation	\$175,000	<ul style="list-style-type: none"> • Transfer 2-3 positions to Section II funds (\$175,000)
Research & Econ Development	\$80,532	<ul style="list-style-type: none"> • Transfer 3 staff positions to Section III funds (\$80,532.50)
Governmental and Community Affairs	\$100,000	<ul style="list-style-type: none"> • Eliminate 1 position (\$90,000) • Reduce operating budget (\$10,000)

TOTAL **\$5,915,500**

Revenue Growth Plan

1. Enrollment Growth and Retention Improvement	\$200,000
2. Tuition increase (4%)	\$2,000,000
3. Residence Life (increase occupancy)	\$350,000
4. Mandatory fee increase (\$667 to \$720)	\$610,000
5. Program fees (approximate)	\$5,000,000

Longer-term fiscal plan

1. Develop strong strategic plan to include higher fiscal performance.
2. Develop a plan to rely less on state support, diversify revenues and address capital needs.
3. Develop a strategic enrollment plan and grow enrollment to align UW faculty-student ratio and average cost per students to peer institutions.
4. Implement an integrated budget and accounting system; analyze budget staffing; develop strong reporting function.
5. Implement a Responsibility-centered Management (RCM or decentralized) budget model.
6. Optimize public and private funded scholarship resources to meet student enrollment objectives.
7. Develop a campus resident hall and dining plan.
8. Refresh or develop other plans to align with the strategic plan: Campus master plan; College plans; Enrollment plan; Athletic plan; Diversity plan, Foundation plan, etc.
9. Incentivize external funding and rename the Research Products Center to the Wyoming Technology Transfer and Research Products Center and provide support to this entity.
10. Develop a merit salary policy and on-going plan for salary increases
11. Study and when feasible, develop private/public partnerships.
12. Launch a capital campaign to support the strategic plan.

AGENDA ITEM TITLE: Voluntary Separation Program, Miller/Evans

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Provost and Vice President for Academic Affairs Kate Miller and Interim General Counsel Tara Evans will update the Board on the Voluntary Separation Program.

AGENDA ITEM TITLE: Huron Consulting Group Recommendations, Laws

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Andrew Laws will present to the Board on Huron Consulting Group's recommendations. Please see information inserted below.



University of Wyoming Performance Improvement Project

Fall 2016

DRAFT





Project Overview

The University of Wyoming engaged Huron to assist in the identification, prioritization, and development of business cases for opportunities to grow revenue and reduce costs.

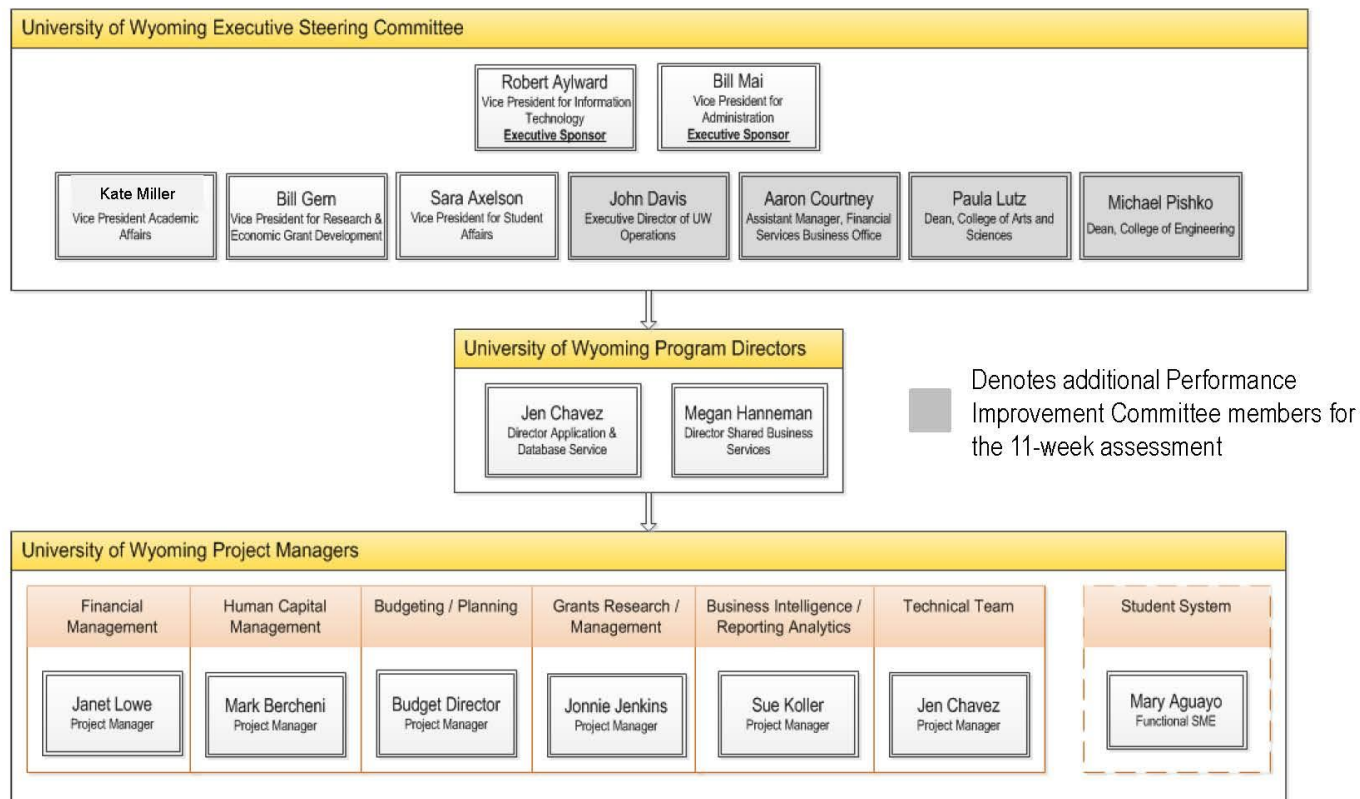
- Over the course of the 11-week project, Huron **interviewed 110 members of the UW community** to understand the current operating environment, identify opportunities for cost savings and revenue enhancement, and collect and synthesize data to inform our analyses.
- Huron **identified over 100 opportunities** during the initial phase of the engagement; the preliminary list was consolidated to 64 discrete menu opportunities that were presented to the Steering Committee for feedback and prioritization.
- Based on the Steering Committee's direction, Huron presented **13 business cases** that outline cost savings and revenue enhancement opportunities in operational, enrollment, student affairs, and student programming that have the potential to make a **significant financial impact** to the University.
- **Selected elements** from Huron's work, along with the work from the FCAC and other leaders on campus was designed, in-part, to assist President Nichols and the leadership team to develop a **plan for cost savings** that will be presented to the Board of Trustees later in the year.

DRAFT



Project Governance

To provide guidance to this project, the Wyo Solutions Executive Steering Committee was augmented to include additional administrative representation and to include two Deans.

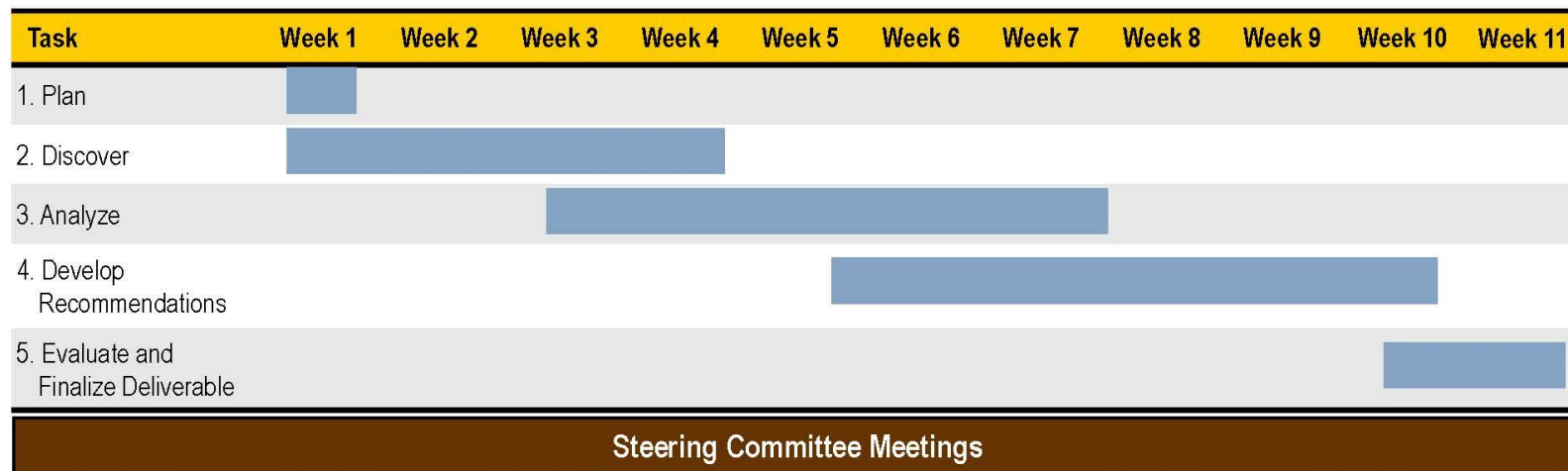


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Project Timeline

Huron met with the Steering Committee four times over the 11 week project to review methodology, share themes, develop criteria to prioritize opportunities, and to determine areas for business case development.





Stakeholder Engagement

In addition to interviewing 110 individuals, Huron engaged a number of University stakeholder groups over the course of the 11-week project.

Project Communications

- President Introduction Letter (distributed 7/11/16)
- Project Overview handout (distributed during interviews)
- Communication to Deans (distributed week of 7/25)

Direct Engagement

- Steering Committee
- President Executive Committee
- Dean's Council
- Financial Crisis Advisory Committee
- Board retreat
- Town hall meeting

Huron and the Project Steering Committee agreed to a participatory process; the activity listed above was intended to inform faculty, staff, and leadership of the initiative and report out progress appropriately.



Themes and Observations

Throughout our interviews, there were a number of themes that were helpful to inform Huron's understanding of how the institution operates, and gave important context for the recommendations.

The UW is balancing the goals of providing “**access to all**” and maintaining low tuition and high levels of state support with the goals of developing a broader base of funding through the Foundation and growing the University's research portfolio.

The tension between access, diversification, and research growth, has left UW without a clear strategy on how to **allocate and align resources** with University-wide initiatives and imperatives, resulting broad-based growth and autonomy, and a sub-optimal methodology for allocating resources

Outdated processes, procedures, and technology, along with a **limited accountability**, have forced many units to **operate reactively rather than proactively**, without clear insight on how or why policies are made

Along with the recent financial challenges facing UW, many employees are **performing many different functions**, resulting in potential morale issues and burnout



Additional Themes and Observations

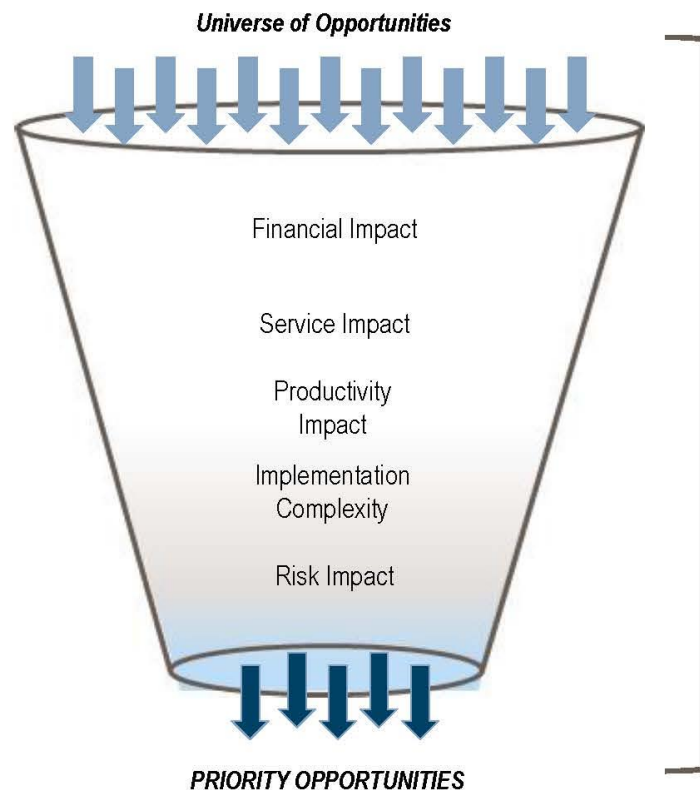
Additional details surrounding the major themes and observations uncovered during Huron's initial current state analysis efforts are outlined below.

Themes and Observations	
People	<ul style="list-style-type: none"> Nearly all interviewees have indicated strong ties and sense of loyalty to both the University/ community The recent hiring freeze has created bottlenecks within the institution; many have stated that due to limited staffing employees are becoming overworked, and their job descriptions no longer match activities
Enrollment Management	<ul style="list-style-type: none"> Interviews pointed to UW's low tuition/fee model & difficulties associated with potential changes Historical focus on new enrollments, less focus on student retention and transfer students strategies Disconnected enrollment incentives with examples in undergraduate, graduate, outreach programs
Financial Management	<ul style="list-style-type: none"> Inconsistent financial management practices and a "use it or lose it" financial mentality may result in suboptimal spending Desire for greater consistency in policy application and enforcement Many expressed confusion regarding inter-departmental charges for internal services that are billed to departments, with no clarity on rates and the inability to "shop around" for services
Technology	<ul style="list-style-type: none"> Stakeholders have overwhelmingly stated that the technology used to perform the day-to-day activities is burdensome and does not provide the necessary information to make decisions (shadow systems) Many stakeholders are optimistic about the Oracle Cloud system that is being implemented, noting that the new system will streamline many processes and make activities easier



Opportunity Identification Process

During the August 11th Steering Committee meeting, the group decided upon the following criteria and weights to score opportunities.



Huron worked with the Steering Committee to identify the following ranking categories and their relative weights:

Criteria	Description	Weight
Financial	Amount of cost savings or revenue associated with the opportunity	40%
Service	Expected impact on service levels offered to students and employees	25%
Productivity	Expected impact the opportunity will have on efficiency and productivity for stakeholders	15%
Implementation	Expected time and effort required to implement	10%
Risk	Expected risk to the institution, including legal, public relations (reputational), or internal risk.	10%



Opportunity Overview

Some of the opportunities identified by Huron will be immediately implemented during the current fiscal year; others will need to longer lead time and further discussion before implementation.

Immediate Opportunities	Other Business Cases
FY 2017-18	To Be Further Discussed
<ul style="list-style-type: none"> • Procurement: Strategically Source Selected Commodities • Pursue Vendor Partnership for Facilities Stores • Centralize Selected Information Technology Operations/Services • University Fleet Consolidation • HR Benefits: Amend Long Term Disability Policy • Reorganize Student Health Center Operations 	<ul style="list-style-type: none"> • HR Benefits: Amend Domestic Partner Benefits • Enrollment: Optimize Tuition/Fees, Retention, Transfer Students • Pursue Vendor Partnership for University Bookstore • Amend Transit Routes and Parking Permit Structure • Amend Residential Life Policies • Explore Amended Student Health Fee and Third-Party Billing Options • Reorganize Outreach School • Restructure Facilities Staffing Model

Additional detail for each of the opportunities listed in the left-hand column is provided on the subsequent slides.



Procurement and Facilities Store

UW has the opportunity to reduce supply expenses by leveraging its buying power, negotiating purchasing contracts, and outsourcing the Facilities Management supply purchasing function.

The Case for Change

- An analysis of the University's spending indicates that the UW has approximately \$83 million that can be strategically sourced
- Spending through existing purchasing contracts account for less than 5% of "addressable spend," or spend that can be reduced by negotiating contracts
- When supplies are requested, the Facilities Store goes through a lengthy bid process to procure supplies; while there is confidence that UW is getting a lower price, it can take up to six weeks for the supply to come in after going through this process creating a lag to complete work orders and maintenance tasks

Goals and Projected Annual Impact (\$1.5 - \$3.3M)

1. Involve the campus throughout the strategic sourcing wave plan to gain support and buy-in early in the process to optimize results
2. Assess potential vendors for MRO/Janitorial supplies; create and open RFP for services

Implementation Work Group Members

- | | | |
|---|---|---|
| • William Mai, (VP Administration) | • John Davis, (Executive Director, University Operations) | • Martha Miller, (Manager, University Procurement Services) |
| • Janel Lowe (Associate VP for Fiscal Administration) | | |

AGENDA ITEM TITLE:

Education Initiative Update & Introduction of Rebecca Watts, TEI Director, Palmerlee/Reutzel

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Trustee Dave Palmerlee and Dean of the College of Education Ray Reutzel will update the Board on the Trustee's Education Initiative (TEI) and will introduce the TEI Director Rebecca Watts.

AGENDA ITEM TITLE:

Reestablishment of the Executive Committee and Revisions to the Trustee Bylaws, MacPherson/Evans

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Trustee John MacPherson and Interim General Counsel Tara Evans will discuss the reestablishment of the Executive Committee of the Board of Trustees and the revisions to the Trustee By-Laws. Please see materials inserted below.

BYLAWS OF THE TRUSTEES OF THE UNIVERSITY OF WYOMING

The ByLaws of the Trustees were adopted pursuant to authority granted to the Trustees by the Wyoming Legislature and in accordance with the Wyoming Constitution. The ByLaws are about the Trustees and how the Trustees organize and carry out their meetings. Additionally, the existence of Trustee Regulations is established and the appointment of the President of the University and his/her authority is set forth.

BYLAWS OF THE TRUSTEES OF THE UNIVERSITY OF WYOMING Republished Edition May 13, 2015

Article I. STATUTORY CREATION AND AUTHORITY

Section 1-1. APPOINTMENT, TERM AND AUTHORITY

In accordance with the laws of the State of Wyoming (Wyo. Stat. 1957, §§21-350, 351, 352), the government of the University of Wyoming is vested in a board of twelve (12) trustees appointed by the governor, with the advice and consent of the senate, for a six year term, with terms to be staggered. Such board constitutes a body corporate by the name of "The Trustees of the University of Wyoming" and is granted all the powers necessary or convenient to accomplish the objects and perform the duties prescribed by law.

Section 1-2. EX OFFICIO MEMBERS

The Governor of the State of Wyoming, the President of the University of Wyoming, the State Superintendent of Public Instruction, the Director of the Wyoming Community College Commission, and the President of the Associated Students of the University of Wyoming are ex officio members of the Trustees, as such having the right to speak, but not to vote.

Section 1-3. VACANCIES

Any vacancy in the membership of the Trustees shall be filled in accordance with laws pertaining thereto.

Article II. MEETINGS OF THE TRUSTEES

Section 2-1. REGULAR MEETINGS

The annual meeting of the Trustees shall be held at the time of the meeting that is held closest to the regular Spring Commencement. At the annual meeting, the

Trustees may set their schedule of regular meetings for the ensuing year. Written notice of all regular meetings shall be given by the President of the University to each member of the Trustees at least five days in advance of the meeting. Attendance by Trustees at regular meetings can be in person or by telephone electronic media.

Section 2-2. SPECIAL MEETINGS

Special meetings of the Trustees may be called by the President of the Trustees, or by any three members thereof, at such time and place as they may deem expedient, and a majority of said Trustees shall constitute a quorum for the transaction of business; but a smaller number may adjourn from time to time. Notice of special meetings shall be given to each member of the Trustees at least 24 hours in advance of such meeting. Attendance by Trustees at special meetings can be in person or by telephone electronic media.

Section 2-3. ACTION IN REGULAR AND SPECIAL MEETINGS

At all regular and special meetings, it shall be valid to act on any subject within the power of the corporation except as provided elsewhere in these Bylaws.

Section 2-4. PLACE OF MEETINGS

All meetings of the Trustees shall be held at the University of Wyoming, unless otherwise ordered by the Trustees.

Section 2-5. REPEALED

Section 2-6. ACT OF THE TRUSTEES

The act of the majority of the Trustees present at a meeting at which a quorum is present shall be the act of the Trustees. A Trustee is considered "present" if attending the meeting in person or by telephone electronic media.

Section 2-7. PUBLIC ATTENDANCE AT MEETINGS

Regular and special meetings of the Trustees shall be open to the public except for executive sessions which may be convened at any time by vote upon motion by any member of the Trustees. Executive sessions shall be attended only by members of the Trustees and such persons as may be designated by the presiding officer or included in the motion. No actions shall be taken in executive sessions. Matters considered and discussed during executive sessions shall be confidential except as otherwise provided by law.

Article III. PROCEDURE AT MEETINGS

Section 3-1. QUORUM

A majority of the duly appointed and qualified members of the Trustees shall constitute a quorum for the transaction of business. Any number less than a quorum present at a meeting duly called may adjourn from time to time until a quorum shall be in attendance.

Section 3-2. ORDER OF BUSINESS

The business at each regular or special meeting shall be conducted in the following manner, unless otherwise authorized by appropriate Trustees action.

- Roll ~~call of members~~ Call
- Approval of ~~minutes~~ Board of ~~last meeting~~ Trustees Meeting Minutes
- Election of ~~officers~~ Officers (annual meeting or as necessary)
- Reports ~~(ASUW, Staff Senate, Faculty Senate)~~
- Public Testimony ~~(scheduled during the regular meeting)~~
- ~~Audit and Fiscal Integrity Committee Report~~
- ~~Committee of the Whole ~~(Consent Agenda)~~~~
- ~~Committee of the Whole ~~(Regular Agenda)~~ Business (Board Committee Reports)~~
-
- Proposed Items for Action
- New business
- Date of Next Meeting
- Adjournment

Section 3-3. RULES OF PROCEDURE

Meetings of the Trustees shall be conducted according to Robert's rules of parliamentary procedure except as modified by the Trustees. Each member of the Trustees who is present shall vote on every question, unless excused from voting by the Trustees. The ayes and noes shall be called and entered upon request of any member of the Trustees.

Section 3-4. MINUTES OF PROCEEDINGS

Minutes of proceedings of the Trustees and of their committees shall be kept by the secretary, or ~~by a person designated by him designee~~. Action of the Trustees which

utilizes material presented by reports or other documents shall be presented in the minutes in such form as to include, when not impractical, the full text of the action so that reference to other reports and documents is not necessary in order to determine the exact meaning of the action taken.

Article IV. OFFICERS OF THE TRUSTEES

Section 4-1. NUMBER

The officers of the Trustees shall be a President, a Vice President, a Secretary, and a Treasurer, who shall be members of the Trustees.

Section 4-2. ELECTION AND TERM OF OFFICE

The officers of the Trustees shall be elected annually at the annual meeting. Each officer shall hold office for one year or until his or her successor is elected and qualified. No member of the Trustees shall be eligible for re-election as president immediately after having served two successive regular terms in that office.

Section 4-3. VACANCIES

In the event of a vacancy in any office of the Trustees, an election shall be held for the unexpired term at the next regular or special meeting of the Trustees.

Article V. DUTIES OF OFFICERS

Section 5-1. DETERMINATION OF DUTIES

The officers of the Trustees shall perform the duties expressly enjoined upon them by the laws of this State and by the Bylaws of the Trustees, and such other incidental duties as pertain to their respective offices, or as may be assigned from time to time by the Trustees or their President.

Section 5-2. PRESIDENT

The President of the Trustees shall preside over all meetings of the Trustees; ~~he~~ shall call the Trustees or Executive Committee in regular or special session at such times as ~~he~~the President may deem advisable or necessary or at any time upon the petition of three or more members of the Trustees; and ~~he~~the President shall have authority to decide any disputes as to the application or meaning of these rules and Bylaws, but this decision shall be referred to the next regular or special meeting of the Trustees for final decision and adjudication by the Trustees. The President of the Trustees shall have power to make temporary appointments to fill vacancies in the appointments of the Trustees to other boards or committees during the interval between Trustees meetings. ~~He~~The President shall be an ex officio voting member of all permanent committees of the Trustees. ~~He~~The President may sign, with the secretary or any other proper officer of the Trustees thereunto authorized by the

Trustees, any deeds, mortgage, bonds, contracts, or other instruments which the Trustees have authorized to be executed, except in cases where the signing and execution thereof shall be expressly delegated by the Trustees by resolution, by ~~Regulations of the Trustees~~UW Regulation, or by these Bylaws to some other officer or agent of the Trustees, or shall be required by law to be otherwise signed or executed. The President of the Trustees shall have the power to appoint ad-hoc committees as needed to address the business of the University. An ad-hoc committee is defined as an informal working group that can operate without formal board approval until completion of the committee's assigned task as determined by the President.

Section 5-3. VICE PRESIDENT

In the absence of the President of the Trustees or in the event that the office becomes vacant, or of the president's inability or refusal to act, the Vice President shall perform the duties of the President.

Section 5-4. SECRETARY

The Secretary shall be sworn to the performance of his or her duties as provided by statute. ~~He~~The Secretary shall be responsible for the minutes of meetings of the Trustees; ~~he~~ shall be custodian of the Trustees records and of the seal of the Trustees and see that the seal of the Trustees is affixed to all documents, the execution of which on behalf of the Trustees under its seal, is duly authorized. ~~The Secretary;~~ shall sign with the President such instruments as the latter may execute. ~~He; and~~ shall be responsible for the supervision of duties delegated or assigned to the Deputy Secretary appointed by the Trustees.

In the event that the offices of President and Vice President become vacant or both refuse or are unwilling to act, the Secretary shall perform the duties of President until the next regular or special meeting of the Trustees and preside as that meeting until the vacancy in the presidency is filled.

Section 5-5. TREASURER

The Treasurer shall cause an annual report to be prepared by the officers and employees of the University of Wyoming which shall show all receipts and disbursements; ~~he~~ shall receive any monies, through the Deputy Treasurer, required by law to be paid to the Treasurer of the Trustees; and shall maintain general cognizance of fiscal and accounting procedures utilized by officers of the University of Wyoming designated by the Trustees to receive and disburse all monies.

In the event that the offices of President, Vice President and Secretary become vacant or all refuse or are unwilling to act, the Treasurer shall perform the duties of the president until the next regular or special meeting of the Trustees and preside at the meeting of the Trustees until the vacancy in the presidency is filled.

Article VI. OTHER OFFICERS

Section 6-1. DEPUTY SECRETARY

The Deputy Secretary shall be appointed by the Trustees, and ~~he~~ shall perform such duties as are delegated by the Secretary of the Trustees.

Section 6-2. DEPUTY TREASURER

The Deputy Treasurer shall be nominated by the President of the University for appointment by the Trustees, ~~and he~~ shall be an officer of the University of Wyoming whose duties include responsibility for the receipt, custody, and expenditure of all funds of the University of Wyoming not held by the State Treasurer, and ~~he~~ shall exercise the same responsibility with respect to any funds or monies of the Trustees of the University of Wyoming.

Section 6-3. INTERNAL AUDITOR

The Internal Auditor shall be appointed by the Trustees, and ~~he~~ shall perform such duties as ~~they shall~~ the Trustees require.

Section 6-4. OTHER OFFICERS AND DUTIES

Other officers may be appointed by the Trustees as may be deemed necessary. The duties of all officers of the Trustees shall set forth in writing at the time of appointment or in appropriate UW Regulations ~~of the Trustees~~.

Article VII. COMMITTEES OF THE TRUSTEES

Section 7-1. EXECUTIVE COMMITTEE

The Executive Committee shall consist of five members of the Trustees: the President of the Trustees who shall serve as Chairman, the immediate past President of the Trustees, the Vice President of the Trustees, the Secretary of the Trustees, and the Treasurer of the Trustees. The Executive Committee shall have authority to meet with the University president to exchange information and discuss issues and to act for the Trustees in all routine business matters wherein immediate decisions and actions are deemed necessary for the present welfare of the University. All such actions of the Executive Committee shall be reported to the Trustees at their next regular or special meeting and ratified when appropriate, and shall be entered in full upon the minutes of such meeting of said Trustees.

Section 7-2. AUDIT AND FISCAL ~~INTEGRITY~~ FISCAL AND LEGAL AFFAIRS COMMITTEE

The ~~Audit and Fiscal Integrity~~ Fiscal and Legal Affairs Committee is responsible for assuring that the University's organizational culture, capabilities, systems and processes are appropriate to protect the financial health and the reputation of the University in all audit-related areas enumerated below. Specifically the ~~Audit and Fiscal Integrity~~ Fiscal and Legal Affairs Committee will review the financial reporting processes, the system of internal controls, the audit process, and the process for monitoring and ensuring compliance with financial laws and regulations. It will monitor the University's internal and external auditor's findings.

~~The Audit and Fiscal Integrity Committee shall consist of not less than three members of the Trustees, preferably those with financial or business expertise. Appointments shall be made by the President of the Board of Trustees at the annual meeting of the Trustees for terms of three years. Appointments to fill a vacancy for the unexpired term may be made by the President of the Board at any time and announced at the next regular Board meeting following the appointment. In the initial appointments, at least one member shall be appointed to terms of one, two and three years respectively.~~

In discharging their duties hereunder, the members are entitled to rely on information, opinions, reports or statements, including financial statements and other financial data, if prepared or presented by: officers or employees of the University whom the committee members reasonably believe to be reliable and competent in the matters presented; and legal counsel, public accountants or other persons as to matters the committee members reasonably believe are within the person's professional or expert competence.

I. Investments

Review the management of invested University funds, including University endowment funds and University operating funds, subject to the following conditions:

- a. The President of the University shall be the administrative officer of the invested University funds, and may assign to a designee such duties as may be described in a written delegation of authority.
- b. With Board approval, the Committee may employ the services of an agent, such as the University of Wyoming Foundation, an investment adviser, and/or manager(s), and may give due consideration to such advice.
- c. The Committee, or the Board-approved agent, shall place the securities of said Funds in custody of a custodian bank or other fully insured custodial institution, which shall have the right and privilege

of holding the securities in a street name or in a name of such nominee as it may choose.

- d. Each year the Committee shall review the agent's investment policy, asset allocation strategy and other endowment management philosophies, such as earnings distribution policies. The Committee shall receive and review an annual report on portfolio performance and other relevant endowment management metrics.

II. Financial Reporting Process

- a. Ensure that the external auditors communicate all matters required by their professional standards to the Committee and review significant accounting and reporting issues, including recent professional and regulatory pronouncements in order to understand their impact on the University's financial statements.
- b. Review the annual financial statements, including management's discussion and analysis, and determine if they are complete and consistent with information known to committee members.
- c. Be satisfied that all regulatory compliance matters have been considered in the preparation of the financial statements.
- d. Review significant financial risks and exposures and the plans to minimize such risks.
- e. Review, with the University's legal counsel, any legal matters that could have a significant impact on the financial statements.

III. System of Internal Control

- a. Ensure that management is setting the appropriate tone in communicating the importance of internal control and ensure that individuals have an understanding of their roles and responsibilities.
- b. Receive and review reports from internal and external auditors regarding the quality of institutional internal control systems and determine whether management has implemented internal control recommendations made by internal and external auditors.
- c. Ensure that internal and external auditors keep the Committee informed about fraud, illegal acts, deficiencies in internal control and ensure that an appropriate process exists for the receipt, retention and treatment of complaints, including anonymous complaints, regarding accounting, internal controls and auditing matters.

- d. Evaluate the extent to which internal and external auditors review computer systems and applications, the security of such systems and applications, and the contingency plan for processing financial information in the event of a systems breakdown.

IV. Audit Process – External

- a. Following appropriate consultation with management, recommend to the Board the selection and retention of the external audit firm. Approve external auditor's fees.
- b. Review and approve the external auditor's proposed scope and approach.
- c. Review and confirm the external auditor's assertion of their independence in accordance with professional standards.
- d. —Review the performance of the external auditors and recommend the appointment or discharge of the external auditors.
- e. Meet with the external auditors, the Internal Auditor, and management in separate executive sessions to discuss any matters that the Committee or these entities believe should be discussed privately. Mediate any disagreements between management and external auditors regarding financial reporting.
- f. Review with management and external auditors the results of the annual external audit, including any difficulties encountered, restrictions placed on the scope of the external auditor's activities, access to requested information and any significant disagreements with management.
- g. Review and approve any engagement of the external auditors for non-audit related consulting activities.

V. Audit Process – Internal

- a. Review and ensure that the University has the appropriate structure, staffing, and capability to effectively carry out the internal audit responsibilities.
- b. Review and concur in the appointment, compensation, replacement, reassignment, or dismissal of the Internal Auditor.

c. Review and confirm the priorities and key action plans of the audit function. Receive and review internal audit reports from the Internal Auditor regarding results of the internal audit program.

d. Ensure that audited divisions and colleges attend the Committee meetings to discuss audit findings and recommendations.

e. Report each internal audit report from the Internal Auditor to the Board of Trustees. The Board of Trustees shall formally act on each internal audit report.

f. Ensure there is regular, independent communication between the Committee and the Internal Auditor and ensure there are no unjustified restrictions or limitations on internal audit programs.

g. Ensure there is flexibility when setting the Committee agenda based on concurrence between the Division of Administration and the Internal Auditor.

VI. Compliance with Laws & Regulations

a. Review the findings of any significant examinations by financial regulatory agencies and review management's corrective action plans. Ensure that action plans are implemented to the satisfaction of the regulatory agencies.

VII. Other Responsibilities

a. Ensure that significant findings and recommendations made by the internal and external auditors are received, discussed and acted upon in an appropriate and timely manner.

b. Regularly update the Board of Trustees about Committee activities, any key internal or external audit issues and make appropriate recommendations for Board action.

c. Review and update this By-Law and receive approval of changes from the Board of Trustees.

Section 7-2-3. BIENNIUM BUDGET COMMITTEE-CHAIRMEN

~~At the~~

The Biennium Budget Committee is responsible for working with University administration as it develops and submits the University's budget requests to the Governor as a state agency, including the 067 University of Wyoming operating budget, the 069 WICHE budget, the 167 Medical Education budget, and the Enhanced Oil Recovery Commission's 070 operating budget. It also includes

funding requests related to capital facilities, as well as any other recommendations in the University's budget request that would be included in the state's appropriations bill for the biennium or in a supplemental budget request.

In discharging their duties hereunder, the members shall work with the Vice President for Administration and the Vice President for Governmental and Community Affairs.

Section 7-4. FACILITIES CONTRACTING COMMITTEE

The Facilities Contracting Committee is responsible for working with University administration to develop and recommend modifications to the University's facilities planning, contracting and construction policies and procedures. These recommendations will be presented to the full Board of Trustees for review and approval.

In discharging their duties hereunder, the members shall work with the Vice President for Administration and the General Counsel.

Section 7-5. FINANCIAL MANAGEMENT AND REPORTING COMMITTEE

The Financial Management and Reporting Committee is responsible for taking an immediate and active role in developing a long-term, integrated and comprehensive financial management and reporting system for the University; helping develop a meaningful short-term financial reporting protocol for the Board of Trustees so that the Board can meet its fiduciary obligations; and participating in developing the University's budget structure in coordination with the financial management and reporting system.

In discharging their duties hereunder, the members shall work with the Vice President for Administration and the General Counsel.

Section 7-6. HONORARY DEGREES AND AWARDS COMMITTEE

The Honorary Degrees and Awards Committee is responsible for recommending to the Board of Trustees the awarding of both the Trustees' Award of Merit and Honorary Degrees.

The Trustees' Award of Merit was established in 1984 and recognizes individuals and groups who have rendered meritorious service or made exemplary contributions to the University. Nominations for the Trustees' Award of Merit are submitted to the Honorary Degree Committee, accepted on a continuous basis, and reviewed at regular intervals. There are no minimum or maximum number of awards given in any calendar year.

An Honorary Degree from the University recognizes individuals who embody the University's high ideals and who exemplify the values of excellence, service, and integrity. Honorary Degrees are among the highest honors a university can confer, and recognize a career of distinguished accomplishment in the professions, sciences, arts, humanities, public service, and service to humanity. Nominations for Honorary Degrees are submitted to the President of the University, who will refer them to a joint committee made up of the Honorary Degree Committee and three faculty members appointed by the Faculty Senate. The joint committee will forward its recommendations to the Board of Trustees for final decision at its January meeting and announcement in the spring semester.

In discharging their duties hereunder, the members shall work with the President of the University and the Provost.

Section 7-7. TRUSTEES LEGISLATIVE RELATIONS COMMITTEE

The Trustees Legislative Relations Committee is responsible for working closely with the Governor's office and the legislative leadership to develop a consensus of priorities for the University.

In discharging their duties hereunder, the members shall work with the Vice President for Government and Community Affairs and the Vice President for Administration.

Section 7-8. VICE PRESIDENT AND DEAN SEARCH COMMITTEE

The Vice President and Dean Search Committee is responsible for informing the Board of Trustees of the progress of University searches for administrative officers and deans/directors of a college or school. The Vice President and Dean Search Committee may provide nonbinding feedback to the University's ~~appointing authority~~ search committee during the recruitment process, confer with the ~~appointing authority~~ University' search committee on the final candidate, and communicate with the full Board of Trustees as it determines.

In discharging their duties hereunder, the members shall work with the President of the University.

Section 7-9. MEMBERS, TERM, AND COMMITTEE CHAIRMEN

Each Committee shall consist of not fewer than three members of the Trustees. Appointments shall be made by the President of the Board of Trustees at the ~~July~~ May meeting of the Trustees, or as the President deems necessary throughout the year, for terms of three years. Appointments to fill a vacancy for the unexpired term may be made by the President of the Board at any time and announced at the next regular Board meeting following the appointment. The President of the Board of Trustees shall serve as an ex-officio member of all Committees, may attend

Committee meetings at his or her discretion, and may appoint a replacement for any Committees the President served on prior to being elected.

At the July May meeting, the President of the Trustees shall appoint a chairman for the each committee described in. The Section 7-2. Such chairman shall hold office for one year or until his or her successor is appointed and qualified. No member of the Trustees shall be eligible for reappointment as chairman of the committee immediately after having served two successive annual terms in that office.

Article VIII. AMENDMENT OF BYLAWS

These Bylaws may be changed or amended and additional Bylaws may be adopted at any regular meeting of the Trustees by a vote of two-thirds of all the members, provided that notice of the intention to change, amend, or add to the Bylaws, in whole or part, shall have been given in the notice of the meeting or shall have been given at a preceding meeting of the Trustees. Such notice shall be in writing and shall include the exact wording of the legislation proposed. The Bylaws, in whole or in part, may be suspended at any Board meeting only by an affirmative vote of two-thirds of all the members of the Trustees.

Article IX. UW REGULATIONS OF THE TRUSTEES

Rules for the government of the University and all its branches shall be designated as "UW Regulations of the Trustees," which may be adopted, changed or amended at any regular or special meeting of the Trustees without prior formal notice. In order to have the status of a standing regulation, any intention to adopt, change or amend such Regulations must be presented as a formal motion for action by the Trustees.

Article X. PRESIDENT OF THE UNIVERSITY OF WYOMING

Section 10-1. APPOINTMENT

The President of the University of Wyoming shall be appointed by the Trustees, but no such appointment shall be made without nine affirmative votes of the Trustees. ~~His~~The initial term of office shall be for not less than one year, and ~~he~~the President shall thereafter continue in such office at the will of the majority of the Trustees, who, from time to time, shall fix his or her salary. It will be the policy of the Trustees to confer with an advisory committee from the University faculty and staff prior to the selection of a new President.

Section 10-2. DUTIES AND POWERS

The President of the University shall perform the duties expressly enjoined upon ~~him~~the President by the laws of this State, by these Bylaws, and such other incidental duties as pertain to his or her office or as may be assigned from time to time by the Trustees. As the executive head of the University of Wyoming, in

behalf of the Trustees ~~he~~the President shall be responsible for the custody of the books, records, buildings, and all other property of the University, and for the administration of the academic and business activities of the University in accordance with the directives, Bylaws and UW Regulations ~~of the Trustees;~~ and ~~he~~ shall be clothed with all authority requisite to these ends. ~~He~~The President shall inform and advise the Trustees with respect to the operations of the University and its relationships, and shall serve as an ex officio member of all permanent Trustees' committees.

Article XI. THE UNIVERSITY OF WYOMING

Pursuant to State Law establishing the University as an institution of learning under the name and style "The University of Wyoming," all authorized functions and business matters carried on by the officers, faculty and staff of the University in accordance with regulations and financial budgets of the Trustees shall be in the name of "The University of Wyoming."

Article XII. SEAL

The corporate seal of the Trustees of the University of Wyoming shall consist of a circular design on which is inscribed the words "The University of Wyoming - 1886 -" and in the center the word "Equality." It shall be affixed to all papers which may require it as authorized by the Secretary, the President of the University of Wyoming, or regulation or direction of the Trustees.

**AGENDA ITEM TITLE: University Travel and Reimbursement Policy – Addition of Travel
by University Provided Aircraft, Mai/Gern/Evans**

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☒ Information Item
☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

At the September 2016 Board of Trustees meeting, the Board requested that UW Administration review whether there was a need for a University-wide policy on use of UW aircraft. The University has reviewed and agrees with the need for a policy (see attached language regarding use of UW aircraft).

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

At the September 2014 Board Meeting, the Board of Trustees discussed a Trustee Board travel policy. At the May 2016 Board Meeting, the Board discussed Trustee budget policies related to use of UW aircraft.

WHY THIS ITEM IS BEFORE THE BOARD:

Information only.

ACTION REQUIRED AT THIS BOARD MEETING:

None. This is informational only; UW Regulation 3-177 states that the Travel and Reimbursement Policy shall be revised as determined by the Vice President for Administration.

Travel by University Provided Aircraft

1. Use of University provided aircraft shall only be for official purposes in accordance with this Policy.
2. University provided aircraft:
 - a. University provided aircraft includes University owned aircraft, state aircraft reserved through the State of Wyoming, or chartered aircraft.
 - b. This policy does not apply to Research Aircraft operated by the Atmospheric Science Department in the College of Engineering and Applied Sciences.
3. Business purpose:
 - a. University provided aircraft shall only be used for matters pertinent to, and in the normal course of business for the University and only in compliance with the laws applicable to use of state-owned or leased aircraft.
 - b. State aircraft may only be used if University aircraft is unavailable or in exceptional circumstances at the discretion of the President (or designee).
4. Private purpose: University provided aircraft shall not be used for personal business, even with reimbursement to the University.
5. Justification for use:
 - a. Use of University provided aircraft is justified when the business of the University cannot be conducted as well as, or more economically, through the use of regularly scheduled commercial aircraft. Economic justification includes not only the cost of the air travel but also opportunity costs and lost productivity costs.
 - b. Examples of appropriate use include but are not limited to:
 - i. When the destination is not served by commercial carriers;
 - ii. The time required to use such a carrier interferes with other important obligations;
 - iii. Departure and arrival times do not reasonably coincide with a required travel itinerary;
 - iv. The number of travelers makes the use of University provided aircraft cost effective;
 - v. There is a need for confidentiality; or
 - vi. There is a need for on-demand athletic transportation for athletic events or coaches' recruiting.
 - c. If the flight destination is less than 90 highway miles from the Laramie base of operations, the President (or designee) must approve the use.
6. Non-University personnel
 - a. Passengers who are not University personnel may also fly on University provided aircraft if they are (a) persons whose transportation furthers the University's business purposes or (b) dependent persons of authorized travelers when alternative arrangements are not practicable (and only on a space available basis).

- b. In certain circumstances, the attendance of State of Wyoming officials, donors, or a spouse of a member of the Board of Trustees, President, or other University personnel is in furtherance of University business. Examples include, but are not limited to, alumni events, athletic events, board meetings, and development opportunities.
- 7. Flight operations:
 - a. Flight operations, scheduling, and rates for use of University owned aircraft is the responsibility of Auxiliary Services in the Division of Administration.
 - b. Baseline operation of the aircraft will be on a single pilot basis.
 - c. Operation of the aircraft will conform to industry standards under a Safety Management System with periodic external audits.
 - d. Flight decisions shall be the responsibility of the pilot in command and shall be based on pilot professional standards and flight safety standards.
- 8. Rates for Use:
 - a. Air travel fees are calculated using an hourly rate times the number of flight hours (from the time of takeoff to the time of landing). Traffic delays, routing changes due to weather, and diversions may increase the travel time and associated costs above the initial estimates.
 - b. Departments may be charged a fuel surcharge based on higher fuel costs incurred for specific destinations.
 - c. Longer duration trips may require pilot rest time and lodging charges. Meals and lodging expenses are charged in accordance with this Travel Policy.
- 9. Priority Rights:
 - a. Aircraft are scheduled on a first-come, first-served basis, except that the President has priority rights.
 - b. The President may grant priority rights categorically to other departments, or may approve priority rights on a case-by-case basis.
 - c. A trip with priority rights may take precedence over a previously scheduled trip.
- 10. Sinking fund: The Division of Administration shall establish a sinking fund to account for maintenance, repair, or purchase of University aircraft.
- 11. Exceptions: Any exceptions to this policy require the approval of the President of the University, in consultation with the President of the Board of Trustees.

AGENDA ITEM TITLE: Update on UW Regulatory Structure Review, Evans

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Interim General Counsel Tara Evans will update the Board on the UW Regulatory Structure Review.

AGENDA ITEM TITLE: UW Regulation Modifications – Haub School of Environment and Natural Resources, Evans/Miller

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

At the July 2016 Board of Trustees Conference call, the Board approved a title change from Director to Dean of the Haub School of Environment and Natural Resources. At the September 2016 Board meeting, the Board was asked to approve changes to UW Regulations 1-1 (Organization of the University), 5-1 (Academic Personnel), 5-408 (Guidelines for Establishing Academic Professionals), and 5-804 (Appointment, Evaluation and Removal of Academic Administrators) to effectuate this change. The Board was also asked to approve the creation of UW Regulation 7-580 (Regulations of the Haub School of Environment and Natural Resources), which would allow the Haub School to grant degrees for the programs they currently deliver. UW Regulation 7-580 is similar to the other regulations of Academic Units, including the seven colleges, the Outreach School, the University Libraries, and the Enhanced Oil Recovery Institute.

At the September meeting, President MacPherson, Trustees Massie and McKinley, and Faculty Senate Chair Shaw identified a few concerns and suggested possible edits to several of the regulations. Those changes have been incorporated, as well as changes suggested by the Haub School. Faculty Senate, Staff Senate, and ASUW have reviewed the changes.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

At the July 13, 2016, meeting, the Board approved designating the director of the Haub School as a Dean. At the September 2016 meeting, the Board requested revisions, which have been incorporated into the attached revised versions.

WHY THIS ITEM IS BEFORE THE BOARD:

UW Regulation 1-101 requires that any modification to UW Regulations must be approved by the Board.

ACTION REQUIRED AT THIS BOARD MEETING:

Board approval or disapproval of the recommended modifications to the Regulation.

PRESIDENT'S RECOMMENDATION:

The President recommends approval.

UW REGULATION 1-1 Organization of the University

I. OFFICERS OF THE UNIVERSITY

A. Designation

Officers of the University are: The President; Administrative Officers, to include the principal administrative officers of the University and the heads of their administrative subunits as set forth in section ~~BII~~ of this regulation; and Academic Officers, to include Deans, Directors, Associate and Assistant Deans and Department and Division Heads, of the organized education units specified in section ~~CI~~ of this regulation. Athletic coaches shall not be considered officers of the University but shall be contractual employees.

B. Appointment

The President of the University shall be appointed by the Trustees as provided in the Bylaws of the Trustees of the University of Wyoming. Nine affirmative votes of the Trustees shall be required for appointment. All other officers shall be appointed by the Trustees upon the recommendation of the President following consultation with the appropriate University officers and faculty. All appointments under this paragraph shall be on such terms with respect to salary, terms of employment and like matters as the Trustees may determine.

C. Removal

Any person appointed to an office or position pursuant to this section may be removed by the Trustees whenever in their judgment the best interests of the University will be served thereby, but such removal shall be without prejudice to the contract rights, if any, of the person so removed. Likewise such removal shall be without prejudice to the rights, if any, of such person as a tenured member of the faculty.

II. THE ADMINISTRATIVE ORGANIZATION OF THE UNIVERSITY

A. President of the University

Subject to control of the Trustees, the President of the University is the chief executive officer of the University and is vested with powers and duties as provided by laws of this State and the Bylaws of the Trustees of the University of Wyoming. In addition to such duties, the President shall enforce UW Regulations as adopted hereof, and the President is hereby clothed with all authority requisite to these ends. Any authority or responsibility of the President may be delegated by him/her to any

other member of academic personnel (faculty or academic professional) or staff of the University, but delegation of major areas of authority or responsibility shall have the prior consent of the Trustees.

In the event of the resignation, death or incapacity of the President, the Trustees may appoint an acting president who shall perform the duties and have the powers of the President during such time as the Trustees may direct. If no acting President has been appointed by the Trustees, the duties of the President shall be performed by the Vice President for Academic Affairs.

The President shall serve as the ordinary channel of communication between the Trustees and academic personnel and between the Trustees and all subordinate administrative officers and staff of the internal organization. This regulation shall not be interpreted to limit the right of communication between academic personnel or other officers of the University and the Trustees or to limit the manner in which the Trustees may gain information as to the work and operation of the University.

The President shall have as principal administrative officers a Vice President for Academic Affairs, a Vice President for Student Affairs, a Vice President for Administration, a Vice President for Research and Economic Development, a Vice President for Institutional Advancement, a Vice President for Information Technology, a Vice President and General Counsel, a Vice President for Governmental and Community Affairs, a Director of Governmental Relations and a Special Assistant to the President for Diversity. The Special Assistant to the President for Diversity shall, at the direction of the President and in collaboration with the other principal administrative officers of the University, lead the development and implementation of the University diversity plan. He also may have other assistants as are authorized from time to time and may also authorize the appointment of Associate Vice Presidents for each of the principal administrative officers, who shall perform such duties as specified.

B. Vice President for Academic Affairs

The Vice President for Academic Affairs shall be responsible to the President for general administrative and coordination functions over the various instructional programs, on or off-campus, offered by the University. As the principal administrative officer for academic affairs, the Vice President shall maintain administrative supervision of the academic colleges, the University Studies Program, Graduate School, the Outreach School, including the University of Wyoming at Casper and the Office of International Programs, the Divisions of Military Science (Army ROTC) and Aerospace Studies (Air Force ROTC), University Libraries, Honors Program/Summer High School Institute, Wyoming Geographic Information Science Center (WyGIS), the Ellbogen Center for Teaching and Learning, the Haub School of Environment and Natural Resources, the American Heritage Center, and the Art Museum.

The Vice President shall initiate, organize, or direct such actions as are necessary and appropriate to assure that academic program needs and standards are established and implemented by appropriate units and officers of the University. The Vice President shall consult with and advise the President with respect to the recommendations of the officers of the various academic units concerning organization, development of programs, academic personnel appointments, promotions, leaves of absence, and salaries, and shall conduct such special studies relating to curriculum, instruction, academic personnel and other matters as may be determined by the President.

Additional administrative units may be assigned to the Vice President by the President and the Vice President may be assisted by one or more Associate Vice Presidents and such other assistants as are authorized from time to time.

C. Vice President for Administration

The Vice President for Administration is the principal financial officer of the University and shall be responsible to the President for the administration of all the business and financial affairs and the physical plant of the University, including institutional planning, preparation and administration of the University budget and development of long-term financing strategies to support implementation of the Capital Facilities Plan. The Vice President serves as the principal advisor to the President on the status of the University budget, and shall perform such duties as are required by statute or by UW Regulations.

The Vice President for Administration shall execute such agreements, leases, and other instruments relating to the transfer of real property, as may be appropriate to the management, control, acquisition, or disposition of property of the University in accordance with UW Regulations or other directions of the Trustees. The Vice President for Administration shall have administrative supervision over the following units: Fiscal Administration, which includes Financial Services, Accounting, Procurement Services, and Budget and Institutional Analysis; Administrative Operations, which includes Auxiliary Services, Campus Police, Physical Plant, Central Scheduling, and Real Estate Operations; Human Resources; Facilities Planning; and such other units and personnel as may be designated by the President.

In accordance with the Bylaws, the Vice President for Administration shall serve as the Deputy Treasurer of the Trustees of the University of Wyoming, and shall exercise all duties and responsibilities incident to this position, including the receipt, custody and recording of all monies or funds payable to the Trustees, the Treasurer, the University, or any of its colleges, divisions, or departments and the disbursement or investment of such funds and monies as authorized by the Trustees. Such disbursements shall be on vouchers authorized and approved by the Vice President for Administration or designee.

D. Vice President and General Counsel

The Vice President and General Counsel provides legal advice to the University, supervises the General Counsel's Office, and coordinates communications with the state's Attorney General. The Vice President and General Counsel is responsible for administration of UW Regulations and procedures related to risk management, environmental health and safety, and discrimination and employment practices and has administrative responsibility for the Diversity and Employment Practices Office and the Risk Management and Safety Office.

E. Vice President for Information Technology

The Vice President for Information Technology shall be responsible to the President for the general information technology functions of the University. As the chief information officer of the University, the Vice President shall oversee and manage the elements of Information Technology, including administrative and academic computing, networking, telecommunications, computing laboratories and customer support services.

The Vice President shall advise the President and the University community on issues involving Information Technology and data privacy; develop and manage computing standards, network architecture and security; determine information integration methodologies; and work with internal and external constituents to support diverse technology needs and build consensus on information technology issues. The Vice President shall be an advocate for the development and use of technology in instruction, academic support, research, social media, and institutional support.

The Vice President shall evaluate and analyze beneficial emerging and advanced technologies and provide a stable, reliable technology infrastructure for the University.

F. Vice President for Institutional Advancement

The Vice President for Institutional Advancement shall be responsible to the President for private fundraising and University relations with alumni and friends, and shall maintain administrative supervision of the Office of Institutional Advancement. The Vice President's primary functions shall include seeking private financial support for the University, coordinating private development and fundraising activities, and communicating with the University of Wyoming Foundation.

The Vice President shall initiate, organize, or direct such actions as are necessary and appropriate to ensure that development and alumni/friends relations are

properly implemented and coordinated, and shall consult with and advise the President on all development and alumni/friends relations.

G. Vice President for Research and Economic Development

The Vice President for Research and Economic Development shall be responsible to the President for the general administrative supervision and coordination of research programs conducted by units of the University. The Vice President shall be responsible for reviewing and evaluating proposed research and economic development programs; continuing review of existing contracts and grants; and maintaining research compliance, including oversight of the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), conflict of interest in research, and export control. The Vice President shall also be responsible for responding to allegations of research misconduct and shall serve as the Research Integrity Officer for the University.

The Vice President shall be responsible for maintaining an assessment of the available research capabilities of the University and shall interact with governmental agencies or other entities sponsoring or seeking research or investigatory studies.

The Vice President shall have administrative supervision over the following research units: Research Services, Sponsored Programs, the Advanced Research Computing Center (ARCC), the Wyoming IDEa Networks for Biomedical Excellence (INBRE) Program, the University of Wyoming-National Park Service Research Center, the Neuroscience Center, the Water Research Program/Office of Water Programs, Wyoming EPSCoR/IDEa, the Wyoming Natural Diversity Database (WYNDD), the Wyoming Research Products Center, the Humanities Institute, and any such other units as may be designated by the President.

The Vice President shall have administrative supervision over the following economic development units: the Wyoming Procurement Technical Assistance Center (PTAC), Manufacturing Works, the Market Research center, the Wyoming SBIR/STTR Initiative (WSSI), the Wyoming Small Business Development Center (SBDC), the Wyoming Technology Business Center (WTBC), and any such other units as may be designated by the President.

H. Vice President for Student Affairs

The Vice President for Student Affairs shall be responsible to the President for the general administrative leadership and coordination of programs and services designed to support the learning and development of UW students.

In partnership with UW faculty, staff and students, the Vice President for Student Affairs shall orchestrate the enrollment management programs of the University to recruit and retain a student body of the size and diversity appropriate to the

needs of the state, the demands of the workforce, and the resources of the institution. The Vice President shall develop and deliver services, programs and facilities that promote the intellectual, personal, cultural and civic development of students; coordinate efforts to create a caring community in which individuals are respected, encouraged to pursue excellence, and assisted in achieving their potential; and foster the celebration of diversity of individuals and cultures.

The Vice President for Student Affairs shall have administrative supervision over the following units: Admissions Office, including International Students and Scholars; Alumni Relations; the Associated Students of the University of Wyoming (ASUW); Cowboy Parents; the Center for Advising and Career Services; Campus Recreation; Dean of Students, which includes Multicultural Affairs; Office of the Registrar; Residence Life and Dining Services; Student Educational Opportunity, which includes the University Disability Support Services; Student Financial Aid; Student Health Service; University Counseling Center, which includes the AWARE program; Wyoming Union; and any other such units or responsibilities as may be designated by the President. Each unit shall be headed by a director who shall be responsible for all matters relating to the administrative affairs of that unit.

I. Director of Intercollegiate Athletics

The Director of Intercollegiate Athletics shall be responsible to the President for the planning, direction and management of the Athletics Division.

Athletic coaches shall not be considered officers of the University but shall be contractual employees. The President shall have the authority to appoint any athletic coach with a one-year contract and shall consult with the Executive Committee of the Trustees prior to appointing any coach with a multi-year contract.

J. Vice President for Governmental and Community Affairs

The Vice President for Governmental and Community Affairs is responsible to the President for establishing and implementing the University's plans for relations with federal, state, and local government officials. The Vice President represents the University in its communications with elected officials at all levels, including all federal and state legislation. The Vice President provides advice, assistance, and information to the Trustees, the President, and other University units with respect to government relations.

The Vice President has administrative responsibility for the Institutional Communication and Institutional Marketing Departments.

III. THE ACADEMIC ORGANIZATION OF THE UNIVERSITY

A. Academic Personnel

The faculty consists of (a) all persons having professional ranks (professor, associate professor, assistant professor, or instructor), (b) librarians of all ranks, and (c) archivists of all ranks. Persons having professorial ranks are either non-tenure track or tenure track. Non-tenure track faculty include clinical, visiting, and adjunct professors of all ranks. Tenure-track faculty include probationary and tenured faculty members. Persons having librarian or archivist ranks are either non-extended-term track (previously referred to as "temporary") or extended-term track. Extended-term track librarians and archivists include individuals holding probationary or extended-term appointments.

Academic professionals include (a) lecturers of all ranks, except as noted below; (b) research scientists of all ranks; (c) extension educators of all ranks; and (d) postdoctoral associates. All postdoctoral associates are non-extended-term track employees. Academic professionals in the other categories may be non-extended-term track or extended-term track. The latter category includes academic professionals holding probationary or extended-term appointments.

Non-tenure track, visiting, and adjunct faculty members and non-extended-term track academic professionals are non-voting academic personnel. Specific University regulations govern the voting rights of other academic personnel in such matters as reappointment, tenure, promotion, extended terms, representation in the Faculty Senate and its standing committees, and college- and university-level committees. Emeritus status reflects the Trustees' recognition for long and distinguished service by a retired faculty member or academic professional and carries no voting rights.

Current employees who have held the rank of lecturer since before the implementation of the academic professional category and who have not elected to convert to the academic professional category retain the title lecturer, along with the status formerly associated with that title. In particular, they retain faculty status, appointments subject to annual renewal, and any voting rights associated with the lecturer title before 1992.

The University Faculty, subject to approval by the President and the Trustees, shall formulate educational and academic policies for the University as a whole; shall promote the general welfare of the University, its students and the faculty; and shall establish bylaws for its organization pursuant to which it may adopt regulations in accordance with UW Regulation 1-101.

B. Colleges

The University shall have the following colleges: Agriculture and Natural Resources, Arts and Sciences, Business, Education, Engineering and Applied Science, Health Sciences, and Law.

Each college and the Haub School of Environment and Natural Resources shall be headed by a dean who shall be responsible for all matters relating to the educational and administrative affairs of the college or school and who shall report to the Vice President for Academic Affairs. The dean shall preside at meetings of the college or school faculty, recommend the college or school budget in consultation with the heads of subunits within the college or school, transmit and recommend appointments and promotions with respect to academic personnel and staff of the college or school and exercise general administrative supervision over the educational programs and operations of the college or school.

The faculty of the college or school shall consist of the President of the University and the Vice President for Academic Affairs (serving as ex officio without vote), the dean, and all members of the University faculty serving in the college or school.

The college or school faculty shall, subject to the authority of the President and the Trustees, have jurisdiction in all academic matters within the scope of the college or school, including the determination of curricula, the standards for admission to, continuation in, and graduation from the college school, except as authority is otherwise limited by maintenance of general University educational policy and correct academic and administrative relations with other units of the University. Questions of autonomy and jurisdiction between a college or school faculty and the University faculty or between two college faculties shall be adjudicated by the President of the University, subject to appeal to the Trustees.

The college faculty, through the dean of the college or school, shall recommend candidates for diplomas and degrees in course to the President and the Trustees. Subject to the approval of the Trustees, each college or school may be organized into schools, departments, divisions or faculties under the general directions of an academic officer.

C. Graduate Education

Graduate education at the University shall be the primary responsibility of the faculty, department head/chair and Deans of the academic colleges or the Haub School of Environment and Natural Resources -and interdisciplinary programs under the oversight of the Vice President for Academic Affairs or designee. Policies pertaining to individual degrees and majors, graduate program admission and degree completion processes are outlined in the University Catalog. The Graduate Council, a standing committee of the Faculty Senate, shall be

responsible for reviewing proposals for new academic programs and making recommendations to the Vice President for Academic Affairs, reviewing policies for graduate education, and providing an appellate body to review appeals of graduate students. The membership and charge of the Graduate Council is outlined in UW Regulation 6-702. The faculty shall recommend candidates for advanced degrees and diplomas to the President and the Trustees through the college or school dean or interdisciplinary program director.

D. The Outreach School

The Outreach School shall be headed by a Dean who shall report to the Vice President for Academic Affairs and shall be responsible for the recommendation of the Outreach School budget and for the administration of the programs and functions of the School.

E. University Libraries

University Libraries shall be headed by a Dean who shall be responsible for the provision of library services, and for the recommendation of the Library budget. The Dean shall report to the Vice President for Academic Affairs. Librarians at the University shall be appointed by the Trustees. Recommendations for such appointment shall be initiated by the Dean, and shall be forwarded to the Vice President for Academic Affairs who shall add his/her recommendations to the President for recommendation to the Trustees. The designation "Librarian" shall be an academic title, signifying faculty status, and shall apply only to those qualified to provide professional library services in support of the University's instructional, research and public service functions, including the following:

1. Selection and development of library collections and other informational resources;
2. Bibliographical control of collections and their organization for use;
3. Reference, bibliographic instruction and advisory services;
4. Development and application of specialized information systems;
5. Library administration and management; and
6. Research where necessary or desirable in relation to the foregoing.

The Librarians shall be subject to a peer review, ranking, promotion and extended-term appointment system more specifically set forth in UW Regulations. Recruiting, appointments and salaries will be administered by the Dean, through

the Vice President for Academic Affairs. The principles of academic freedom as defined in these Regulations shall apply to Librarians.

F. Divisions of Military Science and Aerospace Studies

The Divisions of Military Science and Aerospace Studies shall offer such programs in the Reserve Officer Training Corps as may be authorized by the Congress of the United States and the Department of Defense through the Secretaries of the Army and Air Force, respectively, and as approved by the Trustees. The Divisions shall be headed by a Professor of Military Science and a Professor of Aerospace Studies, respectively, who shall report to the Vice President for Academic Affairs. The professors shall be nominated by the appropriate Armed Forces and appointed by the Trustees upon recommendation of the President of the University.

IV. HONORARY DEGREES

Nominees for honorary degrees may be submitted by members or former members of the Trustees, members of the faculty, and alumni. All recommendations shall be submitted in writing to the President of the University by a designated date each year. The President shall refer all nominations to a joint committee consisting of not more than four members of the Trustees appointed annually by the President of the Trustees, three members of the appropriate faculty committee chosen annually by that committee, and the President of the University who shall preside as chairperson without vote.

Source:

Trustee Regulations I, II, III, and IX.B; adopted 1/22/2010 Board of Trustees minutes
Revisions adopted 11/18/2010 Board of Trustees meeting
Revisions adopted 3/23/2012 Board of Trustees meeting
Revisions adopted 1/17/2014 Board of Trustees meeting
Revisions adopted 6/16/2014 Board of Trustees meeting
Revisions adopted 7/17/2014 Board of Trustees meeting
Revisions adopted 7/17/2014 Board of Trustees meeting
Revisions adopted 1/20/2016 Board of Trustees meeting

UW REGULATION 5-1 Academic Personnel

A. ACADEMIC FREEDOM

Education flourishes only when academic personnel have both freedom and responsibilities in the conduct of their official duties. These duties include: teaching activities, including extension and outreach; research and other scholarly work; service; and shared governance. Adopting a system of freedoms and responsibilities helps ensure that the university can serve as a forum in which ideas may be examined openly and rigorously, without implying institutional endorsement. Although many of these freedoms are protected by the First Amendment of the Constitution, they also exist as a fundamental requirement of the mission of the university.

The university adheres to the principles of the 1940 "Statement of Principles on Academic Freedom and Tenure," by the American Association of University Professors. The following expresses the meaning of that statement, updated for current values.

Academic freedom in teaching protects the rights of teachers to teach according to their expertise. Teachers are entitled to freedom in discussing their subject. Teachers have a responsibility to ensure that their teaching is effective and consistent with the standards of the discipline, understanding that disciplines may have diverse points of view on any given subject. Teaching may involve controversial material; however, with academic freedom in the classroom, teachers also have the responsibility to respect others' freedom to express disagreement and alternate opinions.

Academic freedom in research is fundamental to the advancement of truth. Academic personnel are entitled to full freedom in research, publication of the results, and other scholarly activities that are part of their employment. Academic personnel have the responsibility to pursue research and scholarship with integrity and fidelity to their profession and the institution.

Academic freedom does not negate the rights of students and the public to disagree with academic personnel's work, although students are expected to learn material with which they may disagree. Nor does academic freedom shield academic personnel's work from the consequences of expert review by colleagues in their field of study, which is essential to the rigorous evaluation of teaching, research, and creative activity.

Freedom in university governance entails the rights of academic personnel to express their judgments about administrative matters that bear on the university's mission. It includes the right to express agreement or disagreement with institutional policies and the positions of others, including university officials. Academic personnel have the responsibility to participate in university governance and service for the maintenance, health and improvement of the institution.

Freedoms of academic personnel also include the ability to invite guest speakers and artists, who are afforded the same academic freedoms and responsibilities of resident academic personnel. Invitation of guest speakers and artists does not imply university approval or endorsement of the expressed views.

When academic personnel speak or write as citizens, they should be free from institutional censorship or discipline. They should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, exercise appropriate restraint, show respect for others' right to disagree, and make it clear that they are not speaking for the institution.

B. FACULTY

1. DESIGNATION

Faculty status shall be granted at the appropriate professorial rank to those individuals engaged in teaching or research in the colleges of the University, the Haub School of Environment and Natural Resources, and to such other groups or individuals as the Trustees may designate. The general qualifications for the various faculty ranks shall be as follows:

- a. Instructors normally shall have a master's degree and preferably at least one year of additional study or professional experience in the field in which the instructorship is granted.
- b. Assistant professors shall normally hold the terminal qualification in their discipline (e.g., Ph.D., Ed.D., MFA, etc.), and shall have demonstrated ability, through appropriate experience, to perform the functions of the position they are to hold.
- c. Associate professors shall normally hold the terminal qualification in their discipline (e.g., Ph.D., Ed.D., MFA, etc.), shall have established a reputation in scholarship, teaching, artistic creation, or other productive activity in the field in which they are to serve.
- d. Professors, in addition to having the qualifications of associate professors, have demonstrated superior performance overall, being highly successful in the following areas where appropriate:
 - 1.) direction of graduate and undergraduate work and research,
 - 2.) scholarship or other creative work,
 - 3.) teaching,
 - 4.) extension,
 - 5.) service to the university as well as other communities and professional organizations, which may include administrative leadership.

- e. Research professor shall be the title granted to persons who have demonstrated superior capacity for research contributions and are employed fully on external research funding; in addition, these individuals must hold the terminal qualification in their discipline (e.g., Ph.D., Ed.D., MFA, etc.). Such appointments shall be only at the professorial rank and for not more than one year in duration; however, one may be reappointed annually by the Trustees subject to a satisfactory annual performance evaluation and the availability of external funding from contracts and grants. Service as a research professor does not entitle one to tenure and its privileges.
- f. Clinical professor shall be the title granted to those employed to teach in health care related programs offered by the University; the college dean and other appropriate academic officers will determine the appropriate academic qualifications and professional experience for these faculty. Such appointments shall be for not more than one year in duration; however, one may be reappointed annually subject to a satisfactory annual performance evaluation and available funding. Service as a clinical professor does not entitle one to tenure and its privileges.

The general qualifications for faculty designation defined above may be waived or modified at the discretion of the President and the Trustees.

C. FACULTY APPOINTMENT

1. FULL-TIME FACULTY APPOINTMENTS

Faculty members shall be appointed by the Trustees. Recommendations for such appointments shall be initiated by the head of the unit in which the appointment occurs, after full consultation with members of the unit. The recommendations shall then be forwarded through the appropriate academic officers, who shall add their recommendations; the President of the University will then forward his/her recommendation to the Trustees. No appointment shall be binding upon the University unless accepted in writing by the faculty member within the time specified for response, following action by the Trustees. Appointments shall be for a specified period at the appropriate professorial rank as described in this regulation to be classified as follows:

a. Tenure-Track Appointments

Probationary appointments of tenure-track faculty filling a budgeted vacancy normally will be for one academic year; individuals so appointed will be considered for reappointment annually for the term of the probationary period specified in **section D**.

However, in appropriate circumstances, appointments may be for up to three years; continuation during the initial multi-year term will be contingent upon satisfactory annual performance evaluations. If one is reappointed at the termination of the full probationary period, s/he will be granted tenure. Credit for prior experience must be specified in the letter of offer and approved by the Vice President for Academic Affairs. In rare circumstances, tenure and tenure-track appointments may be less than full-time positions.

b. Temporary Appointments

Temporary appointments with faculty rank may be made to address specific instructional or research needs. Such appointments shall not be for more than one year in duration; however, temporary faculty may be reappointed annually subject to a satisfactory performance evaluation. Service as a temporary professor does not entitle one to tenure and its privileges.

c. Visiting Faculty Appointments

Visiting faculty appointments to address specific University instructional needs may be extended to faculty members from other institutions or professional persons who possess special expertise. Such appointments may be with professorial rank but shall not be for more than one year in duration; however, a visiting faculty member may be reappointed subject to a satisfactory performance evaluation. Service as a visiting professor does not entitle one to consideration for tenure and its privileges.

2. PART-TIME FACULTY APPOINTMENTS

The appointment of part-time faculty members during the academic year and for Summer Session will be made by the President of the University upon the recommendation of the appropriate academic officers.

3. EMERITUS APPOINTMENTS

Emeritus status may be awarded to those tenured faculty members and extended-term academic professionals who retire after long and distinguished service to the University. Nominations for emeriti status shall be initiated by the department head and/or dean; the nomination shall then be forwarded through the appropriate academic officers, who shall add their recommendations; the President of the University will then forward his/her recommendation to the Trustees.

4. ADJUNCT FACULTY APPOINTMENTS

Adjunct appointments may be made when deemed appropriate to make available to the University, on a limited or part-time basis, the services of persons who have attained recognition in their professional fields of scholarship, creativity, or other

distinguished accomplishments relevant to University programs. Such appointments may be with faculty rank or clinical faculty status. Adjunct faculty may include academic personnel in other University departments or colleges as well as those employed outside the institution. Each letter of appointment shall set forth the terms and conditions under which services to the University are to be performed by the appointee. Such appointments provide no financial remuneration.

Adjunct appointments will be made by the Trustees of the University, upon the recommendation of the appropriate academic officers, for a period of not more than three years; however, an individual may be reappointed. Service as an adjunct professor does not entitle one to consideration for tenure and its privileges.

D. FACULTY REAPPOINTMENT, TENURE AND PROMOTION

To hold a position with tenure means that the faculty appointment is not subject to termination or substantial reduction in status without adequate justification as outlined in **section E. DISMISSAL OF FACULTY** below.

Therefore, the reappointment procedures are integrally related to the tenure and promotion decisions of those faculty serving probationary appointments. Only those tenure-track faculty who successfully complete this period and are approved by the Trustees, will receive tenure. An individual who is not offered tenure at the end of the probationary period shall not be retained as a faculty member.

The main criteria for reappointment, tenure and promotion decisions are creative development, advancement of knowledge, and dissemination of knowledge. These criteria may be demonstrated in the University's functions of teaching, research, creative contributions, extension, service to the state of Wyoming, professional service, and other University-related activities and services.

Candidates for reappointment, tenure and promotion are evaluated on the academic functions they are expected to perform and the evaluations will appropriately recognize the proportion of time allocated and expected for the particular functions by the candidates at each professorial rank. In addition, the programmatic needs and directions of the University will also be considered in reappointment and tenure cases.

Procedures concerning the review and reappointment of probationary faculty, as well as tenure and promotion of all faculty, shall be initiated as specified in UW Regulations. These decisions are to occur annually and successively, as specified by the Vice President for Academic Affairs, at the department, college or the Haub School of Environment and Natural Resources, and University levels; at each administrative level the cognizant University officer will make a recommendation after having been advised by an appropriate faculty committee or group.

The probationary period for tenure decisions is normally based on rank at the time of initial appointment to the University of Wyoming as set forth below:

1. For instructors, the tenure decision will be made no later than the sixth year.
2. For untenured assistant professors, the tenure decision will be made no later than the sixth year.
3. For untenured associate professors, the tenure decision will be made no later than the fourth year.
4. For untenured professors, the tenure decision will be made no later than the third year. Tenure decisions will be considered "early" if the candidate has served fewer years than specified above.

In exceptional cases, a faculty member may request in writing that his/her probationary period for tenure be modified. This request will be forwarded to the Vice President for Academic Affairs after review and recommendation by the department chair and college dean. The Vice President for Academic Affairs will render a decision on the request to modify the probationary period.

The procedures and consequences of mandatory and optional reviews for probationary faculty are specified in UW Regulations.

When an individual on probationary appointment is not recommended for reappointment, the President shall advise the faculty member in writing of this decision at least three months prior to the end of the contract year for those in their first year of service, at least six (6) months for those in their second year of service and at least twelve (12) months for those who have served more than two years at the University. Academic year contracts terminate one week following spring commencement.

The promotion of faculty shall also be initiated in accordance with the procedures specified in UW Regulations. Promotion decisions for assistant professors being considered for associate rank will normally occur during the sixth year of service; decisions prior to the sixth year will be considered "early." Promotion decisions for associate professors being considered for the rank of professor are not tied to years of service. Instead, they hinge on the depth, level, and national or international scope and recognition of the candidate's contributions to the discipline and the University's mission. Associate professors seeking promotion to professor normally undergo a period of additional growth that results in a greater level of accomplishment and intellectual leadership.

A faculty member who has been offered tenure, and who has refused to accept tenure, can be reappointed annually at the discretion of the department in which this individual holds an appointment; in addition, any such person shall have all rights and responsibilities of tenured faculty members except permanent appointment.

As noted in paragraph B.1., not all faculty members are eligible for tenure. Faculty employed as lecturers in intercollegiate athletics, research professors, clinical professors,

temporary, visiting or adjunct faculty, those serving with archivist or library faculty status and officers in the Divisions of Military Science and Aerospace Studies are among those excluded.

Administrative and academic officers do not have tenure in their administrative positions and shall serve in such capacity at the pleasure of the President and/or the Trustees. If they hold concurrent faculty appointments, they may be granted tenure in the faculty position at the discretion of the Trustees. However, no one shall forfeit tenure by reason of appointment to an administrative position.

Reappointment, tenure and promotion evaluations and recommendations shall be communicated to the individual in writing by the dean, or equivalent academic officer, prior to forwarding the information to the Vice President for Academic Affairs Office.

If the faculty member desires to comment upon the recommendation or evaluation, he/she may do so by forwarding written comments to the appropriate University officers. This information will become part of the candidate's tenure and promotion packet.

E. DISMISSAL OF FACULTY

Tenured or extended term faculty members may be dismissed (1) for cause, (2) because of *bona fide* financial exigencies of the University as described in UW Regulation 6-41, or (3) because of program elimination as described in UW regulation 6-43. "Cause" is defined to include physical or mental incapacity (as delimited by federal and state disability law) and any conduct which seriously impairs the ability of the University of Wyoming to carry out its functions. Such conduct includes neglect of duty, falsification, fabrication, or plagiarism, and behavior that leads to a conviction of a felony. Such conduct also includes discrimination as defined by UW Regulation 1-5 and sexual misconduct pursuant to UW Regulation 8-256 and any other related documents and applicable UW Regulations. Proposed dismissals of faculty members for cause must follow the procedures set forth in UW Regulation 5-801. The procedures set forth in UW Regulation 5-801 do not apply to dismissals of faculty members because of *bona fide* financial exigencies or because of program elimination (see Appendix B to UW Regulation 5-35, which provides a process for hearing the appeal of any faculty member whose appointment is terminated pursuant to UW Regulation 6-41 or UW Regulation 6-43).

During the probationary period, the President of the University may dismiss a faculty member for cause prior to the expiration of the contract period after consultation with the appropriate administrative and/or academic officers. The President, prior to acting may, if he/she determines it to be necessary or desirable, cause an investigation to be made and may order a hearing by the appropriate faculty committee. The procedures set forth in UW Regulation 5-801 do not apply to dismissals of faculty members for cause during the probationary period.

These provisions shall not be interpreted as to constitute interference with academic freedom.

F. ACADEMIC PROFESSIONALS

1. DESIGNATION OF ACADEMIC PROFESSIONALS

Academic professionals hold academic appointments based upon specialized qualifications and specific job descriptions which enable them to fulfill assigned academic duties within the academic community. These personnel engage in activities which extend and support the teaching, research, extension and service missions of the University.

The Trustees shall approve each category of employees (i.e., extension educators, lecturers, research scientists, etc.) who shall be classified as academic professionals. Rank, academic qualifications, and conditions of employment for these groups are outlined in UW Regulations. Academic professionals with extended-term appointments may be awarded emeritus status upon retirement, following the same process as defined for faculty.

2. APPOINTMENT OF ACADEMIC PROFESSIONALS

Academic professionals shall be on either extended-term or temporary appointments; the appointment may be full-time or part-time depending upon the academic unit's needs and resources. Appointment and reappointment of academic professionals shall be made as set forth in UW Regulations.

a. Approval of Extended-Term Appointments

All extended-term appointments, whether full- or part-time involving either probationary or extended-term status, shall be approved by the Trustees.

Recommendations for such full-time appointments shall be initiated by the head of the unit in which the appointment is to occur, after consultation with members of the unit. Recommendations shall then be forwarded through the appropriate academic officers, who shall add their recommendations; the President will make his/her recommendation to the Trustees.

b. Approval of Temporary Appointments

All temporary appointments, whether full- or part-time, shall be made by the President of the University upon the recommendation of the appropriate academic officers.

No appointment shall be binding upon the University unless accepted in writing by the academic professional appointee within the time specified for response following action by the Trustees or the President.

3. EXTENDED-TERM APPOINTMENTS OF ACADEMIC PROFESSIONALS

Extended-term appointments may be full-time or part-time, depending upon the needs and resources of the academic unit. An academic professional hired on an extended-term track will be required to complete a probationary period before receiving an extended-term appointment. The length of the probation -- ranging up to six (6) years -- will be based on duties and responsibilities of the position, proposed rank, prior service and accepted practices in the professional field. Credit for prior experience must be specified in the initial letter of offer and approved by the Vice President for Academic Affairs.

Following a successful performance review at the end of the probationary period and Trustee approval, an academic professional will receive an extended-term, six-year (6) appointment. Extended-term appointees shall undergo the full reappointment review procedure during the fifth (5) year of their extended term.

4. RANK AND PROMOTION OF ACADEMIC PROFESSIONALS

The academic professional rank structure, as specified for each group, provides for the appointment of individuals at levels commensurate with their education and experience upon initial appointment and subsequently provides promotion ladders which recognize and reward professional performance.

At the time of appointment, the appointing authority (Dean/Director) will recommend the appropriate rank commensurate with the duties and responsibilities of the position and the qualifications of the individual.

Upon satisfying the criteria for promotion as set forth in the appendix appropriate to this appointment, the individual candidate is responsible for initiating the promotion review process as outlined in UW Regulations.

5. DISMISSAL OF ACADEMIC PROFESSIONALS

Academic professionals, whether on a probationary, extended-term or temporary appointment, may be dismissed (1) for cause, (2) because of *bona fide* financial exigencies of the University as described in UW Regulation 6-41, or (3) because of program elimination as described in UW Regulation 6-43. "Cause" is defined to include physical or mental incapacity (as delimited by federal and state disability law) and any conduct which seriously impairs the ability of the

University of Wyoming to carry out its functions. Such conduct includes neglect of duty, falsification, fabrication, or plagiarism; and behavior that leads to a conviction of a felony. Such conduct also includes discrimination as defined by UW Regulation 1-5; and sexual misconduct pursuant to UW Regulation 8-256 and any other related documents and applicable UW Regulations. Proposed dismissals of extended-term academic professionals for cause must follow the procedures set forth in UW Regulation 5-801.

During the probationary period, the President of the University may dismiss an academic professional employee for cause prior to the expiration of the contract period after consultation with the appropriate administrative and/or academic officers. The President, prior to acting may, if he/she determines it to be necessary or desirable, cause an investigation to be made and may order a hearing by the appropriate faculty committee. The procedures set forth in UW Regulation 5-801 do not apply to dismissals of academic professional employees for cause during the probationary period or those on temporary appointment.

These provisions shall not be interpreted as to constitute interference with academic freedom.

**G. VACATION AND LEAVE FOR FACULTY, ACADEMIC PROFESSIONALS,
AND UNIVERSITY OFFICERS**

1. VACATION LEAVE

Full-time faculty, academic professionals (excluding post-doctoral personnel) and University officers on a fiscal year contract are entitled to twenty-two (22) working days of Vacation Leave annually accrued at the rate of 1.834 working days per month. Vacation Leave credits may not accrue beyond the maximum amount which may be earned over two (2) years.

Part-time faculty, academic professionals and University officers on a fiscal year contract shall accrue Vacation Leave based upon a pro rata basis in accordance with the percentage of appointment up to a maximum of 100 percent. Thus, for example, one working three-fourths time earns Leave at 75 percent of the rate of full-time personnel.

Faculty, academic professionals and University officers whose working term is less than twelve (12) months, regardless of the fact that their salaries may be paid in twelve (12) monthly installments, are not entitled to Vacation Leave with pay.

Academic personnel converting from fiscal to academic year appointments will utilize their Vacation Leave prior to assuming their academic year appointments in lieu of a lump-sum payment.

Employees terminating for all reasons other than disciplinary may elect a lump sum payment and/or Terminal Vacation Leave; an employee released for disciplinary reasons must take the accrued Vacation Leave in a lump sum payment. No other type of Leave may be used during Terminal Vacation Leave except Holiday Leave. Dates for Vacation Leave shall be approved by the appropriate administrative supervisor.

2. LEAVES OF ABSENCE

a. Emergency or Short-term Leave With Pay

When one finds it necessary to be absent from regular duties at the University for a period not exceeding two (2) weeks, she/he shall secure approval from the immediate supervisor for the absence. A temporary Leave for more than two (2) weeks, but not to exceed four (4) weeks, may be granted for good cause upon written recommendation of the appropriate administrative superior and with the approval of the President.

An individual making application for such Leave should submit a statement suggesting a plan for carrying on his/her work during the absence. Any Leave in excess of four (4) weeks, except for illness, shall require approval by the Trustees.

b. Leave Without Pay

Upon recommendation of the appropriate administrative and/or academic officers and with the approval of the President of the University, Leaves of Absence Without Pay may be granted to academic personnel by the Trustees for a period normally not in excess of one (1) contract year. Arrangements for continuance of insurance coverage should be made with the Office of Human Resources.

c. Faculty Sabbatical Leave

Sabbatical Leave may be granted to any tenured member of the University faculty for the purpose of increasing the recipient's professional competence and usefulness to the University. Sabbatical Leave time may be used for enhancement of teaching, research, writing, and/or study at a place of the recipient's choosing. University personnel holding faculty rank whose duties are primarily administrative in nature shall also be eligible for Sabbatical Leave.

A minimum of six (6) years of academic service at the University must precede each period of Sabbatical Leave although no right accrues automatically through lapse of

time. The granting of such Leave is, in each case, within the discretion of the Trustees upon the recommendation of the President. Sabbatical Leaves shall ordinarily not be available for the purpose of seeking an advanced degree. Individuals initiate their request for Sabbatical Leave during the Fall semester preceding the academic year for which the Leave is requested. The request, which shall contain a statement concerning the purpose for which the Leave is requested, shall be forwarded to the President of the University through the appropriate administrative and/or academic officers, with a recommendation from each attached.

Sabbatical Leaves will normally be granted for either a full or half contract year. Leave for a full contract year shall be compensated at a rate equal to sixty (60) percent of the faculty member's annual salary; Leave for a half contract year shall be compensated at the annual rate for the limited period. No faculty member shall receive supplemental salary from the University during the sabbatical period.

While on a full contract year Sabbatical Leave -- whether an academic or fiscal year -- outside compensation in the form of grants, contracts and other forms of funding may be accepted. However, in the event that a faculty member receives more than 40 percent of his/her salary from outside sources, the University will reduce its compensation so that salary monies received from University and external sources will total no more than 100 percent of base salary during the period of Leave.

If allowances for travel and other expenses directly related to the Leave are included in the outside grant or contract, the amount of these allowances may be disregarded in computing the contribution to be made by the University.

A faculty member who fails to return to the University for at least one academic year immediately following his or her sabbatical leave shall owe to the University an amount equal to his or her net salary applicable to the term of the sabbatical leave. For this purpose, net salary is defined as gross salary minus tax withholdings and pre-tax deductions for UW's basic health, life, and retirement benefits.

d. Academic Professional Development Leave

Academic professionals on extended-term appointments who have completed a minimum of six (6) years of academic service at the University shall be eligible for Professional Development Leave. The purpose of Professional Development Leave will be to enhance performance, to conduct special studies, or in some other way to undertake planned activities related in a substantial manner to the individual's role at the University. Procedures for applying for such Leave, funding requirements and approval processes are outlined in UW Regulations.

3. SICK LEAVE

Full-time academic personnel, appointed either on a continuing or temporary basis, are eligible to accrue Sick Leave at a rate of eight (8) hours per paid month of service. Paid Sick Leave may be used for absences from duties due to illness, injury, pregnancy and/or childbirth, death in family or medical care of family.

Part-time academic personnel appointed either to a continuing or temporary position shall accrue Sick Leave based upon a pro rata basis in accordance with the percentage of appointment up to a maximum of 100 percent. Thus, for example, one working half-time earns Leave at 50 percent of the rate of full-time employees.

An employee may also use up to six weeks of accrued or donated Sick Leave for the birth of a child and first year care of a child as well as for an adopted or state-placed foster child's care within the first year of placement.

Faculty, academic professionals or University officers are not eligible for Sick Leave until s/he has been in the employ of the University for one (1) month. Faculty, academic professionals and University officers are entitled to accrue an unlimited amount of Sick Leave.

University policy permits benefited employees to donate Sick Leave to assist another experiencing a long-term illness. If one is in an active pay status, and has accrued a minimum of eighty (80) hours of Sick Leave, he or she may donate up to sixteen (16) hours of Sick Leave per calendar year to any benefited University employee; the recipient must have an immediate and reasonable need for such assistance, have exhausted his/her available Sick and Vacation Leave and, finally, have a minimum of six (6) months of current continuous benefited service to the University. The Office of Human Resources will provide information on procedures for donating Sick Leave.

4. FAMILY AND MEDICAL LEAVE

After twelve (12) months of service, benefited employees are eligible for twelve (12) weeks of unpaid Family and Medical Leave in any twelve (12) month period of service. All other non-benefited employees are eligible for twelve (12) weeks of unpaid Family and Medical Leave in any twelve (12) month period if the employee has worked for at least twelve (12) months and for at least 1,250 hours during that time before the Leave request.

Family Leave may be taken because of the birth or placement of a child with the employee. Medical Leave may be taken to care for a spouse, child, or parent if they have a serious health condition or because of a serious health condition that makes the employee unable to perform his/her job functions.

Any questions concerning what is considered a serious health condition should be directed to the Office of Human Resources.

Employees accruing University Vacation and Sick Leave may elect to substitute any part of their accrued Vacation Leave for any part of their twelve (12) weeks of unpaid Family or Medical Leave. However, they will be required to use their Sick Leave, and any donated Sick Leave, when the Leave is for a serious health condition or to care for a sick family member; any remaining portion of the twelve (12) weeks can be taken as Leave Without Pay.

Leave Without Pay taken under unpaid Family or Medical Leave does not require an employee to utilize Vacation Leave prior to Leave Without Pay. When Family Leave is taken, employees may not substitute paid Sick Leave for unpaid Family Leave.

The right to Family Leave usually expires twelve (12) months after the birth or placement of a child with the employee. Family Leave should be taken consecutively unless other arrangements are approved by the employee's appointing authority.

The Human Resources Director, or the employee's appointing authority, shall require certification issued by a health care provider to support an employee's request for Medical Leave. Certification shall include a statement of:

- a. The date the condition began;
- b. Expected date when medical treatment will begin;
- c. Probable duration of the condition;
- d. Appropriate medical facts;
- e. An assertion that the employee is needed to care for a sick family member for a specified time; and
- f. A schedule of the Medical Leave to be taken.

Employees are expected to give their immediate supervisor at least thirty (30) days advance notice of the intent to take Family or Medical Leave, unless such notice is not practical. Employees should try to schedule planned medical treatment so as to create a minimum disruption for their unit or department. They are also encouraged to report to their supervisor on a monthly basis about their progress and intent to return to work at the end of the Leave.

Employees returning from unpaid Family and Medical Leave, in accordance with the federal act, have the right to be returned to their former job position or they may be placed in an equivalent position with equivalent benefits, pay, and other terms and conditions of employment.

State health insurance contributions will be made for all eligible employees who have elected coverage. Employees retain all accrued benefits while on Leave. Employees should direct benefit questions to the Human Resources Department.

Employees who do not return to work after their unpaid Family or Medical Leave entitlement has expired will be required to reimburse the University for any health insurance premium paid by the University during the period that the employee was on Family or Medical Leave if the failure to return to work is not due to the continuation, recurrence, or onset of a serious health condition entitling the employee to Leave or other circumstances beyond the employee's control. In the event that an employee is unable to return to work for health care reasons, s/he will provide the Human Resources Director with certification from the appropriate health care provider.

5. BEREAVEMENT LEAVE

Employees shall be granted up to three (3) days of Bereavement Leave upon the death of a family member or spouse's family member. (This includes and is limited to parent, spouse, child, sibling, grandparent, grandchild, son-in-law, daughter-in-law, or another member of your immediate household.) This Leave shall be used before the use of any other Leave authorized for this purpose. Arrangement for this Leave shall be made with the employee's immediate supervisor.

Source:

Trustee Regulation V; adopted 7/17/08 Board of Trustees meeting
Revisions adopted 9/17/10 Board of Trustees meeting
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Revisions adopted 9/12/14 Board of Trustees meeting
Revisions adopted 3/25/15 Board of Trustees meeting

UW REGULATION 5-408
Guidelines for Establishing Academic Professionals

1. GENERAL INFORMATION

There are four academic professional categories: Extension Educators, Lecturers, Research Scientists, and Postdoctoral Associates.

2. ACADEMIC PROFESSIONALS

I. DEFINITION AND DESCRIPTION

Academic Professionals comprise a category of University academic personnel, distinct from classified and professional staff and faculty, dedicated to the academic mission of the University. Academic Professionals possess specialized qualifications and job descriptions that enable them to fulfill assigned academic duties, maintain peer relationships within the academic community, and enjoy the rights to academic freedom accorded to faculty, as described in UW Regulation 5-1. The central role of this category of employees is to support specific aspects of the teaching, research, extension, and service missions of the University.

This section contains the core conditions and terms of employment common to all categories of Academic Professionals. Other sections for Extension Educators, Lecturers, Research Scientists, and Postdoctoral Associates outline those conditions and terms of employment that apply specifically to the respective categories.

Extension Educators, Lecturers, and Research Scientists can have temporary or extended-term-track appointments. Postdoctoral Associates can have temporary appointments only.

The purpose of extended-term-track appointments is to foster continued professional growth, accomplishment, and commitment to the University's mission, in cases where such an appointment or its renewal is consistent both with the Academic Professional's demonstrated performance and with the University's programmatic needs and priorities.

Academic Professionals on extended-term-track appointments generally start their appointments with a probationary period, during which they undergo annual reviews for reappointment. After completing the probationary period, extended-term-track Academic Professionals may be appointed to extended terms. The review for the transition from probationary appointment to extended-term appointment occurs in the last year of the probationary period.

Extended terms are six years in length for all categories, with the review for renewal of an extended term occurring in the fifth year. If a review for extended-term renewal is successful, the next six-year extended term shall begin at the end of the sixth year of the current extended term.

Stable fiscal support, normally in the form of salary and benefit funding from Section I of the University's budget, is a necessary but not sufficient condition for an extended-term-track appointment.

Temporary appointments are normally for periods of no longer than a year at a time, ending no later than the end of the current fiscal year, although the appointments may be renewable. Temporary appointments carry no rights to extended-term-track appointment.

II. CLASSIFICATION, AUTHORIZATION, RECRUITMENT AND GENERAL EMPLOYMENT PROVISIONS

A. Classification and Authorization of Positions

Filling an Academic Professional position requires a request and authorization by the Vice President for Academic Affairs, as well as approval by all appropriate college deans. When the appointment is to be made in a department of an academic college or the Haub School of Environment and Natural Resources, the appropriate dean is the dean of the college or school. The request must describe (1) whether the position is to be temporary or extended-term-track, (2) the proposed starting rank and salary, (3) the length of the probationary period if the position is on the extended-term track, (4) the source of funding for the position if it is temporary, and (5) the duties and responsibilities associated with the position.

B. Recruitment

University policies related to equal employment opportunity and affirmative action shall apply to Academic Professional searches and appointments. Searches may be national, regional, or local in scope, depending upon the nature of the position.

C. General Employment Provisions

1. Ranks

Within the categories of Extension Educator, Lecturer, and Research Scientist, there are three ranks, denoted by the labels Assistant, Associate, and Senior. Associated with each rank are expected levels of professional accomplishment, typical educational attainment, and contributions to the mission of the University. The appendices describe these levels in more detail.

Any initial appointment should be at a rank that is consistent with the criteria for that rank.

There are no ranks in the category of Postdoctoral Associate.

2. Appointment Process

The appointing authority for Academic Professionals is the dean or director or, if none is appropriate, the Vice President for Academic Affairs. Appointments require approval by the Vice President for Academic Affairs and authorization by the Board of Trustees. Each newly appointed Academic Professional should receive a letter of initial appointment from the appointing authority or the appropriate supervisor, normally a department head. This letter should specify the conditions of employment, including the rank, salary, benefits, and status as an extended-term-track or temporary employee.

3. Job Descriptions

The appointing authority has the responsibility to ensure that each Academic Professional has a job description. The job description must be specified as part of the initial position authorization. Job descriptions will include a description of duties and the proportion of effort allocated to each major duty. The appendices describe the duties appropriate for Extension Educators, Lecturers, and Research Scientists.

Job descriptions are subject to revision at any time during the appointment period, to meet the needs and priorities of the University. All changes in job descriptions for extended-term-track Academic Professionals must be reported to the Vice President for Academic Affairs.

4. Performance Reviews

Each Academic Professional, whether on temporary, probationary, or extended-term appointment, should undergo periodic performance reviews. Each such review should include a review of the job description.

Performance reviews of temporary academic professionals should be annual and should be completed before reappointment is offered. Performance reviews of probationary, extended-term-track Academic Professionals shall occur on a schedule consistent with the reappointment reviews prescribed in Section III.A.1. Performance reviews of Academic Professionals on extended-term appointments shall occur at least biennially.

The purposes of performance review are (1) to evaluate the employee's effectiveness in fulfilling responsibilities in the job description, (2) to document professional growth and development, and (3) to establish goals for the future. The format of the review should be consistent with the scope of the Academic Professional's responsibilities. It should include appropriate peer and supervisory input as well as input from such constituencies as students, faculty, administrators, and members of the community, as appropriate. The review should address the duties outlined in the job descriptions, proportion of effort allocated to these duties, and performance relative to standards.

A copy of the performance appraisal shall be maintained in the employee's personnel file. Academic Professionals must review their performance evaluations; they have the right to make written comments, which become part of the performance review record.

III. TYPES OF ACADEMIC PROFESSIONAL APPOINTMENTS

A. Extended-Term-Track Appointments

Extended-term-track appointments include extended-term appointments as well as probationary appointments that may lead to extended-term appointments. They may be full-time or part-time depending upon the University's programmatic needs and resources.

1. Probationary Period

An Academic Professional hired on an extended-term-track appointment must successfully complete a probationary period, normally six years in length, before receiving an extended-term appointment. In exceptional cases, with the approval of appropriate peers (as defined in the appendices), the appointing authority, and the Vice President for Academic Affairs, Academic Professionals may begin their employment with extended-term appointments.

Credit that is to be applied toward the probationary period must be specified in writing at the time of initial appointment and approved by the Vice President for Academic Affairs. Abbreviated probationary periods should be rare, a necessary but not sufficient condition for their approval being a convincing record of accomplishment directly related to the elements of the job description. In no case shall credit toward the probationary period exceed three years.

The purpose of the probationary period is to allow the Academic Professional to exhibit mastery of major areas of the job duties and to demonstrate convincing promise for continuing professional growth and development, accomplishment, and commitment to the mission of the University.

Academic Professionals on probationary appointments must undergo annual reviews for reappointment with two exceptions. In cases in which all levels of review agree in the second- or fourth-year review, an Academic Professional may skip the reappointment reviews in the third and fifth years of the probationary period. Reappointment reviews should involve detailed, documented assessments of the Academic Professional's performance in all elements of the job description. Reappointment is contingent both on meritorious performance and on the continued consistency of the position with the University's programmatic needs and priorities.

If the annual probationary review results in a decision not to reappoint, the Academic Professional shall receive notification of this decision from the Vice President for Academic Affairs. For probationary Academic Professionals on academic-year appointments, notification shall be sent (a) at least three months before the end of the

terminal academic year if the employee is in the first year of service, (b) at least six months before the end of the terminal academic year if the employee is in the second year of service, and (c) at least 12 months before the end of the terminal academic year if the employee has two or more full years of service. Probationary Academic Professionals on fiscal-year appointments are entitled to continued employment for a specified period after notification of nonreappointment is sent. This period shall be (a) three months if the employee is in the first year of service, (2) six months if the employee is in the second year of service, and (3) 12 months if the employee has two or more full years of service.

An Academic Professional who is not granted reappointment shall not be retained. In such cases, the individual shall have the right to resign before the end of his or her employment, with the record reflecting only that the employee resigned.

Within the contract period (the academic or fiscal year, as appropriate), probationary appointments are terminable only for cause, as defined in UW Regulation 5-1(E), or for reasons of *bona fide* financial exigencies or program elimination. Officers of the University shall not employ this provision in a manner that interferes with academic freedom.

2. Promotion Ladders

Promotion in rank must follow a thorough performance review, the general features of which include review by peers, faculty and administrators at the department, college or the Haub School of Environment and Natural Resources, and university level. Details of promotion review procedures appear in the appendices.

The appraisals developed during performance reviews should constitute a significant element of deliberations regarding promotion. They should also constitute a significant element in decisions regarding reappointment, extended term, and extended-term renewals, although the needs and priorities of the University may also enter these deliberations. The appointing authority shall notify any candidate who receives a negative recommendation for reappointment, promotion, or extended-term appointment or renewal and shall discuss the rationale for the recommendation with the candidate.

Although it may be administratively convenient to conduct promotion reviews at the same time as reviews for extended term or extended-term renewal, these types of review need not be simultaneous. A level of accomplishment commensurate with a rank higher than Assistant is normally a necessary condition for an extended-term appointment. However, in extraordinary cases a promotion to the Associate rank can occur earlier. The attainment of Associate rank is no guarantee of probationary reappointment, extended-term appointment, or extended-term renewal.

3. Compensation

Salaries for extended-term-track Academic Professionals should be consistent with the salaries of professional peers, market conditions, and available resources. Rules

governing eligibility for benefits are the same as those that apply to professional staff. Academic Professionals who have academic-year appointments are not eligible for paid vacation leave, although their salaries may be paid in 12 monthly installments.

The Board of Trustees has the authority to establish salary adjustment guidelines. The Vice President for Academic Affairs will consider recommendations from the appointing authorities before implementing salary adjustments.

4. Appeals and Disputes

An extended-term-track Academic Professional seeking to resolve disputes regarding conditions of employment, working conditions, assignments, and other concerns must do so initially through dialogue with his or her immediate supervisor. The paragraph below governs the resolution of disagreements regarding reappointment, promotion, extended-term appointments and renewals, and professional development leaves. UW Regulation 1-5 governs complaints involving discrimination and harassment. The procedures for resolving disputes and disciplinary matters are those prescribed in UW Regulation 5-35.

A candidate who has received from the Vice President for Academic Affairs a negative decision for reappointment, promotion, or extended-term appointment or renewal has the right to appeal the decision to the President of the University. The President may appoint a committee of Academic Professionals to make recommendations on the case. The President shall inform the candidate, in writing, of the President's decision.

Any termination of an extended-term-track Academic Professional for cause must follow the procedures established in UW Regulation 5-801 for dismissal of faculty. In these procedures, elements that apply to nontenured faculty shall apply to probationary Academic Professionals, and elements that apply to tenured faculty shall apply to extended-term Academic Professionals. The procedures set forth in UW Regulation 5-801 do not apply to dismissals of probationary Academic Professionals or on temporary appointment.

5. Professional Development Leave

Academic Professionals who have extended-term appointments are eligible for professional development leave, provided they have completed at least six years of service to the University before beginning the leave. No right to professional development leave accrues through lapse of time. Instead, the granting of professional development leave is contingent upon a sound plan for activities that will enhance professional expertise, impart special skills related to the job description, or otherwise contribute substantially to the University's long-range interests. It is also contingent upon institutional needs and resources, as documented in a specific plan for the replacement of the employee's duties during the leave.

Professional development leaves may be up to one year in duration. Unlike sabbatical leaves for faculty, professional development leaves for Academic Professionals may be appropriate vehicles for the pursuit of advanced degrees.

Terms governing compensation for professional development leave shall parallel those governing sabbatical leave for faculty. Final approval of professional development leave shall be upon the recommendation of the Vice President for Academic Affairs and authorization by the Board of Trustees.

No professional development leave may be taken during a grace period following the denial of reappointment, extended term, or extended-term renewal, even if such a leave was approved earlier.

An Academic Professional who fails to return to the University immediately following professional development leave shall be obligated to repay the amount of compensation received from the University during the period of the leave. The minimum duration of the return shall be one academic year for academic-year employees and one calendar year for fiscal-year employees.

6. Governance

Each category of Academic Professionals may have representation in either the Faculty Senate or Staff Council. Academic Professional categories now represented in either Faculty Senate or Staff Council will continue such representation. A simple majority of a category that wishes to change its representation from one governance structure to the other may seek a transfer by petitioning the receiving governance body for approval of the shift. The governing body will make a recommendation to the President.

B. Temporary Appointments

Temporary Academic Professional appointments may be full-time or part-time. The following regulations apply to temporary Extension Educators, Lecturers, and Research Scientists. Regulations governing Postdoctoral Associates appear in section 5.

1. Reappointment and Termination

At the end of the term of temporary employment, temporary Academic Professionals may be reappointed to a subsequent temporary appointment. Appointment or reappointment as a temporary Academic Professional confers no right to an extended-term-track or extended-term appointment, nor does it preclude subsequent consideration for an extended-term-track appointment.

If a temporary Academic Professional is not reappointed at the end of the appointment period, his or her employment will cease at the end of the appointment period.

Either the temporary Academic Professional or the appointing authority may initiate termination of employment before the end of a period of temporary appointment. Such termination requires written notice of the intention to terminate employment and the date of termination. Where feasible, employees and appointing authorities alike should strive to give at least two weeks' advance notice before the termination. The appointing authority shall forward notice of intent to terminate, with appropriate forms, to the Vice President of Academic Affairs.

2. Promotion

Since temporary Academic Professionals hold appointments for at most one year at a time, there is no formal promotion review procedure. Instead, if a promotion is appropriate according to the expectations for the category of Academic Professional, the appointing authority may propose one at the time that the appointment is renewed.

3. Compensation

Temporary Academic Professional salaries should be consistent with the salaries of professional peers, market conditions, and available resources. Rules governing eligibility for benefits are the same as those that currently apply to professional staff. Temporary Academic Professionals who have academic-year appointments are not eligible for paid vacation leave, although their salaries may be paid in 12 monthly installments.

The appointing authority may recommend salary increases for temporary Academic Professionals. Any such increase requires approval by the Vice President for Academic Affairs.

4. Appeals and Disputes

A temporary Academic Professional seeking to resolve disputes regarding conditions of employment, salaries, working conditions, assignments, and other concerns must do so initially through dialogue with his or her immediate supervisor. UW Regulation 1-5 governs complaints involving discrimination and harassment. The procedures for resolving disputes and disciplinary matters are those prescribed in UW Regulation 5-35.

3. EXTENSION EDUCATORS

I. DEFINITION AND DESCRIPTION

As members of the University of Wyoming Extension, Extension Educators are part of the University's educational outreach system. In keeping with the University's status as a land-grant institution, Extension Educators form an essential link between the people of Wyoming and the teaching, research, and service missions of the University. The primary function of these employees is to provide non-credit education to an off-campus clientele. Extension Educators provide Wyoming youth, adults, and communities with life-long learning opportunities, especially through the application of research-supported information and leadership skills.

An Extension Educator's responsibilities include

- identifying the needs of people in communities to which he or she is assigned,
- developing, implementing, and managing educational and research programs to meet these needs,
- evaluating and documenting changes that occur in response to these programs.

To meet these responsibilities, the Extension Educator must exhibit high levels of professional, scientific, educational, and community-relations skills.

II. EXTENDED-TERM-TRACK APPOINTMENTS

A. Portfolios

A portfolio, developed by the Extension Educator and summarizing his or her performance and contributions, forms the documentary basis for each periodic review during the probationary period and for each review for extended term, extended-term renewal, or promotion. The portfolio should contain at least the following information as it becomes available.

1. Information concerning the initial appointment, including the letter of offer for the position.
2. A summary of all previous reappointment, extended-term, and promotion decisions.
3. The candidate's job description. For probationary reviews, the portfolio should contain all job descriptions covering the probationary period to date. For extended-term renewal, it should contain all job descriptions covering the current extended term. For promotions, it should contain all job descriptions since the previous promotion.
4. Documentation of recommendations at all levels when the recommendations become available, including the supervisor's recommendation, where applicable; recommendations of regional peers (see Section B); recommendations of the college-level committee; and the dean's recommendation.
5. The candidate's complete curriculum vitae.
6. Documentation of the candidate's professional accomplishments.
7. Where deemed relevant and appropriate by the appointing authority, internal and external letters of reference. Such letters may be appropriate in cases involving extended-term or promotion decisions, even if letters were not required in previous reviews. The procedures used for soliciting and handling these letters should follow the prescriptions given in UW Regulation 5-803 for faculty tenure and promotion cases. These letters may appear in a separate envelope to preserve confidentiality, but they must be available in their original forms to people at all levels of review.

B. Reviews During the Probationary Period

Regional Peers. The initial step in the reappointment review is the Extension Educator's submission of the portfolio to the immediate supervisor. The supervisor shall then make the

portfolio available for review by a set of regional peers consisting of all extended-term-track Extension Educators in the peer region. The Dean of Agriculture and Natural Resources is responsible for defining a set of peer regions for the state. In the case of an Extension Educator assigned to a particular academic department, it may be appropriate for the peer region to consist of faculty members and academic professionals in the department. Each regional peer shall review the portfolio and submit a written recommendation to the supervisor, who shall include the recommendations in the portfolio for subsequent levels of review.

Supervisor. The immediate supervisor shall then review the portfolio and add a written recommendation, along with an evaluation form. The candidate shall sign the evaluation form to indicate having reviewed the portfolio, including all written recommendations of regional peers and the immediate supervisor. The candidate may also add a letter of response. The immediate supervisor shall then forward the portfolio, including all recommendations and responses, to the Director of Extension. The Director of Extension shall then submit the case to the Extension Educator Term and Promotion Committee, described in Paragraph F below, for review. In the case of a first-year probationary review, no review by the Extension Educator Term and Promotion Committee is necessary, and the Director of Extension may forward the case directly to the Dean of Agriculture and Natural Resources.

Term and Promotion Committee. Duties of the Extension Educator Term and Promotion Committee are as follows:

- Elect a chairperson from among its members.
- Meet and review the portfolios of all Extension Educators who are candidates for probationary reappointment, extended-term appointments or renewals, and promotions.
- Make written recommendations for all of these candidates to the Dean of Agriculture and Natural Resources.

Each member of the Term and Promotion Committee shall submit a written recommendation for each case. Each recommendation must contain reasons for the recommendation. The chairperson shall forward all recommendations and portfolios to the Dean of Agriculture and Natural Resources.

Dean of Agriculture and Natural Resources. The Dean of Agriculture and Natural Resources shall consult with the Director of Extension to formulate a written recommendation for each case. The candidate shall sign the evaluation form to indicate having reviewed the portfolio, including all written recommendations of the Term and Promotion Committee and the Dean. The candidate may also add a letter of response. The Dean shall then forward the portfolio, including the complete record of recommendations and responses, to the Vice President for Academic Affairs.

Academic Affairs. The Vice President for Academic Affairs may seek comments on any case from the University Tenure and Promotion Committee, augmented by extended-term

Academic Professionals. The Vice President for Academic Affairs shall formulate a recommendation for each case to the President and Board of Trustees. In any case where the recommendation of the Vice President for Academic Affairs is negative, the candidate shall have the right to review the recommendation and any comments from the University Tenure and Promotion Committee. The candidate's signature shall confirm that the review has occurred. In such cases, the candidate shall also have the right to add a letter of response.

C. Reviews for Extended-Term Renewal or for Promotion.

Reviews for extended-term renewal or for promotion of Extension Educators shall follow the process prescribed for reviews during the probationary period, with the portfolio forming the documentary basis for the review. The structure of the portfolio should be as prescribed in II.A.

D. Ranks

There are three ranks for Extension Educators: Assistant Extension Educator, Associate Extension Educator, and Senior Extension Educator. Normally, an extended-term-track Extension Educator should have at least 4 years of experience in rank at the University of Wyoming before being eligible to seek promotion to the next rank. However, time in rank alone is not sufficient to merit promotion. In many cases the mandatory review in the last year of the probationary period is an appropriate time to consider a review for promotion.

Assistant Extension Educator. The qualifications for Assistant Extension Educator include a Master's degree or equivalent experience in a field related to agriculture, youth development, community and economic development, family and consumer sciences or others as deemed appropriate by the Director of Extension. The qualifications also include convincing evidence of both the expertise and the personal skills needed to contribute effectively to the University's extension mission. In some cases the Director of Extension may recommend the hiring of an Assistant Extension Educator who has not completed a Master's degree, provided the position announcement does not require it. In this case the appointment shall be temporary, not on the extended-term track. The Director of Extension may nominate the employee to begin a probationary extended-term-track appointment upon completion of a Master's degree. Such nominations are subject to the approval of the Dean of Agriculture and Natural Resources and the Vice President for Academic Affairs.

Associate Extension Educator. In addition to having the qualifications and skills of Assistant University Extension Educator, the Associate Extension Educator normally shall have at least 4 years of Extension experience. The function of this rank is to plan, develop, and evaluate comprehensive, broad-scope Extension educational programs requiring expertise in at least two subject-matter areas within one or more of the Extension Program Areas. Qualifications required of an Associate Extension Educator include:

- Demonstrated expertise within at least two Extension subject matter areas.

- Demonstrated capabilities and performance characteristics of an Associate Extension Educator, including effective participation in and familiarity with those processes and activities related to the position description. Specific examples include performance in:
 1. Assessing a broad range of clientele needs, including interdisciplinary problems that involve the area and initiative teams
 2. Planning, developing, implementing and evaluating multidisciplinary or interdisciplinary educational programs that utilize and present results from research in the subject-matter areas
 3. Developing program budgets
 4. Providing leadership within the organization
 5. Serving as a member of a civil rights review team
 6. Providing training for other Extension Educators
 7. Providing leadership for and effecting cooperation with Advisory systems
 8. Designing and conducting applied research or demographic studies, analyzing results, and drawing conclusions.
 9. Seeking and utilizing external funding to support the extension program
 10. Creating or designing curricula
 11. Marketing educational efforts through a variety of oral and written methods

Senior Extension Educator. In addition to having the qualifications and skills required of Associate Extension Educators, the Senior Extension Educator must have demonstrated superior leadership capabilities and must be recognized by peers and others as an outstanding educator. To qualify for this rank, individuals must exhibit the following abilities.

- To take leadership in identifying and evaluating critical extension needs of communities.
- To provide direction, planning, and priority setting in the development of programs that meet these needs.

To demonstrate specialized expertise needed to provide educational programs on an area, region, or statewide basis. Evidence of these abilities can include the following elements:

1. Professional recognition, such as regional or national awards, letters of recognition, commendation from colleagues and peers.
2. Publications in refereed or professional journals or other widely disseminated venues.
3. Leadership in the resolution of complex problems, such as the development of interdisciplinary programs and projects requiring long-range educational planning.
4. Experience in planning, conducting, interpreting, and disseminating applied research, demonstration trials, field and home demonstrations, or community studies.
5. Acknowledged administrative and leadership experience.

6. Leadership in training Extension Educators and other professionals.
7. Securing funding as a principal investigator of grant proposals designed to meet unique community needs.

E. Job Descriptions

Job descriptions for Extension Educators may include teaching, research, service, extension, and administration. These job descriptions are subject to annual review and possible revision by the employee and the direct supervisor and are subject to consultation with and approval by the Dean of Agriculture and Natural Resources.

F. Term and Promotion Committee

The Extension Educator Term and Promotion Committee shall have at least one Extension Educator from each peer region and at least one Extension Educator from the Laramie campus. The Dean of Agriculture and Natural Resources is responsible for determining the precise size of the committee. Membership on this committee shall be determined by elections by peers within their respective, peer region or Laramie campus peer groups, with all Extension Educators who hold extended-term appointments being eligible to serve. All extended-term-track Extension Educators, whether on probationary or extended-term appointments, shall be eligible to vote in these elections.

If there are not enough extended-term Extension Educators to fill the required categories, then the Dean of Agriculture and Natural Resources shall identify a broader set of Extension Educators from whom candidates may be selected.

The assigned term of service for members of the Extension Educator Term and Promotion Committee is three years, with members being ineligible for re-election at the end of their assigned terms. Elections are staggered: every third year, one or more members are elected as needed; two members are elected all other years. A committee member undergoing review for reappointment, extended term, or promotion may not serve on the committee during the year of the review. In this case, eligible voters within the appropriate peer region or Laramie campus group shall determine a one-year, temporary replacement from eligible employees within the peer region or Laramie campus group in an election. If a member of the committee leaves for any other reason before his or her assigned term ends, eligible voters within the same peer region or Laramie campus group shall elect a replacement from eligible employees within the peer region or Laramie campus group. The assigned term of the replacement is the remainder of the term held by the departing committee member.

The Director of Extension or a designee shall be responsible for conducting the elections and convening the Extension Educator Term and Promotion Committee. This person may attend the committee's meetings, with the sole purpose of ensuring that the committee adheres to proper procedures.

G. Governance

Extension Educators shall have representation on the Faculty Senate, to be determined by the regulations governing that body.

4. LECTURERS

I. DEFINITION AND DESCRIPTION

Lecturers are Academic Professionals who are engaged primarily in fulfilling the teaching mission of the University. As a necessary part of their teaching responsibilities, lecturers must demonstrate continuing professional development.

II. EXTENDED-TERM-TRACK APPOINTMENTS

Extended-term-track Lecturers include Lecturers who are on probationary appointments as well as those who are on extended-term appointments.

A. Portfolios

A portfolio, developed by the Lecturer and summarizing the employee's performance and contributions, shall form the documentary basis for each periodic review during the probationary period and for any review for extended term, extended-term renewal, or promotion. The portfolio should contain at least the following information:

1. Information concerning the initial appointment, including the letter of offer for the position.
2. A summary of all previous reappointment, extended-term, and promotion decisions.
3. The candidate's job description. For probationary reviews, the portfolio should contain all job descriptions covering the probationary period to date. For extended-term renewal, it should contain all job descriptions covering the current extended term. For promotions, it should contain all job descriptions since the previous promotion.
4. Documentation of recommendations at all levels, including the recommendations of department faculty and other extended-term-track Lecturers in the department, the recommendations of any appropriate department head, tenure and promotion committee, and dean.
5. The candidate's complete curriculum vitae.
6. A summary of the candidate's accomplishments, including a list of courses taught and a syllabus for each. In addition, the portfolio should include detailed information, such as tests, assignments, and other materials related to the assessment of student learning, for a representative suite of recently taught courses.
7. Assessments of the candidate's teaching, including a self-assessment, assessments by faculty and extended-term-track lecturers, an assessment by the department head or other appropriate supervisor, and student evaluations. Student evaluations must

include anonymous evaluations collected in the classroom, but they may also include letters solicited from students familiar with the candidate's teaching.

8. Wherever appropriate to the job description, documentation concerning the candidate's service activities, student advising, and supervisory and administrative performance.
9. Documentation of professional development activities.
10. Where deemed relevant and appropriate by the appointing authority, internal and external letters of reference. Such letters may be appropriate in cases involving extended-term or promotion decisions, even if letters were not required in previous reviews. The procedures used for soliciting and handling these letters should follow the prescriptions given in UW Regulation 5-803 for faculty tenure and promotion cases. These letters may appear in a separate envelope to preserve confidentiality, but they must be available in their original forms to people at all levels of review.

B. Reviews During the Probationary Period

Peers. The following review procedures apply to extended-term-track Lecturers who are in the probationary period. Based on the record in the portfolio and his or her experience, the faculty and extended-term-track Academic Professionals in the department shall review the portfolio and submit recommendations to the department head.

Department Head. The department head shall formulate a written recommendation. The candidate shall sign the evaluation form to indicate having reviewed the portfolio, including all written recommendations. The candidate may also add a letter of response. The department head shall then forward the portfolio and all recommendations to the appropriate appointing authority. In many cases, the appropriate appointing authority will be the dean of the college.

College Tenure and Promotion Committee. The dean of the college may seek recommendations from the college tenure and promotion committee, augmented by a set of extended-term Academic Professionals.

College Dean. The dean of the college shall formulate a written recommendation. The candidate shall sign the evaluation form to indicate having reviewed the portfolio, including all written recommendations. The candidate may also add a letter of response. The Dean shall then forward the portfolio, including the complete record of recommendations and responses, to the Vice President for Academic Affairs.

Academic Affairs. The Vice President for Academic Affairs may seek comments from the University Tenure and Promotion Committee, augmented by extended-term Academic Professionals. The Vice President for Academic Affairs shall formulate a recommendation for each case to the President and Board of Trustees. In any case where the recommendation of the Vice President for Academic Affairs is negative, the candidate shall have the right to review the recommendation and any comments from the University Tenure and Promotion Committee. The candidate's signature shall confirm that the review has occurred. In such cases, the candidate shall also have the right to add a letter of response.

C. Reviews for Extended-Term Renewal or for Promotion.

Reviews for extended-term renewal or for promotion of Lecturers shall follow the process prescribed for reviews during the probationary period, with the portfolio forming the documentary basis for each review. The structure of the portfolio should be as prescribed in II.A.

D. Ranks

There are three ranks for Lecturers: Assistant Lecturer, Associate Lecturer, and Senior Lecturer. Normally, an extended-term-track Lecturer should have at least 4 years of teaching experience in rank at the University of Wyoming before being eligible to seek promotion to the next rank. However, time in rank is not sufficient to merit promotion. In many cases the mandatory review in the last year of the probationary period is an appropriate time to consider a review for promotion.

Assistant Lecturer. Normally, the qualifications for Assistant Lecturer include a Master's degree or equivalent, together with convincing promise for significant contributions to the University's teaching mission. The candidate should also exhibit a commitment to ongoing professional development in the discipline.

Associate Lecturer. The Associate Lecturer will normally have at least a Master's degree or its equivalent. Associate Lecturers must also have a record of demonstrated, significant contributions to teaching, not only through superior performance in the classroom but also through the broader support of the University's teaching mission. Such activities may include but are not limited to the following.

1. Contributions to the design, development, and oversight of curriculum in specific courses.
2. Significant involvement in the coordination of curricula in different courses.
3. Demonstrated breadth and versatility of teaching in a range of courses.
4. Involvement in professional development activities that reflect substantial awareness of the evolution of knowledge and curriculum in the discipline.

Senior Lecturer. In addition to the qualifications for an Associate Lecturer, Senior Lecturers must also have a sustained record of excellence and versatility in the classroom as well as leadership in the design, development, and oversight of curriculum in the discipline. The following list contains some possible elements of such a record; the list is not exhaustive.

1. Demonstrated proficiency in the management of specific courses.
2. Documented participation in national or international discourse on evolving knowledge in the field, curricular developments, and teaching techniques.
3. Participation in the solicitation or administration of external funding to support teaching initiatives.

4. Sustained effectiveness in the mentorship of other teachers, including graduate assistants, other academic professionals, faculty members, or other instructional staff.
5. Substantive involvement in interdisciplinary teaching efforts or other forms of collaboration or articulation, especially those involving other university departments, community colleges, or high schools.

E. Job Descriptions

Elements of the job description that are appropriate for Lecturers include teaching, service, advising, professional development, and, in some cases, administration. Teaching includes such activities as classroom instruction, laboratory supervision, and online or off-campus instruction.

Currency of knowledge being essential to effective teaching, every Lecturer must participate in a program of professional development, the components of which he or she must define in collaboration with the appropriate department head or supervisor. Each department that hires Lecturers has the responsibility to develop written standards by which to gauge individual professional development programs. These standards must be available to candidates for Lecturer positions at the time of hiring. Normally, professional development should account for no less than 1/8 (the equivalent of 3 credits per year) and no more than 1/4 (the equivalent of 6 credits per year) of the job description.

To allow adequate time for professional development, the job description for a full-time Lecturer should require no more than 21 credits (7/8 of the work responsibility) in classroom instruction or its equivalent in other forms of teaching.

F. Governance

Extended-term-track Lecturers shall have representation in the Faculty Senate, to be determined by regulations governing that body.

5. RESEARCH SCIENTISTS

I. DEFINITION AND DESCRIPTION

Research Scientists are academic professionals whose primary responsibilities are to conduct and support research. UW Regulation 5-803 describes the activities that fall into this set of responsibilities for faculty; the same definition of research applies to Academic Professionals.

A Research Scientist typically works under the direction of a faculty supervisor.

II. EXTENDED-TERM-TRACK APPOINTMENTS

Extended-term-track Research Scientists include Research Scientists who are on probationary appointments as well as those who are on extended-term appointments.

A. Portfolios

A portfolio, developed by the Research Scientist and summarizing the employee's performance and contributions, shall form the documentary basis for each periodic review during the probationary period and for any review for extended term, extended-term renewal, or promotion. The portfolio should contain at least the following information:

1. Information concerning the initial appointment, including the letter of offer for the position.
2. A summary of all previous reappointment decisions.
3. The candidate's job description. For probationary reviews, the portfolio should contain all job descriptions covering the probationary period to date. For extended-term renewal, it should contain all job descriptions covering the current extended term. For promotions, it should contain all job descriptions since the previous promotion.
4. Documentation of recommendations at all levels, including the supervisor's recommendation, recommendations of faculty and other extended-term-track Research Scientists in the department, and recommendations of any appropriate department head, tenure and promotion committee, and dean.
5. The candidate's complete curriculum vitae.
6. A brief narrative summary of the candidate's accomplishments, including refereed and nonrefereed publications, original contributions to knowledge, patents, grants and grant proposals, contributions to the support of research, and other forms of professional recognition.
7. Wherever appropriate to the job description, documentation concerning the candidate's teaching effectiveness, service activities, student advising (including advising of graduate students and Postdoctoral Associates), supervisory performance, and any other elements of the job description.
8. Where deemed relevant and appropriate by the appointing authority, internal and external letters of reference. Such letters may be appropriate in cases involving extended-term or promotion decisions, even if letters were not required in previous reviews. The procedures used for soliciting and handling these letters should follow the prescriptions given in University Regulation 803 for faculty tenure and promotion cases. These letters may appear in a separate envelope to preserve confidentiality, but they must be available in their original forms to people at all levels of review.

B. Reviews During the Probationary Period

Faculty Supervisor and Peers. Based on the record in the portfolio and his or her experience, the faculty supervisor shall make the initial recommendation for reappointment or dismissal. The faculty and extended-term-track Research Scientists in the department shall review the portfolio and submit recommendations to the department head.

Department Head. The department head shall formulate a written recommendation. The candidate shall sign the evaluation form to indicate having reviewed the portfolio, including all written recommendations. The candidate may also add a letter of response. The

department head shall then forward the portfolio and all recommendations to the appropriate appointing authority. In many cases, the appropriate appointing authority will be the dean of the college.

College Tenure and Promotion Committee. The dean may seek recommendations from the college tenure and promotion committee, augmented by a set of extended-term Academic Professionals.

College Dean. The dean of the college or the Haub School of Environment and Natural Resources shall formulate a written recommendation. The candidate shall sign the evaluation form to indicate having reviewed the portfolio, including all written recommendations. The candidate may also add a letter of response. The Dean shall then forward the portfolio, including the complete record of recommendations and responses, to the Vice President for Academic Affairs.

Academic Affairs. The Vice President for Academic Affairs may seek comments from the University Tenure and Promotion Committee, augmented by a set of extended-term Academic Professionals. The Vice President for Academic Affairs shall formulate a recommendation for each case to the President and Board of Trustees. In any case where the recommendation of the Vice President for Academic Affairs is negative, the candidate shall have the right to review the recommendation and any comments from the University Tenure and Promotion Committee. The candidate's signature shall confirm that the review has occurred. In such cases, the candidate shall also have the right to add a letter of response.

C. Reviews for Extended-Term Renewal or for Promotion.

Reviews for extended-term renewal or for promotion of Research Scientists shall follow the process prescribed for reviews during the probationary period, with the portfolio forming the documentary basis for each review. The structure of the portfolio should be as prescribed in II.A.

D. Ranks

There are three ranks for Research Scientists: Assistant Research Scientist, Associate Research Scientist, and Senior Research Scientist. Normally, an extended-term-track Research Scientist should have at least 4 years of research experience in rank at the University of Wyoming before being eligible to seek promotion to the next rank. However, time in rank is not sufficient to merit promotion. In many cases the mandatory review in the last year of the probationary period is an appropriate time to consider a review for promotion.

Assistant Research Scientist. In general, the qualifications for Assistant Research Scientist include a Master's degree or equivalent experience in an appropriate field, together with convincing promise for significant contributions to the University's mission in research and scholarship.

Associate Research Scientist. The Associate Research Scientist will normally have at least a Master's degree or its equivalent. Associate Research Scientists must also have a record of demonstrated, significant contributions to research and scholarship, either through wide dissemination of results or through a convincing record of substantial support to the research enterprise. The following list contains examples of such support; the list is not exhaustive.

1. Demonstrated development of expertise at the state of the art, consistent with the job description.
2. Significant contributions to the preparation of successful grant proposals and refereed scholarly manuscripts, where relevant.
3. Evidence of effective mentorship, teaching, laboratory instruction, or supervision of undergraduates, graduate students, or employees whose work is essential to the research enterprise.

Senior Research Scientist. The Senior Research Scientist will normally have a Ph.D. or an equivalent terminal degree, although Associate Research Scientists who have a Master's degree may be eligible for this rank if they have comparable accomplishments in research and scholarship. Senior Research Scientists must also have a sustained record of scholarly initiative and recognized contributions to their fields. The following list contains some possible elements of such a record; the list is not exhaustive.

1. Demonstrated proficiency in the management of a research laboratory or related facility.
2. Distinctive contributions to nationally or internationally recognized scholarship or evidence of nationally or internationally recognized expertise.
3. Demonstrated ability to write or participate significantly in the writing of successful grant proposals and refereed manuscripts.
4. Significant contributions to national or international scientific meetings.
5. Sustained, demonstrable effectiveness in mentorship, teaching, laboratory instruction, and supervision of undergraduates, graduate students, or employees whose work is essential to the research enterprise.

E. Job Descriptions

The elements of the job description that are appropriate for Research Scientists are teaching, research, service, administration, and, in some cases, extension. As a general guideline, if the teaching element of the job description exceeds an average of eight credits per academic year, another category of Academic Professional may be more appropriate.

F. Governance

Extended-term-track Research Scientists shall have representation in the Faculty Senate, to be determined by regulations governing that body.

6. POSTDOCTORAL ASSOCIATES

I. DEFINITION AND DESCRIPTION

Postdoctoral Associates are temporary Academic Professionals dedicated to the pursuit of greater professional expertise after the attainment of the doctoral degree. This category recognizes that doctoral recipients in some disciplines may require intensive advanced work in a particular discipline before seeking permanent employment. Postdoctoral Associates are not eligible for extended-term appointments.

It is characteristic of Postdoctoral Associates to work with a small set of faculty mentors who are responsible for directing the employee's research and training. The temporary nature of internships, the precariousness of grant funding, and the desire of many Postdoctoral Associates to acquire permanent employment early in their careers call for a specific set of governing regulations for this category of employee.

Postdoctoral Associates are employees at will.

II. APPOINTMENT PROVISIONS

A. Appointment Process

The head of the unit sponsoring the Postdoctoral Associate will forward recommendations to the appropriate dean, who will forward his or her recommendation to the Vice President of Academic Affairs for approval. The proposed term of employment normally shall be no longer than one year, although renewal of the appointment is possible.

The head of the sponsoring unit shall specify the terms of appointment in writing to the candidate (salary, starting date, ending date, duties, and other pertinent conditions of appointment), subject to approval by the appropriate college dean. The employee shall receive a letter stating these terms no later than 10 days before the start of employment.

B. Job Descriptions

The faculty mentor is responsible for specifying the job responsibilities of a Postdoctoral Associate. These job responsibilities should not require more than 25 percent of effort (six semester credit-hours per year) dedicated to classroom teaching. If a greater teaching effort is anticipated, the appointment should be as a temporary faculty member or as another category of academic professional.

C. Compensation

Salaries for Postdoctoral Associates should be generally consistent with those for postdoctoral employees in the discipline at large. Salary increases require approval of the appropriate dean and the Vice President for Academic Affairs.

With the exception of annual vacation leave, fringe benefits for Postdoctoral Associates shall be in accordance with University personnel policies and shall be described in the letter of appointment. In lieu of accruing annual leave, Postdoctoral Associates are allowed short-term leave with pay, not to exceed 22 working days per calendar year.

D. Appeals and Disputes

A Postdoctoral Associate seeking to resolve disputes regarding conditions of employment, salaries, working conditions, assignments, and other concerns must do so initially through dialogue with his or her immediate supervisor. UW Regulation 1-5 governs the resolution of civil rights disputes.

Source:
University Regulation 408, adopted 7/17/08 Board of Trustees meeting
Revisions adopted 3/23/12 Board of Trustees meeting
Revisions adopted 11/15/13 Board of Trustees meeting

UW REGULATION 5-804
Appointment, Evaluation and Removal of Academic Administrators

1. STATEMENT OF POLICY

The Trustees of the University of Wyoming observe a policy of administrative accountability, through the President, for the effective operation and distinctive quality of the University. The President is responsible for recommending the appointment or removal of all administrative and academic officers of the University and assuring regular evaluation of their performance. All such University officers serve at the pleasure of the Trustees and may be removed, upon recommendation of the President, at any time and for any reason that is not illegal.

Academic administrators serve several roles as managers of the university, leaders of their academic units, and representatives of the views and interests of their academic colleagues. Therefore, the appointment, evaluation or removal of academic administrators by the President normally shall involve significant faculty participation. This Regulation sets forth the process for personnel treatment of academic administrators and establishes the manner in which faculty participation is anticipated in the process on a timely and consistent basis.

2. DEFINITIONS

As used in this regulation:

A. "Academic Administrators" means those University Officers designated in UW Regulation 1-1 as academic officers to whom academic units report.

B. "Academic Unit" means a department, center, institute, school, college or other academic division to which University faculty are assigned under the aegis of the Vice President for Academic Affairs.

C. "Advisory Committee" means a committee normally composed of a majority of faculty in the affected academic unit, appointed by a reviewing officer, formed to advise on the selection or review of an academic administrator, and including such non-faculty members (e.g., academic professionals, staff, students, or external advisors) deemed appropriate by the reviewing officer. The reviewing officer may serve on any such Advisory Committee or may designate any representative to serve as a non-voting ex-officio member.

D. "Annual Review" means the performance assessment of each academic administrator carried out each year by his or her reviewing officer prior to the assignment of any merit increment, with a written summary prepared for both parties.

E. "Five Year Review" means the comprehensive review of performance and overall effectiveness of an academic administrator conducted five years following appointment

by a reviewing officer from the point of view of the University and of the unit, with advice on the latter by an advisory committee.

F. "Reviewing Officer" means the President, a vice president or a dean with authority to evaluate an academic administrator and recommend his or her appointment or removal.

G. "Special Review" means the review of the performance and overall effectiveness of an academic administrator which may be conducted at any time by a reviewing officer and, in the case of unit heads, upon request of a majority of the unit faculty accepted by the reviewing officer.

H. "Unit Head" means the academic administrator, whether designated as head, chairman, director or similar title, with responsibility for the leadership and management of an academic unit other than a college of the University or the Haub School of Environment and Natural Resources.

I. "University Faculty" means Voting members of the University Faculty as defined by UW Regulation 1-1.

J. "Vice President" means the Vice President for Academic Affairs, Vice President for Research or other principal officer of the university to whom academic units report and to whom the provisions of this regulation apply.

3. APPOINTMENT

Appointment of academic administrators shall be approved by and incumbents shall serve at the pleasure of the Trustees upon recommendation of the President.

A. The at-pleasure appointment of Unit Heads shall be for a defined term (usually three to five years) to be specified at the time of appointment.

B. The appropriate dean or vice president may provide a nomination for the appointment of a department head; however personal review and individual recommendations of such appointments by the President shall be required.

4. SELECTION

Unless otherwise approved by the President or the Trustees, selection of academic administrators normally shall be pursuant to a national or, as appropriate, an international, search by the appropriate reviewing officer in accordance with University equal employment opportunity principles and with the significant participation of an advisory committee. Any advisory committee for the selection of a dean shall include at least one member who is not employed by any university and who has knowledge, training, and experience in a discipline taught within that college or school. The recommendations of any advisory committee or the direct consultation with unit faculty required in this section 4 shall not limit the authority of the Provost/Vice President for

Academic Affairs, the President, or the Board of Trustees with regard to the selection of a dean or any other academic administrator.

A. The selection process must include direct consultation with unit faculty.

B. A selection process may be limited to internal candidates with prior authorization by the President.

C. Consultation on the internal appointment or reappointment of a unit head may be limited to direct consultation with unit faculty.

D. No individual shall be appointed as an academic administrator unless he or she qualifies for tenure and, on appointment, has been recommended for tenure by the appropriate faculty.

5. EVALUATION

The President, vice president or dean, as appropriate, shall evaluate each academic administrator on an annual basis and shall, each five years following appointment, conduct an assessment of the effectiveness of the academic administrator's leadership of the academic unit. The reviewing officer shall seek input from the unit faculty as part of the assessment.

A. Annual Review

1. Annual review shall be conducted by the appropriate reviewing officer each year prior to the approval of the University's annual budget with a written summary prepared for both parties.

2. The reviewing officer shall maintain a performance file containing comments and suggestions received in the previous year related to the performance of the academic administrator under review.

3. The annual review shall include an assessment of the following factors:

- a. effectiveness in meeting the goals of the academic unit and the University
- b. leadership, professional competence and working relationships
- c. review of the performance file and other materials that have been brought to the academic administrator's attention prior to the annual review by the reviewing officer.

4. The reviewing officer may consult with individual faculty members, an ad hoc committee, or any other persons familiar with the administrator's performance.

5. Any merit increment awarded to an academic administrator shall be linked to the annual review.

B. Five Year Review

1. Every five years, or more often if circumstances warrant, and prior to the reappointment of any unit head, the appropriate reviewing officer shall conduct a comprehensive review of the performance and overall effectiveness of each academic administrator.
2. The review shall reflect the views of both the University and the academic unit; and the reviewing officer shall be advised on the views of the academic unit by an advisory committee which shall:
 - a. Consider the annual reviews of the academic administrator; solicit the opinions of faculty, students, staff and administrators; and examine objective data regarding the progress of the academic unit.
 - b. Submit a confidential, reasoned report, a draft of which shall be submitted to the academic administrator for comment, assessing the strengths and weaknesses of the academic administrator, and providing suggestions for improvement, as appropriate.
 - c. Develop a summary of their report in cooperation with the reviewing officer, who shall distribute the summary to the academic unit.

C. Special Reviews

1. A reviewing officer may conduct a special review of an academic administrator at any time, which shall follow the procedures established for a five year review.
2. A majority of an academic unit may request a special review of its unit head at any time.
3. In the event a reviewing officer, after consultation with a unit faculty, does not support a request for a special review and the faculty do not recede from the request, the matter shall be referred to the vice president for a decision.
4. At the discretion of the Vice President for Academic Affairs, a special review, pursuant to this Regulation, may be conducted for any academic support unit as such is designated by the Vice President.

6. REMOVAL

Reviewing officers may recommend the removal of an academic administrator at any time for any reason that is not illegal. However, no removal of an academic administrator shall be final until acted upon by the Trustees upon recommendation of the President.

Source:

University Regulation 804, Revision 2; adopted 7/17/08 Board of Trustees meeting
Revisions adopted 1/17/14 Board of Trustees meeting

UW REGULATION 7-580
Regulations of the Haub School of Environment and Natural Resources

I. PURPOSE.

To establish the regulations of the Haub School of Environment and Natural Resources.

II. ADMINISTRATIVE ORGANIZATION OF THE SCHOOL.

A. Dean

The chief administrative officer of the School shall be a Dean appointed in accordance with UW Regulations. The Dean shall be responsible for all matters relating to the educational and administrative affairs of the School.

B. Associate Deans

There may be one or more Associate Deans appointed by the Dean in consultation with the School faculty and shall assist the Dean in all matters relating to the educational and administrative affairs of the ~~college~~School.

C. Evaluation

The Dean shall be responsible for providing a system to annually evaluate the performance of each administrative officer of the School. This evaluation shall be conducted in accordance with established job descriptions and shall include written input from the faculty for which the administrator has responsibility. These evaluations shall be considered in any reappointment procedures.

III. COMMITTEES.

A. Standing Committees

The School may establish standing committees. The membership, duties, and governing procedures for committees shall be defined in the School By-laws in accordance with any relevant UW Regulations.

B. Other Committees

Ad hoc committees may be established by the Dean following consultation with the faculty. The Dean shall have the responsibility of appointing other committees as the Dean deems necessary to assist the Dean in performing the administrative functions of the School.

IV. FACULTY.

A. Membership

The voting membership of the School shall include the Dean and all members of the School faculty, whether full-time or sharing ~~an~~ appointments in ~~another a~~ college with at least a 50% appointment in the School. The School faculty shall consist of all persons having the faculty rank of professor, associate professor, assistant professor, or academic professional (lecturer, ~~or instructor~~ research scientist or extension educator). All individuals holding full-time temporary ~~or lecturer~~ positions become voting members of the faculty after employment for two consecutive academic years or longer.

The ex officio membership of the School shall have no voting privileges and shall include the (1) the President of the University and the Vice President for Academic Affairs, (2) Faculty Emeriti, (3) visiting and adjunct professors; and (4) all individuals holding temporary or part-time faculty appointments of less than two consecutive academic years.

B. Powers and Duties

The faculty of the School shall have the powers and duties set forth in the UW Regulations.

C. Office Hours

Faculty are expected to be available to students outside of class, both by appointment and during regularly scheduled office hours. Before each semester, unit heads will ask each faculty member to post on his/her office door and/or in online courses, as well as include on syllabi, a minimum of three specified hours each week, not all on the same day, that the faculty member will be available for the purpose of meeting with students. In addition, the faculty member will be available to meet with students by appointment. Students should be informed of any necessary deviations from posted office hours.

D. Appointment, Promotion, and Tenure

The criteria and procedure for appointment, reappointment, tenure, and promotion within the School shall conform to those defined in the UW Regulations. All School faculty members are subject to the employment provisions provided in UW Regulations.

E. Meetings

The faculty of the School shall meet at the request of the Dean who shall preside, or on request of at least ten percent of voting members of the faculty. ~~These meetings shall be conducted using Robert's Rules of Order.~~ A quorum is achieved when 50 percent of the voting members of the faculty are present. Proxy votes shall be accepted from voting members of the faculty who are unable to attend meetings due to professional obligations; attending faculty members may carry no more than one proxy each. All faculty voting by proxy shall be used to reduce the quorum count.

V. STUDENTS.

A. Admission

The School academic personnel, subject to limitations contained in the UW Regulations and in accordance with national accreditation standards, has the power to determine the minimum standards for admission to the programs of the School. In the absence of such School standards, any student who qualifies for admission to the University will be admitted to the School.

B. Probation, Dismissal, Reinstatement

In matters of student probation, dismissal, and reinstatement, the School shall conform to the published codes of the academic units (if any) and the UW Regulations.

V. DEGREES AND PROGRAMS.

A. Degrees

The degrees offered by the School shall be those specified in the UW Regulations.

B. Programs

The academic programs offered by the School and the requirements thereof are approved by the appropriate standing committees, and the University Course and Curriculum Committee, and are printed in the University Catalog.

C. Applicability of University policy regulations

For the purpose of interpreting academic policy in University Regulations 6-400, 6-404, 6-711, 6-720, 6-802, 6-805 and 6-806, the term "college" shall include the School.

VI. ADMINISTRATION OF THE REGULATION.

A tentative draft of any proposed amendments to this regulation shall be circulated to the members of the Faculty of the School at least two weeks before a Faculty meeting, either regular or called, at which they are introduced, discussed, and may be amended. The final version as arrived at by the meeting shall then be circulated to all voting members of the School's academic personnel in residence in the form of a ballot for voting for or against each proposed change. The deadline for return of the ballots to the Dean of the School shall be not less than two administrative working days after the ballots are sent out from the office. If two-thirds or more of the ballots returned by the deadline favor the amendment, the amendment shall be considered as passed and shall be forwarded to the Office of the President for approval by the Trustees. If less than two-thirds of the returned ballots favor the amendment, the amendment has failed and no further action is called for. This regulation may only be amended following the above process.

~~This regulation may be changed at any official meeting of the faculty of the School by an affirmative vote of two thirds of members present (with a quorum), provided that the members shall have been given written notice of the meeting at least seven days prior to the date of the meeting. A paper or electronic ballot to change this regulation requires an affirmative vote of two thirds of the ballots returned, provided that ten working days have been afforded for ballots to be submitted.~~

AGENDA ITEM TITLE: Academic Program Review Process Update, Miller

CHECK THE APPROPRIATE BOX(ES):

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

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Provost and Vice President for Academic Affairs Kate Miller will update the Board on the Academic Program Review Process.

Triggers for Review:

- Undergraduate programs review trigger: less than 50 graduates from major, 2010-2015
- Masters programs review trigger: less than 25 graduates from program 2010-2015
- PhD's and other programs at Deans' discretion

Total academic majors/degree programs reviewed: 56

College distribution

<u>College</u>	<u>Number of programs reviewed</u>	<u>Number of degree programs recommended for elimination</u>
Agriculture and Natural Resources	7	0
Arts and Sciences	28	8
Business	4	0
Education	6	4
Engineering and Applied Science	10	2
Other (SMTC)	1	Restructure recommended, but degree programs retained

Elimination recommendations: 15 total

Students currently enrolled in impacted programs:

- Undergraduate = 87 total (AY 16-17 majors)
- Graduate = 80 total (76 Masters, 4 PhD students)
- SMTC graduate students – 54 (notified due to degree program rehome recommendation)

Consolidation/Reconfiguration recommendations:

- Minor degree reconfiguration recommendations = 2
- Extensive degree reconfiguration recommendations = 2
- Administrative consolidation recommendations = 4
- Science and Mathematics Teaching Center reconfiguration recommended and will be part of STEM integration efforts; degrees recommended for retention and rehomeing; Wyoming State Science Fair recommended for rehomeing to different UW administrative unit

Retain and review in 3 years: 5 programs

Retain, reinvest as mission critical (some here are subsets of above): 34

Communications process:

For each of the 15 proposals, a letter AND email notification letter plus copy of proposal was sent to:

- President Nichols (15 notifications)
- Each dean of unaffected programs (15 notifications to each unaffected dean)
- Each dean of affected programs (A&S Dean – 8 notification; Education Dean – 4 notifications; Engineering and Applied Sciences Dean – 2 letters; joint letter for SMTC to A&S and Education Deans)
- Faculty Senate Chair Shaw (15 notifications)
- ASUW President Rotellini (15 notifications)
- Staff Senate Chair Gunnerson (15 notifications)
- Department Head of each affected program (14 notifications)
- Faculty (tenure, tenure track, and AP's) of each affected department (78 notifications + 91 affiliate faculty to SMTC)
- Students in affected programs (221 total student notifications)

Total notifications: 510

Total hours of prep and execution, communications: 42

Total number of stakeholder responses to proposals to date: 124 (121 to progrevw@uwyo.edu, 3 hard copy)

Other feedback and consultation:

- Deans in A&S, Engineering and Applied Science, and Education have held listening sessions with their colleges to receive input into the proposals.
- Department heads are soliciting consultative feedback from their faculty, staff, and students.

- Hard copies of proposal are available for review in departmental and college offices, as well as in the Office of Academic Affairs. All materials are also at:
<http://www.uwyo.edu/acadaffairs/program-review/>

Rest of Process

- Deadline for first comment period: December 16, 2016.
- Upon completion of the initial comment period, the proposals and all responses received will be distributed to Faculty Senate, Staff Senate, and ASUW. Within 60 calendar days of that distribution, Faculty Senate “shall submit to the [Provost] its written review and its recommendation regarding elimination of the academic program.” The timeline for the second comment period will be announced in due course, but will begin in January. Staff Senate and ASUW may also provide their input at that time.
- Provost shall consider input from all sources and recommendations from Faculty Senate, as well as any from ASUW and Staff Senate, and provide recommendations to the President. The President will make her final recommendation to the Board of Trustees, who shall have the final decision.

AGENDA ITEM TITLE: University Strategic Plan Update

- On Campus Listening Sessions – Miller
- Statewide Listening Sessions – Nichols/Boswell

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☐ Other Specify: (Item for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

President Nichols, Provost and Vice President for Academic Affairs Kate Miller, and Vice President for Governmental and Community Affairs Chris Boswell will update the Board on the Strategic Plan. Please see materials inserted below.



Statewide Strategic Planning Listening Sessions

November 30, 2016

Cody, Wyoming
12:15-1:45 p.m.
Park County Library
Grizzly Room
1500 Heart Mountain St.

Jackson, Wyoming
4:15-5:45 p.m.
Teton County Ag. Building
(4-H Building)
Upper Level Conference
Room
255 W Deloney Ave

December 2, 2016

Torrington, Wyoming
8:30 – 10:00 a.m.
Eastern Wyoming College
Tebbet Bldg.
Fine Arts Lecture Hall
3200 West C Street

Rock Springs, Wyoming
12:15-1:45 p.m.
WWCC
3rd Floor Board Room, 3060
2500 College Drive

December 5, 2016

Riverton, Wyoming
12:15-1:45 p.m.
Intertribal Ed. & Com. Cnt. 116
2660 Peck Ave

Casper, Wyoming
4:15-5:45 p.m.
Union/University Bldg. 417
Casper College Campus
125 College Ave

December 6, 2016

Cheyenne, Wyoming
4:15-5:45 p.m.
Laramie Cty. Comm. College
Health Sciences Building, 113
1400 E College Drive

December 7, 2016

Laramie, Wyoming
4:30 – 6:00 p.m.
Albany County Public Library
310 S 8th St

December 8, 2016

Sheridan, Wyoming
12:15-1:45 p.m.
UW Watt Building, Room 131-132
Watt Building, Sheridan College campus
3401 Coffeen Avenue

Gillette, Wyoming
4:15-5:45 p.m.
Location:
UW Offices at Gillette College
Main Building, Room 167
W Sinclair St.

AGENDA ITEM TITLE: Science Initiative Discussion, Miller/Bostrom/Boswell

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Provost and Vice President for Academic Affairs Kate Miller, Trustee Dave Bostrom, and Vice President for Governmental and Community Affairs Chris Boswell will lead a discussion on the Science Initiative.

To: Members of the University of Wyoming Board of Trustees.

From: Chris Boswell, VP Governmental and Community Affairs

Date: November 7, 2016

Re: University of Wyoming Science Initiative Programmatic and Facility Briefing Points

Over the past decade and a half, the State of Wyoming initiated a series of remarkable efforts aimed at strengthening the University of Wyoming and ensuring our graduates have the skills necessary to compete in the state, national and international marketplace.

The dedication by the Governor and the Wyoming Legislature toward the betterment of programs and facilities at UW has transformed the campus, and is enriching the student learning experience, the university's research enterprise and the relevance of both to the state's economy.

The Science Initiative is yet another step in that remarkable progression. Programmatic elements of the initiative are being implemented, and initial efforts toward the construction of the Science Initiative facility are in motion. At the request of UW trustees, following are a few points of information available for reference in their interactions with future students, their parents, members of the public and legislators.

- The University of Wyoming Top-Tier Science Initiative is transforming science education and improving student success at UW and across the state, and is on track to create world-class facilities to propel research benefitting the state and the nation.
- The State of Wyoming's multi-faceted investment in STEM places UW as a leader in STEM education and innovation, and provides Wyoming students with a cutting-edge education. We rank with the top schools in the nation in the way we give students integrated experiences across theory, experimentation, the field, and computation.

- The Science Initiative task force, the governor and legislators have strongly supported the SI -- in combination with the engineering and education initiatives -- because of the promise to greatly benefit students while create graduates who possess new knowledge and skills that offer enhanced potential to benefit Wyoming's economy.
- The Science Initiative connects well with UW's Tier-1 Engineering Initiative and has the potential to tie with the Trustees Education Initiative, two other major university initiatives underway now. Engineering students will benefit from the enhanced instruction they receive in active-learning classes in the foundational sciences; and because teachers tend to teach the way they were taught, the Science Initiative, joined with the Education Initiative, will produce K-12 educators well versed in active-learning instruction to engage young people in the STEM fields.
- All three initiatives additionally have strong K-12 outreach components, directly engaging K-12 students and teachers around the state.
- UW's strength in research computing, including the on-campus Mount Moran high-performance computer and the NCAR-Wyoming Supercomputing Center, also fits well with the Science Initiative.
- These combined activities are visionary and hugely impactful, significantly improving the undergraduate experience at UW while boosting the university's research infrastructure.
- Active learning, the centerpiece of the Science Initiative, increases student interest and success in the STEM fields. It engages students in hands-on activities to learn fundamental concepts, rather than just taking notes in the traditional lecture setting. Active learning in science courses significantly increases student interest and confidence in studying the sciences. Research at UW demonstrates students learn more, retain more, and also are more likely to attend classes structured in active learning principles. Put simply, the students are more engaged in classes based in active learning techniques and principles. The Science Initiative facility would allow for active learning to take place on a very large scale, with individual classrooms designed for 50, 100, 150 and 200 students. Literally thousands of students a year would access classes in the facility, transforming the way UW teaches the core sciences and other disciplines.
- Active-learning instruction takes place on campus already, but the Science Initiative is expanding its use with training for UW instructors in anticipation of the adoption of active learning principles in many disciplines. The SI's Learning Actively Mentoring Program -- a mentoring and professional development program with an emphasis on helping instructors adopt active-learning strategies in large-scale classrooms -- kicked off in the summer of 2016.

- Research by both faculty and students is a key component of the Science Initiative. In addition to creating new facilities for research and scientific imaging in the planned Science Initiative building, the SI includes the Wyoming Research Scholars Program, in which undergraduates receive scholarships to study and conduct research with top UW researchers. The Wyoming Research Scholars Program recently selected 22 new and returning students for the new academic year. The best and brightest students are very attracted to undergraduate research opportunities, and the Research Scholars program is an important component of our efforts to compete with the nation's best universities.
- The Science Initiative's Competitive Research Innovation Program -- aimed at helping UW attract and retain the nation's best faculty in emergent areas of science relevant to the state -- will get started this year.
- These programs are underway as a result of a \$2.3 million, ongoing biennial appropriation from the Wyoming Legislature for programmatic improvements.
- Other ongoing activities are in preparation for construction of the Science Initiative building, for which the Legislature and the governor have approved \$100 million – plus \$3 million for property acquisition. The building will be located at 9th and Lewis streets. Negotiations to acquire the properties on the block are well underway, and design of the building is progressing. Anticipated groundbreaking is in calendar 2018, which sequences well with the construction of the Engineering building, slated for completion in 2019.
- The new Michael B. Enzi STEM Facility provides modern laboratories for UW undergraduates who have embraced this marvelous facility and the enhanced learning opportunities which it has created. The planned Science Initiative building, which will be located directly next door to the Enzi building, will provide a companion to enhanced lab experiences via UW's first suite of large active-learning lecture halls to take the place of traditional theater-style lecture halls for many of those same classes.
- The Science Initiative building will be the gateway to UW's developing STEM corridor running along Lewis Street from 9th to 15th streets, including the Enzi STEM Facility, the Engineering Education and Research Building, the Energy Innovation Center, the Berry Biodiversity Conservation Center and nearby Geology and Geophysics, Health Sciences and Education facilities.
- UW's College of Agriculture and Natural Resources also will benefit, because its Department of Molecular Biology will move to the Science Initiative building, freeing up space in the Animal Science Building and the Agriculture Building. While moving into the core of campus, Molecular Biology will remain a critical element of the College of Agriculture and Natural Resources.
- In addition to active learning classrooms, the Science Initiative building will include two modern, state-of-the-art research centers:

- The Center for Advanced Scientific Imaging (CASI), which will bring together UW imaging scientists, student teams and highly sophisticated instrumentation such as electron microscopes and spectrometers. That will allow both faculty researchers and students to access unprecedented sensitivities and efficiencies in probing the fundamental interactions between atoms, molecules and cells that underlie all next-generation technologies.
- The Center for Integrative Biological Research (CIBR), which will bring together UW's top biologists into a single location to foster innovation and convergent research activities addressing some of Wyoming's most pressing environmental and health-related challenges. The area will include research space and associated plant growth capabilities offering far more controlled conditions than in the outdated greenhouses on 30th Street.
- The Science Initiative building will include "collision spaces," bringing people from different disciplines -- botany, zoology, molecular biology, chemistry, physics and astronomy -- together in single facility. This proximity will benefit students and faculty by enhancing the learning and research process.
- \$51.2 million in construction funding was appropriated during the 2016 legislative session, while two accompanying \$24.4 million appropriations have been authorized for receipt in calendar 2017 and prior to the facility groundbreaking in 2018.

AGENDA ITEM TITLE:

UW Administration Costs – Compared to Peers – Review of ACTA Claims, Nichols/Koller

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

UW President Laurie Nichols and Sue Koller will discuss UW's administration costs compared to its peers and will give a review of the ACTA claims. Please see materials inserted below.



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University of Missouri
James A. Sellers
Pennsylvania State University

September 23, 2016

John MacPherson, J.D.
P.O. Box 752
Saratoga, WY 82331

Dear Mr. MacPherson:

A close and discerning examination of budgetary priorities is one of the most crucial contributions trustees make to higher education. A new project by the American Council of Trustees and Alumni (ACTA) on administrative expenditure provides insights that will help identify budgetary areas that need your guidance.

Using publicly available data from the U.S. Department of Education's Integrated Postsecondary Education Data System (IPEDS), ACTA looked at trends in administrative spending (i.e., institutional support) and instructional spending (i.e., instruction plus academic support) at over 1,100 four-year institutions across the country. **As illustrated in the enclosed chart, the University of Wyoming's administrative spending growth between 2009 and 2014 was greater than that of all but one of the eight other institutions in the Mountain West Conference** for which comparable data are available. Administrative expense grew by 33.4% during that time period, compared to only 9.6% for instructional expenditure.

While no individual metric is dispositive, the financial data that institutions report to the U.S. Department of Education's National Center for Education Statistics (NCES) facilitate important comparisons that trustees can use as a starting point for dialogue with their presidents and administrators concerning fiscal choices.

We recognize that peer groups may change over time and, moreover, that changes in spending are affected by many different factors. But increased administrative spending will almost surely bring about increased tuition and fee costs and is worthy of serious board attention. We encourage you to obtain financial data from your institution, to examine the publicly available expense data reported through IPEDS to the federal government, and then to have a board discussion about the increases in administrative

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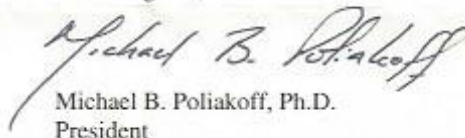
John MacPherson, J.D.
September 23, 2016
Page 2

spending at your institution. Colleges and universities can only benefit from the courageous and informed guidance of their governing boards in optimizing the use of their resources. We look forward to hearing how your board intends to ensure that the trend of increased administrative expenditures does not become an obstacle to your institution's educational mission.

Please feel free to contact us. ACTA regularly supports and advises trustees on a variety of issues through seminars, guides and reports, and our Higher Ed Now multimedia series. For more information, please visit www.GoACTA.org or contact our Vice President for Trustee and Legislative Affairs, Armand Alacbay, at aalacbay@GoACTA.org.

Thank you for your service to higher education.

Warm regards,



Michael B. Poliakoff, Ph.D.
President

Enclosure

INSTRUCTIONAL VS. ADMINISTRATIVE SPENDING

Mountain West Conference Institutions

INSTITUTION		2008-09 FY Expenditures	2013-14 FY Expenditures	\$ Change	% Change
Boise State University	Instruction	\$131,604,094	\$128,297,794	-\$3,306,299	-2.5%
	Administration	22,308,708	24,548,515	2,239,807	10.0
California State University-Fresno	Instruction	158,709,286	137,520,411	-21,188,875	-13.4
	Administration	24,487,378	28,247,502	3,760,124	15.4
Colorado State University-Fort Collins	Instruction	270,750,346	311,930,443	41,180,097	15.2
	Administration	38,184,898	42,180,557	3,995,659	10.5
San Jose State University	Instruction	209,345,614	196,282,441	-13,063,173	-6.2
	Administration	33,395,385	26,398,880	-6,996,506	-21.0
University of Hawaii-Manoa	Instruction	367,374,675	369,073,428	1,698,754	0.5
	Administration	15,457,462	24,321,947	8,864,485	57.3
University of Nevada-Las Vegas	Instruction	258,931,435	238,535,003	-18,396,432	-7.2
	Administration	28,475,770	27,802,241	-673,530	-2.4
University of Nevada-Reno	Instruction	241,503,200	254,183,603	12,680,402	5.3
	Administration	38,771,506	31,900,734	-6,870,773	-17.7
University of New Mexico*	Instruction	286,168,502	298,888,296	12,719,794	4.4
	Administration	61,318,665	55,813,539	-5,505,326	-9.0
University of Wyoming	Instruction	161,808,385	177,277,682	15,469,287	9.6
	Administration	33,031,126	44,078,070	11,046,943	33.4

Source: Integrated Postsecondary Education Data System (IPEDS)

Note: Dollar amounts are expressed in 2015 inflation-adjusted numbers. 2013-14 FY data represent the most recent data available. Due to its unique mission and financial reporting practices, the U.S. Air Force Academy is excluded from this list. Utah State University and San Diego State University are excluded because the IPEDS financial reporting status of each changed between 2009 and 2014 such that data are not comparable between reporting years.

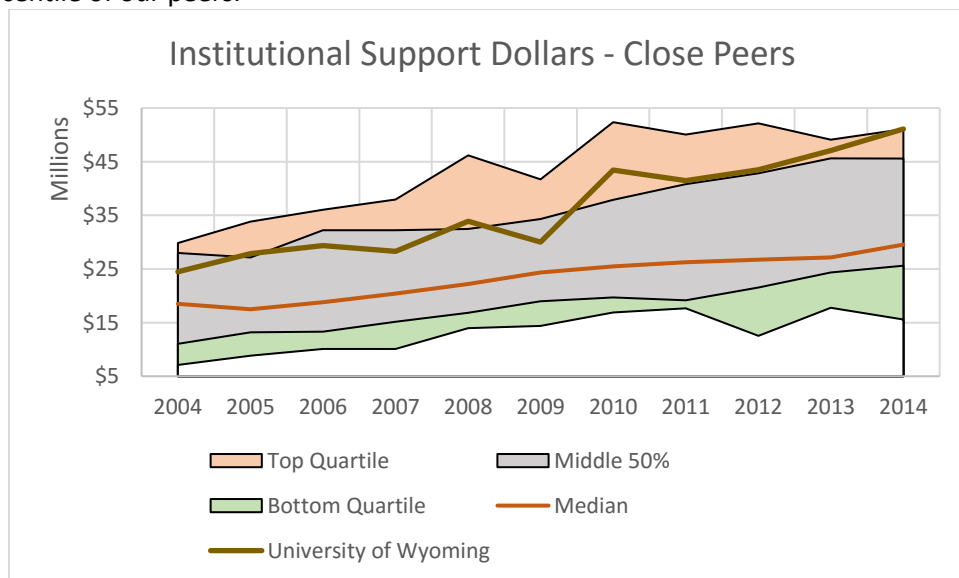
* The University of New Mexico reported data that included data from branch campuses.

UW Administration Costs – Compared to Peers- Review of ACTA Claims

The analysis made by the American Council of Trustees and Alumni that UW has had above average increases in administrative spending compared to the Mountain West seems to hold true compared to our peer institutions.

Some notes:

- 1) I was unable to completely replicate ACTA's results – the figures I was able to find on IPEDS – were different for FY14 (higher for UW).
 - 2) "Institutional Support" is a large category used by IPEDS. The National Association of College and University Business Officers (NACUBO) offers the industry standard functional expense definitions for these categories. Included are:
 - a. Central, executive level activities concerned with institution-wide management and planning
 - b. Legal services
 - c. Fiscal operations & space management
 - d. Personnel management and records
 - e. Procurement and storage
 - f. Community, government and alumni relations.
- Given these definitions, the strictness by which they are implemented could impact the resulting values.
-
- 1) UW has spent more than our close peers in the last 10+ years on institutional support. In FY14, UW spent the most of all close peers. Over the last 10+ years, as illustrated by the graph below, in absolute dollar terms UW spent more than the median close peer, and hovered around the 75th percentile of our peers.



- 2) As a percent of Instructional and Academic Support expenses, UW has had higher than average levels of Institutional Support. Compared to our close peers, we spend more than roughly 75% of our peers proportional to Academic and Instructional costs. This proportion hasn't changed much over the last 10 years. UW also spends a higher proportion on institutional support than our stretch peers do.

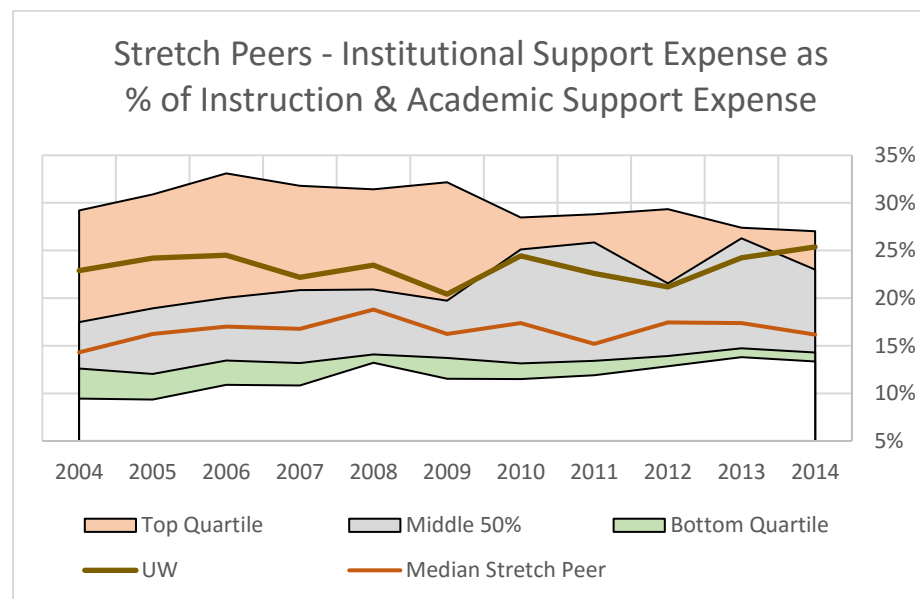
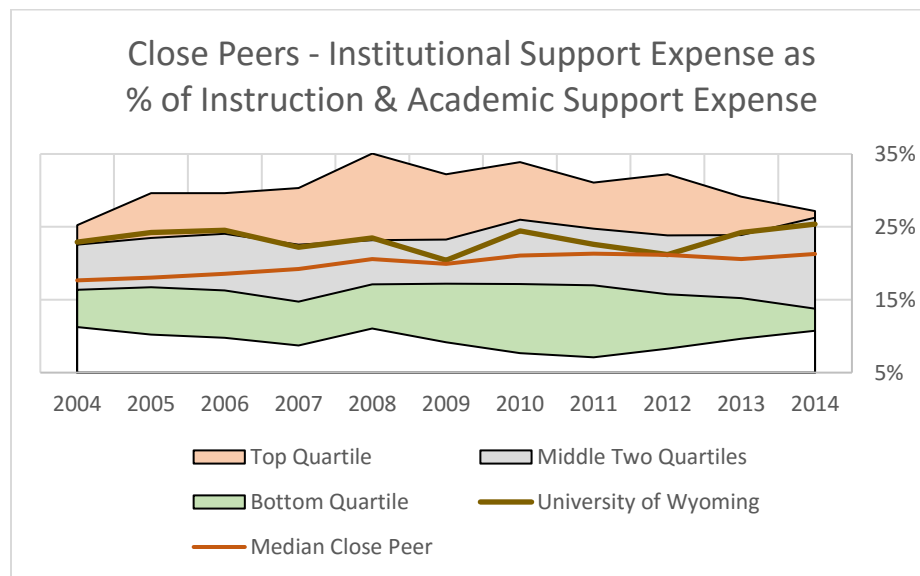


Chart comparing Institutional Support (Admin) with Academic Support and Instruction (Instruction). Figures are adjusted for inflation based on BLS figures.

Institution Name		FY06	FY09	FY14	\$ Change (FY06 - FY14)	% Annual Change (FY06- FY14)	\$ Change (FY09-FY14)	% Annual Change (FY 09-FY14)
University of Wyoming	Instruction	\$140,797,676	\$162,386,933	\$201,361,600	\$60,563,924	43.0%	\$38,974,667	24.0%
	Administration	\$34,515,343	\$33,149,227	\$51,092,239	\$16,576,896	48.0%	\$17,943,012	54.1%
University of Idaho	Instruction	\$114,714,630	\$118,506,422	\$133,316,141	\$18,601,511	16.2%	\$14,809,719	12.5%
	Administration	\$25,943,135	\$34,949,095	\$35,488,501	\$9,545,366	36.8%	\$539,406	1.5%
University of Nevada-Reno	Instruction	\$217,830,956	\$242,366,683	\$290,282,327	\$72,451,371	33.3%	\$47,915,644	19.8%
	Administration	\$39,049,988	\$38,910,132	\$37,528,559	-\$1,521,429	-3.9%	-\$1,381,573	-3.6%
New Mexico State University-Main Campus	Instruction	\$121,446,921	\$151,331,013	\$150,200,343	\$28,753,422	23.7%	-\$1,130,670	-0.7%
	Administration	\$22,823,309	\$29,194,184	\$25,356,703	\$2,533,394	11.1%	-\$3,837,481	-13.1%
University of Rhode Island	Instruction	\$143,120,590	\$142,981,297	\$177,547,113	\$34,426,523	24.1%	\$34,565,816	24.2%
	Administration	\$42,387,678	\$46,072,974	\$48,243,098	\$5,855,420	13.8%	\$2,170,124	4.7%
Utah State University	Instruction	\$135,827,708	\$170,689,047	\$218,371,711	\$82,544,003	60.8%	\$47,682,664	27.9%
	Administration	\$38,978,478	\$40,713,086	\$50,343,573	\$11,365,095	29.2%	\$9,630,487	23.7%
University of Maine	Instruction	\$104,337,092	\$110,919,737	\$125,547,000	\$21,209,908	20.3%	\$14,627,263	13.2%
	Administration	\$19,097,781	\$23,775,065	\$28,465,000	\$9,367,219	49.0%	\$4,689,935	19.7%
Oklahoma State University-Main Campus	Instruction	\$209,962,575	\$267,685,146	\$263,993,928	\$54,031,353	25.7%	-\$3,691,218	-1.4%
	Administration	\$20,524,606	\$24,566,930	\$30,614,005	\$10,089,399	49.2%	\$6,047,075	24.6%
Montana State University	Instruction	\$89,738,991	\$118,138,702	\$130,650,830	\$40,911,839	45.6%	\$12,512,128	10.6%
	Administration	\$14,457,593	\$20,042,962	\$21,229,590	\$6,771,997	46.8%	\$1,186,628	5.9%
South Dakota State University	Instruction	\$72,726,473	\$81,756,899	\$99,230,746	\$26,504,273	36.4%	\$17,473,847	21.4%
	Administration	\$12,173,113	\$15,917,298	\$26,350,195	\$14,177,082	116.5%	\$10,432,897	65.5%
The University of Montana	Instruction	\$97,375,090	\$112,355,806	\$134,674,306	\$37,299,216	38.3%	\$22,318,500	19.9%
	Administration	\$21,346,857	\$23,715,661	\$26,801,475	\$5,454,618	25.6%	\$3,085,814	13.0%
North Dakota State University-Main Campus	Instruction	\$86,574,745	\$107,504,116	\$144,888,609	\$58,313,864	67.4%	\$37,384,493	34.8%
	Administration	\$11,827,577	\$19,264,837	\$15,565,789	\$3,738,212	31.6%	-\$3,699,048	-19.2%
Kansas State University	Instruction	\$214,787,143	\$232,041,568	\$298,639,894	\$83,852,751	39.0%	\$66,598,326	28.7%
	Administration	\$29,174,555	\$26,781,722	\$41,504,589	\$12,330,034	42.3%	\$14,722,867	55.0%
University of Nebraska-Lincoln	Instruction	\$244,288,191	\$256,392,076	\$309,137,895	\$64,849,704	26.5%	\$52,745,819	20.6%
	Administration	\$39,613,477	\$41,647,262	\$50,012,471	\$10,398,994	26.3%	\$8,365,209	20.1%
West Virginia University	Instruction	\$239,259,133	\$297,432,806	\$414,479,438	\$175,220,305	73.2%	\$117,046,632	39.4%
	Administration	\$79,194,278	\$95,670,624	\$112,029,966	\$32,835,688	41.5%	\$16,359,342	17.1%

Colorado State University-Fort Collins	Instruction	\$227,433,554	\$271,718,400	\$366,464,928	\$139,031,374	61.1%	\$94,746,528	34.9%
	Administration	\$24,755,379	\$38,321,426	\$48,942,737	\$24,187,358	97.7%	\$10,621,311	27.7%
Clemson University	Instruction	\$214,610,931	\$263,733,755	\$304,335,927	\$89,724,996	41.8%	\$40,602,172	15.4%
	Administration	\$28,523,953	\$35,100,922	\$44,637,846	\$16,113,893	56.5%	\$9,536,924	27.2%
Texas Tech University	Instruction	\$239,264,021	\$296,784,561	\$310,006,683	\$70,742,662	29.6%	\$13,222,122	4.5%
	Administration	\$40,668,694	\$52,854,841	\$46,591,281	\$5,922,587	14.6%	-\$6,263,560	-11.9%
University of New Mexico-Main Campus	Instruction	\$251,412,555	\$287,191,683	\$341,211,063	\$89,798,508	35.7%	\$54,019,380	18.8%
	Administration	\$52,170,730	\$61,538,107	\$63,716,771	\$11,546,041	22.1%	\$2,178,664	3.5%
Washington State University	Instruction	\$253,115,615	\$341,572,970	\$354,584,854	\$101,469,239	40.1%	\$13,011,884	3.8%
	Administration	\$46,613,371	\$61,566,715	\$88,056,683	\$41,443,312	88.9%	\$26,489,968	43.0%
University of Utah	Instruction	\$370,556,215	\$417,492,128	\$473,559,000	\$103,002,785	27.8%	\$56,066,872	13.4%
	Administration	\$71,600,221	\$66,803,292	\$100,009,000	\$28,408,779	39.7%	\$33,205,708	49.7%

AGENDA ITEM TITLE: Tuition & Update on Program Fee Proposal, Nichols/Godby/Mai

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☐ Other

Specify:

BACKGROUND AND POLICY CONTEXT OF ISSUE:

University President Laurie Nichols, Chair of the Revenue Enhancement Committee Robert Godby, and Vice President for Administration Bill Mai will update the Board on tuition and the program fee proposal. Please see information inserted below.

TUITION POLICY

In order to give advance notice to all those affected by prospective tuition increases, the Board of Trustees adopts the following policy for tuition increases for Academic Years 2016 and later:

- A. Unless modified under D or F below, annual tuition, other than programs with differential tuition, the Administration will recommend that tuition be increased by 4% for each academic year.
- B. Annually, the Administration will submit recommendations regarding adjustments to differential tuition rates.
- C. Revenue generated by the annual tuition increases will be distributed as follows:

2% – Salaries (approx. \$1M) – To be applied first to the cost of mandatory salary increases for promoted faculty (approximately \$425,000). The balance to be used for faculty and staff salary increases.

1% – Academic unit support budgets (approximately \$500K) – To be distributed as determined by the Vice President for Academic Affairs.

1% – Libraries and IT (approximately \$500K divided equally)

The Administration shall provide information regarding the estimated effects of these increases on the budgets of units receiving such funds.

- D. The Administration may recommend modifications to the policy specified in Section A or the distribution thereof specified in Section C, but shall consult with students, faculty, and staff prior to submitting such recommendations, and shall make any such recommendations on or before the November meeting of the Board.
- E. On or before the November meeting of the Board, the Administration shall provide information regarding the cost of attendance, and how UW's tuition and fee rates compare with other universities.
- F. The Board of Trustees may accept, reject, or modify any recommendation under Sections A and B and may take any action it determines regarding tuition rates and the distribution of revenue generated from modifications to tuition.

[Added for discussion purposed on the issue of periodic review of the policy]

- G. The Board shall review this policy:
 - a. Not later than four years following its adoption; and
 - b. Not later than four years following any subsequent review or modification to the policy.

**A Proposal to Implement Program Fees to Maintain and Improve Student Success While
Covering the Costs of Instruction in Higher-Cost Programs at the University of Wyoming.**

Report of the Revenue Enhancement Sub-Committee of the University of Wyoming's Financial
Crisis Advisory Committee

October 16, 2016

**This report was prepared by the members of the Revenue Enhancement Sub-Committee,
in consultation with University of Wyoming Faculty, Students and Staff.**

Thank you to all those who helped the committee by offering advice and submitting materials. Despite any future setbacks we may face, we can all still ensure the University of Wyoming is what we want it to be, and that we continue to offer the greatest value possible to our students.

Members of the Revenue Enhancement Sub-Committee

Robert Godby Chair
Mary Burman Vice-Chair
Anne Alexander
Susan Frye
Denise Gable
Ricki Klages
Michael Pishko
Reed Scull
John Mittelstaedt
Greg Brown
Gerry Andrews
Suzanne Young

Executive Summary

The University of Wyoming has been incredibly fortunate over its existence to have had strong State support. This has allowed the university to remain one of the lowest cost higher-education institutions in the country, having the lowest required tuition and fees of any doctoral institution in the United States. We can no longer take this State support for granted. The recent energy downturn has forced the state to make hard decisions in allocating its scarce revenue resources. While Wyomingites still expect their only four-year public university to maintain its high academic quality, the University, along with all other state agencies', has had to adapt to painful budget cuts. The University of Wyoming, however, need not compromise its academic standards, nor its drive to continually improve the quality of education offered to its students. The institution can persevere through a concerted effort to find efficiencies and to work together to face these challenges by adopting new ideas and lessons learned elsewhere.

UW's Mission statement in part states: *"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."* To address the current funding challenges facing the University, and to ensure the University's mission was not compromised by immediate revenue shortfalls, the University of Wyoming's Revenue Enhancement Sub-committee was convened at the request of President Laurie Nichols in early July, 2016.

To achieve the goal of ensuring academic excellence and affordability, the committee first turned to peer state universities for examples of how higher education has dealt with reductions in public funding. Along with cost efficiencies, many have turned to program fees as a source of revenue. These recognize that the variety of degree offerings at a university, their difference in cost of delivery, student demand, and the private degree value for students they provide upon graduation can justify differential fees above their standard tuition rate. Program fees provide a mechanism for universities to more closely tie the true cost of education to the students most likely to benefit from a course of study, and to hold institutions, colleges and departments accountable to students for the quality of their education. After consideration of other institution's efforts in this area, the committee recommended implementing similar program fees at the University, justified on the basis of program cost and market competitiveness.

An unfortunate reality of the current funding challenges facing UW is that to avoid declines in program quality and ensure student outcomes improve, students will have to shoulder additional costs for their education as state support is withdrawn. This proposal argues though, that while student cost may have to increase, the value students receive by choosing to come to Wyoming can be increased simultaneously. To this end, the proposed program fee system recommended is designed to achieve two goals:

- 1) Support those instructional programs that require additional resources by creating a revenue stream that reflects the higher costs of instruction present in certain programs.

- 2) To create a revenue stream that allows the University of Wyoming to improve important student-centered institutional priorities, specifically
 - To improve retention rates of students enrolling at UW
 - To improve time to graduation for students at UW.
 - To improve career-readiness among UW graduates.

An important and philosophical question to address is “why program fees?” In the view of the Committee, the program fee approach provided the fairest means to maintain academic standards while striving to ensure student success and career-readiness by allocating program costs through a “user-pay” principle. Program fees allow charges to be levied on the basis of cost of delivery, student demand, and the private degree value for students they provide upon graduation, and they also allow students to choose to avoid such costs if they wish to in pursuit of a university education. Program fees also allow greater transparency and can allow greater accountability than a single tuition/fee increase, as revenues must be used by the programs they are intended for, and in a way that can be assessed to determine the effectiveness of their use.

An additional benefit of instituting comprehensive program fees is transparency with respect to the cost of attendance for students. Current student fees for courses and programs are defined in the University of Wyoming Fee Book FY2017 in Section IV: Program and Special Course Fees, pp. 27-36. In this section there are eleven separate undergraduate fees, at least 86 courses listed with separate fees, and over 40 specific or miscellaneous fees for course or program activities, certifications or other charges. These make a student’s calculation of the cost of attendance at UW very difficult. Instituting differential tuition to use a single program fee allows the streamlining of existing fees and more clearly allows the determination of the costs of a specific educational programs. The proposed fees outlined here will replace the existing majority of the fees in Section IV with a simpler and comprehensive framework that more simply allows students and administrators to understand the student costs of attendance at UW.

Finally, program fees must benefit the students the revenues come from. For this reason fees collected must be used both to improve student services, or student instruction and program requirements. They cannot be used to supplement research, faculty salaries or other activities within a unit.

Proposed Fees

After consultation with various units on campus, programs with higher costs above were identified. The program fees proposed are outlined in Tables ES-1 and ES-2 below. There are two types of program fee proposed: college-wide program fees instituted across all course codes offered within a College (Table 3), and discipline-specific program fees assessed for particular programs (Table 4). Discipline-specific program fees are charged in addition to associated college fees shown in Table 3. *These fees are to be charged on undergraduate courses only (course numbers below 5000).* College-wide fees support technology, accreditation, assessment costs, and will provide funds for increased student services. They will also be used to create a seat guarantee for all students to ensure capacity to offer required classes, by opening new sections as needed in high-demand areas when necessary.

Table ES-1: College-Wide Fees Proposed

College/School	Credit-hour Fee Proposed
Agriculture and Natural Resources	\$10
Arts and Science	\$10
Business	\$45
Education	\$45
Engineering and Applied Science	\$69
Haub School of Environment and Natural Resources	\$48
Health Science	\$12

Table ES-2: Specific Program Fees Charged Additional to College fees)

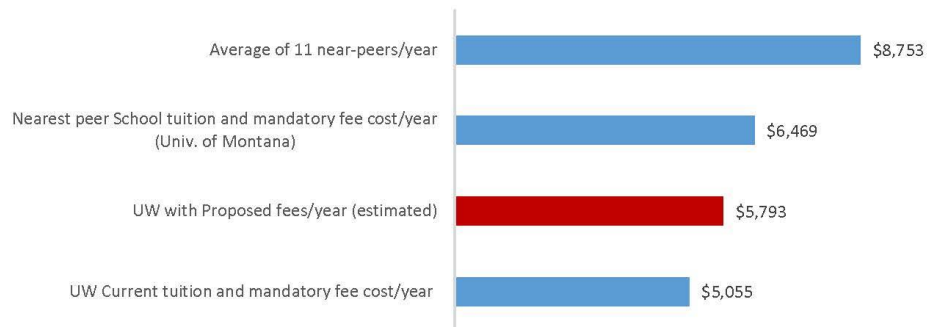
Programs	Fee	Course Codes
Science and Quantitative Programs (Sci-Q)		
Tier 1	\$10	ANTH, GEOG, MATH, PSYC, STAT
Tier 2	\$20	GEOL
Tier 3	\$45	ASTR, BOT, CHEM, LIFE, PHYS, ZOO
Visual and Performing Arts (VPA)	\$45	ART, MUSC, THEA
Agriculture Studio/Science		
Tier A	\$10	AGEC
Tier B	\$15	AECL, ANSC, ENTO, ESM, FCSC, FDSC, MICR, MOLB, PATB, PLNT, REWM, RNEW, SOIL
Health Sciences Programs		
Communications Disorders	\$30	SPPA
Kinesiology And Health	\$25	HLED, KIN
Nursing	\$30	NURS
WIND minor	\$10	WIND

Anticipated revenues from the fees proposed in Tables ES-1 and ES-2 are estimated to produce almost \$10.9 million. Netting the current \$1.4 million in current fees that the proposed fees would replace leaves an estimated \$9.5 million in net new revenue. New expenditures to support expanded student services totals \$3.6 million, leaving approximately \$5.9 million in net

replacement revenues for instruction and with which to provide additional student services beyond those already budgeted in the \$3.6 million. These new revenues would only in part replace the over \$40 million that has been withdrawn from the University budget over the past year, but they can significantly offset the negative impacts such funding changes would otherwise have on student services and instruction.

The average increase in tuition and fees paid by students net of existing fees is estimated to be 14.6% for in-state students (approximately 4.5% for non-resident students) if the proposed fees are implemented. This would result in an average increase in attendance per year to \$5793 over the current \$5055 level, or \$369 per semester. Figure ES-1 summarizes how the proposed fee change would affect the comparison of average tuition and fees at UW to tuition and fees for in-state students at UW's peers and the next most-affordable peer institution. The University of Montana's mandatory fee and tuition cost for 120 credit hours using AY 2016-17 rates is \$6469 per year, or 12% more than what UW's would be if the proposed fees were implemented. Comparing UW to the average tuition and mandatory fee cost of \$8753 per year at the 11 near-peer institutions shown in Table 1, UW's cost of \$5793 would be 51% lower than these schools after proposed fees were implemented.¹ Using federal debt data, the increase in cost resulting from the proposed fees recommended here would result in a \$28/month increase in student loan debt payments after graduation.

Figure ES-1: Comparison of Proposed UW Student Costs for One Year of Attendance with Peers



While these new revenues are substantial and imply a not insignificant increase in student cost burden, the fees proposed have also been designed to ensure that UW remains the most affordable doctoral institution in the country. After implementation, tuition and fees at the University of Wyoming would still be 51% lower than the average of UW's eleven nearest-peer schools, and UW would remain the lowest cost doctoral institution in the country. Challenging times need not undermine the University of Wyoming's commitment to ensuring that *accessible and affordable higher education of the highest quality* continues to be provided to the residents of the state.

¹ The comparison of average cost of tuition and fees at the near-peer schools shown does not include the cost of additional program fees or class fees present at all these institutions.

I. Overview

The University of Wyoming has been incredibly fortunate over its existence to have had strong State support. This has allowed the university to remain one of the lowest cost higher-education institutions in the country, having the lowest required tuition and fees of any doctoral institution in the United States.² Despite its low cost, however, the University of Wyoming has prided itself on offering a high value to students.³ In the past decade, while state support for higher education in the state of Wyoming has held strong, support in most states for public colleges and universities has declined. Between 2008 and 2013, average support per fulltime students at research universities has declined by more than 20%. (AAAS 2015). Until recently, higher education in Wyoming has been spared this trend, largely because of the strength of energy taxes, the largest source of public funding in our state.

We can no longer take this support for granted. The recent energy downturn has forced the state to make hard decisions in allocating its scarce revenue resources. While Wyomingites still expect their only four-year public university to maintain its high academic quality, the University's budget, along with all other state agencies', has had to adapt to painful budget cuts. The University of Wyoming, however, need not compromise its academic standards, nor its drive to continually improve the quality of education offered to its students. The institution can persevere through a concerted effort to find efficiencies and to work together to face these challenges. Faculty, staff and students can continue to ensure the school remains among the best values in the country with excellent academics and student opportunity while also remaining one of the most affordable through commitment to our shared ideals. Doing so, though, will require each of these groups to shoulder a greater amount of the costs of higher education in the State.

To achieve the goal of ensuring academic excellence and affordability, Wyoming can turn to other states for examples of how higher education has dealt with reductions in public funding for education. Along with cost efficiencies, many universities have turned to program-specific fees as a source of revenue.⁴ These recognize that the variety of degree offerings at a university, their difference in cost of delivery, student demand, and the private degree value for students they provide upon graduation can justify differential fees above their standard tuition rate. Program fees provide a mechanism for universities to more closely tie the true cost of education to the

² In 2015-16, UW's combined in-state tuition and mandatory fee total of \$4,890 was lowest among public four-year flagship institutions in the country. UW's out-of-state total tuition and fee rate of \$15,630 was second lowest after South Dakota (College Board, 2015 "Trends in College Pricing 2015", <http://trends.collegeboard.org/sites/default/files/trends-college-pricing-web-final-508-2.pdf>), and OIA 2016a <http://www.uwyo.edu/oia/files/tfrb/10yrchange.pdf>.

³ Wyoming was ranked 9th overall in Forbes' Top 25 Best Value Colleges in 2015 <http://www.forbes.com/pictures/gkjc45lg/9-university-of-wyoming/#4a46b1e6c464>. Forbes ranked Wyoming 241st of 660 schools, also noting Wyoming was ranked 43rd in the west, 66th among public universities, and 111th among research universities (see <http://www.forbes.com/colleges/university-of-wyoming/>).

⁴ Program fees are often also referred to as "differential tuition", as they impose a different cost of education upon students based on the degree programs or courses of study they choose to take. These began to be assessed in the late 1980s and onward as institutions began to depart from the model of charging one tuition level for all disciplines (see Nelson, 2008; and Stange, 2013 for discussions).

students most likely to benefit from a course of study, and to hold institutions, colleges and departments accountable to students for the quality of their education.

Most typically, program fees are assessed in business, engineering, nursing, and health science programs; but can also be assessed on a course basis across a wide variety disciplines.⁵ Such fees are charged in a variety of ways, including course fees assessed by credit hours enrolled in a particular program or discipline, by an additional semester fee based on a student's declared program of study (major or minor), or as an additional percentage-of-tuition charge for specific undergraduate programs. The case for these fees is usually made on the basis of four considerations: cost of delivery, program demand, demand for graduates, and private value of degree at graduation. Most of these charges originated to offset declining public funding for education, and provide necessary funds for universities to provide competitive education to their students and to their future employers.⁶

This proposal argues that the University of Wyoming now implement program fees. Significant and permanent budget cuts will limit our future ability to both offer the high quality education we have prided ourselves on, and the quality of education that will be necessary for students to be successful in the 21st century. Budget cuts have already begun to impair our ability to maintain excellence in many areas and to provide classes when needed to ensure students progress toward successful graduation in a timely manner. Lost staffing positions in critical areas of student success have also diminished our ability to supplement faculty expertise in areas important to student preparation for the job market, and to ensure the direction and advising necessary to help students complete their degrees on time with minimal debt. We anticipate additional cuts in FY18 will further impair our ability to deliver the differentiated education experience that students and employers have come to value in UW alumni. Differential program fees would allow UW to (i) ensure it can continue to provide market-competitive education, (ii) ensure that the institution will be accountable to students and families who benefit most from educational opportunities the school offers, and (iii) ensure UW continues to provide educations of differentiated value to students, graduates, and employers that fulfill its economic development obligation to the State of Wyoming.

The proposed fees suggested here would not change UW's status as one of the least cost public institutions in the country. Wyoming would still be the lowest-cost institution among its peer-group, among flagship universities and among public 4-year doctoral and research institutions. Though the proposed fees impose additional costs on students, if they are implemented as we suggest they actually can improve the value students receive per dollar spent above the already

⁵ Most commonly course fees are assessed on high-cost disciplines across science, technology, engineering and mathematics (STEM) classes, business, visual, fine and performing arts programs, nursing and health science-related disciplines, and education, and may be assessed in many other areas depending on the school in question.

⁶ See for example Stange, 2013; Harwell 2013; Ehrenberg, 2012; who are among the most recent studies who note the trend toward differential tuition began after public funding for institutions of higher education began to decline since the mid-1990s. By 2012, Ehrenberg found that 42 percent of doctoral granting institutions had adopted a form of differential tuition, a term broadly used to describe and include the types of program and course fees discussed here, while Nelson, 2008 found that over 45 percent of a set of 165 public-research universities charged such fees. Since these studies were published the trend has accelerated, and such differential tuition practices can now be assumed to constitute the majority of university tuition models.

excellent value UW students currently receive. Fees will first ensure academic quality. Second, they will ensure advising and career preparation services at UW have the necessary resources to continually improve graduation and retention rates, and to ensure that students are career-ready upon graduation with the skills necessary to face the workplace of the 21st century.

II. Instructional Costs, Tuition and Fees at UW and Peer Institutions

Total cost of attendance at the University of Wyoming is among the lowest in the country when tuition and mandatory fees are compared across public 4-year institutions nationally. The following sections describe national trends in tuition and state support, and explore UW tuition and fee levels in more detail across national sets of comparators and a set of institutions chosen to reflect more specific characteristics of the University of Wyoming.

II.1 National Trends

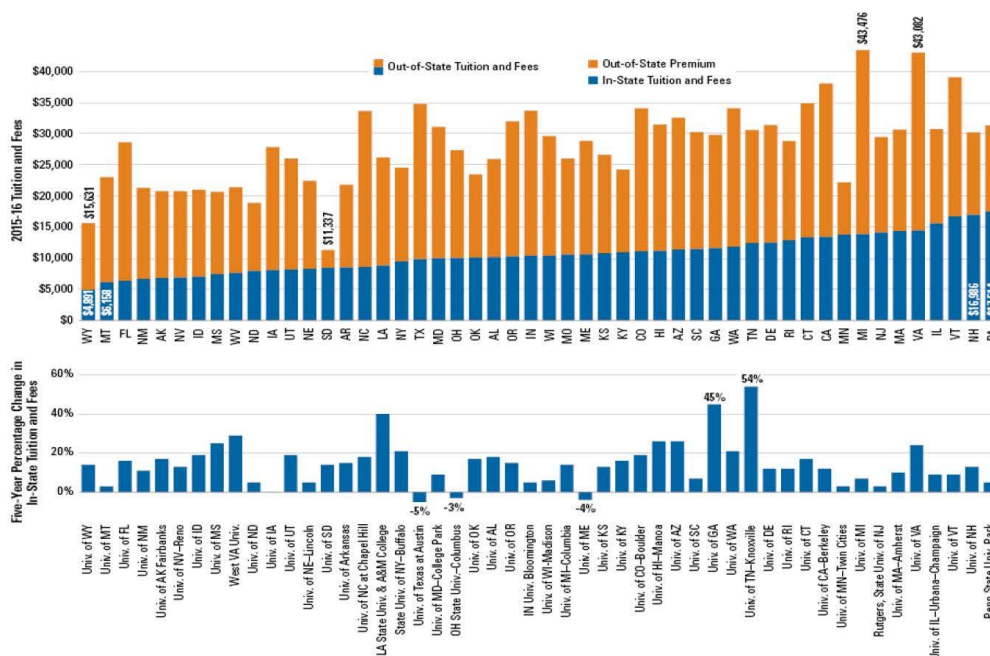
Among public universities, the University of Wyoming's current tuition and fees are on average among the lowest in the country. Figure 1 compares UW's in-state tuition and fees to those at flagship public 4-year institutions in the other 49 states in 2015-16. The lower panel of the figure describes the percentage change that has occurred in those fees over the past five years. As can be seen from the top panel, Wyoming's tuition and fees for in-state students are the lowest in the country, while UW's out-of-state tuition and fees rate second lowest among the states shown. Change in Wyoming's tuition and fees have matched the average occurring across the other schools shown, with these costs increasing by 14 percent over the previous five years. The same results hold when UW is compared to the average tuition and fees charged across all four-year public institutions in other states for academic year (AY) 2015-16.⁷

Across the country and over time, changes in tuition and state support have varied with economic conditions. Figure 2 shows the changes over time in both state support and total tuition/fees charged across all public 4-year institutions expressed on a full-time equivalent (FTE) basis. From the figure, several trends are apparent. First, increases in tuition/fees across all public institutions have been primarily concentrated in periods of declining state support. Specifically, the largest increases in tuition and fees have occurred during or immediately after major recessions, - in 1990 through 1995, in 2001 to 2003, and in 2009 through 2013. All three of these periods correspond to significant reductions in state support for 4-year institutions, the most prolonged occurring after the 2008-09 recession. Tuition increases were primarily instituted to allow schools to maintain their quality of education.⁸

⁷ See [College Board, Trends in College Pricing, 2015](#), pp. 19-20.

⁸ Ibid.

Figure 1: University Tuition and Fees and five-year change by State Flagship Public 4-Year Institutions

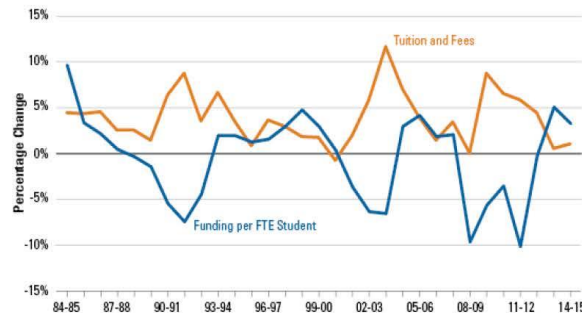


Source: College Board, Trends in College Pricing, 2015.

Secondly, across the nation, tuition increases have been occurring every year with the exception of 2000-01, and have increased at an average rate of 3.9% annually over the 31-year period shown. Since the beginning of the 2000s this rate of tuition increase accelerated to 4.1% annually, and following the 2008-09 recession averaged 6.4 percent annually across all public 4-year institutions. Only since 2013, have tuition increases stabilized at levels corresponding to the rates approaching the general national level of inflation.⁹

⁹ Changes in tuition and fees nationally over this period averaged 8.7% in 2009-10, 6.5% in 2010-11, 5.8% in 2011-12, and 4.4% in 2012-13, before falling to 0.5% and 0.9% in the following two years. Declines in state funding averaged 9.7% in 2008-09, 5.7%, 3.6%, 10.2% and 0.3% in each of the following years before returning to growth. The average annual decline in state support over this period was 5.9%. In 2013-14, state funding began to increase again and averaged 4.1% in the following two years that data is available (5.0% and 3.2% in each of the two years respectively).

Figure 2: Changes in state funding and tuition and fees per student across all 4-year Public Institution.



Source: [College Board, Trends in College Pricing, 2015.](#)

II.2 Comparisons of University of Wyoming funding relative to Peer Institutions

The University of Wyoming has managed to maintain relatively low tuition throughout the 2000s due to relatively generous state support compared to other institutions. Budget shortfalls in other states have led to tuition increases elsewhere that have generally exceeded UW's over time. This has resulted in a decline in UW's comparative tuition and fee level, leaving UW the most affordable doctoral institution in the country (OIA 2016). Where other states have reduced support significantly and moved a greater burden of the cost of education to students, Wyoming continues to fund the majority of total educational expenses through revenue sources other than tuition, primarily by using state-provided dollars.

Figure 3: UW Share of Instructional Cost relative to Tuition and Fees

UW Annual Instruction Cost/Full Time Enrollment = \$14,616 (FY 2014)
UW Academic Year Tuition and Required Fees, Full Time Undergraduate = \$4,646 (AY 2014)



Source: Analysis courtesy Anne Alexander using Integrated Postsecondary Education Data System (IPEDS) data.

Figure 4: Average of 50 Public University Comparators Share of Instructional Cost relative to Tuition and Fees

50 Comparator Avg., Annual Instruction Cost/Full Time Student = \$13,738 (FY 2014)
50 Comparators Avg. Academic Year Tuition and Required Fees, Full Time Undergraduate = \$10,020 (AY 2014)



Source: Analysis courtesy Anne Alexander using IPEDS data.

Figures 3 and 4 compare total instructional costs relative to total tuition and fees collected across fifty public institutions to those at the University of Wyoming. Figure 3 shows the proportion of total instructional costs on an FTE basis compared to tuition and mandatory fees collected per full-time student at UW. As shown, tuition and fees collected cover just 32% of the average instructional costs per student, with 68% of costs covered by state or other revenue sources.

Figure 4 presents the same comparison across 50 comparable 4-year public institutions. Results in the second figure indicate that at these schools, tuition and fee levels cover 73% of instructional costs on an FTE basis, with other sources of revenue including state support covering the remaining 27%. At UW, state revenues cover the majority of instructional costs with tuition the remainder, while across the nation the opposite pattern is observed, with tuition the primary source of support for instructional costs. This result has, in part, been driven by the outcomes shown in Figure 2 – ongoing state funding reductions nationally resulted in tuition increases elsewhere, shifting the funding of instruction primarily to tuition. Wyoming's countercyclical economy, combined with generous state support has allowed UW to escape this trend with necessary instructional expenses primarily supported by state funds.¹⁰ The main benefit of this funding pattern in Wyoming has been the persistence of lowest in the country tuition rates, as shown in Figure 1.

More recently the University of Wyoming has developed a new comparator set of the 11 schools most like UW based on a wide variety of characteristics and referred to as "near-peer schools" (Schueler, 2016). A further nine schools were identified as aspirational schools based on their regional characteristics or land-grant status. These institutions are shown in Table 1.

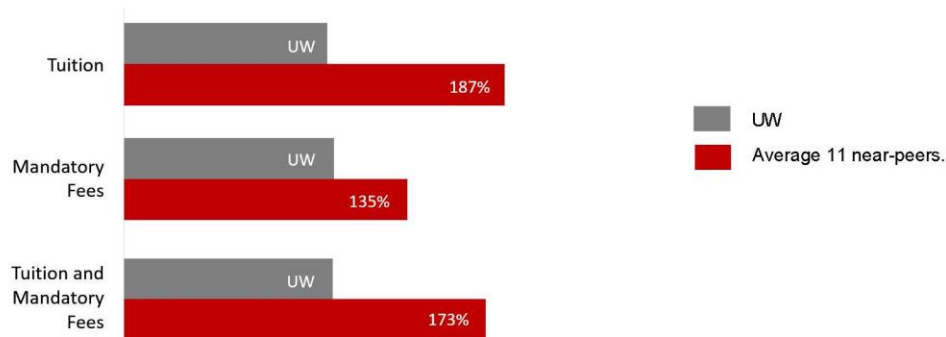
¹⁰ Instruction costs at Wyoming are not significantly different from those at similar schools (see for example, Schueler, 2016).

Table 1: List of Comparator Institutions' Tuition and Fees for Academic Year 2016-17

<i>Institution Name</i>	<i>City</i>	<i>State</i>	<i>Base Resident Tuition (30 cr hrs)</i>	<i>Effective cost/credit hr.</i>	<i>Mandatory Fees</i>	<i>Total Tuition and Mandatory Fees</i>
<i>Near-Peer Institutions</i>						
<i>University of Wyoming</i>	Laramie	WY	\$3,720	\$124.00	\$1,335	\$5,055
<i>Utah State University</i>	Logan	UT	\$5,814	\$193.80	\$1,052	\$6,866
<i>University of Nevada-Reno</i>	Reno	NV	\$6,218	\$207.25	\$974	\$7,192
<i>New Mexico State University-Main Campus</i>	Las Cruces	NM	\$5,307	\$176.90	\$1,422	\$6,729
<i>Oklahoma State University-Main Campus</i>	Stillwater	OK	\$8,321	\$277.35	\$3,378	\$11,699
<i>University of Rhode Island</i>	Kingston	RI	\$11,128	\$370.93	\$1,756	\$12,884
<i>University of Maine</i>	Orono	ME	\$8,370	\$279.00	\$2,258	\$10,628
<i>University of Idaho</i>	Moscow	ID	\$7,232	\$241.07	\$3,300	\$10,532
<i>Montana State University</i>	Bozeman	MT	\$5,330	\$177.68	\$1,557	\$6,887
<i>South Dakota State University</i>	Brookings	SD	\$7,170	\$239.00	\$1,020	\$8,190
<i>North Dakota State University-Main Campus</i>	Fargo	ND	\$6,924	\$230.80	\$1,283	\$8,207
<i>The University of Montana</i>	Missoula	MT	\$4,603	\$153.44	\$1,865	\$6,469
<i>Aspirational Institutions</i>						
<i>Kansas State University</i>	Manhattan	KS	\$9,012	\$300.40	\$862	\$9,874
<i>West Virginia University</i>	Morgantown	WV	\$6,720	\$224.00	\$1,272	\$7,992
<i>Clemson University</i>	Clemson	SC	\$13,418	\$447.27	\$900	\$14,318
<i>Colorado State University-Fort Collins</i>	Fort Collins	CO	\$10,966	\$365.53	\$2,336	\$13,302
<i>Washington State University</i>	Pullman	WA	\$10,916	\$363.87	\$1,050	\$11,966
<i>University of Nebraska-Lincoln</i>	Lincoln	NE	\$6,758	\$225.25	\$1,871	\$8,628
<i>Texas Tech University</i>	Lubbock	TX	\$7,500	\$250.00	\$2,730	\$10,230
<i>University of New Mexico-Main Campus</i>	Albuquerque	NM	\$5,286	\$176.20	\$1,664	\$6,950
<i>University of Utah</i>	Salt Lake City	UT	\$7,452	\$248.39	\$1,110	\$8,562

Figure 5 compares the average level of annual tuition based on two semesters of full-time attendance in the 2015-16 academic year by summarizing the information across the 11 near-peer schools in Table 1 and presenting them as a percentage of UW's tuition and fee levels. None of the tuition levels at the 11 peer institutions is lower than UW's, and only four schools have lower levels of mandatory fees. Tuition rates across these schools averages 87% higher than Wyoming, while fees average 35% more. The combined tuition and mandatory cost across these 11 schools is 73% higher than the combined level at Wyoming. The next lowest school in terms of combined tuition and mandatory fees of the schools shown in Table 1 is 28% higher (at the University of Montana). If the comparison is extended across the full 20-school comparator set of near-peer and aspirational schools, average tuition levels across the full set of schools in Table 1 is 202% of Wyoming's tuition rate, and mandatory fees average 125% above UW's rate, implying the total cost of tuition and fees across this set of schools is 182% of UW's cost for one year of attendance.

Figure 5: Near-Peer Comparison of Tuition and Mandatory Fees



Cost comparisons on the basis of tuition and mandatory fees alone, however, are misleading, as in addition to these charges, students attending the schools listed in all but one case in Table 1 will pay differential tuition in some programs. As noted previously, differential tuition is another response institutions of higher education have used to deal with reduced levels of state support. Such fees are charged in a variety of ways, including by credit hours enrolled in specific, usually high-cost classes (referred to hereafter as “course fees”), by charging fees on all classes or credit hours in a particular program (referred to hereafter as “program fees”), and fees assessed by semester on declared majors or minors in particular program (referred to hereafter as “semester fees”).¹¹

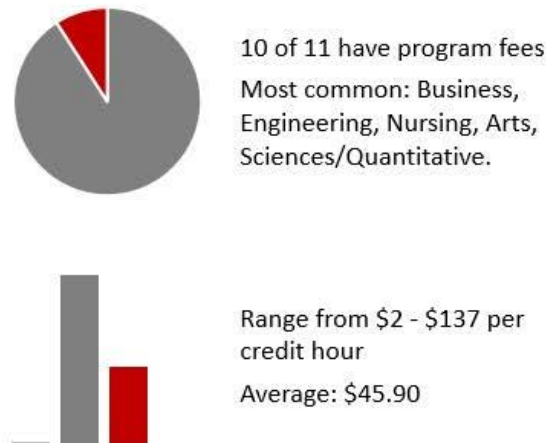
Table 2 provides data on the types of differential tuition charged at each the 20 institutions identified in Table 1. Data comes from institutional websites for academic year 2016-17. Figure 6 summarizes those findings across the 11 near-peer schools. Of the 11 near-peer schools, all have a form of differential tuition though New Mexico State University levies this on the basis of

¹¹ At a few institutions, another approach is used to assess differential tuition, by imposing an additional percentage-of-tuition charge for specific undergraduate programs. None of the programs in Table 1 impose such a fee.

specific course fees.¹² Of all twenty comparator schools shown in Table 2, only Washington State University has no form of differential tuition currently.

Comparing near-peer schools, all charge per credit-hour program fees but the Universities of Idaho, Rhode Island, and North Dakota State University, which charge program fees on a semester basis. Among the schools with credit-hour fees, Utah State University differentiates between upper- and lower-division courses and only the upper-division class charges are shown in the table. Lower-division charges are usually \$2/credit hour in the listed program.¹³ Among the schools with program fees assessed by credit-hour the average fee charged was \$49.48, with a range from \$2 to \$137 in 2016. The average semester fee was \$991.92 across the programs shown with this type of fee.

Figure 6: Program fees summary across near peers.



Among aspirational schools there was a similar pattern found regarding fees among schools that charged differential tuition (all but Washington State University). The average per credit-hour program fee charged across all those shown was \$61.83, with a range from \$25/credit-hour to \$185/credit-hour. Among schools charging semester program fees, the average semester fee across all those shown was \$1,021.52/semester. Across all the schools shown in Table 2, the most common programs to assess fees, either on a semester or per credit-hour basis, were Business, Engineering and Nursing.

¹² Montana State has a similarly wide set of course fees, but because some are levied across all courses in a program the school has been categorized as having a program fee.

¹³ In 2017-18 upper-division business fees will rise by \$20/credit-hour, Engineering by \$14/credit hour, and Agriculture by \$10/credit hour.

Table 2: List of Comparator Institutions' Tuition and Fees for Academic Year 2016-17

<i>Institution Name</i>	<i>Business</i>	<i>Engineer- ing</i>	<i>Scienc e</i>	<i>Health Science/ Nursing</i>	<i>Architect -ure</i>	<i>Art</i>	<i>A&S</i>	<i>Education</i>	<i>Agricult -ure</i>	<i>Online</i>	<i>Honors</i>
<i>Near-Peer Institutions</i>											
<i>University of Wyoming</i>											
<i>Utah State University</i>	\$137	\$34	.	\$25	.	\$37		\$25	\$49	.	.
<i>University of Nevada-Reno</i>	.	\$85	.	\$157
<i>New Mexico State University</i>	**	**	**	**	**	**	**	**	**	**	**
<i>Oklahoma State University</i>	\$30	\$59	.	\$44	.		\$35	\$38	\$45	.	.
<i>University of Rhode Island</i>	.	\$990*	.	\$1,600*
<i>University of Maine</i>	\$33	\$100	.	\$50	.		.	\$100***	.	\$25	.
<i>University of Idaho</i>	.	.	.	\$890*	\$1,246*	
<i>Montana State University</i>	\$26
<i>South Dakota State University</i>	\$29	\$80	\$40	\$98	.		\$15
<i>North Dakota State University</i>	\$165*	\$696*	.	\$1,088*	\$2,288*	
<i>The University of Montana</i>	\$26		Varies	\$100	.	Varies	
<i>Aspirational Institutions</i>											
<i>Kansas State University</i>	\$58										
<i>West Virginia University</i>	\$45	\$52	\$30	\$103	.		\$25	\$23	.	.	.
<i>Clemson University</i>	\$2,062*		\$2,000*	.	.	.	\$1,000*
<i>Colorado State University</i>	\$91	\$91	\$68	\$68	.		\$51	\$51	\$51	.	\$68
<i>Washington State University</i>
<i>University of Nebraska-Lincoln</i>	\$54	\$98	.	.	\$79	
<i>Texas Tech University</i>	\$2,040*	\$1,950*	.	.	\$750*		\$750*	.	\$750*	.	.
<i>University of New Mexico</i>	\$10	\$15	.	\$185
<i>University of Utah</i>	\$175*	.	.	\$400*	\$500*		\$250*

* semester fee, ** various course fees , *** one-time fee.

Overall, while there is wide variation in credit-hour and semester-based program fees charged, among the 11 near peer institutions identified with credit-hour based program fees, using an average fee of \$49.48 this would result in an additional cost to students of \$742.22/year assuming that these students take half of their courses (15 credit hours) within major.¹⁴ The average total tuition and mandatory fees charged at these schools using per credit-hour program fees was \$8,276, or 64% more than the total cost of attendance at UW in 2016-17. The additional revenue the average program fee would generate across these schools would increase a student's total cost of attendance by an additional 9%, raising the difference over UW's costs to 73%. Those schools charging a semester fee would average an additional charge of 1,983.84/year beyond the average total cost of tuition and mandatory fees of \$10,541. This represents an 18.8% increase in cost above the listed mandatory fee and tuition charge. Including program fees at these schools, their cost of attendance is 227% more than the University of Wyoming's.

III. Proposed Program Fees at the University of Wyoming

Current budgetary changes threaten the ability of the University of Wyoming to continue to deliver high-quality programs, particularly in the areas where costs of instruction are rising more quickly. Over the past year and continuing into FY2018, the University of Wyoming has been required to absorb a reduction in its budget of \$41 million. \$34 million is a permanent, or recurring reduction. This has caused a significant reduction in staff and faculty positions, and reduced the ability of the institution to serve students in very important areas. For example, the College of Business was forced to close its student communications center, and eliminate the personnel that center provided to help students improve their written communications skills even though this had been an area of high priority to support student career preparation and academic success. Tight budgets have also required significant budget reallocation and reduction in other academic units. To avoid these changes affecting the quality of academic programs, and to ensure programs that support and improve students' academic achievement and career preparation, new revenue sources will have to be found. For this reason, this proposal develops a program-fee system to allow the increased costs of instruction to be addressed despite declining state support in areas where overall costs of instruction are rising, especially in programs that require additional resources beyond the faculty and facility already provided by the state. Further, the proposed fees allow the institution to continue to strive to improve, both with respect to program quality and with respect to student outcomes through reinvestment in student advising, academic and career services.

To this end, the proposed program fee system will attempt to achieve two goals:

- 1) Support those instructional programs that require additional resources to provide by creating a revenue stream that reflects the higher costs of instruction present in certain programs.
- 2) To create a revenue stream that allows the University of Wyoming to improve important student-centered institutional priorities, specifically
 - To improve retention rates of students enrolling at UW

¹⁴ If a student was in their junior year, for example, and still finishing electives, but taking a significant amount of required classes for their program such a pattern of classes might be expected.

- To improve time to graduation for students at UW.
- To improve career-readiness among UW graduates.

The following describes the process, justification, recommended fees the University of Wyoming's Revenue Enhancement Sub-committee determined were appropriate to achieve the goals just described, and how they should be implemented. Implementation comments include discussion of how such fees shall remain accountable to students and transparent with respect to how they will be charged and how they will be reviewed and adjusted as necessary over time. The process by which the program was developed is detailed and the fees are justified in the following sections, along with their revenue implications and the proposed expenditure programs these fees would support to achieve the goals above.

III.1 Process

The University of Wyoming's Revenue Enhancement Sub-committee was convened at the request of President Laurie Nichols as a sub-committee of the Financial Crisis Advisory Committee (FCAC) in early July, 2016. The committee chair and initial members of the committee were also appointed at this time by the President. Later, additional committee members were identified and recruited by the original committee and chosen for the programs and colleges they represented and for which program fees were determined potentially appropriate.¹⁵ *The charge of the committee was to develop a program fee proposal, assessed by credit hour and to be comprehensive, replacing existing course and program fees in the affected area.* Such a program was meant to define new revenue sources to ensure continuing academic program quality and to improve student-centered priorities described in Goals 1 and 2 above. The committee began formal meetings on July 14th and convened its last meeting on August 25th. Activities of the committee, including minutes, can be found at http://www.uwyo.edu/president/budget_planning/rec/. The committee continued to develop specific fee proposals through September via email and telephone conversation, finally culminating their activities with this report.

III.2 Principles and Justification

Initial meetings focused on defining a coherent and common approach with which to address the construction and justification of any program fee proposal put forward to the university community. The result was a document "**Guiding Principles, Policies for Justification and Expenses Allowed,**" outlining the important principles such a proposal would embody. This document is found in the Appendix. Seven principles outlined in the document were determined to be essential to any program proposed:

- (1) Access: Fees should not be prohibitive to major or program choice of the student to encourage a diverse workforce.
- (2) Transparency: Students should be able to quickly and simply discern what fees are charged, when they can expect them, what they are for, and the benefits they receive from

¹⁵ Committee members included Robert Godby – Economics and Finance (Chair), Mary Burman – Nursing (vice-chair), Anne Alexander – Academic Affairs, Michael Pishko - Engineering, Susan Frye – Outreach and FCAC liaison, Reed Scull - Outreach, Ricki Klages - Art, Greg Brown - Botany, Gerry Andrews – Veterinary Science, John Mittelstaedt – Management and Marketing, Denise Gable – Nursing, Suzanne Young – Education.

- them. New program fees shall, where possible, replace existing fees to avoid unnecessary complexity and to ensure true costs of programs are clear.
- (3) Benefit Basis: Program support fees should have clear benefits to the students paying them
 - (4) Cost Basis: Program support fees should be based on the actual cost of providing specific benefits to students paying the fees
 - (5) Accountability: Financial control and accountability should be built into the fee structure. On a regular basis, programs should share the sources and uses of their fees and directly map intentions with results.
 - (6) Efficiency: Programs should ensure that curriculum and co-curriculum experiences are delivered in a cost-efficient manner. In addition, administration of fees should not be unnecessarily complex.
 - (7) Impact and Flexibility: Programs should monitor impacts to their enrollments and student success measures. They should respond to noticeable changes in the external market factors and in student behavior induced by programs fees.

In accordance with Principles (1) and (4), a fundamental consideration was also that any fee levels defined should be market competitive. The analysis in Table 2 was performed in part to address this requirement.

An important and philosophical question to address was “why program fees?” While a general tuition or mandatory fee increase might have also been possible, in the view of the Committee, the program fee approach provided the fairest means to maintain academic standards while striving to ensure student success and career-readiness by allocating program costs through a “user-pay” principle. Program fees allow charges to be levied on the basis of cost of delivery, student demand, and the private degree value for students they provide upon graduation, and they also allow students to choose to avoid such costs if they wish to in pursuit of a university education. Program fees also allow greater transparency and can allow greater accountability than a single tuition/fee increase, as revenues must be used by the programs they are intended for. Outcomes can be assessed to determine the effectiveness of particular fee initiatives, and can if necessary be withdrawn if the imposition of fees fails to achieve the goals for which they were intended.

An additional benefit of instituting comprehensive program fees is transparency with respect to the cost of attendance for students. Current student fees for courses and programs are defined in the University of Wyoming Fee Book FY2017 in Section IV: Program and Special Course Fees, pp. 27-36. In this section there are eleven separate undergraduate fees, at least 86 courses listed with separate fees, and over 40 specific or miscellaneous fees for course or program activities certifications or other charges.¹⁶ These make a student’s calculation of the cost of attendance at UW very difficult. Instituting a single program fee allows the streamlining of existing fees and the ability to clearly define the costs of a specific educational program. The proposed fees outlined here will replace most of the existing fees in Section IV of the Fee Book with a simpler and

¹⁶ These fees may be due to more courses than the 86 listed, as additional fees may occur for specific programs or classes.

comprehensive framework that allows students and administrators to better understand the true student cost of attendance at UW.

Finally, program fees must benefit the students the revenues come from. For this reason fees collected must be used both to improve student services, or student instruction and program requirements. They cannot be used to supplement research, faculty salaries or other activities within a unit.

III.3 Design Considerations and Incentives

To ensure that the cost of education was clear, and that the use of fees was also apparent to students, and to again impose fairness on all students taking classes provided by a particular program, it was determined by the committee that the simplest means of fee assessment was a common fee by course subject code. For example, in this proposal all students taking classes with an ART code will pay the same amount per credit-hour to support the instruction provided by that program. This also allows the provision of a program to be seen holistically and to allow the cost of instruction to be covered on the basis of the average cost per credit-hour served.

Alternative means of fee assessment were also considered, but ultimately rejected. Semester fees assessed on students declaring a major or minor in a program were avoided due to the potentially unconstructive incentives they may create. Specifically, payment of an additional semester fee could incentivize students to avoid declaring they were majoring or minoring in a particular program until the last possible moment. This is sometimes referred to as the “shadow-major problem” and results in higher fees being required by those who do declare their major or minor to support those avoiding the program costs but benefiting from the program’s services. Alternately, specific and differential individual course fees were also considered. Some may argue that assessing fees by the cost of specific classes is fairer, as some courses in specific programs are less costly than others. The committee determined, however, that a program should be viewed holistically and fees charged accordingly. For example, in sciences, general disciplinary knowledge may be taught by lecture, utilizing the efficiencies and economies of scale such a format offers, but practical use of scientific methodologies may also require the use of expensive laboratory instruction. An effective science program may require both types of instruction to be used and encouraged, however, the assessment of varying costs for different types of classes could cause students to avoid enrolling in higher cost types of instruction when possible. Such an outcome would undermine the effectiveness of such a science program. For this reason the holistic approach of regarding all courses in a program as equally important was applied and it was considered consistent with this principle that a common credit hour charge be used across all courses in a program regardless of year, type of instruction or other consideration. Such a fee-basis also allows for better program management as it can reduce the volatility of program revenues used to support instruction.

Concerns have been raised in the committee regarding the potential for more expensive programs to experience enrollment declines if students avoid higher cost programs for lower-cost ones. While the threat of such problems is real, experience at other institutions is mixed with respect to the sensitivity of student program selections on the basis of cost after differential tuition is

instituted (see for example Stange, 2013). Overall, such impacts are not anticipated to be substantial. The experience at other institutions with respect to differential program costs has been driven by two student responses – choices to attend other lower-cost programs on the same campus, or to attend programs at alternative lower-cost institutions. Due to Wyoming's already lowest in-class tuition costs outlined in Section II, however, and the fact that the proposed fees here do not alter that advantage, the second effect is likely ruled out. With respect to the first effect, it has been recognized that students are often unaware or less concerned with differences in course costs when enrolling in classes due. This may be because they often don't pay attention to credit hour costs, or because they often finance school attendance with future earnings through debt. Both effects complicate any attempt to determine how price elastic students at Wyoming may be to the imposition of a program fee system, and we expect that, as found in many institutions, student enrollments will not be greatly affected by the imposition of differential tuition. The committee also noted that differential program fees may serve to refocus a program's attention on recruiting and instructional quality to ensure that, at least in higher cost programs, students are attracted to take their classes. Again, this accountability to enrollments and instructional quality is an incentive that could reinforce high-quality teaching across the campus after program fees are introduced and an additional potential benefit of using a program-fee system.

It should also be noted that while not every program may institute program fees, it is not the case that programs outside of those that institute fees will not benefit. In an environment of flat or declining budgets, high cost programs that include costs other than facility and faculty, such as consumable materials that are prone to inflation will require increased budgets if quality of these programs is to be maintained. Such funds will come out of the total instructional budget pool at the institution or within a college, and leave less for other programs. Instituting a program fee system to cover such additional costs not only helps the program instituting the fee, but also protects those without such fees whose budgets may otherwise decline as other program costs rise over time.

III.4 Proposed Fees

The program fees proposed here are outlined in Tables 3 and 4. There are two types of program fees – college-wide program fees instituted across all course codes offered within a College (Table 3), and discipline-specific program fees assessed for particular programs (Table 4). Discipline-specific program fees are charged in addition to associated college fees shown in Table 3. *These fees are to be charged on undergraduate courses only (course numbers below 5000).* College-wide fees will support technology, accreditation, assessment costs, and will provide funds for increased student services. They will also be used to create a seat guarantee for all students to ensure capacity to offer required classes, by opening new sections as needed in high-demand course areas when necessary. Fees charged are the same for in-state or out-of-state students.

Table 3: College-Wide Fees Proposed

College/School	Credit-hour Fee Proposed
Agriculture and Natural Resources	\$10
Arts and Science	\$10
Business	\$45
Education	\$45
Engineering and Applied Science	\$69
Haub School of Environment and Natural Resources	\$48
Health Science	\$12

Table 4: Specific Program Fees Charged Additional to College fees)

Programs	Fee	Course Codes
Science and Quantitative Programs (Sci-Q)		
Tier 1	\$10	ANTH, GEOG, MATH, PSYC, STAT
Tier 2	\$20	GEOL
Tier 3	\$45	ASTR, BOT, CHEM, LIFE, PHYS, ZOO
Visual and Performing Arts (VPA)	\$45	ART, MUSC, THEA
Agriculture Studio/Science		
Tier A	\$10	AGEC
Tier B	\$15	AECL, ANSC, ENTO, ESM, FCSC, FDSC, MICR, MOLB, PATB, PLNT, REWM, RNEW, SOIL
Health Sciences Programs		
Communications Disorders	\$30	SPPA
Kinesiology And Health	\$25	HLED, KIN
Nursing	\$30	NURS
WIND minor	\$10	WIND

III.5 Justification

Arts & Science and Agriculture Program Fees:

College-wide fees: Within the colleges of Arts & Science and Agriculture and Natural Resources two fees are levied. Across all students in any class offered by these colleges, a \$10/credit-hour fee is charged to expand and improve student advising and career-preparation. These fees are shown in Table 3. The funds would allow the hiring of at least 8 new advisors (5 in A&S, 3, Agriculture) and support the creation of a central advising center to serve all students within these colleges, used for professional and career preparation and placement efforts, and to support expanded international experience programs and internships. These fees replace existing program fees for technology currently assessed in each of the Colleges to support and maintain instructional equipment, software and technical support. Both colleges would also implement "seat-guarantees" to ensure that in the event that existing sections fill in classes with high demand (typically classes with USP designations) and that are necessary for students' programs of study, such as in math or sciences, new sections would be opened to avoid causing students to delay taking such classes until a following semester. Revenues from each of these fees would be collected and administered by Dean's offices in the Colleges of Arts and Science, Agriculture and Natural Resources, and each would administer their use.

Specific Program fees: Because of the wide variety of programs offered in these two colleges, additional fees are proposed for these two colleges and they are listed in Table 4. These fees would be charged in addition to the college-wide fees noted above and cover specific instructional costs in the higher cost areas offered in these Colleges. The revenues collected will flow to the specific departments generating the fees, which are assessed by course discipline code, to be used for instructional support of undergraduates.

Sci-Q fees: Sci-Q (Science-Quantitative) academic units in the College of Arts & Science provide the foundational training for all UW undergraduates in the basic natural and physical sciences, and in the quantitative sciences. As such, they provide the foundational education for all students in a STEM major, including those interested in careers in STEM (Science, Technology, Engineering and Math) area education, and have a direct major impact on UW students in the Colleges of Engineering & Applied Science, Agriculture & Natural Resources, Health Sciences, and the hundreds of undergraduate majors in the Sci-Q departments. These would be charged on all courses in eleven different departments identified using National Science Foundation (NSF) STEM definitional criteria. Because the instruction cost differs in these programs, three tiers of cost were determined appropriate and charged on all course codes shown in Table 4.

- *Tier 1:* These fees, assessed at an additional \$10/credit-hour (\$20/credit-hour including the college-wide A&S fee), would be charged on all course codes offered in Mathematics (MATH), Statistics (STAT), Anthropology (ANTH), Geography (GEOG) and Psychology (PSYC). These disciplines have higher technology and some science-based classes that generate additional instruction cost to maintain and operate. Fees from the MATH and STAT programs will be used to support the Math Assistance Center.

- *Tier2:* This \$20/credit-hour fee (\$30/credit-hour including the college-wide A&S fee) would be assessed on course codes in Geology (GEOL). The higher fee is required to support field science study in this area.
- *Tier 3:* This \$45/credit-hour fee (\$55/credit-hour including the college-wide A&S fee) would be assessed on all undergraduate credit-hours generated in the Botany (BOT), Chemistry (CHEM), Life Sciences (LIFE), Physics (PHYS), and Zoology & Physiology (ZOO). These fees are charged specifically for the added instructional costs incurred by the use of laboratory facilities and instrumentation in these programs, and costs of expendable supplies used in laboratory instruction.

All Sci-Q fees were considered both on the basis of cost to provide adequate instruction in the affected fields, and on the basis of market competitiveness. Table 2 provides data on existing program fees at the twenty near-peer and aspirational institutions identified as most similar to Wyoming. While not all institutions charge fees in the areas we propose, those that do include a \$15 to \$51 Arts & Science credit-hour fee, and in the sciences specifically, fees range from \$30 to \$68/credit-hour based on published 2016-17 data. The fees proposed here at UW are similar, and would range from \$20 to \$55 including both the college fee and the Sci-Q fee, depending upon the degree program considered.

Visual and Performing Arts (VPA) Fees: In addition to the science and quantitative areas, visual, fine and performing arts are also areas that create additional instructional costs. The proposed \$45/credit-hour VPA fees (\$55/credit-hour including the college-wide A&S fee) would affect three departments: Art, Music and Theatre&Dance, and support specialized classroom instruction requiring specific and costly technology and materials. The specifically affected course codes are shown in Table 4. Examples of cost areas justifying these fees include Art's six equipment-intensive studios in Printmaking, Ceramics, Sculpture (which has 5 separate equipment studios), Metalsmithing, Photography and Graphic Design, and 4 studio areas in Foundations (2-D and 3-D), Painting, and Drawing. Music provides specialized rehearsals spaces, practice rooms, teaching studios, classrooms, technology support, musical instruments, equipment, and performance spaces for all students majoring and minoring in Music. It also provides applied lessons in every instrument necessary to create all large ensembles common to the music curriculum. Theatre & Dance provides specialized classroom, technology support, equipment production based materials and performance spaces for all students majoring and minoring in Theatre & Dance. This includes dance and acting studios, musical theatre rehearsal space, scene shop, costume shop, lighting lab and 3 performance areas. Each department would collect the VPA fees generated by all undergraduate courses to specifically offset these program costs.

Review of current program costs determined the proposed fee of \$45/credit-hour was appropriate to support instruction in VPA areas at UW. While the proposed fee appears slightly higher than the average fee of \$39.43 charged at near-peer institutions in Table 2, those charges do not include specific course and material fees typically charged elsewhere on a course basis in these programs. On this basis the proposed VPA fees were determined to be market competitive. The proposed fees would replace all current VPA fees published in Section 4 of the 2017 Fee Book, with the exception of private music lessons fees which are still required to cover these costs of instruction.

College of Agriculture and Applied Science Studio and Science Fees: These fees are similar to the Sci-Q fees previously described, but are proposed to support the differential costs of instruction experienced in the Agricultural and Applied Science areas. They would be charged on all affected course codes shown in Table 4, in addition to the \$10/credit-hour fee assessed on all undergraduate classes offered in the College of Agriculture and Applied Science. These fees were split into two tiers reflecting program costs:

- *Tier A:* This fee of \$10/credit-hour was assigned to cover additional technology and instruction support costs incurred in the Department of Agricultural and Applied Economics.
- *Tier B:* This \$15/credit-hour fee would be charged on the thirteen primarily field science course-codes identified in Table 4. Because of the nature of these classes, they were determined to have higher instructional costs due to additional use of laboratory space and therefore justified higher costs than those in Tier A.

As shown in Table 2, the proposed range of fees (from \$20 to \$25/credit-hour including the college and program fees) affecting students in this college is lower than those found elsewhere at near-peer and aspirational schools, which range from \$45 to \$51/credit-hour currently when they are charged.

Health Science Program Fees

Proposed fees affecting college of Health Science students are structured similarly to the fees charged in the Arts & Science and Agriculture colleges, consisting of two specific fees: a college-wide program fee charged to all students in the college to support expanded advising, career and placement services; and specific program fees affecting students in identified programs with higher costs. All students in this college would pay a required \$12/credit-hour fee to cover college-wide technology and equipment needs, student advising, inter-professional and international experiences, and student professional liability insurance costs. As can be seen from Table 2, most of UW's peer and aspirational institutions charge some type of additional fee for health sciences. With the University of Wyoming's relatively low cost per credit hour, even a modest increase in a per credit hour fee for the College of Health Sciences, however, will still maintain a good cost advantage over these institutions.

In addition to the college-wide fee proposed, four higher-cost undergraduate programs in the College of Health Sciences were identified as justifying an additional per-credit-hour charge as described below.

Nursing and Communication Disorders: In addition to the \$12/credit-hour fee, students taking NURS and SPPA-coded classes would also be charged a per-credit hour fee of \$30 (total charges: \$42/credit-hour). This would replace existing fees in the program currently charged. Nursing programs nationally are found to commonly assess such a fee, but the proposed fees at UW are significantly lower than those elsewhere. At the peer and aspirational schools shown in Table 2, the near-peer average credit-hour charge is \$79/credit-hour, while among all schools shown in Table 2 the average is \$91/credit-hour. Nursing fees would only be charged for undergraduate *on-campus courses*. While less common, speech and communication disorders programs were also

determined to be market competitive, with proposed fees lower than five of six regional programs in area.¹⁷

Kinesiology and Health Program fee: the Department of Kinesiology and Health (DK&H) has two unique undergraduate majors: 1) Kinesiology and Health Promotion (K&H; ~320 majors); and 2) Physical Education Teacher Education (PHET; ~80 majors). Additionally, DK&H offers two university-wide service courses and three professional endorsement programs that collectively serve other departments and colleges within UW and meet the needs of teachers, coaches, and health educators across the state and nation. Across all undergraduate courses in this department, a \$25/credit-hour fee (in addition to the \$12/credit-hour college-wide fee) is proposed. This fee was also determined to be market competitive and lower than peer and aspirational schools in the region with fees in these course areas. Again, fees would be used to support instructional needs including lab and facility costs, endorsement and certification costs where appropriate.

WIND (Wyoming INstitute for Disabilities) Minor: The proposal requests a \$10/credit-hour fee. Disability Studies is a groundbreaking field that profoundly enhances student understanding of disability as a complex personal, familial, social and cultural phenomenon. The University of Wyoming is one of only twenty-one colleges or universities in the United States with an undergraduate program in disability studies, and has had nearly seventy graduates since 2008. The curriculum, focused on the socio-cultural dimensions of disability in relation to education, employment, health access, service provision, and community support, greatly increases student knowledge about disability; further, the practicum experience of building relationships with people with disabilities provides students with experiences that shape their professional goals and personal values. With no direct comparators in the region, assessment of tuition levels in similar programs indicated Wyoming was significantly lower cost than any other school considered, and therefore the \$10/credit-hour fee determined appropriate to cover additional costs of instructional capacity in this area, while still allowing UW to offer high value for students.

Business, Education, Engineering and Haub School Program Fees:

The fees assessed in Table 3 for these programs combine expansion and enhancement of student support services, and instruction costs needed within the programs each college or school provides. In these colleges and schools, the instruction and advising portions of the proposed fees were combined to create one fee per college, and students in these colleges would have this single fee assessed on each credit-hour of coursework taken. These fees will also be used to enhance advising, placement and student skills services, and would facilitate the creation and maintenance of communications and math assistance centers. In the case of the Haub School a significant portion of students take the school's programs as a double-major or minor. The fees generated on these courses will aid advising for students taking ENR programs to ensure double-majors and minors are properly advised given the added complexity and coordination needs such programs create.

¹⁷ The exception is Montana State where proposed fees are approximately \$250 higher at UW over 30 credit hours using 2016-17 published rates.

Business Program Fee: The proposed fee to be charged on all business classes would be \$45/credit-hour. Fees assessed will serve two purposes. The first, 50% of the fees collected would expand and support a college-wide effort to maintain and improve advising, placement and student success initiatives. Specifically, funds would be used to support the College's Academic Advising Center, which provides fulltime professional advising for on-campus and online students, whether pre-business, majors or minors. The cost of staffing an office for 1,200 undergraduate students is approximately \$240,000 a year. In addition to this center, the Peter M. and Paula Green Johnson Career Center (JCC) would be supported. The JCC provides internship and career services to COB students, and plays a vital role in recruiting employers and connecting those employers with highly talented graduates. The generous gift by Peter and Paula Johnson covers a good portion of the cost of the JCC, but it has grown beyond initial expectations and now needs more than \$100,000 in funds annually, exceeding the expendables generated by the Johnson endowment. Additionally, to create a competitive advantage over peer institutions, funds would be used to support a communications studio. Such a center was opened in Fall 2015. This was in response to employers' requests, who identified improved communications skills as a way to further improve the competitive advantage our students enjoy in the marketplace because of their technical capabilities. The cost of this program at full strength is \$150,000, annually, however, due to budget cuts, in Summer 2016 the center had to be closed. The proposed fee would allow resources to reopen this service. Proposed fees would also replace an existing technology fee, and support necessary accreditation and assessment costs.

The second purpose of the fee, accounting for the remaining 50% of fees collected, would be to support instruction in the various undergraduate degree programs in the College of Business: Accounting, Economics, Finance, Management and Marketing. 50% of the course fees collected by course code would be used by these departments to maintain and enhance instruction, including data-base support, which currently costs over \$250,000 per year, specialized software, and additional instructional support.

Among colleges of business at public land grant universities, more than two-thirds now charge an additional fee for the cost of business programs. Of the 48 public, land grant universities with colleges or schools of business, 32 (67%) some form of program fee. All but two schools in Table 2 assess a program fee or course fee for business classes, and among those that charge a fee per credit-hour, the average fee based on published 2016 rates is \$49, with a range from \$26 to \$137.¹⁸ For this reason the proposed fee of \$45/credit-hour was determined market competitive.

Education Program Fee: In November 2014, the UW Board of Trustees passed a resolution enacting the Trustees' Education Initiative (TEI), which is designed to "elevate the college to the status of a pre-eminent college in professional educator preparation." The Daniels Fund has supported the TEI with a \$5 million, five-year grant that requires 2:1 matching funds in years 3 through 5. In keeping with the spirit of the Trustees' resolution, with the goal of sustaining the work that will be taking place over the next few years, an increase in program fees in undergraduate

¹⁸ This \$137/credit-hour fee at Utah State rises to \$157 for the 2017-18 academic year.

educator preparation is proposed. This fee would be assessed at \$45/credit-hour across all undergraduate courses in the Education College.

Proposed fees will enhance and expand the College's advising and professional preparation of its students. Because many students in education transfer from community colleges, this effort will also emphasize smooth transfer experiences to increase retention of students who often face challenges adjusting to studying at the collegiate level. Fees will also support for enhanced instruction in technological pedagogy, and clinical practice including support for travel to provide students experiences with diverse children in urban and rural communities that are different from those nearby. Fees will also allow enhanced assessment and accreditation efforts.

The fee proposed is market competitive. Considering the fees shown in Table 2, the proposed fee are somewhat higher than the average of \$35/credit-hour charged at two near-peer and two aspirational schools, but given the low cost of tuition at Wyoming previously described, the total cost of tuition including the proposed fee at UW would still be significantly less than at competitor schools. Further, costs were determined to be justified on the basis of ensuring the continuation of initiatives underway, and to ensure expanded student success in the College.

Engineering Program Fee: In 2012, Governor Matt Mead and the Wyoming State Legislature called for a rise in prominence for UW's College of Engineering and Applied Science (CEAS) as a means for supporting and diversifying the state's economy. The resulting "Tier 1 Engineering Initiative" provided a much-needed increase in the level of fiscal support for the College. Consistent with more recent declining state support, the need to maintain the high standards demanded by the CEAS accrediting body (ABET), and the need to provide student services at a level consistent with the goals of the Tier 1 Engineering Initiative, a \$69/credit-hour fee is proposed. The fee proposed would be charged on all undergraduate course credit-hours in the college.

The new fees to students enrolled in CEAS courses are designed to support discipline-specific instructional laboratories, discipline-specific computer labs and software, a portion of the CEAS machine shop services, and an enrichment fee whose distribution is guided by a committee of students towards various activities in support of the UG educational mission. To support Tier 1 goals, the new fee provides support for a number of badly-needed staff positions, including (5) professional advisors, computer system administrators, staff engineers to support laboratory maintenance and senior design instruction, communications instructors, and an internship/career placement professional. These staffing requirements are entirely consistent with the structure at more prestigious engineering institutions, a group which UW's College of Engineering and Applied Sciences aspires to join.

Throughout higher education in the U.S., engineering programs are typically the highest cost university programs offered in undergraduate education. For this reason the proposed fee is the highest among those described in Tables 3 and 4. The fee is, however, equal to the average of the schools charging credit-hour fees in Table 2 (\$68 at published rates for 2016-17) and this average does not include those charging semester fees, that based on a 15-credit hour load would average over \$80/credit-hour. It is notable that even with the proposed increase, tuition and fees to UW's

CEAS students will still be substantially lower than those at all of the nation's top-10 programs or our aspirational target institutions.

Haub School Program Fee: The Haub School provides a unique curriculum and educational experience in interdisciplinary environment and natural resource (ENR) education. The School's programs are currently offered as concurrent or double-majors, and minors, taken while students also study in other degree areas. The proposed fee would first increase the available advising facilities necessary to support such majors and minors to ensure that the complex scheduling to accommodate double-majors and minors does not result in additional time to graduation or undermine program retention. The proposed fees would also cover the added instruction cost associated with many courses in the curriculum that offer high levels of experiential learning, including field trip support and travel.

An additional challenge of the interdisciplinary nature of the program is faculty development and support, as many of the courses rely on other programs providing cross-listed classes. Additionally, a significant portion of several class curricula requires individualized projects and group-work in the field and communities that requires special support. Currently, such costs are covered by endowment funds where they can be identified, but continuing funding is an on-going challenge. The proposed fee of \$48/credit-hour would also support such efforts. Based on an assessment of the School's current program costs, and given the unique nature of the School on a cost basis the committee determined the proposed fee was reasonable and justifiable.

New Mandatory Fees: In addition to the new program fees described, an increase in new mandatory fees is also proposed to support additional student services and instructional support. This would be charged as a new "*Learning and Technology Commons*" support fee, and would cost an additional \$53/semester. This fee would support new technology costs imposed by the opening of the Enzi-STEM Building, expanded advising and training in the Center for Advising and Career Services (CACS), expanded services in the STEP and ECTL centers, and expanded educational programming in the Libraries and the Art Museum. Charged to all students at UW, the proposed fee would increase the total mandatory fees for full-time students from \$667.31 to \$720.31 per semester. The increased mandatory fees, however, would still leave UW at only 85% of the average mandatory fee level of our peer-schools shown in Table 2.

New Outreach Fees: Two new fees are also proposed in the International Programs Office (IPO) to both support international instruction and exchange programs, and to support the English Language Center. While these are not program fees, the inclusion of these fees in the proposal will allow IPO to better charge for services to exchange students and legal advice for faculty and students requiring visa and immigration information. These proposed fees are included in the Appendix.

Table 5: Anticipated Revenues from Proposed Fees

Academic Units and College Summary Revenues and Expense Estimates	Estimated Total Revenue, Annual, Based SCH generation AY15- 16	Estimated NEW expenditures not supported by current flows	NEW programmatic expenditures NOT supported by other flows	<u>Net new revenue</u>
<u>New Mandatory Fees (per full time student per year)</u>				
Learning/Technology Commons Fee, Additional Support for STEP Center for Advising, Planning and Exploratory Studies, ECTL, Writing Center, Library Learning Commons, Art Museum student experiential learning, and Enzi technology commons	\$1,060,000	\$450,000	Learning and Tech commons expansion	\$610,000
<u>A&S College (per SCH fees on course codes outlined in previous tabs)</u>				
College-wide fee	\$1,633,400			
Sci-Q courses	\$1,932,775		5 additional professional advisors + expanded instructional flex	
Visual and Perf. Arts courses	\$510,053			
Total A&S	\$4,076,228	\$837,500		\$3,238,728
<u>A&NR College</u>				
College-wide fee	\$414,527			
AgA courses	\$23,810		3 additional professional advisors + expanded instructional flex	
AgB courses	\$586,075			
BAS Organizational Leadership	\$6,450			
Total A&NR	\$1,030,862	\$402,500		\$628,362
<u>Business College</u>				
All courses in COB	\$1,196,820		Additional advisors and instructional flex	
Total, COB	\$1,196,820	\$594,000		\$602,820

Education College				
All courses in Education College	\$567,720			
			recruiting, advising, clinical support	
Total, Education College	\$567,720	\$363,350		\$204,370
EAS College				
All courses in EAS	\$1,828,604			
			Additional advising and instructional flex, Tier 1 support	
Total, EAS	\$1,828,604	\$597,500		\$1,231,104
Haub School				
ENR, ESS courses	\$85,440			
			Additional advising, field course support	
Total, Haub School	\$85,440	\$30,000		\$55,440
Health Sciences College				
Health Sciences Fee	\$245,244			
Communications Disorders	\$57,930			
Nursing	\$214,740			
Kinesiology and Health	\$178,400			
Wyoming Institute for Disability	\$35,303			
			Additional advising and instruction, experiential learning support	
Total, Health Sciences	\$731,617	\$300,000		\$431,617
Outreach				
			Additional legal support for int'l work	
International Programs	\$182,250	\$15,225		\$167,025
English Language Center	\$100,000			
Total, Outreach	\$282,250	\$15,225		\$267,025
Total New Revenue, Academic Colleges and Programs	\$10,859,539	\$3,590,075		\$7,269,464
Less fees replaced by new fees				\$1,400,000
Total Net New Revenue				\$5,869,464

III.6 Anticipated Revenue and Student Impact

Anticipated revenues from the fees proposed in Tables 3 and 4 are shown in Table 5. The total revenue generated from these fees is estimated to produce almost \$10.9 million in fees collected from students. This estimate was derived using total 2015-16 academic year credit hours as an estimate of potential credit hours generated in AY2017-18 when the fees would come into effect. Netting the current \$1.4 million in current fees that would be estimated to be collected (again, assuming values based on AY 2015-16 data), this leaves an estimated \$9.5 million in net new revenue. Revenue required to meet the costs of proposed new expenditures to support expanded student services totals \$3.6 million, leaving approximately \$5.9 million in net new revenues for instruction and additional student support by program. The specific revenue break-down by fee is shown in Table 5, and includes \$1.1 million derived from the increase in mandatory fees.

Table 6: Impacts of Proposed fees on Student Costs by Selected Major

Course of Study	Previous cost (in-state)	New Cost with Proposed fees (in-state)	% Change	Credit Hours
English	\$20,570	\$21,842	6.2%	120
Communications	\$20,570	\$22,152	7.6%	120
Pol. Science	\$20,818	\$22,510	8.1%	122
Art	\$21,648	\$24,706	14.1%	121
Music	\$21,770	\$25,402	16.6%	120
Geography	\$20,818	\$22,630	8.7%	122
Math	\$20,818	\$22,850	9.8%	122
Geology	\$20,870	\$25,402	21.7%	120
Chemistry	\$20,818	\$24,345	16.9%	122
Agricultural Business	\$20,570	\$23,847	15.9%	120
Molecular Biology	\$20,570	\$23,882	16.1%	120
Education (Sec. Ed- Biology)	\$21,178	\$26,085	23.1%	122
Education (Sec. Ed- English)	\$20,930	\$24,147	15.4%	120
Speech, Language and Hearing	\$20,737	\$24,510	18.2%	121
Kinesiology & Health	\$20,613	\$24,598	19.3%	120
Economics	\$20,570	\$24,122	17.2%	120
Accounting	\$20,570	\$24,977	21.1%	120
Chemical Engineering	\$22,126	\$27,712	25.2%	127

Using current total tuition and mandatory fee collections estimated on UW's main campus across full-time resident students, and netting out Outreach tuition paid, the estimated \$9.5 million in new fees collected is estimated to represent an average 14.6% increase in fees over current collections. Given that fee impact by student is determined by the course of study, ranges of impact estimated were between 6.2% increased attendance costs in Arts programs that do not have new program-specific fees such as English, to a 25.2% increase for students in Engineering.

Table 6 describes the impacts on students in more detail. These estimates take the proposed fees in Tables 3 and 4, and compute the change in cost of attendance using the recommended curricula for the majors shown.¹⁹ As can be seen, the impact depends on the course of study a student selects. Average increase in costs for the programs shown in the table is 15.6% or \$3,302.²⁰ As previously noted, the average increase in tuition and fees paid by students net of existing fees would be 14.6% higher after the proposed fees were implemented using credit hour reports from academic year 2015-16. This would result in an average increase in attendance per year to \$5793 over the \$5055 level, or \$394 per semester.

Figure 7: Comparison of Proposed UW Student Costs for One Year of Attendance with Peers



Figure 7 summarizes how this change would affect the comparison in average tuition and fees at UW to tuition and fees for in-state students at UW's peers and the next most-affordable peer institution (which also happens to be the second most-affordable flagship institution in the United States after UW). The University of Montana's mandatory fee and tuition cost for 120 credit hours using AY 2016-17 rates is \$6469 per year, or 12% more than what UW's would be if the proposed

¹⁹ Recommended course of study for all majors can be found at <http://www.uwyo.edu/acadaffairs/degree-plans/uw-4-year-plans/education/index.html>.

²⁰ For out-of-state students, the changes are smaller because of the higher base-tuition they pay. Non-resident tuition is \$496/credit-hour, versus the \$124/credit-hour rate in-state students pay. Both pay the same mandatory fees thus the basic cost of tuition and fees for non-resident students based on a 30 credit-hour academic year, is approximately 320% more than in-state students'. Non-resident increases for the programs shown in Table 6 range from 2.0% (English) to 8.1% (Chemical Engineering).

fees were implemented.²¹ Comparing UW to the average tuition and mandatory fee cost of \$8753 per year at the 11 near-peer institutions shown in Table 1, UW's cost of \$5793 would be 51% lower than these schools after proposed fees were implemented.²²

Using data presented in Section II, based on in-state tuition rates *UW's total fees and tuition would still be 58% lower than the average of the eleven near-peer schools described in Table 2. Overall, UW's cost of attendance would still be (i) the lowest among all peer-schools, (ii) the lowest across all flagship universities, and (iii) lowest among all doctoral institutions in the country.*

III.7 Perspective

To put the proposed fee increase into context, consider the value of a university degree over having none, as shown in Table 7. These are the monthly values based on the average increase in income a student with a university degree will earn by subject area over a 40-year working career (480 months) as estimated in a recent article (Kim, Tamborini and Sakamoto, 2015). As the Table demonstrates, the value of a degree depends on the field of study, consistent with the previous discussion of why program fees were chosen to address UW's current revenue challenges. These are *monthly* differences, implying the average increase in the cost of tuition at UW from the fees proposed would require just over two months of the average lifetime wage premium a UW degree could be worth. Clearly, when education is put in the perspective of a lifetime investment, the increase in cost is minor compared with the expected return. Further, no other doctoral institution offers tuition at a lower rate than Wyoming for in-state students.

Table 7: Monthly Salary difference over High School Degree for Various Degree Area (2016 dollars)

Field	Men	Women	Combined
Business	\$2,009	\$1,640	\$1,824
STEM	\$3,120	\$2,479	\$2,799
Health Science	\$1,696	\$1,812	\$1,754
Social Science	\$1,186	\$863	\$1,024
Education	\$320	\$701	\$511
Liberal Arts	\$1,056	\$640	\$848
Average	\$1,565	\$1,356	\$1,460

Source: Kim, Tamborini and Sakamoto (2015)

²¹ This does not include the impact of program fees at the University of Montana, which would increase the difference still further. Lacking enrollment information in those programs the exact difference cannot be determined.

²² Again, the average cost of the near-peer schools does not include the cost of additional program fees or class fees present at all these institutions.

Considering the payoff for a UW degree relative to peers, Wyoming's value is very high. Using federal College Scorecard data, UW's average salary for graduates is \$46,100, while the average of the near-peers is \$41,055 in 2015.²³ Again, comparing the average increase in the cost of education to go to the University of Wyoming if the proposed fees are implemented to the value of a UW degree over the average earnings at peer institutions, the increased cost is low. Proposed fees would cost students less than one year of UW's annual wage premium over peer schools.

One might also wonder how the increased costs could affect student debt at UW. Currently, using College Scorecard data, only 36% of UW students graduate with federal debt. Among these students, the average debt load in 2015 was \$18,750. Assuming the 14.6% increase in costs this would imply that, for those with college debt the increase in debt would rise by \$2,736. This is an increase of \$28 per month in payments using College Scorecard's current estimated monthly payment of \$192 per month for UW students with loans.

Overall, assuming the average debt payment increased at the same rate as estimated student costs, the average federal loan payment of \$220 per month if proposed fees were implemented would be only 15% of the average monthly wage premium for a university degree shown in Table 7. Clearly the increase in debt is also insignificant compared with the increase in salary an average UW undergraduate degree creates. While an increase in the cost of approximately attendance of between \$1300 to \$5600 using the costs shown in Table 6 may seem significant to some, to put the real cost in context requires comparison to the lifetime value of the degree earned, not the incremental increase in cost. On that basis the fee increases proposed are modest. Such a conclusion is not changed if the cost of debt is considered, or comparison to other schools costs.

IV. Implementation

The proposed fee program would begin in the 2017-18 academic year, and first charges would begin based on credit hour enrollment in the Fall 2017 semester. To ensure maximum value for students, it would be presumed that Colleges implement new services for students as soon as possible, preferably at the start of the same semester. This would be expected despite the fact that the first revenues from the proposed fee program would not be available until later that same semester. Optimally, the institution would find a means to bridge expenditures through the Fall semester to ensure that students begin to see the benefits of the new fees immediately upon their implementation.

If the proposed presented here is approved, it is presumed that rules governing fee use would be prepared and formally adopted by the institution. These should follow best practices at other institutions. Such procedures and practices may include the following recommendations:

- Prior to the first program fees being implemented it would be presumed that affected units have proposed and developed a detailed business plan, to be reviewed by the Office of Academic Affairs describing how the newly collected fees are intended to be spent. Until such a business plan was approved, program fees would not be allowed not be collected. Such plans should also include detailed descriptions of reserve fund planning, if applicable,

²³ See College Scorecard <https://collegescorecard.ed.gov/>.

to guide the level of reserve acceptable and to ensure that unused revenues do not accumulate beyond set limits.

- Business plans should, where possible, include goals, timelines and well-defined and measurable benchmarks of performance and success to ensure accountability.
- To ensure transparency and accountability, at the end of the academic year, all units collecting fees would be required to submit an annual report describing how fees had been spent. This report would include a complete financial report.
- A report summary would also be required to be posted on the unit's website to ensure students were aware of how the new fees had benefited them.
- Academic Affairs would oversee review of these reports to ensure adequate accountability was maintained and that suitable progress was being made in meeting program goals.
- At the time of annual reviews of fee levels, consideration of fee levels could also occur to determine if an inflation adjustment were warranted. Application to increase fees would be made to Academic Affairs and fully justified using previous reporting and additional justification as necessary. .
- While annual reviews are meant to determine if adequate progress is being maintained to justify continuation of program fees, the committee also recommends that every three years fee levels be reviewed to determine if fees are still justified and if they have achieved the purposes that justified the fees initially. Those fees that can no longer be justified, or that have a history of limited success with respect to achieving the primary goals of the fees should be recommended for termination.
- As noted previously in the document – we presume fees for a particular are levied on course codes within that program. College fees in Arts & Science, Agriculture and Natural Resources and Health Sciences are levied in addition to the program fees in these colleges. For example, the Sci-Q fee is levied in addition to the College fee of \$10/credit hour in A&S.
- Fees are only levied on undergraduate courses (course numbers below 5000). Nursing fees are not levied on online courses (Section numbers below 40).
- Program fees are returned to the department in which they are generated. College fees in Business are returned 50% to the College and 50% to the Department offering the course that generated the fees. Other Colleges will be required to formalize such arrangements within the fee business plans.
- In the case of cross-listed courses that may have potentially two different possible fees based on course-code, the highest fee will apply. For example ECON 1010/AGEC 1010 would charge the \$45/credit hour fee charged in the business college despite the fact that in the AGEC program the course would cost \$20. Fees in cross-listed courses will be returned to the department providing the class unless other arrangements are made between affected departments.

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Appendix

Guiding Principles, Policies for Justification and Expenses Allowed,

Original proposals for fee changes submitters:

International Programs Office Proposed fees,

Additional Mandatory Fees Proposed.

Justifications for fee increases in Engineering.

Justifications for fee increases in Business.

Justifications for fee increases in Health Sciences.

Justifications for fee increases in Visual and Performing Arts.

Justifications for fee increases in ENR/Haub School.

Justifications for fee increases in Education.

Justifications for fee increases in Agriculture.

Justifications for fee increases in Arts and Sciences.

Comment on Wyoming Constitutional Tuition Requirement

Guiding Principles, Policies for Justification and Expenses Allowed

The **guiding principles** we think should underpin and are paramount in program and academic support fees and their administration include:

- (1) Access: Fees should not be prohibitive to major or program choice of the student to encourage a diverse workforce.
- (2) Transparency: Students should be able to quickly and simply discern what fees are charged, when they can expect them, what they are for, and the benefits they receive from them. New program fees shall, where possible, replace existing fees to avoid unnecessary complexity and to ensure true costs of programs are clear.
- (3) Benefit Basis: Program support fees should have clear benefits to the students paying them.
- (4) Cost Basis: Program support fees should be based on the actual cost of providing specific benefits to students paying the fees
- (5) Accountability: Financial control and accountability should be built into the fee structure. On a regular basis, programs should share the sources and uses of their fees and directly map ex ante intentions with ex post results.
- (6) Efficiency: Programs should ensure that curriculum and co-curriculum experiences are delivered in a cost-efficient manner. In addition, administration of fees should not be unnecessarily complex.
- (7) Impact and Flexibility: Programs should monitor impacts to their enrollments and student success measures. They should respond to noticeable changes in the external market factors and in student behavior induced by programs fees.

Policies that support these fees must be crafted to uphold those principles.

Justification of fees: As outlined above, both the actual cost and benefit of programming to students in the program should be the principled basis for program fees. Justifications must be explicit and based on reasonable forecasts of costs and benefits. All justifications must include an impact analysis of a proposed fee on students, including multiple fees a student may incur and how the stacking of fees might affect behavior.

Benefits of fees: Some potential benefits that fees can be used to support include

- Instructional capacity/seat guarantees;
- Instructional material and equipment costs for the program;
- Support for the program's students' experiential learning, including internships, field experiences, study abroad, and apprenticeships;
- Support for the program's students' professional advising; student success services;
- A source of funds for rapid response to cover additional program expenses or additional needs brought forward jointly by students and faculty.

Expenses justified: Expenses that may be justified by program fees include

- Instructional equipment, supplies, and materials purchases;
- Student success support, such as staff, faculty, or graduate assistant funding that supports the program's academic advising, tutoring, supplemental instruction, and career advising.
- Salary enhancement to maintain faculty.
- Flexible instructional funding (including lab supervision, part-time instructors, student workers for the program's courses), or salary paid to support staff providing direct support to the program or graduate and undergraduate teaching assistants for the program.
- Travel and other reasonable costs for students in the program, including field trips, professional development, clinical placements or experiential learning purposes.
- Professional examinations and preparation.
- Assessment and accreditation costs.

Market Basis: Fees will be justified by comparison to relevant market and comparator institutions. Further, fee basis may also consider market salary for graduates of specific programs and other aspects of program demand.

Assessment of fees: Approach should be consistent across programs. For transparency and simplicity, credit hour fees following course codes at all levels, lower- and upper-division, should be the method of assessment. **Definition of "Program":** Program fees may be applied by college, area (for example STEM areas), or discipline. For example, a Sci/Q (Science and Quantitative) fee on specific courses, or credit hour fee on all course codes within a college will be considered.

Implementation and transition: A proposal for replacement of existing program fees, and possible adjustment of the Mandatory Student Fee, will be formulated by the end of August 2016. Existing entrepreneurial and differential tuition schemes should be left in place; the main goal of this proposal is to amalgamate and replace many existing "Program and Special Course Fees" listed in Section IV of the current Fee Book. Fees may be assessed across all students initially, or phased in by cohort. Fees may also be initially phased in at a discounted rate and rise over time to reduce impacts. Merits and disadvantages of such considerations will be considered. The Mandatory Student Fee may also be adjusted, along with certain aspects of Outreach fees.

Existing program fees for experiences away from the UW campus – regardless of location and length of program – should be consolidated into a manageable, transparent, simple group of field experience fees.

Computer fees, challenge exams, and internships / clinical fees should, to the extent possible, be placed into program fees for the college or streamlined and simplified.

Frequently Asked Questions on Program Fees

Why are the fees being proposed?

To help the university maintain programs of the highest quality for students; and to improve student retention, time to graduation and career readiness.

How much will they cost students?

For students in the College of Arts and Sciences and the College of Agriculture and Natural Resources, \$10 per credit-hour; the College of Health Sciences, \$12; the College of Business and the College of Education, \$45; the Haub School of Environment and Natural Resources, \$48; and the College of Engineering and Applied Science, \$69. Additional fees would be charged for a limited number of high-cost programs.

Increases in the overall cost of a four-year degree would range from \$1,272 for English majors to \$5,586 for chemical engineers.

Why not just increase tuition uniformly?

Program fees are the fairest means to distribute the financial burden to students, allocating program costs through a “user pay” principle. The UW Board of Trustees could still consider a regular tuition increase separately from the fee proposal.

On what basis were the different fee levels determined?

The program fees were developed on the basis of cost of delivery, student demand and the varying value of graduates' degrees.

Would the program fees make UW more expensive than its competitors?

No. UW would still be the lowest-cost doctoral institution in the country, with tuition and fees still 51 percent lower than the average of its 11 nearest-peer schools.

How would program fees affect the cost of attendance and financial aid?

Undergraduate students are awarded financial aid with a standard cost of attendance based on 15 credit-hours per semester, plus mandatory full-time fees. Additional costs, including program and course fees, may be included in the cost of attendance on an individual basis after consultation with the Student Financial Aid Office.

What would revenues from the program fees be used for?

The fee revenues would stay with the individual academic units to go toward enhanced advising, career preparation, assurance of course availability and other student services.

What about existing student fees?

Mandatory fees assessed for all students would continue, but the new academic program fees would largely replace the dozens of program and course fees currently assessed.

When would the new program fees go into effect?

The proposal set to go before the Board of Trustees calls for the new program fees to be assessed beginning with the fall 2017 semester.

AGENDA ITEM TITLE: Audited Annual Financial Reports, Mai/Lowe

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
- ☐ Education Session
- ☐ Information Item
- ☒ Other

Specify: Committee of the Whole (Items for Approval)

Wayne Herr, Partner, in the firm McGee, Hearne & Paiz, LLP will lead a discussion about the University's Bond Funds, Wyoming Public Media, and Intercollegiate Athletics annual audited financial statements and reports. The main financial report and the compliance (A-133) report will be presented for approval at a special meeting of the Board of Trustees in early December.

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Accountability is the paramount objective of institutional financial reporting. It is the University's duty to be accountable to the public and to provide information that responds to the needs of three groups of primary users of general-purpose financial reports:

- the citizenry;
- the governing board, the legislature and oversight bodies; and
- investors and creditors.

Meaningful financial reports and accompanying notes provide information useful for assessing financial conditions and results of operations; assisting in determining compliance with finance-related laws, rules, and regulations; and assisting in evaluating efficiency and effectiveness of operations. Preparation of these statements and reports are the responsibility of University management; however, it is the audit function that provides an external examination of these financial statements and reports.

The University of Wyoming prepares five separate financial reports that are audited by an independent public accounting firm. McGee, Hearne and Paiz, LLP of Cheyenne, Wyoming, was awarded a four-year engagement to conduct the annual audit for fiscal years 2014 through 2017, subject to annual evaluation of the audit firm's performance.

Three of the five annual reports are presented for the Board's approval at this meeting. As noted above, the other two reports will be presented in December. The three reports, their purpose, and deadlines for submission to regulatory agencies are:

- **The Bond Funds Financial Report** – This financial report is a subset of the institution-wide financial statements and is prepared for the purpose of complying with the requirements of the University's bond resolutions. These statements include operations from the University Store, the Student Union, Dining Services, housing facilities, interest income on excess funds, government royalties, permanent land income, utility and telecommunications income. They also include the following plant funds: Project Acquisition Fund (unexpended funds), Capital Fund (renewals and replacement fund) and Retirement of Indebtedness Funds (reserve fund created by bond resolutions). The auditors

express an opinion that these financial statements present fairly, in all material respects, the financial position of the Bond Funds as of the fiscal year end, and the changes in its net position and cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America. They also provide “negative assurance” with respect to Debt Compliance; they state that nothing came to their attention that caused them to believe that the University failed to comply with the terms, covenants, provisions, or conditions, as listed in Article VIII of each of the bond resolutions insofar as they relate to accounting matters.

The **Bond Funds Financial Report** is submitted to the Electronic Municipal Market Access (EMMA) system to comply with annual disclosure requirements. The audited report must be submitted within 170 days of the fiscal year end (due mid-December).

- **Wyoming Public Media Financial Report** – these financial statements present only the operations of Wyoming Public Media (WPM). The auditors express an opinion on the fair presentation of WPM’s financial position and results of operations.

WPM’s financial information is submitted in November to the Corporation for Public Broadcasting.

- **Intercollegiate Athletics Report** – This report constitutes an “agreed-upon procedures” engagement; its scope is less than that of an audit. The procedures include, but are not limited to, identifying all individual contributions that constitute more than 10% of total contributions, examination of cash receipts and disbursements, identification of unique internal control aspects and various inquiries related to compliance issues. The National Collegiate Athletic Association (NCAA) in their 2013 Financial Audit Guidelines suggest these procedures and the auditors make no representation regarding the sufficiency of the procedures. This engagement is solely to assist the University in complying with NCAA Constitution 6.2.4.16.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

Annually, the Board accepts and approves Audited Financial Reports of the University of Wyoming.

WHY THIS ITEM IS BEFORE THE BOARD:

The Board of Trustees is responsible for assuring that the University’s organizational culture, capabilities, systems, and processes are appropriate to protect the financial health and the reputation of the University in audit-related areas. The presentation of annually audited financial reports is intended to inform the Board about significant matters related to the results of the annual audit so that they can appropriately discharge their oversight responsibility.

ARGUMENTS IN SUPPORT:

Annual financial reports serve various functions and have numerous audiences. They not only serve to inform the campus community of the institution’s financial condition and results of

operations, they are required by various governmental, regulatory and rating agencies; holders of the institution's bonds; and accrediting agencies. The Board of Trustees is held to a high standard of full financial disclosure, transparency and accountability: public acceptance and approval of the financial reports completes the audit cycle, helps tell the University of Wyoming's financial story and assists the Board in exercising its fiduciary responsibilities.

ARGUMENTS AGAINST:

None

ACTION REQUIRED AT THIS BOARD MEETING:

It is recommended that the Board of Trustees of the University of Wyoming accept and approve the Bond Funds, Wyoming Public Media, and Intercollegiate Athletics reports for the fiscal year ended June 30, 2016.

PRESIDENT'S RECOMMENDATION:

The President recommends approval of the audited financial reports as described above.

AGENDA ITEM TITLE:

Construction Updates, Mai

- Facilities Committee Update
- Real Estate Presentation - Listing of UW Properties Including Long Term Leases and other Ownership Interest (UW campus and off-campus properties)
- Satellite Heating/Cooling Plant
- Mick and Susie McMurry High Altitude Performance Center – Guaranteed Maximum Price

CHECK THE APPROPRIATE BOX(ES):

- | | | |
|-------------------------------------|-------------------|--|
| <input checked="" type="checkbox"/> | Work Session | |
| <input type="checkbox"/> | Education Session | |
| <input type="checkbox"/> | Information Item | |
| <input checked="" type="checkbox"/> | Other | Specify: Committee of the Whole (Items for Approval) |

Facilities Committee Update

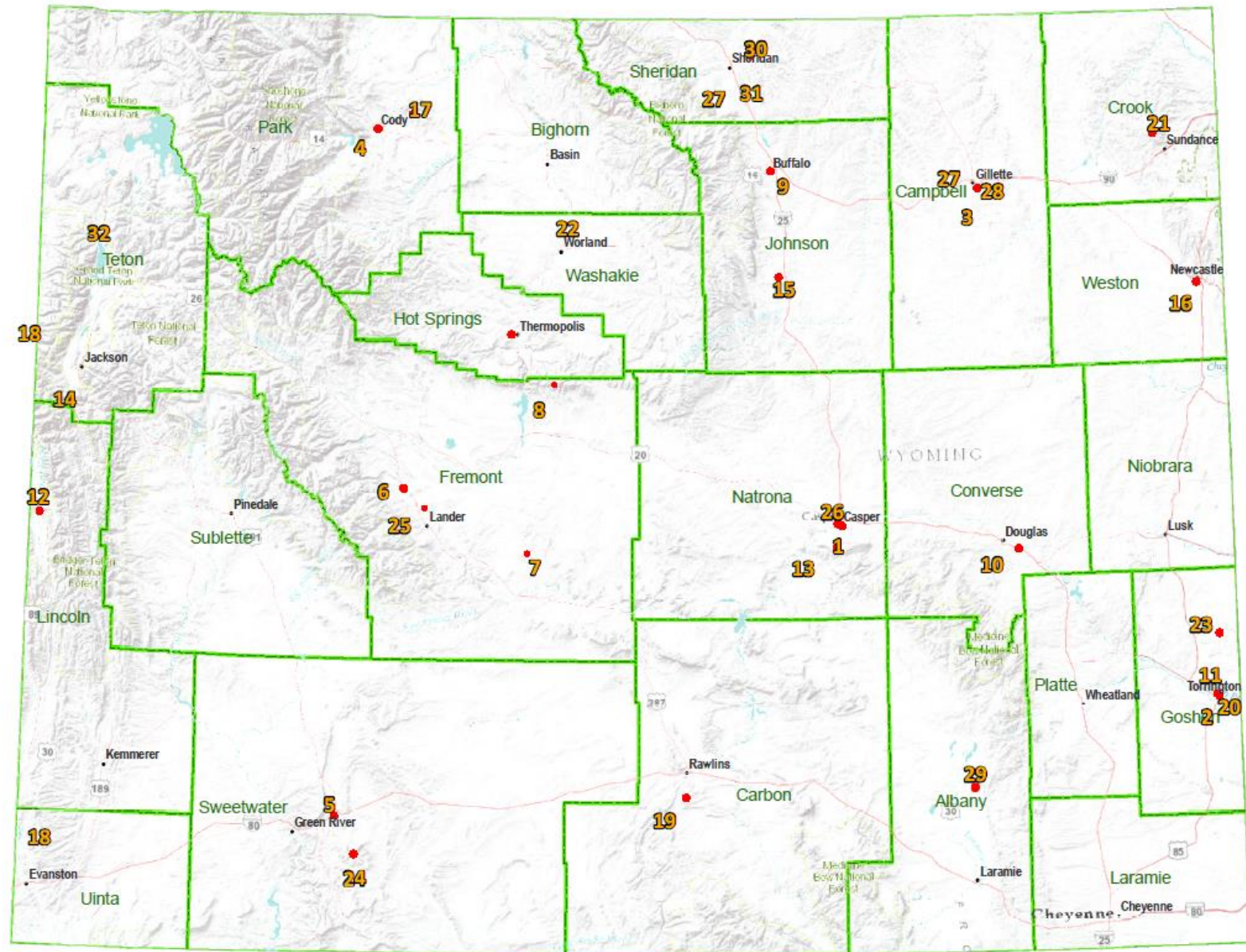
BACKGROUND AND POLICY CONTEXT OF ISSUE:

Vice President for Administration Bill Mai will update the Board on the Facilities Committee.

Real Estate Presentation (UW campus and off-campus properties)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Vice President for Administration Bill Mai will update the Board on real estate property on and off the UW campus and will discuss other UW Properties including long term leases and other ownership interests. Please see materials inserted below.



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Map No.	Property Name	Owner	Location	UW Use/UW User	End Date	Term in years	Bldg. Sq. Ft.	Land Acres	FY16 Maintenance	FY16 Rent	LEASE_ID *
1	CC Student Union-UW Casper Center	Casper College	Casper College	academic/Outreach School	4/15/2061	50	44,739	N/A	\$0	\$320,433	252
2	Lincoln Center Complex (Torrington Town Center)	City of Torrington	Torrington	academic/Outreach School	5/31/2020	5	1,799	N/A	\$6,000	\$13,968	227.001
3	NWCCD Gillette Campus Main Bldg	Northern Wyoming College District	Gillette	academic/Outreach School	6/30/2019	5	5,296	N/A	\$9,000	\$9,000	144.002
4	Park County Outreach Bldg	Park County Commissioners	Cody	academic/Outreach School	6/30/2020	5	1,765	N/A	N/A	\$24,209	216.003
5	Southwest Regional Outreach Center	Western Wyoming Community College	Western Wyo College (Rock)	academic/Outreach School	9/30/2026	10	2,351	N/A	N/A	\$7,100	129
6	Frank B. Wise Business Plaza	Wind River Development Fund	Fort Washakie	academic/Outreach-Extension	9/30/2020	5	2,360	N/A	\$0	\$33,858	73.001
7	Beaver Rim WPR Site	United States of America, Bureau of Land Management	Riverton	broadcast radio site/Wyoming Public Media	12/31/2040	39	N/A	0.45	N/A	\$0	59
8	Copper Mtn WPR Site	WY Board of Land Commissioners/Bruce Thoren	Copper Mtn (Shoshoni)	broadcast radio site/Wyoming Public Media	7/1/2021	10		0.17	N/A	\$3,950	169
9	KBUW Radio Bldg	Legend Communciations of Wyoming	Buffalo	broadcast radio site/Wyoming Public Media	11/1/2016	5	N/A	N/A	\$4,000	\$4,000	123.001
10	KDUW Radio Bldg	Two Way Radio Service	Microwave Hill (Douglas)	broadcast radio site/Wyoming Public Media	9/20/2020	5	N/A	N/A	N/A	\$2,100	135.002
11	KEUW Radio Bldg	Kath Broadcasting	Torrington	broadcast radio site/Wyoming Public Media	7/28/2020	5	N/A	N/A	N/A	\$3,600 ?	
12	KUWA Radio Bldg	Sunnybrook (KRSV Radio)/Lower Valley Energy	Narrows (Afton)	broadcast radio site/Wyoming Public Media	5/13/2018	5	N/A	N/A	N/A	\$4,400	205
13	KUWC Radio Bldg	Two Way Radio Service	Casper Mtn	broadcast radio site/Wyoming Public Media	1/3/2020	5	N/A	N/A	\$0	\$1,800	116.001
14	KUWJ Radio Bldg	American Towers	Snow King Mtn (Jackson)	broadcast radio site/Wyoming Public Media	11/30/2019	5	N/A	N/A	N/A	\$15,148	115.002
15	KUWK Radio Bldg	Union Telephone Company	Kaycee	broadcast radio site/Wyoming Public Media	12/31/2018	5.25	N/A	N/A	N/A	\$5,227	
16	KUWN Radio Bldg	Advanced Communications Systems	Painted Hill (Newcastle)	broadcast radio site/Wyoming Public Media	10/1/2022	10	N/A	N/A	N/A	\$2,400	111
17	KUWP Radio Bldg	Park County Commissioners	McCullough Peak (Cody)	broadcast radio site/Wyoming Public Media	8/3/2018	10	N/A	N/A	N/A	\$1,800	119
18	KUWR Radio Bldg	Columbine Telephone Company (Silverstar Communications)	Driggs, ID	broadcast radio site/Wyoming Public Media	12/7/2018	5	N/A	N/A	N/A	\$1,800	159.001
19	KUWR Radio Bldg	GCR Electronics	Chokecherry Knob (Rawlins)	broadcast radio site/Wyoming Public Media	12/31/2019	5	N/A	N/A	\$0	\$6,372	132.002
20	KUWR Radio Bldg	Eastern Wyoming College	Eastern Wyoming College (Torrington)	broadcast radio site/Wyoming Public Media	3/31/2020	5	280	0.01	\$0	\$0	131.002
21	KUWR Radio Bldg	Ultimate Caps	Warren Peak (Sundance)	broadcast radio site/Wyoming Public Media	8/21/2020	5	N/A	N/A	N/A	\$2,400	182.001
22	KUWT Radio Bldg	Mauna Towers	Rattlesnake Ridge (Worland)	broadcast radio site/Wyoming Public Media	2/17/2021	5	N/A	N/A	N/A	\$900	110.001
23	KUWV Radio Site	David Kelley	Lingle	broadcast radio site/Wyoming Public Media	10/30/2020	5	N/A	1.00	N/A	\$3,000	213
24	KUWZ Radio Bldg	GCR Electronics	Aspen Mtn (Rock Springs)	broadcast radio site/Wyoming Public Media	11/30/2020	5	180	N/A	N/A	\$13,951	155.002
25	Sand Hills KFTW Radio Site	Bureau of Indian Affairs	Lander	broadcast radio site/Wyoming Public Media	10/10/2022	10	N/A	0.08	N/A	\$0	234
26	Wyoming Technology Business Center-Casper Area	Amoco Reuse Agreement Joint Powers Board	Casper	business incubation/Wyoming Technology Business Center	2/15/2099	85	40,000	1.50	\$27,300	\$1	251
27	Watt Agriculture Center	Northern Wyoming Community College District	Sheridan College	Land/Outreach-Extension	2/28/2038	25	N/A	3.02	N/A	\$123,783	238
28	West Lakeway Office Bldg	Campbell County Economic Development Corporation	Gillette	office/Wyoming Small Business Development Center	3/31/2020	5	1,150	N/A	N/A	\$10,308	141.002
29	McGuire Ranch	State of Wyoming	Morton Pass (Bosler)	research/Agriculture Experiment Station	1/1/2026	10	N/A	640.00	\$0	\$860	14.001
30	Sheridan Research & Extension Center	State of Wyoming	Wyarno	research/Agriculture Experiment Station	2/1/2026	10	N/A	160.00	\$19,984	\$2,947	6.001
31	Adams Ranch	Northern Wyoming Community College District	Sheridan College	research/Agriculture Experiment Station	12/31/2038	25	N/A	491.48	\$16,819	\$0	235
32	UW-NPS Research Center (AMK Ranch)	National Park Service	Moran Jct.	research/Zoology	7/20/2020	10	26,595	N/A	\$7,652	\$0	70

Satellite Heating/Cooling Plant

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Vice President for Administration Bill Mai will update the Board on the satellite heating/cooling plant.

Mick and Susie McMurry High Altitude Performance Center – Guaranteed Maximum Price

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The existing 48,100 square foot Rochelle Athletic Center (RAC), completed in 2001, is one of the most widely used facilities by UW Athletics. At the time it opened, it was a state-of-the-art facility and continues to accommodate several areas utilized by all Cowboy and Cowgirl sports teams. The ground level houses an 8,600 square foot (SF) strength and conditioning area, a 4,800 SF sports medicine area, and a 5,600 SF football locker room and lounge area. The second story of the RAC houses 4,470 SF of space for the Office of Academic Support, the Cowboy football offices, meeting rooms, and displays of Cowboy football awards and outstanding players.

The new 71,000 SF addition with the renovation (for a total of 120,125 SF) will provide a modern state-of-the-art facility that will expand the holistic approach to the development of the student-athlete. This approach relies on a complete and interactive view of the athlete's daily status by monitoring training, conditioning, body analysis, nutrition, health, and academic load with the unique opportunity to provide High Altitude Training. The addition and renovation have been envisioned to accommodate the three key areas of Academics Center, Training Table, and Sports Performance. Programmatic elements include both those functions currently located within the RAC as well as new components. The existing RAC would be renovated and expanded to create a single facility that supports the programs goals and enhances the experience for UW's student-athletes.

GE Johnson Construction Wyoming has been working with Pappas & Pappas Architects of Cheyenne, Wyoming in association with DLR Group of Denver Colorado; Benchmark Engineers of Cheyenne Wyoming; Martin/Martin of Cheyenne, Wyoming; MKK Consulting Engineers of Cheyenne, Wyoming; as well as members of the Facilities Construction Office to develop the Guaranteed Maximum Price (GMP) to be considered by the Board of Trustees at the November meeting. The GMP proposed by GE Johnson Construction Wyoming is being finalized and will be provided prior to the Board of Trustees November meeting. The project is ready to proceed to the construction phase.

The total budget ("all in") for the project is \$44M. The project will be funded through \$24M from private donations and \$20M from State matching funds.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

- March 2015 – Board of Trustees approved the architect/engineering firm of Pappas and Pappas Architects, Cheyenne, Wyoming, in association with DLR Group, Denver, Colorado.
- September 2015 – Board of Trustees approved the Construction Manager at Risk firm, GE Johnson Construction Wyoming.

- February 2016 – Board of Trustees approved naming of the “Mick and Suzie McMurry High Altitude Performance Center”.
- March 2016 – Board of Trustees approved the exterior design of the Mick and Suzie McMurry High Altitude Performance Center.

WHY THIS ITEM IS BEFORE THE BOARD:

Authorization is required from the Board of Trustees to begin the construction process. If authorized, construction is scheduled to commence late November, 2016.

ARGUMENTS IN SUPPORT:

There is sufficient funding through state matching funds and private donations to undertake the construction of this project.

ARGUMENTS AGAINST:

None

ACTION REQUIRED AT THIS BOARD MEETING:

Authorization to amend the Construction Manager-at-Risk agreement between the University of Wyoming and GE Johnson Construction Wyoming of Casper, Wyoming. The amendment will establish a Guaranteed Maximum Price (GMP) for the Mick and Susie McMurry High Altitude Performance Center.

PRESIDENT’S RECOMMENDATION:

It is recommended that the Board of Trustees of the University of Wyoming approve the GMP and authorize the contracting for the construction of the Mick and Susie McMurry High Altitude Performance Center with the Construction Manager-at-Risk, GE Johnson Construction Wyoming of Casper, Wyoming.

Committee of the Whole: REGULAR BUSINESS

Board of Trustees Committee Reports

[Note- Committees of the Board will be discussed during a regular work session of the meeting.]

CHECK THE APPROPRIATE BOX(ES):

- | | | |
|-------------------------------------|-------------------|--|
| <input type="checkbox"/> | Work Session | |
| <input type="checkbox"/> | Education Session | |
| <input type="checkbox"/> | Information Item | |
| <input checked="" type="checkbox"/> | Other | Specify: Committee of the Whole (Regular Business) |

Trustee Standing Committees

- Audit and Fiscal Integrity Committee
- Financial Management and Reporting Committee
- Facilities Contracting Committee
- Budget Committee
- Honorary Degrees and Awards Committee

Liaison to Other Boards

- UW Alumni Association Board
- Foundation Board
- Haub School of Environment & Natural Resources
- Energy Resources Council
- Cowboy Joe Club

1. Committee of the Whole – ITEMS FOR APPROVAL:

Approval of Contracts and Grants, Gern

CHECK THE APPROPRIATE BOX(ES):

☐

Work Session

☐

Education Session

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Information Item

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Other

Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Vice President for Research and Economic Development Bill Gern will present contracts and grant for approval.

July 2016

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
American Academy of Family Physicians Foundation	11,200	Malm, Ronald		Wyoming WWAMI Medical Education	AAFP Foundation's Senior Immunization Grant Award
Battelle Energy Alliance	15,897	Banic, Amy		Computer Science	Joint Appointment with Dr. Amy Banic at UWYO to increase the relevance of the CVE in the Center for Advanced Energy Studies at Idaho National Laboratory, evaluate and enhance the usability and effectiveness of immersive applications and hardware
Columbia University	11,934	John, Barbara		Geology/Geophysics	US Science Support Salary for IODP Expedition 357_John
Memorial Resource Development	5,000	Beck, Jeffrey		Ecosystem Science & Management	Red Desert Pronghorn Survival and Reproduction
Monsanto Company	6,000	Sbatella, Gustavo		Plant Sciences	MSA Service Order 7: Competitive Efficacy North Soy
Muley Fanatic Foundation	2,000	Monteith, Kevin		Zoology/Physiology	Effects of predation on survival of neonatal mule deer in the Wyoming Range

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Muley Fanatic Foundation	15,000	Monteith, Kevin		Zoology/Physiology	Deer-Elk Ecology Research Project
National Geographic Society	19,904	Surovell, Todd	Kelly, Robert; Frison, George C.	Anthropology	Investigating the Spatial Structure of a Human-Mammoth Association at the LaPrele Mammoth Site, Converse County, Wyoming, USA
Oil Spill Recovery Institute	24,882	Ben-David, Merav		Zoology/Physiology	Combining Long-term Data and Ecological Modeling to Assess Sensitivity of Coastal River Otters to Climate Change (Adi Barocas Graduate Fellowship)
Oregon State University	46,000	Albers, Heidi		Institute for Environmental and Natural Resources (IENR)	CyberSEES: Computing and Visualizing Optimal Policies for Ecosystem Management
Oregon, State of	349,000	Wambeam, Rodney		Wyoming Survey & Analysis Center (WYSAC)	Oregon SPF-SIG Evaluation
Society of Wetland Scientists	1,500	Murphy, Melanie		Ecosystem Science & Management	Effects of wetlands ephemerality on avian richness patterns: how might biodiversity hotspots shift under future climate change?

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Teton Conservation District	12,000	Kauffman, Matthew		Zoology/Physiology	Migration Assessment Big Game Herds of Teton County
US Department of Agriculture Animal and Plant Health Inspection Service (USDA-APHIS)	19,536	Latchininsky, Alexandre	Debrey, Larry	Ecosystem Science & Management	WY CAPS-Small Grain
US Department of Agriculture Animal and Plant Health Inspection Service (USDA-APHIS)	4,555	Latchininsky, Alexandre	Debrey, Larry	Ecosystem Science & Management	WY CAPS-Nematode
US Department of Agriculture Animal and Plant Health Inspection Service (USDA-APHIS)	59,337	Latchininsky, Alexandre	Debrey, Larry	Ecosystem Science & Management	Wyoming Cooperative Agriculture Pest Survey
US Department of Agriculture Forest Service (USDA-FS)	10,000	Jones, George		Wyoming Natural Diversity Database (WYNDD)	Fen Inventory Project

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Agriculture Forest Service (USDA-FS)	13,504	Beauvais, Gary		Wyoming Natural Diversity Database (WYNDD)	USFS R2 Data-Wyoming Rare Species Conservation Partnership
US Department of Defense/Air Force ROTC (DOD-AF ROTC)	2,182	Bobbitt, Kathleen		Student Financial Aid (SFA)	Air Force ROTC 15-16
US Department of Education (D-ED)	31,507	Bobbitt, Kathleen		Student Financial Aid (SFA)	Pell Grant 15-16
US Department of Interior Bureau of Land Management (DOI-BLM)	25,000	Kornfeld, Marcel		Anthropology	Last Canyon Cave Research in Montana
US Department of Interior Bureau of Land Management (DOI-BLM)	271,951	Korfanta, Nicole		Institute for Environmental and Natural Resources (IENR)	Wyoming Greater Sage Grouse Regional Mitigation Strategy Development; and Subaward
US Department of Interior Bureau of Land Management (DOI-BLM)	108,900	Graf, Nicholas	Hamerlinck, Jeffrey	Wyoming Geographic Information Science Center (WYGISC)	WYGISC - Wyoming DDCT Support; and Sage Grouse Support
US Department of Interior Bureau of Land Management (DOI-BLM)	29,500	Clauter, Jody	Ahern, James C Walker, Danny	Anthropology	Archeological Collections Curation and Management

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Interior US Geological Survey (DOI-USGS)	52,000	Kauffman, Matthew		Zoology/Physiology	Influence of Energy Development on Mule Deer Migrations II (RWO 191)
US Department of Interior US Geological Survey (DOI-USGS)	79,000	Chalfoun, Anna Lisa		Zoology/Physiology	Influence of Energy Development on Non-Game Sagebrush Birds III (RWO 192)
US Department of Interior US Geological Survey (DOI-USGS)	40,000	Kauffman, Matthew	Monteith, Kevin	Zoology/Physiology	Phenology Tracking in Migratory Mule Deer: Connecting Remotely Sensed Metrics of Greenness with Movement, Forage Quality, Nutrition and Demography (RWO 195)
US Department of Interior/National Park Service (DOI-NPS)	63,962	Tronstad, Lusha		Wyoming Natural Diversity Database (WYNDD)	Yellowstone Lake Plankton 30 Years After Invasion by Lake Trout
US Department of Ag National Institute of Food and Agriculture (USDA-NIFA)	88,400	Russell, Justina		Cooperative Extension Services	Wind River Federally Recognized Tribes Extension Program
US Department of Health and Human Services Centers for Medicare and Medicaid Services (DHHS-CMMS)	485	Steiner, Joseph		College of Health Science, Dean	Meaningful Use Funds To Improve Patient Care (Financial Reward for Converting to Electronic Health Records)

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Health and Human Services Health Resources and Services Administration (DHHS-HRSA)	105,976	McKibbin, Christine	Carrico, Catherine	Wyoming Institute for Disabilities (WIND)	Supplement 2 - ADRC
US Federal Communications Commission (FCC)	62,353	Root-Elledge, Sandra		Wyoming Institute for Disabilities (WIND)	Wyoming Deaf-Blind Equipment Distribution Program FY16-17
US National Aeronautics and Space Admin (NASA)	135,300	Mavriplis, Dimitri J		Mechanical Engineering	Development of Scalable Solvers for Current and Emerging Steady-state and Time-dependent Discretization; and Subcontracts
US National Science Foundation (NSF)	465,000	Roddick, Dean		Chemistry	PFAP Catalysts for Alkane and Fluoroalkene Transformations
US National Science Foundation (NSF)	260,649	McElroy, Brandon		Geology/Geophysics	Quantitative Hydraulics and transport from Strata and Dynamics of Sandy Bedforms

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US National Science Foundation (NSF)	759,173	Ewers, Brent	Weinig, Cynthia	Botany	Predicting genotypic variation in growth and yield under abiotic stress through biophysical process modeling
Utah, University of	40,000	Fan, Maohong		Chemical/Petroleum Engineering	Co-firing Biomass and Coal under Pressurized Oxy-fired Combustion Conditions
Various Sponsors	2,310	Stewart, Larry Ray		Manufacturing Works	Program Income - Wyoming Manufacturing Extension Partnership (FY16)
Various Sponsors	5,000	Walrath, David		Manufacturing Works	MW Program Income - NIST
Various Sponsors	170	Burman, Mary		School of Nursing	Various Nursing Schools
Various Sponsors	825	Redder, Alan		Wyoming Natural Diversity Database (WYNDD)	Database Management
Wyoming Business Council	550,000	Walrath, David		Manufacturing Works	Manufacturing Works FY17

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Community Foundation/Wyoming Wildlife Foundation	5,000	Kauffman, Matthew		Zoology/Physiology	Lander Mule Deer Migrations
Wyoming Community Foundation/Wyoming Wildlife Foundation	3,000	Monteith, Kevin		Zoology/Physiology	Harvest Records and Horn Size
Wyoming Community Foundation/Wyoming Wildlife Foundation	5,000	Monteith, Kevin		Zoology/Physiology	Wyoming Range: Phase II Fawn Survival
Wyoming Community Foundation/Wyoming Wildlife Foundation	10,000	Monteith, Kevin		Zoology/Physiology	Deer-Elk Ecology Project
Wyoming Community Foundation/Wyoming Wildlife Foundation	60,000	Monteith, Kevin		Zoology/Physiology	Demography, Nutrition of Snowy Range Moose
Wyoming Community Foundation/Wyoming Wildlife Foundation	5,000	Kauffman, Matthew		Zoology/Physiology	Dubois Mule Deer Migration
Wyoming Community Foundation/Wyoming Wildlife Foundation	5,000	Kauffman, Matthew		Zoology/Physiology	Upper Shoshone, Owl Creek-Meeteetse, Clarks Ford Mule Deer Migrations
Wyoming Cultural Trust Fund	8,000	Kuzmych, Christina		Wyoming Public Radio	Experiencing Wyoming Culture Through Media
Wyoming Department of Agriculture	8,475	Hilgert, Christopher		Plant Sciences	Wyoming Specialty Crop Distance Diagnostics Network

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Department of Agriculture	4,912	Schell, Scott	Latchininsky, Alexandre	Ecosystem Science & Management	Travel support funding for the mosquito larval control workshop and West Nile Virus prevention training being conducted by the City of Laramie and UW-ES-Entomology
Wyoming Department of Education	177,744	Hardesty, Canyon	Stock, Mark J.	Wyoming Inst for Disabilities (WIND)	Translate Project ECHO for Use in Educational Leadership
Wyoming Department of Health	1,180,068	Cook, Tiffany	Despain, Laran	Wyoming Survey & Analysis Center (WYSAC)	Evaluation of Wyoming's Tobacco Prevention and Control Program 2017-18
Wyoming Department of Health	243,791	Root-Elledge, Sandra	Hardesty, Canyon	Wyoming Inst for Disabilities (WIND)	UW ECHO in Developmental Disability Services
Wyoming Department of Health	312,000	Root-Elledge, Sandra		Wyoming Inst for Disabilities (WIND)	Administration of the Inventory for Client and Agency Planning (ICAP) Assessment Tool
Wyoming Department of Transportation	11,500	Ksaibati, Khaled		Civil Engineering	Traffic Counts
Wyoming Game and Fish Department	40,000	Monteith, Kevin		Zoology/Physiology	Nutritional Carrying Capacity and Factors Limiting Population Growth of Mule Deer in the Wyoming Range

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Game and Fish Department	30,000	Kauffman, Matthew		Zoology/Physiology	Monitoring Elk Migrations with Remote Photography
Wyoming Game and Fish Department	90,000	Kauffman, Matthew	Monteith, Kevin	Zoology/Physiology	Population Dynamics of Moose in the Snowy Range
Wyoming Game and Fish Department	35,138	Walters, Annika		Zoology/Physiology	Determining Stream of Origin and Spawning Site Fidelity of Salmonids in the Upper North Platte River Drainage Using Otolith Microchemistry
Wyoming Game and Fish Department	53,133	Walters, Annika		Zoology/Physiology	LaBarge Creek Cutthroat Trout Investigations
Wyoming Game and Fish Department	40,000	Kauffman, Matthew		Zoology/Physiology	Unit Base Funding
Wyoming Game and Fish Department	59,378	Graf, Nicholas	Hamerlinck, Jeffrey	Wyoming Geographic Information Science Center (WYGISC)	Wyoming Sage Grouse Conservation Efforts Application and Database
Wyoming Game and Fish Department	77,574	Tronstad, Lusha		Wyoming Natural Diversity Database (WYNDD)	Phase I, Native Mussel Follow Up

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Game and Fish Department	26,188	Wyckoff, Teale	Hamerlinck, Jeffrey	Wyoming Geographic Information Science Center (WYGISC)	SWAP Data Integration into the Natural Resources and Energy Explorer (NREX) and Updated/Enhanced in the Wyoming Interagency Spatial Database & Online Management System (WISDOM) Internal WGFD Mapping Application
Wyoming State Bar	12,800	Anatchkova, Bistra	Harnisch, Brian	Wyoming Survey & Analysis Center (WYSAC)	Conduct a survey of Wyoming attorneys to evaluate Wyoming Judges
Wyoming Water Development Office	804,930	Nicholson, Christopher		Civil Engineering	Water Resources Data System (WRDS) FY2016-2018 Operating Budget

Sponsor Programs

TOTAL 7/2016 \$ 7,115,523

August 2016

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
America View, Inc.	23,500	Sivanpillai, Ramesh		Wyoming Geographic Information Science Center (WYGISC)	StateView Program Development and Operations for the State of Wyoming
Baker Petrolite LLC	50,000	Alvarado, Vladimir		Chemical/Petroleum Engineering	Surfactant-enhanced waterflooding
Battelle Energy Alliance	18,200	Roth, Don Allen		School Energy Resources (SER)	Center for Advanced Energy Studies: Core Research Capabilities Coordinator
Battelle Energy Alliance	15,897	Banic, Amy		Computer Science	Joint Appointment with Dr. Amy Banic at UWYO to increase the relevance of the CVE in the Center for Advanced Energy Studies at Idaho National Laboratory, evaluate and enhance the usability and effectiveness of immersive applications and hardware
Battelle LLC, UT	80,000	Aidhy, Dilpuneet Singh		Mechanical Engineering	Understanding Alloy Chemistry in the Formation, Diffusion and Mitigation of Point Defects and Clusters, and Phase Stability in Irradiated Disordered Alloys
Bayer Inc.	6,000	Mealor, Brian		Plant Sciences	Research and Extension in Invasive Weed Management

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Blue Cross Blue Shield of Wyoming	4,774	Leduc, Robert		Wyoming Survey & Analysis Center (WYSAC)	Modify SBC Portal Upload Process
Casper Area Economic Development	197,500	Benson, Jonathon		Wyoming Technology Business Center (WTBC)	Wyoming Technology Business Center, Casper
Colorado Potato	5,500	Stump, William		Plant Sciences	Field Tests of Generic and New Generation Chemistries for Potato Pest Suppression, Bacterial Ringrot Symptom Expression in Various Potato Cultivars
Columbia University	9,852	Cheadle, Michael John		Geology/Geophysics	IODP Expedition 360 Atlantis Bank, SW Indian Ridge, Lower Crust and Moho
CropLife Foundation	25,000	Edwards, Jeffrey		Cooperative Extension Services	Creating a Sustainable Pesticide Safety Education Program for Wyoming
Dayton Research, University of	30,000	Naughton, Jonathan		Mechanical Engineering	Developing an Approach for Assessing Effectiveness of Viscous Drag Reduction Approaches
Halliburton Energy Services, Inc.	292,287	Piri, Mohammad		School Energy Resources (SER)	Fluid/Fluid and Fluid/Rock Interactions

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Innovative Science Solutions	34,000	Naughton, Jonathan		Mechanical Engineering	Development of an Elastomeric Force Balance
Johns Hopkins University	9,400	Shogren, Jason		Economics/Finance	C-BEAR: Stress test the Agglomeration Bonus with endogenous land prices (allowing landowners to hold out conservation) and how additional monetary nudges affect land retirement decisions with the Parkhurst-Shogren Grid Game.
National Council on Crime and Delinquency	20,100	Anatchkova, Bistra		Wyoming Survey & Analysis Center (WYSAC)	City of Boulder Community Survey on Safety and Crime
Nature Conservancy	35,000	Rashford, Benjamin		Ag Economics	Conservation Easement Research Program
North Dakota Department of Health	17,443	Harnisch, Brian		Wyoming Survey & Analysis Center (WYSAC)	Conduct monthly follow-up surveys with enrollees in the NDQuits cessation program.
Serve Wyoming	161,423	Harrington, Patrick		VP Student Affairs/Conservation Corps	Wyoming Conservation Corps 2016-2017 AmeriCorps

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Southern Methodist University	10,000	Surovell, Todd		Anthropology	Fetteman/La Prele Archeological Site
Texas Biomedical Research Institute	19,005	Nathanielsz, Peter		Animal Science	The Southwest National Primate Research Center
US Department of Agriculture Forest Service (USDA-FS)	24,000	Jones, George		Wyoming Natural Diversity Database (WYNDD)	Fen Inventory Project
US Department of Defense/Army ROTC (DOD-Army ROTC)	312,826	Bobbitt, Kathleen		Student Financial Aid (SFA)	ARMY ROTC 15-16
US Department of Education (D-ED)	502,688	Bobbitt, Kathleen		Student Financial Aid (SFA)	Federal Work Study Program 16-17
US Department of Education (D-ED)	3,223,623	Bobbitt, Kathleen		Student Financial Aid (SFA)	Pell Grant 16-17

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Energy (DOE)	295,042	Fan, Maohong		Chemical/Petroleum Engineering	A Pollution-Prevention and Economically Viable Technology for Separation of Rare Earth Elements from Powder River Basin Coal Ashes; and subcontracts
US Department of Interior Bureau of Land Management (DOI-BLM)	3,581	Griscom, Hannah		Wyoming Natural Diversity Database (WYNDD)	Baseline Research for Long-term Effects of Wind Farms on Pollinators in Sage Grouse Habitat
US Department of Interior Bureau of Land Management (DOI-BLM)	24,145	Keinath, Douglas		Wyoming Natural Diversity Database (WYNDD)	WY Special Status Species Data Collection
US Department of Interior Bureau of Land Management (DOI-BLM)	232	Beauvais, Gary		Wyoming Natural Diversity Database (WYNDD)	Gopher Snake Study
US Department of Interior Bureau of Land Management (DOI-BLM)	20,000	Heidel, Bonnie		Wyoming Natural Diversity Database (WYNDD)	Rare and Special Status Plant Species and Habitat Assessment
US Department of Interior Bureau of Land Management (DOI-BLM)	11,500	Harrington, Patrick		VP Student Affairs/Conservation Corps	Newcastle BLM Field Office: Whoopup Fire Rehabilitation

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Interior Bureau of Land Management (DOI-BLM)	65,000	Tanaka, John		Ecosystem Science & Management	Sustainable Rangelands Roundtable: A Formal Briefing on Usable Science for Sustainable Rangelands and a Rangeland Soil Health Session
US Department of Interior Bureau of Land Management (DOI-BLM)	25,000	Norton, Jay		Ecosystem Science & Management	Developing an Inventory and Monitoring Framework of Herbaceous Riparian Wetlands in the National Trails Management Corridor of the Upper Sweetwater River Basin, Wyoming
US Department of Interior US Geological Survey (DOI-USGS)	216,460	Lauenroth, William		Botany	Assessing Future Ecohydrological Suitability for Sagebrush Ecosystems
US Department of Defense Defense Logistics Agency (DOD-DLA)	185,848	Kline, Jill		Wyoming Small Business Development Center (SBDC)	Wyoming Procurement Technical Assistance Center Government Contracting Assistance (2016-2017) - State Office
US Department of Defense Office of Naval Research (DOD-ONR)	208,895	Mavriplis, Dimitri J		Mechanical Engineering	High-Order Adaptive Overset Mesh Methodology for Dynamic Ship/Aircraft Interface Simulations
US Department of Health and Human Services Centers for Disease Control and	32,338	Steiner, Joseph		College of Health Sciences, Dean	Medicare Cost Report Payments for the Casper Residency Programs to Encounter Rate of Services Provided on their Annual Clinic Costs Reports

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Prevention (DHHS-CDCP)					
US Department of Health and Human Services Centers for Medicare and Medicaid Services (DHHS-CMMS)	784	Steiner, Joseph		College of Health Sciences, Dean	Meaningful Use Funds To Improve Patient Care (Financial Reward for Converting to Electronic Health Records)
US Department of Health and Human Services National Institutes of Health (DHHS-NIH)	204,785	Bowman, Grant		Molecular Biology	Bacterial Mechanisms for Establishing and Maintaining Cell Polarity; and Exempt
US Environmental Protection Agency (EPA)	233,231	Murphy, Shane		Atmospheric Science	Interplay Between Black and Brown Carbon from Biomass Burning and Climate
US National Aeronautics and Space Administration (NASA)	270,000	Johnson, Paul E		Physics/Astronomy	Wyoming NASA Space Grant Consortium 2015-2018
US National Aeronautics and Space Administration (NASA)	45,100	Mavriplis, Dimitri J		Mechanical Engineering	Development of Scalable Solvers for Current and Emerging Steady-state and Time-dependent Discretization

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US National Science Foundation (NSF)	67,367	Monteith, Kevin		Zoology/Physiology	NSF GRP Ellen Aikens
US National Science Foundation (NSF)	21,367	Dillon, Michael		Zoology/Physiology	NSF GRFP Delina Dority
US National Science Foundation (NSF)	46,000	Riebe, Clifford		Geology/Geophysics	NSF GRFP - Lindsey Arvin
US National Science Foundation (NSF)	21,367	Naughton, Jonathan		Mechanical Engineering	NSF GRP - Marlin Jamell Holmes
US National Science Foundation (NSF)	41,772	Sims, Kenneth		Geology/Geophysics	Collaborative Research: U and Th Decay Series Dating of Seafloor Hydrothermal Deposits
US National Science Foundation (NSF)	85,235	Cheadle, Michael John		Geology/Geophysics	Collaborative Research: The four-dimensional distribution of magmatism during the growth of lower oceanic crust: High precision U-Pb dating of IODP Hole U1473A, Atlantis Bank, SWIR
US National Science Foundation (NSF)	171,853	Sims, Kenneth		Geology/Geophysics	Fe Isotopes as a Key to Understanding Fluid-rock Processes During Hydration of Oceanic Crust

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Utah State University	216,044	Freeburn, James		Cooperative Extension Services	2016 WSARE Professional Development Program
Utah State University	65,478	Freeburn, James		Cooperative Extension Services	NACAA SARE Fellows Program 2016
Various Sponsors	2,647	Kline, Jill		Wyoming Small Business Development Center (SBDC)	Program Income for FY16 SBDC SBA
Various Sponsors	1,663	Kline, Jill		Wyoming Small Business Development Center (SBDC)	Market Research Center Program Income
Various Sponsors	10,000	Burman, Mary		School of Nursing	Cash Match - Future of Nursing: State Implementation Program: ReNEW: Seamless Nursing Educaitn for Students in Wyoming
Various Sponsors	11,770	Walrath, David		Manufacturing Works	Program Income - NIST
Various Sponsors	80	Burman, Mary		School of Nursing	Various Nursing Schools

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Vaughan Company	7,560	Brant, Jonathan		Civil Engineering	SWD Oil Droplet Shearing Study
Wyoming Arts Council	4,000	Moline, Philip		Cultural Programs	UW Cultural Programs will present eleven (11) performances by national/internationally-acclaimed artists with accompanying arts education and professional activities during the 2016/2017 academic year.
Wyoming Business Council	25,434	Godby, Robert W		Economics/Finance	Wyoming Wind Development Study
Wyoming Community Foundation/Wyoming Wildlife Foundation	15,000	Ernest, Holly		Veterinary Science	Wyoming Statewide Bighorn Sheep Population Genetics
Wyoming Community Foundation/Wyoming Wildlife Foundation	7,300	Kauffman, Matthew		Zoology/Physiology	Habitat Project Viewer
Wyoming Community Foundation/Wyoming Wildlife Foundation	5,000	Kauffman, Matthew		Zoology/Physiology	Beetle Kill and Sierra Madre Elk
Wyoming Community Foundation/Wyoming Wildlife Foundation	50,000	Monteith, Kevin		Zoology/Physiology	Sheep Nutrition and Disease

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Cultural Trust Fund	2,500	Markley, Benjamin D		Music	Cedar Walton Cultural Outreach Project
Wyoming Department of Health	3,052	Leduc, Robert		Wyoming Survey & Analysis Center (WYSAC)	Ranger Maintenance FY16
Wyoming Department of Health	300,000	Cook, Tiffany		Wyoming Survey & Analysis Center (WYSAC)	Suicide Prevention Evaluation
Wyoming Game and Fish Department	99,288	Keinath, Douglas		Wyoming Natural Diversity Database (WYNDD)	Coordinated Range Wide Occupancy Surveys for White-tailed Prairie Dog
Wyoming Game and Fish Department	89,689	Walters, Annika		Zoology/Physiology	Extent of Yellowstone Cutthroat Trout Hybridization with Rainbow Trout in the North Fork Shoshone River Drainage
Wyoming Livestock Board	203,830	Schumaker, Brant		Veterinary Science	Brucellosis Diagnostic Testing Support FY17-18
Wyoming State Geological Survey	6,000	Chamberlain, Kevin		Geology/Geophysics	U-Pb Dates in Support of the Ervay Basin Mapping Project

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Wildlife and Natural Resource Trust	11,780	Hufford, Kristina		Ecosystem Science & Management	Evaluating Seeding Outcomes at Reclaimed Well Sites in the Powder River Basin: Consequences for Greater-Sage-Grouse Habitat
Wyoming Wildlife and Natural Resource Trust	71,000	Graf, Nicholas		Wyoming Geographic Information Science Center (WYGISC)	Design and Development of a Lek Based Disturbance, Disruption, Reclamation, and Restoration Tracking and Optimization Tool

Sponsored Programs

TOTAL 8/2015 \$8,644,034

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Total From 7/2015 **\$7,115,523**

Total Year to Date **\$15,759,557**
7/2016-6/2017

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Education (D-ED)	23,885,747	Bobbitt, Kathleen		Student Financial Aid (SFA)	Direct Student Loans 2016-17

Total Insitutional Awards

\$ 23,885,747

Grand Total

\$39,645,304

September 2016

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
American Society of Plant Taxonomists	5,100	Brown, Gregory		Botany	Operational Support
California, Berkeley, University of	8,036	Schmidt, Lawrence O		Library	Digitization TCN: Collaborative: The Microfungi Collections Consortium: A Networked Approach to Digitizing Small Fungi with Large Impacts on the Function and Health of Ecosystems
Columbia University	14,469	Cheadle, Michael John		Geology/Geophysics	IODP Expedition 360 Atlantis Bank, SW Indian Ridge, Lower Crust and Moho - Dr. Cheadle - Research
Columbia University	15,853	John, Barbara		Geology/Geophysics	IODP Expedition 360 Atlantis Bank, SW Indian Ridge, Lower Crust and Moho - Dr. John Research
Columbia University	37,329	McElroy, Brandon		Geology/Geophysics	EarthCube Building Blocks: A Geo-Semantic Framework for Integrating Long-Tail Data and Models
Germain's Seed Technology	1,816	Sbatella, Gustavo		Plant Sciences	Germain's Seed Technology Trial

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Gowan Company LLC	5,000	Stump, William		Plant Sciences	Plant Disease Research in Potato and Sugar Beet
Hess Corporation	900,000	Piri, Mohammad		School Energy Resources (SER)	LIZA SCAL Study Program
Lawrence Berkeley National Laboratory	80,000	Pierre, John W		Electrical Engineering	Measurement-Based Stability Assessment--Real Time Measurement Units
National Center for Atmospheric Research	107,598	Muknahallipatna, Suresh		Electrical Engineering	Optimal and Practical Multiple Platform Single Source (MPSS) Strategies for Climate and Weather Applications on Many-Core Processors
Nevada, Las Vegas, University of	68,511	Novak, Domen		Electrical Engineering	Robust Driver Attention Monitoring by Combining Driving Behavior with Physiological Measurements
New Mexico Department of Health	465,000	Costello, Humphrey		Wyoming Survey & Analysis Center (WYSAC)	Process and Outcome Valuation of New Mexico's Tobacco Use Prevention and Control

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Parents as Teachers National Center, Inc.	133,795	Feldman, Laura		Wyoming Survey & Analysis Center (WYSAC)	Wyoming Maternal, Infant and Early Childhood Home Visiting Programs Evaluation and Continuous Quality Improvement Program Development
Simons Foundation	7,000	Niu, Zhuang		Mathematics	Some Problems in the Classification of C*-algebras; and Discretionary Portion
Simplot, J.R.	2,400	Sbatella, Gustavo		Plant Sciences	Simplot Crop Trial
University Corporation for Atmospheric Research	93,100	Ogden, Fred		Civil Engineering	Incorporation of ADHydro Model into WRF-Hydro Framework
US Department of Ag Agricultural Research Service (USDA-ARS)	185,000	Whipple, Glen		Cooperative Extension Services	Enhancing Decision-Making by Agricultural Producers in Wyoming with Weather Variability: Reducing Enterprise Risk and Increasing Resilience
US Department of Ag Agricultural Research Service (USDA-ARS)	50,000	Hess, Bret		Ag Experiment Station	Collaborative Long-Term Agro- ecosystem Research (LTAR) Efforts in the High Plains and Thunder Basin
US Department of Ag Agricultural Research Service (USDA-ARS)	10,000	Hess, Bret		Ag Experiment Station	Growth Efficiency and Carcass Traits of Breed-Composite Rams

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Ag National Institute of Food and Agriculture (USDA-NIFA)	66,850	Schell, Scott		Ecosystem Science & Management	Crop Protection and Pest Management Extension Implementation Area
US Department of Ag National Institute of Food and Agriculture (USDA-NIFA)	174,169	Islam, Md		Plant Sciences	The silent decline in soil potassium levels and its effect on alfalfa productivity in the central and western US - Year 1; and Subcontracts
US Department of Agriculture Forest Service (USDA-FS)	27,519	Kauffman, Matthew		Zoology/Physiology	Enhancement of the Educational Materials Available to Resource Managers and the Public in Relation to Beetle Kill and Elk
US Department of Agriculture Forest Service (USDA-FS)	76,000	Tanaka, John		Ecosystem Science & Management	Sustainable Rangelands Roundtable 2015
US Department of Agriculture Forest Service (USDA-FS)	29,000	Estes-Zumpf, Wendy		Wyoming Natural Diversity Database (WYNDD)	Comparing the utility of eDNA and visual encounter surveys for amphibian monitoring
US Department of Agriculture Forest Service (USDA-FS)	10,000	Heidel, Bonnie		Wyoming Natural Diversity Database (WYNDD)	Shoshone National Forest_Biodiversity Studies
US Department of Agriculture Forest Service (USDA-FS)	15,000	Heidel, Bonnie		Wyoming Natural Diversity Database (WYNDD)	Rare Plant Work on the Bighorn National Forest 2016 and 2017

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Agriculture Forest Service (USDA-FS)	6,000	Beauvais, Gary		Wyoming Natural Diversity Database (WYNDD)	Natural Heritage Database Exports Within R4
US Department of Agriculture Natural Resources Conservation Services (USDA-NRCS)	112,500	Hamerlinck, Jeffrey		Wyoming Geographic Information Science Center (WYGISC)	IRMA 2.0--Design and Development of the Integrated Resource Management Application, Including Deployment and Maintenance
US Department of Education (D-ED)	3,548,875	Ingram, Jennifer		Student Educational Opportunity	Gaining Early Awareness and Readiness for Undergraduate Programs FY16-17 Admin; and Subcontracts
US Department of Education (D-ED)	13,988	Bobbitt, Kathleen		Student Financial Aid	Pell Grant 15-16
US Department of Education (D-ED)	905,721	Bobbitt, Kathleen		Student Financial Aid	Pell Grant 16-17
US Department of Education (D-ED)	431,135	Bobbitt, Kathleen		Student Financial Aid	SEOG Grant 16-17
US Department of Education (D-ED)	296,640	Nysson, Elizabeth		Student Educational Opportunity	McNair Scholars Program 2016-2017; and Exempt Portion

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Energy (DOE)	315,881	Quillinan, Scott		School Energy Resources (SER)	Assessing rare earth element concentrations in geothermal and oil and gas produced waters: A potential domestic source of strategic mineral commodities - Year 1; and Subcontracts
US Department of Energy (DOE)	120,187	Liu, Xiaohong		Atmospheric Science	Use of Remote Sensing and In-Situ Observations to Develop and Evaluate Improved Representations of Convection and Clouds for the ACME Model - Year 1
US Department of Energy (DOE)	197,845	Zhu, Mengqiang		Ecosystem Science & Management	EPSCoR: Nucleation, Growth, and Aggregation of Todorokite Nanoparticles from Both Geochemical and Materials Science Perspectives - Year 1
US Department of Health and Human Services Centers for Disease Control and Prevention (DHHS-CDCP)	32,338	Steiner, Joseph		College of Health Sciences, Dean	Medicare Cost Report Payments for the Casper Residency Programs to Encounter Rate of Services Provided on their Annual Clinic Costs Reports
US Department of Health and Human Services National Institutes of Health (DHHS-NIH)	632,971	Jarvis, Donald		Molecular Biology	Impact of Fc N-glycan Structure on HIV-specific Antibody Functions; and Subcontracts

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Interior Bureau of Land Management (DOI-BLM)	10,000	Dillon, Michael		Zoology/Physiology	Baseline Research for Long-term Effects of Wind Farms on Insects in Wyoming
US Department of Interior Bureau of Land Management (DOI-BLM)	12,000	Hufford, Kristina		Ecosystem Science & Management	Consequences of Commercial Seed Introductions for the Genetic Composition of Native Plant Populations: Resource Extraction Sites on BLM Lands in Wyoming
US Department of Interior Bureau of Land Management (DOI-BLM)	26,700	Caffrey, Paul		Wyoming Geographic Information Science Center (WYGISC)	AGWA Calibration, Review and Support Bird Canyon and Monita Divide
US Department of Interior Bureau of Land Management (DOI-BLM)	24,700	Beck, Jeffrey		Ecosystem Science & Management	WY Pronghorn Response in Environmental Change CESU
US Department of Interior Fish and Wildlife Service (DOI-FWS)	31,704	Robinson, Timothy		Wyoming WWAMI Medical Education	Statistical Support for Inventory and Monitoring Projects
US Department of Interior National Park Service (DOI-NPS)	15,025	Korfanta, Nicole		Institute for Environmental and Natural Resources (IENR)	Natural Resource Condition Assessments: Fort Laramie National Historic Site, Agate Fossil Beds National Monument, Scotts Bluff National Monument, and Badlands National Park (UWY-199)

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US National Aeronautics and Space Admin (NASA)	125,000	Johnson, Paul E		Physics/Astronomy	Wyoming NASA EPSCoR RID Proposal 2015 - 2018
US National Aeronautics and Space Admin (NASA)	32,372	Liu, Xiaohong		Atmospheric Science	Constraining the Modeling of Dust Aerosol and Climate Impacts Using CALIPSO, CloudSat, and other A-Train Satellite Measurements
US National Science Foundation (NSF)	1,915,034	Rodi, Alfred		Atmospheric Science	Wyoming King Air as a National Facility; and Supplemental Funding - Deployment
US National Science Foundation (NSF)	155,066	Basile, Francisco		Chemistry	Removal of time and fidelity constraints in MALDI-MS imaging of proteins in tissue - Year 1
US National Science Foundation (NSF)	154,477	Buerkle, Christian		Botany	Collaborative Proposal: Dimensions: The evolution of novel interactions within a network of plant, insect and microbial biodiversity - Year 1
US National Science Foundation (NSF)	147,309	Heinz, Stefan		Mathematics	Mathematical Foundations of Future Turbulent Flow Simulations
US Small Business Administration	50,000	Kline, Jill		Wyoming Small Business Development Center	Wyoming Small Business Development Center_FY2016

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Various Sponsors	62	Kline, Jill		Wyoming Small Business Development Center	Program Income for FY16 SBDC SBA
Various Sponsors	4,710	Kline, Jill		Wyoming Small Business Development Center	Market Research Center Program Income
Various Sponsors	5,000	Burman, Mary		School of Nursing	Cash Match - Future of Nursing: State Implementation Program: ReNEW: Seamless Nursing Educaitn for Students in Wyoming
Various Sponsors	200	Walrath, David		Manufacturing Works	Program Income - NIST
Wyoming Arts Council	11,453	Markley, Benjamin D		Music	UW String Project and UW Jazz Area Cedar Walton Cultural Outreach Project
Wyoming Arts Council	6,290	Benson, Jonathon		Wyoming Technology Business Center	Wyoming Art Incubation

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Arts Council	13,132	Moldenhauer, Susan		Art Museum	Operating Support for the UW Art Museum Programs in Exhibitions, Collections, Education, Outreach and Professional Development
Wyoming Business Council	38,853	Walrath, David		Manufacturing Works	Manufacturing Works FY17
Wyoming Community Foundation/Wyoming Wildlife Foundation	32,000	Ernest, Holly		Veterinary Science	Wyoming Statewide Bighorn Sheep Population Genetics
Wyoming Community Foundation/Wyoming Wildlife Foundation	5,000	Kauffman, Matthew		Zoology/Physiology	Elk Migrations of the GYE
Wyoming Cultural Trust Fund	5,000	Christensen, Katie		Art Museum	Brandon Ballengee Public Programs
Wyoming Department of Health	80,000	Hardesty, Canyon		Wyoming Institute for Disabilities (WIND)	Wyoming Vision Collaborative
Wyoming Department of Transportation	168,551	Ahmed, Mohamed		Civil Engineering	Performance Measures and Independent Evaluation Support - Connected Vehicle Pilot Deployment Program

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Department of Transportation	270,449	Ahmed, Mohamed		Civil Engineering	Application Development, Human Use Approval, and Participants Training - Connected Vehicle Pilot Deployment Program
Wyoming Department of Transportation	1,169,362	Kunkel, Paul		TransPark	FY17 5311 Rural Public Transit-Operating Funding; and Admin Funding; and Maintenance Funding
Wyoming Game and Fish Department	75,467	Beauvais, Gary		Wyoming Natural Diversity Database (WYNDD)	Species Information Coordinator
Wyoming Game and Fish Department	76,280	Beauvais, Gary		Wyoming Natural Diversity Database (WYNDD)	Statewide Observation Database
Wyoming Game and Fish Department	56,750	Graf, Nicholas		Wyoming Geographic Information Science Center (WYGISC)	Density and Disturbance Calculation Tool (DDCT)_Upgrade
Wyoming Office of State Lands and Investments	43,134	Hodza, Paddington		Wyoming Geographic Information Science Center (WYGISC)	Wyoming Forest Stewardship Spatial Analysis
Wyoming Outdoor Council	18,615	Hodza, Paddington		Wyoming Geographic Information Science Center (WYGISC)	The Wilderness Society Geospatial Web Application

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Weed and Pest District	23,000	Collier, Timothy		Ecosystem Science & Management	WY Weed Support for Biological Control Position

Sponsored Programs

TOTAL 9/2016 \$ 14,005,320

Total From 7/2016 \$ 7,115,523

Total From 8/2016 \$ 8,644,034

Total Year to Date \$ 29,764,876

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Education (D-ED)	23,885,747	Bobbitt, Kathleen		Student Financial Aid (SFA)	Direct Student Loans 2016-17

Total Institutional Awards

\$ 23,885,747

Grand Total **\$53,650,623**

October 2016

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
American Society of Plant Taxonomists	6,408	Brown, Gregory		Botany	Operational Support
California, University of	81,127	Riebe, Clifford		Geology/Geophysics	Southern Sierra Critical Zone Observatory
Center for Civic Education	51,952	Ewig, Richard		American Heritage Center	Subcontracts
Colorado State University	48,086	Tinker, Daniel		Botany	Sustainable Biofuel Feedstocks from Beetle-killed Wood: Bioenergy Alliance Network of the Rockies (BANR)
Colorado State University	13,893	Parker, Sylvia		Science and Mathematics Teaching Center (SMTC)	Sustainable Biofuel Feedstocks from Beetle-killed Wood - Parker
Colorado State University	50,591	Russell, Justina		Cooperative Extension Services	Sustainable Biofuel Feedstocks from Beetle-killed Wood - Geiger
Colorado State University	115,533	Strauss, Sarah		Anthropology	Sustainable Biofuel from Beetle-killed Wood - Strauss

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Crop Research Foundation of Wyoming	6,000	Eberle, Carrie		Plant Sciences	Winter Wheat Variety Trial
Embassy of the Federal Republic of Germany	7,192	Landreville, Kristen		Communications/Mass Media	Germany Meets the U.S.
Friends of Fish Creek	30,440	Stoellinger, Temple		Institute for Environmental and Natural Resources (IENR)	Friends of Fish Creek Legal Analysis
Jackson State University	350,000	Fan, Maohong		Chemical/Petroleum Engineering	Collaborative Research and Education on Synergized Transformational Solar Chemical Looping and Photo-Ultrasonic Renewable Biomass Refinery; and Exempt Items
Monsanto Company	4,925	Sbatella, Gustavo		Plant Sciences	MSA Service Order 8: Kochia Control with Various Tankmixe
Muley Fanatic Foundation	3,000	Kauffman, Matthew		Zoology/Physiology	Baggs Mule Deer Project

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
National Endowment for the Arts	20,000	Moldenhauer, Susan		Art Museum	To support a survey of Ballangee's artwork based on scientific research; catalog; symposium; lectures and workshops; PreK-12, academic, and community education programs; in partnership with UW Biodiversity Institute and Laramie Main Street Alliance
New Mexico Department of Health	75,000	Costello, Humphrey		Wyoming Survey & Analysis Center (WYSAC)	Evaluation of the CDC 1305 State Public Health Actions to Prevent and Control Diabetes, Heart Disease, Obesity, and Associated Risk Factors and Promote School Health--Basic and Basic Plus Components
Northern Arizona University	48,014	Petersen, Douglas Bryan		Speech Pathology	Year 3 - Development of a Dual Language Narrative Curriculum
University of Texas Health Science Center at San Antonio	44,342	Li, Cun		Animal Science	Maternal obesity and immune developmental programming, role of the microbiome
US Department of Ag National Institute of Food and Agriculture (USDA-NIFA)	12,300	Dhekney, Sadanand		Plant Sciences	Regulatory Protocols for Current and Emerging Genome Editing Technologies in Crop Improvement

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Ag National Institute of Food and Agriculture (USDA-NIFA)	31,000	Miller, Myrna		Veterinary Science	National Animal Health Laboratory Network (NAHLN) Testing
US Department of Ag National Institute of Food and Agriculture (USDA-NIFA)	119,650	Cotton, Scott		Cooperative Extension Services	Western Area Livestock and Agriculture Risk Mitigation Project
US Department of Agriculture Forest Service (USDA-FS)	21,000	Ahern, James		Anthropology	Black Hills Forest Archaeological Repository Curatorial Services
US Department of Agriculture Forest Service (USDA-FS)	11,500	Harrington, Patrick		VP Student Affairs/Conservation Corps	Bighorn National Forest East Tensleep Creek Trail Construction
US Department of Agriculture Forest Service (USDA-FS)	23,000	Harrington, Patrick		VP Student Affairs/Conservation Corps	YCC Residential - Greys River Ranger District - Moose Flat Campground and Cazier Guard Station
US Department of Agriculture Natural Resources Conservation Services (USDA- NRCS)	120,000	Maczko, Kristie		Ecosystem Science & Management	Rangeland Science in Support of Practical Aspects of Soil Health for Producers - Correlations between Livestock Performance Indicators and Soil Health

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Commerce Economic Development Administration (DOC-EDA)	110,000	Benson, Jonathon		Wyoming Technology Business Center (WTBC)	FY16-17 University Center Economic Development Program/WTBC
US Department of Education (D-ED)	2,000	Bobbitt, Kathleen		Student Financial Aid	Teacher Education Assistance for College & Higher Ed (TEACH) 16-17
US Department of Education (D-ED)	126,438	Bobbitt, Kathleen		Student Financial Aid	Pell Grant 16-17
US Department of Education (D-ED)	4,250	Bobbitt, Kathleen		Student Financial Aid	SEOG Grant 16-17
US Department of Health and Human Services Centers for Disease Control and Prevention (DHHS-CDCP)	32,338	Steiner, Joseph		College of Health Sciences, Dean	Medicare Cost Report Payments for the Casper and Cheyenne Residency Programs to Encounter Rate of Services Provided on their Annual Clinic Costs Reports
US Department of Interior Bureau of Land Management (DOI-BLM)	70,000	Monteith, Kevin		Zoology/Physiology	Nutritional Carrying Capacity and Factors Limiting Population Growth of Mule Deer in the Wyoming Range

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Interior Bureau of Land Management (DOI-BLM)	17,689	Jeliazkov, Valtcho		Plant Sciences	Landscape Restoration Through Science-based Reclamation and Education
US Department of Interior Bureau of Land Management (DOI-BLM)	5,000	Clauter, Jody		Anthropology	Archeological Collections Curation and Management
US Department of Interior Bureau of Land Management (DOI-BLM)	25,000	Beck, Jeffrey		Ecosystem Science & Management	WY Pronghorn Response in Environmental Change CESU
US Department of Interior Bureau of Land Management (DOI-BLM)	40,000	Scasta, John		Ecosystem Science & Management	Adobe Town HMA Horse GPS Collar Project
US Department of Interior Fish and Wildlife Service (DOI-FWS)	45,000	Rahel, Frank		Zoology/Physiology	Wyoming Toad Recovery Program
US Department of Interior National Park Service (DOI-NPS)	8,006	Gerow, Kenneth		Statistics	Biostatistical Support for NPS Fire Ecology Program

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Interior US Geological Survey (DOI-USGS)	60,000	Kauffman, Matthew		Zoology/Physiology	RWO 198: Investigating elk movement and winter range connectivity to predict the spread of brucellos
US Department of Justice Bureau of Justice Statistics (DOJ-BJS)	115,891	Butler, Steven		Wyoming Survey & Analysis Center (WYSAC)	State Justice Statistics Program for Statistical Analysis Centers (2016-2017): Analysis and Trends in Schedule II and III Drugs in the Wyoming Prescription Drug Monitoring Program
US National Aeronautics and Space Admin (NASA)	77,000	Mavriplis, Dimitri J		Mechanical Engineering	NASA Education Aeronautics Scholarship and Advanced STEM Training and Research (AS&ASTAR) Fellowship: Adjoint Convergence Strategies for Multidisciplinary Optimization Problems (Student: Emmett Padway)
US National Science Foundation (NSF)	671,012	Ewers, Brent		EPSCOR	EPSCoR Water in a Changing West Participant Support; and EPSCoR RII Track 1 - Cyberinfrastructure; and HPAIRI; and SRAP; and WRIR
US National Science Foundation (NSF)	44,044	Williford, Jason S		Mathematics	Q-polynomial schemes, coherent configurations, and applications
US National Science Foundation (NSF)	331,130	Wagner, Catherine		Botany	Reconstructing evolutionary history in adaptive radiations with genomic data; and Participant Costs and Tuition and Fees

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Small Business Administration	125,000	Jordan, Gregory		Wyoming Small Business Development Center	Federal And State Technology Partnership Program 2016-17
Utah State University	12,951	Islam, Md		Plant Sciences	Economic and Environmental Sustainability of Irrigated Grass-Legume Mixtures
Utah State University	12,409	Schumaker, Brant		Veterinary Science	Increasing Sustainable Agriculture Through Enhanced Diagnostics with Brucella infection
Various Sponsors	222	Kline, Jill		Wyoming Small Business Development Center	Program Income for FY17 SBDC SBA
Various Sponsors	1,000	Burman, Mary		School of Nursing	Cash Match - Future of Nursing: State Implementation Program: ReNEW: Seamless Nursing Educaitn for Students in Wyoming
Various Sponsors	18,415	Walrath, David		Manufacturing Works	MW Program Income - NIST
Various Sponsors	360	Burman, Mary		School of Nursing	Various Nursing Schools
Various Sponsors	1,000	Redder, Alan		Wyoming Natural Diversity Database (WYNDD)	Database Management

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Various Sponsors	2,800	Hamerlinck, Jeffrey		Wyoming Geographic Information Science Center (WYGISC)	Spatial Data and Visualization Center
Washington, University of	6,552	Robinson, Timothy		Wyoming WWAMI Medical Education	U of Washington Medical Student Counseling FY17
WY Association of Sheriffs and Chiefs of Police	7,767	Bade, Chad		University Police	Enforcement of Underage Drinking Laws
Wyoming Business Council	763,778	Kline, Jill		Wyoming Small Business Development Center	Wyoming Small Business Development Center 2016-2018; and 2016-2017 Region 1 , 2, 3, 4, 4A, 5, 6 Fremont, 6 Teton, and Overmatch
Wyoming Business Council	266,774	Kline, Jill		Wyoming Small Business Development Center	Wyoming Procurement Technical Assistance Center (PTAC); and 17-18
Wyoming Business Council	10,000	Kline, Jill		Wyoming Small Business Development Center	Gro-Biz Conference and Idea Expo 2016-17
Wyoming Business Council	24,500	Kline, Jill		Wyoming Small Business Development Center	State Trade and Expansion Program (STEP)
Wyoming Business Council	22,200	Walrath, David		Wyoming Small Business Development Center	State Trade and Expansion Program (STEP)

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Coalition Against Domestic Violence and Sexual Assault	5,000	Selheim, Megan		VP Student Affairs	Pilot Community Program: Community-Based Primary Sexual Violence Prevention Education 2016-2017
Wyoming Community Foundation	110,000	Feldman, Laura		Wyoming Survey & Analysis Center (WYSAC)	Kids Count
Wyoming Department of Agriculture	6,600	Galey, Francis		College of Ag, Dean	Potato Certification Association of Nebraska Potato Inspections and Seed Potato Certifications in Wyoming
Wyoming Department of Education	62,000	Hardesty, Canyon		Wyoming Institute for Disabilities (WIND)	UW ECHO in Career Development
Wyoming Department of Education	532,736	Hardesty, Canyon		Wyoming Institute for Disabilities (WIND)	UW ECHO In Individual Learning Networks; and Subcontracts
Wyoming Department of Family Services	1,611,934	Meuli, Melinda		Family/Consumer Sciences	Wyoming Supplemental Nutrition Assistance Program Education 2015-2018 - Year 2 2016-17
Wyoming Department of Health	200,000	Wambeam, Rodney		Wyoming Survey & Analysis Center (WYSAC)	Wyoming State Epidemiological Outcomes Workgroup

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Department of Health	220,000	Wambeam, Rodney		Wyoming Survey & Analysis Center (WYSAC)	Wyoming Strategic Prevention Framework, Partnerships for Success
Wyoming Game and Fish Department	35,650	Graf, Nicholas		Wyoming Geographic Information Science Center (WYGISC)	Wyoming Sage Grouse Conservation Efforts_Database Upgrade
Wyoming Game and Fish Department	85,000	Ben-David, Merav		Wyoming Natural Diversity Database (WYNDD)	Spotted Skunk Genetics Work
Wyoming Game and Fish Department	22,781	Hufford, Kristina		Ecosystem Science & Management	Sage-Grouse Habitat Restoration in Northeastern Wyoming: Evaluating Revegetation Outcomes
Wyoming Game and Fish Department	34,991	Chalfoun, Anna Lisa		Zoology/Physiology	Effects of climate on non-game sagebrush bird demography and populations
Wyoming Game and Fish Department	10,000	Abernethy, Ian		Wyoming Natural Diversity Database (WYNDD)	Northern Long-eared Bat - Laramie Peak
Wyoming Game and Fish Department	30,841	Tronstad, Lusha		Wyoming Natural Diversity Database (WYNDD)	Phase II - Native Mussel Surveys
Wyoming Humanities Council	750	Ward, Seth		Religious Studies	Menachem Mor Presents "Samaritans Past and Present" and "Bar Kokhba: Hebrew to English"

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Wyoming Instrumentation Development	46,533	Naughton, Jonathan		Mechanical Engineering	Dynamic Testing of Optimized Rotocraft Airfoil
Wyoming Military Department	118,000	Weathermon, Rick		Anthropology	Survey, Recording and Evaluation of Archaeological Sites in the Patten Creek Drainage of the North Training Area, Camp Guernsey, Wyoming
Wyoming State Parks and Cultural Resources	100,000	Burke, Bridget		American Heritage Center	We the People and Project Citizen

Sponsored Programs

TOTAL 10/2016 \$ 7,588,295

Total From 7/2016 \$ 7,115,523

Total From 8/2016 \$ 8,644,034

Total From 9/2016 \$ 14,005,320

Total Year to Date \$ 37,353,171

Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
Sponsor	Amount	Principal Investigator (PI)	Co-PI	Dept	Description
US Department of Education (D-ED)	23,885,747	Bobbitt, Kathleen		Student Financial Aid (SFA)	Direct Student Loans 2016-17

Total Institutional Awards

\$ 23,885,747

Grand Total

\$61,238,918

2. Committee of the Whole- ITEMS FOR APPROVAL

Approval of Personnel, Miller

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

All documents for Approval of Personnel have been distributed to the Board members prior to the meeting.

3. Committee of the Whole- ITEMS FOR APPROVAL

Approval of Revisions to UW Regulations

Residence Halls

- UW Reg 1-102
- UW Reg 2-178

Haub School of Environment and Natural Resources

- UW Reg 1-1
- UW Reg 5-1
- UW Reg 5-408
- UW Reg 5-804
- UW Reg 7-580

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Please see work session section of the report for this information.

4. Committee of the Whole- ITEMS FOR APPROVAL

Approval of Bylaws, MacPherson/Evans

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Please see work session section of the report for this information.

5. Committee of the Whole- ITEMS FOR APPROVAL

Approval of Policy Related to Alcohol Sales at Athletic Events

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Please see work session section of the report for this information.

6. Committee of the Whole- ITEMS FOR APPROVAL
Approval of Operating and Capital Facilities Reserve Policy

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:
Please see work session section of the report for this information.

7. Committee of the Whole- ITEMS FOR APPROVAL
Approval of Modification to Trustee Scholars Award, Axelson

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:
Please see work session section of the report for this information.

8. Committee of the Whole- ITEMS FOR APPROVAL

Approval of Mineral Lease (per discussion during executive session), Mai

CHECK THE APPROPRIATE BOX(ES):

- ☒ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Committee of the Whole (Items for Approval)

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Vice President for Administration Mai will discuss the Approval of the Mineral Lease.

9. Committee of the Whole- ITEMS FOR APPROVAL

Approval of Degree Elimination – [Self-Design Major (SDM)], Miller

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Consent Agenda

BACKGROUND AND POLICY CONTEXT OF ISSUE:

The College of Arts and Sciences has requested the elimination of the undergraduate Self-Design Major (SDM). This major has had sustained low enrollment over the past eight years. With large programs in the College of Arts & Science that have over 700 students, the elimination of a major that often had no more than 3 students and fewer graduates reflects efficient and sensible decision making.

The anticipated effects on students are minimal as currently enrolled students will be allowed to complete their degree programs. Students have been informed of this impending decision and no faculty or academic professionals are impacted by this elimination. The impact of this elimination of the program on the college and university will be minimal because of the low number of students, and because students can take regular courses that exists in other degree programs.

Per UW Regulation 6-43 (Academic Program Elimination), when proposals are initiated by an academic unit's academic personnel and the academic unit has agreed to the program's elimination, a proposal will be presented to the Provost. The proposal will be reviewed by the Provost and will be distributed to the Faculty Senate, Staff Senate, and ASUW for information purposes. The Provost will submit to the President for approval and to the Board of Trustees for final disposition. Since the elimination of this program is not contested, it is not included in the 15 elimination proposals that are currently under review this academic year.

The process outlined above has been completed, and the Provost and President recommend that the Board approve elimination.

PRIOR RELATED BOARD DISCUSSIONS/ACTIONS:

None.

WHY THIS ITEM IS BEFORE THE BOARD:

The Board of Trustees are required to approve eliminations of programs.

ACTION REQUIRED AT THIS MEETING:

Board approval of elimination of the undergraduate Self-Design Major (SDM).

PRESIDENT'S RECOMMENDATION: President Laurie Nichols recommends approval

Request to Eliminate a Program

Following the Process of University Regulation 6-43 (references to 6-43 in parentheses)

On behalf of Dean Paula Lutz of the College of Arts and Sciences, an undergraduate degree program named the Self-Designed Major (SDM) is hereby upon formal request to the President of the University of Wyoming offered for elimination. The primary reason is sustained low enrollment with 0-3 enrollees per year over the last eight years and even fewer actual graduates. Given that the largest set of degree programs in the college (Zoology) tops at over 700 undergraduate students, such elimination reflects efficient and sensible decision-making (3/4 A) (4B1).

The program first approved in 1991 was set up to attract highly motivated excellent students who would be allowed to use their creativity and capabilities to put together their own curricula using courses from several Arts and Sciences disciplines. These curricula could be unique to the student or could reflect programs at other universities that do not exist at the University of Wyoming at the undergraduate level. Thus, there was no set curriculum for all students, or content, or format and each student's coursework had to be entered into the degree check system as an individualized entity. The idea was noble and hearkened back to an old liberal arts tradition of fostering excellence in independent work since the only common experience was that each student had to conduct an individual project or research paper that was the culmination of their studies. Currently, it appears that most high achieving students complete double majors or combine a standing major and minors to obtain similar multidisciplinary areas of expertise (4B2a).

The role and impact in the college and university is minimal because the few students in the SDM take regular courses that exist in other degree programs, and complete independent studies or internships that are available to all students with the agreement of a major professor/mentor. Financial information is not relevant as the program is not associated with specific courses or individual instructors (4B2b, 4B2c). OIA data from fall 2013 reports one student in the program. The degree check analyst in the office of the registrar currently lists two in the major both of whom should complete it by Spring 2016 (4B2d). Another student may enroll and is already halfway through his proposed curriculum.

The program is administered by an associate dean who helps each student register their curriculum. Although occasionally and periodically time consuming, this does not constitute a major responsibility for the associate dean. Because each student's designed curriculum is different, there are no faculty or academic professionals uniquely associated with the program nor are there facilities. The program is not accredited (4B2efgh).

In regards to comparator programs internally, the College of Arts and Sciences maintains three so-called distributive majors, Humanities/Fine Arts, Mathematics/Sciences, and Social Sciences in which students take courses in related disciplines or fields. The social science distributive major is in the most popular especially as it offers a degree through the Outreach School. The difference between these programs and the SDM is that the latter places no restrictions on where the coursework must come from except that it must be within the College of Arts and Sciences. The distributive majors require more classes and credit hours than the SDM by at least 12 hours and that the courses come from recognizably related fields of study. Some external colleges/universities have degree programs in what is called general studies in which a student simply accumulates a number of diverse courses at different levels. Many students initially think that this is the SDM's purpose. However, major differences include the fact that the SDM is not university-wide and it must be shaped into a thematic whole when the student proposes his/her curriculum. One concludes that these comparators are not quite appropriate. To reiterate what was stated above, students today generally fulfill their goals by taking more than one major or adding a minor, thus in this way preparing themselves for a more complex set of knowledge and skills (4B2i).

The anticipated effects on students are minimal. Students currently enrolled will be allowed to complete their degree programs. The effect on the state is again minimal because of the small number of individuals involved. Students were not tracked because of the small numbers. All students interested in the program must meet with the associate dean and have been and will continue to be informed of the facts explained in this document. No faculty or academic professionals are impacted by this elimination; they remain in their regular departments with their assigned teaching loads (3, 4).

10. Committee of the Whole- ITEMS FOR APPROVAL

**Approval of Mick and Susie McMurry High Altitude Performance Center-
Guaranteed Maximum Price, Mai**

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Consent Agenda

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Please see work session section of the report for this information.

11. Committee of the Whole- ITEMS FOR APPROVAL

Approval of FY18 Budget Reduction Plan, Nichols

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☐ Information Item
☒ Other Specify: Consent Agenda

BACKGROUND AND POLICY CONTEXT OF ISSUE:

Please see work session section of the report for this information.

1. INFORMATION ONLY ITEM

Progress Report/Change Orders

CHECK THE APPROPRIATE BOX(ES):

- ☐ Work Session
☐ Education Session
☒ Information Item
☐ Other

Specify:

Capital Construction Progress Report as of October 17, 2016

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

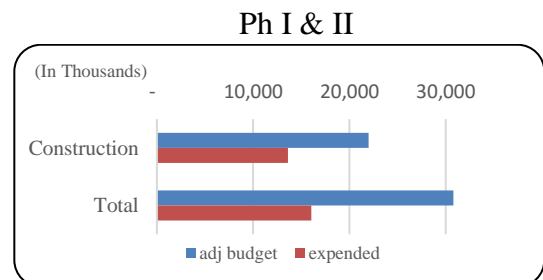
PROJECTS IN CONSTRUCTION

1. Arena Auditorium Renovation

Phase I

Contractor: Haselden Wyoming Constructors
Casper, WY

Original Project Budget \$12,850,000 (a)
Adjusted Project Budget \$12,982,109 (d)



<u>Funding Sources:</u>	<u>Original Anticipated:</u>	<u>Actual:</u>
Foundation	5,000,000	3,149,951
State Match	5,000,000	3,900,049
State Appropriation	2,850,000	5,120,000
Athletics	-	812,109
Total Funding	12,850,000	12,982,109

Guaranteed Maximum Price \$ 7,056,730
Contract Substantial Completion Date March 27, 2014

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	7,057	911	360	8,328	(8,328)	-	-
Contingency	360	-	(360)	-	-	-	-
Design	1,065	-	-	1,065	(1,042)	(17)	6
FF&E	3,663	(460)	-	3,203	(3,295)	(3)	(95)
Tech	250	(250)	-	-	-	-	-
Admin	455	(69)	-	386	(297)	-	89
Total	12,850	132	-	12,982	(12,962)	(20)	-

Phase II

Contractor- pre construction: Haselden Wyoming Constructors
Casper, WY

Contractor – Design/Bid/Build: Sletten Construction of Wyoming, Inc.

Original Budget for Phase I and Phase II was \$30,000,000. Funding remaining from Phase I was applied to Phase II. See additional funding (b) below.

Original Project Budget	\$17,150,000	(a)
Adjusted Project Budget	\$17,830,000	(d)

<u>Funding Sources:</u>	<u>Original Anticipated:</u>	<u>Actual:</u>
Foundation	5,000,000	6,850,049
State Match	5,000,000	6,099,951
State Appropriation	7,150,000	4,880,000
Total Funding	17,150,000	17,830,000

Contract Price	\$13,282,982
Contract Substantial Completion Date	October 16, 2017

Note: Funds have been reallocated among the budget categories. The adjusted budget has not changed in total. Corresponding expenditures and obligations have also been reallocated. The project has changed from CMAR to Design/Bid/Build.

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	13,050	574	-	13,624	(155)	(13,295)	174
Contingency	913	167	-	1,080	-	-	1,080
Design	1,835	379	-	2,214	(1,412)	(257)	545
FF&E	760	(225)	-	535	(28)	-	507
Tech	300	(150)	-	150	-	-	150
Admin	292	(65)	-	227	(61)	(7)	159
Total	17,150	680	-	17,830	(1,656)	(13,559)	2,615

Statement of Contract Amount

Original contract		13,282,982
	No Change Orders	-
Adj Contract		13,282,982

Work Completed/In Progress:

- Construction zone is completely fenced off.
- Re-routing for temporary domestic heating lines is complete.
- Exterior demolition is complete.
- New entryway and south addition drilled piers are complete.
- Temporary wall between interior of building and construction zone is complete.
- Grade beams are being formed.
- Interior demolition is being finalized.
- Electrical circuits are being installed.
- Excavation for deep mechanical is ongoing.

Issues Encountered with Proposed Resolution for Each:

- North addition drilled piers (quantity 6) had low strength values when tested. The contractor is planning to drill new piers next to these piers to remedy the issue.

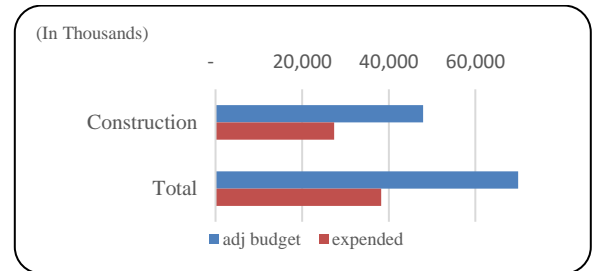
Work Planned for the Upcoming Month:

- Storm sewer line is being installed.
- Underground work for commissary addition.
- Grade beams to be poured.
- New walls will be formed and poured.
- Underground electrical at new entryway.
- Backfill at new entryway.

2. High Bay Research Facility

Contractor: Haselden Wyoming Constructors
Casper, WY

Original Project Budget
(not including donated equipment) \$64,800,000 (a)
Adjusted Project Budget
(not including donated equipment) \$65,883,458 (d)



Funding Sources:	Original Anticipated:	Actual:
Foundation	16,300,000	16,300,000
Grants (AML sponsored programs)	15,000,000	15,000,000
State Appropriations	14,800,000	14,800,000
Foundation donor restricted for equipment	11,200,000	11,200,000
State Matching 2014	7,500,000	7,500,000
Reserve for cost overrun	-	4,484,000
Reserve Account	-	599,458
Total Funding	64,800,000	69,883,458
Donation of Physical Equipment eligible for State match	2,500,000	2,500,000
Loss of donor funding \$2M/match \$2M *		(4,000,000)
Total Project	67,300,000	68,383,458

Guaranteed Maximum Price \$42,925,724
Budget includes amounts restricted for equipment purchase only under Tech.
Contract Substantial Completion Date January 2017

Note: Change orders #3-8 have resulted in a decrease in the use of contingency and the reserve funding. Also, the amount of restricted donation funds has been moved out of Tech and represented as Restricted for Tech for clarification.

*Recent loss of donor funds of \$2M with a State match of \$2M resulted in the following project budget adjustments: reduced Contingency by \$3,108 and FF&E by \$892. This adjustment may be changed if additional funds are available or if another project category is more applicable to adjust in the future.

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	42,926	4,963	17	47,906	(41,073)	(6,845)	(12)

Contingency	3,125	(3,108)	(17)	-	-	-	-
Design	4,741	121	-	4,862	(4,457)	(171)	234
FF&E	1,288	(892)	-	396	-	-	396
Tech	644	-	-	644	-	(141)	503
Restricted for Tech	11,200	-	-	11,200	(6,196)	(5,004)	-
Admin	876	-	-	876	(501)	(11)	364
Subtotal	64,800	1,084	-	65,884	(52,227)	(12,172)	1,485
Equip Donation	2,500	-	-	2,500	-	-	2,500
Total	67,300	1,084	-	68,384	(52,227)	(12,172)	3,985

Statement of Contract Amount

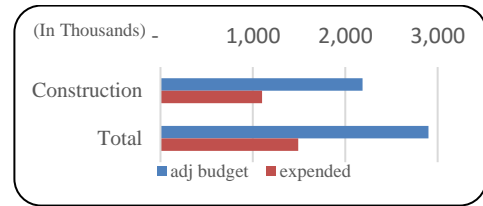
Original contract		42,925,724
Change Order 1	Additional Concrete Work, Gas Meter, Manifold & Piping, Equipment Relocation	86,647
Change Order 2	Additional Costs for Extended Contract Date and Mechanical Systems Changes	4,952,341
Change Order 3	Door and Exterior Detail Changes, Bike Racks	10,563
Change Order 4	Radiation Shielding at South Walls	15,411
Change Order 5	Credits: Door Card Reader, Roof Davit	(11,559)
Change Order 6	Deleted Casework, Truck Turning Layout, Floor Radiation Shielding	(13,366)
Change Order 7	Heat Recovery, Fume Hoods, Electrical Changes	(76,674)
Change Order 8	Chiller Vibration Isolation, Epoxy Flooring, Add End Switches to Control Valves	7,791
Change Order 9	Vibration Isolation for Pumps, Vertical Wire Management Sleeve	9,226
Change Order 10	Isolation valves, Additional ceramic tile, Elimination of tempered at lead glazing, Credit for UW personnel related to a damaged conduit within steam tunnel, Destat fan, Electrical panel	(563)
Change Order 11	Balancing dampers, Catwalk guard, fire hydrant extensions, VPS power	11,980
Adjusted Contract		47,917,521

Work Completed/In Progress:		
<ul style="list-style-type: none"> • Rock cobble is being placed within landscape beds. • Landscaping and irrigation are nearing completion with current work focused along 19th St. • Painting and striping of the parking lot has commenced. • Concrete masonry unit installation is complete on the mechanical screen wall. Stone installation has commenced. • Metal panels for the north electrical room are installed with flashing and trim nearing completion. • Ceiling tile installation is nearing completion on the second floor. • Installation of perforated metal panels for the stair railings has started. • The epoxy flooring system is being installed in Lab 140. • Steam service to the building was turned on and major mechanical system start-up has commenced. • Curtain wall sunshade installation/repair is ongoing. • Electrical/ mechanical trim work continues. • Metal panels around the entry tower are nearing completion. • Painting continues on the north wing. 		
Issues Encountered with Proposed Resolution for Each:		
<ul style="list-style-type: none"> • None 		
Work Planned for the Upcoming Month:		
<ul style="list-style-type: none"> • Card reader and security camera installation will commence. • Epoxy flooring installation will continue on the first floor. • Installation of the finish panels on the overhead garage doors on the north portion of the building will begin. • Metal panel installation at the main entry will continue on the SE entry. • Door and hardware installation will continue in the north wing. 		

3. Hoyt Hall Renovation

Contractor: Elk Ridge Builders & Design LLC
Laramie, WY

Original Project Budget \$ 2,900,000 (a)
Adjusted Project Budget \$ 2,900,000 (d)



<u>Funding Sources:</u>	<u>Original Anticipated:</u>	<u>Actual:</u>
Major Maintenance	3,000,000	2,900,000

Contract Sum \$ 2,000,888
Contract Substantial Completion Date July 22, 2016

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	2,001	-	237	2,238	(2,013)	(225)	-
Contingency	323	-	(237)	86	-	-	86
Design	299	-	-	299	(294)	(5)	-
FF&E	-	-	-	-	-	-	-
Tech	-	-	-	-	-	-	-
Admin	277	-	-	277	(167)	(66)	44
Total	2,900	-	-	2,900	(2,474)	(296)	130

Statement of Contract Amount

Original Contract		2,000,888
Change Order 1	Install Self-leveling Flooring Floors 1-3	66,909
Change Order 2	Change Door Finish to Match Pre-existing Doors	4,387
Change Order 3	Additional Work to Finish Basement	20,621
Change Order 4	Electrical and Plumbing Revisions	17,288
Change Order 5	Additional Work in the Kitchen	18,686
Change Order 6	Correct Uneven Plaster Walls, ADA WC Fixtures, ADA Switch Height Changes, Replacement of Door Jams	21,232
Change Order 7	Add Wood Trim, Plumbing Wall Removal, Add Demo, Change to Flooring in Restrooms	21,050
Change Order 8	Finish Coat to Doors, Add Wood Apron Trim , 2 nd Floor Ceiling Drop Soffit	16,564
Change Order 9	Add COL code approved locking hardware & vision glass to door, Add wood trim, New	24,762

	vertical cable tray, Door modifications, Additional Caulking, Install Knox Box, Plumbing & Electrical revisions	
Change Order 10	Restroom wall planes, Wiring elevator fire doors, Relocate emergency exit signs, New heating coils, Abandon copper drain pipe, Replace corroded hydronic piping, heating system, steel door frame sections, Replace existing water cooler	24,787
Adjusted Contract		2,237,176

Work Completed/In Progress:

- Project is substantially complete. The general contractor is completing the remaining punch-list items that were identified by the design team.

Issues Encountered with Proposed Resolution for Each:

- There was an installation issue with a small portion of the sanitary sewer line at the basement level. This was corrected by the general contractor under warranty.

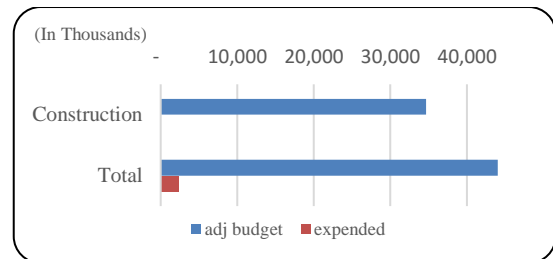
Work Planned for the Upcoming Month:

- Change Orders 11 and 12 for required work added late in the project are currently being processed.
- After all punch-list items are complete and other required documentation is provided by the general contractor, the project will be closed-out.

4. Mick and Susie McMurry High Altitude Performance Center

Contractor: GE Johnson
Jackson, WY

Original Project Budget \$ 44,000,000 (a)
Adjusted Project Budget \$ 44,000,019 (d)



Funding Sources:	Original Anticipated:	Actual:
Foundation	3,000,000.00	3,000,000.00
Foundation	21,000,000.00	21,000,000.00
State Match	20,000,000.00	20,000,000.00
Athletic Gifts	-	18,844.89
Total Project	44,000,000.00	44,018,844.89

Guaranteed Maximum Price not yet set
Contract Substantial Completion Date not yet set

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	34,684	-	-	34,684	-	(60)	34,624
Contingency	1,363	-	-	1,363	-	-	1,363
Design	3,469	-	-	3,469	(1,590)	(1,224)	655
FF&E	1,961	-	-	1,961	-	-	1,961
Tech	1,015	-	-	1,015	-	-	1,015
Admin	1,508	19	-	1,527	(188)	(71)	1,268
Total	44,000	19	-	44,019	(1,778)	(1,355)	40,886

Statement of Contract Amount

Original contract	Not Yet Set	-
	No Change Orders	-
Adj Contract		-

Work Completed/In Progress:

- GE Johnson held a public bid opening on October 4, 2016.
- Received 100% Construction Documents on September 30, 2016 from Pappas and Pappas/DLR. GE Johnson.
- GE Johnson continues to work on the Veterans Memorial Relocation portion of the project. The Memorial will be relocated and ready for public viewing on October 28, 2016.

Issues Encountered with Proposed Resolution for Each:
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- | |
|---|
| <ul style="list-style-type: none">• 100% Construction Documents received from the design team were incomplete. UW initiated a time extension to correct/complete documents. A guaranteed maximum price will be generated based on complete documents for approval at the Board of Trustees meeting. |
|---|

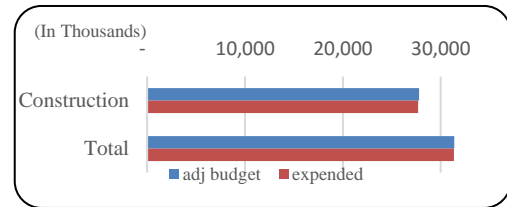
Work Planned for Following Month:
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| <ul style="list-style-type: none">• Complete the Veterans Memorial Relocation portion of the project.• Main project groundbreaking ceremony scheduled for October 29, 2016 at the War Memorial Stadium. |
|--|

5. Half Acre Gym

Contractor: Groathouse Construction, Inc.
Laramie, WY

Original Project Budget \$ 27,268,577 (a)
Adjusted Project Budget \$ 31,385,671 (d)



Funding Sources:	Original Anticipated:	Actual:
Bond Proceeds	11,918,577.03	11,935,671.30
State Appropriation	15,000,000.00	15,000,000.00
ASUW & FMRs 2010 – architect	350,000.00	350,000.00
UW Income Fund	-	3,600,000.00
BOT authorized campus recreation	-	250,000.00
BOT authorized FMRs	-	250,000.00
Total Project	27,268,577.03	31,385,671.30

Guaranteed Maximum Price \$19,800,000

Guaranteed Maximum Price as adjusted \$27,718,204

Contract Substantial Completion Date November 2015

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	19,800	6,825	1,142	27,767	(27,698)	(69)	-
Contingency	1,142	-	(1,142)	-	-	-	-
Design	3,272	(1,202)	-	2,070	(2,050)	(20)	-
FF&E	974	(272)	-	702	(501)	(16)	185
Tech	974	(974)	-	-	-	-	-
Admin	1,106	(259)	-	847	(1,055)	(109)	(317)
Total	27,268	4,118	-	31,386	(31,304)	(214)	(132)

Statement of Contract Amount

Original Contract		19,800,000
Change Order 1	Construct Temporary Fitness Areas, Trailer for Outdoor Recreation, Temporary Parking Lot	219,712
Change Order 2	Base Bid Reconciliation, Increase for Time Extension	1,468,712
Change Order 3	Add Isolated Ground Outlets, Add Asbestos Abatement	41,158
Change Order 4	Fire Rated Shaft Around Climbing Wall, Architectural & Structural Modifications	431,034
Change Order 5	Increase Casework Bid Package, Cold Weather Protection, Weather Related Impact Costs, Fireproofing Scope Expansion	601,568
Change Order 6	Enclose Back Wall of Racquetball Courts, Interior Furring Assemblies on Existing Walls, Revise Roofing Walk Pads, Drain Piping fro Day Lot to New Storm Sewer Manhole	147,872
Change Order 7	Increase Tile Bid Package, Scope Expansion for Gym Equipment, Cold Formed Framing Modifications	296,285
Change Order 8	Scope Expansion for AV/IT Infrastructure	675,026
Change Order 9	Power Operated Window Shade in Climbing Area, Revisions to Gym Wall Pads, Lowering Existing Water Main, Revisions to Gym Graphics	124,559
Change Order 10	COW Trade layout, COW Weather Protection, Wall Bracing,	174,268
Change Order 11	Power & Receptacles for Motorized Projector Screens, Cast Bronze Floor Medallion, Outdoor Program Air Compressor, Power Revisions	35,804
Change Order 12	Beneficial Occupancy	-
Change Order 13	Beneficial Occupancy	-
Change Order 14	Stair Well Terminations & Ceiling Finishes, FF&E Additions, Fire Resistant Construction Revisions, Traffic Coating in Penthouse, Dance Studio Floor Refinishing	261,945
Change Order 15	Technology Buildout Package, Spinning Stage Connectivity	420,959
Change Order 16	MEP Space Concerns, Track Guardrail Revisions, Power Modifications	115,133

Change Order 17	Asbestos Abatement, Demolition Modifications, MEP Phase 1 Sequencing, Weather Protection, COW Trade Layout, COW Daily Cleanup,	247,858
Change Order 18	Modify Duct Penetrations, Interface Fire Alarm With AV, Modify Stair Rails, Modify Toilet Access	91,773
Change Order 19	COW Hoisting Equipment, Daily Cleanup, Weather Protection	87,800
Change Order 20	Increase Pool Bid Package	172,996
Amendment #2	Adjustment to Contract Amount	2,303,742
Change Order 21		71,488
Change Order 22	Emergency Radio Responder Repeater System	(22,621)
Adjusted Contract		27,767,071

6. Engineering Building

Work Completed/In Progress:

- Emergency Radio Response Coverage system installation is complete.

Issues Encountered with Proposed Resolution for Each:

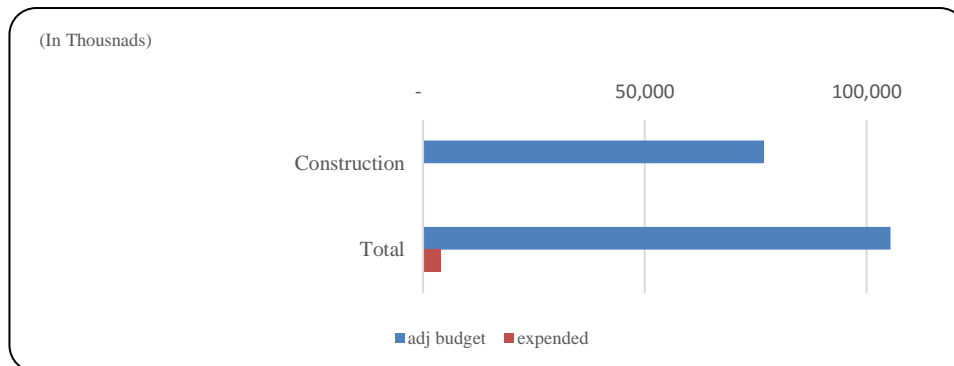
- None

Work Planned for the Upcoming Month:

- The 11th Month Warranty Walk-Thru was held and the CMAR will be addressing items identified on the walk-thru.

Contractor: GE Johnson
Jackson, WY

Original Project Budget \$ not yet set (a)



<u>Funding Sources:</u>	<u>Original Anticipated:</u>	<u>Actual:</u>
Grant – AML funds	350,000.00	350,000.00

Grant 2 – AML funds	750,154.00	750,154.00
State appropriation	55,000,000.00	55,000,000.00
Reduced by 2015 legislative action	(8,570,000.00)	(8,570,000.00)
Reduced by 2015 legislative action	(3,475,737)	(3,475,737)
State gen fun from AML – held until match	15,800,000.00	15,800,000.00
State matching funds	14,200,000.00	14,200,000.00
State Sec I swap for cap construction	10,000,000.00	10,000,000.00
2016 Appropriation	14,500,000.00	14,500,000.00
2015 DEQ redirected funds	3,475,737	3,475,737
Foundation donation	3,328,756	3,328,756
Total Project	105,358,910.00	105,358,910.00

Guaranteed Maximum Price not yet set
Contract Substantial Completion Date not yet set

Note: Funds have been reallocated among the budget categories. The adjusted budget has not changed in total.

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	76,853	(3,476)	-	73,377	-	-	73,377
Contingency	3,843	-	-	3,843	-	-	3,843
Reserve	5,243	3,476	-	8,719	-	-	8,719
Design	7,943	(228)	-	7,715	(4,506)	(3,418)	(209)
FF&E	3,993	(75)	-	3,918	-	-	3,918
Tech	3,474	(75)	-	3,399	-	-	3,399
Admin	4,010	378	-	4,388	(627)	(919)	2,842
Total	105,359	-	-	105,359	(5,133)	(4,337)	95,889

Statement of Contract Amount

Original contract	Not Yet Set	-
	No Change Orders	-
Adj Contract		-

Work Completed/In Progress:

- The public opening of Bid Package 1 documents was conducted as scheduled on August 29, 2016.
- The public opening of Bid Package 2 documents was conducted as scheduled on October 20, 2016. Bid Package 2 includes structural steel anchor bolts and embeds plates and angles.

- The site clearing/demolition work for the EERB project by Wyoming Earthmoving Corporation (WEC) was completed on October 14, 2016 and WEC has demobilized from the site.
- A ground-breaking ceremony for the EERB project was held on October 7, 2016.
- The University completed a 50% Construction Document review with the design team on October 19, 2016.
- GE Johnson construction (GEJ) installed site fencing, jobsite trailers, and stormwater pollution prevention measures. GEJ also started earthwork operations and drilled pier installations.

Issues Encountered with Proposed Resolution for Each:

- None

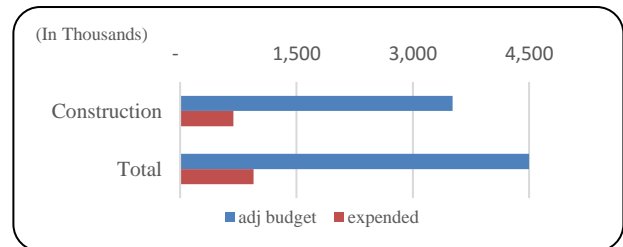
Work Planned for the Upcoming Month:

- Installation of underground utilities and drilled pier caps and footings.
- Close-out will take place for the Wyoming Earthmoving Corporation (WEC) contract.
- The design team will incorporate 50% CD review comments/corrections from the University and will proceed with further development of the construction documents for the remaining bid package 3 (BP3) work. Bid Package 3 is due to GEJ and UW December 2, 2016.

7. Video and Score Boards

Contractor: Panasonic Corporation NA

Original Project Budget \$ 4,500,000 (a)



Funding Sources:	Original Anticipated:	Actual:
Administrative Loan	4,500,000.00	4,500,000.00
Total Project	4,500,000.00	4,500,000.00

Contract Substantial Completion Date August 1, 2016

Note: Design expenditures and obligations were reversed in prior month. Correct in this report.

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	3,513	77	-	3,590	(3,231)	(359)	-
Contingency	280	(77)	-	203	-	-	203
Design	164	-	-	164	(98)	(51)	15
FF&E	200	-	-	200	(185)	-	15
Admin	343	-	-	343	(23)	(15)	305
Total	4,500	-	-	4,500	(3,537)	(425)	538

Statement of Contract Amount

Original contract		3,504,301
	Owner Contingency for Additive Alternates 8,761	
		-
Change Order #1	Add end zone netting	42,695
Change Order #2	Credit for re-use of conduit, Addition of interducts for cabling protection	(447)
Change Order #3	Additional a/v equipment requested by Athletics staff	11,057
Change Order #4	Demolition of north end zone scoreboard	32,778
Adjusted Contract		3,590,384

Work Completed/In Progress:

- Certificate of Substantial Completion was issued to Panasonic on 9/1/16 and punch-list items have been completed.

Issues Encountered with Proposed Resolution for Each:

- None.

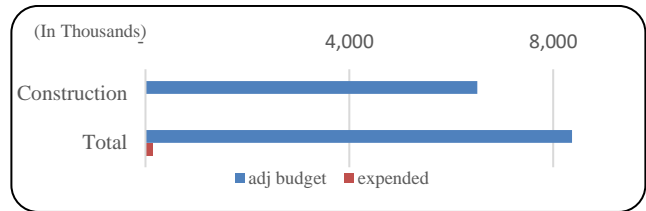
Work Planned for the Upcoming Month:

- None.

8. BSL3 – State Vet Lab

Contractor: Sampson Construction Co, Inc.

Original Project Budget \$8,372,000 (a)
Adjusted Project Budget \$10,572,065



<u>Funding Sources:</u>	<u>Original Anticipated:</u>	<u>Actual:</u>
State of Wyoming Reimbursement	8,372,000.00	10,572,065
Total Project	8,372,000.00	10,572,065

Contract Substantial Completion Date June 26, 2017

(In Thousands)	Budget (a)	Additional Funding (b)	Use of Contingency (c)	Adj Budget (a+b+c)=(d)	Expenditures (e)	Obligations (f)	Remaining Balance (d+e+f)=(g)
Construction	6,512		9	6,521	(240)	(6,281)	-
Specialized Equipment	253	2,200		2,453		(218)	2,235
Contingency	496		(32)	464			464
Design	766		19	785	(278)	(497)	10
Admin	345		4	349	(73)	(105)	171
Total	8,372	2,200	-	10,572	(591)	(7,101)	2,880

Statement of Contract Amount

Original contract		6,512,000.00
Change Order #1	Re-feed supply & exhaust air to corridor, storage & incinerator rooms	8,780
Adjusted Contract		6,520,780.00

Work Completed/In Progress:

- Mechanical and Electrical subcontractors continue to verify existing conditions. New mechanical/electrical/plumbing (MEP) operations are ramping up.
- Most demolition is complete in BSL3 areas (walls, floors, HVAC, electrical)
- New masonry wall in the cage wash area is complete.
- Design for the new incinerator is in progress and will continue through January.

Issues Encountered with Proposed Resolution for Each:

- Many areas where existing conditions were not built properly. These will need to be rectified throughout the course of the project.

Work Planned for the Upcoming Month:

- | |
|---|
| <ul style="list-style-type: none">• MEP rough-ins will continue.• Metal Stud framing/drywall.• The new emergency egress addition will be enclosed.• Finishing construction of the new addition and cage wash area.• New emergency back-up incinerator concrete pad and utilities will be installed. |
|---|