

THE UNIVERSITY OF UTAH

YEAR SEVEN | STANDARD ONE

Evaluation of Institutional Effectiveness (EIE)
Northwest Commission on Colleges and Universities

AUGUST 24, 2022



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Instructions to Reviewer

Links in this document will take the reviewer to one of three places:

- 1) Table of Contents links drop to relevant sections of the report.
- 2) Links in the body of the report connect to:
 - a. The University of Utah's website. All public-facing web pages will display when the reviewer clicks the link. These are shown as hyperlinks with blue, underlined text.
 - b. Or, to a document bookmarked in the Appendix. These links are shown as blue text with no underline.

Authors of the 2022 Evidence of Institutional Effectiveness (EIE)
Self-Evaluation Report to NWCCU

*THE FOLLOWING INDIVIDUALS FACILITATED THE WRITING OF
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Public Input Opportunities for the UU 2022 Year 7 Accreditation Review and EIE Self-Evaluation Report to NWCCU

In developing this EIE Self-Study, input from the university and larger community was solicited using several approaches:

- 1) Members of the above drafting committee sought material and feedback from colleagues in their colleges, departments, and administrative units in the writing of the report. These requests for input were targeted at specific NWCCU Standards.
- 2) A draft of the EIE report was posted on the university's accreditation page (accreditation.utah.edu) during August 2022, and members of the university community were invited to review and provide feedback.
- 3) In addition, during May/June 2022, the University of Utah published ads in two local newspapers (Salt Lake Tribune and Deseret News) inviting members of the general community to send feedback directly to NWCCU regarding the university's qualifications for regional accreditation.

The Institution/Mission

Preface

Founded in 1850, the University of Utah (the U) is the state's flagship institution of higher education, with 17 schools and colleges, more than 110 undergraduate and 245 graduate degree programs, and an enrollment of more than 33,000 students. In 2019, the university joined the Association of American Universities, an invitation-only, prestigious group of 65 leading research institutions marked by excellence in academic expertise and research impact, student success, and securing resources in support of this mission.

A high standard of educational and research excellence is exhibited by the U's world-class faculty—many of whom are international experts in their fields, members of elite academic organizations, and winners of coveted awards, which include the National Medal of Science, the Nobel Prize, and recognition as fellows of the American Academy of Arts and Sciences and/or the National Academies of Sciences, Engineering, and Medicine. The university emphasizes and supports quality in its educational offerings through mechanisms that enable faculty members to continuously strengthen their teaching and optimize student learning. As learners at a research university, U students have the opportunity to engage firsthand with the generation of knowledge—whether through working with faculty on research or learning in class from faculty who are making path-breaking discoveries. Increasingly, the breadth and caliber of programs at the University of Utah are attracting students from Utah and beyond who want a top-quality education in an extraordinary setting. Motivated students wishing for a transformative college experience—one that enables them to compete in the global workplace—are discovering rigorous opportunities throughout the U's many areas of study. Our combination of world-class education in the context of a research institution situated in the Intermountain West differentiates the U from other top-tier institutions. Our focus encompasses a forward-thinking, problem-solving perspective that positions graduates as leaders in critical domains such as energy, environmentalism, sustainability, and urban planning; internationalism and entrepreneurship; genetics, bioengineering, and health sciences; and the fine arts and humanities.

In 2019, the university-wide community created [Strategy 2025](#)—a “One U” approach for the future. One U leverages the strengths and talents of both the main and health campuses at the University of Utah to accelerate the university's rise as it focuses on four overarching goals: student success, knowledge transfer, community engagement, and institutional vitality. Strategy 2025 provides an enhanced, detailed description of the university's 2016 and 2018 goals and core values. Strategy 2025 includes data-driven projections of the population growth of the state of Utah, changes in the regional economy in response to local and national opportunities and challenges, and the shifting demographics of Utah and regional populations. Strategy 2025 challenges the University of Utah to develop innovative approaches that nimbly respond to the continually evolving landscape of higher education, health care, and technological

development. The reports also explore strategic pivoting of universities to address regional, national, and international challenges and opportunities, such as the COVID-19 epidemic. Implicit throughout Strategy 2025 is the university's core value of creating a more equitable, diverse, and inclusive society.

The University of Utah seeks to provide every undergraduate student an exceptional educational experience. As described in previous reports, including the [2021 Year Six Report to NWCCU](#), the University of Utah's [Learning Framework](#) has sought to empower students and the institution to articulate, describe, assess, and demonstrate the holistic student experience. With new leadership in undergraduate education, a concentrated effort is now underway to expand the dynamic efforts documented in the university's 2018 Student Success Report, "[Clearing the Path](#)" as well as in the [2018 Mid-Cycle Self-Evaluation to NWCCU](#). At present, the Learning Framework—an integration of the learning experience through four foci on community, transformation, knowledge and skills, and impact—is being reconceptualized as the "E³ Framework" to elevate the [Exceptional Educational Experience](#) (E³) as the university's strategic approach to an integrated, sustained, and holistic student experience designed *for* and *with* students.

UNIVERSITY OF UTAH LEARNING FRAMEWORK

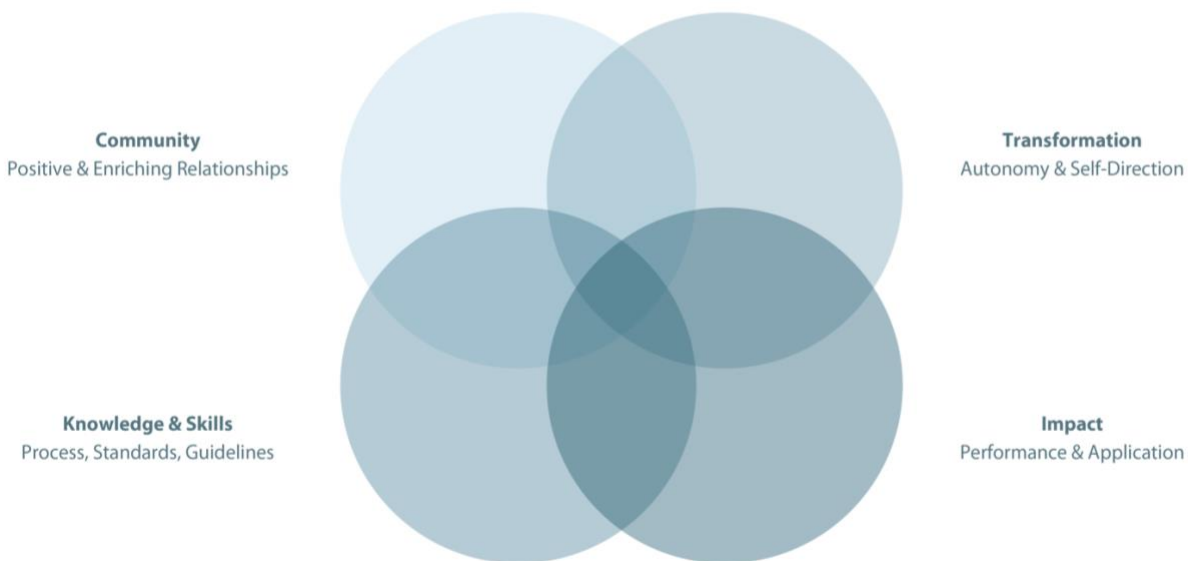


Figure 1: The learning experience at the U is centered through community, transformation, knowledge and skills, and impact

Redefining the previous framework through a data-informed, student-driven, and evidence-based approach, E³ is poised to amplify the university's student success

agenda in new ways and accelerate the extraordinary improvements in student persistence and graduation over the last decade.

Alongside the E³ and its framing of an exceptional educational experience, from the innovative startups and companies based on student and faculty collaboration to faculty-driven research agendas, the U boasts an impressive \$641 million (fiscal year 2021) research enterprise. University of Utah Health, for example, is an economic engine unlike any other in Utah. With more than 20,000 faculty and staff, it is one of the state's largest employers. University of Utah Health is the only university health care system in the state of Utah and provides patient care for the people of Utah, Idaho, Wyoming, Montana, and much of Nevada. It is also the training ground for most of Utah's physicians, nurses, pharmacists, therapists, and other health care professionals. The U's emphasis on excellence in health care services, medical training, and patient satisfaction is revealed in impressive levels of recognition for both hospital quality and the quality of the patient experience.

Additionally, the University of Utah serves as a resource to the Salt Lake City community through a wide range of lectures, concerts, museums, gardens, theater offerings, and athletic events. In turn, the U is enriched through the participation and engagement of community members through a network of [University Neighborhood Partners](#) from diverse backgrounds whose involvement is essential to ensure the long-term relevance, vibrancy, and diversity of Utah's flagship university.

President Taylor R. Randall (appointed the University of Utah's 17th president in fall 2021) commissioned the [Operation Bold Transition Team](#) to review the recommendations and metrics of Strategy 2025 and develop a university vision matrix for full implementation of the recommendations. At the time of the writing of this self-study, he has also embarked on [extended tours across the state of Utah](#) to discuss the university's mission with business and community leaders, local officials, leaders of other state colleges and universities, and alumni statewide. Through the cultivation of connections and collaboration across the state, President Randall is rededicating the University of Utah as the state's flagship institution of higher education and expanding its mission to serve the entire state.

Policy changes

With the advent of COVID-19, advancements in technology, and a changing landscape in higher education that calls for responsiveness, the U has initiated several policy changes related to students, faculty, research, human resources, record retention, university resources, and safety. [Details](#) regarding changes to university regulations, including the [most recent](#) changes to university policy, can be found online. (See [Appendix](#) for complete list and date of changes.)

Students:

The U adapted some policies that impact students—such as temporarily suspending SAT or ACT scores as an admissions requirement—as a direct result

of COVID-19. Other policies were enacted to decrease behavior that could be motivated by bias or prejudice and establish a process to review student fees, as part of developing a more inclusive and transparent campus. Student policy updates are:

- [Interim Rule 6-404C: Undergraduate Admissions - SAT or ACT Scores](#)
- [Interim Rule 6-404C: Undergraduate Admissions - SAT or ACT Scores](#)
- [Policy 6-400: Code of Student Rights and Responsibilities \("Student Code"\)](#)
- [Interim Policy 6-407: University General Student Fees, and the University General Student Fees Advisory Board](#)
- [Policy 6-407: University General Student Fees, and the University General Student Fees Advisory Board](#)

Faculty:

From establishing guidelines to approve travel to expanding the university's ability to recognize distinguished professors and streamlining the process of appointing faculty, several policies were enacted to provide clear leadership, navigate interpersonal dynamics, and expand parental leave benefits. Faculty policy updates are:

- [Policy 3-030: Travel Policy](#)
- [Policy 6-300: University Faculty -- Categories and Ranks](#)
- [Board of Trustees' Approval of Faculty and Administrative Appointments](#)
- [Policy 6-002: The Academic Senate and Senate Committees: Structure, Functions, Procedures](#)
- [Policy 6-001 and Related Rules: Academic Units and Academic Governance- Roles of Faculties, Committees, Councils, and Academic Senate](#)
- [Policy 6-315: Faculty Parental Benefits — Leaves of Absence](#)
- [Interim Rules 1-012A Discrimination Complaint Process Rule and 1-021B Sexual Misconduct Complaint Process Rule](#)

Research:

The U became a member of the Association of American Universities in 2019, joining the ranks of 65 top research institutions with the goal of extending the impact of our research into our surrounding communities. Several policies have been updated to follow best practices in gathering and presenting research.

Research updates are:

- [Interim Policy 1-006: Individual Conflict of Interest Policy and Interim Rule 1-006C: Individual Conflict of Interest in Research](#)
- [Policy 7-020: Determining Authorship in Scholarly or Scientific Publications](#)
- [Policy 7-001: Policy for Research Misconduct and Related Changes to Policy 6-011: Functions and Procedures of the Senate Consolidated Hearing Committee and Policy 6-316 Code of Faculty Rights and Responsibilities](#)

- [Policy 1-006: Individual Financial Conflict of Interest Policy and Related Regulations](#)

Human resources:

As with other universities, the U is mindful that our employees have many options when it comes to where they wish to work, and we want to be the primary choice for educators and experts in a multitude of fields. In the last few years, the U updated its guidelines for evaluating employee performance as a means of providing feedback and potential promotions, expanded parental leave benefits to graduate students, and fine-tuned policies that protect employees from abusive conduct. Human resources updates are:

- [Policy 5-141: Performance Management — University Staff \(Other than UUHC Staff\)](#)
- [Policy 6-303: Reviews of Tenure-Line Faculty Members \(RPT Criteria, Standards, and Procedures\)](#)
- [Policy 5-108: Transfer of Benefits Eligible Staff Members \(Non-UUHC\)](#)
- [Policy 6-409: Graduate Student Parental Leave and Rule R6-309A: Postdoctoral Fellows Parental Leave](#)
- [Policy 4-010 University Individual Email Policy](#)
- [Policy 1-021 Abusive Conduct and Rules 1-021A, 1-021B, and 1-021C](#)
- [Policy 5-211: University Independent Personnel Boards & Procedures for Complaints Under the Utah Protection of Public Employees Act](#)
- [Procedure P3-100D: Gift Card Purchases and Requirements](#)

Record retention and management:

The U is committed to being transparent to the community, while also protecting data and making sure that it is secure. We have updated some of our records retention policies to reflect best practices for saving and disposing of our financial records and institutional data. The policy changes for record retention and management are:

- [Policy 3-014: University Financial Record Retention](#)
- [Policy 4-001: University Institutional Data Management Policy](#)
- [Rule R4-004A: Acceptable Use, Rule R4-004B: Information Security Risk Management, and Procedure P4-004G: Procedure Supporting Rule 4-004G](#)

University resources:

As a public institution, the U recognizes that our employees must be accountable for the use of our resources—from the use of cameras and computers to university property—while following proper procedure for procurement. We have updated several of our policies to reflect these best practices, from university software to use of the World Wide Web on campus. The policy changes for university resources are:

- [Policy 3-041: Accountability for Noncapital Equipment](#)
- [Policy 3-100 University Procurement and Related Regulations](#)
- [Rule R4-050B: University Software](#)

- [Policy 4-050: University Software Policy](#)
- [Policy 4-003: World Wide Web Resources Policy](#)
- [\(Deleted\) Policy 3-042: Property-Insurance Program](#)
- [Policy 3-019: University of Utah Internal Audit Policy](#)

Safety and security:

Campus safety is a top priority for the U, and this includes students, faculty, staff, and visitors to campus. The U has updated several policies to increase campus safety, including installing and maintaining building access systems and area surveillance systems. We also developed guidelines for body-worn cameras for university police, and enhanced our policies to foster an environment that is free from discrimination. The policy changes are:

- [Policy 3-234: Building Access and Surveillance Systems](#)
- [Rule 1-011A: Police Officer Body-Worn Cameras](#)
- [Interim Policy 1-012: University Non-discrimination Policy](#)

Personnel changes

Figures 2.1 and 2.2 show significant campus leadership appointments since September 1, 2018.

MAIN CAMPUS LEADERSHIP APPOINTMENTS	APPOINTEE	PREVIOUS INSTITUTION
President	Taylor Randall	University of Utah
Interim Senior Vice President for Academic Affairs	Martell Teasley	University of Utah
Senior Advisor to the President	Natalie Gochmour	University of Utah
Vice President for Student Affairs	Lori McDonald	University of Utah
Vice President for Equity, Diversity, and Inclusion	Mary Ann Villarreal	California State University, Fullerton
Interim Chief Marketing and Communications Officer	Chris Nelson	University of Utah
Interim Vice President for Research	Erin Rothwell	University of Utah
Vice President, Advancement	Heidi Woodbury	University of Utah
Vice President and Chief General Counsel	Phyllis Vetter	University of Utah
Chief Safety Officer	Keith Squires	University of Utah
Senior Associate Vice President for Academic Affairs and Dean of Undergraduate Studies	Thomas Chase Hagood	University of Georgia
Associate Vice President for Faculty	Sarah Projansky	University of Utah
Chief Global Officer	Brian Gibson	George Mason University
Chief Real Estate Officer	John Creer	Arizona State University
Associate Vice President and Dean for University Connected Learning	Deborah Keyek-Franssen	University of Colorado System
Interim Dean, David Eccles School of Business	Rachel Hayes	University of Utah
Dean, School for Cultural and Social Transformation	Kathryn Bond Stockton	University of Utah
Dean, College of Education	Nancy Songer	Drexel University
Dean, S.J. Quinney College of Law	Elizabeth Kronk Warner	University of Kansas
Interim Dean, College of Social Work	Philip Osteen	University of Utah
Dean, College of Social and Behavioral Science	Michelle M. Camacho	University of San Diego
Dean, College of Humanities	Hollis Robbins	Sonoma State University
Dean, College of Nursing	Marla De Jong	University of Utah
CEO Huntsman Mental Health Institute	Mark Rapaport	Emory University
Associate Vice President, Health Policy	Brian Shiozawa	Health and Human Services
Associate Vice President, Health Sciences Education	Wendy Hobson-Rohrer	University of Utah
Director, Eccles Health Sciences Library	Catherine Soehner	University of Utah
Chief Marketing & Communications Officer, University of Utah Health	Robyn Reynolds	MultiCare Health System
Associate Vice President, U of U Health Equity, Diversity, and Inclusion	Jose Rodriguez	University of Utah
Chief Philanthropy Officer, U of U Health	Marika Jones	University of Utah
Chief Wellness Officer, U of U Health	Amy Locke	University of Utah
U of U Health Associate Vice President, Clinical Affairs	Sam Finlayson	University of Utah
Executive Director, Natural History Museum of Utah	Jason Cryan	NC Museum of Natural Sciences
Chief Experience Officer	Andrea Thomas	University of Utah

Figure 2.1: Significant main campus leadership appointments since September 1, 2018

Figure 2.2: New appointments within University of Utah Health

HOSPITALS AND CLINICS LEADERSHIP APPOINTMENTS	APPOINTEE	PREVIOUS INSTITUTION
CEO, U of U Health Hospitals and Clinics	Dan Lundergan	University of Utah
Interim Chief Operating Officer, U of U Health Hospitals and Clinics	Alison Flynn Gaffney	University of Utah
Chief Financial Officer, U of U Health Hospitals and Clinics	Charlton Park	University of Utah
Chief Operating Officer, U of U Health Plans	Lisa Fallert	Presbyterian Health Plan (PHP) Albuquerque, NM
Chief Nursing Officer, U of U Health	Tracey Nixon	University of Utah
Chief Human Resources Officer, U of U Health	Sarah Sherer	University of Utah
Chief Medical Officer, U of U Health	Tom Miller	University of Utah
Chief Medical Information Officer	Michael Strong	University of Utah
Chief Pharmacy Officer, U of U Health	Kavish Choudhary	University of Utah
Chief Quality Officer, U of U Health Hospitals and Clinics	Sandra Gulbransen	University of Utah
Cancer Hospital Executive Director, Huntsman Cancer Institute	Don Milligan	University of Utah
Chief Information Officer, U of U Health Hospitals and Clinics	Donna Roach	BJC HealthCare Washington University SOM

Minor changes in program offerings since the 2018 Mid-Cycle Self-Evaluation report

In accordance with Utah State Board of Higher Education policies, the University of Utah’s Board of Trustees has approved a substantial number of minor changes in its program offerings, as well as several divisional organizational changes. In addition, the university has increased the number of degree programs that offer 50 percent or more program content through online/distance delivery. The Utah State Board of Higher Education has been notified of these changes.

All changes through September 1, 2022, have been submitted as minor changes to the NWCCU, and all of the minor changes have either been approved or are in the process of being approved. Divisional reorganizations have not generated any changes in degree or certificate program names, content, delivery, or student learning outcomes.

Response to topics previously requested by the Commission

The NWCCU Commission notification following the U’s 2018 Mid-Cycle Review confirmed that there are no open recommendations or topics that needed a response.

On July 27, 2022, NWCCU Senior Vice President Gita Bangera requested clarification of how the University of Utah is moving forward in response to the tragic death of undergraduate student Zhifan Dong in February 2022. Additionally, SVP Bangera requested a summary of the university’s plans to provide a safe environment to the university community, including students. A response to this request was submitted by

email to SVP Bangera on July 29, 2022, and also was included as an attachment to the University's Yearly Report to NWCCU. A copy of this response is found in this self-study in Appendix A.

Standard One: Student Success, and Institutional Mission and Effectiveness

The institution articulates its commitment to student success, primarily measured through student learning and achievement, for all students, with a focus on equity and closure of achievement gaps, and establishes a mission statement, acceptable thresholds, and benchmarks for effectiveness with meaningful indicators. The institution's programs are consistent with its mission and culminate in identified student outcomes leading to degrees, certificates, credentials, employment, or transfer to other higher education institutions or programs. Programs are systematically assessed using meaningful indicators to assure currency, improve teaching and learning strategies, and achieve stated student learning outcomes for all students, including underrepresented students and first-generation college students.

Institutional Mission 1.A.1: The institution's mission statement defines its broad educational purposes and its commitment to student learning and achievement

The University of Utah [Mission Statement](#) defines the university's broad educational purposes and its commitment to student learning and achievement. The University of Utah's mission statement describes the university's Four Core Goals (promote student success, develop and transfer knowledge, engage communities to improve health and quality of life, and ensure the long-term viability of the institution) that provide guidance for strategic planning, allocation of resources, and new initiatives that are delivered in alignment with the University's Core Values.

Mission Statement

The University of Utah fosters student success by preparing students from diverse backgrounds for lives of impact as leaders and citizens. We generate and share new knowledge, discoveries, and innovations, and we engage local and global communities to promote education, health, and quality of life. These contributions, in addition to responsible stewardship of our intellectual, physical, and financial resources, ensure the long-term success and viability of the institution.

Four Core Goals

The University's Mission is embodied in the Four Core Goals:

1. Student success
2. Develop and transfer knowledge
3. Engage communities to improve health and quality of life
4. Ensure the long-term vitality of the institution

All strategic and resource allocation decisions at the university are evaluated according to their support of the advancement of the Four Core Goals. Moving forward (summer 2022), university leadership is defining a university vision matrix that operationalizes the university's progress toward the Four Core Goals through an integrated set of five-year and 10-year plans. The vision matrix is intentionally designed as a dynamic document to accelerate fulfillment of the university mission. Target goals and strategies are continually assessed, and when specific target goals are achieved, these target goals may be revised or replaced with new ones. At the time of the drafting of this report, the matrix is only partially complete. A complete matrix will be made available to NWCCU at the time of the peer visit in October 2022.

Several alternate articulations of the university's Four Core Goals have been recently developed and used with specific groups and stakeholders (e.g., alumni, donors, state legislature, peer USHE institutions). Examples include the [University's Core Values](#) and the [University's Six Commitments](#). Each of these alternate descriptions are rooted in the University Mission Statement and Four Core Goals. These alternate descriptions are used only for public dialogue, and progress in these alternate descriptions is not formally tracked using traditional metrics and thresholds. Consequently, these alternate articulations are generally not used in strategic and resource allocation decisions, or for assessment of institutional effectiveness.

Institutional Effectiveness: Standards 1.B.1 – 1.B.4

Improving Institutional Effectiveness 1.B.1: The institution demonstrates a continuous process to assess institutional effectiveness, including student learning and achievement and support services. The institution uses an ongoing and systematic evaluation and planning process to inform and refine its effectiveness, assign resources, and improve student learning and achievement.

[Assessment](#) of institutional initiatives is conducted at multiple levels at the University of Utah, using systematic and evidence-based practices. University-wide assessment is undertaken through committees and offices embedded at the university, college, and departmental levels, guided by senior leadership, the president, and the two senior vice presidents, and disseminated through the campus [dashboards](#). Progress on institutional effectiveness is reported regularly to the University of Utah Board of Trustees, who are formally empowered by the Utah State Board of Higher Education to make governance decisions for the University of Utah.

ASSESSMENT ORGANIZATIONAL CHART

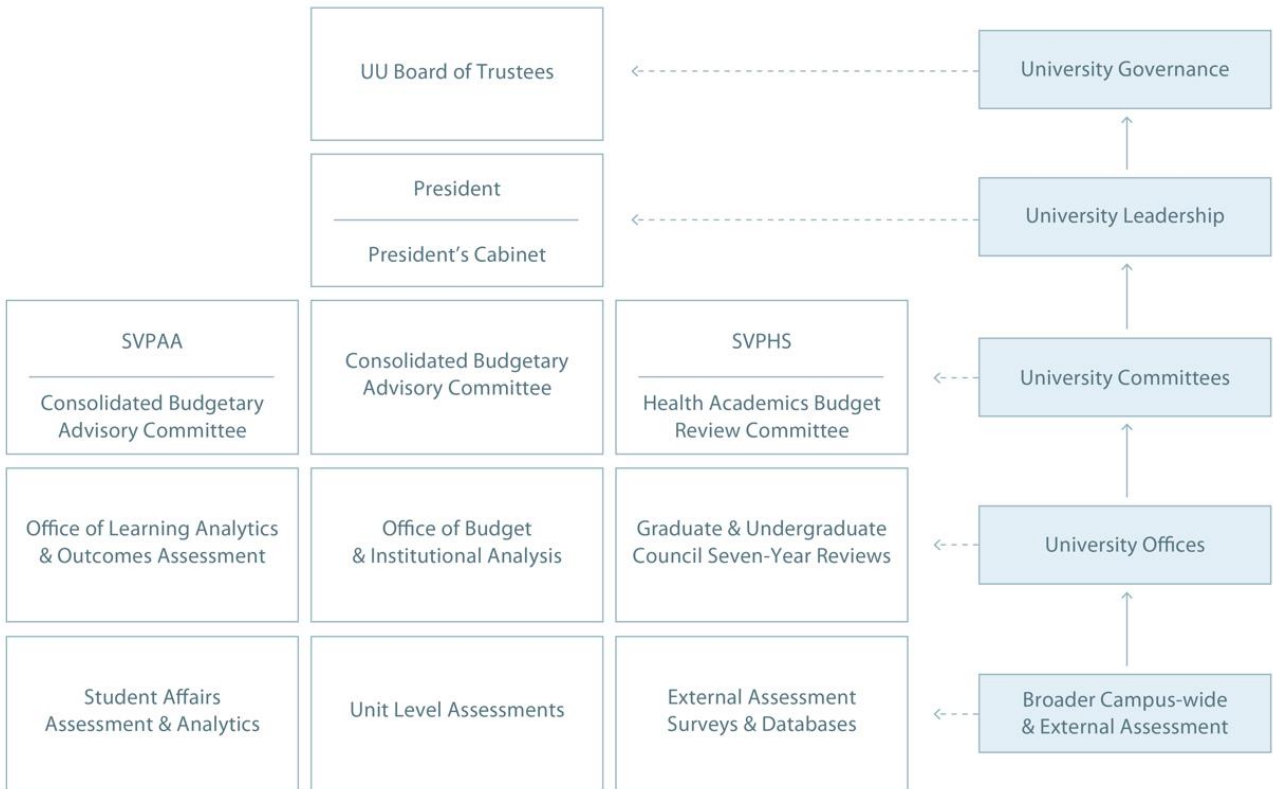


Figure 3: Offices and committees at the university that are involved in the assessment of mission fulfillment

UU Board of Trustees

The university's Board of Trustees is composed of 10 people, eight of whom are appointed by the governor with the consent of the Utah State Senate. The president of the University of Utah Office of Alumni Relations serves as a member, as does the president of the Associated Students of the University of Utah (ASUU). Appointed members to the board serve four-year terms. The board is responsible for overseeing the effective and efficient administration and operation of the university. The board is responsible for approving all university policies and the university's annual budget, as defined by USHE [Policy R220](#).

According to USHE [Policy R-208](#), the university president meets twice annually with the Board of Higher Education Resource and Review Team, which is comprised of two members of the Board of Higher Education and the chair and vice-chair of the Board of Trustees. The objective of these meetings is to identify ways the Board of Higher Education and the Board of Trustees can better assist the president, update the Resource and

Review Team regarding progress on the institution's strategic goals, and to discuss ongoing or potential issues important to the president and the institution. The team reviews the institutional mission and the president's vision for the institution and the strategic goals associated with that vision. The team meets with the president to discuss progress toward accomplishing the goals. The team also interviews the president's executive team regarding the strategic goals, whether the president effectively communicates their priorities, and the president's overall performance.

Presidential Budget Committee

The [Presidential Budget Committee](#) (PBC) reviews annual reports from the vice presidents (VPs) of all divisions that report to the president of the university. These reports outline the division's priorities, the use of resources to advance priorities, and strategies that the division would like to employ to strengthen its goals in support of the university mission. The PBC members also attend budget meetings with each senior vice president (SVP) and offer input and advice to the president on resource requests made by the division, and strategies and tactics that can assist the division in advancing the division's priorities in support of the university mission. This process is beneficial in increasing knowledge of shared priorities around the campus, engaging support toward shared goals, and improving decision-making and transparency on resource generation and use.

The PBC is chaired by the president of the university. Members of the PBC are selected by the president and include the university's Chief Financial Officer (Cathy Anderson), Director of Budget (Sandy Hughes), AVP Budget and Planning (Mark Winter), and Executive Director of Budget and Finance (Jason Atuaia).

President's Cabinet

The [President's Cabinet](#) is composed of senior university leaders who provide advice and counsel to the university president. Membership on the cabinet is at the discretion of the president. The President's Cabinet develops university strategy through consultation with university and public stakeholders, including business leaders, government officials, faculty, staff, and students. The cabinet reviews assessment data from the university offices, broader campus-wide units, and external assessment datasets and surveys. The cabinet works with the university president and the Board of Trustees to provide strategic assessment and leadership for the attainment of university mission fulfillment. The cabinet works with stakeholders across campus to develop and implement the Presidential Dashboards that track mission fulfillment of the university's Four Core Goals and the development of dynamic five-year and 10-year strategies for mission fulfillment, as outlined in the university vision matrix.

Campus Budget Advisory Committee (CBAC)

CBAC reviews annual reports from each college that reports to the Senior Vice President for Academic Affairs (SVPAA). These reports outline college priorities, the use of resources to advance priorities, and strategies that the college proposes to strengthen its profile and/or promote student success. CBAC members are also asked to attend budget meetings with each college and offer input and advice to the SVPAA on resource requests made by the colleges, and strategies and tactics that can assist the college in advancing academic priorities and financial vitality. This process is beneficial in increasing knowledge of shared priorities around the campus, engaging support toward shared goals, and improving decision-making and transparency on resource generation and use.

The membership of CBAC is selected by the SVPAA and includes key members of the senior administration, college deans, the president of the Academic Senate, senior faculty, and senior staff leaders from across the university.

Health Science Budget Committee (HSBC)

HSBC reviews annual reports from each division in University of Utah Health Sciences, including the School of Medicine. HSBC reports to the Senior Vice President for Health Sciences (SVPHS). These reports outline academic division priorities, the use of resources to advance priorities, and strategies that the divisions propose to strengthen their profile and/or promote student success. HSBC members attend budget meetings with each academic division and offer input and advice to the SVPHS on resource requests made by the division, and strategies and tactics that can assist the divisions in advancing academic priorities and financial vitality. This process is beneficial in increasing knowledge of shared priorities across Health Sciences, engaging support toward shared goals, and improving decision-making and transparency on resource generation and use.

The membership of HSBC includes the SVPHS, all of the Associate Vice Presidents of Health Sciences, and the Health Sciences Controller/Budget Director. The HSBC meets directly with the SVPHS to develop yearly budgetary and long-term strategic priorities.

Office of Learning Analytics and Outcomes Assessment, Undergraduate Studies

The [Office of Learning Analytics and Outcomes Assessment](#) (LAOA) manages data queries and presentations for Undergraduate Studies (US) units, oversees US surveys, manages the institution's use of the Civitas persistence prediction software, and works with academic departments on the assessment of their learning outcomes. This work includes helping departments comply with the portion of university [Policy 6-001](#) that requires departments to have an active curriculum management plan that includes direct assessment of student learning during the three- and five-year milestones of their seven-year program review cycle.

Civitas was implemented in 2016 as a tool to help the institution assess and understand the factors associated with increased persistence and completion rates. Civitas has four modules that are vital to this work. **Inspire** allows advisers to understand factors related to persistence and completion for students in their caseload. **Illume Student** allows an analyst to disaggregate the population in almost any conceivable way across gender, race, ethnicity, college or department major, high impact program, year in school, etc. to help the institution understand what factors are the most powerful in predicting persistence or completion. **Illume Courses** also allows for any kind of disaggregation by demographic and academic variable, and identifies courses where students are having the most trouble and courses where a grade is an indicator or potential future persistence or completion threat. Finally, the **Impact** module allows the institution to enter a set of IDs for students participating in a program and conducts a propensity score-matching analysis that matches those students with other similar students to indicate whether participation in the program is associated with increased persistence. Through its investment in Civitas, the institution has improved its understanding of how participation in high impact programs, majors, courses, and other initiatives is related to increasing persistence and completion.

The Office of Learning Analytics and Outcomes Assessment works with academic departments and programs across campus to develop learning outcomes assessment plans and provide resources for collecting, analyzing and reporting data. This allows the university to document students' attainment of targeted learning outcomes and to use these data to improve programs. LAOA manages a [website](#) with helpful materials on conducting learning outcomes assessments. LAOA also meets with curriculum committees and leadership of departments and colleges to brainstorm and discuss good assessment practice, and to review drafts and reports.

Completed departmental assessment plans and reports are publicly available, see example in [Figure 12](#).

Each fall, the LAOA meets with all of the departments/programs that will go through the third or fifth year of their seven-year program review cycle to make sure they are on track to produce their third- or fifth-year learning outcomes assessment report that is required under our new policy. LAOA also meets with departments that have their seven-year Graduate Council program reviews during the following academic year. The purpose of these meetings is to inform programs about the services and resources of the Office of LAOA, and to make sure they are assessing their learning outcomes and prepared to write the learning outcomes assessment section of their Graduate Council program self-study. Each program has been asked to map their learning outcomes to the Exceptional Educational Experience (E³) Framework so that we can assess these across the institution.

General Education serves all undergraduate students at the university and fulfills the policy of the State of Utah's [R-470](#) requiring the delivery of a general education program. The Office of Exceptional Education (formerly Office of General Education) in US, via the General Education Curriculum Committee, manages the ongoing review and assessment of the approximately 800 courses that meet one or more of the General Education and/or Bachelor's Degree requirements. In conjunction with LAOA, the Office of Exceptional Education is also responsible for the assessment of the [General Education Learning Outcomes](#). This assessment work includes the collection of direct evidence of student learning from classroom assignments and evaluation of those assignments using faculty committees applying rubrics.

Finally, US assesses its own academic and student success programming. These have been organized into threads of programs that meet the objectives of the E³ Framework. The threads and their [programs](#) are as follows: Undergraduate Education and Exceptional Education, Faculty Success and Academic Innovation, Student Access and Community Engagement, and Student Success and Transformative Experiences.

US Unit Heads meet regularly (within US and with stakeholders throughout the university) and have designed learning outcomes for their respective units as well as for ongoing collaborations. Additionally, regular program-level assessment, annual reporting on newly established cross-cutting goals and key performance indicators frame the Office of Undergraduate Studies leadership of the E³ approach to the student experience as the primary organization shepherding undergraduate education and student success at the university. The following mission of Undergraduate Studies was [refreshed](#) with new leadership in summer 2021:

Mission of Undergraduate Studies

From admission to graduation, the units of the Office of Undergraduate Studies at the University of Utah provide every student with an exceptional educational experience that empowers them to lead transformational lives wherever their educational and professional futures take them.

Students: Your possibilities are immense. The U's curriculum provides every student with a wide range of fields engaging the most exciting, challenging, and essential topics to enable you to live transformational lives. The innovative pathways and programs of undergraduate education at the U seek to bring the world into your classroom, engage you with peers and mentors, create shared moments of belonging you won't find in traditional classes or at other universities, and prepare you to lead impactful lives for Utah, the nation, and the world. Our commitment is to your success and sharing transformational experiences and an exceptional education that you will value the rest of your life.

Faculty: Your passion, expertise, and commitment to student success make exceptional education happen. The U's excellence in teaching, mentorship and research transforms the lives of students, imparts deep knowledge and skills, and develops a sense of belonging and community that leads to our faculty making a deep impact.

Office of Budget and Institutional Analysis (OBIA)

The [Office of Budget and Institutional Analysis](#) (OBIA) is the official source of information for the University of Utah and is primarily responsible for institutional-level data collection, analysis, reporting and presentation. The activities of OBIA provide the core resource for the University's assessment of mission fulfillment; this core role is reflected in its central position in Figure 4. Specifically, this office processes data related to retention, graduation, enrollment, course-taking, course performance, faculty and staff census, salary, and faculty academic and research productivity benchmarks. This office provides official data to state and federal agencies such as USHE and the Integrated Postsecondary Education Data System (IPEDS), responds to internal and external inquiries for single use or ongoing data analytics, and provides routine and one-time-only reports. These data requests come from all types of entities, ranging from external policymakers and legislators to internal units such as Housing and Residential Education, Academic Advising, Enrollment Management, Financial Aid, academic deans, department chairs, and program managers, among others. Tools have been developed and deployed to allow the generation of a wide range of data on demand.

Integrated within OBIA is a Data Management and Reporting team that is responsible for making institutional data available to multiple audiences, developing methods to deploy the data securely and in multiple formats, and generating new analysis as well as designing visual presentation of complex, multi-variable data in a manner that easily conveys understandable meaning. This Data Management team emphasizes data presentation where the visual indicators of the data are concise, clear, intuitive and appropriate to the type of data presented. This team also serves as a resource to assist other areas across campus in developing and visually presenting their own data in a similar manner. OBIA has created strategic data dashboards for colleges and departments, the Graduate School, and the Associate VP for Faculty Affairs. It has also created dozens of [individual tools](#) used by the senior administration to analyze department, college, and area data related to performance in finance, scholarly productivity and academic excellence. OBIA has also created an institutional [dashboards](#) for the president's website that displays critical indicators relevant to measuring our [level](#) of mission fulfillment across the university's Four Goals.

Graduate & Undergraduate Council Seven-Year Review Process

All academic programs undergo an extensive Graduate Council or Undergraduate Council [Program Review](#) on a seven-year cycle (Figure 4). The

Graduate School administers the Seven-Year Program Review process for the institution for all programs that offer graduate and undergraduate degrees. This process is a comprehensive evaluation of program quality and includes written evidence of program effectiveness, as well as curriculum evaluation that often leads to specific program revisions (driven by student learning outcomes assessment, as well as trends in the field). These reviews require an extensive departmental self-study using a combination of departmental data and dashboard indicators (e.g. IPEDS data, faculty and staff census, student enrollment trends, university profiles, student credit hours taught, research funding profiles etc.) provided through OBIA.

GRADUATE SCHOOL REVIEW PROCESS

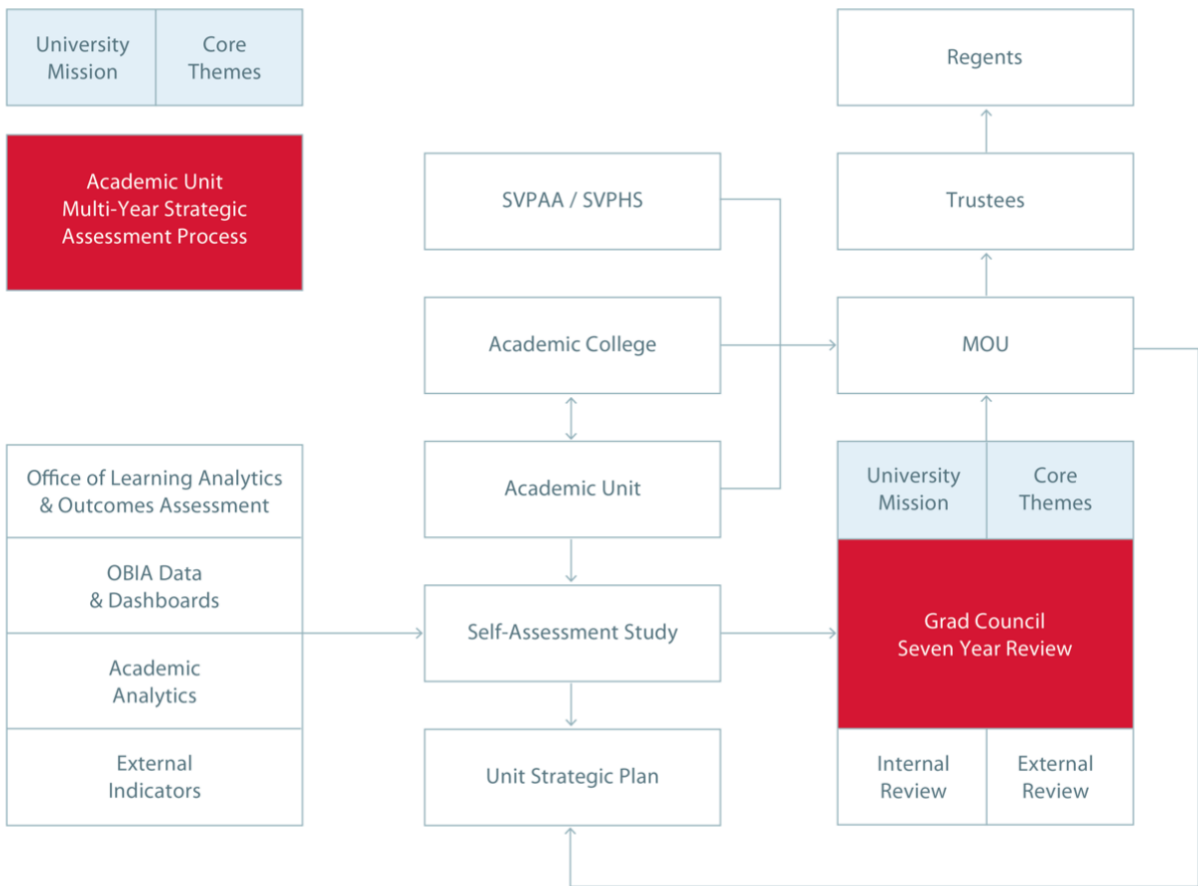


Figure 4: Graduate council seven-year review process administered by the Graduate School

Six areas of scrutiny and evaluation are included in the academic program reviews: Program Overview, Faculty, Students, Curriculum and Programs of Study, Program Effectiveness–Outcomes Assessment, and Facilities and Resources. Faculty-collected student outcomes assessments are a required part

of the self-study. Per university policy, each academic unit must have a Curriculum Management plan and conduct student learning outcomes assessment at three- year and five-year interims, as well as produce a seven-year report during the seven-year Graduate Council program review cycle. Academic units are required to provide interim reports and the seven-year report to LAOA; the seven-year report is also included in the Graduate Council Seven-Year Program review self-study. Additional data used in the self-study include external indicators and databases, such as Academic Analytics (including Alumni Insight, which provides a 10-year longitudinal tracking of graduate student and postdoctoral placement, employment sector, salaries, and geographical location) and the National Survey of Student Engagement (NSSE). In 2022, the university joined the Postsecondary Data Partnership (PDP) and is in the process of integrating information from the PDP into the Graduate Council reviews. The data is used to evaluate the unit's level of fulfillment of their strategic plan in support of the university mission and core themes.

Onsite evaluation of the academic unit's level of mission fulfillment is performed by visiting teams of internal and external reviewers who both critically evaluate the self-study and conduct in-person interviews with faculty, staff, and students. A summary program review report is created by the Graduate Council after review of the self-study and internal and external peer reports. The final Graduate Council program review report is sent for approval to the Academic Senate, the university Board of Trustees, and the Utah State Board of Higher Education. All Graduate Council Seven-Year Program review reports are available as public documents on the meeting agenda websites for the Academic Senate, Board of Trustees, and Utah State Board of Higher Education.

The Graduate Council program review reports are used to develop a signed memorandum of understanding (MOU) among the individual program director, dean of the relevant college, dean of the graduate school, and cognizant senior vice president. The MOU details the agreed steps and resources that will be used to address recommendations of the Graduate Program review. Department chairs use review recommendations as direct guides for shaping strategic plans in collaboration with their faculty members.

University academic programs that offer only undergraduate degrees are reviewed by the Undergraduate Council. The seven-year program review process by the Undergraduate Council follows the same structure and guidelines as the seven-year Graduate Council program review, above. The associate dean of the Graduate School (who is also in charge of the seven-year Graduate Council review) is a member of the Undergraduate Council and therefore participates in the Undergraduate Council review of undergraduate-online degree programs across campus. The participation of the associate dean of the Graduate School in the Undergraduate Council Program ensures alignment and quality control between the reviews of the two independent councils.

At the grassroots level, assessment resources are developed and collected from resources located across the university and through external sources. These resources include:

Unit Level Assessments

Individual academic and administrative units are responsible for developing Unit Level Assessments of their strategic plans and objectives. For academic units, these assessments are developed within the framework of curricular learning and program outcomes, and ongoing assessment of the level of fulfillment of these outcomes using an outcomes assessment plan. LAOA works with colleges and departments to develop learning outcomes and assessment plans, and to provide resources for collecting, analyzing and reporting unit level assessment data. The Unit Level Assessments for academic units are centrally collected and posted on the LAOA website.

For administrative units, each unit has identified key activities, goals and outcomes in support of its strategic plan. Unit level assessment plans are aligned at the departmental, division and institutional level to provide a multi-dimensional view of the level of fulfillment of the unit's strategic goals. Departments "close the loop" by documenting the findings from assessment projects through annual reports that show departmental progress toward goals. These reports are also used in support of the yearly assessment and revision of the unit's strategic plan.

Student Affairs Assessment & Analytics

Student Affairs Assessment and Analytics (SA-A&A) serves the [Division of Student Affairs](#) through strategic planning and assessment of general and learning outcomes of programs and services. SA-A&A also serves the institution through the coordination and development of many institutional surveys, such as the Graduating Student Survey, which is a key data source of student outcomes for the entire institution. SA-A&A works closely with Enrollment Management, Institutional Analysis, the Graduate School, Undergraduate Studies and Facilities Management to provide a coordinated approach to survey administration. Within Student Affairs, SA-A&A works with more than 20 separate departments that are organized into five separate reporting lines, including the Vice President of Student Affairs/Strategic Initiatives, Dean of Students, Student Development and Inclusion, Finance and Operations, and Health and Wellness. Each reporting line has specific data needs that are coordinated through SA-A&A to support a unified approach to data management.

In turn, Enrollment Management utilizes data from both Institutional Analysis and SA-A&A to support a strategic enrollment management approach throughout the student life cycle. The Dean of Students' reporting line utilizes data related to student conduct, engagement and use of facilities. Both Health and Wellness and Student Development and Inclusion focus on support for student success and utilize data that are protected by HIPAA as well as broader engagement and

service delivery metrics. Finance and Operations utilizes metrics that encompass engagement, facilities usage and cost and needs assessment.

Within Student Affairs, each unit has identified core objectives, goals and outcomes. Assessment plans are aligned at the departmental, division, and institutional level to provide a multidimensional view of Student Affairs. Departments “close the loop” by documenting the findings from assessment projects not only in individual progress summaries but also through annual reports that show departmental progress toward goals. To support a culture of evidence within Student Affairs, as well as the institution, SA-A&A provides ongoing assessment education through coordination meetings, trainings, and best practices. The Vice President/Strategic Initiatives area focuses on developing consistent measures across the organization to gauge overall effectiveness. Examples include utilization, satisfaction, sense of belonging, efficiency and meaningfulness, awareness, etc.

External Assessment Surveys and Databases

As part of the university assessment process, the university uses several external surveys and databases. These resources include independent national assessments and databases for comparison to peer institutions, such as [Academic Analytics](#), the [Vizient health](#) care ranking, the [Press Ganey](#) Survey of Patient Satisfaction, and the Sustainability Tracking, Assessment & Rating System ([STARS](#)). Externally administered surveys allow the University of Utah to benchmark student engagement and outcomes, such as the National Survey of Student Engagement ([NSSE](#)), NSF Survey of Earned Doctorates ([SED](#)), and the NSF Early Career Doctorates Survey ([ECDS](#)). The university is also in the process of integrating new Postsecondary Data Partnership (PDP) data into the university-wide program assessment through OBIA. These external databases and surveys provide well-designed, stable, robust, well-sampled, long-term data sets that can be used to compare University of Utah trends with national trends, as well as assess longitudinal improvement over multi-year timescales.

As described in Standard 1.C.7 of this EIE report, unit level and university level assessments have been used to advance student learning and success. Some examples of using these assessment to improve student learning and success are described in detail in the Appendices of this document.

Yearly Assessment Review Cycles

The University of Utah follows a well-defined and documented Business Planning and Consolidation (BPC) System, which includes mature training modules in BPC, publications of the SVPAA on budget principles and processes, and budget memos and guidelines for the current budget cycle. All elements of the budget planning process are guided by the principles of transparent, data-driven decisions with strategic priorities linked directly to institutional mission and core themes. The BPC website also includes a calendar of the annual budget planning cycle that defines key departmental, college,

and central administration deadlines and milestones. The budget planning cycle delineates the hierarchy and planning of the annual budget planning reviews.

Academic Unit Yearly Assessment and Budgeting Process

Departmental and College budget planning is developed according to the SVPAA Budget memo, which includes specific guidance for budget requests to delineate the relevance of all requests to the core campus priorities and the university mission. The annual budget planning and allocation process is data-driven, assisted by analysis of trends in historical data regarding student enrollment, graduation and retention rates, degrees awarded, revenue, operating expenses, research and teaching expenditures, etc., as provided by the [OBIA. Seven-year reviews](#) of college, departmental, and program statistics are also tabulated. These results are publicly available at the OBIA website, including a [student success](#) dashboard and summary tied directly to the success in achieving the university's mission and core themes. In preparing their budgets, deans and directors are required to base their requests on results of yearly program assessments as well as statistical trends observed in the institutional OBIA database. These statistical trends are used to assess how changing student and financial trends may impact individual degree programs and affect the long-term vitality and sustainability of these programs.

ACADEMIC UNIT ASSESSMENT AND BUDGETING PROCESS

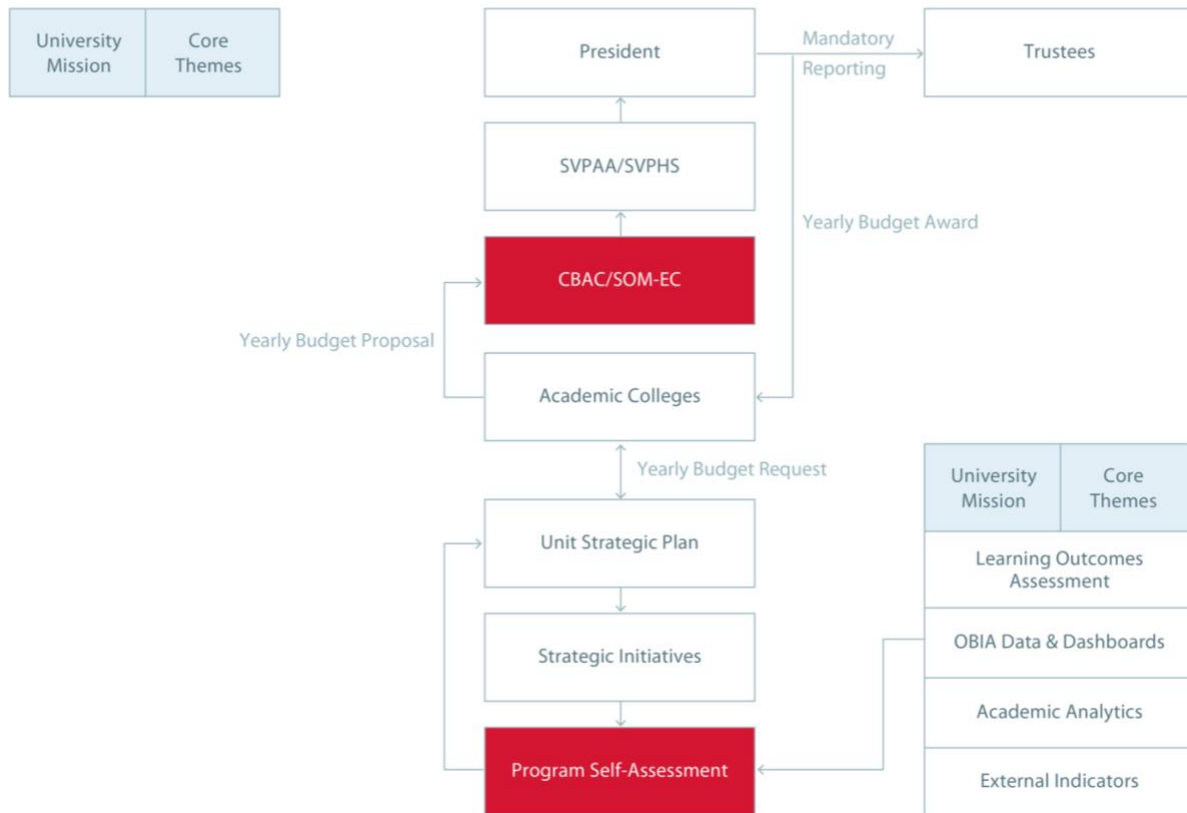


Figure 5: Academic unit yearly assessment and budgeting process

Deans of individual colleges present their budgetary requests and priorities to the Campus Budget Advisory Committee (CBAC), including a review of assessment and OBIA trends (Figure 5). The SVPAA and the dean of the Graduate School also serve on the CBAC. Consequently, items agreed upon in the individual graduate program review MOUs can be targeted to receive priority in the annual budgetary planning process. The final annual budget plan is completed in conference between the SVPAA and the president's budgetary committee, including final revenue and expense projections. The final budget reflects current budgetary priorities established through a review of the adequacy of current investments linked to program quality and assessment, and new initiatives directly linked to the institutional mission and core principles. Yearly budget expenditures and statistical summaries are reported to the Utah Board of Higher Education, as required by USHE policies.

Divisions within U of U Health Sciences follow a similar yearly assessment process, with the Senior Vice President for Health Science (SVPHS) taking the role of the SVPAA, and the HSBC assuming the role of the CBAC. The final annual budget plan is completed in conference between the SVPHS with the president's budgetary committee, including final revenue and expense projections.

Administrative Unit Yearly Assessment and Budgeting Process

The administrative (non-academic) unit yearly assessment and budgeting process (Figure 6) follows a similar structure to the academic unit yearly process, with several notable differences. The cognizant Vice President (VP) of each administrative unit develops the budget under the guidance of the president's budget memo, and the VP develops the yearly report and plan after a comprehensive self-assessment of the unit's strategic plan, strategies, and performance indicators. The VP of each unit presents their yearly report and budget request to the presidential budget committee, which advises the president on the priorities and balance of the budget portfolio. The final budget reflects current budgetary priorities established through a review of the adequacy of current investments linked to program quality and assessment, and new initiatives directly linked to the institutional mission and core principles. Yearly budget expenditures and statistical summaries are reported to the Board of Trustees and the Utah State Board of Higher Education, as required by USHE Policy.

ADMINISTRATIVE UNIT ASSESSMENT AND BUDGETING PROCESS

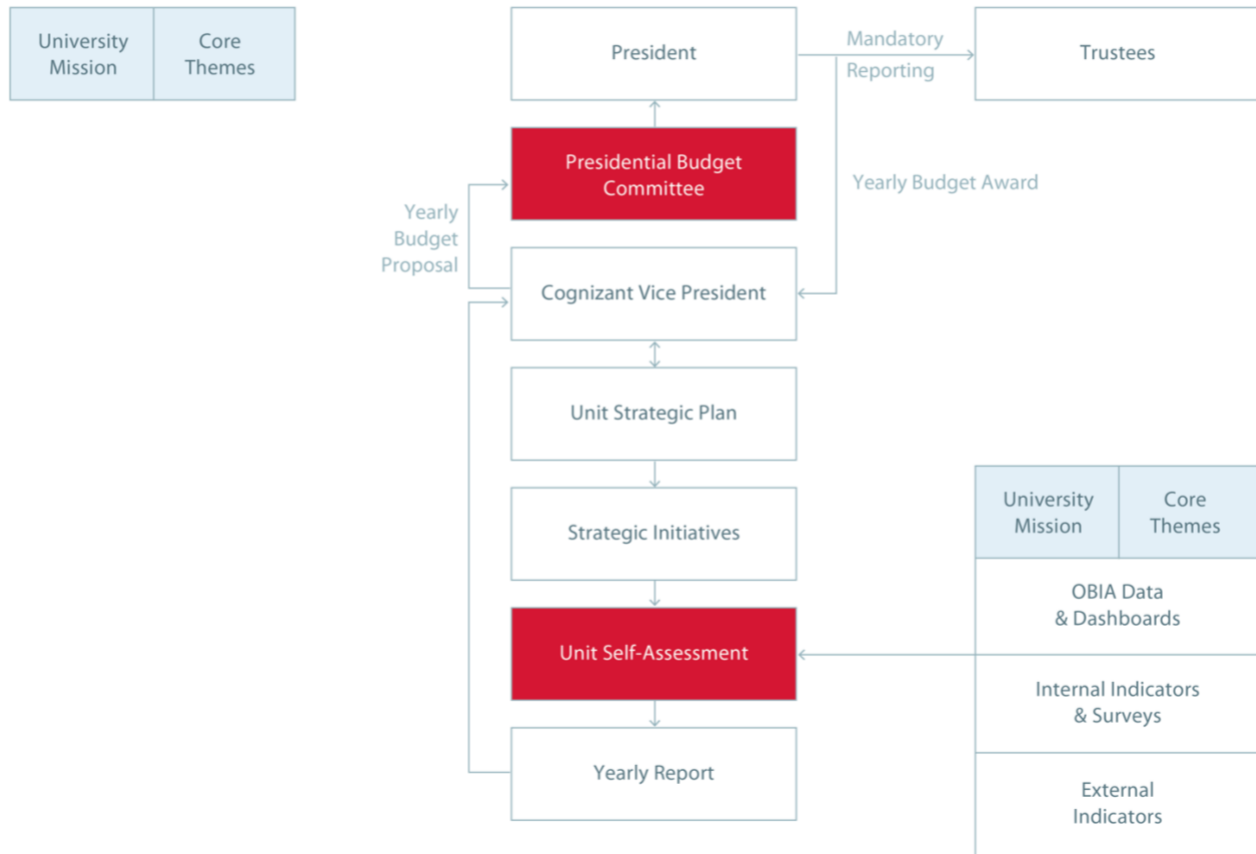


Figure 6: Administrative unit yearly assessment and budgeting process

Long-Term Assessment Review Cycles

Graduate/ Undergraduate Council Seven-Year Program Reviews

As previously described (Figure 4), all academic programs undergo an extensive Graduate Council Program Review on a seven-year cycle. These reviews require an extensive departmental self-study and evaluation by internal and external reviewers. Summary Graduate Council Program reports for each review are sent for approval to the Academic Senate and the University Board of Trustees, and reported to the Utah State Board of Higher Education. The [reports](#) are available as public documents on the meeting agenda websites of each level of review. The Graduate Council Program Reviews are used to develop an MOU among

the individual program director, dean of the relevant college, dean of the Graduate School, and cognizant senior vice president. The MOU details the plan of action and resources that are targeted to address recommendations of the Graduate Council review. Academic units are required to provide interim written reports during the third and fifth years of the review cycle documenting their progress in realizing the plan of action agreed upon in the MOU. The interim progress reports are reviewed by the graduate dean, and if progress toward completion of the action plans is inadequate, the department chair and dean are called to an in-person meeting to discuss the department's progress and consider necessary revisions to the original MOU.

The departmental study, internal, external and Graduate Council reviews of the departmental programs provide important feedback for development of the departmental and college strategic plans. Results and recommendations from these reviews provide the basis for the development of the subsequent strategic plan for the department and college. The signed MOU, interim reports, and any revisions to the MOU also are incorporated into the development of the departmental and college strategic plans.

A small number of academic units that offer only an undergraduate degree are reviewed by an identical process, but with the Undergraduate Council assuming the role of the Graduate Council.

Administrative Unit Strategic Plans

The leadership of the University of Utah regularly reviews the adequacy of its resources, capacity, and effectiveness of operations to ensure mission fulfillment. In the previously described annual process, VPs of administrative units develop annual self-assessment reports that summarize the goals of their unit(s), how these goals contribute to the larger university's Four Core Goals, the strategies used to advance the unit's goals, and metrics used to assess progress toward targets. In this way, administrative units regularly participate in strategic planning processes appropriate to their areas of responsibility. These annual reports and self-assessments provide a historical record for the development of the unit's longer term, five-year strategic plan (Figure 7). These longer-term plans are developed by members of the president's senior leadership team and discussed and refined through meetings with relevant stakeholders across campus, including other administrative units, academic units, faculty, staff, and students. Consultation with the broader constituency may include feedback from appropriately convened task forces, town hall meetings and public forums, and solicitation of online/email comments and feedback.

ADMINISTRATIVE UNIT MULTI-YEAR STRATEGIC ASSESSMENT PROCESS

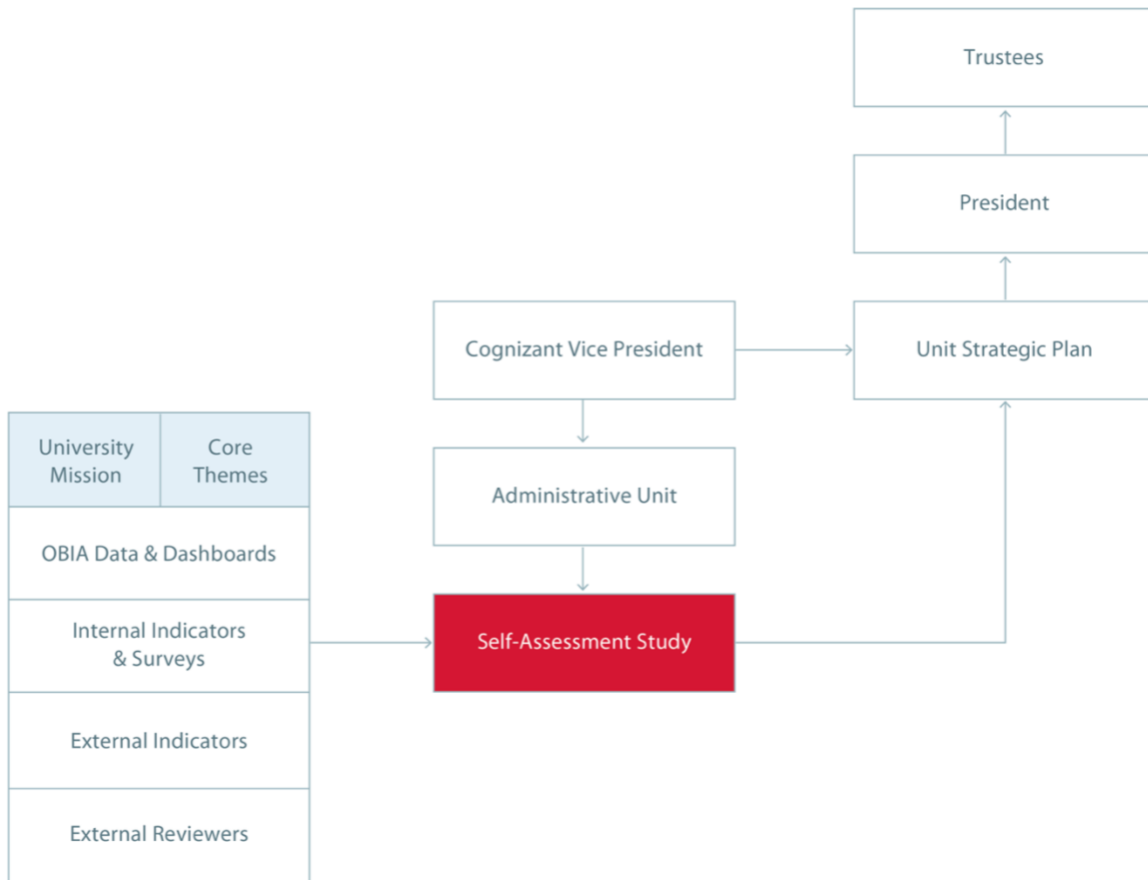


Figure 7: Administrative unit multi-year strategic assessment process

In developing a strategic assessment for long-term planning, senior members of the President’s Cabinet evaluate the adequacy of resources, capacity, and effectiveness for the areas of their responsibility using OBIA available resources, including university data and dashboards, internal indicators and surveys, external databases and peer comparison, and consulting external reviewers or external agencies. The president requires members of their cabinet to establish metrics in these strategic plans to measure progress toward the university’s core goals as well as comparison to appropriate peer institutions. The five-year strategic plans are then used to guide the annual review and budgeting process.

Evaluation and Updating the Institutional Assessment Plan

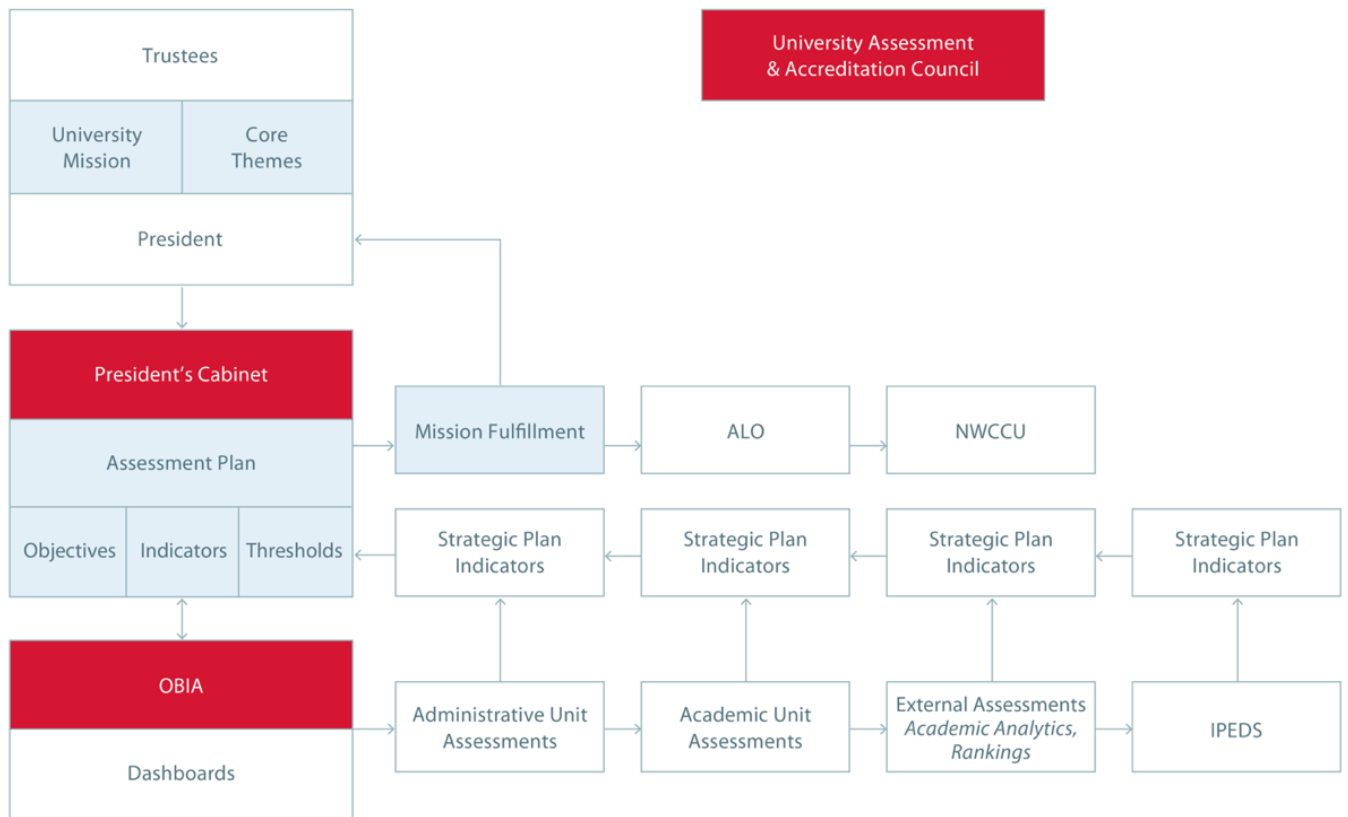
President’s Cabinet

The Institutional Assessment Plan is periodically reviewed for its ability to support mission fulfillment. The evaluation process, outlined in Figure 8, is initiated by the President's Cabinet at periodic intervals, or upon request by the president of the university.

The President's Cabinet reviews the core themes of the university in support of the university mission and the current level of mission fulfillment. The cabinet reviews the strategic plan objectives, indicators, and thresholds, and performs longitudinal review of OBIA-managed data compiled in dashboard form, recording the historical trends of the objectives, indicators, and thresholds.

Figure 8: Process for evaluating and updating the institutional assessment plan

PROCESS TO UPDATE INSTITUTIONAL ASSESSMENT PLAN



Improving Institutional Effectiveness 1.B.2: The institution sets and articulates meaningful goals, objectives, and indicators of its goals to define mission fulfillment and to improve its effectiveness in the context of and in comparison with regional and national peer institutions.

Procedures for Assessing Mission Fulfillment

The 2016 University of Utah [Mission Statement](#) states:

The University of Utah fosters student success by preparing students from diverse backgrounds for lives of impact as leaders and citizens. We generate and share new knowledge, discoveries, and innovations, and we engage local and global communities to promote education, health, and quality of life. These contributions, in addition to responsible stewardship of our intellectual, physical, and financial resources ensure the long-term success and viability of the institution.

As the 2016 Mission Statement directly quotes the Four Core Goals of the university, the university interprets mission fulfillment according to the level of fulfillment of the Four Core Goals. In turn, each goal has several concrete objectives that support mission fulfillment. Strategies have been established to realize each of these objectives. Each strategy uses meaningful, assessable, and verifiable performance indicators that track progress toward accomplishment of the strategy. Each performance indicator directly assesses the level of fulfillment of the university mission. The university Four Core Goals, strategies, and performance indicators, and institutional thresholds for each indicator have been previously described in the University of Utah's [Year One Self Evaluation Report](#), submitted to NWCCU on September 15, 2016.

In 2019, the university-wide community joined together to create the [Strategy 2025 roadmap](#) that implements the “One U” approach to the future. As described in the three publicly available Strategy 2025 reports—[Strategy 2025](#), [U of U Health Strategy Refresh](#), and [Educational Futures and Student Success Taskforce](#)—updated mission outcomes and performance metrics were derived from a campus-wide, collaborative vision of the university's mission and Four Core Goals, in concordance with the University's [Core Values](#). The progress of the University of Utah toward realization of the Strategy 2025 Core Goals is outlined in the measurable outcomes section of each of the University Core Goals in the Strategy 2025 Report, and progress toward realization of these outcomes has been [updated](#) as of October 2021.

Shortly after his appointment as the 17th president of the University of Utah in the fall of 2021, President Taylor Randall commissioned the “Operation Bold Transition” task force to review the recommendations and metrics of Strategy 2025 and develop the university's plan for full implementation of the recommendations. With the delivery of the

task force's recommendations to President Randall, the President's Cabinet is operationalizing Strategy 2025 into five-year and 10-year initiatives, metrics, and thresholds in the University Vision Matrix. As the accomplishment of these strategies is a dynamic process, performance indicators of the University Vision Matrix are a work in progress. The university continually evaluates progress toward its goals using these metrics and thresholds, and strategies and resource allocations are continually refined and updated to reflect the achieved progress toward the five- and 10-year goals. In cases where extraordinary progress has resulted in early achievement of the five- and 10-year goals, the President's Cabinet engages with the larger community to reassess how to adjust the metric and threshold to support continuous improvement in the university mission and four goals.

Many of the performance indicators for the University Vision Matrix are derived from the performance indicators described in the U's 2016 Year One Self Evaluation report and performance indicators associated with Strategy 2025. As a consequence, we describe the university's progress in terms of these two legacy sets of indicators: performance indicators on the [Presidential Dashboards](#), and updated [Strategy 2025 performance indicators](#) on the Strategy 2025 webpage.

The university's performance against each mission goal is assessed using well-defined, robust performance indicators representing each objective. The results for each indicator are directly compared to institutional thresholds to provide the most direct method of assessing the university's fulfillment of each mission goal. Many of the institutional thresholds are linked to comparisons of regions and national peer institutions, including members of the Utah State Board of Higher Education, Pac-12 institutions, and national R-1 public research universities. These performance indicators directly measure the level of fulfillment of the objective of each goal. As described under Standard 1.D.3 of this EIE report, we use disaggregated studies of these performance indicators to compare our level of mission fulfillment with our peer institutions. The results of these comparisons are used to make decisions for reallocation of university resources on annual and multi-year timeframes. Figure 9 provides a brief summary of the evaluation of the university's institutional effectiveness according to the Strategy 2025 Presidential Dashboard. Additional performance indicators, data and thresholds are found online on the [Presidential Dashboards](#).

UNIVERSITY CORE GOALS PROGRESS

Updated as of 10/27/2021

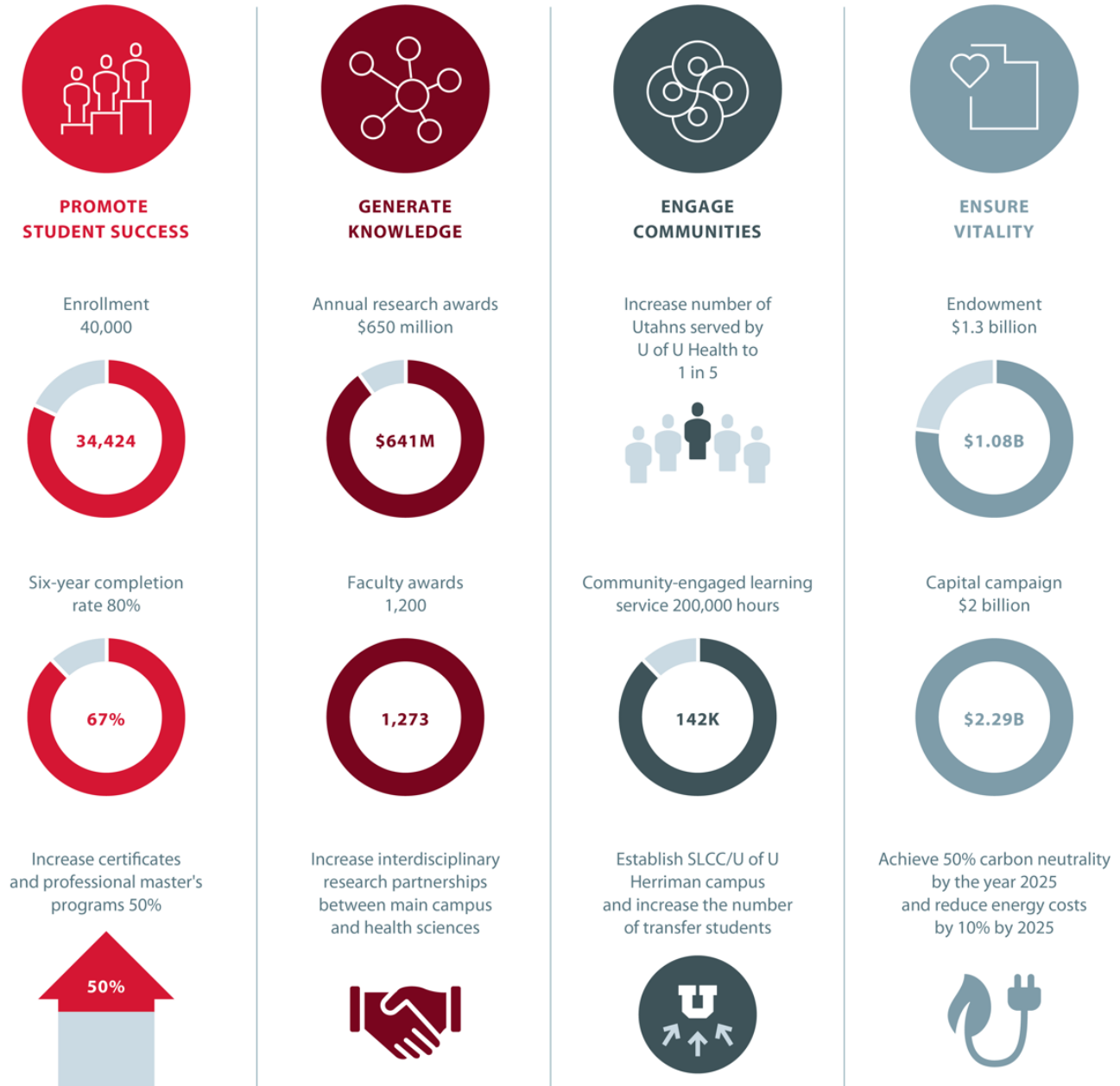


Figure 9: Strategy 2025 performance indicators and progress

Improving Institutional Effectiveness 1.B.3: The institution provides evidence that its planning process is inclusive and offers opportunities for comment by appropriate constituencies, allocates necessary resources, and leads to improvement of institutional effectiveness.

At each monthly meeting of the [Academic Senate](#) (which includes elected representatives of faculty, students, and deans) there are opportunities for stakeholders to participate in governance and comment on planning processes. The president, SVPAA, and SVPHS individually provide a brief report at each Senate meeting and answer questions from attendees. Senate meetings are open, and anyone may attend and take this opportunity to interact with the administration. At each Senate meeting there is a request for new business during which stakeholders can nominate items for Senate discussion or action. As time allows, Senate meetings end with open discussion. At one recent meeting we discussed campus safety and elicited from participants what makes them feel safe, or not, on campus. Another discussion centered on the question of belonging as we considered the impact of racism and bias in our community.

Students are formally integrated into this process. [Associated Students of the University of Utah](#) (ASUU) senators serve as voting members of the Academic Senate in accordance with university regulations and are responsible for studying, researching, questioning, and voicing student opinion on matters brought before the Academic Senate. The ASUU Senate may also propose university policies, procedures, rules and regulations in the Academic Senate. Additionally, the ASUU Senate Chair, along with the student body president/designee, and one student senator, attend monthly meetings of the Academic Senate Executive Committee as members with full voting privileges.

We have established the [Senate Advisory Committee on University Strategic Planning](#), (SACUSP), which is composed primarily of faculty members and chaired by the past president of the Academic Senate. The university president and the two senior vice presidents (or their designees) also serve as ex-officio members. The committee provides advice on aspects of strategic planning for the university. This year, the committee conducted a faculty-wide survey seeking, among other things, input on how departments, colleges, and central administrators can better assist faculty in performing their teaching, research and service responsibilities. The committee provides an annual report to the Senate that is also shared with administration.

In addition to SACUSP, there are 30 [Senate](#) and [University](#) Committees that provide stakeholder input and planning for specific areas of campus policies, operations, and [governance](#). The Senate president and/or president-elect also traditionally sit in on the annual budget meetings where individual college financial priorities, needs, and requests are discussed.

Students are also involved in a variety of planning and decision-making committees at the university as well. The ASUU Director of Campus Relations appoints student members to university boards and committees in coordination with the ASUU president and Academic Senate leadership. This position also facilitates regular meetings between a diverse range of students and both the Vice President for Student Affairs and the Senior Vice President for Academic Affairs. The ASUU president (or designee) serves as a voting member of several formal organizations, including the Utah Student Association, University Board of Trustees, Academic Senate, Academic Executive Committee, U Student Fee Board, Board of Trustees Campus Master Plan Committee, Union Board, U Committee on Student Affairs, and Campus Events Board Advisory Committee. All of these organizations address current and future policy, structural, programmatic, and operational issues at the university. Students also serve on various college or academic department committees that address similar issues on a college or academic department level, as well as other university committees and ad hoc committees that are created by the Academic Senate.

Institutional Effectiveness 1.B.4: The institution monitors its internal and external environments to identify current and emerging patterns, trends, and expectations. Through its governance system it considers such findings to assess its strategic position, define its future direction, and review and revise, as necessary, its mission, planning, intended outcomes of its programs and services, and indicators of achievement of its goals.

The University of Utah has multiple units, working groups, and task forces and engages multiple professional associations and national organizations committed to monitoring internal/external trends, patterns, and expectations. These groups include the American Association of Universities (AAU), the Association of Public Land Grant Universities (APLU) and its Powered by Publics transformation clusters, the American Association of Colleges and Universities (AAC&U), Undergraduate Education at Research Universities (UERU), the Pac-12, the Council on Graduate Schools (CGS), the Western Association of Graduate Schools (WAGS), the Assessment Institute hosted by IUPUI, National Center for the First-Year Experience and Students in Transition, and NWCCU. These higher education leadership organizations maintain governmental relationship offices that provide rapid notification of senior administration regarding emerging national trends and patterns. Ongoing consideration, reflection, and integration of evidence-based practices through active memberships and engagement in these organizations shape the strategic position, directions, and planning of the university in academic and non-academic units alike. The following examples demonstrate the commitment of the university to intentional design, monitoring, and achievement of the goals of a leading research university.

University Government Relations

As the State of Utah's flagship university and only Tier 1 research institute, the University of Utah has a tremendous impact across the state. The [Office of Government Relations](#) (OGR) serves as the University of Utah's principal liaison to local, statewide, and national government and seeks to develop strong, collaborative relationships with policymakers. The office works with public officials to advance the university's priorities as directed by the university president and to advance higher education in Utah as a whole. The OGR maintains a standing physical presence near both the state and federal capitals, including maintaining and distributing a [legislative bill watch](#) when the Utah Legislature is in session. The office advises university leadership regarding emerging trends and opportunities at all levels of government, and also serves to alert leadership about emerging risks to the university. The office is a resource for students, faculty, and others wishing to navigate government issues relating to the University of Utah.

University's COVID-19 HERO Project Leadership

The strong link between financial decision-making and mission fulfillment has allowed the U to nimbly pivot resources to quickly respond to emerging challenges and opportunities. A highly visible example of this capability is embodied in the [Utah Health & Economic Recovery Outreach \(HERO\) Project](#), which established a One U initiative for university faculty and research from main campus and health sciences in response to the COVID-19 pandemic. The Utah HERO Project provides rapid information regarding COVID-19 infection rates and economic impacts to key decision makers in government, healthcare, and industry. The HERO Project develops strategies to help Utah's residents and economy return to normal in a safe and informed way. In April 2022, the [National Bureau of Economic Research Coronavirus Response Report Card](#) ranked the State of Utah as No. 1 in the nation. The report cited Utah's strong economic performance during the pandemic, the rapid development of effective educational delivery policies, and a record of extremely low mortality in the Utah population. The success was a direct result of the university's rapid establishment of the HERO guidance to local and statewide leadership. The guidance led to the development of a collaborative process that linked and balanced the needs and resources of businesses, educational institutions, and healthcare facilities across the state.

Rapid COVID-19 Instructional Pivot

The university's pivot to fully online course delivery in March 2020 in response to the growing coronavirus pandemic provides another demonstrated example of the value of the One U approach. In January 2020, the university formed a COVID [task force](#) in response to the growing threat of rising COVID-19 infection rates to the university's educational, research, and health care missions. Informed by expertise from University of Utah Health and academic Health Sciences leaders and faculty, the task force rapidly developed and disseminated

a comprehensive plan for the safe operation of university business under different levels of COVID risk. This plan included development of training modules and policies for online teaching, and pre-placement of critical technology and network resources in anticipation of a potential fast pivot to fully online telecommuting for faculty and staff. When the number of statewide COVID-19 cases rose dramatically in mid-March 2020, the university pivoted all academic coursework to online modalities during the spring semester break. At the same time, university faculty, staff, and research operations shifted to remote and digital work, with the exception of mission critical operations (for example, facilities, maintenance, laboratory work) that could only be performed on campus by greatly reduced crews and research teams. The University of Utah continues to provide updated guidance and policies regarding safe operations of the campus and community healthcare based upon evolving regional and national trends and policies.

Exceptional Educational Experience (E³) Framework

The [Learning Framework](#) sought to empower students and the institution to articulate, describe, assess, and demonstrate the holistic student experience. The dynamic efforts documented in the university's 2018 Student Success Report, "[Clearing the Path](#)," as well as in the [2018 Mid-Cycle Self-Evaluation to NWCCU](#) refined the Learning Framework—an integration of the learning experience through four foci on community, transformation, knowledge and skills, and impact—into the Exceptional Educational Experience (E³) Framework as the university's strategic approach to an integrated, sustained, and holistic student experience designed *for* and *with* students.

The E³ Framework has emerged through a data-informed, student-driven, and evidence-based approach. Ongoing learning analytics efforts detailed throughout this report (e.g., understanding high DEWI-rated courses through disaggregated data analysis via Civitas, understanding the student perspective through focus groups and more) have motivated the reconceptualization of E³ as the anchor of the student experience. Through continued and future campus conversations including faculty, students, staff, and administrators, E³ will amplify the university's student success agenda in new ways and accelerate the extraordinary improvements in student persistence and graduation seen at the University of Utah over the last decade.

President's Commission on Equity and Belonging

The President's Commission on Equity and Belonging ([PCEB](#)) joins together members of leadership across the university to guide the U's short-term approaches to address harm, bias-motivated violence, and hate on campus.

The PCEB leadership affirms that all members of the U should have an equal opportunity to thrive, and that systems and behavior centered in inclusivity and

equity are essential to ensuring our community has equal access and ability to contribute to the U's mission.

The PCEB is committed to adding to the inclusion and belonging work already underway on campus by offering additional resources and foci on key initiatives. Amongst the PCEB's charge is hosting a Day of Collective Action, strengthening the [Code of Student Rights and Responsibilities](#) (Student Code), enhancing transparency around the Racist & Bias Incident Response Team ([RBIRT](#)) process, and establishing a Community Compact to hold ourselves accountable for making the U an inclusive community.

One U Thriving

Building upon President Emerita Ruth V. Watkins' vision for the future of the One U, and united in serving the people of Utah and the nation as a flagship institution at the forefront of scientific research and innovation, Equity, Diversity, and Inclusion (EDI) launched [One U Thriving](#) as a synergistic approach in developing methods to achieve inclusion and equity throughout the university. One U Thriving fully embraces the daily practices of equity, diversity, and inclusion. It is a platform on which EDI communicates and leads structural change to build a more equitable, diverse, accessible, and inclusive campus where everyone feels a sense of belonging.

One U Thriving is supported by a steering committee with four teams, each designed to courageously name the issues and design equitable and inclusive solutions to address them: Anti-racism Committee, Racist and Bias Incident Response Team, Universal Design and Access Committee, and the Presidential Commission on the Status of Women.

EDI Strategy Council

The purpose of the Equity, Diversity, and Inclusion (EDI) Strategy Council (launched in spring 2022) is to provide direction, support, and oversight for the work of the university to become more diverse, equitable, inclusive, and anti-racist through its policies, practices, and programs.

Our goal in creating the EDI Strategy Council is to bring together members from across campus to become the change agents who center equity at our institution. A successful transformation at this scale will require the complementary approach of a cohesive shared equity leadership vision with unique insights and efforts enacted at the unit levels. The EDI Strategy Council will offer a mechanism to honor current equity strategies while helping them move forward, offering support and guidance to areas that need equity strategies, while bringing our decentralized campus into one organized effort.

EDI Strategy Council Working Groups infuse equity, diversity, and inclusion leadership principles into existing work via four pillars:

1. Ensuring belonging for all: We are boldly determined to create a campus where everyone knows their authentic self is affirmed and supported in order to thrive at the University of Utah and beyond.
2. Fostering an inclusive climate: We will consistently assess the university policies, programs, and practices to ensure a culture that is equitable and inclusive of the diverse individuals represented throughout our community.
3. Amplifying community engagement: We actively cultivate community connections where trust is built and the structural effects of injustice are uprooted to transform the future of the university.
4. Securing health equity: We courageously and creatively develop institutional policies, practices, and programs that eliminate health inequities and ensure all patients and clients achieve equitable health outcomes.

Student Support

The University Counseling Center ([UCC](#)) facilitates and supports the educational mission of the University of Utah. UCC provides developmental, preventive, and therapeutic services and programs that promote the intellectual, emotional, cultural, and social development of University of Utah students. UCC has an ongoing program to assess student mental health needs and accessibility of UCC services and adjust delivery and resources to meet the needs of students. Recent changes to accommodate the rising need for counseling services during the COVID-19 and post-COVID era include the addition of additional counselors, provision of virtual counseling, and development of embedded UCC service counselors in colleges across campus to decrease wait time and tailor services to the unique needs of different colleges and departments. Additionally, Student Success Coaches housed in the Office of Undergraduate Studies—formerly Student Success Advocates—have been redesigned based on the program’s under-performance per several years of student impact data. Student Success Coaches will launch in fall 2022 through an evidence-based training and certification partnership with [InsideTrack](#) and a student strategic communications pilot with [Penji](#) to support various populations of students (e.g., first generation students, low-income students, and more).

Chief Experience Officer

As a result of being a decentralized campus, our students often face an unnecessarily confusing array of services, activities and initiatives. This confusion can lead to prolonged time-to-degree, delayed entry into majors, unnecessary frustration and a diminished overall student experience. In order to address this issue, a new cabinet-level position—Chief Experience Officer—was created by President Randall in Summer 2022. This position was created to help the university better address outside market pressures and internal coordination issues such as siloed systems and disconnected elements of the student lifecycle.

In her inaugural role, Chief Experience Officer Andrea Thomas is tasked with overseeing multidisciplinary teams of designers, data experts and other professionals who will look across, within and outside our organization to better understand the experience from the students' perspective. In this role, Thomas will develop recommendations for strategic change to ensure students can succeed from start to finish with greater ease, deeper learning, and a more memorable experience. She will work with various campus leaders (e.g., senior associate vice president for academic affairs and dean of the Office of Undergraduate Studies; senior associate vice president for enrollment management; vice president for equity, diversity, and inclusion; vice president for student affairs), units and initiatives across the U to enhance the user experience of all Utah students. This team of colleagues will use evidence-based research to identify the bottlenecks and redundancies in our systems, the areas where we're falling short in connecting student services, and ways we can foster collaboration.

Support for graduate students

The Graduate School has developed an ongoing partnership with representatives of graduate and professional students across campus in order to develop strategies to increase graduate student retention and reduce time-to-degree. Critical barriers to student success identified in the past have resulted in streamlining the dissertation approval process, provision of access to graduate student support services online, and the provision of career services across campus for all graduate students. Working with graduate students during the past five years, the graduate student medical insurance program has added vision and dental benefits, gender dysphoria coverage, and most recently, eligibility for domestic partner insurance and an increase in prescription drug coverage from 50 percent to 90 percent of the prescription cost.

In the 2021-22 academic year, the Graduate School worked with graduate students, postdoctoral research associates, the Office of Equal Opportunity and Affirmative Action (OEO/AA), university faculty, the Academic Senate, and university administration to create a paid parental leave policy for graduate students and postdoctoral research associates. The [Graduate Student Parental Leave](#) and [Postdoctoral Fellows Parental Leave](#) policies were approved by the Board of Trustees in June 2022, and became effective July 1, 2022. This policy directly responds to the unique demographics of the graduate and postdoctoral student communities at the University of Utah, which include a substantial number of married students and researchers with young families.

Student Learning: Standards 1.C.1 – 1.C.9

Student Learning 1.C.1: The institution offers programs with appropriate content and rigor that are consistent with its mission, culminate in achievement of clearly defined student learning outcomes that lead to collegiate-level degrees, certificates, or credentials and include designators consistent with program content in recognized fields of study.

The Carnegie Foundation for the Advancement of Teaching classifies the University of Utah as a large four-year public research university with very high research activity. The undergraduate program is classified as balanced (arts & sciences/professions, with high graduate coexistence), and the graduate program is listed as comprehensive doctoral with a medical school. A comprehensive searchable list of undergraduate and graduate degrees, minors, and certificates offered by the university is published in the online [catalog](#), illustrating the balance of academic programs across traditional disciplines.

The creation of each new academic program is accomplished by a rigorous process of proposal and review, starting in the academic department and college and then progressing to the Undergraduate Council or Graduate Council (as appropriate), the senior vice president (Academic Affairs or Health Sciences), approval by the Academic Senate and Board of Trustees, and, ultimately, notification of the State Board of Higher Education and NWCCU. All degree programs articulate a clearly defined set of expected learning outcomes as well as the plan and measures used to assess learning outcomes and are supported in the assessment process by LAOA. These outcomes are then mapped to the Exceptional Educational Experience (E³) Framework institutional outcomes. Institutional assessments of program effectiveness and achievement of student learning outcomes are performed by the [Graduate Council](#) or [Undergraduate Council](#) (as appropriate) on a seven-year [cycle](#). An extensive discussion of the sequencing of learning activities in individual programs, and the demonstration of the rigor of learning using student learning and program assessment is described under Standards 1.C.2 and 1.C.5 of this report.

Degree designators are assigned according to the depth and breadth of the degree curriculum according to requirements established by the policies of the Utah State Board of Higher Education. These policies include minimum requirements for number of credit hours to carry different degree designations, general education and bachelor's degree requirements, requirements for graduate degrees, post-baccalaureate certificates, and postdoctoral certificates. The USHE degree designations and requirements are consistent with national standards. The university maintains curriculum and learning outcomes for specialized accredited professional and other academic degrees leading to degree designations consistent with accrediting body standards.

Student Learning 1.C.2: The institution awards credit, degrees, certificates, or credentials for programs that are based upon student learning and learning outcomes that offer an appropriate breadth, depth, sequencing, and synthesis of learning.

All academic programs are subject to rigorous internal review and subsequent external review by chief academic officers of other Utah System of Higher Education institutions at the time they undergo approval by the Utah Board of Higher Education. This process ensures high quality design, demonstrated need, financial sustainability, and learning outcomes that reflect generally accepted learning outcomes in higher education. In addition, many programs undergo ongoing periodic external review for specialized accreditation. The Graduate and Undergraduate councils are charged with conducting ongoing reviews of academic programs throughout the university on a seven-year cycle to ensure that credit and degrees are being awarded in a manner consistent with university policies. Each review begins with preparation of a departmental self-study document, two site visits by teams of internal reviewers and external reviewers, input from the department chair and dean, preparation of a summary report by the respective council, and a wrap-up meeting with the department chair, dean, and cognizant senior vice president to identify action items in response to the recommendations of the review and craft a Memorandum of Understanding between the university and the department. The [Graduate Council Program Reviews guide](#) contains a summary of the review procedures, which are also followed by the Undergraduate Council. Documentation of program reviews are maintained by the Graduate School for all programs except those having only an undergraduate component (e.g., the Honors College), which are maintained in Undergraduate Studies.

Degree programs follow depth, breadth, and course sequencing standards as determined by specialized accreditation requirements or, in programs without specialized accreditation, the depth, breadth, and sequencing of nationally recognized programs of study. As described under Standard 1.C.3, both degree/certificate program learning outcomes and course learning outcomes are published for every degree and certificate offered by the university, and are linked to student transcripts through explicit articulation in the [University Catalog](#). The program learning outcomes, course requirements and sequencing are periodically reviewed to align with national trends through ongoing curricular review at the department level and external reviews on the seven-year cycle.

Sample programs of study have been created for every bachelor and graduate degree program. Learning outcomes of each course in a program are mapped to ensure the program learning outcomes are achieved. The programs of study outline a suggested sequencing of courses that can be found on the major pages of the [General Catalog](#). The curricular design of undergraduate and graduate programs is presented on the websites and [graduate program handbooks](#) of the individual departments offering the degrees and certificates. These documents are reviewed by the Graduate or

Undergraduate council as part of the seven-year cycle of program reviews to ensure that programs are up-to-date and offered with the appropriate level of academic rigor. As part of the seven-year review cycle, Student Learning Outcomes and the results of outcomes assessment are explicitly reviewed, according to university policy. The Office of Admissions publishes [specific admissions requirements](#) for undergraduate and graduate study.

Graduation requirements for baccalaureate degrees are published in the university's [General Catalog](#), which includes major requirements for every degree. The Office of Undergraduate Studies maintains a detailed description of [General Education and Baccalaureate Degree requirements](#). In addition, every undergraduate student can access the Degree Audit Requirements System ([DARS](#)) in the Campus Information System, which allows students to run degree audits upon request, including “what-if” queries to test the effects of changing or adding majors and minors.

Graduate students are required to develop an official program of study to satisfy the requirements of the degree for which they have been admitted. The requirements of the program of study are explicitly outlined in the [program handbook](#) for each graduate degree and certificate. The program of study is entered into the Graduate Records Tracking System, which can be viewed by the student in the Campus Information System. Students can conduct graduation audits to determine which degree requirements remain to be satisfied prior to graduation.

Student Learning 1.C.3: The institution identifies and publishes expected program and degree learning outcomes for all degrees, certificates, and credentials. Information on expected student learning outcomes for all courses is provided to enrolled students.

Expected learning outcomes for each degree program are published in the [University Catalog](#) at the end of each degree description. University [regulations](#) require that course descriptions, which are published in course syllabi and distributed to enrolled students, clearly state the learning outcomes and activities that are essential to the award of credit. The Martha Bradley Evans Center for Teaching Excellence ([CTE](#)) publishes a [guide](#) to the creation of course syllabi that are in compliance with university regulations and best academic practices.

The Undergraduate Council requires courses fulfilling a General Education or bachelor's degree requirement to have syllabi that indicate which General Education learning outcome is addressed.

Programs enter their program-level outcomes and are mapped to institutional level outcomes in our Curriculum Management system (Kuali CM), and they are displayed in the program pages in the [catalog](#). Program changes are approved by the relevant department and college curriculum committees. Degree learning outcomes are published on the [Program pages in the General Catalog](#).

Course-level learning outcomes and objectives of a course are published in the course syllabus, per [University of Utah policy 6-100](#). Syllabi are made available to students for their enrolled courses at least one week prior to the first day of class (6-100.C.5).

The university is committed to the use of articulated student learning outcomes and assessment for every course, degree program and certificate offered by the university. The Office of Learning Analytics and Outcomes Assessment ([LAOA](#)) in Undergraduate Studies consults with academic departments around the campus to comply with the portion of University Policy 6-001 that requires departments to have an active curriculum management plan that includes direct assessment of student learning during the three- and five-year milestones of their seven-year program review cycle. Academic units are required to provide interim reports and the seven-year report to LAOA; the seven-year report is also included in the Graduate Council seven-year program review self-study. LAOA manages a [website](#) with helpful materials on conducting learning outcomes assessments. LAOA also meets with curriculum committees and leadership of departments and colleges to brainstorm and discuss good assessment practice, and to review drafts and reports.

Student Learning 1.C.4: The institution's admission and completion or graduation requirements are clearly defined, widely published, and easily accessible to students and the public.

The University of Utah's admissions requirements are clearly defined, widely published, and easily accessible to students and the public on the [Admissions webpages](#). Students and the public can find information based on their type of application and/or situation. [Freshman student admissions](#), [international student admissions](#), [graduate student admissions](#), and [transfer student admissions](#) each maintain a helpful website detailing the requirements unique to these programs and/or student populations. In addition to these published requirements, students can easily connect with an admissions counselor who can provide answers to all applicants, including those with unique or less common situations. Checklists are available to students through these webpages and an integrated set of [Major Maps](#) have been developed to support students' exploration of programs of study from student-centered, academic planning and co-curricular as well as experiential components of the student experience.

Graduation requirements are publicly accessible in the University of Utah general catalog and on an [Office of the Registrar's webpage](#). The graduation requirements are updated as required through proposals and annual updates in the [Curriculum Administration's](#) Quali management system. Quali automatically handles approval workflows through the Undergraduate/Graduate Council, Academic Senate, Senior Administration, and Board of Trustees/USBHE. Curriculum management/Quali automatically updates the Registrar for necessary changes as they are approved.

Students can monitor their individual progress toward graduation and graduation planning using the [DARS system](#) (undergraduate) or the [Graduate Student Tracking System](#) (graduate students). These websites are available to individual students when they log into the [Campus Information System \(CIS\)](#) with a university ID and password.

Student Learning 1.C.5: The institution engages in an effective system of assessment to evaluate the quality of learning in its programs. The institution recognizes the central role of faculty to establish curricula, assess student learning, and improve instructional programs.

The university has a long-established seven-year program review cycle (see Standard 1.B.1, [Figure 4](#)) that is required for all degree programs. Section 5 of the seven-year program review requires the departments to describe their learning assessment process, findings from their assessment of their learning outcomes, and curricular and other changes undertaken in response to the learning outcomes assessments.

In 2015, the University of Utah received the following recommendation during its seven-year internal review:

The evaluation committee recommends that the University of Utah allocate additional financial resources for measurable, direct student learning outcomes (Standards 2.C.1 and 2.C.2).

In response to Year Seven Commissioner's Recommendation 2, the university has invested resources in assessment that resulted in all of the changes described in the rest of this section, all of which are toward the creation of, accomplishment, and assessment of direct, measurable student learning outcomes.

In 2016, the Office of Learning Outcomes Assessment (now referred to as Learning Analytics and Outcomes Assessment—LAOA) was created, with Mark St. Andre and Ann Darling appointed as co-directors. This office was charged with developing and embedding direct, robust student learning outcomes and the assessment of those outcomes into the curricular management of each academic program across campus.

Also during 2016, the university invested in the purchase of the Quali software system for integrating Curriculum Management with Learning Outcomes Assessment Reporting.

In 2017, the university developed the Learning Framework as a set of university-wide outcomes that we want all students to achieve. Departments and programs are referred to the Framework when developing or revisiting their learning outcomes and are asked to make sure their outcomes cover and are mapped to the university-level outcomes in the Framework. As such, the Framework is used in discussions that LAOA has with departments and programs in the design and assessment of their student learning outcomes.

In 2017, to improve the frequency and usefulness of assessment in their program review cycle, the institution updated the curriculum management section of Policy 6-100 to require departments to submit two interim reports on their assessment of program-level learning outcomes during the seven-year review period. The policy suggests that these reports be submitted in the third or fifth year in the cycle, but that is left up to departments to decide as long as there are two interim reports and a final assessment report (Section 5) that is part of the seven-year program review. The assessment of program-level outcomes in the departments is a process that is approved and implemented by the faculty.

This change in policy has significantly improved the overall quality and frequency of program-level assessment. The Office of LAOA in the Office of Undergraduate Studies has been the primary office through which this new policy has been implemented for undergraduate programs. LAOA is in regular communication with departments each year if they are in the third or fifth year of their program review cycle or one year away from their seven-year program review. LAOA reaches out to departments to make sure they are on track to complete these interim assessments of their learning outcomes and offer consultation or access to assessment tools (see below) if it would help departments implement their assessment plans.

LAOA began keeping track of the submission of assessment plans and third- and fifth-year learning outcomes assessment reports for undergraduate programs in 2018, after the learning outcomes assessment policy was updated in April 2017. LAOA created a reporting table and website to keep track of these submissions so compliance with the policy could be tracked and examples could be provided to other departments who were looking for help in getting their own assessment work started.

The report table lists the assessment plan for each program (see example in [Figure 12](#)) as well as the third-, fifth-, and seventh-year reports that are available, organized by the year in which they are due for each department. If a department has a disciplinary accreditation that requires assessment of outcomes, those documents are provided and displayed in lieu of the required interim reports.

This assessment plan and report table serves as a tracking tool for LAOA, a reminder to departments about when they need to complete their reports (and if they have fallen behind), and a resource for faculty to look at examples of reports from other departments.

Beginning in 2017 (and discussed in the university's mid-cycle review in 2018), the university invested resources in hiring two developers to begin building two tools to help facilitate and reduce the work necessary to assess learning outcomes using direct evidence from student work. These tools integrate with our curriculum management and course management systems to identify assignments and organize them for assessment in a new assessment ecosystem. These tools, now fully functioning and deployed for free use around the university, are called the Learning Outcomes Associator and the Learning Outcomes Reviewer.

The Learning Outcomes Associator (“The Associator”)

A prototype of this tool was shown to visiting accreditors during the University of Utah’s 2018 NWCCU mid-cycle visit. We have since completed development of this tool and it has been used by more than a dozen departments. The Associator is a simple tool that can be added to a Canvas course that imports the program-level learning outcomes for whatever program/s the course is associated with. The Associator displays the program outcomes and the assignments for the course alongside each other and allows the user to make associations between them. These associations are then stored in a database, where they can be accessed for assessment purposes in a separate application called The Learning Outcomes Reviewer.

The Learning Outcomes Reviewer (“The Reviewer”)

This is a standalone website that allows the user to design an assessment of a program-level learning outcome. Users log in with their university credentials and are given access to their own department/program and its outcomes. Using the Reviewer, an assessment coordinator can do the following:

1. Select the number of student artifacts they want to evaluate
2. Preview the pieces of student work
3. Design rubrics to use for evaluating the student work
4. Assign faculty
5. Email faculty their assignments
6. View graphical reports on the results of the assessment.

In addition to the two tools described above, in 2021 the University of Utah also began developing a way to visualize the relationship between program-level learning outcomes and the Learning Framework (now the Exceptional Educational Experience [or E³] Framework). This new tool is called the Learning Outcomes Visualizer:

The Learning Outcomes Visualizer (“The Visualizer”)

This tool is a graphical display of the connections between program-level learning outcomes, the courses that are used to inform those outcomes, and the university-wide learning outcomes described by the Learning Framework. As more departments map their departmental learning outcomes to the Learning Framework the Visualizer is getting populated with the connections and will eventually paint a complete picture of the relationship between the Learning Framework goals, program-level outcomes, courses, and the assignments and assessments being conducted to measure those outcomes.

LEARNING OUTCOMES ECOSYSTEM

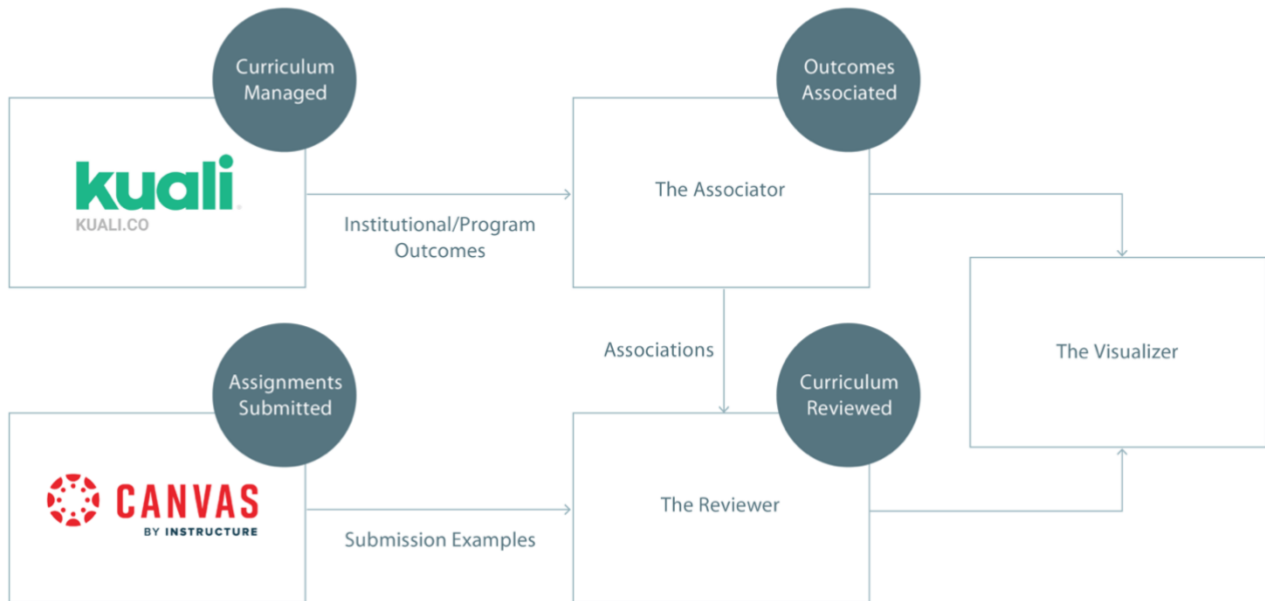


Figure 10: Learning Outcomes Ecosystem tools

These three tools constitute our Learning Outcomes Ecosystem. Screen shot [videos](#) and slides of the Associator and Reviewer are available, as well data from the [Visualizer](#). LAOA also hosts a faculty-led Learning Outcomes Assessment Workshop each semester in which four faculty members give presentations on the assessment of their program's learning outcomes. These presentations range from brainstorming about re-writing learning outcomes to presentations of final reports. The goal of these workshops is to create a culture of assessment by discussing expectations, conversations, and language around the assessment of learning outcomes.

LAOA has been running these workshops every semester (except for two semesters) for the past five years, with an average participation of around 60 faculty members over the past two years. As evidence of the creation of our culture of assessment, we have not had two presentations from the same department.

Videos and/or copies of all of the presentations that have been made over the past five years can be found on the [Learning Outcomes Assessment Workshop](#) Canvas page, to which LAOA regularly refers faculty members. Those presentations are organized by discipline so that faculty can see presentations and get ideas from faculty in their college. We believe this is strong evidence that the assessment process we have put in place is "faculty owned" and "faculty led."

The creation of the Learning Outcomes Ecosystem and the Learning Outcomes Assessment Workshop series, along with our website of educational materials on assessment and the policy requiring two interim and one final report during the seven-year program review window have helped create a culture of assessment on our campus that has momentum. Our Learning Outcomes Ecosystem tools have also generated interest at conferences and we are now in talks to work with other campuses to potentially share this technology to help further develop its usefulness to other universities.

The LAOA office has also formed an Assessment Consortium among assessment professionals at other Pac-12 universities to share best practices and ideas around the challenges and opportunities that assessment provides. LAOA has hosted four meetings of this group over the past three years, and several members of the Pac-12 Assessment Consortium have attended LAOA's last two Learning Outcomes Assessment Workshops (Fall 2021 and Spring 2022).

Student Learning 1.C.6: Consistent with its mission, the institution establishes and assesses, across all associate and bachelor level programs or within a General Education curriculum, institutional learning outcomes and/or core competencies. Examples of such learning outcomes and competencies include, but are not limited to, effective communication skills, global awareness, cultural sensitivity, scientific and quantitative reasoning, critical analysis and logical thinking, problem solving, and/or information literacy.

The University of Utah adopted the VALUE Rubrics from the American Association of Colleges and Universities (AAC&U) in 2008. With 13 available learning outcomes and more than 1,300 courses carrying designations at the time, systematic mapping and assessment was fraught. The Office of General Education did engage in learning outcome assessment in 2015, 2016, and 2017 and the results suggested a need to reduce the number of learning outcomes, reduce the number of courses carrying designations, and engage in systematic alignment across the U.

In the summer of 2018, a university team attended an AAC&U Summer Institute on General Education (GE) with the goal to reimagine the GE experience at the University of Utah. The team set out to intentionally shift the university's approach toward considering GE at a curricular rather than course-by-course level and to identify a coherent vision that could be translated into clear and easily codified learning outcomes, all while focusing on the student experience.

This new approach invited the opportunity to contemplate GE as the university's curriculum that serves all undergraduate students at the university and, thus, required purposefully aligning GE at a higher level. The team considered university-wide goals—community, knowledge and skills, impact, and transformation—as articulated by the university's [Learning Framework](#), institutional policies, accreditation requirements, and

learning outcomes that prepare students with the skills, aptitudes, and perspectives needed to succeed in a changing society.

This resulted in the articulation of five unique GE Learning Outcomes (GELOs) that are situated at the [intersections](#) of the Learning Framework: the abilities to collaborate effectively, respond ethically, persist in addressing complex problems, respond creatively, and actualize and contribute. The General Education Curriculum Committee developed rubrics for each of these outcomes similar to and incorporating pieces of the AAC&U VALUE Rubrics.

The GELOs provide language for communicating a coherent narrative about the purpose of the Exceptional Education curriculum at the university. They are transparent to students and advisors, providing the opportunity to personalize and author the learning experience. They support development and assessment of a meaningful and coherent curriculum and further institutional goals.

The full rollout of the GELOs was delayed by the pandemic. In addition, changes in multiple levels of leadership now provide the opportunity to reimagine General Education as Exceptional Education at the University of Utah. Specific next steps toward this goal include:

- Collaborating with colleges and departments to ensure a robust set of course offerings at the appropriate levels that are fully accessible to first-year students, support meaningful exploration, and are consistent with USHE expectations around common course numbering.
- Systematically mapping the GELOs to all courses carrying designations.
- Via the Associator and with the support of LAOA, linking appropriate assignments to the GELOs to facilitate learning outcome assessment across Exceptional Education to facilitate assessment of the GELOs.
- Including GELOs on the class schedule so that advisors and students can search by outcome and not solely by designation to better craft students' learning experiences.
- Revising the course proposal and review processes for courses seeking GE or bachelor's degree designations to support the shift to Exceptional Education.
- Via The Utah Experience, incorporating experiential learning opportunities for all undergraduate students in their first 60 credit hours at the university to facilitate connection to other students, faculty, staff, the institution and, ultimately, to increase persistence and completion.
- Via the Martha Bradley Evans Center for Teaching Excellence, designing comprehensive faculty development opportunities to ensure high quality pedagogy and assessment practices.

The rollout of the GELOs will begin with meetings with colleges and departments during fall semester 2022. During fall semester, the General Education Curriculum Committee will review and propose changes to the GE and baccalaureate requirements which are expected to be approved and require a year of curricular restructuring before

implementation. We project the GELOs will go into effect during fall semester 2024. We anticipate that the GELO mapping process will be completed by the end of AY 24-25.

Student Learning 1.C.7: The institution uses the results of its assessment efforts to inform academic and learning-support planning and practices to continuously improve student learning outcomes.

Departments throughout campus are engaged in assessing their own program-level learning outcomes. This process allows them to understand the degree to which students are completing their programs with the knowledge, skills, and abilities that are reflected in their outcomes. If students are falling short of these outcomes, departments and programs can use these results to improve their programming through increased funding and resources for students, including improved classroom content or tutoring.

The three examples of program-level learning outcomes assessment reports included in the Appendix—Lower Division Writing Requirement Third-Year Report, the Department of Math’s Fifth-Year Report, and the Department of Communication’s Fifth-Year Report—all utilized assessment results to bring attention to programs or classes that needed to be improved to help students be successful. A separate document, “Recommended Changes from Example Assessment Reports” is included in the Appendix to bring attention to those assessment recommendations.

One of our institution-wide assessment efforts this academic year (2021-22) is studying the courses in which students have the highest rates of D and E grades, withdrawals, and incompletes (DEWI). The Office of Learning Analytics and Outcomes Assessment (LAOA) (see full description in [Figure 15](#) below) is disaggregating and studying those courses so we have a thorough understanding of which students are having trouble. We will design interventions and programming, largely through our Martha Bradley Evans Center for Teaching Excellence (CTE) and the Learning Center, to help those students be more successful.

Outside of the classroom, the university’s support services and offices assess students’ learning outcomes and aim to support students’ academic success as well. Broadly, our [Student Affairs’ Department of Assessment and Analytics](#) plans to connect results from institution-wide surveys with data on students’ academic measures of persistence and success. The Graduating Student Survey and the National Survey of Student Engagement collect data about students’ involvement in co-curricular activities, perceptions on sense of belonging, and satisfaction with their overall experience at the University of Utah. Going forward, the department will connect information about co-curricular involvement with cumulative GPA, academic standing, and graduation status to better understand the connection between this type of involvement/engagement and students’ academic achievements.

Additionally, Student Affairs is working to partner with Undergraduate Studies to use technology to assess the probability that students will persist and graduate based on academic, demographic, internal, and external factors. Student Affairs' Assessment and Analytics Department will add data points on co-curricular involvement and utilization of certain services that will act as independent variables in regression algorithms to calculate persistence and graduation. This information will allow Student Affairs to better understand the effects of involvement/use of its services on these academic outcomes.

Each Student Affairs department is responsible for assessing its programs and offerings to inform learning-support planning and practices to continuously improve student learning outcomes. Some examples of these include:

The Center for Student Wellness

[The Center for Student Wellness](#) is the primary education and wellness resource office at the university. It administers a satisfaction and feedback survey to students who use its services. Based on these results, the center launched support groups and support spaces for survivors of interpersonal violence.

Financial Wellness Center

Based on one-month follow-up questionnaires sent to students who used the [Financial Wellness Center](#)'s one-on-one counseling services, 78 percent reported being able to work toward or accomplish the goals established during the appointment. The same amount also reported that the service helped them continue toward graduation. More than 83 percent indicated that their stress level decreased as a result of visiting the Financial Wellness Center.

University Counseling Center

The [University Counseling Center](#) uses the Counseling Center Assessment of Psychological Symptoms (CCAPS) tool and asks students to complete it at the time of intake and at every follow-up appointment. Of those who participated, 45 percent reported some level of academic distress—the fourth most commonly reported concern by students after depression, anxiety, and stress. This data, along with client feedback, informed the center's development of a learning support workshop called Mental Coaching for Success, a free workshop designed to help students gain practical skills to help with planning, organization, time management, focus, and avoiding procrastination.

Campus Recreation Services

The Fitness Program Participation Survey, administered by [Campus Recreation Services](#), found that 99 percent of participants left their fitness class feeling less stressed and more focused, strongly supporting the program's benefit for overall health and quality of life and its ongoing commitment to development of the complete individual.

Undergraduate Housing

Students who [live](#) on campus during their first year are, on average, 12 percent more likely to graduate, after controlling for a variety of factors. Additionally, students who live on campus are retained at a higher percentage than those who live off campus. To help increase the number of students who are able to reap this benefit, the university is growing housing capacity by more than 1,200 units over the next two years, which is in addition to the 5,000 already available, with many more planned in the coming years.

Undergraduate and graduate advisors are annually trained on the availability of these student resources. The advising teams inform students about the availability of these resources in periodic student town halls, individual advising sessions, departmental webpages and emails, and program handbooks. The advising teams are also actively engaged in assessing the quality of these support services, and suggesting changes that lead to continuous improvement.

Student Learning 1.C.8: Transfer credit and credit for prior learning is accepted according to clearly defined, widely published and easily accessible policies that provide adequate safeguards to ensure academic quality. In accepting transfer credit, the receiving institution ensures that such credit is appropriate for its programs and comparable in nature, content, academic rigor, and quality.

Acceptance of transfer credits at the University of Utah depends upon the quality of instruction from the sending institution, comparability of the nature, content, and level of credit earned, and appropriateness and applicability of credit to the university and the student's educational goals. For undergraduate-level courses, in accordance with University Regulation [6-100](#), the Academic Senate approves rules regarding acceptance of transfer credit based on recommendations made by the [Credits and Admissions Committee](#). The committee is composed of 11 voting members, including nine faculty members and two student representatives. It has the authority to determine admissions policies, including the acceptance of transfer and prior-learning credit for undergraduate students. Transfer/prior learning credit policies are clearly articulated on the [Office of Admissions website](#).

University of Utah policies are available online through the [University Regulations Library](#). Utah Board of Higher Education policies are available through the [state website](#). The rules and guidelines regarding transfer credits are available on the Office of Admissions transfer student [website](#).

The Utah Board of Higher Education has developed an unusually strong system of common course numbering, course articulation, and credit transfer, particularly for courses that satisfy General Education degree requirements. Some aspects of

institutional practices for transfer of credit are dictated statewide by the Utah Board of Higher Education's policies governing the transfer of credit. To ensure currency in implementing the statewide Board of Higher Education policies, faculty and staff from the University of Utah participate in annual "Majors Meetings" to discuss common courses and course materials being used at all institutions within the Utah System of Higher Education and to facilitate mobility of students. Articulation guides regarding specific agreements are maintained by the Office of Undergraduate Studies and are posted online. The Utah Board of Higher Education has also created the [Utah Transfer Guide](#).

The University of Utah follows the American Council on Education (ACE) [Military Guide](#) to determine credit based on military training and occupations and will award credit that is ACE-recommended and parallel to coursework taught at the university.

A [petition process](#) is available for all students with coursework that was not initially accepted by the University of Utah through the Office of Admissions. Course descriptions and syllabi are provided to the Office of Admissions and are forwarded to the appropriate academic department for special consideration. Credit is posted to a student's record with departmental approval and recommendation. If credit is denied, students are notified that the department will not articulate the credit.

For graduate programs, Graduate School policy limits the transfer of graduate credits from another institution to a maximum of six semester credit hours, subject to evaluation and recommendation by the director of Graduate Studies of the program and approval by the dean of the Graduate School. Graduate School [policy](#) allows up to six semester hours or two courses from the University of Utah (taken as a non-matriculated undergraduate student) to be counted towards a graduate degree, or up to 15 graduate credits from the University of Utah (taken as a non-matriculated graduate student). The acceptance of these credits is subject to evaluation and recommendation by the director of Graduate Studies of the program and approval by the dean of the Graduate School. A graduate student must earn half or more of their required graduate degree program credits as a matriculated graduate student at the University of Utah.

Student Learning 1.C.9: The institution's graduate programs are consistent with its mission, are in keeping with the expectations of its respective disciplines and professions, and are described through nomenclature that is appropriate to the levels of graduate and professional degrees offered. The graduate programs differ from undergraduate programs by requiring, among other things, greater: depth of study; demands on student intellectual or creative capacities; knowledge of the literature of the field; and ongoing student engagement in research, scholarship, creative expression, and/or relevant professional practice.

As a comprehensive doctorate-granting university with very high research activity, the University of Utah offers [312 graduate degree programs and 88 graduate certificates](#) consistent with its institutional mission. The names, descriptions, curricular designs and expected learning outcomes for these degrees are in harmony with similar programs at peer institutions. For example, all of the Ph.D. programs offered by the university are consistent with the educational taxonomy utilized by the National Research Council in its [Data-Based Assessment of Research Doctorate Programs in the United States](#).

For many years, it has been the practice of the University of Utah to program curricular design, relying in the first instance on department- and college-level expertise in specific disciplines and professions. The Graduate School, through the policy-making [authority](#) of the Graduate Council, supports departments and academic units to preserve and enhance the highest standards of excellence in their individual disciplines. Each department establishes policies that are enforced through the regulatory power of the Graduate School (admissions criteria and degree requirements). The Graduate School maintains a uniform set of university-wide policies ([Graduate School Policies](#)) that ensure each graduate program maintains quality standards for graduate education at the university. Graduate School policies are continuously reviewed and updated by the [Graduate Council](#).

The Graduate Council relies heavily on the expertise of external reviewers, professional societies, specialized accreditation commissions, and national rankings for indicators of the academic rigor, quality, and standards of individual units, degrees and programs. Each proposed new graduate degree or 'emphasis' goes through a demanding multi-level approval process coordinated by the Graduate Council. The Graduate Council approval process requires clear articulation of graduate-level learning outcomes that advance the education of a baccalaureate student. The Graduate Council approval process also requires articulation of well-defined admissions requirements that require completion of a four-year baccalaureate degree from a regionally accredited college or university with a minimum 3.0 GPA in order to qualify for university admission to the program. The undergraduate coursework in each degree program is evaluated to ensure adequate preparation is in place so that the student will have a foundation for successfully mastering the more advanced graduate learning outcomes. For existing programs, potential problems are identified and remediated through the system of Graduate Council seven-year cyclical program review. These exhaustive processes for initial approval and regular reexamination ensure that each graduate program is rigorous, reflects national and international norms within a discipline, and provides a graduate educational experience that is substantially deeper and more advanced than a baccalaureate degree experience.

Student Achievement: Standards 1.D.1 – 1.D.4

Student Achievement 1.D.1: Consistent with its mission, the institution recruits and admits students with the potential to benefit from its educational programs. It orients students to ensure they understand the requirements related to their programs of study and receive timely, useful, and accurate information and advice about relevant academic requirements, including graduation and transfer policies.

At the undergraduate level, admission to the University of Utah is governed by University Policy [6-404](#), and is based on an individualized holistic evaluation process. The holistic evaluation process focuses on factors that the university has determined to have bearing on the success of the applicant as well as identifies their valuable contributions to the campus community. These are evaluated through an applicant's excellence in academic achievement, intellectual pursuits, and creative endeavors; an understanding of and respect for historically underrepresented populations; significant commitment to service to others through public service activities, community engagement, leadership, or familial responsibilities; integrity, personal maturity, motivation, and resiliency; and the ability to contribute to and benefit from a culturally diverse learning community.

The objective of the [Office of Admissions](#) is to admit an undergraduate student body of highly qualified, intellectually curious, diverse and actively involved students. The university is committed to providing excellence in its teaching/learning environment, to promoting high levels of student achievement, and to offering appropriate academic support services. By identifying students with outstanding potential and fostering continued personal development in the classroom and the community, the University of Utah expects that future leaders of the state, the region, the nation, and the global community will emerge among its alumni.

Completion of [new student orientation](#) is required for new undergraduates, both freshmen and transfer students. Orientation provides information about university academic requirements and co-curricular activities. During these sessions, all students meet with academic advisors from specific colleges if their major is known and with the [Academic Advising Center](#) if they are exploring. In addition, to address issues of students delaying declaring a major and or changing majors, we require a proactive first-year advising requirement prior to registering for second semester classes and prior to a 45 credit hours threshold. To address the issue of students understanding what a major is and what is entailed we have developed [Major Maps](#) that students can use to browse majors and see what is relevant to their interests. This was designed with students to address their needs to understand and map their academic futures alongside their academic advisor. Student and parental [feedback](#) from the annual

orientation is [solicited](#) and used for continuous improvement of future event programming.

In response to reduced availability of standardized testing due to COVID-19, the university [dropped](#) SAT/ACT test requirements for applicants beginning with the Fall 2021 admissions cohort. The two-year pilot has been extended through the Fall 2023 admissions cycle. One direct result of this was the need to develop alternate strategies for student placement into coursework that previously relied on test scores—specifically, writing and math. Language placement has remained unchanged.

Writing Placement

Students are given the autonomy to complete their writing requirement with either a one or two semester course sequence (WRTG 1010 and WRTG 2010, or WRTG 2010). To assist with the decision, the Writing Program has developed an Informed Self-Placement ([ISP](#)) process that guides the student through an informative self-reflective process. Academic advisors and writing placement consultants are also available to assist students who are unsure what option is best suited for their needs.

Math Placement

Entry into math courses up to and including first level calculus is also by ISP. A series of videos were developed to help new students determine their [optimal placement](#); students who are unsure of their placement can meet with an academic advisor, use a prior ACT or SAT score, or take an Accuplacer test on campus.

Language Placement

Students needing to demonstrate language proficiency are required to take a placement test unless they have a score of three or higher on an Advanced Placement World Language Exam, self-identify as a heritage speaker, or have extensive experience in the target language.

Accommodations

Students with documented disabilities can pursue a substitution of the Quantitative Literacy (math) or the Bachelor of Arts language requirement through the [Center for Disability & Access](#) and their major department.

Graduate and Professional Degrees

Student recruitment and admission to graduate degree programs are a shared responsibility between the Graduate School, the Office of Admissions, and individual departments and programs. The Graduate School sets minimum standards for admission to programs, while the Office of Admissions processes admission applications for all programs except JD and MD. For admission to graduate degree programs, the Graduate Council establishes minimum qualifications, including an earned baccalaureate degree from an accredited institution, a minimum grade point

average of 3.0, and a level of English language proficiency equivalent to a TOEFL iBT score of 80 or better. Each application is reviewed by a committee of departmental or program faculty, which makes recommendations for admission that are consistent with program capacity and program goals for academic excellence and diversity.

[Readmissions](#) regulations are provided for under Policy [6-404](#). Programs review applications and make recommendations to the Office of Admissions for admission.

Once admitted, graduate and professional students receive information on orientation and advising directly from the academic program (usually the director of Graduate Studies or the graduate program coordinator). International students receive specialized advising and orientation from [International Student & Scholar Services](#) and the [Graduate School International Teaching Assistant Program](#) to ensure a smooth transition to graduate study as well as compliance with federal immigration and visa regulations.

The [Code of Student Rights and Responsibilities](#) clearly specifies the university standards and procedures for termination from an academic program or from the university. In addition, each department/college maintains a policy regarding the minimum academic requirement necessary to remain a student in good standing. The minimum GPA necessary to remain a student in good standing as an undergraduate student is published on the [Academic Advising Center](#) website, while the university standard for graduate students is published on the Graduate School's [website](#). Each graduate department is responsible for defining and publishing standards for maintaining good standing in their graduate degree programs. These standards include timing of coursework, mandatory exams, dissertation progress, and time to degree. These standards are included in the graduate program [handbook](#) for each program across campus.

In April 2022, the [Student Code](#) was updated to hold violators accountable for bias and prejudice-motivated behaviors.

These changes included:

- Adjusting the definition of discrimination and harassment and adding language to cover bias- or prejudice-motivated behaviors against members of a protected class so this language reflects the university's existing nondiscrimination policy, which now includes: race, ethnicity, color, religion, national origin, sex, sexual orientation, gender identity/expression, age, pregnancy, pregnancy-related conditions, genetic information, or status as an individual with a disability or a protected veteran.
- Adding framing language to explain the rationale for why violations motivated by bias or prejudice can receive enhanced sanctions.
- Adding "property of others" to be protected from attempted or actual theft, damage, or misuse.
- Adding language to direct hearing committees to consider enhanced sanctions for violations motivated by bias or prejudice.

These changes were made to ensure students' free speech rights afforded by the First Amendment are not violated while holding community members accountable if they take harmful action that was motivated by bias or prejudice. The entire code is undergoing a detailed review during the 2022-23 academic year. The review will include a separation of the behavioral aspects of the code from those of the academic integrity of students which will be governed through a new Office of Academic Integrity in Undergraduate Studies.

Institutional and program graduation requirements for undergraduate students are published in the [General Catalog](#), the [Undergraduate Bulletin and Student Resource Guide](#), and other publications provided by academic departments at New Student Orientation and through the college.

University standards for masters and doctoral degrees can be found [online](#). The Graduation Division of the Registrar's Office verifies that graduation requirements for certificates and degrees are applied consistently. The Graduate School also maintains its own graduate records administrator to verify that all Graduate School requirements are met before issuing a clearance to the Registrar's Office to award the degree.

Student Achievement 1.D.2: Consistent with its mission and in the context of and in comparison with regional and national peer institutions, the institution establishes and shares widely a set of indicators for student achievement including, but not limited to, persistence, completion, retention, and postgraduation success. Such indicators of student achievement should be disaggregated by race, ethnicity, age, gender, socioeconomic status, first generation college student, and any other institutionally meaningful categories that may help promote student achievement and close barriers to academic excellence and success (equity gaps).

In 2016, the Office of Undergraduate Studies created the Office of Learning Outcomes Assessment. The purpose of this office was to bring more resources to helping departments write and assess program-level learning outcomes. This office helped update policy that requires departments to assess their outcomes three times during the seven-year program review, typically at the three-, five-, and seven-year milestones in the cycle.

In 2021, the Office of Learning Outcomes Assessment evolved into the Office of Learning Analytics and Outcomes Assessment (LAOA) and was given two additional full-time analysts to help Undergraduate Studies (US) expand the degree to which it was examining, understanding, and sharing data on student achievement. This office is regularly building dashboards and doing predictive and statistical analyses of student achievement and participation in US's General Education and high impact programs such as [LEAP](#), [undergraduate research](#), the [Bennion Center](#) (community engaged learning courses and activities), the [Learning Center](#) (peer tutoring), and the [Academic Advising Center](#), among others (see [Figures 13.1](#) and [13.2](#)).

In the first several months that LAOA has existed, a large number of their analyses have focused on understanding equity gaps in achievement and participation in our programs. In particular, we have built several powerful dashboards that identify the courses with the highest rates of students receiving D's, E's, withdrawals, or incompletes (DEWI) and describe the gender, race, ethnicity, major and a variety of other factors associated with whatever courses are selected. This has allowed us to identify what populations are struggling in the most challenging courses, and develop strategies to improve the success of these populations in these courses (see description in Standard 1.D.4).

Another dashboard built on the same data gives a different view. It shows the rates of DEWI by category within important demographic and academic variables, including race, gender, ethnicity, first-generation status, transfer student status, veteran student, rurality, major, and participation in learning communities. US uses this information to engage faculty through the Martha Bradley Evans Center for Teaching Excellence and target these courses and these gaps through our Learning Center.

Standard 1.D.3 describes the identification of regional and national peers, and the identification of relevant indicators linked to the University mission and goals.

Student Achievement 1.D.3: The institution's disaggregated indicators of student achievement should be widely published and available on the institution's website. Such disaggregated indicators should be aligned with meaningful, institutionally identified indicators benchmarked against indicators for peer institutions at the regional and national levels and be used for continuous improvement to inform planning, decision making, and allocation of resources.

The Office of Budget and Institutional Analysis (OBIA) serves as the official source of information for the University of Utah, and as such, provides a wide array of student achievement metrics, both public- and institutional-facing. These reports are regularly presented in interactive dashboards where the user can define a variety of parameters such as major, demographic, or year. In general, these dashboards provide empirical evidence of student achievement at a few different levels.

Institutional-level comparisons

Among our public-facing reports, two are worth noting in this context. First, our [Peer Comparison](#) tool contains a variety of student metrics, benchmarked against different peer sets, including Research One, AAU, top 15 public institutions, and our system-designated peer set. The student-related metrics include enrollment, tuition and fees, and retention and graduation rates.

Second, the President's [Dashboards](#) contain a wide offering of measures that directly align with the University of Utah's four main goals, one of them being student success. The dashboards include multiple indicators of student success performance benchmarked against indicators for peer institutions at the regional and national levels, as well as Strategy 2025 goals. Student success indicators (peer institutions) include first-year student retention rates (Pac-12), six-year graduation rates (Pac-12), Pell grant participation (Pac-12 publics) and STEM degrees awarded (USHE). Additional strategic performance indicators related to student success include master's and doctoral degrees awarded (Pac-12 Public, R-1 Universities) and total research expenditures (Pac-12 Public, R-1 Universities).

The disaggregated data from these peer dashboards is compiled and analyzed to assist in understanding the academic success of different student groups in key university metrics. Figure 11 illustrates the disaggregated six-year graduation rates for the University of Utah compared to USHE-designated peers for the 2020-21 academic year. The University of Utah's six-year graduation rate has been below the USHE-designated peers, and part of the Strategy 2025 goal is to improve this rate to 80 percent, above the peer average. In order to understand the differential success of different ethnic/racial student groups, it is necessary to normalize out the USHE peer difference (multiply the U disaggregated rates by a factor of $78/67 = 1.164$). After renormalization, the disaggregated data demonstrates that Asian, international, and multi-racial student graduation rates are exceeding the rates of our USHE-designated peers. Other student racial populations (American Indian, Black/AA, Latina(a), and Pacific Islander) have renormalized graduation rates lower than USHE-designated peers. This deficit indicates the need for investment of additional resources and efforts to improve the graduation rates of these latter groups.

As demonstrated by the President's Dashboards, the university is making steady progress toward the Strategy 2025 goal of a student body size of 40,000. Our need-based financial aid awards have remained consistent with our Pac-12 peers, and our first-year retention rate has consistently exceeded our Pac-12 peers. The University of Utah's number of master's and doctoral degrees has accelerated recently, significantly exceeding the average number from R-1 Public Universities and keeping pace with our Pac-12 peers. We have already exceeded the Strategy 2025 goal for the number of students taking at least one course online.

GRADUATION RATE COMPARISONS

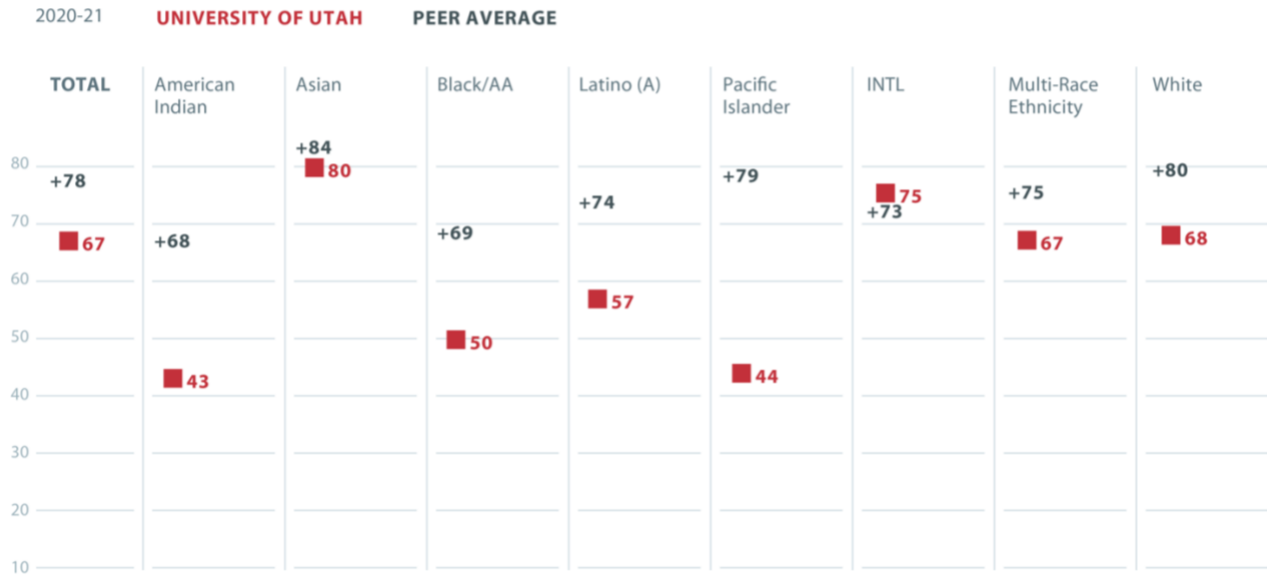


Figure 11: Disaggregated six-year graduation rates by ethnicity

College- and department-level comparisons

Our ability to improve student outcomes relies on efforts and assessment at the college and department level, therefore OBIA has invested significant efforts in producing [timely and relevant dashboards](#) tailored specifically for deans, department chairs, and other academic leaders both in public-facing and provisioned-access reports. Notably, these efforts have been such an institutional priority that OBIA has established formal partnerships with the majority of our academic colleges, where our select data analysts, funded jointly, act as liaisons who are solely dedicated to the data and assessment needs of those college partners. In our partnership, OBIA has created a central hub that serves as a single location for all of these custom reports where leaders can access all of the analyses that are custom to their area and students. Lastly, OBIA has built a set of comprehensive interactive dashboards for deans, containing metrics relevant to the university's strategic goals and pillars, custom to each college and department.

Student Achievement 1.D.4: The institution's processes and methodologies for collecting and analyzing indicators of student achievement are transparent and are used to inform and implement strategies and allocate resources to mitigate perceived gaps in achievement and equity.

Assessment of program-level learning through student learning artifacts is the purview of faculty and the responsibility for such resides in individual programs. Creating an assessment plan and writing interim assessment reports in the third and fifth years of a seven-year program review cycle provide the opportunity for departmental faculty to collect, analyze, and report out indicators of student achievement. The university's Policy 6-001: III.A.2.b.ii.c.2.a makes clear the expectations related to the assessment of program-level learning outcomes.

The Office of Learning Analytics and Outcomes Assessment (LAOA) in the Office of Undergraduate Studies (US) consults with departments to help them accomplish the writing of assessment plans and the completion of the third- and fifth-year interim assessment reports and the assessment section (Section 5) of the seven-year program review. LAOA collects and publishes assessment plans and many assessment reports on their website, creating a transparent process that other faculty on campus can consult and learn from as they engage in their own assessment. Figure 12 shows a sample assessment report, highlighting the College of Social and Behavioral Science assessment plans and reports.

College of Social and Behavioral Sciences (click department name for assessment plan)	2018-19	2019-20	2020-21	2021-22
Anthropology	7-Year LOA (2017-18)		3-year LOA	
Economics	3-year LOA		5-year LOA	
Family and Consumer Studies	3-year LOA		5-year LOA	
Geography	Supplemental Year 1 Report (2017-18)	3 yr. LOA		5th Year LOA
Political Science	3-year LOA		5-year LOA	
Psychology	7-Year LOA (2017-18)		3-year LOA	
Sociology	7-Year LOA			3-year LOA

Figure 12: College of Social and Behavioral Sciences undergraduate learning outcomes assessment plans and reports: 2018-22

As mentioned earlier, LAOA also runs a workshop series every semester in which representatives from four departments present their assessment plans or reports so other faculty can learn directly from others how they are doing this work. LAOA lists these presentations on their web page (see the Workshop Series image below).

LAOA has also created a [Learning Outcomes Assessment Workshop Canvas course](#) (see Current Assessment Workshops image) that allows visitors to view the presentations given at these workshops over the past five years, making this work transparent to the university community.

CURRENT ASSESSMENT WORKSHOPS
(ACADEMIC YEAR 2021-2022)

SPRING 2022

April, 13, 2022: Spring Learning Outcomes Assessment Workshop Presentation Videos and Discussion

Expand All Collapse All

- Shannon Barrios, PhD, Department of Linguistics and Director of Undergraduate Studies
- Lex Newman, PhD, Department of Philosophy
- Ben Bromley, PhD., Department of Physics
- Kelly Broadhead, PhD; Department of Biomedical Engineering

FALL 2021

November, 10 2021: Fall Learning Outcomes Assessment Workshop Presentation Videos and Discussion

Expand All Collapse All

- Mark St. Andre, PhD., Office of Learning Outcomes Assessment
- Jeanine Stefanucci, PhD.; Department of Psychology
- Jared Rawlings, PhD.; Department of Music
- Stephen Maisch, PhD., LEAP Program
- Casey Hoekstra, MA; Director of the Learning Center

PAST ASSESSMENT WORKSHOPS

In its consultation with departments on assessing their program outcomes, LAOA stresses that one of the important outcomes of the assessment process is using results to identify where they can improve their programming in order to help students be more successful. All three of the example reports that are included in the Appendix—Writing Program, Department of Mathematics, and Department of Communication—are demonstrations of how assessment is being used to improve programming so that students have an increased likelihood of accomplishing the program’s outcomes. A separate document titled “Recommended Changes from Example Assessment Reports” is included in the Appendix to bring attention to those assessment recommendations.

At the program level, one example of the impact of LAOA’s analytical impact in shaping data-informed student success interventions can be observed in the recent transition of the Student Success Advocates program to the Student Success Coaches initiative. For almost a decade, the Office of Undergraduate Studies offered professional one-on-one student intervention services in the form of Student Success Advocates (SSA). The advocates were charged with engaging students toward increasing their connection to campus, aiding in goal setting, and learning about the students’ needs so they could provide a tailored support experience. Students who met with the SSA reported positive interactions and that there were a group of people who helped them feel heard and supported on campus. Though these connections, shown through qualitative data, indicated that students found value from the service, other outcomes, such as participant graduation rate, were not as strong.

A thorough program review and analysis of SSA data led by LAOA and assisted by OBIA revealed that there was a lack of evidence of a relationship between time spent with advocates and increases in retention and completion rates for students. It was decided that a change in direction and purpose were needed. The SSA position was replaced with the Student Success Coach position—with new job description, code, and program mission. Though similar in name, coaching emphasizes academic skills support, growing metacognitive skills, and helping students create positive habits that will help them excel in and outside the classroom. Additionally, the new coaches will undergo training, certification, and ongoing support through InsideTrack of Strada Education Network to establish a unified coaching framework and methodology. These program enhancements, along with aligning student learning outcomes with those of the Office of Undergraduate Education and the University of Utah's emergent E³ Framework, will intentionally affect student retention and persistence while collapsing opportunity and information gaps one student at a time.

Student Success for *Every Student*

The Office of Undergraduate Studies has been examining opportunity/equity gaps in curriculum and student success programming over the last several years. This started with an examination of equity gaps in our General Education courses in the fall of 2020. This analysis was made public in a statewide conference that is held every year in which issues related to General Education are discussed among faculty from all of the Utah Board of Higher Education (UBHE) institutions. The theme of that 2020 [conference](#) was equity gaps. This analysis revealed meaningful and potentially significant equity gaps in our large General Education courses needing to be addressed. This was communicated to the relevant departments for awareness and action.

This analysis led to an ongoing, increased attention to equity gaps in participation and achievement in all of our programming. For example, the next related effort was an examination of the university's most challenging classes in the 2019-2020-2021 calendar years. An analysis was done to identify the 15 courses with the highest rates of students receiving a D or E grade, withdrawing, or receiving an incomplete (DEWI courses).

With the arrival of a new SAVPAA and Dean of Undergraduate Studies, a renewed approach to these educational and opportunity gaps across undergraduate courses is shaping our student-driven, data-informed work. To detect and address educational equity gaps through proactive approaches to student and faculty success, Undergraduate Studies built a specific equity dashboard that allows users to view the percentage of students receiving a DEWI score across a variety of demographic variables including race, ethnicity, gender, Pell eligibility, first-generation student status, rurality, and veteran status. On this dashboard users can select students from certain demographic categories (or combinations of categories) and view the courses that are the most challenging to that population.

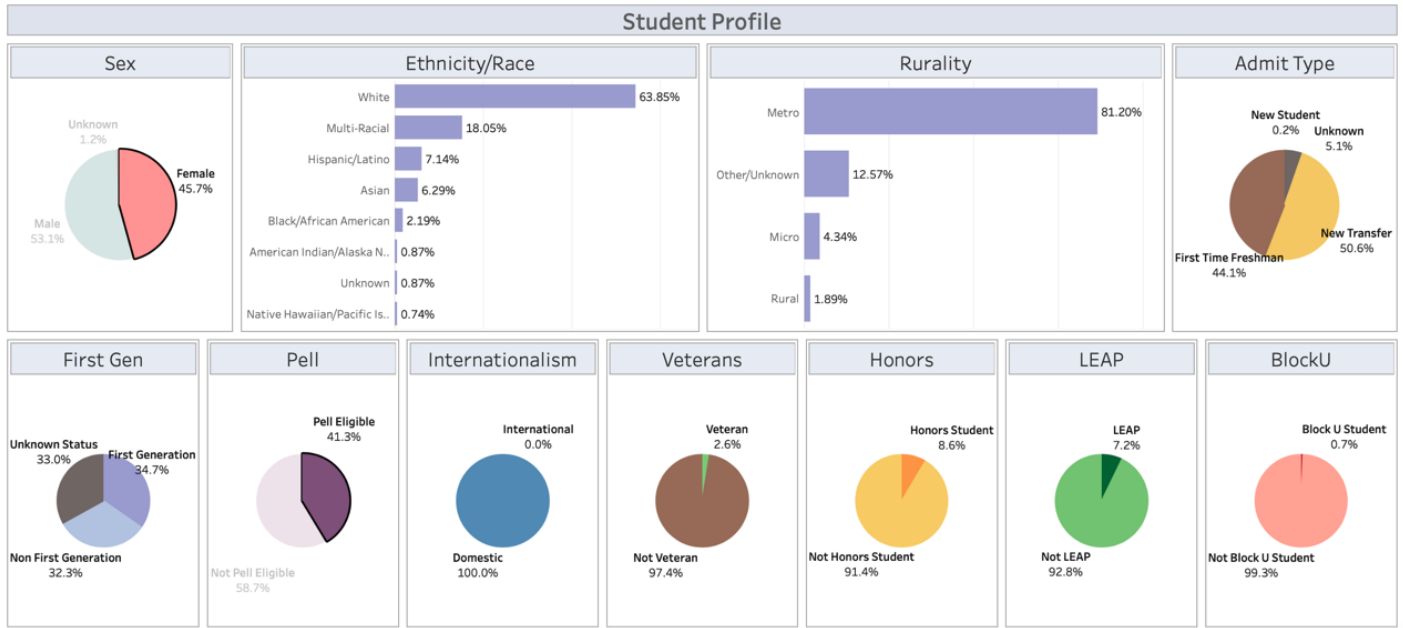


Figure 13.1: Snapshot of demographic variables dashboard for Pell-eligible women

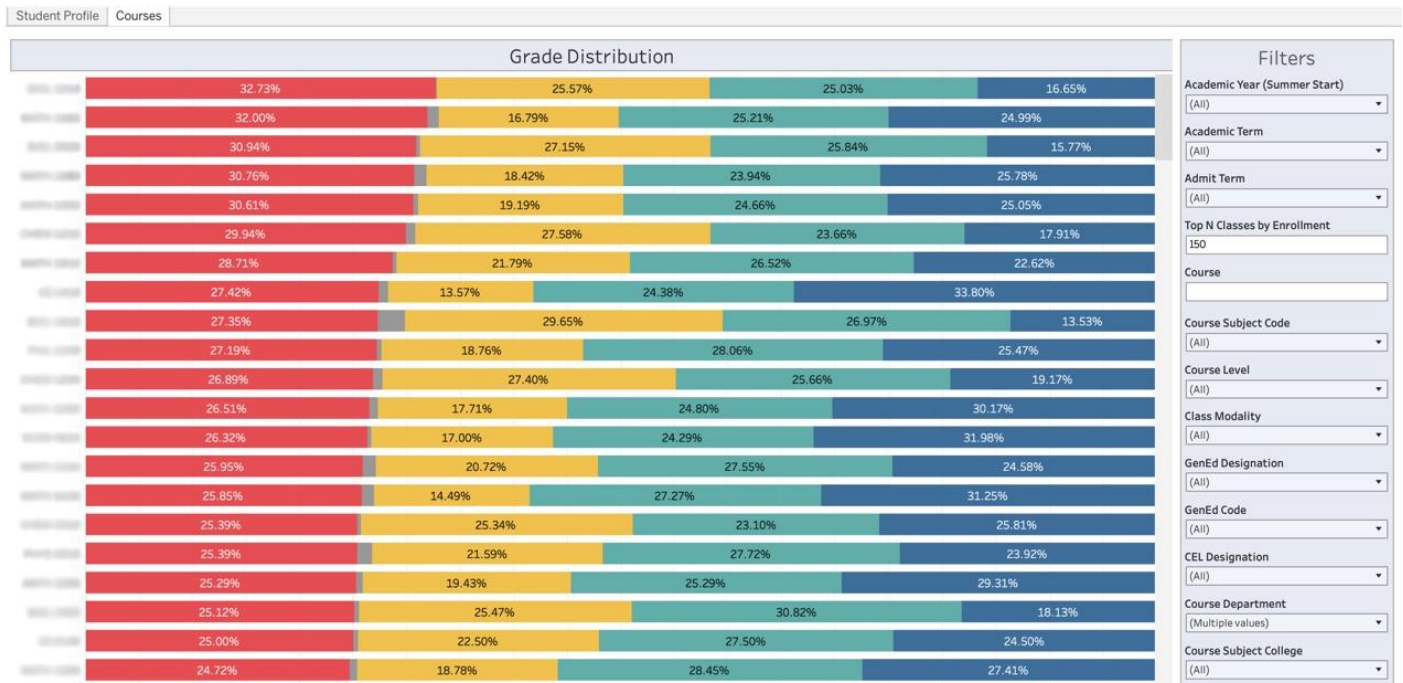


Figure 13.2: Snapshot of courses with highest DEWI percentage, shown in red, for Pell-eligible women

Figure 15 shows the selection of first-generation males with the courses with the highest rates of D, E, W, and I. Users can further filter the list to indicate what department is offering the course, what term it is offered, what modality the course is taught in (online, in person), whether the course is in the General Education program, contains a

community-engaged learning component, and more. Using these tools, we can now pinpoint exactly what courses are challenging to specific populations and work with the departments to develop strategies to address these gaps.

At present, we know that statistically significant opportunity gaps persist within various STEM (though not only STEM) introductory courses. Working with various academic departments through the course of fall 2022, a set of student and faculty interventions will launch in spring 2023 to confront these gaps through evidence and research-based approaches. As of summer 2022, these dashboards were completed and will soon be available to appropriate audiences so educational equity gaps within specific courses and programs of study can be addressed. These analyses will also be used in concert with the Center for Teaching Excellence, the units of US' Student Success and Transformative Experiences, and other campus units to understand the complexities of opportunity/equity gaps and to implement solutions sets of interventions organized within the E³ framework.

EQUITY AND STUDENT SUCCESS DATA (DISAGGREGATED)

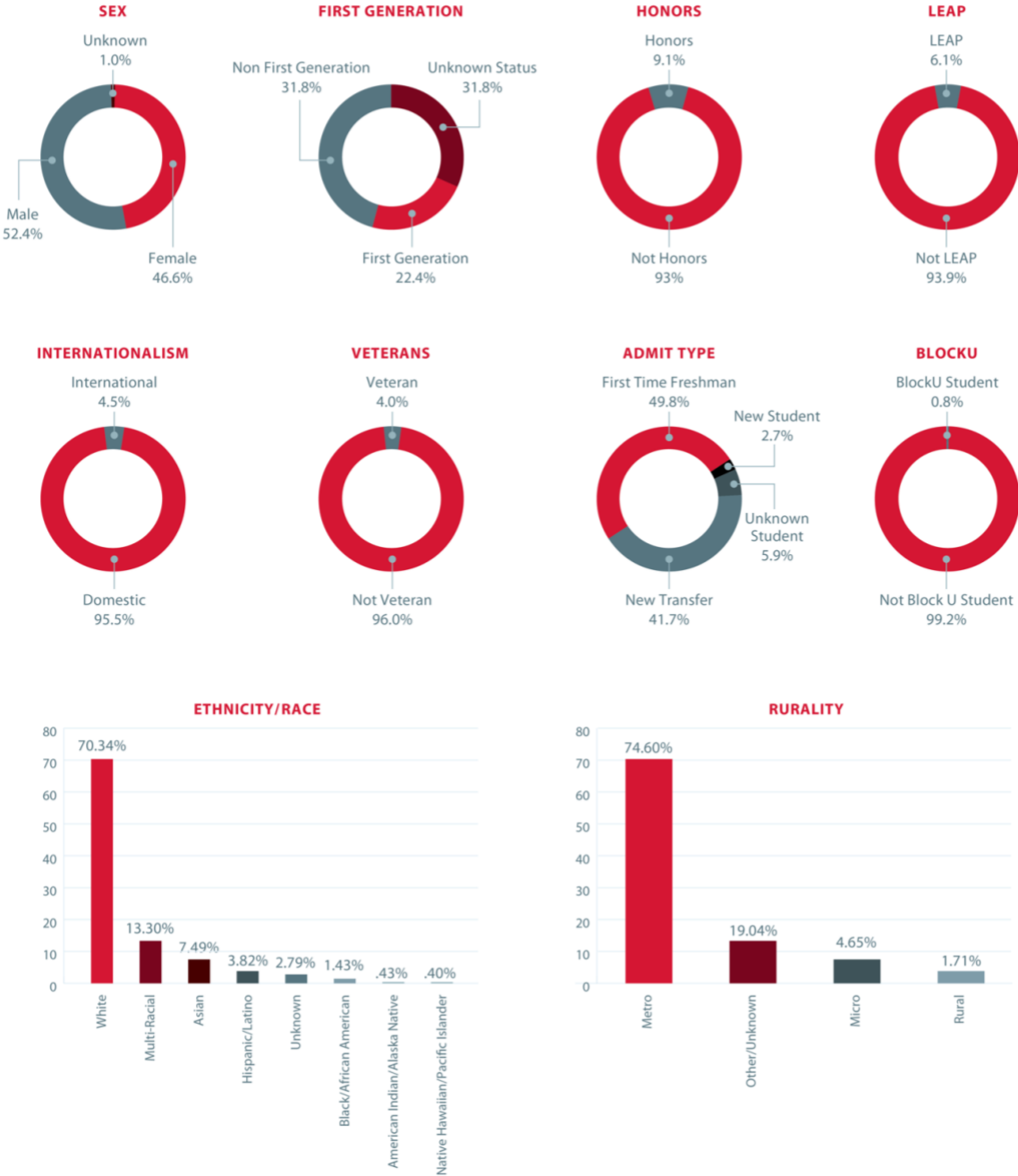
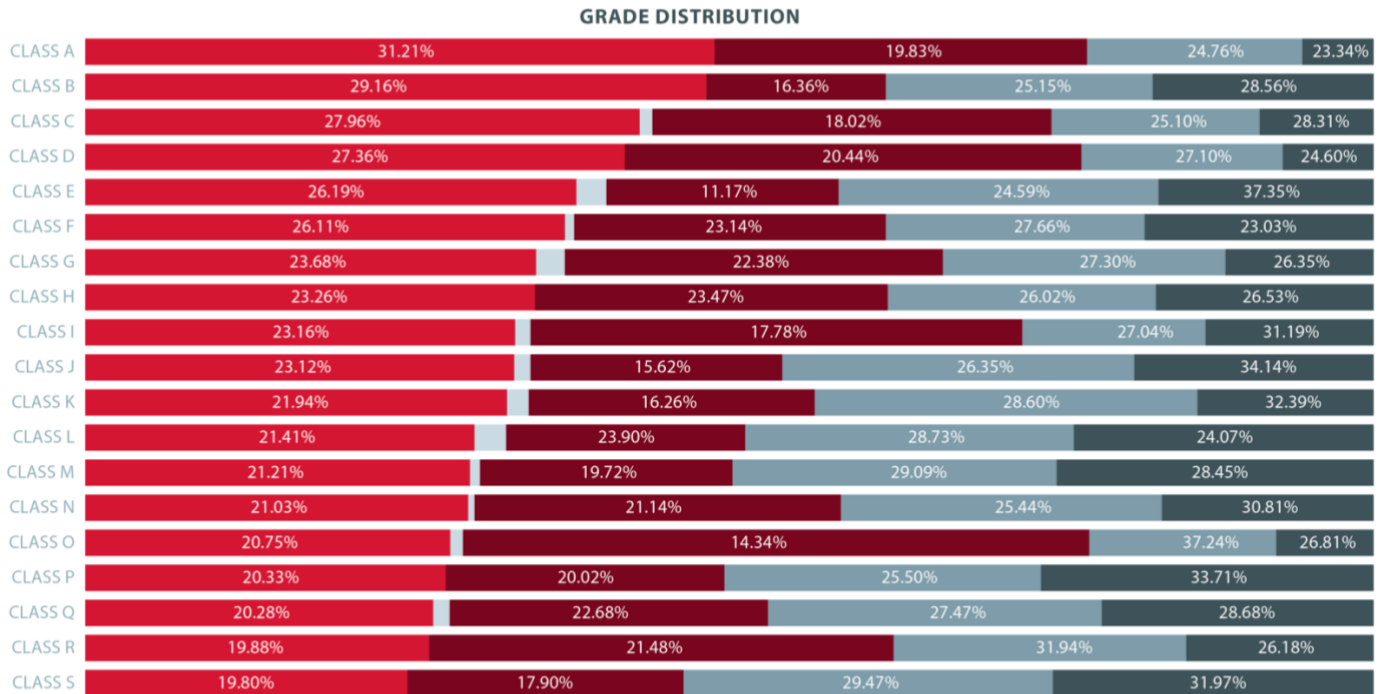


Figure 14: DEWI student profile for selecting demographics and academic characteristics

HIGHEST DEWI COURSES ISOLATED BY DEMOGRAPHIC DATA



- Represents courses with a D, E, W or I (i.e. withdraw, incomplete, drop)
- Represents "C"
- Represents "B"
- Represents "A"
- "Other" which is typically a "C" for credit when students take a course with credit/no credit.

Figure 15: Courses with highest rates of D, E, withdraw or incomplete grades for first-generation male students

Learning Communities have been shown to be excellent tools for supporting students to persist and graduate. From 2018 to the present, the Office of Undergraduate Studies has organized a group of directors of Learning Communities from around campus into a Learning Community Consortium to discuss and share best practices with each other. That group also requested that a dashboard be built to better understand the differential experiences of various populations of students within learning communities. US continues to update that dashboard every year to show the participation, retention, and

completion rates of students in all of the university's learning communities by gender, race, ethnicity, Pell eligibility, first-generation status, and rurality.

We are using this information to guide the management of existing programs and the development of future ones. For example, a recent analysis of this data revealed that we do not have a learning community experience that primarily serves, historically underrepresented male, first-generation students who are eligible for a Pell grant. As we define the upcoming "Utah Experience" requirement, we will use this and similar information to explore the development of such a program to serve this population. In addition, this data is helping us design faculty development efforts through the Martha Bradley Evans Center for Teaching Excellence.

Beyond assessing academic programs, the University of Utah participates in and administers the National Survey of Student Engagement (NSSE), which is a standardized, national survey that includes questions about student engagement inside and outside of the classroom.

A portion of the NSSE survey questions focus on students' perceived belonging, sense of community, and value at the institution, which can be used to explore a sense of belonging. The NSSE asks students to respond to the following statements: "I feel comfortable being myself at this institution," "I feel valued by this institution," and "I feel like part of the community at this institution."

About 90 percent of first-year and senior student respondents either agreed or strongly agreed that they feel comfortable being themselves at the University of Utah, and 70 percent agreed or strongly agreed that they felt like part of the community and felt valued by the institution. However, approximately 10 percent disagreed or strongly disagreed that they felt comfortable being themselves at the U, and about 30 percent disagreed or strongly disagreed that they felt like part of the community at the institution or felt valued by the institution.

The University of Utah will continue to utilize this data and more to inform programming and outreach designed to improve all students' experiences. These three questions were added in 2020, so the current data will serve as a useful benchmark to compare results from future iterations of the survey.

Data in Figure 16 comes from 2020 and 2022 NSSE data, which surveys first-year and senior students at the University of Utah.

SENSE OF BELONGING INDICATORS

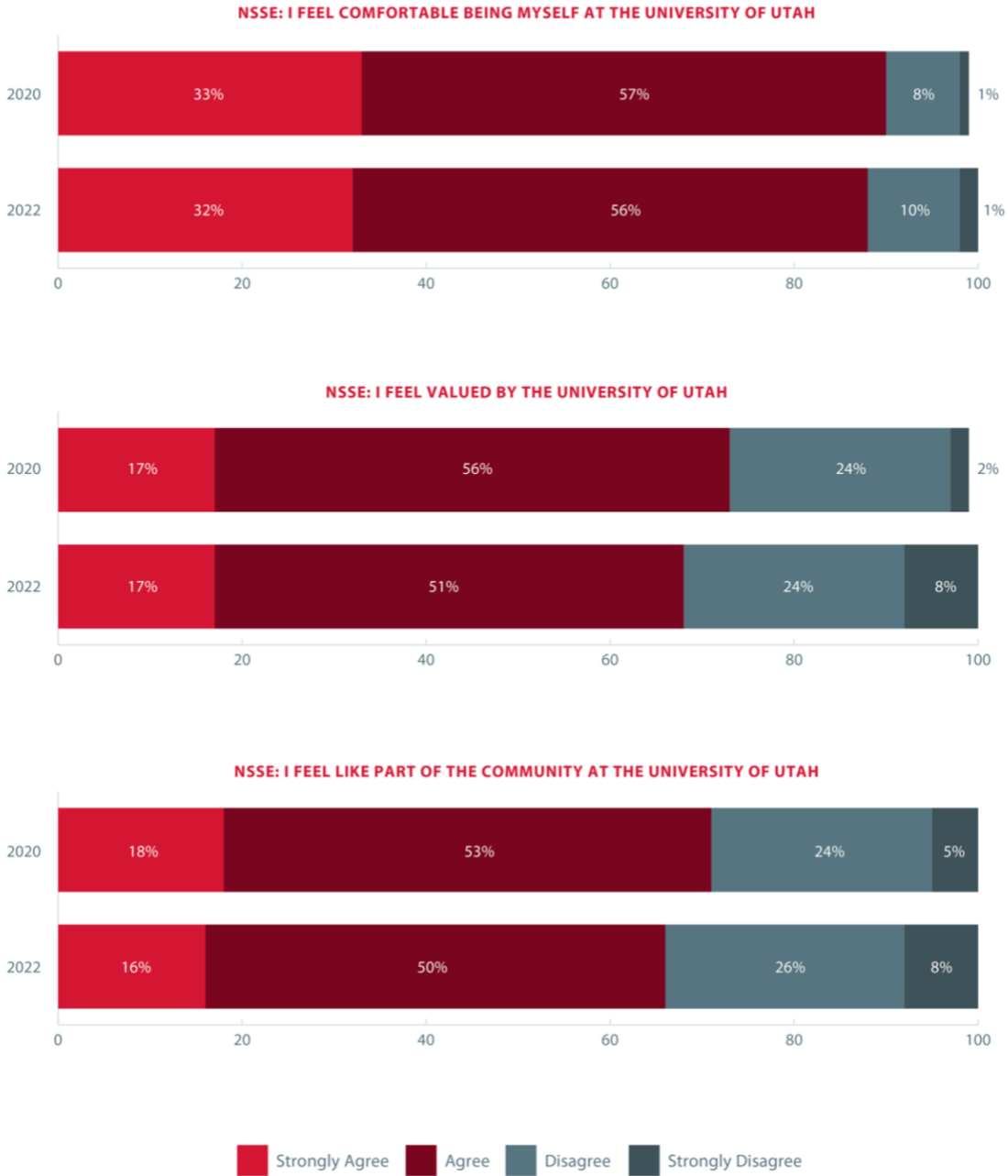


Figure 16: NSSE survey results for student sense of belonging

Student Affairs has deployed the Balanced Scorecard model to develop a strategic plan to guide its units into the future. This approach emphasizes four components that work

together to achieve the mission of supporting student well-being and success, which includes personal growth and fulfillment. These elements include organizational capacity, internal processes, finances, and students. To evaluate the effectiveness of the initiatives and objectives developed through this process, Student Affairs is currently developing a set outcomes and evaluation protocol.

Conclusion

The university's Strategy 2025 framework provides a comprehensive structure for continuous improvement and ongoing fulfillment of the university's mission. Strategy 2025's use of demographic trends and projections allows the university to center its mission and goals in the continually evolving national and Intermountain West environment. Strategy 2025 provides a set of concrete themes, strategies, and measurable outcomes (benchmarks) that have now been embedded into our yearly and long-term strategic planning and resource allocations. This process has positioned the University of Utah to respond effectively to the growing Utah population over the next several decades, and expand the resources, infrastructure, and communities necessary to support the future needs of higher education in the state and beyond.

Through the President's Dashboard and the Strategy 2025 report, the university has identified multiple metrics and benchmarks that are clearly linked to the level of performance of each of the university's goals to promote student success, develop and transfer knowledge, engage communities to improve health and quality of life, and ensure the long-term vitality of the institution. The university is making steady progress towards the Strategy 2025 goal of enrolling 40,000 students, and has already exceeded several Strategy 2025 and peer institution benchmarks for first-year student retention, research awards, and number of graduate degrees. The university dashboards and metrics also indicate that there is still work to be done. For example, our six-year graduation rate (67-70 percent) significantly lags our Pac-12 public peer group (74 percent) and is significantly below the Strategy 2025 benchmark (80 percent). Disaggregation of these benchmarks reveals relatively strong success of Asian, international, and multi-racial student populations, whereas BIPOC student success indicators are somewhat lagging compared relative to our peer institutions. The university is in the process of expanding resources and adopting a more intensive student-driven, data-informed set of approaches to address these challenges.

A few examples of these approaches include a more comprehensive student communications infrastructure following the recommendations of a cross campus collaboration of a Communications Insights Governance Committee. From our institutional data as well as educational research, we know students struggle with connection, persistence, and completion, often due to lack of timely, relevant information, which we are addressing through procurement and stand-up pilot stages. A second example of these new approaches include a new partnership with InsideTrack of Strada Education Network. Therein, the training and certification of Student Success Coaches will emerge as a best practice in comprehensive student support to assist all students on their academic journeys. The successful strides of the last decade and the future innovation potential of the University of Utah will be acknowledged later in fall 2022 as the university accepts the invitation to join the [University Innovation Alliance](#) (UIA). Founded in 2014, the UIA is dedicated to improving the United States' economic potential by helping more students from all socioeconomic and racial backgrounds graduate from one of the nation's leading public research universities. UIA member institutions work together

to develop, scale, and share innovative solutions that help students overcome academic, financial, and personal obstacles to success and earn a high-quality college degree from a major research university and have seen great success in this work. Founding UIA institutions have now produced over 97,000 additional degrees above baseline projections and are on track to double their 68,000-degree goal by 2025. Shared innovations across campuses like Georgia State University, Arizona State University, Ohio State University, and additional peer and aspirant institutions will inform the university's future high-impact projects like [Completion Grants](#), [Predictive Analytics](#), [Proactive Advising](#), [College to Career](#), [Chatbots](#), Doctoral Research Fellows, and more. The University of Utah's forthcoming UIA membership, led by the senior associate vice president for academic affairs and dean of Undergraduate Studies, will enhance our future innovations in closing opportunity gaps for all students — focusing on an inclusive approach to empowering students from all socioeconomic and racial backgrounds to complete their degree(s) in a timely manner.

Making progress towards the Strategy 2025 goals, including ensuring equal opportunities for success of all of our students, requires the use of transparent, integrated, data-driven processes for strategic planning and resource allocation in support of continuous improvement. During the past seven years, the U has developed and refined transparent, integrated, student-driven, data-informed processes for the development of strategic planning in support of the university mission and the allocation of university resources that are strongly linked to the evaluation of institutional effectiveness at departmental, college, and university levels. These evaluations have led to the creation of impactful new initiatives and major investments in Proactive Advising, Student Success Coaches, various Student Affairs, and EDI programs all framed by the E³ framework. Analysis of longitudinal student indicators has indicated the effectiveness of these approaches and identified multiple opportunities for advancement of the institutional mission.

For example, the LAOA dashboard has identified several equity gaps in the 15 courses with the highest rates of DEWI courses. Pivoting from the Student Success Advocate framework to the more intensive Student Success Coaches framework was also based upon LAOA assessment results. Additional examples of using Learning Outcomes Assessment data to update curriculum and improve student learning—including requirements for prerequisites in capstone courses, and improvements to the lower division writing requirement (WRTG 2010)—are included in the Appendices of this EIE self-study. The insights provided by LAOA assessments guiding the new iteration of the E³ framework will be used by departments to develop initiatives that holistically address opportunity and equity gaps.

The university's access to resources necessary to catalyze the changes necessary for the realization of Strategy 2025 continues to strengthen. As described in the university's 2021 Annual Financial Report (see [Appendix](#)), total net position increased 11.8 percent from 2020 and 45.6 percent over the past five years, due to steady growth in most of the operating and non-operating revenue categories. These increases indicate steady improvement in the U's financial condition, reflecting the university's prudent

management of its resources. This surplus has been reinvested within the university to add to the margin of educational excellence, upgrade the university's facilities, and provide a sensible reserve for contingencies. Total assets increased 10.3 percent from 2020 primarily due to increases in cash; strongly performing investments; and capital assets, such as the addition of new buildings and construction that is in progress. Consequently, the university's financial position continues to strengthen, allowing it to make increased investments in faculty, staff, and facilities necessary to meet the challenges of Strategy 2025.

In summary, this Year Seven Evidence of Institutional Effectiveness Self Study demonstrates that the University of Utah is demonstrating continuous improvement and ongoing fulfillment of the university's mission. The university has established an effective set of metrics, policies, procedures, assessment, and strategic budgetary management to meet the vision and challenges outlined in Strategy 2025. This highly integrated system, under the stewardship of U faculty, staff, and administration, has provided an effective mechanism for the university's rapid rise in national prominence, and the upward trajectory of the university's mission. Through our collective efforts, we continue to advance access to the benefits of higher education to an increasingly diverse community, promote life-changing successes for all of our students, be at the forefront of innovation and scientific discovery, engage in the service of our communities, and ensure the long-term vitality of this university.

APPENDIX

YEAR SEVEN | STANDARD ONE

Evaluation of Institutional Effectiveness (EIE)

Northwest Commission on Colleges and Universities

AUGUST 24, 2022



A. Policy Changes

The following policy changes have been implemented since September 1, 2018:

1. [Policy 3-030: Travel Policy \(2/12/2019\)*](#)
2. [Policy 3-041: Accountability for Noncapital Equipment \(2/12/2019\)*](#)
3. [Policy 3-234: Building Access and Surveillance Systems \(3/12/2019\)*](#)
4. [Policy 5-141: Performance Management-University Staff \(Other than UUHC Staff\) \(4/9/2019\)*](#)
5. [Policy 3-014: University Financial Record Retention \(6/13/2019\)*](#)
6. [Policy 5-211: University Independent Personnel Boards & Procedures for Complaints Under the Utah Protection of Public Employees Act \(7/1/2019\)*](#)
7. [Policy 4-050: University Software Policy \(7/1/2019\)*](#)
8. [Policy 4-003: World Wide Web Resources Policy \(7/1/2019\)*](#)
9. [Policy 3-042: Deleted: Property-Insurance Program \(8/13/2019\)*](#)
10. [Policy 3-019: University of Utah Internal Audit Policy \(4/14/2020\)*](#).
11. [Policy 4-001: University Institutional Data Management Policy \(4/15/2020\)*](#).
12. [Policy 6-303: Reviews of Tenure-Line Faculty Members \(RPT Criteria, Standards, and Procedures\) \(7/1/2020\)*](#).
13. [Policy 1-012: Interim University Non-discrimination Policy \(8/4/2020\)*](#)
14. [Rule 4-004A: Acceptable Use and Rule 4-004B: Information Security Risk Management\(2/1/2021\)*](#)
15. [Interim Policy 1-006 Conflict of Interest\(2/25/2021\)*](#).
16. [Policy 6-002: The Academic Senate and Senate Committees: Structure, Functions, Procedures\(3/1/2021\)*](#).
17. [Policy 7-020: Determining Authorship in Scholarly or Scientific Publications\(4/13/2021\)*](#).
18. [6-001 and Related Rules: Academic Units and Academic Governance- Roles of Faculties, Committees, Councils, and Academic Senate \(7/1/2021\)*](#).
19. [Policy 6-315 Faculty Parental Leave \(7/1/2021\)*](#).
20. [Interim Policy 6-407: University General Student Fees, and the University General Student Fees Advisory Board \(7/1/2021\)*](#).
21. [Policy 4-010 University Individual Email Policy \(8/10/2021\)*](#).
22. [Policy 6-407: University General Student Fees, and the University General Student Fees Advisory Board \(10/12/2021\)*](#).
23. [Rule 1-011A: Police Officer Body-Worn Cameras. \(7/16/2021, 11/11/2021\)*](#)
24. [Procedure P3-100D: Gift Card Purchases and Requirements \(1/17/2022\)*](#).
25. [Board of Trustees Approval of Faculty and Administrative Appointments \(2/18/2022\)*](#).
26. [Policy 1-021 Abusive Conduct and Rules 1-021A, 1-021B, and 1-021C \(1/1/2021,3/9/2022\)*](#).
27. [Policy 6-300: University Faculty -- Categories and Ranks \(3/11/2022\)*](#).
28. [Interim Rules 1-012A Discrimination Complaint Process Rule and 1-021B Sexual Misconduct Complaint Process Rule \(3/17/2022\)*](#).

29. [Rule R4-050B: University Software \(4/11/2022\)*](#).
30. [Policy 6-400: Code of Student Rights and Responsibilities \("Student Code"\)\(4/13/2022\)*](#).
31. [Policy 3-100 University Procurement and Revisions to Related Regulations \(4/13/2022\)*](#).
32. [Policy 1-006 Individual Financial Conflict of Interest Policy and Related Regulations \(4/18/2022\)*](#)
33. [Policy 7-001 Policy for Research Misconduct and Related Changes to Policy 6-011 Functions and Procedures of the Senate Consolidated Hearing Committee and Policy 6-316 Code of Faculty Rights and Responsibilities. \(4/18/2022\)*](#)
34. [Interim Rule 6-404C: Undergraduate Admissions - SAT or ACT Scores \(5/6/2022\)*](#)
35. [Policy 5-108: Transfer of Benefits Eligible Staff Members \(Non-UUHC\) \(6/16/2022\)*](#)
36. [Policy 6-409: Graduate Student Parental Leave and Rule R6-309A: Post Doctoral Fellows Parental Leave \(6/16/2022\)*](#)

*Details regarding changes to university regulations can be found under individual policy numbers at <http://regulations.utah.edu/>. The most recent changes to University Policy can be found at <https://regulations.utah.edu/regulation-update/index.php>

B. Examples of Recommended Changes Made in Three Learning Outcomes Assessment Reports - Office of Learning Analytics and Outcomes Assessment

1. Department of Communication Fifth-year Learning Outcomes Assessment Report Excerpt

Recommended Changes

As mentioned, the Undergraduate Committee felt courses were meeting the selected ELOs but did recommend structural changes that will impact other ELOs assessed in future years. To address these concerns, the committee recommended four things.

- **Require substantive assignments to assess each ELO.** While one capstone course used a final paper to assess both ELOs, another class used a final project for one ELO and a short response – a paragraph in length – to assess another ELO. The committee found that paragraph-long responses lacked depth and resulted in a superficial review. As a result, the committee recommends that all assignments linked to outcomes be a **minimum of 500 words in length.**
- **Establish prerequisites for capstone courses.** Given the size and complexity of orchestrating course offerings for close to 1,000 students in four different emphases, the department has been judicious in not requiring too many prerequisites. The major concerns with having too many prerequisites are that they will hinder a student’s progress in the major and delay graduation. However, capstone courses are intended to be a culminating experience taken in a student’s last year and should provide an opportunity for reflection and synthesis as students complete significant papers and projects. In the review of artifacts from the 2019 capstone courses, it was clear that some papers and projects were written by students with a more advanced knowledge of the field and the relevant issues and theories. In a review of the composition of the students in the capstone courses reviewed, it was found that 30% of all students enrolled in capstone courses were juniors and 70% were seniors. In current capstone courses, non-senior students comprise 10%-38% of the course.

This gap in knowledge of the field can be challenging for instructors and will impact the future assessment of the ELO which expects students to demonstrate “upper-division knowledge of concepts and skills specific to the emphasis.” Ideally, the capstone course for each emphasis would have a prerequisite of a foundational, junior-level course. The committee was reticent to implement such a change as it would likely result in being a roadblock to graduation, especially in our current context of having a limited faculty. Already, the department struggles with a high student-to-faculty ratio which results in bottlenecks of certain course offerings that can delay graduation. To add a prerequisite, even if it would improve the learning experience for students, does not seem prudent at

this time.

As a result, the committee recommended a softer prerequisite for all capstone courses which would require that students complete a **minimum of 60 credit hours, or the completion of a Communication/Writing (CW) requirement**. The department's advising team was consulted to determine if this prerequisite would be a significant roadblock for students' progress to graduation and the advisors assessed that it would not be a major impediment.

- **Reduce bottlenecks in the Strategic Communication emphasis.** The Strategic Communication emphasis is the largest in the department with about 67% of all Communication majors pursuing this emphasis. Unfortunately, there are very few faculty whose expertise falls in this area which results in those few faculty teaching capstone courses every semester. However, even with this handful of faculty dedicating themselves to these courses, the department is still unable to meet student demands. To not impede a student's progress to graduation, accommodations have been made where students are permitted to take capstone courses in other emphases that have an indirect focus on strategic communication. This lack of course offerings in Strategic Communication is amplified further if a faculty member in that area is on leave.

The hiring of a career-line faculty member in Strategic Communication has long been discussed and supported by the faculty but has yet to occur. The Undergraduate Committee recommends that **hires be made in the Strategic Communication** area so that the needs of our undergraduates can be better met.

- **Reduce course caps for capstone courses.** As mentioned, the Department already struggles with a high student-to-faculty ratio. While capstone courses within the Journalism emphasis enroll no more than 20 students, in all other emphases the capstone courses are capped at, and consistently enroll, 36 students. This large course size impacts the level of student attention demanded for a meaningful and substantive capstone experience. While the Undergraduate Committee recognizes that little can be done at the current moment to address these large course sizes, they do encourage the department to be **mindful of future hires and how to establish more equity** amongst course sizes.

In addition to working with the Undergraduate Committee, the Director of Undergraduate Studies obtained feedback from faculty who taught capstone courses and from the Department's academic advisors. Their feedback involved some of the issues already addressed by the committee, but they also had additional recommendations:

- Reduce course caps so the focus can be on meaningful projects that provide students with in-depth mentorship.
- Require prerequisite to ensure all students have the skills to be successful when approaching a complex project or issue. Faculty recommended junior-level emphasis requirements of specific courses like COMM 4590 for Strategic Communication, COMM

3710 for Communicating Science, Health, and Environment, COMM 3555 for Journalism, and COMM 3030 for Communication Studies.

- Require an exit survey for graduating seniors that can be assessed by the advisors and the Undergraduate Committee. Since students are no longer required to meet with advisors to file for graduation, the Department lacks a means to conduct an exit interview as they did in the past. Requiring a survey would help bridge this gap.
- Provide a resource guide for faculty on the Department's Canvas page regarding capstone expectations, ELOs, rubrics for assessing ELOs, a link/template for an exit survey, and a guide for how to navigate the Associator on Canvas.

2. Lower Division Writing Requirement Third-Year Learning Outcomes Assessment Report Excerpt

3.3 Revisions [to current assessment] Based on Previous Assessment

Two features of assessment that changed based on this previous assessment are 1) the rating scale was changed to a 5-point scale, leading to more nuanced scoring, and 2) the outcomes were revised to highlight the components of writing that are highly valued in the field and the department and folding in Textual Cohesion and Style & Mechanics across the outcomes, but especially in positioning them in Rhetorical Dexterity and Critical Literacy. We did this because embedding them into more high-level concepts is in line with both the field of writing studies, the values of the WRS, and the ways that students use these features of writing in their actual writing process.

[End of Report Implications]

6.0 Implications for Curriculum

Based on the presentation of data in this report, there are five implications for the curriculum in WRTG 1010:

1. Reduce DEWI numbers through curriculum and policy evaluation and revision.
2. Create standard policy frameworks for late work and attendance, especially.
3. Create outcomes for WRTG 1010 to bring divergent curricula together.
4. Research into international student satisfaction with and performance in WRTG 1010.
5. Based on the foregoing research and revision plans, revise the current standard curriculum, with an eye to reducing DEWI numbers.

The DEWI numbers in WRTG 1010 are abysmal, except for a few moments of reprieve they have been poor for quite some time. I believe it is time to investigate why. It is time to study and evaluate policies, and to create policy changes and standards that will positively impact and support students who are not doing well in WRTG 1010. More flexibility needs to be built into WRTG 1010 to support students in complex situations. In order to create accountable flexibility, we need to a) find out what issues and concerns are impacting students at risk of failing, and b) assess the policies instructors use to determine whether they support or undermine at-risk students. Finally, the current WRTG 1010 curriculum needs to be overhauled in order to better

meet the needs and concerns of WRTG 1010 students. Of note is the fact that this course meets the needs of women, students of color, international students, and to a slightly lesser extent, first-generation students equitably, with little grade disparity when proportional enrollments are taken into account.

Based on the presentation of data above, there are seven implications for the program and curriculum in WRTG 2010:

1. Sources and source use need curricular support in order to see outcomes improvement in the next assessment cycle.
2. Synthesis needs more support and resources to improve this outcome upon further assessment.
3. Research into low-achieving criteria in the Critical Literacy outcome is needed.
4. Explicit instruction in academic (and non-academic) genres is needed.
5. Research into grade distribution for students of color, international students, and first-generation students
6. International student success and satisfaction need to be researched.
7. Research the policy and curriculum changes that can positively impact the DEWI.

The foremost points raised by this report have to do with source use and synthesis. For the last six years, these numbers have remained flat, and frankly, too low. Both of these components of academic writing are essential in the university. Improving these assessment outcomes will impact student success across the curriculum. They will also impact flexible knowledge about academic genres. Curricular changes must address critical thinking about difficult and complex topics. These changes must be research and data driven. Improvement in this area will feed into increased facility with synthesis & sources use, and vice versa. Approaches to international student education must also be research and data driven. The experiences of international students will lead to improved learning and satisfaction with the course. Finally, though the DEWI numbers are lower than those in WRTG 1010, the figures in WRTG 2010 are still too high. We must assess the grading policies and late work policies for WRTG 2010 as is suggested for WRTG 1010, in order to create a flexible standard that will support student success.

7.0 Recommendations and Resource Request

7.1 Recommendations

Based on the foregoing analysis, this report makes the following recommendations:

1. Create a study that will assess student needs in WRTG 1010 and the related necessary supports for student success in the class.
2. Create a study that collects and analyzes classroom policies for both WRTG 1010 and WRTG 2010.
3. Create a study that collects and analyzes international student success in and satisfaction with both WRTG 1010 and WRTG 2010.
4. Collect, analyze, and assess syllabi in WRTG 1010 and WRTG 2010.
5. Develop flexible standard policies for grading and late-work, especially. These would be developed out of the research described in 1, 2, and 3, and they would be created by the First-Year Writing Committee.

6. Create outcomes for WRTG 1010 in the First-Year Writing Committee.
7. Revise the WRTG 2010 curriculum to create deeper instruction in source use, synthesis, academic genres, and critical thinking.
8. Create a study to investigate grade distribution issues for students of color, first-generation students, and international students
9. Based on the pandemic context in which the outcomes were assessed, a re-assessment before three years is recommended.
10. A yearly account of the DEWI rates, especially in WRTG 1010, is highly recommended.

7.2 Resource Request

The recommended measures will require resources to complete. I recommend the following:

1. Research funds to complete the WRTG 1010 curriculum, policy, and students' study recommended above.
2. Research funds to complete a study that analyzes the Critical Literacy outcome in more detail.
3. Research funds to complete interrogation of grade distribution inequities.
4. Research funds to study the experiences of international students in WRTG 1010 and WRTG 2010.
5. Faculty support for the proposed, large-scale study of syllabi, policies, and student climate, regarding WRTG 1010. This should include a course release for

3. Math Major Fifth Year Learning Outcomes Assessment Excerpt

Relevant Sections of Instructor Course-Based Assessment Report

Questions to be answered by Instructor:

1. Did this course cover each of the topics above in sufficient detail? If not, please elaborate.
2. Which topics from the essential material were tested on the students' final exams or final projects? Please provide the final exam questions, or the final project assignment.
3. Which percentage of students from the linked majors for this course demonstrated reasonable knowledge of the material from this course on the final exam? How many students from linked majors were enrolled in the course?
4. Which topics from this course, if any, should we seek to improve our instruction of?

MATH 5610: For high-lights: 18 students from the linked major were enrolled, and 67% of them demonstrated reasonable knowledge of the material from this course on the final exam. It was felt that topics of optimization were not covered sufficiently in the course.

MATH 2280: Of the 29 students from a linked major, 26 demonstrated reasonable knowledge of the material from this course on the final exam. Wave and Laplace equations were not covered in one section.

MATH 5600: Final exam and list of topics covered for this course are on following pages.

Instructor reports 75% of the 20 students from the linked major demonstrated reasonable knowledge of the material from this course. The topics were felt to be covered adequately well.

MATH 5620: 3 of 6 students from linked major performed adequately. Of the topics to be covered in the class, "Adapting basic DE methods to particular applications" was not covered. The instructor reports that not having required programming experience of students makes it difficult to cover all intended topics. The class project is contained in following pages.

C. Response to student safety questions

Response to student tragedy:

The death of any student at the U is a tremendous loss. The University of Utah is committed to examining the circumstances of such tragedies and improving school policies and procedures to prevent their occurrence. A record on the updates and changes the U continues to make to improve student safety follows.

Background

On Feb. 11, 2022, a first-year student from China, Zhifan Dong, was allegedly killed by a fellow student in an off-campus hotel in Salt Lake City. The death was reported in the local news and in the [U's digital newsletter](#). The U immediately began investigating the situation, but was prevented from sharing further information with the community based on a request made by the Salt Lake County District Attorney's office.

During the investigation, it was found that more than 25 actions on behalf of Dong and her partner, student Haoyu Wang, who has been charged with her murder, occurred over a 29-day period, including meetings, texts, filing missing person reports, video conferences with the students and their friends, contact with family members and other offers to help. However, it was also determined that the university had some shortcomings in its response, including faulty communication, a need for clarity in the training of housing workers, and a delay in notifying the campus police department (UUPD) and the Office of Equal Opportunity, Affirmative Action, and Title IX of indications of intimate partner violence.

In the spirit of transparency and a desire to refine its policies and response, the U [released](#) the findings of its internal investigation in July, after the student newspaper published an article and the Utah State Records Committee overruled the Salt Lake County District Attorney's office.

Previous response

In October, 2018, the death of student Lauren McCluskey rocked the University of Utah and led to significant changes in its policies and procedures. The U remains committed to constant evaluation and improvement in order to create an environment that is as safe as possible for our campus community.

The following 29 recommendations have been implemented or are in the process of being implemented as a result of an independent review of the circumstances surrounding McCluskey's death:

1. Established the university's chief safety officer position overseeing all police, security, emergency management and public safety responsibilities. The university filled this position with one of the independent investigators of the university's response to the Lauren McCluskey murder, whose critical findings contributed to recommendations for how the U should improve its safety and security services.
2. Developed a Department of Public Safety to connect all public safety resources and reduce the potential for siloed services.
3. Improved recruiting and selection of police officer candidates with a strong emphasis on acquiring the best possible personnel who want to serve our specific community. More than 90 percent of the police officers are new to the department since 2019.
4. Improved communication and engagement in the Behavioral Intervention Team and recently created a new Racial Bias Incident Response Team manager position.
5. Created a professional standards component in the department to ensure that all complaints against university police and public safety personnel are thoroughly investigated, with consistent documentation and appropriate personnel action taken when sustained.
6. Implemented a personnel management system called Guardian, which documents and tracks all comments (complaints as well as compliments) related to the performance of Department of Public Safety personnel.
7. Created an Independent Review Committee that reviews all complaint investigations and department corrective actions of university public safety personnel. This committee is composed of students, faculty and staff.
8. Created a Public Safety Advisory Committee that meets regularly with the chief safety officer and leadership team.
9. Adopted an intelligence-led public safety model and created a crime data analyst position to help identify trending activity for resource allocation.
10. Created a public-facing dashboard of crime to provide data for evaluating the public safety department's effectiveness.
11. Developed a Department of Public Safety communications plan committed to transparency and sharing information that helps everyone contribute to a safe campus environment.
12. Created a victim-survivor advocate team that works directly with our police and public safety personnel to provide ongoing support and resources for those who have been harmed.
13. Invested in state-of-the-art public safety facilities and equipment.
14. Significantly increased training efforts, with specific emphasis on de-escalation, behavioral health crisis response and managing implicit bias. Adopted a victim-centered and trauma-informed approach to policing and ongoing training to personnel on dealing with interpersonal violence. Adopted the Lethality Assessment procedure recommended by the Utah Domestic Violence Coalition.
15. Conducted a recent safety survey of students and staff to establish baseline data and measure the impact of recent safety infrastructure changes.

16. Implemented a campus sexual assault and sexual harassment climate survey every two years so that university students have the opportunity to voice their experiences.
17. Adopted the 30 x 30 pledge to increase the number of female police officers to at least 30 percent by 2030. Currently, women comprise 10 percent of University Police Department personnel and 33 percent of the command staff.
18. Increased supervisor involvement with detectives and conduct monthly audits of all cases to ensure they are being effectively investigated.
19. Improved police communication with campus partners. This includes allowing select partners in OEO, HRE and ODOS access to our records management systems for cases that impact their areas of responsibility.
20. Greatly improved communication and coordination between university police and our security divisions.
21. Created dedicated officer positions that liaise with student-athletes.
22. Increased number of 911 emergency dispatchers and applied best practice protocols for sharing criminal justice information between adjacent public safety agencies.
23. In process of attaining CALEA and IACLEA accreditation.
24. Currently migrating to the same records management system used by Salt Lake City Police Department and all other Salt Lake County public safety agencies. This will increase opportunities to share crime and criminal justice information between agencies for the benefit of all communities.
25. Developed a University Public Safety Student Ambassador program.
26. Developed a working relationship between university presidential student interns and the university public safety leadership team.
27. Currently reviewing and updating all department policies and procedures to reflect nationally established best practices.
28. Currently developing a working relationship with Huntsman Mental Health Institute MH1 team so they may assist officers on emergency calls with individuals experiencing a behavioral health crisis. Additionally, MH1 personnel will guide training to help officers better understand the needs of individuals experiencing behavioral health challenges.
29. Currently building a police team dedicated to working with U of U Health Hospital's security and staff. This specialized team will allow us to more effectively serve the unique needs of these health service providers.

Changing for the future

An internal investigation into the circumstances of Dong's death revealed some weaknesses in the U's response to concerns Dong shared with Housing and Residential Education (HRE) employees about Wang. University leaders reviewed trainings, procedures and processes and determined that while HRE staff repeatedly contacted the students and offered support, they missed key indicators and did not immediately report the concerns to UUPD and other campus offices.

To address this, updates were made to the emergency protocols manual, and several additional improvements have been, and continue to be, implemented. The university also took corrective action with the housing employees involved in the incident. In addition, the following eight procedural changes have been implemented, or are in the process of being implemented:

1. A new HRE executive director started in March 2022, and immediately hired a consultant to review the department's emergency procedures manual. This consultant's recommendations are being implemented in HRE's employee trainings and emergency response for the current 2022-23 academic year.
2. Housing restructured its organization and created a new position to support conduct and support processes and reduce the hierarchy for reporting. Additionally, it increased compensation rates for certain positions to be more competitive and address staffing shortages.
3. Housing, in collaboration with the Office of the Dean of Students, is creating a new position that will provide additional support to review cases submitted to both offices.
4. The emergency procedures manual was updated to more clearly define how and what information should be documented for all incident reports. Supervisors will conduct spot checks throughout the year to verify that staff members are documenting thoroughly and consistently.
5. The case management system used in housing was updated during the Spring 2022 Semester to more effectively notify other university partners, specifically the Office of Equal Opportunity and Affirmative Action and the Behavioral Intervention Team. Now, all housing employees and student leaders can indicate whether an incident should be shared with these partners, rather than just supervisory staff. When an employee clicks these buttons in the case management system, the relevant offices are now notified automatically and receive a copy of the report. Additionally, instructions regarding this process, including screenshots, are included in the updated emergency procedures manual.
6. The definitions and procedures associated with wellness and welfare checks was updated in the HRE emergency procedures manual before the end of the spring 2022 semester. In-person trainings now emphasize the differences between these two types of checks and walk participants through various scenarios to discuss how they should be handled.
 - A. In summary, a wellness check occurs when someone expresses a concern or worry about a resident, and it requires housing staff to make every possible effort to locate the resident. If there is any element of a mental health concern or risk to self or others, it should be elevated to a welfare check.
 - B. A welfare check occurs when there is a concern related to harm to self or others. This check always includes UUPD presence and efforts to locate the resident do not end until the resident is located.

7. The procedures related to a missing resident were expanded upon and clarified in the housing emergency procedures manual before the end of the Spring 2022 Semester.
8. The process for obtaining and documenting updated resident contact information has been updated, and new, proactive efforts are in place to obtain the most accurate and up-to-date information possible. Housing officials receive student contact information from what is self-reported during the university and housing application process. If a student shares with a housing employee that their contact information has changed, housing staff are now trained in how to update this information in the database used to manage housing operations. Additionally, incoming residents are asked to verify their personal details when reserving their rooms, and staff will ask students to verify their contact information again during the move-in process.

Conclusion

The University of Utah is continuing to work toward a campus that cultivates safety for each of its students. In 2019, the [Racist and Bias Incident Response Team](#) was created to develop a coordinated approach to responding to racist and bias incidents on campus. The [McCluskey Center for Violence Prevention](#) at the U offers important resources and educational outreach in the effort to eliminate the relationship and sexual violence that is endemic in and beyond American society. Student Affairs offers multiple [resources](#) for mental and physical health, including the Sexual Assault Awareness & Response Support system offered through the Office of the Dean of Students.

The knowledge of the circumstances surrounding the death of Zhifan Dong continue to evolve as investigations by university and local law enforcement are ongoing. The university will provide periodic updates to NWCCU regarding any significant findings. As part of the October 2022 NWCCU peer visit to the University of Utah campus, a specific meeting will be scheduled to provide updates to the investigation, discuss the university's response and actions in response to the ongoing investigation, and answer open questions by the peer reviewers.

We pledge to continually seek for ways to improve and follow recommendations to create a campus on which every student feels safe.

D. Financial Report

2021

ANNUAL FINANCIAL REPORT

THE UNIVERSITY OF UTAH
A COMPONENT UNIT OF THE STATE OF UTAH

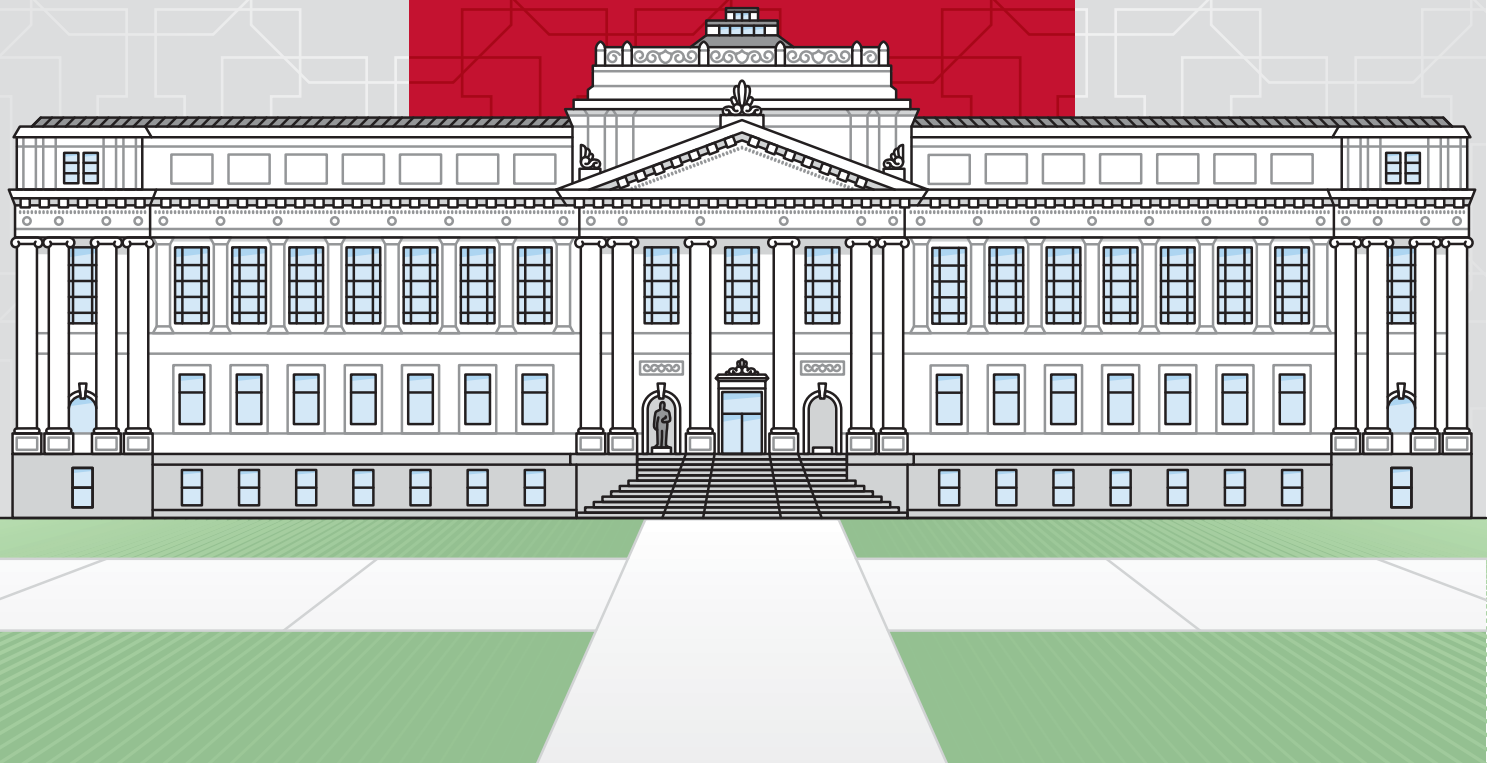




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Message from the President Taylor R. Randall

Dear colleagues,

From the coronavirus pandemic to justified calls for racial equity, we saw a different world roll out before us this past year—one with new health problems to solve, new innovations to discover, new partnerships to form, and new opportunities. Our communities, our state, and the nation needed research universities more than ever to lead the way. And our university responded to the call.

Our health care providers and researchers were on the front lines of figuring out how to test, trace, treat, and prevent spread of this novel coronavirus. Our educators expanded the ways they deliver an exceptional educational experience. Our policy thinkers worked with state officials to help ensure a steady economic recovery for Utah. Our senior leaders took us forward in striving harder to be equitable, diverse, and inclusive. Our staff reached out to students to support them in their educational journeys. I commend the tremendous efforts of our entire U community to stay focused on our core mission of education and research while also keeping the health and well-being of our students, faculty, staff, and community a top priority.

Despite the many challenges we've faced, I am pleased to report that the university remains well

positioned financially to continue its upward trajectory. This solid financial standing is due to prudent fiscal management of university resources over decades, strong support from the Utah Legislature and community stakeholders, additional CARES funding from the federal government, private donations to our capital campaign, increased student enrollment, and some unexpected cost savings that came out of the pandemic (e.g., less travel, lower utilities, etc.).

Below are just a few highlights of achievements and events from 2020–21:

- We welcomed our largest and most diverse first-year class in Fall 2020. This is very good news as we work to close the access gap and help more students from underrepresented communities have a transformative educational experience that will set them up for a lifetime of success.
- The U received a historic \$641 million in sponsored research grants. Some of these were related to the more than 130 coronavirus-related projects in progress or completed at the U. We are proud of the heroic efforts of our researchers who kept up their important work during challenging times—reacting quickly to



immediate needs while also keeping their long-term research goals a priority.

- The U hosted the U.S. vice presidential debate in October. Nearly 60 million viewers tuned in to watch Vice President Mike Pence and Senator Kamala Harris face off live at Kingsbury Hall—making it the second-most-watched vice presidential debate ever. A post-debate media analysis estimated the event had an impact equivalent to about \$262 million in advertising value.
- University of Utah Health, which now serves 2 million patients a year, was ranked by Vizient Inc. as number one in the nation for quality health care among leading academic medical centers. Our health care employees deserve tremendous gratitude for working under enormous strain through the pandemic to provide outstanding service to patients and the community.
- We exceeded our *Imagine New Heights* capital campaign goal of \$2 billion two years ahead of schedule. Individual donors demonstrated their commitment to the U, with more than 100,000 contributing to the campaign. The top

areas of gift allocations include transformational research, public programs that impact the entire state of Utah, scholarships and fellowships, buildings and facilities, and academic support.

- In June 2021, we celebrated a gift of \$110 million from the George S. and Dolores Doré Eccles and the Nora Eccles Treadwell foundations that will transform our School of Medicine. This historic gift will allow us to support advanced models of medical education, attract more world-class faculty, and engage in critical research, and will help provide a new building for the newly named Spencer Fox Eccles School of Medicine.

I am proud of this past year’s accomplishments on all fronts. And I believe that in One U fashion, we will continue to work together to promote student success, be at the forefront of innovation and scientific discovery, engage in the service of our communities, and ensure the long-term viability of this university.

Sincerely,

Taylor R. Randall
President



OFFICE OF THE
STATE AUDITOR

INDEPENDENT AUDITOR'S REPORT

To the Board of Trustees, Audit Committee
and
Dr. Taylor R. Randall, President
University of Utah

We have audited the accompanying financial statements of the University of Utah (the University), which comprise the respective financial position of the business-type activities and fiduciary activities, as of and for the year ended June 30, 2021, and the related notes to the financial statements, which collectively comprise the University's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of the University of Utah Hospitals and Clinics (UUHC), ARUP Laboratories, Inc. (ARUP), University of Utah Research Foundation (UURF), University of Utah Health Insurance Plans (UUHIP), or Community Nursing Service (CNS), which represent 37 percent, 32 percent, and 62 percent, respectively, of the assets, net position, and revenues of the University. Those statements were audited by other auditors whose report has been furnished to us, and our opinion, insofar as it relates to the amounts included for UUHC, ARUP, UURF, UUHIP, and CNS, is based solely on the report of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. The financial statements of ARUP were not audited in accordance with *Government Auditing Standards*.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, based on our audit and the report of other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the University and the University's fiduciary activities, as of June 30, 2021, and the respective changes in its financial position and, where applicable, its cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis, the University's Schedule of Proportionate Share of the Net Pension Liability, and the Schedule of Defined Pension Contributions, included in the Required Supplementary Information listed in the table of contents, be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Information

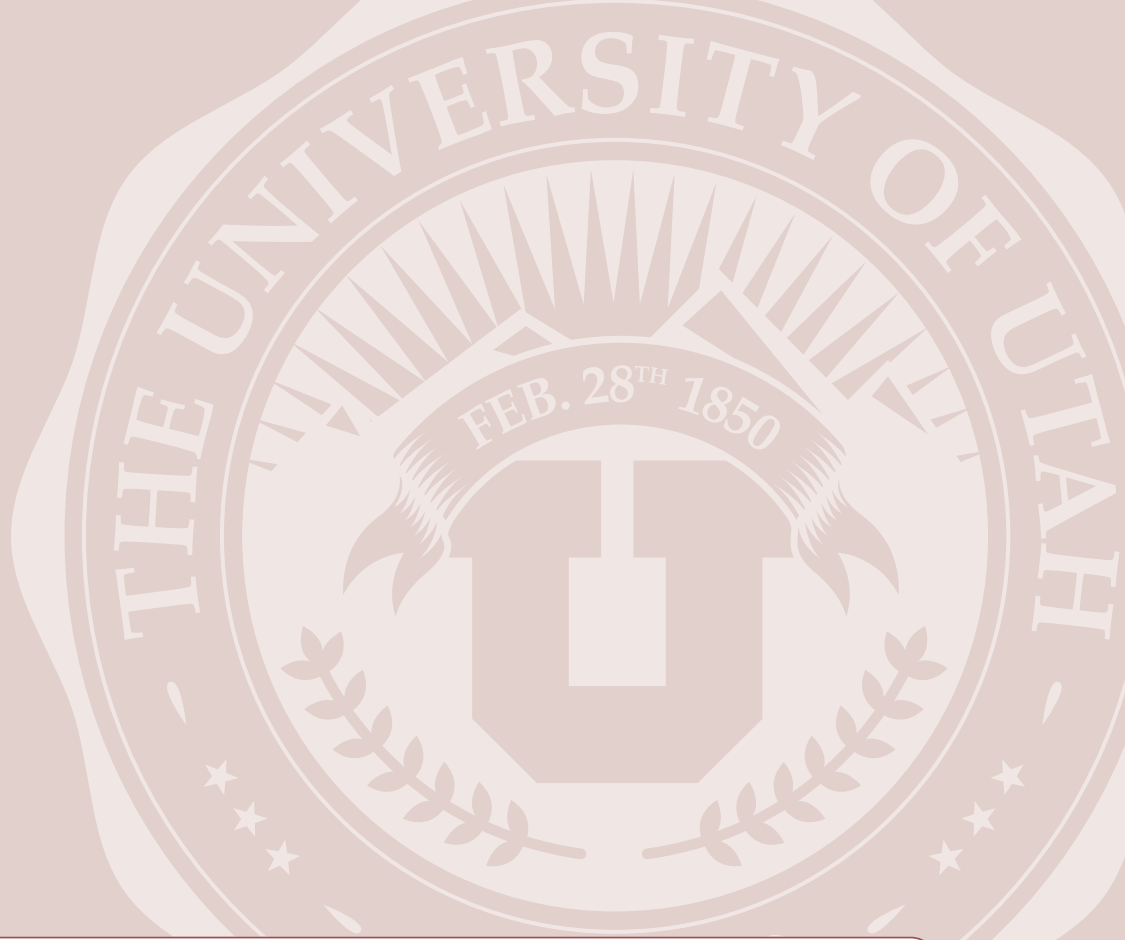
Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the University's basic financial statements. The Message from the President and the listing of Governing Boards and Officers are presented for purposes of additional analysis and are not a required part of the financial statements. This message and listing have not been subjected to the auditing procedures applied in the audit of the financial statements, and accordingly, we do not express an opinion or provide any assurance on them.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated November 3, 2021 on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control over financial reporting and compliance.

Office of the State Auditor

Office of the State Auditor
November 3, 2021



MANAGEMENT'S DISCUSSION & ANALYSIS

TM



INTRODUCTION

The following discussion and analysis provide an overview of the financial position and activities of the University of Utah (University) and its component units for the year ended June 30, 2021, with selected comparative information for prior fiscal years. This discussion has been prepared by management and should be read in conjunction with the Financial Statements and the Notes to the Financial Statements, which follow this discussion and analysis.

The University of Utah's Financial Statements include revenues, expenses, assets, deferred outflows of resources, liabilities, deferred inflows of resources, and net position for the entire University entity, including the University of Utah Hospitals and Clinics (UUHC), which is part of University of Utah Health Care, – as well as the balances and activities of four component units: the University of Utah Research Foundation (UURF), ARUP Laboratories, Inc. (ARUP), University of Utah Health Insurance Plans (UUHIP), and Community Nursing Services (CNS). UURF specializes in the transfer of patented technology to business entities as well as the leasing and administration of Research Park (a research park located on land controlled by the University) and other buildings. ARUP is a national clinical and esoteric reference laboratory. UUHIP is a licensed non-profit health insurance provider. CNS is a not-for-profit corporation that assists clients to attain health care goals through home health and hospice care. More information about these entities and their inclusion in the financial statements may be found in Note 1 – *Summary of Significant Accounting Policies – Reporting Entity*.

ABOUT THE UNIVERSITY OF UTAH

Founded in 1850, the University of Utah is the state's oldest and most comprehensive institution of higher education and is the flagship institution of the state system of higher education. The University offers over 100 major subjects at the undergraduate and graduate level, including law and medicine, to more than 34,000 students from across the United States and world, preparing students to live and compete in the global workplace. With more than 30,000 employees, it is one of the state's largest employers.

University of Utah Health Care is the only academic medical center in the state of Utah and is nationally ranked. It is also one of only three facilities in the state of Utah that the American College of Surgeons has recognized as a Level 1 trauma center and has also received the National Cancer Institute Cancer Center designation.

The financial statements that follow provide additional information on the resources available to the University to accomplish its multi-dimensional mission, and to achieve its goals and objectives, including the many exciting things described above. For more information about the University and its programs and initiatives, please visit www.utah.edu.

OVERVIEW AND ANALYSIS OF THE FINANCIAL STATEMENTS

The financial statements are prepared in accordance with Governmental Accounting Standards Board (GASB) principles. Five financial statements are presented: the Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; the Statement

of Cash Flows; the Statement of Fiduciary Net Position; and the Statement of Changes in Fiduciary Net Position. The Notes to the Financial Statements are an integral part of the statements and provide additional details and information important to an understanding of the University's financial position and results of operations.

The Statement of Net Position presents the financial position of the University at the end of the fiscal year and includes all assets, deferred outflows of resources, liabilities, deferred inflows of resources and net position of the University. Net position is one indicator of the current financial condition of the University. Assets, deferred outflows of resources, liabilities, and deferred inflows of resources are generally measured using current values except for capital assets, which are stated at historical cost less accumulated depreciation.

The Statement of Revenues, Expenses, and Changes in Net Position presents the University's results of operations for the fiscal year. The net difference between revenues and expenses, and other changes, is the increase (or decrease) in net position for the year. The change in net position is an indicator of whether the overall financial condition has improved or worsened during the year.

The Statement of Cash Flows provides additional information about the University's financial results by reporting the major sources and uses of cash by type of activity – as well as providing a reconciliation to the net operating gain or loss.

The Statement of Fiduciary Net Position presents the financial position of custodial funds held by the University at the end of the fiscal year and includes assets, liabilities, and net position of these funds. Net position is one indicator of the current financial condition of the fiduciary funds. Assets and liabilities are generally measured using current values.

The Statement of Changes in Fiduciary Net Position presents additions to and deductions from custodial funds. The net difference between additions and deductions is the increase (or decrease) in net position for the year. The change in net position is an indicator of whether the overall financial condition of the custodial funds has improved or worsened during the year.

The results of operations reflect the University's focus on maintaining its national standards academically, in research, and in health care in a competitive environment. At the same time, the University is addressing constrained base state appropriations and rising health care, regulatory and facility costs with productivity gains to help preserve access to affordable higher education and health care services.

STATEMENT OF NET POSITION

A condensed statement of net position for the past five fiscal years is shown in *Figure 1* on page 9.

Total net position increased 11.8% from the prior year and 45.6% over the periods shown – due to steady growth in most of the operating and non-operating revenue categories. These increases indicate steady improvement in financial condition, reflecting the University's prudent management of its resources. This surplus has been reinvested within the University to add to the margin of educational excellence, upgrade the University's facilities, and provide a sensible reserve for contingencies. Total assets increased 10.3% from the prior year primarily due to increases in cash, investments due to strong performance, and capital assets due to the addition of new buildings, as well as, building construction in progress. Liabilities increased 4.3% from the prior year primarily due to deferred FICA payroll tax, as allowed by the Coronavirus Aid, Relief and Economic Security Act (CARES Act), along with an increase in early retirement participants, deposits related to future events at Rice Eccles stadium, and issuance of new bonds in 2021, offset by a significant decrease in net pension liability resulting from a change in assumptions by the retirement plan administrator (see Note 8 for more details). Deferred Inflows of Resources increased 70.2% also as a result of changes in assumptions by the retirement plan administrator.

STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION

The results of the University's operations for the fiscal year are shown in the Statement of Revenues, Expenses, and Changes in Net Position. A condensed statement

Figure 1

Condensed Statement of Net Position - as of June 30 (in thousands)₁	2021	2020	2019	2018	2017
Current assets	\$3,132,119	\$2,648,916	\$2,293,302	\$2,057,009	\$1,759,605
Noncurrent assets					
Capital assets, net	3,988,313	3,796,778	3,468,781	3,323,706	2,959,044
Other noncurrent assets	2,707,170	2,463,534	2,360,379	2,108,022	2,068,089
Total Assets	9,827,602	8,909,228	8,122,462	7,488,737	6,786,738
Deferred Outflows of Resources	69,640	83,832	72,775	83,134	76,912
Current liabilities	1,116,224	1,032,227	860,291	704,687	685,374
Noncurrent liabilities	1,503,184	1,478,872	1,338,567	1,223,800	1,208,732
Total Liabilities	2,619,408	2,511,099	2,198,858	1,928,487	1,894,106
Deferred Inflows of Resources	85,317	50,124	16,358	75,898	28,990
Net investment in capital assets	2,802,229	2,648,561	2,411,866	2,320,870	2,037,151
Restricted, nonexpendable	820,051	629,359	633,722	604,497	564,118
Restricted, expendable	820,913	757,882	750,207	757,165	576,934
Unrestricted	2,749,324	2,396,035	2,184,226	1,884,954	1,762,352
Total Net Position	\$7,192,517	\$6,431,837	\$5,980,021	\$5,567,486	\$4,940,555

₁ As reported in each year's published audited financial statements

of revenues, expenses, and changes in net position for the past five fiscal years is shown in *Figure 2* on page 10.

Revenues from tuition and fees decreased 0.4% from the prior year as a result of the University waiving certain tuition and fees for students in an effort to help with the consequences of COVID-19. Overall tuition and fees increased 14.9% over the periods shown, and continued growth is expected in future years as COVID-19 abates.

Patient services revenues increased 17.8% from the prior year; and have increased 36.9% over the periods shown. This consistent growth reflects the UUHC's commitment to grow in capacity and quality in servicing the health care needs of the intermountain region.

Grants and Contracts revenues increased 4.7% from the prior year; and have increased 42.3% over the

periods shown due to growth in substantially all major research categories and sponsors' awards. Namely, federal research funding from: Department of Health & Human Services; Department of Veterans Affairs; Department of Homeland Security; and Department of Education. Additional research category increases were: Private Industry; Foundations and Associations; Other Universities; and Hospitals.

Sales and services revenue increased 14.1% from the prior year primarily due to strong performance from UUHC's retail pharmacies, CNS, and ARUP. Sales and services revenue maintained a consistent upward trend for the periods shown – increasing 52.7%. The largest contributor to the increase is growth in ARUP and UUHC revenues over the period.

Auxiliary and other income decreased 6.2% from the prior year primarily due to the COVID-19 related



Figure 2

**Condensed Statement of Revenues, Expenses,
and Changes in Net Position – for the years
ended June 30 (in thousands)¹**

	2021	2020	2019	2018	2017
Operating revenues					
Tuition and fees, net	\$ 376,295	\$ 377,951	\$ 367,174	\$ 347,902	\$ 327,508
Patient services, net	3,000,434	2,547,953	2,460,034	2,209,201	2,192,329
Grants and contracts	566,240	540,716	483,626	455,950	397,813
Sales and services	1,375,910	1,205,810	1,146,289	991,457	900,958
Auxiliary and other	366,493	390,558	368,303	386,095	333,351
Total operating revenues	5,685,372	5,062,988	4,825,426	4,390,605	4,151,959
Operating expenses	5,997,162	5,311,744	5,105,317	4,585,138	4,364,965
Operating loss	(311,790)	(248,756)	(279,891)	(194,533)	(213,006)
Nonoperating revenues					
State appropriations	374,253	353,874	367,168	335,828	322,050
Gifts	56,315	165,736	155,353	158,773	117,949
Investment income	297,953	83,088	124,568	90,595	91,705
Other net nonoperating revenue (expense)	222,387	31,658	(30,730)	(7,327)	5,842
Total nonoperating revenues	950,908	634,356	616,359	577,869	537,546
Income before capital and permanent endowment additions	639,118	385,600	336,468	383,336	324,540
Capital and permanent endowment additions	167,686	55,301	141,732	205,242	94,309
Increase in net position	806,804	440,901	478,200	588,578	418,849
Net Position - beginning of year	6,385,713	5,990,936	5,501,821	4,978,908	4,521,706
Net Position - end of year	\$ 7,192,517	\$ 6,431,837	\$ 5,980,021	\$ 5,567,486	\$ 4,940,555

¹ As reported in each year's published audited financial statements

Figure 3

Total expenses (in thousands)	2021	2020	2019	2018	2017
Operating expenses					
Compensation and benefits	\$3,009,018	\$2,802,999	\$2,691,906	\$2,509,786	\$2,361,972
Component units	835,649	690,450	619,092	531,708	473,981
Supplies	814,695	695,855	672,615	567,176	530,338
Depreciation and amortization	277,697	247,453	236,321	222,591	222,143
Other	1,060,103	874,987	885,383	753,877	776,531
Total operating expenses	5,997,162	5,311,744	5,105,317	4,585,138	4,364,965
Nonoperating expenses					
Interest and other	50,011	41,987	65,552	41,942	39,140
Total expenses	\$6,047,173	\$5,353,731	\$5,170,869	\$4,627,080	\$4,404,105

closure of housing, sporting events, food services, and event space rental.

Even with tuition essentially neutral, and the decrease in auxiliary and other income, the contributions from the other significant sources caused total operating revenue to increase by 12.3% over the prior year and by 36.9% over the periods shown.

Operating expenses have increased as well; 12.9% over the prior year and 37.4% for the periods shown across all categories. With compensation and benefits representing 50.2% of total operating expenses for the current fiscal year, any change in this expense category significantly impacts total operating expenses. While salary increases have been modest, recruitment and retention of the University's excellent professors, researchers, and physicians requires the payment of competitive salaries. Other operating expenses increased 21.2% from the prior year primarily due to an increase in research grants expenditures, payments to students from HEERF funding, and COVID-19 infrastructure and safeguarding activities. More detail on operating expenses appears above in *Figure 3*.

As a public university, the University of Utah receives funds from a variety of sources in support of its operations. While the Statement of Revenues, Expenses, and Changes in Net Position classifies certain funds as "nonoperating" for the purposes of financial reporting, such funds do, in fact, support the University's

operations by covering costs such as salaries and benefits, travel, research expenses, and student aid.

State appropriations increased 5.8% from prior year primarily due to reinstatement of funding cut in the fiscal year 2020 special session. During fiscal year 2021 the University raised an additional \$374 million in committed gifts. Although gifts appear to decrease 66% this fiscal year, it is due to a reclassification of previously recognized gifts as capital gifts. Investment income fluctuates from year to year, and reflects the impact of market performance. Fiscal year 2021 investment income increased 258.6% from the prior year due to a rebound in the financial markets as we continue to recover from the COVID-19 pandemic.

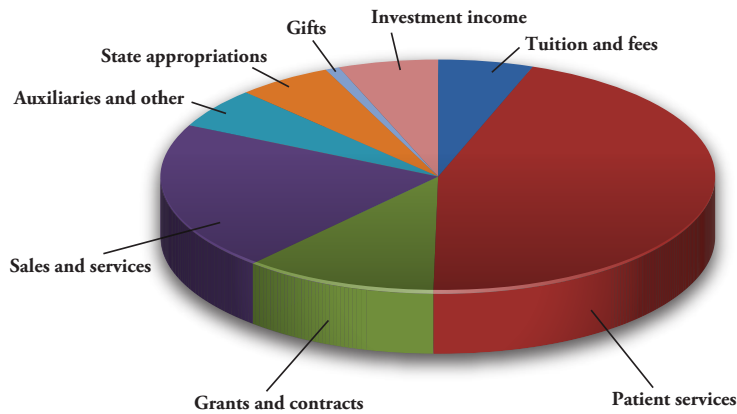
STATEMENT OF CASH FLOWS

A condensed version of the Statement of Cash Flows is shown in *Figure 4* on page 13.

Cash flows from operating activities primarily consist of tuition and fees, patient services, grants and contracts, and auxiliaries. Significant sources of cash provided by noncapital financing activities, as defined by GASB, include state appropriations, federal Pell grants and private gifts.

Cash increased 22.7% from the prior year. Impacting this increase was the receipt of federal CARES Act and HEERF funds. The CARES Act also provides for the deferral of payments of the employer portion of payroll

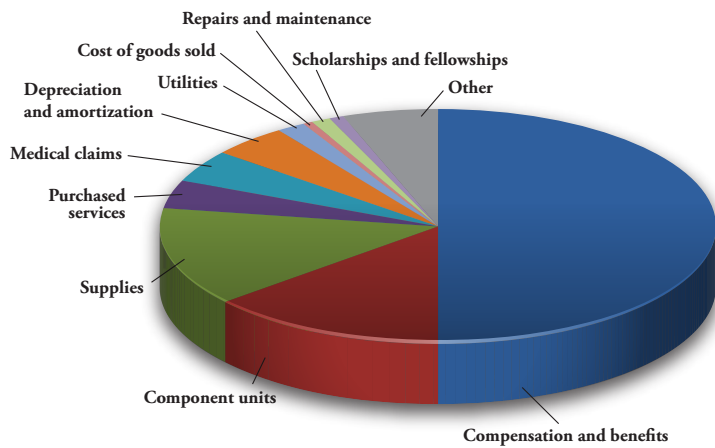
The graph below shows the various types of funding available to support the operations of the University:



**Sources of Revenue in Support of Operations
For the Year Ended June 30, 2021 (in thousands)**

Tuition and fees	\$376,295
Patient services	3,000,434
Grants and contracts	757,554
Sales and services	1,375,910
Auxiliaries and other	366,493
State appropriations	374,253
Gifts	56,315
Investment income & other	379,037

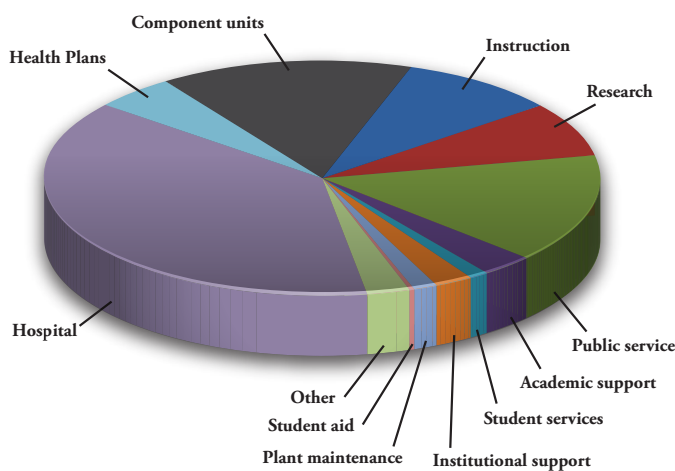
A graphical presentation of the University's operating expenses by natural classification appears below:



**Operating Expenses
For the Year Ended June 30, 2021 (in thousands)**

Compensation and benefits	\$3,009,018
Component units	835,649
Supplies	814,695
Purchased services	235,843
Medical claims	252,635
Depreciation and amortization	277,697
Utilities	99,377
Cost of goods sold	30,920
Repairs and maintenance	64,579
Scholarships and fellowships	49,596
Other	327,153

Note 18 provides more information regarding the classification of operating expenses by "function" (or purpose) as an alternative view to that which is presented on the face of the financial statements. A graphical presentation of the breakdown of operating expenses by functional classification follows:



**Functional Classification of Operating Expenses
For the Year Ended June 30, 2021 (in thousands)**

Instruction	\$557,607
Research	456,419
Public service	898,432
Academic support	178,369
Student services	67,383
Institutional support	127,099
Plant maintenance	95,690
Student aid	2,719
Other	159,810
Hospital	2,303,499
Health Plans	272,816
Component units	877,319

Figure 4

Condensed Statement of Cash Flows – for the years ended June 30 (in thousands)	2021	2020	2019	2018	2017
Cash flows provided/(used) by:					
Operating activities	(\$59,186)	\$29,272	\$18,852	(\$17,577)	(\$27,462)
Noncapital financing activities	901,271	570,489	555,815	486,181	476,027
Capital and related financing activities	(423,609)	(395,078)	(317,848)	(394,621)	(362,599)
Investing activities	(27,340)	758,174	(159,531)	(28,358)	(26,623)
Net increase (decrease) in cash	391,136	962,857	97,288	45,625	59,343
Cash - beginning of year	1,720,667	757,810	660,522	614,896	555,553
Cash - end of year	\$2,111,803	\$1,720,667	\$757,810	\$660,521	\$614,896

tax incurred through December 2020, allowing half of such taxes to be deferred until December 2021 and the remaining half until December 2022. The University actively manages its investment portfolio by balancing returns and liquidity, which may cause changes in cash balances. Cash and cash equivalents are held to the minimum needed to support operations, with any excess invested with varying maturity dates.

CAPITAL AND DEBT ACTIVITIES

- Some key construction projects were completed during the fiscal year, including the HCH Proton Therapy Vault and the Orthopedic Research Lab Expansion. Ongoing projects include the Ken Garff Performance Zone at Rice Eccles Stadium, MEDX (Medical Education & Discovery Complex), Kathryn F. Kirk Center for Comprehensive Cancer Care and Women’s Cancer Center, Health Sciences Garage, Roadways & Bridge, HELIX (Healthcare, Educators, Leaders Innovators Complex), Public Safety Building, and Applied Sciences Building. All of the current projects will be completed over the next several years.
- During fiscal year 2021, the University issued one bond series. In February, the University issued \$86,920,000 Tax-Exempt General Revenue Bonds, Series 2021A-1, \$7,700,000 Tax-Exempt General Revenue Bonds, Series 2021A-2, and \$76,870,000 Taxable General Revenue Refunding

Bonds, Series 2021B. Proceeds from the Series 2021A-1 bonds will be used to finance a portion of the construction costs of a Health Sciences building. Proceeds from the Series 2021A-2 bonds will be used to finance the acquisition, construction, improvement, equipping and furnishing of buildings and projects related to research at the University. Proceeds from the Series 2021B bonds were used to refund certain outstanding obligations of the Board issued on behalf of the University.

Strong credit ratings carry substantial advantages for the University, such as continued and wider access to capital markets when the University issues debt, lower interest rates on bonds and the ability to negotiate favorable bond terms.

The University’s Administration takes its role of financial stewardship seriously and works hard to manage its financial resources effectively. Continued high credit ratings, currently Aa1 according to Moody’s and AA+ according to S&P, for our General Revenue Bond System are important indicators of the University’s success in this area.

OUTLOOK FOR THE COMING FISCAL YEAR

With the University moving back to on campus learning for Fall 2021, total enrollment is at the highest it’s been in our 171-year history. With a total of 34,424 students, 5361 new freshmen, the most diverse first year class



ever, and the highest graduate enrollment in school history the University continues to grow and lead as a premier institution of higher education. Within the State of Utah, the pool of potential students ages 18 through 29 is expected to continue to climb through 2023 followed by a projected stabilization. While it is impossible to predict the full impact upon enrollment due to these challenges the University is well positioned to mitigate these risks.

Though the economic impact of COVID-19 over the last year and a half was significant, the future looks bright. As of August, 2021, the unemployment rate in Utah dropped to 2.6%, while the job growth rate was 3.8%, both of which are comparable to pre-pandemic numbers. The GDP for the nation grew 6.7% during the second quarter 2021, while the GDP for Utah, at \$178.2 billion, is the highest in state history. Overall the diversity of Utah's economy has allowed the State to recover quickly from the economic impacts of COVID-19 and regain its position as a leader in fiscal management and economic prosperity.

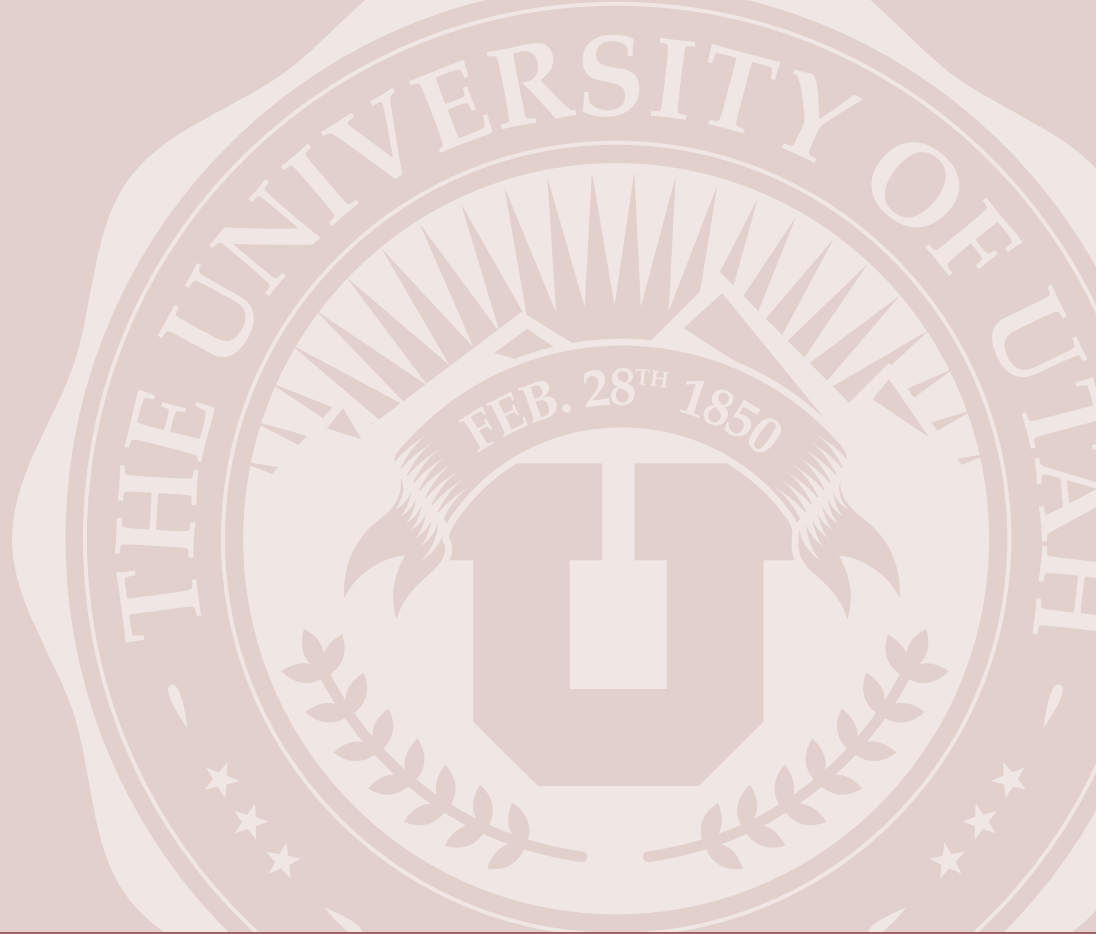
The University continues to benefit from the generosity of its donors and supporters and the number of active donors continues to increase. UUHC and ARUP continue to be recognized as leaders in their respective fields. The financial position for each is very strong and is expected to remain so. The University also remains very competitive in attracting research dollars and continues to see increases in sponsored project awards. 2021 set a new University record in research grants awarded at \$641 million.

The University exercises a prudent approach to the issuance of debt. With the need for expanded research, patient care, and student housing, comes the need to issue debt to support construction. Within the short-term, the University intends to undertake various construction projects, in most cases partially gift-funded, to support these critical areas. In addition, the University evaluates existing debt versus current interest rates to identify opportunities to refinance at better rates.

The University's endowment funds are managed so as to be available to mission-critical programs and initiatives – now and into the future. The University has invested in a portfolio of equity, fixed income and alternative assets whose valuations are impacted by market conditions, sometimes negatively in the short term. However, we believe our portfolio will provide solid financial footing for the University's endowments over the long term.

UUHIP successfully launched a new Medicare Advantage product late in fiscal year 2021 that offers clients the benefits of original Medicare coverage and more without the hassle of dealing with the federal government. Even with new products, UUHIP anticipates that the commercial market will continue to remain competitive due to unique market forces in Utah. As some uncertainty continues on the direction Federal regulation will go on the individual exchange, UUHIP regularly monitors local and national developments for factors that may impact its performance.

Overall, the University is in a sound financial position. The institution has strong strategic leadership and prudent financial management across the institution that work together to ensure its mission is met in the future.



FINANCIAL STATEMENTS



THE UNIVERSITY OF UTAH | Statement of Net Position

(in thousands of dollars)

As of June 30, 2021

ASSETS

Current Assets	
Cash and cash equivalents (Notes 2 & 4)	\$ 1,839,468
Short-term investments (Notes 2 & 4)	378,542
Receivables, net (Note 5)	731,395
Inventory (Note 1)	121,917
Other assets (Note 6)	60,797
<hr/> Total current assets	<hr/> 3,132,119
Noncurrent Assets	
Restricted cash and cash equivalents (Notes 2 & 4)	272,335
Restricted short-term investments (Notes 2 & 4)	4,358
Investments (Notes 3 & 4)	1,435,623
Restricted investments (Notes 3 & 4)	789,949
Restricted receivables, net (Note 5)	127,470
Donated property	1,231
Net pension asset	65,352
Other assets (Note 6)	10,852
Capital assets, net (Note 7)	3,988,313
<hr/> Total noncurrent assets	<hr/> 6,695,483
<hr/> Total assets	<hr/> 9,827,602

DEFERRED OUTFLOWS OF RESOURCES

Deferred loss on bond refunding (Note 1)	6,514
Deferred outflows related to pensions (Note 8)	33,380
Deferred outflows related to excess consideration (Note 1)	29,746
<hr/> Total deferred outflows of resources	<hr/> 69,640

LIABILITIES

Current Liabilities	
Accounts payable (Note 5)	
to the State of Utah	35,570
to Others	203,867
Accrued payroll	236,500
Compensated absences and early retirement benefits (Notes 1 & 15)	77,132
Unearned revenue (Note 9)	147,686
Deposits and other liabilities (Notes 11 & 15)	340,827
Bonds, notes and contracts payable (Notes 14, 15, & 16)	
to the State of Utah (HCH Phase II Lease)	5,460
to Others	69,182
<hr/> Total current liabilities	<hr/> 1,116,224
Noncurrent Liabilities	
Compensated absences and early retirement benefits (Notes 1 & 15)	55,180
Deposits and other liabilities (Notes 11 & 15)	96,316
Bonds, notes and contracts payable (Notes 14, 15, & 16)	
to the State of Utah (HCH Phase II Lease)	68,215
to Others	1,281,718
Net pension liability (Note 8)	1,755
<hr/> Total noncurrent liabilities	<hr/> 1,503,184
<hr/> Total liabilities	<hr/> 2,619,408

Continued on next page...

The accompanying notes are an integral part of these financial statements

THE UNIVERSITY OF UTAH | Statement of Net Position (cont'd)*(in thousands of dollars)***As of June 30, 2021****DEFERRED INFLOWS OF RESOURCES**

Deferred inflows related to bonds (Note 1)	6,108
Deferred inflows related to pensions (Note 8)	79,209
<hr/> Total deferred inflows of resources	<hr/> 85,317

NET POSITION

Net investment in capital assets	2,802,229
Restricted for	
Nonexpendable	
Instruction	235,781
Research	114,486
Public service	41,145
Academic support	87,827
Scholarships	325,669
Other	15,143
Expendable	
Research	161,138
Public service	151,012
Academic support	73,458
Institutional support	90,236
Scholarships	103,019
Loans	7,333
Insurance enterprises	53,642
Other	181,075
Unrestricted	2,749,324
<hr/> Total net position	<hr/> \$7,192,517

The accompanying notes are an integral part of these financial statements

THE UNIVERSITY OF UTAH | Statement of Revenues, Expenses, and Changes in Net Position

(in thousands of dollars)

For the Year Ended June 30, 2021

OPERATING REVENUES AND EXPENSES

Revenues	
Tuition and fees, net (Note 1)	\$ 376,295
Patient services, net (Notes 1 & 13)	3,000,434
Federal grants and contracts	359,157
State and local grants and contracts	58,843
Nongovernmental grants and contracts	148,240
Sales and services, net (Note 1)	1,375,910
Auxiliary enterprises, net (Note 1)	125,256
Other operating revenues	241,237
Total operating revenues	5,685,372
Expenses	
Compensation and benefits	3,009,018
Component units	835,649
Supplies	814,695
Purchased services	235,843
Medical claims	252,635
Depreciation and amortization	277,697
Utilities	99,377
Cost of goods sold	30,920
Repairs and maintenance	64,579
Scholarships and fellowships	49,596
Other operating expenses	327,153
Total operating expenses	5,997,162
Operating loss	(311,790)

NONOPERATING REVENUES (EXPENSES)

State appropriations	374,253
Government grants	191,314
Gifts	56,315
Investment income	297,953
Interest	(50,011)
Other	81,084
Total nonoperating revenues	950,908
Income before capital and permanent endowment additions	639,118

CAPITAL AND PERMANENT ENDOWMENT ADDITIONS

Capital appropriations	33,904
Capital grants and gifts	82,024
Additions to permanent endowments	51,758
Total capital and permanent endowment additions	167,686
Increase in net position	806,804

NET POSITION

Net position - beginning of year, as adjusted (Note 1)	6,385,713
Net position - end of year	\$7,192,517

The accompanying notes are an integral part of these financial statements

THE UNIVERSITY OF UTAH | Statement of Cash Flows

(in thousands of dollars)

For the Year Ended June 30, 2021

CASH FLOWS FROM OPERATING ACTIVITIES

Receipts from tuition and fees	\$ 389,571
Receipts from patient services	2,868,716
Receipts from grants and contracts	558,220
Receipts from auxiliary and educational services	1,506,989
Collection of loans to students	5,274
Payments to suppliers	(2,624,340)
Payments for compensation and benefits	(2,992,690)
Payments for scholarships and fellowships	(49,596)
Loans issued to students	(1,852)
Other	280,522
Net cash used by operating activities	(59,186)

CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES

State appropriations	374,253
Government grants	191,314
Federal direct loan receipts	135,018
Federal direct loan payments	(135,018)
Gifts	
Endowment	51,758
Nonendowment	189,842
Other	94,104
Net cash provided by noncapital financing activities	901,271

CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES

Proceeds from capital debt	171,490
Capital appropriations	34,281
Gifts	47,518
Purchase of capital assets	(444,159)
Principal paid on capital debt	(154,689)
Interest paid on capital debt	(78,050)
Net cash used by capital and related financing activities	(423,609)

CASH FLOWS FROM INVESTING ACTIVITIES

Proceeds from sales and maturities of investments	1,655,755
Receipt of interest and dividends on investments	30,560
Purchase of investments	(1,713,655)
Net cash used by investing activities	(27,340)
Net increase in cash	391,136

Cash - beginning of year 1,720,667

Cash - ending of year \$2,111,803

Continued on next page...

The accompanying notes are an integral part of these financial statements

THE UNIVERSITY OF UTAH | Statement of Cash Flows (cont'd)*(in thousands of dollars)***For the Year Ended June 30, 2021****RECONCILIATION OF OPERATING LOSS TO NET CASH PROVIDED****BY OPERATING ACTIVITIES**

Operating loss	\$ (311,790)
Adjustments	
Depreciation and amortization expense	277,697
Change in assets, deferred outflows of resources, liabilities and deferred inflows of resources	
Receivables, net	(123,058)
Inventory	(143)
Net pension asset	(61,179)
Other assets	2,644
Deferred outflows related to pensions	39,227
Accounts payable	34,011
Accrued payroll	58,072
Compensated absences and early retirement benefits	12,854
Unearned revenue	2,428
Deposits and other liabilities	42,698
Net pension liability	(63,222)
Deferred inflows related to pensions	30,575
Net cash used by operating activities	\$ (59,186)

NONCASH INVESTING, CAPITAL, AND FINANCING ACTIVITIES

Donated property and equipment	\$ 6,832
Completed construction projects transferred from State of Utah (Note 1)	(377)
Annuity and life income	(124)
Decrease in fair value of investments	(267,393)
Total noncash investing, capital, and financing activities	\$ (261,062)

The accompanying notes are an integral part of these financial statements

THE UNIVERSITY OF UTAH | Statement of Fiduciary Net Position

(in thousands of dollars)

As of June 30, 2021

ASSETS	Custodial Funds
Current Assets	
Cash and cash equivalents	\$ 2,292
Short-term investments	561
Total current assets	2,853
Noncurrent Assets	
Investments	17,726
Total noncurrent assets	17,726
Total assets	20,579
LIABILITIES	
Current Liabilities	
Accounts payable	800
Accrued payroll	77
Total current liabilities	877
Noncurrent Liabilities	
Deposits & other liabilities	17
Total noncurrent liabilities	17
Total liabilities	894
NET POSITION	
Restricted for:	
Individuals, organizations and other governments	19,685
Total net position	\$ 19,685

The accompanying notes are an integral part of these financial statements

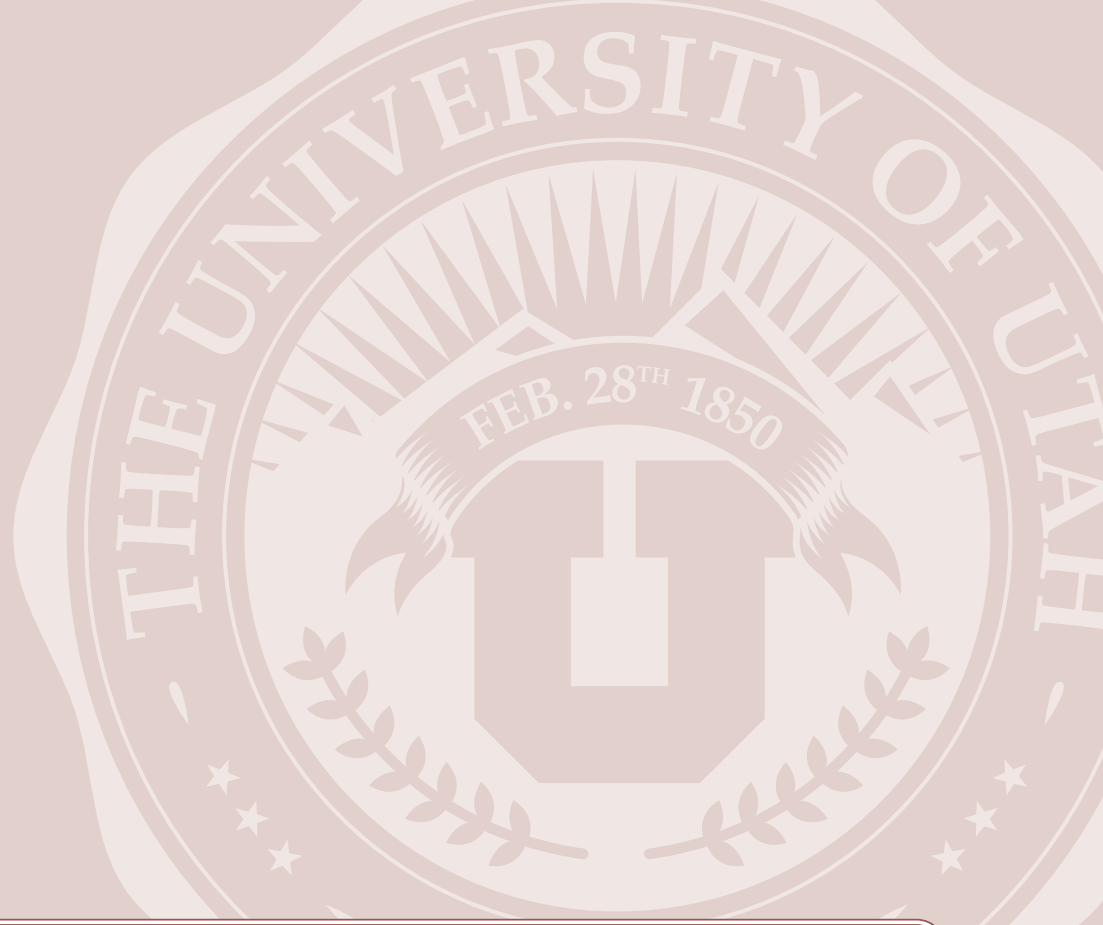
THE UNIVERSITY OF UTAH | Statement of Changes in Fiduciary Net Position

(in thousands of dollars)

For the Year Ended June 30, 2021

	Custodial Funds
Contributions	
Other governments	\$ 62,199
Other entities	42,300
<u>Total contributions</u>	<u>104,499</u>
Investment Earnings	
Net increase (decrease) in fair value of investments	2,765
Interest, dividends and other investment income	541
<u>Income from investment activity</u>	<u>3,306</u>
Deductions	
Payments to other governments, entities or individuals	107,611
<u>Total deductions</u>	<u>107,611</u>
<u>Net increase (decrease) in fiduciary net position</u>	<u>194</u>
Net position - beginning of year	19,491
<u>Net position - end of year</u>	<u>\$ 19,685</u>

The accompanying notes are an integral part of these financial statements



NOTES TO FINANCIAL STATEMENTS



1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Reporting Entity

The financial statements report the financial activity of the University of Utah (University), including the University of Utah Hospitals and Clinics (UUHC). The University is a component unit of the State of Utah (State).

Component units are entities that are legally separate from the University, but are financially accountable to the University, or whose relationships with the University are such that exclusion would cause the University's financial statements to be misleading or incomplete. University administrators hold a majority of seats on the boards of trustees of four other related entities representing component units of the University. Because the University appoints the majority of the four boards, is able to impose its will on these organizations, and the organizations almost exclusively benefit the University, the financial accountability criteria as defined by Governmental Accounting Standards Board (GASB) Statement No. 61, *The Financial Reporting Entity: Omnibus an amendment of GASB Statements No. 14 and No. 34*, have been met and the four organizations are included as blended component units of the University. The component units of the University are ARUP Laboratories, Inc. (ARUP), Community Nursing Service (CNS), University of Utah Health Insurance Plans (UUHIP), and the University of Utah Research Foundation (UURF).

- ARUP is a not-for-profit corporation that provides clinical and anatomic pathology reference laboratory services to medical centers, hospitals, clinics and other clinical laboratories throughout the United States, including UUHC. ARUP contracts with the University of Utah School of Medicine Department of Pathology to provide pathology consulting services. The fiscal year end for ARUP is June 30. Other independent auditors audited ARUP and their report, dated September 1, 2021, was issued under separate cover.
- CNS is a not-for-profit corporation that assists clients to attain health care goals, while maintaining their independence and dignity, through home health and hospice care. The fiscal year end for CNS is December 31. Other

independent auditors audited CNS and their report, dated June 24, 2021, was issued under separate cover.

- UUHIP is a health insurance company operating as a licensed non-profit health service insurance corporation as provided in Chapter 7 of Title 31A of the Utah Insurance Code. UUHIP writes individual and group health insurance products. The fiscal year end for UUHIP is December 31. Other independent auditors audited UUHIP and their report, dated September 30, 2021, was issued under separate cover.

Health insurance companies are subject to certain minimum surplus requirements as specified by the National Association of Insurance Commissioners (NAIC) and the Utah Insurance Department. Under those requirements, the amount of capital and surplus maintained by a health service insurance corporation is to be the greater of minimum Risk-Based Capital (RBC) or \$400,000. RBC is determined based on the various risk factors related to UUHIP's operations. Regulatory compliance is determined by a ratio of UUHIP's total adjusted capital, calculated in the manner prescribed by NAIC to its authorized control level RBC. If UUHIP drops below specific trigger levels, a specified corrective action is required. The minimum level of total adjusted capital before corrective action commences is twice the authorized control level RBC. UUHIP met both minimum surplus requirements with RBC exceeding the authorized control level and surplus exceeding \$400,000 at December 31, 2020.

- UURF is a not-for-profit corporation governed by a board of directors who, with the exception of two directors, are affiliated with the University. The operations of UURF include the leasing and administration of Research Park (a research park located on land owned by the University), the leasing of certain buildings, and the commercial development of patents and products developed by University personnel. As part of its mission to advance technology commercialization, UURF creates new corporate entities to facilitate the startup process. In general, these entities do not have assets. Expenses related to the companies are expensed as incurred. The fiscal year end

for UURF is June 30. UURF is audited by other independent auditors and their report, dated September 21, 2021, was issued under separate cover.

The University, ARUP, CNS, UUHIP, and UURF apply all GASB pronouncements in the accounting and reporting of their operations.

B. Basis of Accounting

All statements have been prepared using the economic resources measurement focus and the accrual basis of accounting. Operating activities include all revenues and expenses, derived on an exchange basis, used to support the instructional, research and public service efforts, and other University priorities. Significant recurring sources of the University's revenues are considered nonoperating as defined by GASB Statement No. 34, *Basic Financial Statements – and Management's Discussion and Analysis – for State and Local Governments*, and required by GASB Statement No. 35, *Basic Financial Statements – and Management's Discussion and Analysis – for Public Colleges and Universities*. Operating revenues include tuition and fees, grants and contracts, patient services, and revenue from various auxiliary and public service functions. Nonoperating revenues include state appropriations, Pell grants and certain government grants, gifts, and investment income. Operating expenses include compensation and benefits, student aid, supplies, repairs and maintenance, utilities, etc. Nonoperating expenses primarily include interest on debt obligations.

When both restricted and unrestricted resources are available, such resources are tracked and spent at the discretion of the department subject to donor restrictions, where applicable.

In accordance with GASB Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions*, the University recognizes gifts, grants, appropriations, and the estimated net realizable value of pledges as revenue as soon as all eligibility requirements imposed by the provider have been met.

Patient revenue of UUHC and the School of Medicine medical practice plan is reported net of third-party adjustments.



For the year ended June 30, 2021, the University adopted GASB Statement No. 84, *Fiduciary Activities*. GASB 84 intends to enhance consistency and comparability on how fiduciary activities are reported by providing additional guidance on what qualifies as a fiduciary activity. The adoption of this statement resulted in a shift of various funds previously classified as agency, which were reported as assets and liabilities on the University's Statement of Net Position, to a classification of University operating funds. The funds that were not re-categorized are reported as Custodial Funds in the fiduciary fund statements. Activities that are reported as custodial use the economic resources measurement focus and the accrual basis of accounting and consist of assets held by the University for organizations that are outside of the University's reporting entity, are not derived from University revenues, and are held for the benefit of outside organizations. The University reports Custodial Funds on the Statement of Fiduciary Net Position and Statement of Changes in Fiduciary Net Position.

C. Investments

Investments are recorded at fair value in accordance with GASB Statement No. 72, *Fair Value*

Measurement and Application. Accordingly, the change in fair value of investments is recognized as an increase or decrease to investment assets and investment income. The University distributes earnings from pooled investments based on the average daily investment of each participating account; or for endowments, distributes according to the University’s spending policy. A portion of the University’s endowment portfolio is invested in “alternative investments”. These investments, unlike more traditional investments, generally do not have readily obtainable market values and typically take the form of limited partnerships. See Note 4 for more information regarding these investments and the University’s outstanding commitments under the terms of the partnership agreements. The University values these investments based on the partnerships’ audited financial statements. If June 30 statements are available, those values are used preferentially. However, some partnerships have fiscal years ending at other than June 30. If June 30 valuations are not available, the value is progressed from the most recently available valuation taking into account subsequent calls and distributions.

D. Allowances

In accordance with GASB Statement No. 34, certain expenses are netted against revenues as allowances. The following schedule presents revenue allowances for the year ended June 30, 2021:

Revenue Allowances	
Tuition and fees	\$102,129,492
Patient services	101,976,729
Sales and services	1,864
Auxiliary enterprises	1,795,251

E. Inventories

The University Campus Store’s inventories are valued using the retail inventory method. All other inventories are stated at the lower of cost or market using the first-in, first-out method or, on a basis that approximates cost determined on the first-in, first-out method. ARUP inventories consist primarily of laboratory testing supplies and are stated at the lower of cost (using the first-in, first-out method) or net realizable value. ARUP inventory includes a reserve of \$12.1 million related to COVID-19 testing supplies that may not be used in future testing due to a sharp decline in such testing.

F. Research and Development Costs

Research and development costs of ARUP are expensed as incurred. These costs for the year ended June 30, 2021 were approximately \$14.6 million.

G. Compensated Absences & Early Retirement Benefits

Employees’ vacation leave, excluding UUHC, is accrued at a rate of eight hours each month for the first five years and increases to a rate of 16.67 hours each month after fifteen years of service. There is no requirement to use vacation leave, but a maximum of thirty days plus one-year accrual may be carried forward at the beginning of each calendar year. Eligible employees are reimbursed for unused vacation leave upon termination and vacation leave is expended when used or reimbursed. The liability for vacation leave at June 30, 2021 was approximately \$58.9 million.

Employees earn sick leave at a rate of eight hours each month, with an accumulation limit of 1,040 hours. The University does not reimburse employees for unused sick leave. Each year, eligible employees may convert up to four days of unused sick leave to vacation leave based on their use of sick leave during the year. Sick leave is expended when used.

In addition, the University may provide early retirement benefits, if approved by the Administration and by the Board of Trustees; for certain employees who have attained the age of 60 with at least fifteen years of service and who have been approved for the University’s early retirement program. Currently, 158 employees participate in the early retirement program. The University pays each early retiree an annual amount equal to the lesser of 20% of the retiree’s final salary or their estimated social security benefit, as well as health care and life insurance premiums, which is approximately 50% of their early retirement salary, until the employee reaches full social security retirement age. In accordance with GASB Statement No. 47, Accounting for Termination Benefits, the amount recognized on the financial statements was calculated at the discounted present value of the projected future costs. For the year ended June 30, 2021, these expenditures were approximately \$14 million.

Employees of UUHC receive a combined accrual for paid time off in lieu of the separate vacation and sick accruals received by University employees.

Accrual rates for paid time off begin at 13.33 hours per month and increase each five years until the maximum accrual of 20.00 hours per month is reached after ten years of service. The maximum number of hours which can be carried forward at the beginning of a calendar year is 520 hours for staff and 600 hours for managers and directors. Employees who meet specified accrual balances have the option to receive an annual payout of up to 80 hours in May or November. Employees are paid for all unused paid time off hours upon termination. The cost of paid time off is accrued each month by the Hospital. The liability for paid time off at June 30, 2021 was approximately \$60 million.

H. Construction

The Utah State Division of Facilities Construction and Management (DFCM) administers most of the construction of facilities for state institutions, maintains records, and furnishes cost information for recording plant assets on the books of the University. Interest expense incurred for construction of capital facilities is capitalized on certain projects. Construction projects administered by DFCM are not recorded on the books of the University until the facility has been completed and transferred to the University.

I. Deferred Outflows and Inflows of Resources

In addition to assets, financial statements will sometimes report a separate section for deferred outflows of resources. This separate financial statement element, deferred outflows of resources, represents a consumption of net position that applies to a future period(s) and will not be recognized as an outflow of resources (expense/expenditure) until then. In addition to liabilities, the financial statements will sometimes report a separate section for deferred inflows of resources. This separate financial statement element, deferred inflows of resources, represents an acquisition of net position that applies to a future period(s) and will not be recognized as an inflow of resources (revenue) until that time. In accordance with GASB Statement No. 65, Items Previously Reported as Assets and Liabilities, losses incurred due to refunding of bond debt are reported as deferred outflows rather than as reductions to bond liabilities, gains resulting from bond refinancing transactions are reported as deferred inflows. In accordance with GASB Statement No. 68, Accounting and Financial

Reporting for Pensions, deferred outflows and deferred inflows of resources related to pensions have been recorded. Further information regarding pension reporting is found in Note 8.

J. Pensions

For purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Utah Retirement Systems Pension Plan (URS) and additions to/deductions from URS's fiduciary net position have been determined on the same basis as they are reported by URS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

K. Adjustments to Beginning Net Position

For the year ended June 30, 2021, the University implemented GASB Statement No. 84, Fiduciary Activities, which increased beginning net position by \$0.4 million. Additionally, a reevaluation of how prior year gifts are recognized resulted in a decrease to beginning net position of \$46.5 million.

2. CASH, CASH EQUIVALENTS, AND SHORT-TERM INVESTMENTS

Cash and cash equivalents consists of cash and short-term investments with an original maturity of three months or less. Cash, depending on source of receipts, is pooled, except for cash and cash equivalents held by ARUP, CNS and UUHIP and, when legal requirements dictate the use of separate accounts. The cash balances are invested principally in short-term investments that conform to the provisions of the Utah Code. It is the practice of the University that the investments ordinarily be held to maturity at which time the par value of the investments will be realized.

The Utah State Treasurer's Office operates the Utah Public Treasurers' Investment Fund (PTIF) which is managed in accordance with the State of Utah Money Management Act (Act) and is available for investment of funds administered by any Utah public treasurer.

Short-term investments have original maturities longer than three months and remaining maturities of one year or less.

At June 30, 2021, cash and cash equivalents and short-term investments consisted of:

Cash and Cash Equivalents	
Cash	\$ 78,102,770
Money market funds	1,414,100,020
Utah Public Treasurers' Investment Fund	549,719,134
U.S. Treasuries	69,881,565
Total (fair value)	\$2,111,803,489

Short-term Investments	
Commercial paper	\$ 11,658,893
Time certificates of deposit	1,569,742
U.S. Treasuries	202,044,239
U.S. Agencies	132,581,721
Corporate notes	35,045,233
Total (fair value)	\$ 382,899,828

3. INVESTMENTS

Funds available for investment are pooled to maximize return and minimize administrative cost, except for funds that are authorized by the University administration to be separately invested or which are separately invested to meet legal or donor requirements. Investments received as gifts are recorded at fair value on the date of receipt. Other investments also are recorded at fair value.

University personnel manage certain portfolios and other portfolios are managed by banks, investment advisors, or through trust agreements.

According to the Uniform Prudent Management of Institutional Funds Act (UPMIFA), Section 51-8 of the Utah Code, the institution may appropriate for expenditure or accumulate so much of an endowment fund as the University determines to be prudent for uses, benefits, purposes, and duration for which the endowment was established. The endowment income spending practice at June 30, 2021 was 4% of the twelve-quarter moving average of the market value of the endowment pool. The spending practices are reviewed periodically and any necessary changes are made. In general, nearly all of the University's endowment is subject to spending restrictions imposed by donors.

The amount of net appreciation on investments of donor-restricted endowments available for authorization for expenditure at June 30, 2021 was approximately \$219,025,000. The net appreciation is a component of restricted expendable net position.

At June 30, 2021, the investment portfolio composition was as follows:

Investments	
Time certificates of deposits	\$ 10,792,248
U.S. Treasuries	106,352,972
U.S. Agencies	697,381,230
Corporate notes	85,529,711
Exchange traded derivatives	6,573,417
Mutual funds	1,291,714,062
Common and preferred stocks	27,228,841
Total (fair value)	\$2,225,572,481

4. DEPOSITS AND INVESTMENTS

The State of Utah Money Management Council has the responsibility to advise the Utah State Treasurer about investment policies, promote measures and rules that will assist in strengthening the banking and credit structure of the State, and review the rules adopted under the authority of the Act that relate to the deposit and investment of public funds.

Except for endowment funds, the University follows the requirements of the Act (*Utah Code*, Section 51, Chapter 7) in handling its depository and investment transactions. The Act requires the depositing of University funds in a qualified depository. The Act defines a qualified depository as any financial institution whose deposits are insured by an agency of the federal government and which has been certified by the State Commissioner of Financial Institutions as meeting the requirements of the Act and adhering to the rules of the Utah Money Management Council.

For endowment funds, the University follows the requirements of the UPMIFA, the Utah Board of Higher Education Rule 541, *Management and Reporting of Institutional Investments* (Rule 541), and the University's investment policy and endowment guidelines.

ARUP, CNS and UUHIP follow their own investment policies and manage their credit risk by

requiring that 70% of their investment portfolio must be compliant with the Act.

Deposits

Custodial Credit Risk: Custodial credit risk for deposits is the risk that, in the event of a bank failure, the University's deposits may not be returned.

At June 30, 2021, the carrying amounts of the University's deposits and bank balances were \$10,423,197 and \$58,613,701, respectively. The Federal Deposit Insurance Corporation (FDIC) provides deposit insurance coverage up to \$250,000 for demand deposits and \$250,000 for time and savings deposits at each banking institution. As a result, the bank balances of the University were insured for \$1,395,785, by the FDIC. The bank balances in excess of that amount were uninsured and uncollateralized, leaving \$57,217,916 exposed to custodial credit risk. The University's policy for reducing this risk of loss is to deposit all such balances in qualified depositories, as defined and required by the Act.

Investments

The Act defines the types of securities authorized as appropriate investments for the University's non-endowment funds and the conditions for making investment transactions. Investment transactions may be conducted only through qualified depositories, certified dealers, or directly with issuers of the investment securities.

These statutes authorize the University to invest in negotiable or nonnegotiable deposits of qualified or permitted depositories; repurchase and reverse repurchase agreements; commercial paper that is classified as "first tier" by two nationally recognized statistical rating organizations; bankers' acceptances; obligations of the United States Treasury including bills, notes, and bonds; obligations, other than mortgage derivative products, issued by U.S. government sponsored enterprises (U.S. Agencies) such as the Federal Home Loan Bank System, Federal Home Loan Mortgage Corporation (Freddie Mac), or Federal National Mortgage Association (Fannie Mae); bonds, notes, and other evidence of indebtedness of political subdivisions of the State; fixed rate corporate obligations and variable rate securities rated "A" or higher, or the equivalent of "A" or higher, by two nationally recognized statistical rating organizations; shares or certificates

in a money market mutual fund as defined in the Act; reciprocal deposits and negotiable brokered certificates of deposit in accordance with the Act; and the Utah Public Treasurers' Investment Fund.

The Utah State Treasurer's Office operates the Public Treasurers' Investment Fund (PTIF). The PTIF is available for investment of funds administered by any Utah public treasurer and is not registered with the Securities and Exchange Commission (SEC) as an investment company. The PTIF is authorized and regulated by the Money Management Act (Utah Code, Title 51, Chapter 7). The Act established the Money Management Council which oversees the activities of the Utah State Treasurer and the PTIF and details the types of authorized investments. Deposits in the PTIF are not insured or otherwise guaranteed by the State of Utah, and participants share proportionally in realized gains or losses on investments.

The UPMIFA, Rule 541, and the University's endowment guidelines allow the University to invest endowment funds (including gifts, devises, or bequests of property of any kind from any source) in any of the above investments or any of the following subject to satisfying certain criteria: mutual funds registered with the SEC, investments sponsored by the Common Fund; any investment made in accordance with the donor's directions in a written instrument; investments in corporate stock listed on a major exchange (direct ownership); and any alternative investment funds that derive returns primarily from high yield and distressed debt (hedged or non-hedged), private capital (including venture capital and private equity), natural resources, and private real estate assets or absolute return and long/short hedge funds.

Fair Value of Investments

The University measures and records its investments using fair value measurement guidelines established by generally accepted accounting principles. These guidelines recognize a three-tiered fair value hierarchy, as follows:

- *Level 1:* Quoted prices for identical investments in active markets;
- *Level 2:* Observable inputs other than quoted market prices; and,
- *Level 3:* Unobservable inputs.

At June 30, 2021, the University had the following recurring fair value measurements:

Investments by fair value level	Fair Value	Fair Value Measurements Using		
		Level 1	Level 2	Level 3
Debt securities				
Money market mutual funds	\$ 1,414,100,020	\$ 3,953,816	\$ 1,410,146,204	
Utah Public Treasurers' Investment Fund	549,719,134		549,719,134	
Commercial paper	11,658,893		11,658,893	
Time certificates of deposit	12,361,990	9,823,028	2,538,962	
U.S. Treasuries	378,278,776		378,278,776	
U.S. Agencies	829,962,951		829,962,951	
Corporate notes	120,574,944	3,232,488	117,342,456	
Exchange traded derivatives	6,573,417	6,573,417		
Mutual bond funds	174,190,505	199,514	173,990,991	
Total debt securities	3,497,420,630	23,782,263	3,473,638,367	
Equity securities				
Common and preferred stocks	27,228,841	21,793,662		\$ 5,435,179
Mutual equity funds	452,297,827	3,372,365	448,925,462	
Total equity securities	479,526,668	25,166,027	448,925,462	5,435,179
Total investments by fair value level	3,976,947,298	48,948,290	3,922,563,829	5,435,179
Investments measured at net asset value (NAV)				
Hedged equity	102,986,026			
Private equity	74,155,736			
Venture capital	102,040,794			
Credit sensitive fixed income	73,629,846			
Private real estate	14,422,811			
Private natural resources	1,898,529			
Other real assets	95,632,974			
Diversifying strategies	200,459,014			
Total investments measured at the NAV	665,225,730			
Total investments measured at fair value	\$ 4,642,173,028	\$ 48,948,290	\$ 3,922,563,829	\$ 5,435,179

Debt and equity securities classified in Level 1 are valued using prices quoted in active markets for those securities. Debt and equity securities classified in Level 2 are valued using the following approaches:

- U.S. Treasuries and U.S. Agencies and Commercial Paper: quoted prices for identical securities in markets that are not active;
- Corporate and Municipal Bonds and Negotiable Certificates of Deposit: quoted prices for similar securities in active markets;
- Money Market, Bond, and Equity Mutual Funds: published fair value per share (unit) for each fund; and

- Utah Public Treasurers' Investment Fund: application of the June 30, 2021 fair value factor, as calculated by the Utah State Treasurer, to the University's ending balance in the Fund.

Equity securities, namely common and preferred stocks, classified as Level 3 are valued manually using various sources such as issuer, investment manager or default price if a price is not provided.

Investments valued using the net asset value (NAV) per share (or its equivalent) are considered "alternative investments" and, unlike more traditional investments, generally do not have readily obtainable market values and take the form of limited partnerships. The University values these

investments based on the partnerships' audited financial statements. If June 30 statements are available, those values are used preferentially. However, some partnerships have fiscal years ending at other than June 30. If June 30 valuations are not available, the value is progressed from the most recently available valuation taking into account subsequent calls and distributions. The following table presents the unfunded commitments, redemption frequency (if currently eligible), and the redemption notice period for the University's alternative investments measured at NAV:

Investments Measured at Net Asset Value (NAV)				
Investments	Fair Value	Unfunded Commitments	Redemption Frequency	Redemption Notice Period
Hedged equity	\$ 102,986,026		Monthly, quarterly	30-75 days
Private equity	74,155,736	\$ 15,294,590	N/A	N/A
Venture capital	102,040,794	25,254,128	N/A	N/A
Credit sensitive fixed income	73,629,846	21,288,513	Quarterly	90 days
Private real estate	14,422,811	3,641,335	N/A	N/A
Private natural resources	1,898,529	684,643	N/A	N/A
Other real assets	95,632,974	11,361,297	N/A	N/A
Diversifying strategies	200,459,014		Daily, quarterly, annually	0-90 days
Total alternative investments	\$ 665,225,730			
Total unfunded commitments		\$ 77,524,506		

Interest Rate Risk: Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. The University's policy for managing its exposure to fair value loss arising from increasing interest rates is to comply with the Act or the UPMIFA and Rule 541, as applicable. For non-endowment funds, Section 51-7-11 of the Act requires that the remaining term to maturity of investments may not exceed the period of availability of the funds to be invested. The Act further limits the remaining term to maturity on all investments in commercial paper, bankers' acceptances, fixed rate negotiable deposits and fixed rate corporate obligations to 270 days -15 months or less. The Act further limits the remaining term to maturity on all investments in obligations of the United States Treasury; obligations issued by U.S. government

sponsored enterprises; and bonds, notes, and other evidence of indebtedness of political subdivisions of the State to ten years. In addition, variable rate negotiable deposits and variable rate securities may not have a remaining term to final maturity exceeding three years. For endowment funds, Rule 541 is more general, requiring only that investments be made as a prudent investor would, by considering the purposes, terms, distribution requirements, and other circumstances of the endowments and by exercising reasonable care, skill, and caution.

As of June 30, 2021, the University had debt investments with maturities as shown below in *Figure 1*.

Credit Risk: Credit risk is the risk that an issuer or other counterparty to an investment will not fulfill

Investment Type	Fair Value	Investment Maturities (in years)			
		Less than 1	1 - 5	6 - 10	More than 10
Money market mutual funds	\$ 1,414,100,020	\$ 1,414,100,020			
Utah Public Treasurers' Investment Fund	549,719,134	549,719,314			
Commercial paper	11,658,893	11,658,893			
Time certificates of deposit	12,361,990	1,569,742	\$ 10,792,248		
U.S. Treasuries	378,278,776	271,923,288	106,355,488		
U.S. Agencies	829,962,951	132,581,721	431,472,667	\$ 260,172,611	\$ 5,735,952
Corporate notes	120,574,944	35,045,233	85,429,418	100,293	
Exchange traded diversities	6,573,417		501,175	177,600	5,894,642
Mutual bond funds	174,190,505		50,051,529	124,138,976	
Totals	\$ 3,497,420,630	\$ 2,416,598,031	\$ 684,602,525	\$ 384,589,480	\$ 11,630,594



its obligations. The University's policy for reducing its exposure to credit risk is to comply with the Act, the UPMIFA, and Rule 541, as previously discussed. ARUP, CNS and UUHIP manage their credit risk by requiring that 70% of their investment portfolio must be compliant with the Act.

At June 30, 2021, the University had debt investments with quality ratings as shown below in *Figure 2*.

Custodial Credit Risk: Custodial credit risk for investments is the risk that, in the event of a

failure of the counterparty, the University will not be able to recover the value of its investments or collateral securities that are in the possession of an outside party. The University's policy for reducing its exposure to custodial credit risk is to comply with applicable provisions of the Act. As required by the Act, all applicable securities purchased were delivered versus payment and held in safekeeping by a bank. Also, as required, the ownership of book-entry-only securities, such as U.S. Treasury or Agency securities, by the University's custodial bank was reflected in the book-entry records of the issuer and the University's ownership was represented by a receipt, confirmation, or statement issued by the custodial bank.

At June 30, 2021, the University's custodial bank was both the custodian and the investment counterparty for \$1,208,237,515 of U.S. Treasury and Agency securities purchased by the University.

Concentration of Credit Risk: Concentration of credit risk is the risk of loss attributed to the magnitude of a government's investment in a single issuer. The University's policy for reducing this risk of loss is to comply with the Rules of the Council or the UPMIFA and Rule 541, as applicable. Rule 17 of the Council limits non-endowment fund investments in a single issuer of commercial paper and corporate obligations to 5-10% depending upon the total dollar amount held in the portfolio at the time of purchase.

For endowments, the University, under Rule 541, is permitted to establish its own investment policy, which adheres to the guidelines established by UPMIFA. Accordingly, the University's Pool Asset

Investment Type	Fair Value	Quality Rating					
		AAA/A-1*	AA	A	BBB	Unrated	No Risk
Money market mutual funds	\$ 1,414,100,020	\$ 1,113,191,626				\$ 300,908,394	
Utah Public Treasurers' Investment Fund	549,719,134					549,719,134	
Commercial paper	11,658,893	11,658,893					
Time certificates of deposit	12,361,990		\$ 959,830	\$ 2,858,190	\$ 2,861,488	5,682,482	
U.S. Treasuries	378,278,776						\$378,278,776
U.S. Agencies	829,962,951	46,781,737	536,893,041			246,288,173	
Corporate notes	120,574,944	7,012,581	18,583,698	88,625,487	\$ 5,484,961	868,217	
Exchange traded derivatives	6,573,417				4,154,546	2,418,871	
Mutual bond funds	174,190,505		49,284,286			124,906,219	
Totals	\$ 3,497,420,630	\$ 1,178,64,837	\$ 605,720,855	\$ 91,483,677	\$ 12,500,995	\$ 1,230,791,490	\$ 378,278,776

*A-1 is Commercial paper, Certificates of deposit and Agency Note rating

Allocation Guidelines allocates endowment funds in the following asset classes:

Asset Category	Target	Range
Global Equity	40%	30% - 50%
Public Equities	25%	15% - 50%
Hedged Equity*	5%	0% - 10%
Private Equity*	10%	0% - 15%
Global Fixed Income/Credit	20%	10% - 40%
Interest Rate Sensitive	11%	5% - 40%
Credit Sensitive*	9%	0% - 20%
Real Assets	20%	10% - 30%
Real Estate*	7%	0% - 15%
Natural Resources*	8%	0% - 10%
Infrastructure*	5%	0% - 10%
Diversifying Strategies*	20%	0% - 30%

* May include semi-liquid hedge funds or illiquid private capital funds.

The University diversifies assets among several investment managers of varying investment strategies. Diversification is an effective means of maximizing return while mitigating risk. At June 30, 2021, the University held more than 5% of its total investments in the Federal Home Loan Bank, and the Federal Agricultural Mortgage Corporation. These investments represent 5.5%, and 5.2%, respectively, of the University's total investments.

Foreign Currency Risk: Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of an investment or a deposit. The University does not have a formal policy to limit foreign currency risk. At June 30, 2021, the University's exposure to foreign currency risk is \$7,919,713 in Private Real Estate investments being held in Euro currency denomination.

5. RECEIVABLES AND ACCOUNTS PAYABLE

Accounts, pledges, and interest receivable include hospital patient accounts, medical services plan accounts, trade accounts, pledges, interest income on investments, and other receivables. Loans receivable predominantly consist of student loans.

Allowances for doubtful accounts are established by charges to operations to cover anticipated losses from accounts receivable generated by sales and services and student loans. Such accounts are charged to the

allowance when collection appears doubtful. Any subsequent recoveries are credited to the allowance accounts. Allowances are not established for pledges or in those instances where receivables consist of amounts due from governmental units or where receivables are not material in amount.

The following schedule presents receivables at June 30, 2021, including approximately \$10.9 million and \$116.6 million of noncurrent loans, and pledges receivable, respectively:

Accounts	\$ 1,136,935,911
Grants and contracts	55,249,540
Loans	15,961,971
Pledges	126,349,079
Interest	5,824,576
	1,340,321,077
Less allowances for doubtful accounts	(481,456,707)
Receivables, net	\$ 858,864,370

The following schedule presents the major components of accounts payable at June 30, 2021:

Vendors	\$ 63,968,565
Interest	23,986,765
Payable to State	35,569,966
Other	115,911,620
Total accounts payable	\$ 239,436,916

6. OTHER ASSETS

Prepaid rent to the State of Utah, for the Huntsman Cancer Hospital, is amortized using the straight-line method. The June 30, 2021 balance of prepaid rent to the State was \$4.7 million.

In the course of licensing intellectual property to business partners, the UURF may be granted an equity position in the entity the business partner has organized to commercialize University technology. The primary purpose of licensing University technology to the commercial entity, as well as, providing funding to the commercial entity, is to encourage research and positively impact the state, nation and world. The equity holdings the UURF is granted are a consequence of licensing University technology and do not meet the definition of investments for purposes of GASB 72 and thus, are classified as other assets in the Statement Net Position.

7. CAPITAL ASSETS

Buildings; infrastructure and improvements, which include roads, curb and gutter, streets and sidewalks, and lighting systems; land; equipment; library materials; and intangible assets (primarily software) are valued at historical cost or at acquisition value at the date of donation. Buildings, infrastructure and improvements, and additions to existing assets are capitalized when acquisition cost equals or exceeds \$250,000 for the University or \$5,000 for UUHC. Equipment is capitalized when acquisition costs exceed \$5,000 for the University or \$2,500 for UUHC. All costs incurred in the acquisition of library materials are capitalized. Purchased software is capitalized when acquisition costs are \$100,000 or greater and developed software is capitalized when development costs are \$1,000,000 or greater for the University or \$2,500 for both purchased and developed software for UUHC. All campus land acquired through grants from the U.S. Government has been valued at \$3,000 per acre. Other land acquisitions have been valued at original cost or fair market value at the date of donation in the case of gifts. Buildings, improvements, land, and equipment of component units have been valued at historical cost.

Capital assets of the University and its component units are depreciated on a straight-line basis over their estimated useful lives. The estimated useful lives of University assets extend to forty years

on buildings, fifteen years on infrastructure and improvements, twenty years on library books, from five to twenty years on equipment and from five to ten years on software. The estimated useful lives of component unit assets extend to fifty years on buildings and improvements and from three to eight years on equipment. Land, art and special collections, and construction in progress are not depreciated.

At June 30, 2021, the University had outstanding commitments for the construction and remodeling of University buildings of approximately \$70.5 million. Capital assets at June 30, 2021, are shown in below *Figure 3*.

8. PENSION PLANS AND RETIREMENT BENEFITS

As required by State law, eligible nonexempt employees (as defined by the U.S. Fair Labor Standards Act) of the University are covered by defined benefit plans sponsored by the Utah Retirement Systems (Systems) and eligible exempt employees (as defined by the U.S. Fair Labor Standards Act) are covered by defined contribution plans, such as the Teachers Insurance and Annuity Association (TIAA), the UUHC 401(a) Plan, the UUHC Hospital Plan Plus (HPP) Benefit Program, or Fidelity Investments (Fidelity). Eligible employees of ARUP are covered by a separate defined contribution pension plan and

<i>Figure 3 (in thousands of dollars)</i>	Beginning Balance	Additions	Retirements	Ending Balance
Buildings	\$ 4,205,855	\$ 270,460	\$ (13,481)	\$ 4,462,834
Infrastructure and improvements	516,229	21,391	(1,370)	536,250
Land	84,924	8,823	0	93,747
Equipment (including intangibles)	1,297,765	116,919	(42,328)	1,372,356
Library materials	133,120	317	0	133,437
Art and special collections	93,965	7,352	(67)	101,250
Construction in progress	381,628	245,270	(195,596)	431,302
Total cost	6,713,486	670,532	(252,842)	7,131,176
Less accumulated depreciation				
Buildings	1,596,020	128,092	(10,331)	1,713,781
Infrastructure and improvements	270,240	28,834	(1,370)	297,704
Equipment	933,673	118,707	(39,464)	1,012,916
Library materials	116,775	1,710	(23)	118,462
Total accumulated depreciation	2,916,708	277,343	(51,188)	3,142,863
Capital assets, net	\$ 3,796,778	\$ 393,189	\$ (201,654)	\$ 3,988,313

a profit sharing plan. Eligible employees of CNS are covered by a separate tax sheltered annuity contribution plan.

Defined Benefit Plans

Eligible plan participants are provided with pensions through the Utah Retirement Systems. Utah Retirement Systems are comprised of the following Pension Trust Funds:

- Public Employees Noncontributory Retirement System (Noncontributory System) and the Public Employees Contributory Retirement System (Contributory System) both of which are cost-sharing, multiple-employer public employee retirement systems.
- The Public Safety Retirement System (Public Safety System) which is a cost-sharing, multiple-employer public employee retirement system.
- Tier 2 Public Employees Contributory Retirement System (Tier 2 Public Employees System), and the Tier 2 Public Safety and Firefighter Contributory Retirement System (Tier 2 Public Safety and Firefighter System) which are multiple employer, cost sharing, public employee retirement systems.

The Tier 2 Public Employee System and the Tier 2 Public Safety and Firefighter System were created July 1, 2011. All eligible employees who have no previous service credit with any of the Utah Retirement Systems prior to that date, are members of the Tier 2 Retirement Systems.

The Systems are established and governed by the respective sections of Title 49 of the Utah Code Annotated, 1953, as amended. The Systems' defined benefit plans are amended statutorily by the State Legislature. The Utah State Retirement Office Act in Title 49 provides for the administration of the Systems under the direction of the Utah State Retirement Board (Board), whose members are appointed by the Governor. The Systems are fiduciary funds defined as pension (and other employee benefit) trust funds. URS is a component unit of the State of Utah. Title 49 of the Utah Code grants the authority to establish and amend the benefit terms.

URS issues a publicly available financial report that can be obtained by writing to the Utah Retirement Systems at 560 East 200 South, Salt Lake City, UT 84102 or visiting the website www.urs.org.

The Systems provide retirement, disability, and death benefits. Retirement benefits are as follows:

<i>Summary of Benefits by System</i>				
System	Final Average Salary	Years of Service required and/or age eligible for benefit	Benefit percent per year of service	COLA**
Noncontributory System	Highest 3 years	30 years any age 25 years any age* 20 years age 60* 10 years age 62* 4 years age 65	2.0% per year all years	Up to 4%
Contributory System	Highest 5 years	30 years any age 20 years age 60* 10 years age 62* 4 years age 65	1.25% per year to June 1975; 2.00% per year July 1975 to present	Up to 4%
Public Safety System	Highest 3 years	20 years any age 10 years age 60 4 years age 65	2.5% per year up to 20 years; 2% per year over 20 years	Up to 2.5% to 4% depending on the employer
Tier 2 Public Employees System	Highest 5 years	35 years any age 20 years age 60* 10 years age 62* 4 years age 65	1.5% per year all years	Up to 2.5%
Tier 2 Public Safety and Firefighter System	Highest 5 years	25 years any age 20 years age 60* 10 years age 62* 4 years age 65	1.5% per year to June 30, 2020; 2.0% per year July 1, 2020 to present	Up to 2.5%

* With actuarial reductions

** All post-retirement cost of living adjustments are non-compounding and are based on the original benefit. The cost-of-living adjustments are also limited to the actual Consumer Price Index (CPI) increase for the year, although unused CPI increases not met may be carried forward to subsequent years.



with employee contributions (where applicable) is expected to finance the costs of benefits earned by employees during the year, with an additional amount to finance any unfunded actuarial accrued liability. Contribution rates are as follows:

	Paid by Employer for Employee	Employer Contribution Rates
Noncontributory System		
State and School Division Tier 1	N/A	22.19%
Contributory System		
Higher Education Division Tier 1	6%	17.70%
Higher Education Division Tier 2*	N/A	19.13%
Public Safety System		
Public Safety Tier 2*	2.27%	32.54%

* Tier 2 rates include a statutory required contribution to finance the unfunded actuarial liability of the Tier 1 plans.

For the year ended June 30, 2021, the University and employee contributions to the plans were as follows:

	Employer Contributions	Employee Contributions
Noncontributory System	\$ 21,977,437	N/A
Contributory System	524,078	\$ 177,653
Public Safety System	942,974	-
Tier 2 Public Employees System	4,328,092	-
Tier 2 Public Safety and Firefighter System	190,940	13,320
Total	\$27,963,521	\$ 190,973

As a condition of participation in the Systems, employers and/or employees are required to contribute certain percentages of salary and wages as authorized by statute and specified by the Utah State Retirement Board. Contributions are actuarially determined as an amount that, when combined

Contributions reported are the URS Board approved required contributions. Contributions in the Tier 2 Systems are used to finance the unfunded liabilities in the Tier 1 Systems.

At June 30, 2021, the University's net pension asset and liability were as follows:

	Proportionate Share December 31, 2020	Proportionate Share December 31, 2019	Change Increase/(Decrease)	Net Pension Asset	Net Pension Liability
Noncontributory System	50.2718785%	52.3703876%	(2.0985091%)	\$ 49,582,473	\$ -
Contributory System	74.2338456%	74.0066292%	0.2272164%	15,769,443	-
Public Safety System	2.3391093%	2.0977160%	0.2419433%	-	1,515,009
Tier 2 Public Employees System	1.4636091%	1.8209912%	(0.3573821%)	-	210,508
Tier 2 Public Safety and Firefighter System	0.3319353%	0.4021727%	(0.0702374%)	-	29,773
Total Net Pension Asset / Liability				\$ 65,351,916	\$ 1,755,290

The net pension asset and liability were measured as of December 31, 2020, and the total pension

liability used to calculate the net pension asset and liability was determined by an actuarial valuation

as of January 1, 2020 and rolled-forward using generally accepted actuarial procedures. The proportion of the net pension asset and liability is equal to the ratio of the employer's actual contributions to the Systems during the plan year over the total of all employer contributions to the System during the plan year.

For the year ended June 30, 2021, the University recognized pension expense of \$26,087,943 for the defined benefit pension plans.

At June 30, 2021, the University reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between expected and actual experience	\$ 16,844,265	\$ 849,171
Changes in assumptions	1,766,430	10,848
Net difference between projected and actual earnings on pension plan investments	-	75,163,068
Changes in proportion and differences between contributions and proportionate share of contributions	698,720	3,185,997
Contributions subsequent to the measurement date	14,070,506	-
Total	\$ 33,379,921	\$ 79,209,084

Contributions made between January 1, 2021 and June 30, 2021 of \$14,070,506 are reported as deferred outflows of resources related to pensions. These contributions will be recognized as a reduction of the net pension liability in the upcoming fiscal year. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized as pension expense as follows:

Year Ended December 31	Net Deferred Outflows/ (Inflows) of Resources
2021	\$ (8,643,370)
2022	(12,297,366)
2023	(26,724,441)
2024	(12,498,213)
2025	59,672
Thereafter	204,049

The total pension liability in the December 31, 2020 actuarial valuation was determined using

the following actuarial assumptions, applied to all periods included in the measurement:

Inflation	2.50 percent
Salary increases	3.25 – 9.75 percent, average, including inflation
Investment rate of return	6.95 percent, net of pension plan investment expense, including inflation

Mortality rates were adopted from an actual experience study dated January 1, 2020. The retired mortality tables are developed using URS retiree experience and are based upon gender, occupation, and age as appropriate with projected improvement using 80% of the ultimate rates from the MP-2019 improvement assumption using a base year of 2020. The mortality assumption for active members is the PUB-2010 Employees Mortality Table for public employees, teachers, and public safety members, respectively.

There were a number of demographic assumptions (e.g. rates of termination, disability, retirement, as well as an updated mortality and salary increase assumption) updated for use in the January 1, 2020 actuarial valuation. These assumption updates were adopted by the Utah State Retirement Board resulting from an Actual Experience Study performed for the Utah Retirement Systems. In aggregate, those assumption changes resulted in a \$201 million increase in the Total Pension Liability, which is about 0.50% of the Total Pension Liability as of December 31, 2019 for all systems combined. The Actuarial Experience Study report as of December 15, 2019 provides detailed information regarding those assumption changes, which may be accessed online at newsroom.urs.org under the "Retirement Office" column using the "Reports and Stats" tab.

The actuarial assumptions used in the January 1, 2020 valuation were based on the results of an actuarial experience study for the five-year period ending December 31, 2019.

The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class and is applied consistently to each defined benefit pension plan. These ranges are combined

to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation.

The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

Asset Class	Expected Return Arithmetic Basis		
	Target Asset Allocation	Real Return Arithmetic Basis	Long-Term expected portfolio real rate of return
Equity securities	37%	6.30%	2.33%
Debt securities	20%	0.00%	0.00%
Real assets	15%	6.19%	0.93%
Private equity	12%	9.50%	1.14%
Absolute return	16%	2.75%	0.44%
Cash and equivalents	0%	0.00%	0.00%
Totals	100%		4.84%
Inflation			2.50%
Expected arithmetic nominal return			7.34%

The 6.95% assumed investment rate of return is comprised of an inflation rate of 2.50%, a real return of 4.45% that is net of investment expense.

The discount rate used to measure the total pension liability was 6.95%. The projection of cash flows used to determine the discount rate assumes that employee contributions will be made at the current contribution rate and that contributions from all participating employers will be made at contractually required rates that are actuarially

determined and certified by the URS Board. Based on those assumptions, the pension plan's fiduciary net position was projected to be available to make all projected future benefit payments of current active and inactive employees. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability. The discount rate does not use the Municipal Bond Index Rate. The discount rate remained unchanged at 6.95 percent.



The following presents the proportionate share of the net pension liability (asset) calculated using the discount rate of 6.95%, as well as, what the proportionate share of the net pension liability (asset) would be if calculated using a discount rate that is one percentage point lower or one percentage point higher than the current rate:

	1% Decrease (5.95%)	Discount Rate (6.95%)	1% Increase (7.95%)
Proportionate Share of Net Pension Liability (Asset)			
Noncontributory System	\$ 89,290,134	\$ (49,582,473)	\$ (164,904,825)
Contributory System	(4,621,189)	(15,769,443)	(25,275,467)
Public Safety	6,310,537	1,515,009	(2,426,177)
Tier 2 Public Employees System	3,542,216	210,508	(2,338,160)
Tier 2 Public Safety and Firefighter System	140,369	29,773	(58,435)
Totals	\$ 94,662,067	\$ (63,596,626)	\$ (195,003,064)

Detailed information about the pension plan's fiduciary net position is available in the separately issued URS financial report.

Defined Contribution Plans

The University offers employees the choice between URS, TIAA, and Fidelity for individual retirement funds. Employees who participate in the State and School Noncontributory and Tier 2 pension plans also participate in qualified contributory 401(k) savings plans administered by the Utah Retirement Systems (Systems). For employees participating in the Noncontributory, Contributory and Public Safety systems, the University contributes 1.5%, 0.89%, and 0%, respectively of participating employees' annual salaries to a 401(k) plan administered by the Systems. For employees participating in the Tier 2 Public Employee defined contribution plan and Tier 2 Public Safety and Firefighter defined contribution plan, the University is required to contribute 10.02% and 18.54%, respectively, of the employee's salary, of which 10% and 12%, respectively, is paid into the 401(k) plan while the remainder is contributed to the Tier 1 Contributory Public Employee System, as required by law. During the year ended June 30, 2021, the University's contribution totaled \$2,246,885, which was included in the pension expense, and the participating employees' voluntary contributions totaled \$215,077. These plans are voluntary tax-advantaged retirement savings programs authorized under sections 401(k), of the Internal Revenue code. Detailed information regarding plan provisions is available in the separately issued URS financial report.

TIAA and Fidelity provide individual retirement fund contracts with each participating employee.

Employees may allocate contributions by the University to any or all of the providers and the contributions to the employee's contract(s) become vested at the time the contribution is made. Employees are eligible to participate from the date of employment and are not required to contribute to the fund. Benefits provided to retired employees are based on the value of the individual contracts and the estimated life expectancy of the employee at retirement. For the year ended June 30, 2021, the University's contribution to these defined contribution pension plans was 14.20% of the employees' annual salaries. Additional contributions are made by the University based on employee contracts. The University has no further liability once contributions are made.

UUHC employees hired prior to January 1, 2001, who were not enrolled in the URS program, are enrolled in a 401(a) defined contribution plan that is administered by the UUHC Chief Human Resources Officer. The administrator has the authority to amend, modify, or terminate the plan. UUHC is required to contribute 14.2% of covered payroll to the plan for the employees covered under this plan. Hospital employees hired subsequent to December 31, 2000 are enrolled in a separate 401(a) plan, the Hospital Plan Plus (HPP) Benefit Program. UUHC contributes 6% for employees covered under this plan. In addition, these employees are eligible for a match on employee contributions to a 403(b) Match Plan up to 4% of salary and fully vest in the UUHC's contributions to both plans after five years of service. Plan member contributions were approximately \$44,461,000 for the year ended June 30, 2021.

The ARUP defined contribution pension and profit sharing plans provide retirement benefits for all



employees. Employees may choose to pay into the federal social security tax system or to participate in an enhanced ARUP retirement program. For those who choose to continue to pay social security taxes, ARUP makes contributions each pay period amounting to 5.00% of their compensation and ARUP continues to make matching social security tax contributions. For those who discontinue paying social security taxes, ARUP makes contributions each pay period amounting to 8.10% of their compensation and does not contribute any social security tax on their behalf. There are no minimum service and vesting requirements relating to pension contributions.

Contributions to the profit sharing plan are at the discretion of ARUP and are made subject to certain tenure-based and hours-worked thresholds. Employees are fully vested in the profit sharing plan after five years of service. Voluntary contributions to the profit sharing plan by employee participants totaled \$34,309,218 for the year ended June 30, 2021.

In addition, employees of the University may also contribute to 403(b), 457(b) traditional, Roth IRA, or a 401(k) plan. The total fiscal year 2021 employee contributions to these plans were \$123,503,048.

For the year ended June 30, 2021, the University's contributions to the defined contribution plans were equal to the required amounts, as shown below in *Figure 4*.

<i>Figure 4</i>	2021
TIAA	\$ 91,798,856
Fidelity	115,955,641
401(a), Hospital Plan Plus, & 403(b)	66,081,000
Employer 401(k) Contributions	2,246,885
ARUP defined contribution plan	20,556,729
ARUP Profit sharing plan	14,115,619
Total employer contributions	\$ 310,754,730

9. UNEARNED REVENUE

Unearned revenue consists of summer session tuition and fees, advance payments on grants and contracts, advance ticket sales for various athletic and cultural events, and results of normal operations of auxiliary enterprises and service units.

10. FUNDS HELD IN TRUST BY OTHERS

Funds held in trust by others for the sole benefit of the University are neither in the possession of nor under the management of the University. These funds, which are not recorded on the University's financial records and which arose from contributions, are held and administered by external fiscal agents, selected by the donors, who distribute net income earned by such funds to the University, where it is recorded when received. The fair value of funds held in trust at June 30, 2021 was \$175.2 million.

In addition, certain funds held in trust by others are comprised of stock, reported at a value of \$15,838,338 as of June 30, 2021, based on a predetermined formula. The fair value of this stock as of June 30, 2021 cannot be determined because the stock is not actively traded.

11. RISK MANAGEMENT AND INSURANCE

The University maintains insurance coverage for commercial general liability, automobile, errors and omissions, and property (building and equipment) through policies administered by the Utah State Division of Risk Management. Employees of the University and authorized volunteers are covered by workers' compensation and employees' liability through the Workers' Compensation Fund.

In addition, the University maintains self-insurance funds for health care, dental, and auto/physical damage, as well as hospital and physicians malpractice liability self-insurance funds. The malpractice liability self-insurance funds are held in trust with an independent financial institution in compliance with Medicare reimbursement regulations. Based on an analysis prepared by an independent actuary, the administration believes that the balance in the trust funds as of June 30, 2021, is adequate to cover any claims incurred through that date. The University and UUHC

have a “claims made” umbrella medical professional liability insurance policy in the amount of \$20,000,000 for catastrophic malpractice liabilities in excess of the trusts’ fund balances, the coverage provides for \$5,000,000 per claim and \$26,000,000 in the aggregate.

The estimated self-insurance claims liability is based on the requirements of GASB Statement No. 10, Accounting and Financial Reporting for Risk Financing and Related Insurance Issues, as amended by GASB Statement No. 30, Risk Financing Omnibus, which requires that a liability for claims be reported if information prior to the issuance of the financial statements indicates that it is probable that a liability has been incurred at the date of the financial statements and the amount of the loss can be reasonably estimated.

Changes in the University’s estimated self-insurance claims liability for the years ended June 30 is shown below in *Figure 5*.

<i>Figure 5</i>	2021	2020
Estimated claims liability - beginning of year	\$ 89,227,838	\$ 90,680,912
Current year claims and changes in estimates	237,203,630	257,648,219
Claim payments, including related legal and administrative expenses	(242,187,834)	(259,101,293)
Estimated claims liability - end of year	\$ 84,243,634	\$ 89,227,838

The University has recorded the investments of the malpractice liability trust funds at June 30, 2021, and the estimated liability for self-insurance claims at that date in the Statement of Net Position. The income on fund investments, the expenses related to the administration of the self-insurance and malpractice liability trust funds, and the estimated provision for the claims liability for the year then ended are recorded in the Statement of Revenues, Expenses, and Changes in Net Position.

In 2016, UUHIP launched into the commercial health insurance market in Utah, specifically in the individual and large group market. UUHIP management does not believe it is subject to health insurer assessments under section 9010 of the Affordable Care Act (ACA) as a governmental entity associated with the University. To stabilize financial results, the federal government established the following permanent and transitional risk

sharing programs with insurers of ACA-compliant plans:

- The permanent risk adjustment program redistributes insurer premiums based on qualitative market data.
- The transitional reinsurance program reimburses insurers of ACA-compliant plans for claimants exceeding specified limits and is a temporary provision that ended after December 31, 2016.
- The transitional risk corridors program shares excessive insurer gains or losses with the federal government and is a temporary provision that ended after December 31, 2016.

UUHIP has a reinsurance arrangement whereby premiums and benefits are ceded to another insurance company. The agreement is for certain coverage that provides reinsurance protection for 90% of qualified health claims in excess of \$600,000 per occurrence. Premiums to reinsurers for reinsurance ceded reduced premium revenue by approximately \$1,768,000 during 2020. Excluding amounts recoverable under the ACA transitional reinsurance program, UUHIP had approximately \$1,623,000 in reinsurance recoupments that reduced health benefits during 2020. During the year ended December 31, 2020, UUHIP did not commute any ceded reinsurance nor did it enter into or engage in any loss portfolio transfer for any lines of business. Changes in UUHIP’s estimated claims liability for the years ended December 31 is shown in *Figure 6* on page 42.

<i>Figure 6</i>	2020	2019
Estimated claims liability - beginning of year	\$ 18,423,898	\$ 16,372,692
Current year claims and changes in estimates	151,318,319	152,358,322
Claim payments, including related legal and administrative expenses	(153,391,365)	(150,307,116)
Estimated claims liability - end of year	\$ 16,350,852	\$ 18,423,898

As of December 31, 2020, unpaid health claims adjustment expenses for Health Care Utah, which are not included in the table above, were approximately, \$24,191,000. Due to uncertainties inherent in the reserving process, there is at least a reasonable possibility that actual claims paid

could differ materially from amounts accrued at December 31, 2020.

12. INCOME TAXES

The University, as a political subdivision of the State, has a dual status for federal income tax purposes. The University is both an Internal Revenue Code (IRC) Section 115 organization and an IRC Section 501(c)(3) charitable organization. This status exempts the University from paying federal income tax on revenue generated by activities which are directly related to the University's mission. This exemption does not apply to unrelated business activities. On these activities, the University is required to report and pay federal and state income tax.

UURF is not subject to income taxes under Section 501(c)(3) of the IRC. ARUP is also not subject to income taxes based on a private letter ruling from the Internal Revenue Service stating that certain income providing an essential governmental function is exempt from federal income taxes under IRC Section 115. UUHIP has requested a ruling from the IRS that UUHIP's gross income be excluded from income under IRC Section 115. However, the outcome of that ruling request is uncertain. CNS is not subject to income taxes under Section 501(c)(3) of the IRC.

13. HOSPITAL REVENUE

A. Net Patient Service Revenue

UUHC reports net patient service revenue at the estimated net realizable amounts from patients, third-party payors, and others for services rendered, including estimated retroactive adjustments under reimbursement agreements with third-party payors. Retroactive adjustments are accrued on an estimated basis in the period the related services are rendered and adjusted in future periods as final settlements are determined. Charity care is excluded from net patient service revenue.

UUHC has third-party payor agreements with Medicare and Medicaid that provide for payments to UUHC at amounts different from established rates. Inpatient acute care services rendered to Medicare and Medicaid program beneficiaries are paid at prospectively determined rates per discharge. These rates vary according to a patient classification system that is based on clinical, diagnostic, and other factors.

Outpatient services rendered to Medicaid program beneficiaries and certain outpatient services and defined capital costs related to Medicare beneficiaries are paid on a cost reimbursement basis. Medicare reimbursements are based on a tentative rate with final settlement determined after submission of annual cost reports by UUHC and audits thereof by the Medicare fiscal intermediary.

The estimated final settlements for open years are based on preliminary cost findings after giving consideration to interim payments that have been received on behalf of patients covered under these programs.

B. Charity Care

UUHC maintains records to identify and monitor the level of charity care it provides. Based on established rates, the charges foregone resulting from charity care during the year ended June 30, 2021, were approximately \$103.8 million. CNS estimated \$0.6 million in estimated cost or foregone revenue of charity care for the year ended December 31, 2020.

C. Other Uncompensated Care

CNS provides services for which payments for such services are accepted under contracts with third-party payors such as Medicare, Medicaid, and other payor sources, whereby such accepted payments are less than the full amounts billable under CNS's rate schedule. Total contractual adjustments for the year ended December 31, 2020, including supplemental Medicaid services of approximately \$3,456,000 were \$23,687,000.

14. LEASES

A. Revenue

UURF receives lease revenues from noncancellable sublease agreements with tenants of the Research Park and from tenants occupying seven buildings owned by UURF. The lease revenue anticipated to be received from these noncancellable leases for each of the subsequent five years is approximately \$16.5 million. Most lease revenue is subject to escalation based on changes in the Consumer Price Index (CPI). Since such escalations are dependent upon future changes in the CPI, these escalations, if any, are not reflected in the minimum noncancellable lease revenues listed above.

At June 30, 2021, the historical cost of land and buildings held for lease and the related accumulated depreciation was \$88.4 million and \$33.9 million, respectively.

B. Commitments

The University leases buildings and office and computer equipment. Capital leases are valued at the present value of future minimum lease payments. Assets associated with the capital leases are recorded as buildings and equipment together with the related long-term obligations. Assets currently financed as capital leases amount to \$80.9 million and \$226.8 million for buildings and equipment, respectively. Accumulated depreciation for these buildings and equipment was \$20.2 million and \$111.3 million, respectively. Operating leases and related assets are not recorded in the Statement of Net Position. Payments are recorded as expenses when incurred and amount to \$29.4 million for the University and \$1.9 million for component units for the year ended June 30, 2021. Total operating lease commitments for the University include approximately \$24.2 million of commitments to component units.

Future minimum lease commitments for operating and capital leases as of June 30, 2021 are shown below in *Figure 7*.

Figure 7

Fiscal Year	Operating	Capital
2022	\$ 29,350,915	\$ 36,439,329
2023	23,014,809	33,260,912
2024	19,165,311	19,745,172
2025	15,359,660	19,349,347
2026	13,607,842	18,072,160
2027 – 2031	28,318,053	65,123,022
2032 – 2036	9,138,493	
2037 – 2041	9,993,318	
2042 – 2046	11,084,023	
2047 – 2051	7,483,587	
2052 – 2056	321,905	
Total future minimum lease payments	\$ 166,837,916	191,989,942
Amount representing interest		(22,678,360)
Present value of future minimum lease payments		\$ 169,311,582



15. BONDS PAYABLE AND OTHER LONG-TERM LIABILITIES

The long-term debt of the University consists of bonds payable, certificates of participation, capital lease obligations, compensated absences, net pension liability, and other obligations.

The Utah Board of Higher Education issues revenue bonds to provide funds for the construction and renovation of major capital facilities and the acquisition of capital equipment for the University. In addition, revenue bonds have been issued to refund other revenue bonds and capitalized leases.

The revenue bonds are special limited obligations of the University. The obligation for repayment is solely that of the University and payable from the net revenues of auxiliary enterprises and UUHC, student building fees, land grant income, and recovered indirect costs. Neither the full faith and credit nor the taxing power of the State or any other political subdivision of the State is pledged to the payment of the bonds, the distributions or other costs associated with the bonds.

During fiscal year 2021, the University issued one bond issue. In January, the University issued \$86,920,000 General Revenue Bonds Series 2021 A-1, \$7,700,000 General Revenue Bonds Series 2021 A-2, and \$76,870,000 Federally Taxable General Revenue Refunding Bonds Series 2021B. Proceeds from the 2021A bonds were used to finance a portion of the costs of a Health Sciences office building and related improvements, finance various research-related projects, as well as, to pay costs of issuance. Proceeds from the 2021B bonds were used to refund certain portions of the 2014 A&B, 2015 A&B and 2016A bonds and, to pay costs of issuance.

The following schedule lists the outstanding bonds payable and certificates of participation of the University at June 30, 2021:

Issue	Date Issued	Maturity Date	Interest Rate	Original Issue	Current Liability	Balance 6/30/2021(a)
Auxiliary and Campus Facilities						
Series 1998A - Revenue Refunding	7/1/98	2029	4.100% - 5.250%	\$120,240,000	\$ 44,633	\$ 30,784,049
Series 2010A - Revenue Refunding	5/11/10	2020	2.000% - 5.000%	23,515,000	-	-
Series 2010C - Revenue	12/28/10	2036	1.750% - 5.890%	42,525,000	1,640,000	32,470,000
Series 2012A - Revenue	7/10/12	2030	2.000% - 5.000%	46,235,000	2,352,949	2,352,949
Hospital Facilities						
Series 2006A - Revenue Refunding	10/26/06	2022	4.000% - 5.250%	77,145,000	3,313,683	3,313,683
Series 2009B - Taxable Revenue	12/17/09	2031	4.697% - 5.247%	41,785,000	2,665,000	31,985,000
Series 2010 - Revenue	8/2/10	2021	3.000% - 5.000%	36,120,000	75,102	1,195,382
Series 2011A - Revenue Refunding	5/24/11	2027	3.600%	20,145,000	-	-
Series 2011B - Revenue Refunding	7/28/11	2021	3.350% - 5.000%	66,480,000	-	-
Research Facilities						
Series 2009B - Taxable Revenue	8/26/09	2029	5.670% - 6.279%	27,730,000	-	15,170,000
General Revenue						
Series 2013A - Revenue	7/30/13	2043	5.000%	127,925,000	4,470,250	12,001,515
Series 2014A - Revenue Refunding	4/1/14	2027	4.000% - 5.000%	32,785,000	726,562	18,637,950
Series 2014B - Revenue Refunding	7/15/14	2038	2.000% - 5.000%	76,200,000	-	3,802,251
Series 2015A - Revenue Refunding	1/7/15	2034	1.500% - 5.000%	45,330,000	-	2,367,793
Series 2015B - Revenue Refunding	5/13/15	2035	3.000% - 5.000%	91,570,000	-	51,102,383
Series 2016A - Revenue Refunding	3/8/16	2036	3.000% - 5.000%	68,210,000	-	57,830,059
Series 2016B - Revenue Refunding	11/29/16	2036	2.000% - 5.000%	131,720,000	6,049,047	142,967,142
Series 2017A - Revenue Refunding	9/13/17	2039	4.000% - 5.000%	155,930,000	6,853,069	170,511,296
Series 2017B - Revenue Refunding	12/21/17	2038	3.000% - 5.000%	96,550,000	3,985,368	108,894,039
Series 2018A - Revenue	7/17/18	2044	4.000% - 5.000%	80,040,000	1,770,318	89,689,555
Series 2019A - Revenue	12/3/19	2039	4.000% - 5.000%	74,050,000	2,383,782	90,403,170
Series 2019B - Revenue	12/3/19	2039	3.073% - 3.351%	30,165,000	-	30,165,000
Series 2020A - Revenue	6/24/20	2041	4.000% - 5.000%	84,635,000	64,102	110,483,807
Series 2020B - Revenue	6/24/20	2032	0.577% - 1.866%	20,115,000	1,755,000	20,115,000
Series 2021A - Revenue	2/2/21	2041	4.000% - 5.000%	94,620,000	77,923	122,840,642
Series 2021B - Revenue	2/2/21	2039	0.177% - 2.256%	76,870,000	540,000	76,870,000
Certificates of Participation						
Series 2015	6/10/15	2026	1.800%	10,050,000	1,660,000	3,360,000
Total					\$ 40,426,788	\$ 1,229,312,665

(a) Includes unamortized premiums on refunding.

UURF has purchased four buildings with two mortgages guaranteed by the University, as well as, two Notes Payable to the University. A mortgage with interest rate at 7.15% scheduled to be paid off in September 2021, was paid off in May 2021. The remaining amount of the second mortgage is \$19,197,467 at 5.53% interest. It is anticipated the mortgage will be paid off on September 30, 2028. The Notes call for annual payments at 4% and 2% interest until June and October 2024. UURF retired both of these Notes in July and August 2020.

The following schedule summarizes the changes in long-term liabilities for the year ended June 30, 2021:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Bonds payable	\$1,162,055,239	\$ 205,756,887	\$ 141,859,457	\$1,225,952,669	\$ 38,766,788
Certificates of participation	5,170,000	-	1,810,000	3,360,000	1,660,000
Capital leases payable	202,170,383	181,366	33,040,168	169,311,581	31,612,498
Notes and contracts payable	33,709,994	75,246	7,834,872	25,950,368	2,602,356
Total long-term debt	1,403,105,616	206,013,499	184,544,497	1,424,574,618	74,641,642
Compensated absences	119,458,526	96,966,513	84,112,716	132,311,323	77,132,120
Net pension liability	64,977,178	-	63,221,888	1,755,290	-
Deposits & other liabilities	394,446,022	414,052,045	371,354,219	437,143,848	340,826,962
Total long-term liabilities	\$1,981,987,342	\$ 717,032,057	\$ 703,233,320	\$1,995,786,079	\$ 492,600,724

Maturities of principal and interest requirements for long-term debt payable are as follows:

Fiscal Year	Payments	
	Principal	Interest
2022	\$ 74,641,643	\$ 57,371,635
2023	74,142,439	53,450,438
2024	89,671,532	49,227,421
2025	105,510,450	44,900,664
2026	84,450,466	41,171,877
2027 – 2031	450,407,436	144,265,316
2032 – 2036	289,168,183	69,007,403
2037 – 2041	218,586,039	22,203,809
2042 – 2046	37,996,430	2,201,125
Total	\$1,424,574,618	\$ 483,799,688

Interest related to bond systems with pledged revenues amounts to \$456,827,434 and is included in the interest amounts in the above schedule.

16. RETIREMENT OF DEBT

In prior years, the University defeased certain revenue bonds by placing the proceeds of new bonds and various bond reserves in irrevocable trusts to provide for all future debt service payments on the old bonds. Accordingly, the trust account assets and the liability for the defeased bonds are not included in the University's financial statements. The total principal amount of defeased bonds held in irrevocable trusts at June 30, 2021 is \$249,375,000. The University issued General

Revenue Refunding Bonds Series 2021B during the year to partially refund portions of the 2014A&B, 2015A&B, and 2016A bonds as described in Note 15. The refunding activity had limited impact on the retirement period but did result in a decrease of aggregate debt service of \$71,000,000 and a present value economic gain of approximately \$1,821,235.

17. PLEDGED BOND REVENUE

The University issues revenue bonds to provide funds for the construction and renovation of major capital facilities and the acquisition of capital equipment for the University. Investors in these bonds rely solely on the net revenue pledged by the general revenue of the University for the retirement of outstanding bonds payable.

Figure 8 below presents the net revenue pledged and the principal and interest paid for the year ended June 30, 2021.

<i>Figure 8</i>	
Revenue	
Operating revenue	\$ 3,787,939,962
Nonoperating revenue	296,590,517
Total revenue	4,084,530,479
Expenses	
Operating expenses	3,561,355,841
Total expenses	3,561,355,841
Net pledged revenue	\$ 523,174,638
Principal and interest paid	\$ 95,931,102

18. FUNCTIONAL CLASSIFICATION OF EXPENSES

The following schedule presents, in thousands of dollars, operating expenses by functional classification for the year ended June 30, 2021:

Function	Compensation and Benefits	Supplies and Services	Utilities	Scholarships & Fellowships	Depreciation	Medical Claims	Component Units	Total
Instruction	\$ 434,494	\$ 53,245	\$ 2,547	\$ 67,321				\$ 557,607
Research	308,620	142,011	1,526	4,262				456,419
Public service	645,830	215,720	24,438	12,444				898,432
Academic support	146,343	28,016	3,328	682				178,369
Student services	44,127	18,994	3,770	492				67,383
Institutional support	151,293	(32,899)	6,777	1,928				127,099
Plant maintenance	39,580	29,549	26,561					95,690
Student aid	6,059	39,621		(42,961)				2,719
Other	88,464	(76,784)	5,394	5,428	\$ 137,308			159,810
Hospital	1,100,277	1,055,069	24,334		106,030	\$ 17,789		2,303,499
Health Plans	36,329	647	704		290	234,846		272,816
Component units	7,601				34,069		\$ 835,649	877,319
Total	\$3,009,017	\$1,473,189	\$ 99,379	\$ 49,596	\$ 277,697	\$ 252,635	\$ 835,649	\$5,997,162

19. BLENDED COMPONENT UNITS

The following schedules present, exclusive of eliminations, condensed statements of net position, changes in net position, and cash flows for UURF, ARUP, UUHIP and CNS. Amounts for UURF and ARUP are for the year ended June 30, 2021. Amounts for UUHIP and CNS are for the year ended December 31, 2020.

Condensed Statement of Net Position						
	UURF	ARUP	UUHIP	CNS	Eliminations increase/(decrease)	Total
ASSETS						
Current Assets	\$ 36,169,304	\$ 323,436,232	\$ 164,753,788	\$ 15,589,242	\$ (43,032,013)	\$ 496,916,553
Capital assets, net	61,110,501	365,629,252		7,184,866		433,624,619
Other noncurrent assets	8,189,828	5,484,694		2,119,754	(7,573,460)	8,229,816
Total assets	105,478,633	694,250,178	164,753,788	24,893,862		938,770,988
DEFERRED OUTFLOWS OF RESOURCES						
Deferred outflows related to consideration in excess of net position acquired			29,746,460			29,746,460
Total deferred outflows of resources			29,746,460			29,746,460
LIABILITIES						
Current liabilities	8,481,521	107,687,503	140,858,650	9,836,844	(161,991,463)	104,873,055
Noncurrent liabilities	17,383,295			3,687,520	(9,090,941)	11,979,874
Total liabilities	25,846,816	107,687,503	140,858,650	13,524,364		116,852,929
NET POSITION						
Net investment in capital assets	41,913,034	365,329,252				407,242,286
Restricted expendable			53,641,598	423,198		54,064,796
Unrestricted	37,700,783	221,233,423		10,946,300	120,476,931	390,357,437
Total net position	\$ 79,613,817	\$ 586,562,675	\$ 53,641,598	\$ 11,369,498		\$ 851,664,519

Condensed Statement of Revenues, Expenses, and Changes in Net Position						
	UURF	ARUP	UUHIP	CNS	Eliminations	Total
OPERATING REVENUES						
Leases	\$ 18,977,477				\$ (12,048,498)	\$ 6,928,979
Royalties	21,510,208					21,510,208
Sales and services		\$ 840,954,548	\$ 171,646,810	\$ 55,279,785	5,482,475	1,073,363,618
Net increase in fair value of investments	492,193					492,193
Total operating revenues	40,979,878	840,954,548	171,646,810	55,279,785		1,102,294,998
OPERATING EXPENSES						
Operating expenses	21,322,783	708,499,951	192,189,748	52,413,174	(84,109,029)	890,316,627
Depreciation	2,502,260	30,756,275		810,377		34,068,912
Total operating expenses	23,825,043	739,256,226	192,189,748	53,223,551		924,385,539
Operating income	17,154,835	101,698,322	(20,542,938)	2,056,234		177,909,459
NONOPERATING REVENUES (EXPENSES)						
Investment income	99,236	1,582,818	2,900,033			4,582,087
Interest expense	(1,161,077)		(1,045,708)			(2,206,785)
Federal income tax expense			3,934,515			3,934,515
Sale of equity investments	144,069					144,069
Contributions from (distributions to) the University	(417,336)	(58,501,867)	10,000,000		48,419,102	(500,101)
Other non-operating income/(expenses)				(320,944)		(320,944)
Total nonoperating revenues/(expenses)	(1,335,108)	(56,919,049)	15,788,840	(320,944)		5,632,841
Net increase in net position	15,819,727	44,779,273	(4,754,098)	1,735,290		183,542,300
NET POSITION						
Net position – beginning of year	63,794,090	541,783,402	58,395,696	9,634,208	(5,485,177)	668,122,219
Net position – end of year	\$ 79,613,817	\$ 586,562,675	\$ 53,641,598	\$ 11,369,498		\$ 851,664,519



Condensed Statement of Cash Flows						
	UURF	ARUP	UUHIP	CNS	Eliminations	Total
Net cash provided by operating activities	\$ 19,939,879	\$ 128,924,907	\$ 15,276,369	\$ 8,226,262	\$ 28,074,953	\$ 200,442,370
Net cash provided/(used) by noncapital financing activities	(417,335)	(43,935,818)			36,989,102	(7,364,051)
Net cash used by capital and related financing activities	(10,076,300)	(66,253,236)	(1,045,708)	(917,445)		(78,292,689)
Net cash provided/(used) by investing activities	152,074	(36,999,803)	33,321,076	(373,846)	(2,930,273)	(6,830,772)
Net increase (decrease) in cash	9,598,318	(18,263,950)	47,551,737	6,934,971		107,954,858
Cash - beginning of year	28,076,171	39,872,913	29,112,979	805,529	(173,575,045)	(75,707,453)
Cash - end of year	\$ 37,674,489	\$ 21,608,963	\$ 76,664,716	\$ 7,740,500		\$ 32,247,405

20. LINE OF CREDIT

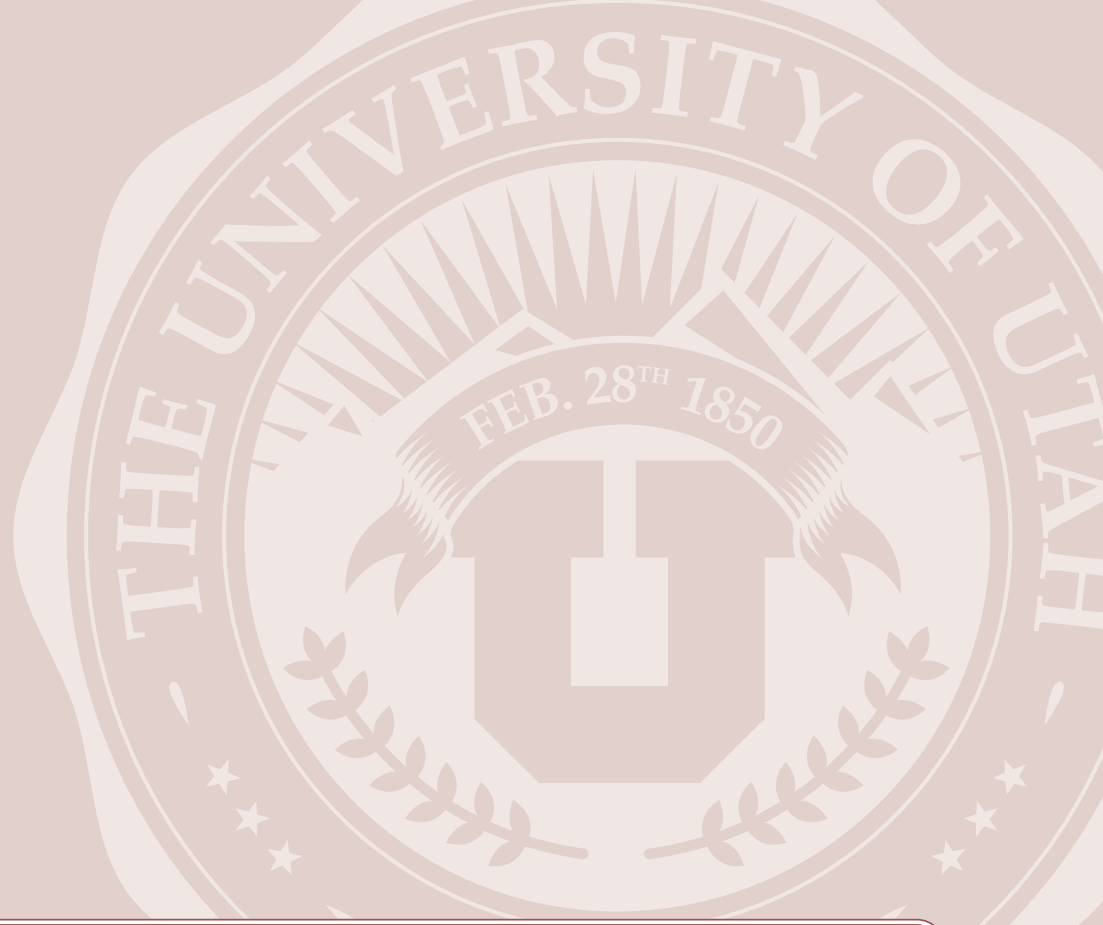
ARUP has an uncollateralized line of credit with a bank that provides for borrowings up to \$10 million and is established as a contingency reserve to provide liquidity in the event disbursements presented to the bank exceed available cash balances. The line of credit bears interest at the lender's 90-day LIBOR rate (0.15% at June 30, 2021) plus 2.0%, but not to exceed the maximum rate allowed by applicable law. The agreement requires renewal every second year in November. The current agreement expires on November 30, 2022. ARUP pays no fees for the unused portion of this line of credit, and there are no compensating balance requirements imposed.

There were no borrowings on this line of credit during the year ended June 30, 2021.

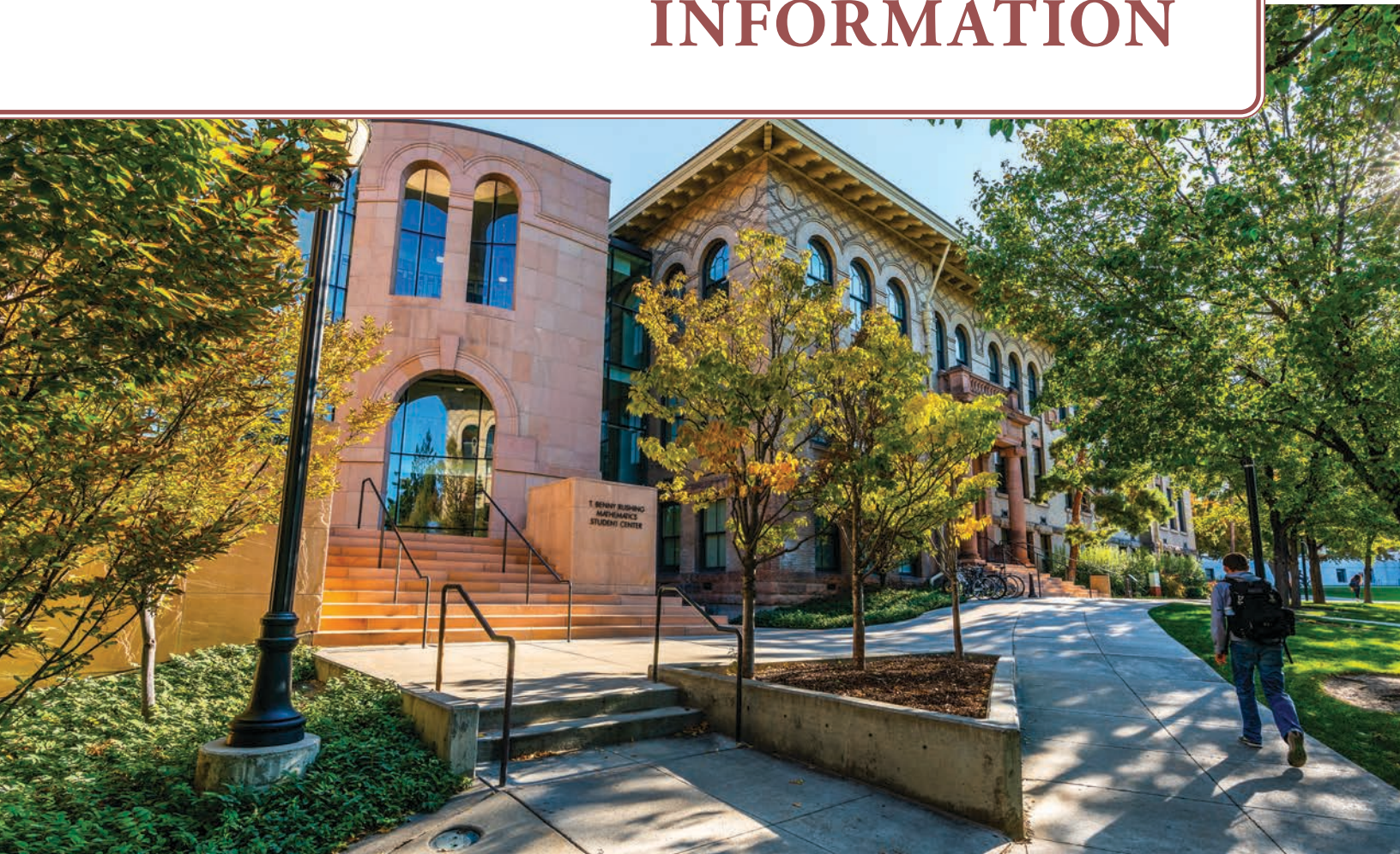
21. SUBSEQUENT EVENTS

Subsequent to June 30, 2021, as a result of the spread of the COVID-19 coronavirus, economic uncertainties have arisen across a range of industries. As of the date of this report, the extent to which COVID-19 may continue to impact the University's financial condition or results of operations is uncertain. Events occurring after that date have not been evaluated to determine whether a change in the financial statements would be required.





REQUIRED SUPPLEMENTARY INFORMATION



University of Utah Proportionate Share of the Net Pension Liability
Noncontributory, Contributory, & Tier 2 Public Employees Systems of the Utah Retirement Systems for the years ended December 31

	2020	2019	2018	2017	2016	2015	2014
Noncontributory System							
Proportion of net pension liability (asset)	50.27187850%	52.37038760%	4.15081110%	4.43149890%	4.72255030%	5.06361980%	5.10932610%
Proportionate share of net pension liability (asset)	\$ 49,582,473	\$ 61,432,040	\$ 154,431,638	\$ 108,366,198	\$ 153,053,931	\$ 159,062,799	\$ 128,373,118
Covered payroll	\$ 102,966,409	\$ 109,270,123	\$ 112,399,637	\$ 115,352,151	\$ 120,168,221	\$ 124,949,531	\$ 129,614,271
Proportionate share of net pension liability (asset) as a percentage of covered payroll	48.15%	56.22%	137.40%	93.94%	127.37%	127.30%	99.00%
Plan fiduciary net position as a percentage of total pension liability	104.70%	94.20%	84.10%	89.20%	84.90%	84.50%	87.20%
Contributory System							
Proportion of net pension liability (asset)	74.23384560%	74.00662920%	21.34150340%	20.18198590%	20.57222910%	19.93038900%	18.75239770%
Proportionate share of net pension liability (asset)	\$ (15,769,443)	\$ (4,172,732)	\$ 15,152,551	\$ 1,328,057	\$ 11,272,710	\$ 12,489,421	\$ 2,056,560
Covered payroll	\$ 3,300,668	\$ 3,845,834	\$ 4,141,829	\$ 4,591,975	\$ 5,514,741	\$ 6,313,501	\$ 6,757,960
Proportionate share of net pension liability (asset) as a percentage of covered payroll	-477.77%	-108.50%	365.84%	28.92%	204.41%	197.82%	30.40%
Plan fiduciary net position as a percentage of total pension liability	113.10%	103.60%	91.40%	99.20%	93.40%	92.40%	98.70%
Public Safety System							
Proportion of net pension liability (asset)	2.33910930%	2.09771600%	1.74088880%	1.71193320%	1.48473260%	1.41567170%	1.14690980%
Proportionate share of net pension liability (asset)	\$ 1,515,009	\$ 3,097,753	\$ 4,167,255	\$ 2,976,823	\$ 3,174,487	\$ 3,047,750	\$ 2,131,232
Covered payroll	\$ 2,897,764	\$ 2,569,955	\$ 2,168,129	\$ 2,272,929	\$ 2,087,879	\$ 1,951,440	\$ 1,637,085
Proportionate share of net pension liability (asset) as a percentage of covered payroll	52.28%	120.54%	192.21%	130.97%	152.04%	156.18%	130.20%
Plan fiduciary net position as a percentage of total pension liability	95.80%	90.00%	83.20%	87.40%	83.50%	82.30%	84.30%
Tier 2 Public Employees System							
Proportion of net pension liability (asset)	1.46360910%	1.82099120%	2.39212600%	3.19193590%	4.60362900%	6.64369130%	6.78702880%
Proportionate share of net pension liability (asset)	\$ 210,508	\$ 408,219	\$ 1,024,497	\$ 281,424	\$ 513,532	\$ (14,503)	\$ (205,677)
Covered payroll	\$ 23,408,053	\$ -	\$ 27,978,179	\$ 31,272,494	\$ 37,753,425	\$ 42,922,742	\$ 33,308,008
Proportionate share of net pension liability (asset) as a percentage of covered payroll	0.90%	0.00%	3.66%	0.90%	1.36%	(0.03%)	(0.60%)
Plan fiduciary net position as a percentage of total pension liability	98.30%	96.50%	90.80%	97.40%	95.10%	100.20%	103.50%
Tier 2 Public Safety and Firefighter System							
Proportion of net pension liability (asset)	0.33193530%	0.40217270%	0.35977680%	0.30450360%	0.43726900%	0.39878160%	0.36002060%
Proportionate share of net pension liability (asset)	\$ 29,773	\$ 37,830	\$ 9,014	\$ (3,523)	\$ (3,796)	\$ (5,826)	\$ (5,326)
Covered payroll	\$ 678,646	\$ 662,970	\$ 478,852	\$ 321,462	\$ 361,284	\$ 237,408	\$ 148,982
Proportionate share of net pension liability (asset) as a percentage of covered payroll	4.39%	5.71%	1.88%	(1.10%)	(1.05%)	(2.45%)	(3.60%)
Plan fiduciary net position as a percentage of total pension liability	93.10%	89.60%	95.60%	103.00%	103.60%	110.70%	120.50%

* Note: The University implemented GASB Statement No. 68 in fiscal year 2015. Information on the University's portion of the plans' net pension liabilities (assets) is not available for periods prior to fiscal year 2015.

In 2019, URS created a separate division for Higher Education which significantly changed the University's reported proportionate share of Net Pension Liability (Asset).

University of Utah — Schedule of Contributions for the years ended June 30

Noncontributory System	2021	2020	2019	2018	2017	2016	2015	2014	2013	2012
Contractually Required Contribution	\$ 21,977,437	\$ 23,604,692	\$ 24,357,470	\$ 25,003,713	\$ 25,936,009	\$ 27,133,967	\$ 28,061,542	\$ 27,124,989	\$ 35,151,747	\$ 26,111,760
Contribution in Relation to the Contractually Required Contribution	(21,977,437)	(23,604,692)	(24,357,470)	(25,003,713)	(25,936,009)	(27,133,967)	(28,061,542)	(27,124,989)	(35,151,747)	(26,111,760)
Contribution Deficiency (Excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Covered Payroll	\$ 100,912,947	\$ 107,759,826	\$ 111,057,075	\$ 113,936,327	\$ 118,147,239	\$ 123,098,874	\$ 126,960,128	\$ 132,937,438	\$ 150,750,438	\$ 155,167,201
Contributions as a Percentage of Covered Payroll	21.8%	21.9%	21.9%	21.9%	22.0%	22.0%	22.1%	20.4%	23.3%	16.8%
Contributory System	2021	2020	2019	2018	2017	2016	2015	2014¹	2013¹	2012¹
Contractually Required Contribution	\$ 524,078	\$ 651,513	\$ 703,592	\$ 754,331	\$ 894,123	\$ 1,058,540	\$ 1,164,742	\$ 1,096,361	\$ 687,650	\$ 403,590
Contribution in Relation to the Contractually Required Contribution	(524,078)	(651,513)	(703,592)	(754,331)	(894,123)	(1,058,540)	(1,164,742)	(1,096,361)	(687,650)	(403,590)
Contribution Deficiency (Excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Covered Payroll	\$ 2,960,894	\$ 3,680,861	\$ 3,975,096	\$ 4,261,758	\$ 5,051,541	\$ 5,985,358	\$ 6,580,469	\$ 6,865,132	\$ 5,696,793	\$ 3,173,040
Contributions as a Percentage of Covered Payroll	17.7%	17.7%	17.7%	17.7%	17.7%	17.7%	17.7%	16.0%	12.1%	12.7%
Public Safety System	2021	2020	2019	2018	2017	2016	2015	2014¹	2013¹	2012¹
Contractually Required Contribution	\$ 942,974	\$ 1,061,838	\$ 766,954	\$ 789,054	\$ 739,683	\$ 682,809	\$ 550,177	\$ 486,603	\$ 468,024	\$ 427,891
Contribution in Relation to the Contractually Required Contribution	(942,974)	(1,061,838)	(766,954)	(789,054)	(739,683)	(682,809)	(550,177)	(486,603)	(468,024)	(427,891)
Contribution Deficiency (Excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Covered Payroll	\$ 2,671,582	\$ 2,916,589	\$ 2,107,865	\$ 2,220,291	\$ 2,212,011	\$ 2,117,893	\$ 1,707,174	\$ 1,642,290	\$ 1,611,246	\$ 1,635,298
Contributions as a Percentage of Covered Payroll	35.3%	36.4%	36.4%	35.9%	33.4%	32.2%	32.2%	29.6%	29.0%	26.2%
Tier 2 Public Employees System	2021	2020	2019	2018	2017	2016	2015	2014¹	2013¹	2012¹
Contractually Required Contribution	\$ 4,328,092	\$ 4,645,446	\$ 4,993,396	\$ 5,444,034	\$ 6,127,098	\$ 7,878,405	\$ 6,995,912	\$ 4,707,627	\$ 2,945,339	\$ 1,728,653
Contribution in Relation to the Contractually Required Contribution	(4,328,092)	(4,645,446)	(4,993,396)	(5,444,034)	(6,127,098)	(7,878,405)	(6,995,912)	(4,707,627)	(2,945,339)	(1,728,653)
Contribution Deficiency (Excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Covered Payroll	\$ 22,659,755	\$ 24,526,165	\$ 26,511,616	\$ 29,551,457	\$ 33,628,505	\$ 43,203,966	\$ 38,336,356	\$ 28,113,543	\$ 24,400,464	\$ 13,590,742
Contributions as a Percentage of Covered Payroll ²	19.1%	18.9%	18.8%	18.4%	18.2%	18.2%	18.2%	16.7%	12.1%	12.7%
Tier 2 Public Safety and Firefighter System	2021	2020	2019	2018	2017	2016	2015	2014¹	2013¹	2012¹
Contractually Required Contribution	\$ 190,940	\$ 240,863	\$ 215,306	\$ 102,648	\$ 98,360	\$ 103,266	\$ 50,424	\$ 32,261	\$ 8,581	\$ 3,929
Contribution in Relation to the Contractually Required Contribution	(190,940)	(240,863)	(215,306)	(102,648)	(98,360)	(103,266)	(50,424)	(32,261)	(8,581)	(3,929)
Contribution Deficiency (Excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Covered Payroll	\$ 586,786	\$ 807,261	\$ 722,503	\$ 350,573	\$ 336,733	\$ 353,411	\$ 172,330	\$ 117,742	\$ 77,303	\$ 37,598
Contributions as a Percentage of Covered Payroll ³	32.5%	29.8%	29.8%	29.3%	29.2%	29.2%	29.3%	27.4%	11.1%	10.5%

¹ Contractually Required Contributions, Contributions, and Covered Payroll include information for Tier 2 Employees. Prior to the implementation of GASB Statement No. 68, Tier 2 information was not separately available.

² The University of Utah began participating in Public Safety Systems in 2011.

³ The Tier 2 Public Employees System was created in 2011.

⁴ The University began contributing to the Tier 2 Public Safety and Firefighter System in 2012.

⁵ For employees participating in the Public Employees and Public Safety Firefighters Tier 2 Systems, the University is required to contribute a percentage of the employees' salaries to the Systems.

The University makes the required contributions by paying approximately 10% in to the Tier 2 Systems while the remainder is contributed to the Tier 1 Systems, as required by law.

The amounts reported here reflect the net contributions to the Tier 2 systems rather than the total required.

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ANNUAL FINANCIAL REPORT

PREPARED BY:

**THE UNIVERSITY OF UTAH
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201 SOUTH PRESIDENTS CIRCLE, RM 408
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E. Exceptional Educational Experience



THE
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OF UTAH

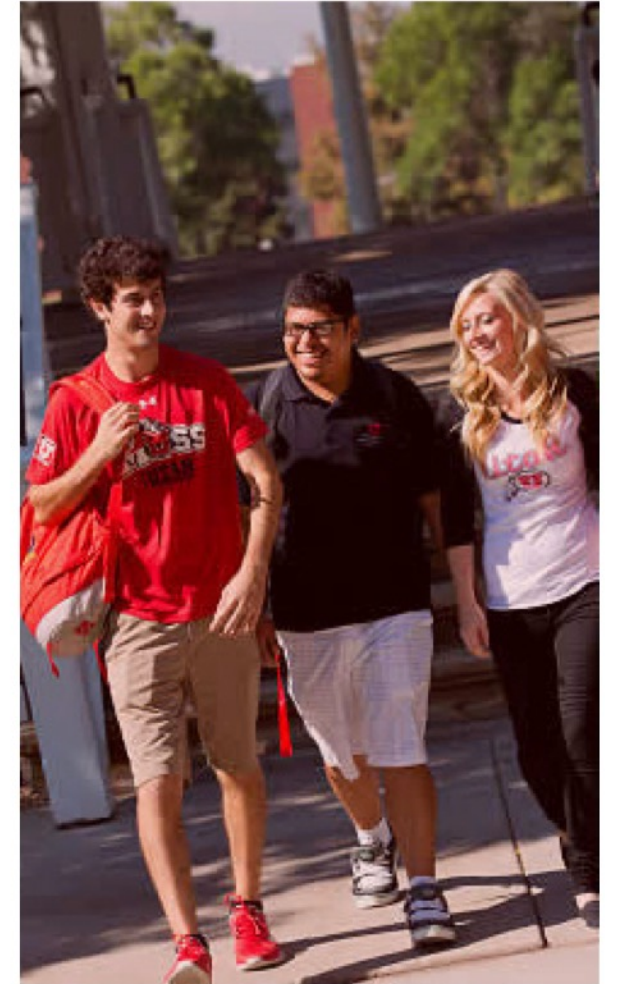
OFFICE OF UNDERGRADUATE STUDIES

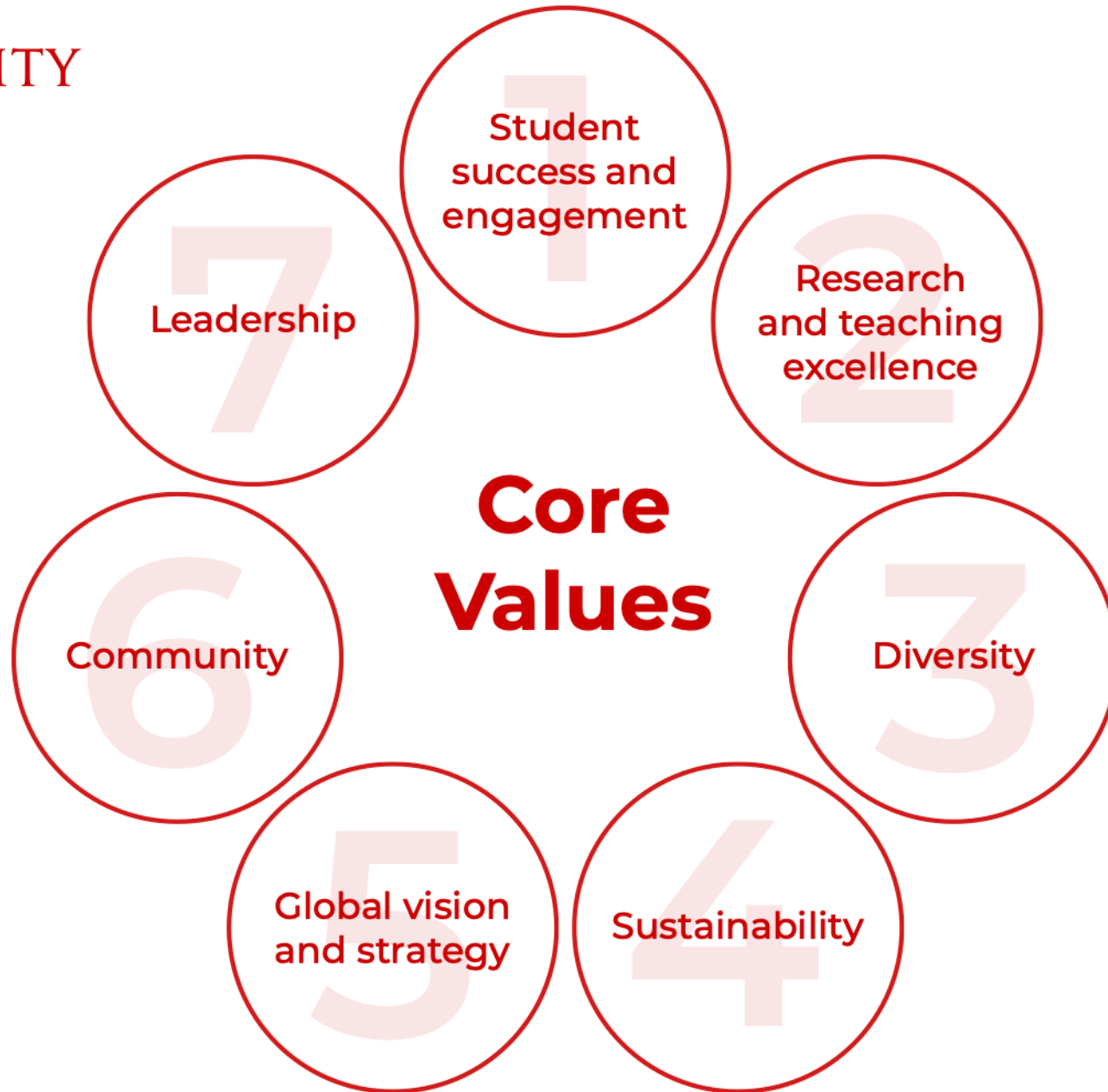
E³

Exeptional
Educational
Experience

What is the *University of Utah* experience?

Inclusive
Meaningful
Impactful
Transformative





STRATEGY 2025



**STUDENT
SUCCESS**



**GENERATE
KNOWLEDGE**



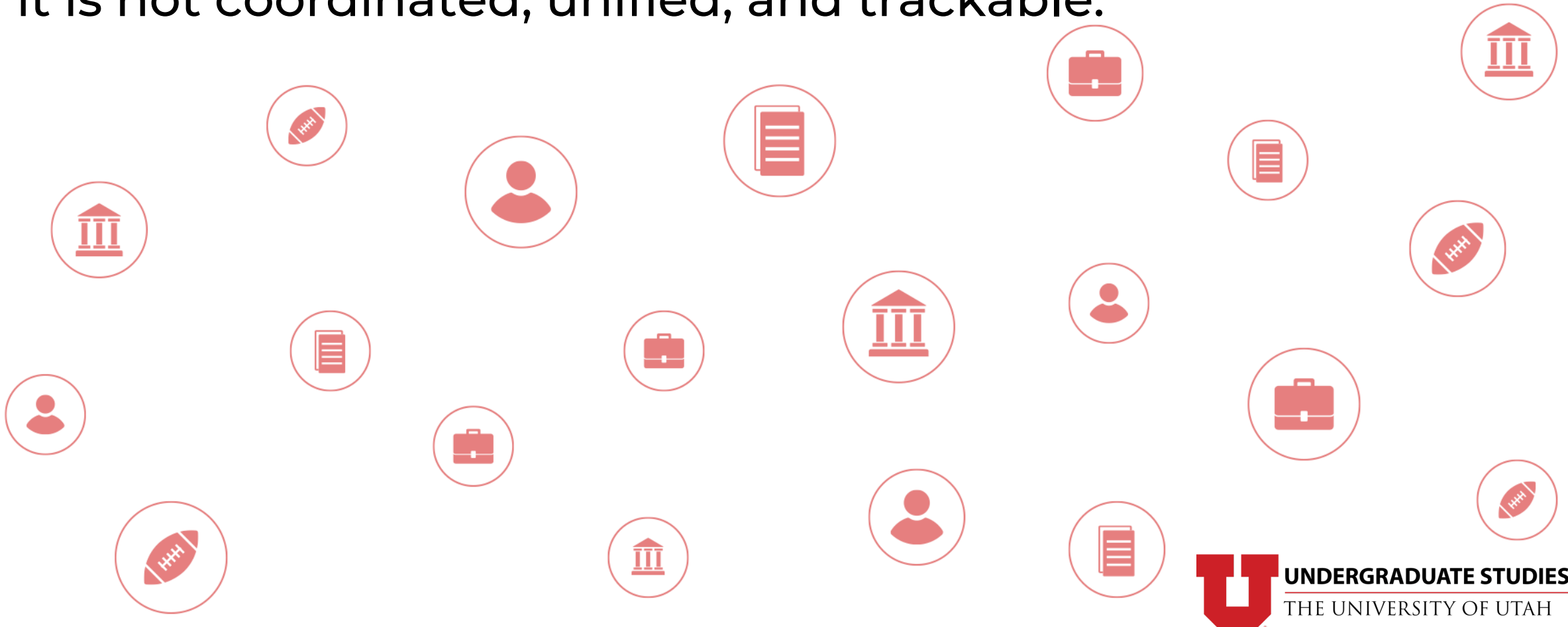
**ENGAGE
COMMUNITIES**



**ENSURE
VITALITY**

What's the problem?

Great work done by individuals, units, and colleges but it is not coordinated, unified, and trackable.



E³ Establishing Connections

An experience framework unites the work across the institution.



E³ Foundation



Provide and create positive and enriching relationships



Foster autonomy and self-direction



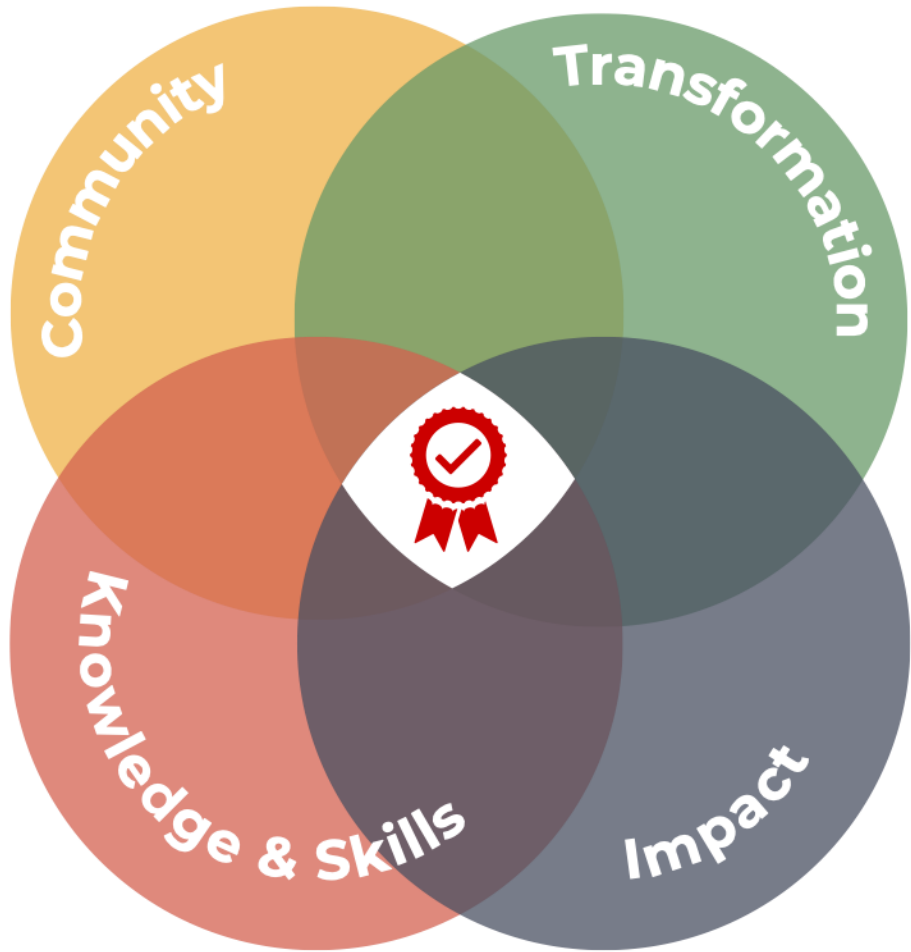
Develop process, standards, and guidelines



Application of knowledge to fulfill goals



E³ Impact



Allows for a shared understanding of an exceptional educational experience.

Provides a framework to begin to align and measure our efforts

Helps differentiate what it means to obtain your education here at the U.

Community

Positive & Enriching Relationships

Focus

This area relates to the development of a supportive environment for learning and growth. A learner connects with others and develops an understanding and respect of diverse perspectives. They develop strong relationships and a sense of belonging and social connection. They contribute to others and the group through effective engagement and dialogue.

Themes

- Empathy and Diversity
- Team Orientation
- Systems Thinking
- Constructive Engagement and Dialogue

Examples

- Student leadership
- Community engagement
- Mentoring and advising
- Teamwork (incl. athletics)
- Participation in learning communities

Transformation



Autonomy & Self-Direction

Focus

This area relates to the development of the self during the university experience. A learner deepens their own understanding of self and others through reflection, experience, and genuine self-expression. It manifests in a strong sense of meaning and purpose in one's future outlook.

Themes

- Meaning / Choice
- Authentic Expression
- Personal Purpose / Vision
- Sense of Self / Confidence

Examples

- Authoring a book
- Creating / performing artistic work
- Founding a new student organization
- Starting a new business venture
- Contributing meaningful perspectives (e.g. Op Ed)

Knowledge & Skills

Standard, Process, Guidelines

Focus

This area relates to the systematic development of knowledge and skills. A learner explores various fields of knowledge / skills and develops an intention to acquire expertise in select fields which are relevant to their personal / professional purpose. They develop and apply a process to develop expertise through study and practice, culminating in mastery (and scholarship).

Themes

- Clarity and Plan
- Discipline and Practice
- Rigor and Process
- Mastery

Examples

- Conducting a research project
- Presenting a research project
- Creating a personalized learning plan
- Developing expertise in a field of study
- Engaging in scholarly activity

Impact

Performance & Application

Focus

This area relates to the effective application of knowledge/skills towards a purpose to generate impact. A learner sets challenging goals and then takes meaningful action towards the fulfillment of those goals. They summon inner resources to overcome challenges, learn from mistakes, and ultimately achieve success.

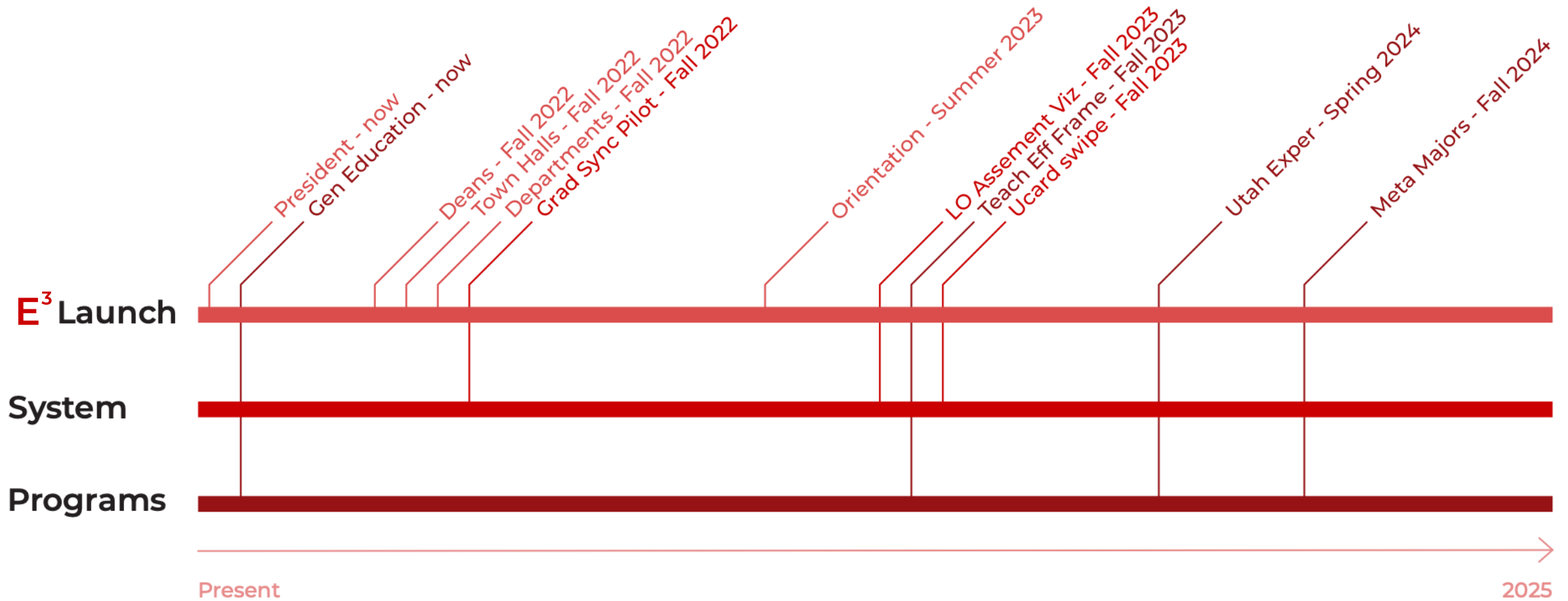
Themes

- Performance
- Excellence
- Making a Difference
- Productivity

Examples

- High scores on assessments
- Prolific scholarship
- Leadership impact
- Starting a successful enterprise
- Employability and job offers

Implementation & Timeline

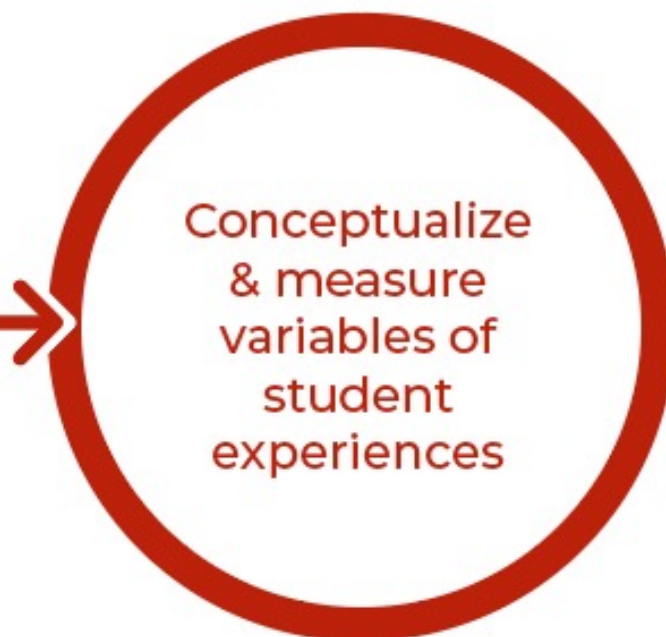


E³ Evolution

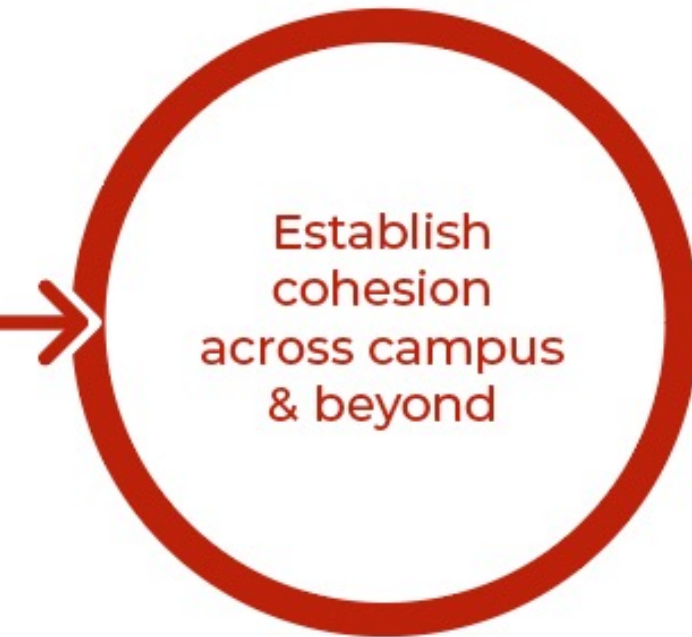
Where we've been



Where we are



Where we're going





Thank you for your time.
Any Questions?



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