

The Board of Trustees of the University of Central Arkansas convened in regular meeting at 2:00 p.m., Friday, May 8, 2009, in the Board of Trustees Conference Room in Wingo Hall with the following officers and members present:

Chairman: Rush Harding
Vice Chair: Dr. Harold Chakales
Secretary: Mr. Scott Roussel
Mrs. Patricia Bassett
Mrs. Kay Hinkle
Mr. Bobby Reynolds
Mr. Randy Sims

MINUTES

The minutes of the February 6 and March 6, 2009 Board meetings were unanimously approved as submitted upon a motion and a second.

INTRODUCTIONS AND ANNOUNCEMENTS

Interim President Tom Courtway introduced incoming Faculty Senate President, John Parrack and incoming Student Government Association President, Cody Wilson.

PRESIDENT'S REPORT

Interim President Courtway reported on the following items:

Dr. Mike Stanton was presented his Board portrait and a resolution thanking him for his service.

Jack Gillean, co-chair of the Presidential Search Committee, thanked the committee for their work and submitted the following names for the Board's consideration:

Brad Bartel
Bernie Patterson
Aaron Podolefsky
Allen Meadors
Dean Bresciani

The following resolution for Kris Allen, a finalist in the *American Idol* competition and a student at UCA, was unanimously adopted by the Board upon motion by Scott Roussel with a second by Kay Hinkle:

Resolution

WHEREAS, Kristopher N. Allen, known to the world as Kris, is a singer/songwriter from Conway; and

WHEREAS, Kris has a passion for music which began when he taught himself to play the guitar at age 12 and has led him to learn to play the piano, viola and ukulele; and

WHEREAS, Kris is a student at the University of Central Arkansas majoring in business; and

WHEREAS, Kris has been very successful on *American Idol* having made it to the top three finalists in the 2008-09 season; and

WHEREAS, the State of Arkansas, the City of Conway, and the entire University community want to wish Kris the very best in his effort to become the next *American Idol*; and

NOW THEREFORE BE IT RESOLVED, by the Board of Trustees of the University of Central Arkansas that the Board wishes to commend Kris Allen for his great success on *American Idol*; and

BE IT FURTHER RESOLVED, that this resolution be made a part of the minutes of the University of Central Arkansas Board of Trustees meeting.

Witness our hands and seal this 8th day of May, 2009.

Rush Harding, III, Chair

Scott Roussel, Secretary

ACTION AGENDA

“General Registration and Other Fees” (Board Policy No. 630)

The administration proposes the following mandatory tuition/ fees:

The proposed increase is approximately 2% for both undergraduate and graduate general registration. Other changes include fee modifications proposed by the Student Government Association. The first SGA proposal is to make the student activity fee \$13.50 for all students regardless of the number of hours taken each fall and spring term. The second SGA proposal is to increase the student activity fee from \$13.50 to \$15.50 per semester

	<u>2008/09</u>	<u>2009/10</u>
Undergraduate General Registration (Per Credit hour)	\$170.00	\$173.50 (2.05% Increase)

Graduate General Registration (Per Credit hour)	\$210.00	\$214.00 (1.90% Increase)
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Other Mandatory Fees (Per-Hour) (Undergraduate/ Graduate)

Athletics	\$ 13.00	\$ 14.00 (Approved May 2008)
Cooperative Education	\$.50	\$.50
Facilities/ Infrastructure	\$ 9.00	\$ 9.00
Fine/Performing Arts	\$ 2.00	\$ 2.00
HPER (Health, Phys. Ed. / Recreation)	\$ 4.00	\$ 4.00
Student Center	\$ 4.00	\$ 4.00
Technology	\$ 7.50	\$ 7.50

Out-of State

Undergraduate	\$170.00	\$173.50
Graduate	\$210.00	\$214.00

Other Mandatory Fees (Per Term)

Assessment (Undergraduate only)	\$ 5.00	\$ 5.00
Health Services (Note 1)	\$ 65.00	\$ 65.00
Access & Security (Note 5)	\$ 0.00	\$ 27.00 (Approved February 2009)
Publications (Note 4)	\$ 6.00	\$ 6.00
Radio Station (Note 4)	\$ 5.00	\$ 5.00
SAB (Student Activity Board) (Note 2)	\$ 8.00	\$ 8.00

Student Activity (Note 3) \$ 13.50 \$ 13.50

Explanatory notes:

	Fall/Spring	Intersession	Summer	10 wk	Week
Note 1: Health Service Fee	\$65.00	\$32.50	\$32.50		\$65.00
Note 2: SAB	\$ 8.00	\$ 0	\$ 1.50	\$ 3.00	
Note 3: Student Activity (8+ hours)	\$ 15.50	\$ 3.50	\$ 3.50	\$ 3.50	\$ 3.50
Student Activity (1-7 hours)	\$ 3.50	\$ 0	\$ 0	\$ 3.50	\$ 3.50

Note 4: Publications and Radio Station Fees are charged fall and spring semesters only.

Note 5: Beginning with the Fall 2009 semester, all students will be charged a per semester fee of

\$27.00 for each fall/spring semester and \$15.00 for the summer term.

Note 6: The per-hour fees will be charged for each credit hour taken.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Patricia Bassett:

“BE IT RESOLVED: That the Board of Trustees adopts the above revisions to Board Policy No. 630, “General Registration and Other Fees”, effective fall 2009.”

Operating Budget 2009-10

The proposed operating budget for fiscal year 2009-10 totals \$157,277,934 as compared with the revised 2008-09 budget of \$153,393,125. This represents an increase of \$3,884,809 or 2.53%.

REVENUES

Student Fees

The increase in student fees is based on the changes in Board Policy 630, related to the general registration fee. The general registration fee included in this budget reflects approximately a 2.05% increase in the general registration fee (\$170 to \$173.50 per credit hour).

This budget includes the changes approved by the Board of Trustees in May 2006 that allowed the general registration fee to be charged for each hour in which a student is enrolled.

State General Revenues - Projected state general revenues are based on an increase of \$845,273. The university should receive additional revenue of \$2.5 million. These are one-time funds that will not go into the university's base.

Athletic Revenues - The athletic revenues include an increase of \$1 per credit hour (\$13 to \$14 per credit hour).

Other Auxiliary Revenues - The room and board rates were approved in February 2009, and this budget includes a revenue increase of 3.0%.

EXPENDITURES

Salaries/Fringes- The administration is asking the Board to approve a new Pay Plan (Act 688 of 2009) for the classified employees. During this financial hardship, we are requesting to implement approximately half of the pay plan during 2009-10 and the other half in 2010-11 if funding is available. The faculty and nonclassified will not receive a COLA for 2009-10. The fringe benefit percentage will remain at 31%.

Maintenance and Operation – The academic operational budgets have increased by \$658,524. The majority of the increase reflects the revenue generated from lab fees that have been added to the academic departments to support the cost of instruction.

Housing and Food Services - The housing and food service budget will increase as a result of the new food service contract (February 2009), the cost of utilities and maintenance items.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Bobby Reynolds:

“BE IT RESOLVED: That the Board of Trustees approves the 2009-10 operating budget totaling \$157,277,934.

Line of Credit – Authorization/Certification to DF&A and ADHE; Act 571 of 2009 (SB843)

The University currently has a \$6 million line of credit with the National Bank of Arkansas. The Board of Trustees authorized this credit line at the October, 2008 Board meeting and approvals (as required by Arkansas law) were obtained from the Department of Higher Education and the Chief Fiscal Officer of the State. The current line of credit expires on June 30, 2009. As of the date of this meeting, no amounts have been borrowed on the line of credit, although it is anticipated that some private borrowing may be utilized by the University prior to the end of the current fiscal year.

The National Bank of Arkansas has informed the administration that it will not renew the line of credit, but will work with the University on the transition to another institution.

The administration has submitted requests for proposals to lenders for a new credit line in the amount of \$6 million and a recommendation will be made to the Board of Trustees on May 8, 2009, to move the credit line to another institution.

The new credit line will be for \$6 million and the administration will request that the maturity date for the new line be June 30, 2010. Under prior law, an institution could not end a fiscal year with private, short-term borrowing (like a credit line) in effect. However, the Arkansas General Assembly has changed the law (Act 571 of 2009) to provide that an institution of higher education may have private borrowing from one fiscal year to the next provided (a) the Board of Trustees certifies that such private borrowing is essential to the continued operations of the institution; (b) the approvals are obtained from the Department of Higher Education and the Chief Fiscal Officer of the State; and (c) the funds are re-paid within 120 days of the start of the following fiscal year and that re-payment is certified by the chief financial officer of the institution.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Kay Hinkle and Rush Harding recused:

“BE IT RESOLVED: That pursuant to the provisions of Act 571 of the 2009 Arkansas General Assembly, the Board of Trustees hereby determines and certifies that (a) the continuation of a line of credit for operational purposes for FY 2010 is needed to continue essential operations of the University in order to maintain and level out existing and anticipated cash flows, and (b) that such sums, if utilized during the current fiscal year will be re-paid within one hundred twenty days after the start of FY 2010; and

BE IT RESOLVED: That the existing line of credit in the amount of \$6 million with the National Bank of Arkansas should be moved to another financial institution and the administration has published requests for proposals to financial institutions to extend such credit; and

BE IT RESOLVED: That after review of such proposals, the University should enter into such new line of credit with the best qualified financial institution; and

BE IT FINALLY RESOLVED: That the Interim President and the Interim Vice President for Financial Services are authorized to (a) enter such agreements, promissory notes, or other obligations as may be necessary or required with the foregoing institution for the purpose of securing a line of credit for the University in the aggregate principal amount of not greater than \$6 million and with a term to expire on or before June 30, 2011; (b) cause the existing line of credit with the National Bank of Arkansas to be extinguished not later than June 30, 2009; and (c) promptly seek the approval and consent of the Arkansas Department of Higher Education and the Chief Fiscal Officer of the State of Arkansas as required by Act 571 of the 2009 Arkansas General Assembly for such new line of credit and in accordance therewith deliver to such state officials a copy of this resolution.”

We hereby certify that the above agenda item and resolution were considered and approved by the University of Central Arkansas Board of Trustees at its regularly held meeting on May 8, 2009, and that this is a true and correct copy of the agenda item and resolution.

Witness our hands and seal this 8th day of May, 2009.

Rush Harding, III, Chair

Scott Roussel, Secretary

Rights-of-Way and Easements to the City of Conway

The City of Conway has requested that the university grant a permanent 15-foot wide right-of-way and easement for three projects:

- Business Building – to provide water, sewer underground electric lines and CATV/HSD lines;
- Baseball Field – 2-inch water main;
- Baseball Field - 8-inch sewer main;
- ARE-ON – 10” communications easement

Also, for a six-month period during the construction phase, the city has requested a 40-foot easement for each project for the purpose of providing a work area for building and laying of the utilities.

The rights-of-way and easements would grant the city the authority to enter upon the property to make such excavations and perform other work as they deem necessary.

Copies of the rights-of-way and easements are attached to these minutes.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Scott Roussel:

"BE IT RESOLVED: That the Board of Trustees approves the following rights-of-way and easements." (Attached to these minutes)

Bond Issue

In its continuing effort to be good stewards of public funds, the administration believes it is appropriate to evaluate whether sufficient savings can be obtained by the refinancing of any existing bond issue.

In order to accomplish this, the university needs to issue an RFP for the purpose of identifying an underwriter and bond counsel to assist with this process. To be feasible, a net present value savings of 3 percent or more will be required.

The following resolution was unanimously adopted upon motion and second:

“BE IT RESOLVED: That the Board of Trustees authorizes the administration to review all existing debt issues of the university and, if the bonds can be refunded to create a net present value savings of 3 percent, the administration is authorized to seek necessary approvals to refund those bonds.”

New Program: Bachelor of Arts in Linguistics

The College of Fine Arts and Communication and its Department of Writing propose a new program, the Bachelor of Arts (BA) in Linguistics. The proposed program will be based on existing and proposed courses offered by the Department of Writing and courses offered in several other departments, including English; Speech; World Languages, Cultures, and Literatures; Philosophy; Psychology; Computer Science; and Speech-Language Pathology. The Department of Writing is already home to a successful minor in linguistics.

The BA in Linguistics will offer students the opportunity to specialize in the study of language and ensure that students are proficient in the core areas of phonology, morphology, syntax, semantics and sociolinguistics as well as specialized in the area of their choice. The major will require 36 hours: 18 hours of a required core and an additional 18 hours in one of four tracks: (1) Language, (2) Teaching English to Speakers of Other Languages (TESOL), (3) Computer Science, and (4) General Linguistics.

The major will provide students with a broad overview of this growing field as well as prepare them for diverse careers in various governmental and non-governmental agencies and in the private sector. Such opportunities include work for intelligence agencies and the military as well as the Peace Corps, the Red Cross, or Heifer International. Graduates may also find employment as teachers of English to speakers of other languages, computer software engineers, translators, interpreters, research analysts, and lexicographers. The major is also excellent preparation for law school: students trained in linguistics are in demand for forensic linguistics, i.e., interpreting the language of the law. Students may also opt for graduate school in linguistics, English, communications, rhetoric and composition, foreign languages, or other related fields.

All appropriate university councils and administrators have recommended approval of the BA in Linguistics.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Harold Chakales:

“BE IT RESOLVED: that the Board of Trustees hereby approves the BA in Linguistics.”

Reconfiguration of Existing Degree Program

The College of Fine Arts and Communication and its Department of Writing propose a reconfiguration of the Bachelor of Arts (BA) degree program and minor in Writing into separate degree programs based on areas of strength in the existing curriculum:

BA and minor, Writing
BA and minor, Creative Writing

The existing BA program in Writing was implemented in 2000 and has proven a vibrant and productive one. With a current major and minor count of approximately 200, the program averages more than 20 graduates each year. Enrollment patterns in creative writing courses within the existing program and surveys of current UCA students suggest that significant numbers of students will be attracted to the BA in Creative Writing.

The reconfiguration will allow these program areas to develop as closely related but distinct disciplines and will ensure that students who graduate from the programs are recognized for their particular academic preparation, skills, and credentials. The reconfiguration will require no additional financial or human resources.

All appropriate university councils and administrators have recommended approval of the reconfiguration of the BA and minor in Writing.

The following resolution was unanimously adopted upon motion by Kay Hinkle with a second by Randy Sims:

“BE IT RESOLVED: that the Board of Trustees hereby approves the reconfiguration of the BA degree and minor program in Writing as (1) the BA in Writing and minor in Writing; and (2) the BA in Creative Writing and minor in Creative Writing.”

Modifications to *Faculty Handbook*

The UCA *Faculty Handbook* Committee has recommended a number of revisions to the current document. The following is a summary of the proposed changes. A full document accompanies this summary under separate cover with revisions shown in detail.

Various non-substantive editorial changes and corrections have been noted as appropriate throughout the document.

Chapter Three, Section II.C. - A new section was added describing the procedures for the hire, tenure, and promotion of Honors College faculty hired after September 1, 2005.

Chapter Three, Section IV.B.1. - Text was added clarifying and improving the policy regarding the appointment of tenure-track faculty before the completion of a terminal degree.

Chapter Three, Section VIII.B.1. - Text was changed to ensure that all tenure and promotion applications go through a department-level review and that department tenure and promotion committees have no fewer than three members qualified to review those applications.

Chapter Three, Section X. - The deadline to request an extension of the probationary period was changed from September 1 (the same deadline for submitting a tenure application) to May 1. A deadline of July 1 was set for the provost to notify the faculty member of the decision regarding the request.

Chapter Three, Section XII.B.1. - Text was deleted to clarify the policy for granting tenure with initial appointment in the rare (though recent) case in which a candidate had earned tenure but did not currently hold tenure.

Chapter Four, Section VI. - Text was added describing the obligation of tenured faculty to serve on the department's Personnel Advisory Committee.

Chapter Seven, University Standing Councils and Committees. - Editorial changes and corrections were made to several committees. Most notable substantive changes were made to the following committees:

- Budget Advisory Committee (BAC)
- Faculty Handbook Committee
- Radiation Safety Committee
- General Education Council
- Institutional Animal Care and Use Committee
- Institutional Research Board (IRB)
- Professional Education Council
- Public Service Award Committee
- Research, Scholarship, and Creative Activity Award Committee
- Teaching Excellence Award Committee

The recommendations of the *Faculty Handbook* Committee have been considered and endorsed by the Provost, Faculty Senate, and other appropriate administrators.

The following resolution was unanimously adopted upon motion by Patricia Bassett with a second by Randy Sims:

"BE IT RESOLVED: That the Board of Trustees hereby approves the revised *Faculty Handbook*."

"Audit Committee" (Board Policy No. 213)

Currently, there are no subcommittees of the Board of Trustees. Other universities, however, have subcommittees and some have an Audit Committee. The function of this Audit Committee varies, but in general, it is designed to have responsibility for the Office of Internal Audit, review the annual audit plan and have reports presented directly to the Board for consideration.

The administration proposes that the Board create an Audit Committee. The committee will be composed of three (3) Board members: the past-chair, the current Board chair would appoint a member, the full Board would appoint the third member.

The committee will work with the Office of Internal Audit, meet at least quarterly prior to Board meetings, and have supervisory control over the internal auditor. While the internal auditor will provide copies of audits to the Vice President for Administration, and the Vice President for Administration will also have supervisory authority over the budget and travel, the internal auditor will report only to the members of the Audit Committee. No employee of the university will have control over the operation of the Office of Internal Audit.

The Board will name the Audit Committee members at the July 25, 2009 meeting.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Bobby Reynolds:

"BE IT RESOLVED: that the Board of Trustees hereby approves the following "Audit Committee" policy as Board Policy 213.

**UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY**

Policy Number: 213

Page 1 of 4

Subject: Audit Committee

Date Adopted: 05/09 Revised: _____

AUDIT COMMITTEE

1. **Creation of Audit Committee.** There is hereby created a committee of the University of Central Arkansas Board of Trustees (“Board”) to be known as the “Audit Committee.”

2. **Members of the Audit Committee.** The Audit Committee shall be composed of three (3) members of the Board, consisting of the past-chairman of the Board; one person appointed by the Chair of the Board; and the third member selected by the full Board. Members shall serve for a one-year term commencing with the start of the fiscal year. No member shall serve more than two consecutive years.

3. **Chair of the Audit Committee.** The members of the Audit Committee shall select a chair for the committee. The Chair of the Audit Committee shall be responsible for calling meetings of the committee, and shall also meet with the director of internal auditing, any independent accountants, and management separately to discuss any matters the Chair deems necessary or required.

4. Purpose; **Scope of Responsibility of the Audit Committee.** The purpose of this committee shall be to aid and assist the University, the Board, and the Office of Internal Audit. Nothing herein shall be deemed to abrogate any authority or responsibility of the Arkansas Division of Legislative Audit.

The Audit Committee shall consider and recommend to the Board matters of policy relating to internal and external audits and such other matters as may be referred to it by the President or the Board. Its primary function is to assist the Board in fulfilling its oversight responsibilities by reviewing financial information which will be provided to the Legislature and others, the systems of internal controls which management and the Board have established, and the audit process.

The Audit Committee shall have the power to authorize, oversee and/or conduct investigations into any matters within the Audit Committee’s scope of responsibilities.

5. **Meetings of the Audit Committee.** The Audit Committee shall meet at least four times per year, with each such meeting occurring prior to the regularly-scheduled meeting of the Board. The Audit Committee may meet more frequently as circumstances require. The Audit Committee may ask members of management or others to attend the meeting and provide pertinent information as necessary.

6. **Responsibility for Office of Internal Audit.** The Office of Internal Audit of the University of Central Arkansas shall report directly to the Audit Committee, and no office, department or employee of the University of Central Arkansas shall have any oversight

responsibility for, nor exercise supervisory control over, the Office of Internal Audit. Provided, however, administrative responsibility for salaries, budget, travel, and other operating expenses shall be handled by the Vice President for Administration, subject to the approval of the Chair. In addition, the Office of Internal Audit shall provide drafts of audits to the Vice President for Administration and to the members of the audit committee.

7. Specific Responsibilities of the Audit Committee. In meeting its responsibilities, the Audit Committee is expected to:

a. Provide an open avenue of communication between the internal auditors, any independent accountant (if utilized), management of the university and the Board of Trustees.

b. Review and update the responsibility of the Audit Committee, subject to approval by the Board of Trustees.

c. If necessary or required, recommend to the Board any independent accountants to be nominated, approve the compensation of the independent accountants, and review and approve the discharge of the independent accountants. Independent accountants are ultimately accountable to the Board and to the Audit Committee.

d. Review and concur in the appointment, replacement, reassignment, or dismissal of the director of internal auditing, or any staff person of such office.

e. Confirm and take or recommend any appropriate actions to assure the independence of the internal auditor, and if required, any independent accountants. Obtain disclosures regarding the accountants' independence as required by generally accepted government auditing standards and discuss with the accountants all significant relationships to determine the accountants' independence.

f. Inquire of management, the director of internal auditing, and the independent accountants about significant risks or exposures and assess the steps management has taken to minimize such risk to the University of Central Arkansas.

g. Consider, in consultation with the independent accountants and the director of internal auditing, and approve the audit scope and plan of the internal auditors and the independent accountants.

h. Review with the director of internal auditing and the independent accountants the coordination of audit effort to assure completeness of coverage, reduction of redundant efforts, and the effective use of audit resources.

i. Consider and review with the independent accountants and the director of internal auditing the adequacy of internal controls including computerized information system controls

and security.

j. Review with management, the internal auditors, and if necessary any independent accountants, any of the following matters following an examination:

(1) The financial statements and related footnotes and consider whether they are consistent with information known to committee members.

(2) The independent accountants' audit of the financial statements and their report thereon.

(3) Significant accounting and reporting issues, recent pronouncements, and complex or unusual transactions during the audit period under review.

(4) Significant findings and management responses thereto.

(5) Any significant changes required in the internal auditors' or independent accountants' audit plan.

(6) Any serious difficulties or disputes with management encountered during the course of the audit.

(7) Such other matters related to the conduct of the audit, which are to be communicated to the Audit Committee under generally accepted auditing standards.

8. **Review with Director of Internal Audit.** Consider and review with management and the director of internal auditing:

a. Significant findings during the year and management's responses thereto.

b. Any difficulties encountered in the course of their audits, including any restrictions on the scope of their work or access to required information.

c. Any changes required in the planned scope of their audit plan.

d. The internal auditing department's budget, staffing and organizational structure of the department.

e. The department's compliance with Institute of Internal Auditor's Standards of Professional Practice of Internal Auditing.

f. Review legal and regulatory matters that may have a material impact on the financial statements and related compliance policies.

9. **Report to Board of Trustees.** Report Audit Committee actions to the Board with such recommendations, as the Audit Committee may deem appropriate.

“Graduate Admission” (Board Policy No. 311)

Board Policy No. 311 establishes the policy for graduate admission at the university. The administration is in the process of updating its admissions policies. With this in mind, the administration proposes a minor revision to Board Policy No. 311 for departments with competitive admissions standards that need more stringent criteria for admission than the normal graduate admission criteria.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Kay Hinkle:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following revision to Board Policy No. 311, ‘Graduate Admission Policy.’”

UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY

Policy Number: 311 Page 1 of 1
Subject: Graduate Admission Policy
Date Adopted: 6/78 Revised: 3/91, 3/94, 5/09

Regular Admission shall require a baccalaureate degree from an accredited institution, adequate undergraduate preparation in the field of proposed academic emphasis at the graduate level, and a minimum 2.7 overall GPA or a 3.0 in the last 60 hours of undergraduate study. ~~Departments will be allowed to specify more stringent standards only after approval by the President or the President's designee.~~ Program-specific admission policies may be proposed in accordance with the terms of Board Policy 312, Program-Specific Admission Policies.

Conditional Admission replaces the former "Special" and "Non-degree" categories. The conditions are to be specified for each student.

Students admitted on a conditional basis with less than the specified minimum undergraduate GPAs, must obtain a 3.0 within the first nine semester hours on UCA course work approved by the Graduate Dean.

Concurrent Admission allows seniors during their last semester or summer term of undergraduate work registration before graduation to enroll as concurrent graduate students if they are otherwise fully qualified to enter graduate school under the regular admission category.

Non-degree Admission is for students possessing the minimum GPA for regular admission but not intending to pursue a degree at the time of admission.

“Program-Specific Admissions Policy (Board Policy No. 312)”

Board Policy No. 312 currently establishes the admission criteria for admission to the B.S. program in Speech-Language Pathology. The administration proposes establishing a standard policy authorizing the various academic departments to establish selective, limited, or otherwise restrictive standards for admission and the elimination of the various Board policies for each program. There is currently a Board policy for each such program found in Board Policy Nos. 312-318 and 322-323.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Kay Hinkle:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following revision to Board Policy No. 312, ‘Admission to B.S. Program in Speech-language Pathology: Selective, Competitive and Limited’.”

**UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY**

Policy Number: 312 Page 1 of 1

Subject: ~~Admission to B.S. Program in Speech-Language Pathology: Selective, Competitive, and Limited~~ **Program-Specific Admission Policies**

Date Adopted: Revised:

All students declaring a speech pathology major are accepted as tentative candidates to the undergraduate program. Admission to SPTH 2300 (Introduction to Clinical Speech), SPTH 2322 (Applied Phonetics) SPTH 2302 (Basic Sign Language), and SPTH 4303 (Intermediate Sign Language) is open to all students. All other courses in speech language pathology require formal admission to the program. The curriculum in Speech Language Pathology has strict enrollment limitations and entry is by application and competitive admission only. Students apply for admission to the undergraduate program during the spring of their sophomore year.

Based on academic and personal qualifications of the applicant, admission to the B.S. Program in Speech Language Pathology, is granted without regard to race, color, creed or national origin. Applicants must demonstrate proficiency in oral communication prior to admission to practicum courses. Admission to the program requires:

A. Junior status with an overall undergraduate grade point average of 2.7 (with priority given to students demonstrating outstanding academic achievement)

- B. ~~A major grade point average of 3.0.~~
- C. ~~A formal interview with a designated member of the faculty.~~
- D. ~~Three letters of reference.~~
- E. ~~Passing scores on the Preprofessional Skills Test (PPST) (Math 169, Reading 170, Writing 171)~~

The Board of Trustees authorizes the administration to establish program-specific admission policies for degree programs at the undergraduate and graduate levels in cases where admission to such programs is selective, limited, competitive, or otherwise restrictive. Such policies add to but do not replace general admission policies used by the University of Central Arkansas for undergraduate and graduate admission to the university.

New program-specific admission policies and revisions to existing program-specific admission policies may be approved by the Provost upon recommendation through a review process and using criteria defined in the University of Central Arkansas' *Curriculum Development Process Guide* and agreed upon by the university's Undergraduate Council, Graduate Council, and Council of Deans.

The authoritative statement of a program-specific admission policy is the *Undergraduate Bulletin* for undergraduate programs and the *Graduate Bulletin* for graduate programs.

Deletion of Various Board Policies

Based on the reconfiguration of Board Policy No. 312, the various program-specific policies (313-318, 322-323) are no longer necessary and should be deleted as Board policies.

Board Policy No. 337 provides that course credits earned in UCA Physical Therapy offerings in selected locations shall be considered the same as on-campus residence courses. Physical Therapy courses are no longer offered at locations away from the main UCA campus and, therefore, this policy is no longer needed.

Board Policy No. 643 establishes the fees associated with enrolling in the Graduate School of Management, Leadership, and Administration (GSMLA). However, the university dismantled this program and the fee is no longer needed.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Kay Hinkle:

“BE IT RESOLVED: That the Board of Trustees approves deletion of the following Board Policies:

Board Policy No. 313 Admission to Teacher Education Program, BSE and BME Students

Board Policy No. 314 Admission to Art Program

Board Policy No. 315 Admission to Music Program

Board Policy No. 316 Admission to Occupational Therapy Program – Selective and Limited

Board Policy No. 317 Admission to Physical Therapy Program – Selective and Limited

Board Policy No. 318 Admission to Nursing Program – Selective, Competitive, and Limited

Board Policy No. 322 Admission to Athletic Training Education Program (ATEP)

Board Policy No. 323 Admission and Retention Standards for the Bachelor of Business Administration (BBA) Degree program

Board Policy No. 337 Residence Credit – Physical Therapy

Board Policy No. 643 Fees – Graduate School of Management, Leadership, and Administration (GSMLA)

“Phased Retirement Program” (Board Policy No. 356)

In 1999, the Board established the Phased Retirement Program, a program which allows full-time tenured faculty members to retire over a five-year period by reducing his/her teaching load in a phased manner. The administration believes that one provision of the policy is confusing and places an unnecessary limitation of the eligibility of faculty members to use the phased retirement

program. The proposed revision will make phased retirement available to any full-time tenured faculty with ten (10) years of continuous service and who is fifty-five (55) or older.

The administration also proposes a minor revision to the policy to delete a reference to “Continuing Education,” which is now called Academic Outreach and Extended Programs.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Bobby Reynolds:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following revision to Board Policy No. 356, ‘Phased Retirement Program’.”

**UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY**

Policy Number: 356

Page 1 of 3

Subject: Phased Retirement Program Policy

Date Adopted: 3/99 Revised: 5/09

Preface: Under the “Older Workers Benefits Protection Act (OWBPA),” a person may not waive any right or claim under the “Age Discrimination in Employment Act (ADEA)” unless the waiver is “knowing and voluntary.” The following is provided to meet the “knowing and voluntary” provision of the OWBPA:

1. The phased retirement program is a voluntary program offered by the University of Central Arkansas. The program, adopted by the UCA Board of Trustees on March 12, 1999, is initially available to all full-time tenured faculty members who have completed ten (10) years of continuous service at UCA and who are fifty-five (55) years of age or older on or before November 1 of the calendar year prior to the commencement of phased retirement. ~~The latest point by which a faculty member may enter the phased retirement program is one (1) year before qualifying for regular retirement at UCA. A faculty member, who at the adoption of the policy, has completed ten (10) years of continuous service at UCA and who qualifies for regular retirement, will be allotted one hundred and eighty (180) days to decide whether to enter the phased retirement program. Upon termination of this period, such faculty member is ineligible to participate in the program.~~

A year of continuous service is defined as a nine-month full-time faculty assignment, twelve-month full-time faculty assignment or twelve-month full-time administrative assignment. The ten (10) year minimum may be achieved using any combination of years of full-time faculty or administrative service. Approval or disapproval of an individual faculty member’s application will be determined by the provost based upon the needs of the institution and fiscal considerations.

2. A faculty member who does not meet the age or service requirements described in paragraph one (1) or who is receiving long-term disability insurance benefits or workers’ compensation benefits is ineligible to participate in the program. In the event there is a period of time in which a faculty member is on leave without pay, such period of time will not be considered when calculating the number of years of

continuous service for eligibility purposes. A period of time in which a faculty member is on leave without pay status will not be construed as disrupting continuous service whereas years of continuous service are disrupted in the case of a faculty member resigning his/her position with the university and returning at a subsequent period in time.

3. A faculty member will be given a period of at least forty-five (45) calendar days to consider the Agreement and Waiver.

4. Faculty members interested in the phased retirement program may select a period from one (1) to five (5) calendar years of phased retirement. Upon selection of the number of years of phased retirement, the period may be shortened or lengthened only upon approval of the provost. In no case will the period of phased retirement exceed five (5) calendar years. The decision to participate in phased retirement is irrevocable.

5. Full retirement and cessation of tenure begins with the completion of the last semester of the phased retirement period. During the phased retirement period, the reduction in teaching and/or administrative hours will not be replaced with an increase in ~~Continuing Education assignments or other~~ university employment. Full retirement means termination of all employment with the university.

6. A faculty member selecting the phased retirement program may be able to structure the fractional full-time equivalent (FTE) of his/her load differently each year of phased retirement, but each year the load will be based on one of the following:

<u>FTE Load</u>	<u>Percent of Base Salary</u>
one-quarter (1/4) FTE	up to twenty-five percent (25%)
one-half (1/2) FTE	up to fifty percent (50%)
three-quarters (3/4) FTE	up to seventy-five percent (75%)

7. During the phased retirement period, a faculty member's teaching load may be divided among the fall and spring semesters, summer sessions, and intersessions, as agreed to by the faculty member and provost. The initial agreement will specify FTE load and its timing for each year of phased retirement. Once an FTE load has been defined, it may only be modified with approval of the provost.

8. During the phased retirement period, health and other insurance benefits and the cost/share percentages in force for full-time faculty will continue for a faculty member, as well as any spouse and/or other eligible dependents.

9. During the phased retirement period, payments by the university and by each faculty member into his/her retirement plan will continue under the normal terms of the plans. Contributions will be based upon proportional base salary only. A faculty member's contributions will be limited by plan requirements and by the Internal Revenue Code pre-tax and after-tax maximum annual calculations.

10. During the phased retirement period, tuition remission for a faculty member, as well as any spouse and/or other eligible dependents will be afforded in the same manner as that of full-time faculty members not selecting the phased retirement program.

11. During the phased retirement period, a faculty member will enjoy all rights and privileges of full-time faculty members not selecting the phased retirement program, including but not limited to, parking, sporting events, library, office space, and clerical services. A faculty member in phased retirement, however, will not be eligible for sabbatical leave.

12. During phased retirement period, a faculty member's tenure status will not be altered.
13. During the phased retirement period, a faculty member will be eligible for proportional increases in salary in the manner afforded full-time faculty members not selecting the phased retirement program.
14. To be considered for the phased retirement program, a faculty member must submit an application to the provost by November 1 of the year preceding the calendar year he/she wishes phased retirement to commence. The provost may recommend modification of the proposal and will notify the faculty member of the final approval or disapproval of the application by December 15 following its receipt. The final decision to accept or reject the proposal will be rendered by the provost. Phased retirement will commence at the completion of the spring term following approval by the provost.
15. A faculty member having received approval from the provost to participate in the phased retirement program will be given a period of at least seven (7) days following the signing of the Agreement and Waiver in which to revoke it. The Agreement and Waiver is not effective or enforceable until the revocation period expires.
16. A faculty member having elected the phased retirement program does not waive rights or claims which may become available after the waiver is executed.
17. A faculty member waives rights or claims only in exchange for the opportunity to participate in the phased retirement program.
18. During the phased retirement period, the university may dismiss a faculty member for cause consistent with the requirements of the *Faculty Handbook*.
19. A faculty member is advised to seek advice and counsel of attorneys, accountants, and others who can aid his/her in making an informed decision about participating in the phased retirement program.

“Lecturer Fringe Benefits” (Board Policy No. 364)

Board Policy No. 364 authorizes the administration to extend fringe benefits to certain part-time faculty. The policy contains some outdated language and is confusing. The administration proposes minor revisions to the policy to bring it up-to-date.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Bobby Reynolds:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following revision to Board Policy No. 364, ‘Fringe Benefits for Part-Time Faculty’.”

Policy Number: 364

Page 1 of 1

Subject: Lecturer-Fringe Benefits for Part-Time Faculty

Date Adopted: 7/94 Revised: 5/09

The Administration is authorized to extend the University's fringe benefits program to any ~~employee holding the rank of lecturer~~ **part-time faculty member** with assigned duties **of more than** one-half time ~~or more~~.

Community Schools (Board Policy No. 365)

The university has had a Community School of Music for many years and recently established the Community School of Language. However, there is no policy regarding the creation of community schools. The administration is seeking ratification of the existing community school and authorization from the Board to be permitted to establish and abolish community schools as appropriate, subject to the approval of the necessary academic administrators. The administration also seeks authorization to be allowed to administratively establish the fee structure for such schools.

The fee structure for the Community School of Music is currently established in Board Policy No. 636. However, in a subsequent agenda item, the administration is asking that Board Policy No. 636 be amended to remove those fees.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Bobby Reynolds:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following policy as Board Policy No. 365, ‘Community Schools’.”

UNIVERSITY OF CENTRAL ARKANSAS BOARD POLICY

Policy Number: 365

Page 1 of 1

Subject: Community Schools

Date Adopted: 5/09 Revised:

The Board of Trustees recognizes the benefits to the university and its communities of “community schools,” established to provide instruction in a discipline or area of practice to members of the community. Such schools serve to advance knowledge of the discipline or area of practice, to forge beneficial connections between the campus and its communities, and to promote good will for the university among its community constituents. Such schools do not award academic credit in any form.

The Board of Trustees recognizes and affirms two existing community schools: the Community School of Music, associated with the Department of Music; and the Community Language School, associated with the Department of World Languages, Literatures, and Cultures.

Approved community schools may establish appropriate fees, including application/registration fees and fees for instruction. Such fees and their revision must be approved by the Provost and the Vice President for Financial Services. Approved fees will be published on the community school’s web page and in any other appropriate publications.

Any proposed new community school must receive approval from the Board of Trustees before beginning operation. Normally such a proposal will originate in the academic department with which the community school will be associated. The proposal will describe the proposed school and provide evidence of need for the school and the benefits it will bring to the university and its communities. The proposal will include a plan of operation and a business plan, including any proposed fees.

The proposal must be endorsed by the relevant academic department chair and college dean before being forwarded to the provost. If the provost supports the proposal, he/she will forward it to the president; if the president supports the proposal, he/she will bring it to the Board of Trustees for approval.

Upon approval by the Board of Trustees, the new community school’s name will be added to this board policy. Approved community schools:

Community School of Music

Community Language School

“University Equipment” (Board Policy 413)

Board Policy No. 413 sets forth the university’s policy regarding the use of university-owned equipment. The policy is in need of minor revision to clarify when university equipment may be used off-campus. The proposed revision states that as a general rule, university equipment will not be removed from the campus. However, there are rare occasions when university-owned equipment needs to be taken to off-campus locations to support the university mission. In those instances, university equipment may be taken off-campus with the written approval of the President or the appropriate vice president.

The following resolution was unanimously adopted upon motion by Kay Hinkle with a second by Harold Chakales:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following revision to Board Policy No. 413, ‘University Equipment’.”

UNIVERSITY OF CENTRAL ARKANSAS

BOARD POLICY

Policy Number: 413

Subject: University Equipment

Page 1 of 3

Date Adopted: 11/01 Revised:

INTRODUCTION:

The university provides an opportunity for students and other members of the university community to enhance educational experiences and expand academic knowledge by making available access to university equipment and resources. The following policy has been adopted to define responsible and ethical behavior relating to use of university equipment and resources. The policy is applicable to all university faculty, staff, and students. As a user of these resources, faculty, staff and students are responsible for reading and understanding the policy.

As a part of the physical and social learning infrastructure, the university maintains equipment and resources that are to be utilized for university-related purposes, including but not limited to, the following:

- ↙ Direct and indirect support of the university's teaching, research, and service missions;
- ↙ Support of university administrative functions; or
- ↙ Support of student and campus life activities.

All equipment and resources are the property of the university, except for personally owned equipment or resources of faculty, staff, or students. All existing federal and state laws and university regulations and policies apply, including not only those regulations that are specific to equipment, but also those that may apply generally to personal conduct and the use of state-owned property. Rules prohibiting misuse, theft, or vandalism apply to all equipment and resources.

INAPPROPRIATE USES:

Faculty, staff, and students should use good judgment in the use of all university equipment and resources. Equipment and resources may be used only for legal purposes and should not be used for any purpose that is illegal, unethical, dishonest, damaging to the reputation of the university or likely to subject the university to liability.

Inappropriate uses of university equipment and resources include, but are not limited to, the following:

- ↘ Any activity that would negatively affect the use of equipment and resources by others;
- ↘ Commercial or profit-making activities unrelated to the university's mission;
- ↘ Uses of equipment and resources that are malicious, threatening, harassing, obscene, or abusive;
- ↘ Personal use of university equipment or resources;
- ↘ Any activity that violates federal, state, and local laws, policies or regulations;
- ↘ Fundraising for any purpose unless sponsored by an official university organization with appropriate university approval;
- ↘ Promoting political or religious positions or activities unless sponsored by an official university organization with appropriate university approval;
- ↘ Permitting an unauthorized person to use equipment and resources.

CUSTODIANSHIP OF PROPERTY:

The supervision, control, and inventory of university equipment or resources are the responsibility of the head of the department to which the property is assigned. The department head must exercise discretion in determining the university equipment that may be utilized by faculty, staff, and students. Any university equipment and resources lost, destroyed, damaged, or subject to possible theft, must be reported to both the office of inventory control and the university police department.

PROCEDURES:

Who may reserve and check out university equipment or resources?

1. Only faculty and staff may reserve and check out equipment or resources.
2. Faculty and staff must be able to demonstrate proper usage and care prior to checking out equipment or resources.
3. Some equipment may require faculty and staff to complete equipment training or orientation prior to checking out such equipment or resources.
4. Students may not pickup university equipment or resources unless previously reserved and authorized by faculty or staff.

As a general rule, university equipment will not be removed from the campus. However, as a community service, varying departments allow schools, clinicians, and others to utilize university

equipment or resources for educationally-related purposes or in a manner consistent with the university's mission. In such instances, faculty and staff must reserve and check out the equipment or resources upon the written approval of the president or the appropriate vice president. Utilization of equipment or resources in this manner will be governed by the regulations for student use.

How are university equipment or resources reserved?

1. To reserve university equipment or resources maintained by Audio/Visual Services, faculty or staff must complete a Request Form with that office
2. To reserve university equipment or resources at the departmental or other unit, faculty or staff must complete information maintained in a log in the department or unit. At a minimum, the log must include the department, checkout date, return date, university-related purpose, the desired equipment or resources, and the reserving faculty or staff signature.
3. By signing either the request form or the log, faculty or staff and their departments accept full responsibility for damage, loss, and/or theft, and for the proper care and usage of the equipment or resources while in their possession. In the event faculty or staff use university equipment or resources in a manner inconsistent with the stated university-related purpose or are negligent in the care or use of the equipment or resources, then faculty or staff will be held personally and financially responsible for either repair and/or replacement costs.

Are students allowed to use university equipment or resources?

1. Students may use university equipment or resources at the discretion and supervision of reserving faculty or staff. Students must follow the same guidelines for care and usage as faculty or staff. Faculty or staff and their departments are ultimately financially responsible for university equipment and resources, except in the event students use equipment or resources in a manner inconsistent with the stated university-related purposes or are negligent in the care or use of the equipment or resources. In these circumstances, the student will be held personally and financially responsible for either repair and/or replacement costs.
2. Students may not reserve or checkout university equipment or resources. Students may pickup university equipment or resources when previously reserved and authorized by faculty or staff.

“Contract Review Procedures” (Board Policy 416)

There is no current policy of the Board of Trustees governing the review and approval of contracts. Based upon review and discussion by the senior staff, the administration proposes that there be a single, consistent policy dealing with approval of contracts above certain amounts, and also for any contract with a term beyond one fiscal year. Having more internal review of contracts as well as having Board approval for certain contracts (and Chair approval for others) will ensure that the full Board is aware of the obligations of the university as they occur.

Under the proposed policy, certain procedural steps would be required before a binding contract could be entered into between the university and any other party. Contracts obligating the university to expend \$250,000 or more and any contract with a term beyond one fiscal year would require approval by the entire Board. Contracts of between \$50,000 and \$250,000 would require the signature of the President and the Chair of the Board. A significant feature of the proposed policy is that each time a contract is entered into the responsible employee of the university must also certify that the purchasing office has been contacted and approves of the process to insure that purchasing laws and regulations have been complied with.

The following resolution was unanimously adopted upon motion by Bobby Reynolds with a second by Randy Sims:

**“BE IT RESOLVED: that the Board of Trustees hereby approves the following
“Contract Review Procedures” as Board Policy 416.”**

UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY

Policy Number: 416

Page 1 of 3

Subject: Contract Review Procedures

Date Adopted: 5/09 Revised:

CONTRACT PROCEDURES/PERSONNEL ACTIONS

Contract Defined: For purposes of this policy, a “contract” is a written agreement between two or more parties, one of which is the University of Central Arkansas (“UCA” or “University”), creating obligations that are enforceable or otherwise recognizable at law. No oral agreements shall be recognized as valid or binding legal obligations of the University.

No Contract Valid without Compliance: No contract shall be deemed to be a valid obligation of the University unless the provisions of this policy are complied with in full.

Signature Authority: Unless otherwise provided by law or by specific policy of the Board of Trustees, only the Board of Trustees, President, Provost, and Vice Presidents have the authority to enter into a contract to bind the University.

Contract Review Procedure: The University employee with responsibility for the contract shall read and review it in its entirety. The responsible employee shall verify the following information:

- the contract language accurately reflects the current state of negotiations;
- the contract meets programmatic and UCA requirements;
- the contract is in the best interest of UCA;
- UCA can comply with the terms of the contract, and
- the contract is sufficiently clear and consistent.

The responsible employee shall contact the Purchasing Office to ensure that such office has either acknowledged that state purchasing laws and regulations have been complied with, or that such laws and regulations do not apply.

In addition, the responsible employee shall ensure that if matching funds are to be used as part of the contract, that the office/department of the university responsible for securing such funds has been contacted and has agreed, in writing, to supply such funds.

If the University of Central Arkansas Foundation, Inc. is to supply private funds under the contract, the responsible employee shall also transmit a copy of the contract to the President of the Foundation and determine whether or not the approval of the Foundation is required.

After review, the UCA employee shall sign or initial the contract (or if applicable, the routing form) in order to verify the preceding information.

The responsible employee shall then deliver the contract to the Office of General Counsel for review. The general counsel will review each contract to assure the following:

- the contract does not contain any prohibited clauses;
- the contract is consistent with federal and state laws;
- the contract is consistent with UCA policies;
- risk management concerns have been reasonably addressed; and
- the contract is consistent with any predecessor documents.

No contract may be entered into by the University except with the approval of the Office of General Counsel.

The Office of General Counsel shall proscribe forms necessary to ensure the steps set forth above are taken and have been complied with.

Approval Process: Once the steps set forth above have been taken, the following approvals must be secured prior to the execution of the contract by any official of the University:

Any contract which will require the expenditure by the University of funds (at anytime) in excess of \$250,000 must be approved by the Board of Trustees;

Any contract in the amount of \$50,000 to \$249,999 must be approved by both the Chair of the Board of Trustees and the President of the University;

Any contract in the amount of \$5,000 to \$49,999 must be approved by the President; and

Any contract for less than \$5,000 may be approved by the Provost or a Vice President.

Notwithstanding the foregoing, however, any contract with a term exceeding one (1) fiscal year must be approved by the Board of Trustees.

Any person who enters into a contract that purports to bind UCA without following these steps is acting without authority and could be held personally liable for the contract.

Certain Provisions Incorporated by Reference: It is hereby declared to be the policy of the University that any contract to which the University is a party shall be deemed to have the following provisions incorporated by reference:

(1) *“Notwithstanding any other provision of this agreement or contract, the University of Central Arkansas shall not be responsible or liable for any type of special or consequential damage to the other party, specifically including, but not limited to, lost profits or commissions, loss of goodwill, or any other damages of such nature.”*

(2) *“Notwithstanding any other provision of this agreement or contract, the University of Central Arkansas shall never indemnify or hold another party harmless from any damages,*

liability, claims, demands, causes of action or expenses. However, with respect to any loss, expense, damage, liability, claim or cause of action, either at law or in equity, for actual or alleged injuries to persons or property, arising out of any negligent act or omission by UCA, or its employees or agents, in the performance of this agreement, UCA agrees that:

(a) it will cooperate with the other party to this agreement in the defense of any action or claim brought against the other party seeking damages or relief;

(b) it will, in good faith, cooperate with the other party to this agreement should such other party present any claims or causes of action of the foregoing nature against UCA to the Arkansas State Claims Commission;

(c) it will not take any action to frustrate or delay the prompt hearing on claims of the foregoing nature by the Arkansas State Claims Commission, and will make reasonable efforts to expedite any hearing thereon.

UCA reserves the right, however, to assert in good faith any and all defenses available to it in any proceedings before the Arkansas State Claims Commission or any other forum.

Nothing herein shall be interpreted or construed to waive the sovereign immunity of UCA.”

(3) “The University of Central Arkansas does not have any form of general liability insurance. It does have liability insurance coverage on vehicles, as well as certain professional liability coverage for clinical programs (and students assigned through those programs). Please contact the university department with responsibility for the program involved or the Office of General Counsel, if you have questions concerning insurance coverage.”

Notice to Other Persons and Entities: The responsible employee of the University, the Office of Purchasing and all University departments shall ensure that all persons or entities dealing with the University on any contracts shall be made aware of this policy and all of the provisions hereof.

Personnel Actions: No contract or decision to hire a person for employment at UCA shall be official until signed by the President. Furthermore, no offer of employment shall be deemed to be valid and binding on the University until approved by the President. Salaries of appointed personnel shall not be paid unless the personnel action forms have been completed.

Effective Date: This policy is effective from and after July 1, 2009.

“Sex Offender Notification” (Board Policy No. 419)

Ark. Code Ann. § 12-12-913 requires the Board of Trustees of each institution of higher education to adopt a written policy for the distribution to students of information regarding registered sex offenders who are employed by or attend the institution. At its The Arkansas Higher Education Coordinating

Board adopted guidelines to implement Arkansas law on this issue indicating that these guidelines could be used by the various institutions in adopting their written policies.

With these issues in mind, the administration has drafted a written policy for the Board’s consideration. UCA Chief of Police Larry James spearheaded this effort on behalf of the University.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Kay Hinkle:

**“BE IT RESOLVED: That the Board of Trustees approves the following policy as
“Sex Offender Notification” Board Policy No. 419.**

**UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY**

Policy Number: 419

Page 1 of 4

Subject: Sex Offender Notification

Date Adopted: 5/09 Revised:

PURPOSE

The purpose of this policy is to provide timely and appropriate notification, in compliance with state and federal law, regarding registered sex offenders on campus. Specific details of any notification will be determined on a case-by-case basis as described herein. In addition, this policy is designed to implement provisions of Ark. Code Ann. § 12-12-913(g)(1)(4) which requires the board of trustees of an institution of higher education to adopt a written policy regarding the distribution to students of information regarding a sex offender in accordance within established guidelines and in compliance with federal and state law.

POLICY

The UCA Chief of Police or designee will serve as the point of contact for the receipt of information concerning registered sex offenders who are employed by or attend the University of Central Arkansas. The UCA Chief of Police or designee will, in coordination with the City of Conway Chief of Police or designee and relevant campus officials, participate in the preparation of a written notification plan taking into consideration the provisions of Arkansas Code Annotated 12-12-901, et seq., and the guidelines established by the Arkansas Sex Offender Assessment Committee, specific needs of the campus, and other relevant information as may be determined by law enforcement and/or campus officials. The written notification plan shall include the names of those participating in the plan, and the date the plan was completed. A Sex Offender Notification Letter and Sheet will also be prepared for each offender. In

the event there is a concern with the notification plan from either law enforcement or campus non-law enforcement officials, final authority for the plan rests with law enforcement.

AUTHORITY

- (1) The Campus Sex Crimes Prevention Act (section 1601) {(42 U.S.C. § 14071(j) and 20 U.S.C. § 1092(f) (1) (I)} provides for the tracking of convicted sex offenders enrolled at or employed by institutions of higher education. This act requires sex offenders who are required by law to register in a state, to also provide notice of each institution of higher education in that State where the person is employed, carries on a vocation, or is a student. This law also requires that institutions of higher education issue a statement advising the campus community of the availability of this information.
- (2) Ark. Code Ann. § 12-12-913(b) provides that “[l]ocal law enforcement agencies having jurisdiction shall disclose, in accordance with guidelines promulgated by the [Arkansas] Sex Offenders Assessment Committee, relevant and necessary information regarding offenders to the public when the disclosure is relevant and necessary for public protection.”
- (3) Ark. Code Ann. § 12-12-913 (e)(1) states that the law enforcement agency “shall make a good faith effort to conceal the identity of the victim or victims of the sex offender's offense.”
- (4) Ark. Code Ann. § 12-12-913(j)-(k), provides that certain information regarding particular categories of offenders shall be public, and that such information shall be provided on the State of Arkansas home page by the Arkansas Crime Information Center (ACIC).
- (5) Ark. Code Ann. § 12-12-913(g)(1)(2) requires the Arkansas Higher Education Coordinating Board of the Department of Higher Education to promulgate guidelines for the disclosure of information regarding registered sex offenders when such information is released to an institution of higher education by a local law enforcement agency having jurisdiction, and requires institutions of higher education to adopt a written policy in accordance with such guidelines.
- (6) Ark. Code Ann. § 12-12-913(g)(1)(4) requires the board of directors of an institution of higher education to adopt a written policy regarding the distribution to students of information regarding a sex offender in accordance with those guidelines.
- (7) Ark. Code Ann. § 5-14-128 makes it unlawful for a Level 3 or Level 4 registered sex offender to reside within 2,000 feet of property on which any public or private elementary or secondary school or daycare facility is located. All University-affiliated residential facilities on the University campus fall within this restriction.

PROCEDURE

- (1) Any person who is required to register as a sex offender in Arkansas shall provide notice as required under state law. The offender is required to report such information concerning their

enrollment or employment with the University and to make this information available promptly to the University of Central Arkansas Police Department (UCAPD).

(2) Students and employees who are required to register as a sex offender in Arkansas and who fail to do so will be subject to immediate arrest and exclusion from the University of Central Arkansas.

(3) In consultation with the Conway Police Department or other appropriate law enforcement agencies, the University of Central Arkansas Police Department (UCAPD) shall have primary responsibility for preparing and carrying out a notification plan that is appropriate with regard to specific registered sex offenders enrolled in, attending or employed by the University of Central Arkansas.

(4) A standing Sex Offender Notification Committee will be convened by the Vice President for Administration in order to assist the UCA Police Department in developing general guidelines and practices concerning notification procedures and in determining the extent and method of notification that may be appropriate with regard to specific offenders in compliance with state and federal law and consistent with the educational purpose of the university. The Vice President for Administration, in collaboration with other appropriate university officials, will convene the Sex Offender Notification Committee when necessary. The Sex Offender Notification Committee shall be composed of the following university administrators:

- (a) Vice President for Administration (chair)
- (b) Vice President for Student Services (co-chair if student)
- (c) Provost or designee
- (d) Chief of Police
- (e) General Counsel
- (f) Dean of Students
- (g) Associate Vice President for Human Resources
- (h) Director of Housing
- (i) Director of Counseling Center
- (j) Director of Admissions

(5) A written summary of campus guidelines and the notification plan for each offender will be maintained in the University of Central Arkansas Police Department. Determinations regarding notifications will be made by UCAPD, in consultation with the Committee and other appropriate campus officials (e.g., head of the affected unit), local law enforcement officials, or treatment specialists on a case-by-case basis and shall be guided by the offender's risk assessment level in accordance with guidelines established by the Arkansas Sex Offenders Assessment Committee.

(6) Consistent with state guidelines, the notification plan should include who will be notified and who participated in preparation of the plan, the approval of the UCA Chief of Police or designee, and the date the plan was made. Furthermore, the plan should include a sex offender notification letter and sex offender notification sheet. The record should also indicate the dates of notification. When the risk assessment is not available or has not yet been completed, a review of all available information will occur, which may include consultation with an appropriate professional, and notification may be made on the basis of the available information pending the assignment of a risk assessment level by state officials.

- (7) The Dean of Students and Director of Housing will be notified whenever the UCA Police Department has received notice of any student that has been designated a Level 3 or Level 4 offender who resides in University-affiliated housing. In compliance with state law, any such offender shall be required to vacate any University-affiliated housing immediately, including all residence halls and fraternities and sororities. Furthermore, the University reserves the right to exclude from University-affiliated housing, or to modify the housing assignment for, any other student who is required to register as a sex offender.
- (8) Any concerns or disagreements about notification plans or procedures between the University and local law enforcement agencies shall be discussed and resolved between the UCA Chief of Police and the head of the relevant agency, or their respective designees.
- (9) Information regarding all public notices of level 3 and level 4 sex offenders who are registered with the University of Central Arkansas Police Department is available on the Police Department website at <http://www.uca.edu/ucapd> and the official Sex Offender Registry in Arkansas at the Arkansas Crime Information Center website at <http://www.acic.org/Registration/index.htm>.

“Traffic and Parking Regulations” (Board Policy No. 421)

Board Policy No. 421 sets forth the traffic and parking regulations applicable to all faculty, staff and students. Because of the action by the Board at the February 2009 meeting, changing the fee structure from a “parking fee” to an “access and security fee,” the policy is in need of revisions to bring it up-to-date; so that it may be printed for students, faculty and staff for the fall of 2009; and so that it may be filed with the Arkansas Secretary of State as required by Arkansas law.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Patricia Bassett:

“BE IT RESOLVED: That the Board of Trustees approves the following revisions to Board Policy No. 421, ‘Traffic and Parking Regulations’.”

UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY

Policy Number: 421

Subject: Traffic and Parking Regulations

Page 1 of 8

Date Adopted: 4/89 Revised: 8/90, 8/91 4/92, 3/93, 5/93, 5/94, 5/95, 5/96, 5/97, 6/02, 5/03

I. Administrative Policy

1. In accordance with A.C.A. 25-17-307, the Board of Trustees of the University of Central Arkansas has established regulations for the operation and parking of motor vehicles on the UCA campus. These regulations apply to all faculty, staff, students, and others utilizing the land and streets owned or controlled by the University of Central Arkansas and are effective beginning August 15, 2009. The University Police Department is the jurisdictional law enforcement agency empowered under State statutes to enforce all parking and traffic regulations of the University of Central Arkansas and the State of Arkansas on all campus properties and on all streets contiguous or adjacent to campus properties.
2. Any appropriately licensed driver choosing to park an automobile on campus may do so, provided a parking permit is obtained and provided the driver understands that the permit neither obligates the university to set aside a space for every vehicle nor allows the driver to violate parking regulations.
3. The university reserves the right to restrict the use of an automobile on university property if the owner or driver has abused the privilege of operating a vehicle on campus.
4. The university assumes no responsibility for a vehicle or its contents.
5. Any motor vehicle parked on property owned or controlled by the university, including metered parking, and under the control of a student, faculty member, or staff member must properly display a valid UCA parking permit.
6. Failure to pay fines will result in the blocking of pre-registration or the withholding of transcripts or pay and refund checks.
7. A ticketed vehicle continuing in violation may be ticketed again as long as the violation continues. Overtime parking will be ticketed every two hours.
8. An illegally parked but non-ticketed vehicle is not an indication that the regulation being violated is no longer in effect.
9. Any person who is stopped by University Police for a violation of a traffic or parking regulation is subject to either a university or district court citation as determined by the issuing officer.
10. Occupants of residence halls are requested not to drive to class, the cafeteria, or other campus areas between the hours of 6:30 a.m. and 4:30 p.m., Monday through Friday.
11. A traffic ticket or any other communication from a University Police officer is an official university notice. Recipients who do not respond to such a communication face disciplinary and/or legal action.
12. The Arkansas Crime Information Center furnishes the University Police Department with information on the owners of vehicles not displaying a permit that receive tickets. These tickets are then issued to the faculty/staff member or student whose last name and home address match those on the listing.
13. Use of any parking permit acquired through fraudulent, or otherwise improper means, will be considered theft of services from the University of Central Arkansas. Hanging permits will be confiscated and parking privileges may be taken away.

II. Parking and Traffic Services Office

1. The University Police Department is located at the intersection of W.J. Sowder Street and Marian Ross Avenue. The Department's Parking and Traffic Services Office is open for

payment of traffic fines and purchase/distribution of parking permits between 8:00 a.m. and 4:00 p.m., Monday through Friday. All registered students and employees may obtain their parking permit at the University Police Department 24 hours a day except for registration and fee payment days. Temporary parking permits and parking and traffic information can also be obtained at the University Police Communications Center 24 hours a day. As a service to the university community, the Department's lobby and communications center is never closed.

III. Student Parking Permits

1. Students who park vehicles on campus are required to immediately obtain and display a parking permit. The parking permit is a transferable polyethylene hanging permit registered in the name of the student.
2. Students should obtain their parking permit at the University Police Department or such other place that may be designated on registration and university fee payment days.
3. The permit must hang on the rearview mirror with the front side of the permit facing the windshield. Failure to properly display the hanging permit will result in the issuance of a citation.
4. All student permits expire August 15, 2010. Continuing students must obtain a new permit each fall semester.
5. Students who forget to bring their hanging permit to campus must obtain a temporary parking permit from the University Police Department prior to parking on university property. Temporary permits are issued free of charge to students.

IV. Faculty and Staff Parking Permits

1. Faculty and staff of the university who park vehicles on campus are required to immediately purchase and display a parking permit. Student employees, including graduate assistants, are not eligible for staff parking. The parking permit for all faculty and staff employees is a transferable polyethylene hanging permit registered in the name of the employee.
2. Only one hanging permit may be issued to each employee of the university. The permit should be transferred to any vehicle the employee parks on the campus.
3. The permit must hang on the rearview mirror with the front side of the permit facing the windshield. Failure to properly display the hanging permit will result in the issuance of a citation.
4. Employees who forget to bring their hanging permit to campus must obtain a one-day temporary parking permit from the University Police Department prior to parking on university property. One-day permits are issued free of charge for employees who possess a regular parking permit.
5. Lost hanging permits may be replaced by purchasing a new permit at the full annual fee. Holders of permits are prohibited from selling or otherwise transferring their permit to another faculty/staff member or student.
6. The hanging permit must be returned to the University Police Department upon termination of employment with the University of Central Arkansas.
7. A temporary staff permit is available to university temporary or extra-help employees

whose appointments are for a limited period of time. The fee for a one-month temporary staff permit is \$10.00. The fee paid for monthly temporary permits may be used to off-set the cost of a regular employee parking permit should the employee's appointment be extended.

8. Relatives of faculty or staff members are not eligible for a faculty/staff permit and may not park in faculty/staff parking areas unless they themselves are regular employees of UCA. Each parking permit is valid only for use by the person to whom it is issued. Misuse of a faculty/staff parking permit may result in loss of parking privileges for both the faculty/staff member and the violator.

V. Disabled Parking

1. Disabled parking spaces are provided for the benefit of physically challenged persons. These spaces are designated by disabled signs and marked stalls. Unauthorized use of disabled spaces, to include the loading/van access areas marked by striping, may result in fines as well as towing and associated costs.
2. Physically challenged persons must obtain a blue disabled permit and must furnish the University Police with proof of issuance of a disabled permit or license plate by the Arkansas Department of Finance and Administration. Such proof shall be the "Disabled Person's Access to Parking application Form" issued by the state with the special plate or placards.
3. Temporary disabled permits will be issued only to persons who have purchased and displayed a regular UCA permit. Upon obvious, visible disability a temporary disabled permit will be issued for a period of 3 - 5 days. Temporary disabled permits for a longer period of time, not to exceed 30 working days, will be issued only with a letter from a physician stating a need for a disabled permit and the length of time it is needed.

VI. Visitor Parking

1. Visitors are welcome and are encouraged to obtain a visitor's permit at the University Police Department prior to parking on campus. These permits will be issued after presentation of a valid driver's license. A visitor who receives a citation for a violation of the UCA parking rules, other than parking in a No Parking area or Disabled space, may bring or mail the citation to the University Police Department and it will be voided. Visitors may not park in a "No Parking" or "Disabled Parking" area. Violation of "No Parking" or Disabled parking statutes will result in a district citation with fines set by the District Court. District citations cannot be dismissed by the University and failure to respond to these citations will result in a warrant of arrest issued by the Conway District Court.
2. Visitors may park in designated visitor parking lots on campus without first obtaining a visitor parking permit. Between the hours of 6:30 A.M. and 4:30 P.M. Monday - Friday visitor parking is provided only for persons who are not registered students or employees of the university. Students or employees parking in visitor parking between those hours, whether a student or staff parking permit is or is not displayed, will be subject to citation. Students and Faculty/Staff are not allowed to use a visitor temporary permit. The temporary permit will be confiscated if used by an unauthorized individual. Parking

privileges may be taken away from those involved. Faculty, Staff and students may park in visitor parking between the hours of 4:30 P.M. and 6:30 A.M. Monday - Friday and all day Saturday and Sunday.

VII. Meter Parking

1. Meter parking is designated for short-term, convenience purposes. Holders of all types of UCA permits, **except disabled permits**, are required to pay when parking at parking meters.
2. Unless otherwise indicated by sign, **all meter parking spaces are limited to two hours** and enforced 8:00 AM to 4:30 PM Monday through Friday. Fifteen minute loading/unloading meters are enforced 24 hours a day 7 days a week.
3. **A UCA parking permit is required to park at any meter parking space.**
4. **Parking at a broken or non-functioning meter during the hours the meter is enforced is a violation and may result in a citation.**

VIII. Motorcycles

1. Motorcycles, mopeds and motorbikes are not permitted on campus except in designated parking areas. Users must enter and depart the campus at the location nearest these parking areas. Motorcycle permits are required to be placed where easily seen.

IX. Bicycles

1. Persons riding bicycles must obey all rules of the road established for motor vehicles. Bicycles shall be parked in racks provided on campus. Bicycles parked in access ways, on sidewalks, in areas which may obstruct disabled access or in any other improper location will be subject to citation and impoundment. Impounded bicycles may be claimed at the University Police Department after all fines are paid.

X. Method of Payments

1. All parking permits may be obtained at the University Police Department or at specially designated areas during fall, spring, and summer registration and fee payment.
2. Payroll deduction is available as a form of permit fee payment for full-time faculty and staff. The annual fee will be deducted **in six equal installments** beginning with the September paycheck for all continuing employees. For those employees appointed after the start of the Fall semester, the parking fee will be deducted in installments beginning with the employee's first paycheck. Employees who terminate before the entire annual fee is collected will have the remaining balance deducted from their final paycheck.
3. **Students, faculty, or staff who have lost their hanging permit may obtain a replacement permit at a cost of \$5.00.**

XI. Permit Fees

1. Student Permits – The cost for student parking permits is included in the security & access fee assessed for each academic term. Students must obtain their hanging permit from the Police Department Parking & Traffic Services office and display it in their vehicle in order to avoid a citation or impoundment.
2. Faculty/Staff Permits – The cost for faculty/staff parking permits is \$51.00 per academic year or \$25.00 for the summer terms only. Monthly faculty/staff permits are available for \$10.00 per month. The cost of the monthly permits may be applied toward the full fee permit.
3. Motorcycle Permits – The cost for motorcycle permits, for students and faculty/staff is \$5.00.
4. Permit fees are subject to change without notice.

XII. Parking Area Assignments and Hours

1. **Faculty/Staff Parking** - Areas marked "Yellow Area" with yellow signs, yellow lines, or yellow parking blocks are reserved for faculty and staff vehicles displaying current yellow hanging permits.
2. **Resident Parking** (On Campus Residence Halls and UCA Owned or Controlled Apartments and Houses other than Residence Halls) - Areas marked "Resident Parking" with green signs, green lines, or green parking blocks are reserved for student vehicles displaying current green hanging permits. Green permits are available only to students residing in campus residence halls or UCA owned or controlled apartment complexes.
3. **UCA Permit Parking** - Areas marked "UCA Permit Parking" with white signs, white lines, or white parking blocks are reserved for students or faculty/staff displaying any current UCA permit.
4. **Disabled Parking** - Areas marked for disabled access are always reserved for vehicles displaying current UCA disabled permits.
5. **Visitor Parking** - Areas marked for visitors are reserved for persons who are not employees or students of the university.
6. Between 4:30 p.m. and 6:30 a.m., Monday through Friday, Visitor areas, Faculty/Staff areas, and UCA Permit Parking areas are interchangeable (Summer Hours are from 2:30 p.m. to 6:30 a.m.). They are interchangeable all day Saturday and Sunday. A current UCA decal must be displayed. Residence hall parking, reserved spaces designated by sign, disabled spaces, and all other parking spaces or parking lots as posted are not interchangeable and are enforced 24 hours a day, seven days a week.

XIII. Driving Regulations

1. All traffic and motor vehicle laws of the State of Arkansas are applicable on UCA property and will be enforced by University Police officers. Violation of State traffic and motor vehicle laws may subject the driver to a district citation with fines set by the Conway District Court.
2. The campus speed limit is fifteen (15) miles per hour, except where conditions as necessary or posted signs indicate a slower speed.
3. One-way street driving regulations are to be observed at all times by all vehicles.
4. All STOP signs, YIELD RIGHT-OF-WAY signs, and all other regulatory or directional

signs are to be observed.

5. Pedestrians in crosswalks shall have the right-of-way.
6. It is a violation of traffic regulations to avoid a speed bump.
7. It is the driver's responsibility to be able to operate his or her vehicle safely. Anyone who operates a vehicle on university property while under the influence of intoxicating liquor, narcotic drugs, or opiates will be subject to arrest.
8. Failure to yield to a University Police vehicle signaling a driver to pull over to stop (via the use of blue lights and/or siren), failure to comply with University Police officer's direction, or failure to cooperate with a University Police officer while the officer is performing his official duties, will subject the violator to arrest under applicable State statutes.

XIV. Parking Regulations

1. It is the driver's responsibility to find a legal, marked parking space and to park the entire vehicle within the space's boundary lines. Other improperly parked vehicles in the area shall not constitute an excuse for parking with any part of the vehicle over the line. Severe weather is not a valid reason for violation of parking regulations. If a vehicle experiences mechanical failure, it is the owner/driver's responsibility to have the vehicle removed as soon as available services permit. Parking lots may not be used for vehicle storage.
2. All parking spaces are defined by painted lines or parking blocks. Vehicles must be parked within the painted lines or parked in front of a parking block properly spaced for parking.
3. Where parallel parking is required, vehicles must be parked with the right wheels to the curb.
4. Where diagonal and head-on parking are required, vehicles should be parked with the front toward the curb and the rear bumper toward the traffic lane.
5. No parking is allowed next to red curbs, red parking blocks or in red or candy-striped areas. These areas are reserved for emergency vehicle access **or to** provide for fire code regulations compliance and/or pedestrian/traffic safety. Unless specifically authorized by a uniformed police officer there are no waiver periods for these areas.
6. No parking is allowed on the grass, sidewalks, or in driveways or loading zones.
7. Double parking is a violation at all times.
8. If a vehicle is parked in violation, attended or unattended, the driver may be issued a citation.
9. Vehicles licensed by the federal, state, county, or city government are exempt from permit requirements, but subject to compliance with other traffic and parking regulations. Police vehicles are exempt from certain traffic and parking regulations as provided in State statutes.

XV. Personal Responsibility for Vehicles

1. **The person to whom a UCA parking permit is assigned** is responsible for all violations by that vehicle. If a permitted vehicle is loaned to another driver, its proper operations remains the permit holder's responsibility.

2. If a vehicle without a permit is driven on campus by a permit holder, a "Temporary Permit" must be obtained from the University Police Department. Temporary parking permits are available 24 hours a day, 7 days a week. Motorcycle permit holders are not eligible for temporary permits. Students are allowed no more than four temporary parking permits per semester unless special circumstances are approved by the Parking and Traffic Services Office.
3. Parking facilities may not be used until a **current UCA parking permit is displayed on the rearview mirror of the vehicle.**

XVI. Towing and Impoundment of Vehicles

1. UCA reserves the right to tow and impound from its property any parked vehicle that does not display a current parking permit, is improperly parked in a space reserved for the disabled, is parked in a restricted zone, or has unpaid parking tickets. Vehicles will be towed if parked in such a way as to constitute a traffic or pedestrian hazard or impede the access of service or emergency vehicles. Violations which could also result in towing and possible impoundment include, but are not limited to, parking in reserved parking spaces, parking in painted candy-striped or red areas, parking in driveways, or double parking on the street or in parking lots.
2. UCA reserves the right to tow and impound from its property any vehicle in violation of its traffic and parking regulations until all towing fees and UCA traffic/parking violation charges have been paid.

XVII. Appeals Process

1. A traffic citation may be appealed within **7 days** of its issuance if the recipient believes it was issued contrary to campus traffic regulations or in error. Forms for appeals may be obtained from the University Police Department. An appeal may not be granted after a ticket has been paid.
2. Administrative determinations by the University of Central Arkansas may be appealed to the Conway District Court in accordance with A.C.A. 25-17-307.

XVIII. Fines for Violations

1. All fines must be paid within 30 days from the date of issue. Fines for traffic and parking violations which are not paid within 30 days from the date of issue of the citation for the violation(s) will be adjusted to an amount equal to twice the amount of the original fine(s). Failure to pay traffic and parking fines may result in the blocking of pre-registration, or the withholding of pay and refund checks.
2. All fines are payable at the University Police Department from 8:00 a.m. until 4:00 p.m., Monday through Friday. If the violator has their copy of the citation, payments will be accepted at the University Police Communications Center after hours in the form of check, **money** order, or credit/debit card for the exact amount of the fine only.
3. The following are the parking and traffic violations and corresponding fines* established by the University of Central Arkansas:

1.	No permit	\$25
2.	Defacing, reproducing, altering or illegal use of permit	\$75
3.	Falsifying registration information	\$75
4.	Exceeding speed limit	\$40
5.	Reckless/unsafe driving	\$75
6.	Failure to stop or yield right-of-way	\$25
7.	Parking in a disabled space	\$75
8.	Parking at a red curb	\$15
9.	Improper equipment	\$15
10.	Double parking/blocking	\$15
11.	Parking in the wrong area	\$15
12.	Parking in a "No Parking" area	\$15
13.	Parking in a reserved area	\$15
14.	Driving and/or parking on grass	\$10
15.	Driving/parking wrong direction on a one-way street	\$10
16.	Parking on the wrong side of street	\$10
17.	Overline parking	\$10
18.	Improper display of permit	\$10
19.	Overtime parking	\$10
20.	Failure to display hanging permit	\$10

“Discretionary Scholarship Program for Students for Exceptional Circumstances” (Board Policy 524)

For several years, there has been a scholarship program operated through the Office of the President’s budget which was commonly referred to as the "presidential discretionary scholarship program." It had two components. One was a group of recipients through various campus groups, or so-called performance scholarships. The other was a purely discretionary program administered through the Office of the President.

Due to questions about the purely discretionary portion of the program, at a meeting on March 6, 2009, the Board of Trustees approved a resolution terminating the purely discretionary part; directing the administration to transfer authority for the "performance based scholarships" to the appropriate university departments; and finally, directing the administration to develop a written policy to be considered by the Board of Trustees at its May 2009 meeting on how this program should operate in the future.

The attached Board policy is the administration's proposal on how to revise the purely discretionary part of the program

The main points are as follows:

1. The Board of Trustees will set the aggregate amount to be used in each academic year.

2. A campus committee will accept applications, review them, and then make the decision on which students receive the scholarships. The committee chair will be the Vice President for Administration (Jack Gillean), who shall not vote. There will be seven (7) voting members. The faculty will have two of those members, and the other five members will be from various campus administrative offices.

3. The committee will make the decisions based upon "exceptional financial need" and "extraordinary academic excellence."

4. There is a requirement that all other financial means be explored and exhausted; and there is a suggested limit of \$3,000 per applicant per semester.

5. The program, the deadlines and all other relevant information about the scholarship program is to be published on the university's website as well as other campus publications.

6. The program will be effective for the fall semester 2009.

Randy Sims suggested that the amounts/ratios between academic performance and financial need be determined by the committee. Also, the Board will set the allotted amount for the scholarships at the July 24, 2009 meeting.

The following resolution was unanimously adopted upon motion by Randy Sims with a second by Kay Hinkle:

“BE IT RESOLVED: That the Board of Trustees approves “Discretionary Scholarship Program for Students with Exceptional Circumstances” as Board Policy No. 524.

**UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY**

Policy Number: 524

Page 1 of 3

Subject: Discretionary Scholarship Program for Students with Exceptional Circumstances

Date Adopted: 05/09 Revised: _____

**ASSISTANCE PROGRAM
FOR STUDENTS
WITH EXCEPTIONAL CIRCUMSTANCES**

Creation of Scholarship Program. The purpose of this policy is to create a scholarship program to be known as the “Assistance Program for Students with Exceptional Circumstances” (“APSEC”).

The APSEC shall commence with the fall semester of 2009.

Purpose of the Program. The APSEC program is intended to be a scholarship program to support students who:

- (a) exhibit exceptional financial need and/or extraordinary academic excellence; and
- (b) do not qualify for, or receive, other institutional scholarships or financial aid sufficient to attend the university or continue their education.

Establishment of APSEC Committee. There is hereby created a committee to administer the APSEC program in accordance with the terms of this policy.

The Chair of the Committee shall be the Vice President for Administration, who shall be an ex-officio member and who shall not vote.

The committee shall consist of the following persons:

- Vice President for Student Services (or designee)
- Vice President for Enrollment Services (or designee)
- Dean of Undergraduate Studies (or designee)
- Dean of the Graduate School (or designee)
- Director of Financial Aid (or designee)
- Two (2) faculty members selected by the Faculty Senate

Budget Amount and Scholarship Guidelines: The following guidelines shall be followed by the committee when granting scholarships pursuant to this program:

- (a) *Budget.* The budget for the APSEC shall be \$ _____ for the academic year 2009-2010. No more than one-half of such amount may be used for any semester. Any scholarship granted under this program shall be granted on a per semester basis and shall not exceed one academic year. No aid shall be granted by the committee for a summer session. These amounts shall not be exceeded, but may be adjusted, from time-to-time, by resolution of the Board of Trustees.

Notwithstanding the budget amount set forth above, if any student proves by clear evidence that he/she has a letter or other written document granting such scholarship, then such scholarship shall be honored and the amounts shall not be applied against the budget set forth above.

- (b) *Exceptional Financial Need.* Each semester, scholarships shall be allocated to students presenting exceptional financial need. For purposes of this policy the term “exceptional financial need” means a clear statement, supported by such evidence as the committee deems appropriate, that the student’s financial situation is such that without assistance from this program the student will be unable to attend the university or continue a course of study. Examples of exceptional financial need could include medical expenses within the family; loss of job by the student or supporting parent/guardian; loss of other financial aid; or such other matters as the committee deems appropriate. The committee should take into account any other scholarships, financial aid, or other support for the applicant.

(c) *Extraordinary Academic Excellence.* Each semester, scholarships shall be allocated to students exhibiting extraordinary academic excellence. The term “extraordinary academic excellence” shall be defined by the committee.

(d) *Requirement That All Other Financial Means Be Utilized.* As part of the application process, the committee shall ensure that each applicant has applied for and/or exhausted all other financial means available to such applicant. This should include, but not be limited to, applying for any and all state and federal financial aid and scholarships, as well as any institutional scholarships available from the university or the University of Central Arkansas Foundation, Inc. It is not the intent of this policy to disqualify any student from applying, but the committee should make sure that applicants have first sought other financial sources to further their education prior to making application under this program.

(e) *Modification of Allocation Amounts; Failure to Grant Entire Fund.* Upon a majority vote of the committee, these allocations can be modified to reflect the applicant pool, but provided however, that not more than seventy-five percent (75%) of the amount for any semester may be used for any one of the categories above. If in any year, the committee does not grant scholarships for the entire budgeted amount, such amounts shall lapse at the end of the spring semester and shall not be carried forward to the next fiscal year.

(f) *Per Student Amount.* The aggregate amount of the scholarship shall not exceed \$3,000 per applicant for any semester. No student receiving a scholarship under this program shall receive an amount which would result in the student receiving any cash back from any source.

(g) *Application Deadline and Procedure.* The committee shall cause notice of the program, the application, and the application deadlines to be published on the university’s website, and also, distributed through appropriate university offices so that all students (both incoming and returning) are aware of the program. The first notices shall be published not later than two weeks after the adoption of this policy.

The application deadline shall be August 1st for the fall semester and December 1st for the spring semester. These deadlines shall be included in the notice.

The committee shall also develop and publish an application for the scholarship program. The application must be filed by the deadline along with any supporting documentation requested. The applicant must submit a letter or other evidence setting forth the student’s exceptional financial need and/or extraordinary academic excellence.

(h) *Action of the APSEC Committee.* After the deadline for each semester, the chair shall convene the committee to review all applications submitted under this program. The committee shall thereafter grant scholarships for the APSEC under the criteria and budget amounts set forth in this policy stating its reasons for the recommendations made. Scholarships under this program shall be granted based upon a vote of the committee according to the criteria set forth in this policy. The decision of the committee is final and cannot be appealed.

“Music Department Fees” (Board Policy No. 636)

Board Policy No. 636 establishes fees to be charged for music lessons for student in the Community School of Music and for music lessons for UCA students. The administration proposed in a previous agenda item that the fees for the Community School of Music be established administratively rather than by Board policy. This agenda item proposes removing the fee schedule for the Community School of Music from this Board policy. What remains are the fees charged to UCA students for taking music lessons and for key deposits for access to practice and instrument storage facilities.

The following resolution was unanimously adopted upon motion by Scott Roussel with a second by Patricia Bassett:

“BE IT RESOLVED: That the Board of Trustees hereby approves the following revision to Board Policy No.636, ‘Fees – Music Department’.”

**UNIVERSITY OF CENTRAL ARKANSAS
BOARD POLICY**

Policy Number: 636

Page 1 of 2

Subject: Fees – Music Department

Date Adopted: Revised:

UCA Community School of Music Fees – 3/93, Revised 5/99, 5/05

~~The Community School of Music Fees apply to a 13-week semester and include a \$15.00 registration fee.~~

~~Individual Lessons~~

~~Notes: Teachers with a master’s degree or higher may be paid at the faculty rate. Undergraduates will not teach 1-hour lessons.~~

		<u>13 weeks</u>
1/2 hour weekly lesson	Undergraduate Instructor	\$—148
	Graduate Instructor	191
	Faculty Instructor	301
3/4 hour weekly lesson	Undergraduate Instructor	208
	Graduate Instructor	272
	Faculty Instructor	438
1 hour weekly lesson	Graduate Instructor	353
	Faculty Instructor	561

Group lessons	Class piano, beginners (50 min./wk, 15 wks.)	145
	Class piano, adult beginners (1 hr./wk, 15 wks.)	145
	Central Arkansas Children's Choir (annual fee)	195
	Kindermusik®—Village (1/2 hr.; 8 wks.)	85
	Kindermusik®—Our Time (1/2 hr.; 14 wks.)	125
	Kindermusik®—Imagine That (3/4 hr.; 14 wks.)	145

Summer fees are based on the same per-lesson rate, plus a \$5 registration fee per summer term.

Rental, stringed instruments	Per semester, fall and spring	50
	Per full summer (10 wks.)	40

Key Deposits

In order for students to access practice and instrument storage facilities, the Music Department may collect a \$25.00 deposit to cover the replacement costs if keys are lost, stolen, or otherwise not returned. When keys are returned, as required by the department, deposits will be refunded to students.

Music Lesson Fees for UCA Students - Adopted 1940's*

A fee of \$29.00 will be charged for a one hour lesson, and a fee of \$46.00 for two hours.

Additional practice facilities fees are listed in the current *Undergraduate Bulletin*.

*On information and belief, the fee was approved by the Board during the late 1940's and has been levied by UCA since that time.

NOTIFICATION/DELETIONS

Modification of Grantmanship Policies

University of Central Arkansas Extramural Funding Policies and Procedures

Policy/Procedure Name: Allowable Costs for External Grants & Contracts

Submitted by: Tim Atkinson, Assistant Provost for Sponsored Programs

Approved by: Council of Deans 1/28/09

Council of Vice Presidents (Senior Staff) 3/2/09

Effective Date: 3/2/09

Purpose

The following policy outlines the allowable costs for grants, contracts, and sub-awards at the University of Central Arkansas (UCA). The policy matches OMB Circular A-21. The Cost Accounting Statements (CAS) and OMB A-21 provide the basic criteria to determine direct costs on federally sponsored

projects. Regardless of the funding agency, costs for sponsored programs are based on answering the questions: Are costs allowable, reasonable, allocable, and especially consistent in like circumstances?

Definitions

(1) Allowable – Costs must conform to any limitations or exclusions stated in generally accepted accounting principles or in the sponsored agreement, i.e., the cost must be “allowable” and not specifically designated as unallowable by regulation or grant/contract specific award conditions.

(2) Reasonable – Cost is generally recognized as necessary for the performance of the project and is one that a “prudent person” would consider reasonable given the same set of circumstances.

(3) Allocable – Cost is incurred for the benefit of only one project, or the item can be easily assigned to multiple benefiting projects. A specific project may only be charged that portion of the cost that represents the direct benefit to that project.

(4) Facilities & Administrative (F&A) Costs - Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with “indirect” costs.

(5) Consistency – Similar costs are treated as direct or F&A costs when incurred in like circumstances. Costs generally direct charged to a sponsored project should not be included as F&A costs on other projects when incurred for the same purposes. Where UCA treats a particular type of cost as a direct cost of sponsored agreements, all costs incurred for the same purpose in like circumstances shall be treated as direct costs of all activities of the institution.

(6) Major Project – Large complex programs such as General Clinical Research Centers; Primate Centers; Program Projects; environmental research centers; engineering research centers; U.S. Department of Education FIPSE, Upward Bound, Title III and VI grants; as well as other grants and contracts that entail assembling and managing teams of investigators from a number of institutions are typical major projects. Projects that require an extensive amount of administrative or clerical support, which is significantly greater than the routine level of such services provided by academic departments, may qualify as a “major project”.

(7) Unlike Circumstances – When a cost is incurred for a purpose outside of the normal practices or activities for that type of cost.

Policy

Costs incurred for the same purposes in like circumstances must be treated consistently as either a direct cost or as an F&A cost. In other words, where UCA treats a direct cost of sponsored agreements, all costs incurred for the same purpose in like circumstances shall also be treated as direct costs of all activities of the institution.

Costs charged to federally sponsored projects which result in inconsistent treatment of direct costing practices will be documented with written justifications supporting OMB A-21 exceptions of “major project” or “unlike circumstances”.

Identification with the sponsored work, (i.e., the scope of work) rather than the nature of the goods and services involved is the determining factor in distinguishing direct from F&A costs of sponsored agreements.

Unallowable Costs:

(1) At UCA, the following costs *ARE NOT* normally budgeted and charged as direct costs of sponsored projects:

(2) Salaries of clerical or administrative personnel; other costs such as supplies, travel, repairs, fees and services, local and long distance telephone expenses, postage or copying that are for routine departmental or administrative work that benefits general activities of the department (instruction, research, training, public service, etc.), i.e., **there is no direct relationship to a specific sponsored project's scope of work.**

(3) General office items with multi-functional use such as computers, fax machines, answering machines, staplers, hole punches, filing cabinets, chairs, desks, calculators, waste baskets, etc., **that do not have a direct relationship to a specific sponsored project's scope of work.**

Allowable Costs:

(1) At UCA, the following costs *ARE* normally budgeted and charged as direct costs. The common element is that the cost is necessary to perform the project's stated scope of work:

(2) Salaries and fringe benefits of faculty, technicians, post docs, graduate research assistants and other staff **engaged in performing sponsored project's scope of work.**

(3) Supplies and materials, travel, repairs, fees and services, local and long distance telephone expenses, postage, or copying **necessary for performing sponsored project's scope of work.**

(4) Capital equipment and service/maintenance agreements on capital equipment that is approved by the sponsor (or internally approved if allowed by the sponsor) **necessary for performing sponsored project's scope of work.**

Identification with the sponsored work, (i.e., the scope of work) rather than the nature of the goods and services involved is the determining factor in distinguishing direct from F&A costs of sponsored agreements. [Office of Management and Budget Circular A-21, Section D.]

Justification required in proposals that budget certain costs as direct costs:

For the following cost items (and for any others that a layperson may consider routine and administrative in nature), specific written justification as to the relationship between the cost and the proposed project's scope of work should be completed and submitted to the Sponsored Programs Office (SPO) as a part of the proposal to the sponsoring agency. The documentation should explain the direct benefit relationship between these cost items and the proposed scope of work.

1. Clerical and administrative salaries
2. Office Supplies
3. Copier Paper
4. Toner/Ink Cartridges
5. Postage
6. Telephone/cell phone/pagers
7. Memberships
8. Subscriptions

Items generally thought of as having multi-functional use (staplers, hole punches, filing cabinets, chairs, desks, computers, printers, fax machines, calculators, waste baskets, etc.)

Examples of “Unlike Circumstances” justification:

“The telephone expense on this project is for a dedicated “hot line” which the research project requires to meet its scope of work. This expense is specifically identified in the grant proposal as an integral part of the research project.”

“This project will require mass mailings of DNA sampling kits in order for research subjects to properly participate in the study. This postage expense is specifically identified in the grant proposal as an integral part of the research project.”

“The laptop computer in this proposal will be used in the field to record subject information and conduct research outside of the university research laboratory. This expense is specifically identified in the grant proposal as an integral part of the research project.”

Examples of “Major Project” justification:

This project is major, as defined by OMB Circular A-21, and meets government requirements. It is major because _____ (e.g., it will require the accumulation and distribution of large quantities of survey data from UCA to other institutions and collaborators).

As a major project, this award will include costs for the survey instrument and the administrative personnel processing the survey information.

The Principal Investigator will require administrative support for _____ (e.g., scheduling conference facilities, scheduling speakers, and coordinating travel itineraries of multi-institutional faculty and participants in order to meet the specific goals of this conference grant). All personnel effort and expenses charged to this project will be for services specific to the project and not for the general support of the faculty or the academic activities of any University department. In addition, all effort charged to this project will be supported through the effort reporting system.

Note: Only include information that is applicable to and accurate for your project.

Review of Justification:

Justifications for direct charging expenses to federally sponsored projects will be **reviewed at the department level, the college level, and by SPO prior to submission** of the grant proposal to the funding agency. Justifications will be reviewed for specific instances or goals of the project that support “major project” or “unlike circumstance” status. Approval for direct expensing costs that normally would be F&A expenses will only be given for those expenses specifically identified in the justification. If the justification is deemed insufficient or inappropriate at any point in the review process, the Principal Investigator and respective department will be notified, and the expenses must be removed from the direct cost budget in the proposal.

Justification required for certain costs requested after grant award:

For the same group of cost items, specific written justification as to the relationship between the cost and the awarded project's scope of work should be completed and submitted to the Grants Accounting Office if it is determined that such an item not identified at the proposal becomes necessary during the life of the project. If the need for the item is necessitated by a change in the scope of the project, the funding agency must be notified of the change in scope. As with the other justifications, the documentation should explain the direct benefit relationship between the cost item and the scope of work.

REFERENCES:

Federal OMB Circular A-21

Sections: C11, D1, F6b(1,2,&3), J18, Exhibit C and CAS 9905.502

Link to OMB Circular A-21

http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html

Note: This policy is subject to change with regard to federal and state agency guidelines.

Proposal Budget Checklist

The purpose of this checklist is to provide principal investigators with a budget development tool for grants and contracts. Costs fall into two major categories – direct costs and facilities and administrative costs. When developing your budget, be certain to refer to and understand the University's Direct Charges Policy, available on the Sponsored Programs web site at <http://spo.uca.edu>.

Direct Costs (costs directly related to the specific project)

Personnel Costs

Senior Personnel Salaries

- Principal Investigator (PI) and co-Principal Investigators (co-PI) that are employed by the University would be accounted for in this category.
- Percentage of effort or person-months (as required by sponsor) should be noted for all senior personnel on the project.
- Many agencies including the National Institutes of Health and NASA do not recognize the concept of co-PI but rather to personnel in these positions as co-Investigators (co-I).

Other Personnel Salaries

- Employees of the University who will be working on the project, aside from the PI and co-PIs, are included in this category.
- Note that this category may include people who are currently employed by the University as well as those that will be hired when the project is awarded.
- Classifications for Other Personnel may include other faculty involved on the project, professional staff such as a project director or data analyst, postdoctoral fellows, graduate and undergraduate research assistants.
- Percentage of effort or person-months (as required by sponsor) should be noted for all employees on the project.

Fringe Benefits

- All persons paid to perform work on a grant or contract who are University employees are entitled to receive fringe benefits.
- Fringe benefit rates are updated periodically and are available on the Sponsored Programs website at <http://spo.uca.edu>.

Other Direct Costs Typically Associated with Research and/or Training Projects

Travel

- Domestic and foreign travel associated with the proposed project should be specified.
- If foreign travel is not specified in the budget, the University must request prior approval for such travel from the sponsor.
- Some agencies define Mexico and/or Canada as domestic travel.
- Typical travel costs supported by sponsors include airfare, lodging and incidental expenses (per diem), conference registration costs, local travel costs such as car rental.
- It is highly recommended that principal investigators be as specific as possible when providing justification for proposed travel costs (for example, discuss the professional conferences that fit best in terms of disseminating information about the project, where they will be occurring and costs associated with each.) Travel is often one of the first line items sponsors automatically reduce, but a complete explanation of the necessity to the project may convince the sponsor otherwise.

Materials and Supplies

- This line item details tangible materials and supplies costing less than \$5,000 per unit that are for project specific purposes.
- Agencies generally require itemization of proposed purchases under this category.
- Most computing equipment now falls under this category. Note that purchase of general computing equipment is not an allowable cost on federal grants and contracts; rather, purchase of computing equipment requires a clear explanation of its importance to the project (for example, the project involves large datasets and requires a high-end workstation for analysis.)

Publication/Page Charges

- Costs of producing publications required by the sponsor such as monographs would be under this category.
- Typical costs also included in this category are graphic design, photography, journal page charges and other vehicles for dissemination of research results.

Communication Charges

- This category usually consists of long-distance telephone charges directly associated with the project. For example, projects involving telephone surveys of participants throughout the United States would be an allowable charge.
- Other potential items under this category may include mobile telephones or other electronic devices **under special circumstances**. For example, if the proposed project involves project-related travel in rural areas and mobile telephones are necessary to maintain contact with project personnel, this may be an allowable expense. Expenses of this nature will need to be carefully justified in the proposal and specifically approved by the sponsor.

Consultants

- A consultant is an individual who will provide professional advice or services for the project not available elsewhere within the University.
- A consultant cannot be an employee of the University. Employees of the university can perform these services but must be listed under Other Personnel if across departmental or college lines.
- A person in a consultant status is not supervised by project personnel.
- For budgeting purposes, sponsors require specifics as to what tasks the consultant will perform on the project as well as the consultant's daily consulting rate, travel costs, etc.
- Additional information necessary from a consultant includes a signed letter and CV.

Subcontracts

- If a collaborator is located at another institution, the usual method of inclusion on the project is a subcontract.
- Sponsors typically require a subcontractor scope of work, budget and budget justification for the portion of the project to be conducted by the subcontractor.
- The University requires a letter of collaboration signed by the subcontracting institution's authorized representative, the detailed budget and justification and a scope of work outlining the subcontractor's role on the project.
- Proposals typically include the subcontractor key personnel CVs.

Postage

- General postage costs are not allowable on federal grants and contracts.
- Activities specific to the project such as a mail survey or outreach efforts to participants and their families would qualify postage as a legitimate grant or contract charge.

Photocopy Charges

- General copying charges are not allowable on federal grants and contracts.
- Copying charges for materials directly related to the project, such as training materials or survey instruments, would be allowable charges.

Computer Software

- Specialized software necessary to the project should be itemized and justified.
- General purpose software (e.g., word processing or spreadsheet software) is not an allowable expense on grants and contracts.

Rental/Equipment Fees

- Costs associated with rental of equipment directly related to the proposed project should be outlined and fully justified.

Permanent Equipment (\$5,000 or over per unit)

- Equipment is defined as any item costing \$5,000 or more and having a useful life of more than one year.
- Freight charges, installation costs, subcomponents or peripherals needed to make the equipment operational should be considered as part of the equipment cost.
- Sponsors generally require manufacturer quotes as part of the proposal.

Capital Expenditures

- Costs associated with alteration or renovation of buildings would fall under this category.
- Any costs of this nature should be fully justified.
- This is an unusual expenditure on grants and contracts.

Rental Costs

- Costs of renting space to house a project that cannot be accommodated on the UCA campus may be requested.
- An example would be a sponsored project involving an outreach project that will be housed in a local facility to increase subject participation. The local facility requires payment for such space which would be, with agency approval, an allowable expense.
- The rationale for this item should be very apparent.

Participant Support Costs

- This category includes items such as research subject payments or incentives.
- The methods for providing such incentives should be outlined thoroughly in the budget justification.
- Some sponsors, most notably the National Science Foundation, use this category to denote project trainees or workshop attendees and there are specific costs associated such as stipends, travel and material costs for participants.

Tuition

- Tuition assistance can be included in the budget for graduate and undergraduate research assistants on the project when allowed by the sponsor.
- The University, as a state agency, is prohibited from paying tuition costs for international and out-of-state students.
- Specify maximum credit hours per semester per student.

Stipends

- Stipends are monetary assistance provided to students who have no obligation to work for the money they are provided.

- Note that stipends are only allowed by the University when required by the sponsor; the vast majority of students involved as research assistants on sponsored programs will be paid a salary rather than a stipend.

Facilities and Administrative Costs (aka indirect costs, overhead, tax)

Facilities and Administrative Costs

- The University's federally negotiated Facilities and Administrative Costs Rate is currently 43% of all salaries and wages (including graduate and undergraduate research assistants).
- These are real costs of doing business for the University but cannot be attributed to any one project with any degree of accuracy. Therefore, the University negotiates a rate with a federal agency (UCA's cognizant agency is the U.S. Department of Health and Human Services) to help defray such expenses.
- If an agency has a published, consistently applied policy dictating a rate lower than the University's authorized rate, the University will honor that rate. Be certain to supply the sponsor documentation of this policy when routing your proposal. Please contact the Sponsored Programs Office about the F&A Waiver Process.

Other Budget Considerations

UCA Cost Share

- Depending on the sponsor and proposed project, it may be required that the University be responsible for providing a contribution to the project, known as cost share or matching funds.
- Please note that the cost share or matching funds must be required by the sponsor, not voluntary.
- Cost share can be in the form of a cash contribution. Examples would be if the University commits to purchase supplies for a project, pay for a 9-month faculty member's effort during the summer, pay for a graduate student's salary or tuition or fund travel costs.
- Cost share can be in the form of in-kind costs. In-kind costs are ones which the University is already committed to pay such as a faculty member's academic year time and effort. Required waivers of Facilities and Administrative Costs can, at the discretion of the sponsor, be used as cost share.
- Please consult UCA's Cost Share Policy on the Sponsored Programs web site at <http://spo.uca.edu>.

Third Party Cost Share

- If a collaborator outside of the University will be responsible for providing cost share on a project, the PI should arrange for a letter of commitment from this third party source outlining the cost share they will be contributing as well as any restrictions.
- This letter will normally be included as part of the University's proposal to the proposal.

University of Central Arkansas
Extramural Funding Policies and Procedures

Policy/Procedure Name: Cost Sharing for External Grants and Contracts

Submitted by: Tim Atkinson, Assistant Provost Sponsored Programs

Approved by: Council of Deans 1/28/09

Council of Vice Presidents (Senior Staff) 3/2/09

Effective Date: 3/2/09

Purpose

The following policy establishes the procedures for managing cost share for sponsored agreements. “Cost-sharing” shall mean the use of the University’s own resources, funds, or third-party contributions toward the total allowable costs of a sponsored project.

Sources of Cost Share: First, the department and college must provide as much cost-share as reasonably possible. Second, the University of Central Arkansas (UCA) Sponsored Programs Office (SPO) will provide cost share on a limited basis from the Provost’s research support fund. Federal funds may not be used for cost-share. On rare occasions, and if the sponsor will allow, funds from intramural sources (i.e., UCA Foundation, University Research Council, Instructional Development Center, etc.) may be used as cost share.

Affect on Facilities and Administrative Costs (F&A): Since cost share can reduce the overall research F&A rate, consume departmental resources, and reduce available resources for additional research and teaching for colleges and departments, all voluntary cost-share must receive approval from the Department Chair and College Dean or their designees. Mandatory cost-share usually receives precedent over voluntary cost share. In practice, voluntary cost share is discouraged, but will not necessarily be denied as long as plans are made to account for these dollars as outlined in this policy.

There are four (4) types of cost share:

Mandatory Cost Share is the amount of cost-share required by a sponsor as a condition of making an award. Required cost share is almost always specified in the published description of the program. When claiming mandatory cost share, the applicant will be required to present the published description of cost-share requirements to SPO before the proposal is routed for approval in Cayuse. This amount must be reflected as a direct cost to a project in the accounting record.

Voluntary Committed Cost Share is cost sharing the University may offer in a proposal to reflect accurately the total resources necessary to complete a project. Although voluntary in nature, the cost share is committed, and must be monitored in the accounting records the same as mandatory cost share. Examples of Voluntary Committed Cost Share include any non-sponsored expenditure that results in total cost sharing of expenses in excess of that required in the published description of federal programs.

Voluntary Uncommitted Cost Share is cost sharing that is not committed or budgeted for in a sponsored agreement. It need not be tracked or reported to the sponsor. Most frequently this type of cost share is the result of cost overruns or effort of personnel in excess of that committed.

Salary Cap Cost Share is cost sharing which occurs when the University records effort by individuals whose salary exceeds a sponsor-imposed limit for individual salaries. (Most notably, NIH) Salary Cap Cost Sharing must be identified for effort reporting, but it is unallowable toward Mandatory Committed Cost Share.

Policy

Cost sharing must be reviewed and approved when the proposal is routed for signature and again when the project is awarded:

(1) During Proposal Process

- a. When a grant proposal includes committed cost share, (i.e. any cost share, whether mandatory or voluntary, addressed in the proposal narrative or budget), the expenses to be shared by the department must be identified in the proposal and in Cayuse.
- b. The cost share can be provided from unrestricted departmental funds, other non-federal restricted projects, from third party contributions of cash or in-kind expense, or finally from SPO.
 - i. Unrestricted Departmental Funds - If the cost share is to be provided from departmental funds, the department involved in the cost sharing agreement is responsible for providing the cost center where the budgeted funds reside.
 - ii. Other Restricted Non-Federal Funds - If the expenses of another restricted **non-federal** project are being used for cost share, the department involved in the cost sharing agreement is responsible notifying SPO and Grants Accounting. Specific written approval from the non-federal funding source to use funds from their award as matching on another project is required.

- iii. Third Party In-Kind Contributions - If the cost share is to be provided by a third party, that party and the type of assistance to be provided must be identified by amount and in writing.
- c. If the applicant's cost participation includes salary and fringes of UCA employees, the employee, the position, and the proposed effort contributed to the cost share must be identified.
- d. The use of "disallowed" or "unrecovered" indirect costs as cost sharing must first, be approved by the UCA Sponsored Programs Office, and subsequently, be approved by the awarding agency.

(2) After Project is Awarded:

- a. The grantee institution must maintain records of all project costs that the grantee claims as cost sharing and records of all costs to be paid by the funding agency. These records are maintained in separate accounts by Grants Accounting and are subject to audit. Grants Accounting is responsible for keeping SPO informed of the status of these accounts on a monthly basis.
- b. If the cost share is provided from department funds, the budget allocated to cost share must be committed to the cost share account (set up by Grants Accounting), shortly after receiving the notice of award. Grants Accounting is responsible for keeping SPO informed of the status of these accounts on a monthly basis.
- c. If the grantee's cost participation includes in-kind contributions, the basis for determining the valuation of volunteer services and donated property must be documented. (Grants Accounting and SPO will keep each other informed of the status of this information in a timely manner.) The department is responsible for maintaining the following documentation and forwarding to Grants Accounting at the closeout of the project:
 - i. The letter obtained from the Principal Investigator or Business Officer documenting the source of contribution to agreement.
 - ii. The basis for valuation of in-kind contributions, i.e., worksheets, surveys, time cards, etc.
 - iii. All recorded documents of in-kind expenditure by the third party.
- d. Salary commitments to a federal project in excess of the NIH maximum salary cap will be recorded as salary cap cost share to that project, and must be funded from non-federal funds by the department.

e. Any salary contribution provided by UCA employees toward cost share requirements must be certified through the UCA time and effort certification process.

(3) Items of costs that are generally allowable as grant funded costs will also be generally allowable as cost sharing. Items of cost generally disallowed as grant funded costs, will also be generally disallowed as costs sharing. OMB Circular A-21 is specific as to the allowability of costs on federal projects.

UCA reserves the right to turn down the grant if the Provost, Vice President of Financial Services or the President determines that the cost sharing expense is too great.

Note: This policy is subject to change with regard to federal and state agency guidelines. Modifications to any aspect of this policy may be implemented at any time, as determined by the Provost. Such modification may occur through amendment of this policy or through written notice to the deans/heads of affected units.

**SPONSORED PROGRAMS OFFICE – UNIVERSITY OF CENTRAL ARKANSAS
PRE-AWARD COST SHARING AUTHORIZATION FORM**

(The use of this form is not required unless cost sharing is presented in your proposal to the sponsoring agency)

Date: _____

Funding Opportunity Number:

Principal Investigator: _____

Sponsoring Agency:

Proposal Title:

The proposed cost sharing is: MANDATORY ____ and/or VOLUNTARY ____

Type*	Inclusive Dates	\$ Amount	Account #	Authorizer's Name	Authorizing Signature	Name	UCA ID#	% Effort

*Cash Matching, In-Kind, for more information see policy.

Comments:

APPROVALS:

Chair: _____ Dean: _____ Sponsored

Programs: _____

Date

Date

Date

(Note: For cost sharing crossing departmental and/or college lines, please fill out one of these forms for each.)

University of Central Arkansas Extramural Funding Policies and Procedures

Policy/Procedure Name: Cost Transfers for External Grants & Contracts

Submitted by: Sandy Ahne

Approved by: Council of Deans 1/28/09

Council of Vice Presidents (Senior Staff) 3/2/09

Effective Date: 3/2/09

Purpose

The University of Central Arkansas has a stewardship responsibility for all sponsored funds; proper management of sponsored project expenditures is essential to meet the fiduciary responsibilities. The intention is to clearly communicate the UCA cost transfer policy and address timing as well as process.

Definitions

Original Charge - the initial posting of a cost to the University's general ledger (e.g., payroll or accounts payable charges.)

Cost Transfer – any subsequent transfer of cost between or to externally sponsored cost centers. Cost transfers are implemented via a paper Journal Entry Transfers, or labor redistributions.

Grants Accounting Office – is charged with the responsibility of maintaining the official financial records for all extramural grant, contract, and matching accounts.

Sponsored Programs Office – is charged with the non-financial administration of sponsored research for extramural grant and contracts, and is responsible for the proper stewardship of all externally funded projects.

Timeliness – For grants and contracts with various project years, timely is considered 90 days from the date of the transaction in accordance with federal regulations and institutional policy, unless the reporting date is earlier.

Policy

It is the policy of the University of Central Arkansas that costs should be charged to the appropriate sponsored project when first incurred. There are circumstances in which it may be necessary to transfer expenditures to a sponsored project subsequent to the initial recording of the charge. Those transactions require monitoring for compliance with UCA policy, federal regulations, sponsor specific guidelines, and the cost principles that underlie fiscal activities on sponsored projects.

Each department is responsible for complying with and enforcing this policy. Any penalties, disallowances, or losses of funding caused by non-compliance with this policy will be assessed against the department in violation of the policy.

It is expected that the Principal Investigator (PI) or their delegate will review the fiscal status of their sponsored project accounts regularly (monthly review is recommended) and promptly correct expense transactions that are incorrectly recorded. Departmental personnel are responsible for preparing and submitting the cost transfer with the knowledge and approval of the PI.

When reviewing federal awards, auditors continue to place special emphasis on cost transfers looking for items such as:

- Costs transferred many months after the original charges were recorded and
- Transfers not supported by adequate documentation or justification.

Both the sponsoring agencies and the University recognize that cost transfers from one cost center to another are occasionally necessary to correct bookkeeping or clerical errors in the original charges. They also recognize that closely related work may be supported by more than one funding source, and transfer of costs may be required in these cases. ***However, frequent, late, and inadequately explained transfers, especially those involving projects with cost overruns or unexpended balances, raise serious questions about the propriety of the transfers.*** In addition, the reliability of the University's accounting systems and internal controls may be questioned when there are frequent cost transfers. Cost transfers will carefully scrutinized by Grant and Contract Accounting to ensure compliance with this policy.

According to the OMB Circular A-21, all external grant accounts must be “separately budgeted and accounted for.” Therefore, all externally funded salaries and wages (federal, state and other) are to be paid directly from the appropriate grant account. Cost transfers for salary reimbursements to departments are generally not allowed except under unusual circumstances. A written justification is required and must be approved by Sponsored Programs and Grants Accounting.

Allowability of Cost Transfers

The allowability of cost transfers is dependent on the following factors:

A. Timeliness

Non-labor cost transfers must be timely, preferably as soon as possible after the original transaction, but in any case not later than 90 days after the end of the month of the original transaction. Transfers made long after the original charge raise questions concerning the propriety of the transfer. Therefore, transfers made after 90 days will be considered only under extenuating circumstances. Labor related cost transfers also must be made in a timely fashion.

B. Appropriate Circumstances

A cost transfer is made under appropriate circumstances when the charge qualifies as a direct cost of the sponsored project being charged. OMB Circular A-21, Section D.1, and the University's Direct and Indirect Cost Policy, specify that "direct costs are those costs that can be identified specifically with a particular sponsored project...or that can be directly assigned to such (a project) with a high degree of accuracy." Typically, cost transfers are appropriate when their purpose is to correct posting or bookkeeping errors in the original charges, or to reallocate costs among cost centers.

C. Explanation/Justification and Documentation Requirements

When the need for a cost transfer arises, a Cost Transfer Explanation and Justification Request must be completed and signed. The explanation for the cost transfer must be clearly stated and must be sufficient for an independent reviewer (i.e., a federal auditor) to understand the transfer and conclude that it is appropriate. According to federal regulations, "An explanation which merely states that the transfer was made 'to correct an error' or 'to transfer to correct project' is not sufficient." Consequently, the Request may be returned to the Principal Investigator without approval because of insufficient explanation. The Department has primary responsibility for fulfilling these requirements and maintaining the related records. Grant and Contract Accounting may request copies of additional supporting documentation or information if questions arise.

Procedures

All transfers of cost between or to an externally sponsored project after the original charge was posted are subject to the requirements of this policy. Cost Transfer Explanation and Justification Request Forms, must include a clear explanation for the transfer.

A. Non-labor Cost Transfer Explanations/Justifications

Great care must be exercised to ensure cost transfers are justified in a clear, complete manner. When transfers are inadequately documented, or are made for inappropriate reasons and therefore indefensible in an audit, the department is responsible for these costs and they must be transferred to other departmental cost centers.

The written explanation for non-labor cost transfers should clearly include the following:

1. Why was this expense originally charged to the account from which it is not being transferred, AND
2. Why should this charge be transferred to the proposed receiving account, AND
3. Why is this cost transferred more than 90 days after the last day of the month following the accounting period of the original transaction (if applicable)
4. If the cost transfer is over 90 days the explanation must include a justification for lateness. Transfers made after 90 days will be considered only under extenuating circumstances. Extenuating circumstances include but are not limited to the following:

- a. The official award document, including amendments or modifications, was received after the start date of the award, causing a delay in the set up of the account number.
 - b. The account number assignment was delayed because of negotiation issues.
 - c. The official approval from the sponsor for specific expenditures was received after the expenditure(s) was processed.
 - d. The official approval from the sponsor for specific actions, such as a no-cost extension, was received after the expenditure(s) was processed.
 - e. Others as deemed appropriate by the Director of Grant and Contract Accounting.
- B. The following are examples of transfers that do not need detailed explanations as described above.
1. Transfers to correct a data entry or transposition error.
 2. Transfers to routinely allocate direct expenses to two or more sponsored agreements that benefit directly from the expenses. Expenses must be reallocated for reasons other than covering an over-expenditure or under-expenditure. The costs must be allowable and should be allocated to the projects based on the proportional benefit of the cost to the project (If a cost benefits two or more projects or activities in proportions that cannot be determined because of the interrelationship of the work involved, the cost may be allocated to projects on any reasonable basis, provided that the allocation procedure meets the standards of OMB Circular A-21, Section D.1, is fully and clearly documented within the Department, and is auditable by means of supporting documentation substantiating the allocation (e.g. usage log for an equipment maintenance contract). These also include the initial costs transferred from service centers such as: telecommunications, etc. However, such transfers must comply with the 90-day requirement.
 3. Transfers of expenditures from the prior year center to the competing or non-competing continuation center. (Continuation is defined as the same project that has the same agency core award number.)
 4. Transfers to reimburse the department procurement card. (A copy of the invoice for grant expenditures should be attached to the budget adjustment form.)
- C. The following documents must be attached to the cost transfer form:
1. Print out of the Banner Summary Year to Date Transaction Report that shows the posting of the original charge.
 2. Any other documents deemed necessary to support the explanation for the cost transfer.
- D. Transfers not meeting the above criteria will be rejected and returned to the department with the reason for the rejection, even if such costs were expected as part of the project closeout. If necessary, the final Financial Status Report will be revised.

COST TRANSFER EXPLANATION & JUSTIFICATION FORM

If transfer is made within 90 days, answer Questions 1 and 2 only; if over 90 days, answer all four questions.

1. Why was this expense originally charged to the account from which it is now being transferred? (Indicate index number, account number, and amount to be transferred.)

2. Why should this charge be transferred to the proposed receiving fund? (Indicate index number, account number, and amount to be transferred.)

3. Why is this cost transfer being requested more than 90 days after the last day of the month following the date of the original transaction? (Attach any necessary supporting documentation.)

4. What action is necessary to eliminate future need for cost transfers of this type? Is this action being taken?

Principal Investigator's Signature: _____

Printed Name: _____

Phone Number: _____ Date: _____

Note: By signing above, requestor certifies that the cost to be transferred is an appropriate expenditure for the sponsored grant or contract charged and that the expenditure complies with the terms and restrictions governing that sponsored grant or contract.

If question 3 is applicable, the following approvals are required:

Financial Officer Signature: _____ Date: _____

Printed Name and Title: _____ Phone: _____

University of Central Arkansas
Extramural Funding Policies and Procedures

Policy/Procedure Name: Effort Certification

Submitted by: Sonia Hazelwood and Valerie Nicholson

Approved by: Council of Deans 1/28/09

Council of Vice Presidents (Senior Staff) 3/2/09

Effective Date: 3/2/09

Purpose

The purpose of this policy is to make UCA departments aware of the definitions of 100% effort and institutional base salary, and the procedures involved in capturing planned and actual effort of UCA employees for compliance with requirements of external agencies and internal entities.

Policy

UCA employees perform many tasks within their everyday workload. The culmination of UCA effort spent on these various tasks is defined as 100% of their UCA effort. **NOTE: 100% effort does not equate to any set number of hours, (40 or 50 hours per week).** It is the total University-compensated effort. 100% effort includes teaching, research, public service, administrative and other University-related activities. Colleges and departments shall assign the appropriate percentages in writing.

The University must be able to distribute the UCA effort to various defined functions for University-related tasks. The personnel expense associated with this 100% effort must also be distributed. Each employee has an institutional base salary that supports the 100% effort.

Federal regulations in OMB Circular A-21 require certifications of the effort and correlating expenses recorded on federally funded grants. This certification is accomplished through the use of the UCA effort reporting process. The process allows the employee to certify the effort spent on grants and to allocate the remaining effort to various University functions such as research, instruction, administration and other activities.

The certified effort distributions are used to support financial and programmatic information submitted to federal, state, accrediting agencies and other internal entities.

Procedures

Distribution - Effort certifications will be prepared twice annually, for the six month period July-December and distributed by Grants Accounting before the end of January, and also for the six month period January-June to be distributed by Grants Accounting before the end of July. Effort certifications will be distributed directly to employees receiving extramural funding with planned effort required. Planned effort is defined as the percentage of the institutional base salary charged to a project through the cost distribution in the payroll system; whereas, confirmed effort is the effort certified by the employee.

Effort Certification – The employee completes the effort certification by reporting the actual effort expended for both the extramural funding and the institutional effort. Effort reported by the employee must be within 5% of the effort requested in the proposal and approved by the funding agency. Effort certifications must be signed by the employee and forwarded to their department chair for verification and signature. Fully completed and signed effort certifications should be submitted back to the Grants Accounting Office by August 28 for the January-June certification and by February 28 for the July-December certification. Timely processing of effort certifications is critical to meeting the federal regulations outlined in OMB Circular A-21.

Once a certification has been completed and submitted, there should be no payroll adjustments made that would conflict with the salary distributions certified by the employee. No retroactive payroll adjustments should be performed after effort certification has been completed. Changes to certified effort must be requested in writing by the employee whose effort is being changed. The request must justify the change and include an explanation of why the original certification was incorrect. If the change is for more than the 5% allowance, a written justification is required. Any approved retroactive payroll adjustments will require that a revised effort certification be completed in a timely manner.

This policy is subject to change with regard to federal and agency guidelines. Modifications to any aspect of this policy may be implemented at any time, as determined by the provost. Such modification may occur through amendment of this policy or through written notice to the deans/heads of affected units.

EFFORT CERTIFICATION CHECKLIST

- 1) Grants Accountant prepares Effort Certification Form and sends to employee;
- 2) The investigator verifies effort (can be within 5% threshold, if more than 5% justification must be submitted), signs the certification, and sends to department chair; and
- 3) Department Chair verifies investigator information, reviews justification (if necessary), signs certification, and sends back to Grants Account.

University of Central Arkansas
Extramural Funding Policies and Procedures

Policy/Procedure Name: Export Control Policy

Submitted by: Tim Atkinson, Assistant Provost for Sponsored Programs

Approved by: Council of Deans 1/28/09

Council of Vice Presidents (Senior Staff) 3/2/09

Effective Date: 3/2/09

Purpose

The University of Central Arkansas (UCA), in the absence of extreme circumstances, accomplishes its teaching, research, and service missions without restrictions on publication and dissemination of results. Federal Export Control (EC) regulations, however, may require UCA to obtain authorization from the Department of State, the Department of Commerce, or the Office of Foreign Assets Control before allowing foreign nationals to participate in research involving specific technologies or before sharing research information with individuals who are not citizens of the United States or permanent resident aliens.

Export control regulations can limit the research opportunities of UCA faculty and their students, affect publication rights, and prevent international collaboration in certain research areas. Violation of EC regulations can result in the loss of research contracts, monetary fines, or incarceration. It is very important, therefore, for UCA to follow specific procedures to protect its educational missions.

The regulations do not apply to information in the public domain or information from fundamental research activities.

UCA will therefore pursue teaching, research, and service missions in a manner consistent with EC regulations while making reasonable efforts to maximize situations in which the University may claim the benefit of the public domain or fundamental research exemptions to the regulations.

Policy

To implement this policy, UCA Legal Counsel, Principal Investigators (faculty), and the Sponsored Programs Office must conduct a thorough review of research projects, contract and grant provisions for EC requirements and exemptions. This review will proceed as follows:

1. The Sponsored Programs Office (“SPO”) Administrator assigned to a particular research contract or grant will review the terms of the contract or grant for provisions that restrict access

to and the publication of research and technical data, that limit the participation of foreign nationals in the research effort, or otherwise render the exemptions from the export control regulations inapplicable. The results of such review will be indicated the SPO checklist for pre-award activities.

2. If the review indicates an exemption from the export control regulations may not be available, the SPO Administrator will forward the checklist and supporting documentation to UCA Legal Counsel. Legal Counsel will confirm SPO Administrator reviews, and if the research contract or grant contains terms or conditions that impact the University's exemption from export control regulations, the matter will then be referred to the Assistant Provost and Director of Sponsored Programs.

3. The Assistant Provost will meet with the Principal Investigator to determine if the research falls into one of the categories of technology designated by the Department of State or the Department of Commerce as export controlled, or if the restrictions imposed by the Office of Foreign Assets Control apply. The results shall be documented by the Principal Investigator and the Assistant Provost and forwarded to Legal Counsel.

4. If the research contract or grant falls under the terms of any of these regulations, UCA Legal Counsel, acting on behalf of SPO, will contact the research sponsor to attempt to negotiate the removal or modification of the provisions in the contract or grant that impact the University's exemption from export control regulations. If such negotiation does not result in the removal or modification of the identified clauses, the matter will be referred to the Assistant Provost for Sponsored Programs, working with the Provost, to determine whether the University will apply for an export control license, conduct the research under the export control restrictions, or abandon the research effort due to the possible burdens or restrictions associated with compliance with the regulations.

5. If the Assistant Provost and the Provost determine that the University will apply for an export control license, UCA Legal Counsel will proceed to make application for the appropriate license. No work under a contract or grant, or sponsored contract or grant, can begin until this process has been completed and any required export control license has been issued.

University of Central Arkansas
Extramural Funding Policies and Procedures

Policy/Procedure Name: Overload Policy for External Grants & Contracts

Submitted by: Valerie Nicholson

Approved by: Council of Deans 1/28/09

Council of Vice Presidents (Senior Staff) 3/2/09

Effective Date: 3/2/09

Purpose

The following policy outlines the conditions of overload (additional compensation) funding with extramural (federal, state, foundation and other) grants and contracts.

Background

Federal regulations in OMB Circular A-21 dictate that salary charged to sponsored agreements cannot exceed the proportionate share of the employee's base salary for that period. Employees with primary appointments supported by grant/contract funding are not permitted to have overload jobs under a sponsored program. The only exception is where the overload job/additional salary has been specifically documented in the grant or contract award or approved in writing by the sponsoring agency.

Policy

Conditions of Use of Federal and State Research and Sponsored Programs Funds to pay excess salary:

1. In general, federal and state agencies discourage the use of research or sponsored program funds for additional compensation; some agencies specifically prohibit additional compensation. Intra-university consulting and contributions to a sponsored agreement conducted by another faculty member at the same institution are not eligible for additional compensation except as specified below.
2. Federal and state regulations allow additional compensation to be paid only when:
 - a. Consultation is across departmental lines or involves a separate or remote operation; and/or
 - b. The work performed is in addition to the regular departmental load
3. For state and federal agencies that allow additional compensation to be paid from research and sponsored program funds, the sponsor must be informed of the intent to charge salary as extra compensation in the original budget proposal. If research or sponsored program funds are used to pay any additional compensation, the grant or contract should clearly state:
 - a. That additional compensation will be paid to university employees;

- b. The name or position of the individuals who will be receiving the additional compensation; and
 - c. The work and services to be performed by these individuals
4. The amount of the additional compensation should be segregated from regular salary expense and the budget justification should clearly indicate:
 - a. The total dollar amount of additional compensation requested; and
 - b. The percent of additional effort committed to the project or the hourly rate and number of hours committed to the project
5. The award document from the federal or state sponsoring agency must state that additional compensation is allowed or imply that the proposal was accepted with no alterations regarding the request for additional compensation.
6. If a request for additional compensation is for an employee who will be paid from research or sponsored program funds, the dean must first route the Authorization for Additional Compensation Services form to the Sponsored Programs Office to verify sponsor approval.

This policy is subject to change with regard to federal and state agency guidelines. Modifications to any aspect of this policy may be implemented at any time, as determined by the provost. Such modification may occur through amendment of this policy or through written notice to the deans/heads of affected units.

UNIVERSITY OF CENTRAL ARKANSAS
Authorization for Additional Compensation Services

“Additional Compensation” means a payment in addition to the base appointment salary for work that is clearly in addition to regularly assigned duties and that must be performed outside of normal working hours or during vacation or compensatory time, as appropriate.

SECTION I

Employee Name: _____ ID Number: _____

Employee’s Primary Department: _____

Employee’s Appointment Period: ___ 12 month ___ 9 month ___ Other

I wish to be approved to provide services for: _____

These services will consist of:

These services will begin on and end on: _____

Employee Signature _____ Employee’s Primary Department Head
Signature

SECTION II

I certify that funds are available to encumber this expenditure and that actual compensation may not exceed the approved estimate.

Total Amount to be Charged: _____

Account Name: _____ Account Number: _____

_____ *All grant accounts must be routed through Sponsored
Programs

_____ Sponsored Programs Administrator Grants Accountant

SECTION III

_____ Director of Sponsored Programs Appointment	_____ Date	Total Amount Earned During Current Period:
_____ Director of Human Resources	_____ Date	
_____ VP Budget and Finance	_____ Date	

University of Central Arkansas
Extramural Funding Policies and Procedures

Policy/Procedure Name: Sub-recipient Monitoring
Submitted by: Tim Atkinson, Assistant Provost Sponsored Programs
Approved by: Council of Deans 1/28/09
Council of Vice Presidents (Senior Staff) 3/2/09
Effective Date: 3/2/09

Purpose

The following policy establishes the guidelines for monitoring the activities of sub-recipients who receive sub-awards from the University of Central Arkansas (UCA) sponsored programs awards.

Policy

OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations” defines pass-through entities, recipients, sub-recipients and vendors in Sub-part B. In general terms, a pass-through entity is either a direct recipient or sub-recipient of Federal funds that passes a portion of the work and funds to yet another entity (herein after referred to as the sub-recipient). In a case where UCA acts as the pass-through entity, Sub-part D of A-133 sets forth UCA responsibilities for sub-recipient monitoring. The term “sub-award” is used in this document to describe the legal document used to establish the pass-through terms with a sub-recipient.

The need for a sub-award is normally made at the proposal stage. The Principal Investigator writes the scope of work for the potential sub-recipient. The scope of work describes exactly the work the sub-recipient must do to meet the terms of the sub-award. The scope of work is also used to justify sub-recipient selection in cases where a sole-source justification is required. When selecting a potential sub-recipient, the Principal Investigator should be aware of the “Codes of Conduct” section (subpart C.42) of OMB Circular A-110 (“Uniform Administrative Requirements for Grants and Agreements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations”).

Monitoring and Compliance Responsibilities

UCA is responsible for monitoring the activities of its sub-recipients to ensure that Federal awards are used in compliance with laws, regulations, and the provisions of contracts or grant agreements, and that performance goals are achieved as follows:

- Ensure that sub-recipients expending \$500,000 or more in federal awards during the sub-recipient's fiscal year comply with OMB Circular A-133.
- Ensure that appropriate corrective action is taken within six (6) months after receipt of the sub-recipient audit report in instances of noncompliance with Federal laws and regulations.
- Consider whether sub-recipient audits necessitate adjustments of the University's own records.
- Require that sub-recipients permit independent auditors to have access to the records and financial statements necessary in order for the University to comply with A-133.
- Provide the Catalog of Federal Domestic Assistance (CFDA) number to the sub-recipient when issuing a subaward or subsequent change.

The following units are responsible for the monitoring of sub-recipients and the receipt of sub-recipient audit reports:

- The Sponsored Programs Office (SPO) is responsible for the development of the sub-award and for inclusion of all applicable OMB requirements, disclosures, and for obtaining the proper signatures on the sub-award. SPO is also responsible for the risk assessment of sub-recipients and verifying that they are not debarred or suspended from receiving federal funds.
- Principal Investigators/Departments and Colleges and/or SPO with the aid of the university Grants Accountant are responsible for monitoring periodic progress reports and invoices from the sub-recipients for compliance with the terms of the contract. Invoices should be checked to ensure that they are reflective of progress. Non-compliance with technical reporting requirements or dissatisfaction with level of sub-recipient progress should be reported immediately to SPO.
- Monitoring the sub-recipient's compliance with audit, financial and equipment reporting requirements is the responsibility of Grants Accounting or SPO. These responsibilities are outlined below.
- Ensure that a current certification or A-133 audit report is submitted annually.
- Review reports and letters submitted by sub-recipients for instances of noncompliance or reported findings to determine whether adjustments are need to the University's records.
- In instances of noncompliance, Grants Accounting will seek to obtain assurance from the sub-recipient that corrective action efforts have taken place and shall review management's corrective action plan.

- Retain certifications and report for a period of three years or longer if required by the sponsor after termination of the subcontract.
- Send letters and make follow-up phone calls requesting certifications or A-133 reports not received for the prior fiscal year within two weeks of the initial request for certifications. The audit report is due nine months after the end of the audit periods (typically the end of an organization's fiscal year).
- If the sub-recipient fails to establish that corrective action has been taken, Grants Accounting or SPO will refer the sub-recipient to University Legal Counsel for a management decision, where the proper course of action will be determined. In noted instances of non-compliance, Grants Accounting or SPO will maintain documentation of action taken and results of such action.
- Note: This policy is subject to change with regard to federal and state agency guidelines. Modifications to any aspect of this policy may be implemented at any time, as determined by the Provost. Such modification may occur through amendment of this policy or through written notice to the deans/heads of affected units.

VII. NOTIFICATIONS/DELETIONS

B. Deletion of Graduate Certificate program in Business Management



To: Board of Trustees
From: Tom Courtway, President
Date: March 18, 2009
Subject: Notification of Modification of Academic Program

The Council of Deans and the provost recommend deletion of the Graduate Certificate Program in Business Management due to lack of student demand for the Certificate. I have attached information submitted by the provost about this action.

This memorandum is being submitted to you pursuant to a new procedure that was established by President Hardin in 2008 wherein you will be notified of action taken concerning an academic program that does not require official action by you, but does require notification be provided to you. The action will also appear as a "notification" item on the agenda of the next regular meeting so that it will be noted in the minutes.

If you have any questions, please do not hesitate to contact me.

TC:jg

Attachment

C: Dr. Lance Grahn

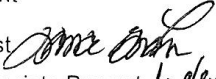



201 Donaghey Avenue
Conway, Arkansas 72035
Phone: (501) 450-3126
FAX: (501) 450-5066
e-mail: provost@uca.edu

Memorandum

DATE: 17 March 2009

TO: Tom Courtway, President

FROM: Lance R. Grahn, Provost 
Jonathan A. Glenn, Associate Provost 

RE: Information for the Board of Trustees

COPY: Jack Gillean, VP for Administration ✓

The Council of Deans has recently recommended acceptance of a proposal by the College of Business Administration to delete the Graduate Certificate program in Business Management. The proposal responds to an on-going lack of sufficient demand from students for this "pre-MBA" curriculum. Currently no students are pursuing this program.

We request that the UCA Board of Trustees be informed of this action. Board notification will allow the university to notify the Arkansas Department of Higher Education of the program's deletion.

Please let us know when notification has been made to the Board of Trustees.

Thank you for your consideration of this request. Let us know if you need further information or analysis.

Enclosure: ADHE LON-5 ("Deletion - Certificate, Degree, Option, Organizational Unit")

LETTER OF NOTIFICATION – 5

DELETION

(Certificate, Degree, Option, Organizational Unit)

1. Institution submitting request

University of Central Arkansas

2. Contact person/title

Jonathan A. Glenn, Associate Provost

3. Phone number/e-mail address

(501) 450-3126
jona@uca.edu

4. Proposed effective date

August 20, 2009 (beginning fall semester 2009)

5. Title of certificate, degree program, option, or organizational unit

Graduate Certificate (GC) in Business Management

6. CIP code

52.0101

7. Degree code

1991

8. Reason for deletion

No demand among students for the program.

9. Number of students still enrolled in program

No students are enrolled in the program.

10. Expected graduation date of last student

N/A

11. Names of courses to be deleted as a result of this action

MBA 5310 Financial and Managerial Accounting Principles
MBA 5320 Foundations of Economic Science
MBA 5330 Finance Concepts
MBA 5340 Principles of Management
MBA 5350 Fundamentals of Marketing
MBA 5360 Quantitative Analysis for Business
MBA 5311 Seminar in Developments in Business Management

12. How will students in the deleted program be accommodated?

N/A

13. Are funds available for reallocation?

No.

Board of Trustees Notification Date: _____

Chief Academic Officer: _____ Date: _____

EXECUTIVE SESSION

Executive session, for the purpose of considering personnel matters, was unanimously declared upon motion by Scott Roussel with a second by Randy Sims.

OPEN SESSION

Open session was unanimously declared upon motion and second.

The following resolution was unanimously adopted upon motion by Harold Chakales with a second by Scott Roussel:

“BE IT RESOLVED: That the Board of Trustees hereby approves the personnel list presented in executive session, provided however, that the administration is authorized to make corrections and changes of a clerical nature.”

The Board will have a called teleconference meeting at 2:30 p.m., on May 14, 2009, to discuss which of the five applicants recommended by the Presidential Search Committee to interview as well as the details of the interview process.

There being no further business to come before the Board, upon motion and a second the meeting was adjourned.

**The University of Central
Arkansas Board of Trustees**

Rush Harding, III
Chair

Scott Roussel
Secretary

